

UPES
ETHICS COMMITTEE
MINUTES OF THE MEETING

6th April 2026, 11:00 AM Onwards

Venue: Trust Board Room, Hubble, Bidholi Campus, UPES

Chairperson

Dr. Suni Rai, Vice Chancellor

Secretary

Mr. Manish Madaan, Registrar

Members:

1. Dr. Sunil Rai, Vice Chancellor, Chairperson
2. Dr. Arti Nautiyal, Director, SOLS&M
4. Dr. Abhishek Sinha, Dean, SOL
5. Mr. Manish Madaan, Registrar –Member Secretary
5. Dr. Shikha Dimri, Professor
6. Dr. Neelu Jyoti Ahuja, Professor
7. Mr. Mohit Dadhich, SEE
8. Nominee of Finance Officer
9. Advocate Vibhav Jain, External Member
10. NGO Representative
11. Special Invitee

ITEM 1: Record Of Attendance And Welcome

The Chairperson called the meeting to order and welcomed the members. The Chairperson stated that this meeting had been convened on an urgent basis to examine a serious case of financial impropriety relating to the misuse of University budget allocated for institutional events, including an instance of procurement of an item for personal use at the University's expense, and to decide on the appropriate corrective and disciplinary course of action.

ITEM 2: To Review The Findings Relating To Misuse Of The University's Event Budget By Certain Faculty

The Member Secretary apprised the Committee that, during a routine reconciliation of expenditure for a recently concluded University event, the Finance Office and Internal Audit Cell observed discrepancies between the items procured and the items actually utilized for the event. On further scrutiny of invoices, purchase requisitions, and delivery records, it was found that certain items procured and billed against the event budget were either not used for the event at all or were inconsistent with the approved budget estimate.

It was specifically reported that one faculty member, entrusted with procurement responsibility for the event, procured an item for personal use and caused the cost of the same to be charged to the University's event budget, thereby misrepresenting it as an official/event-related expense. The matter was verified through invoices, procurement records, and inquiry, and was found to be substantiated.

ITEM 3: To Examine The Case By The Committee

The Committee deliberated on the matter at length. The key points raised during discussion were as follows:

- Members noted that event budgets sanctioned by the University are public/institutional funds meant strictly for the stated official purpose, and any diversion of such funds for personal benefit constitutes a serious breach of financial propriety and trust.
- The specific instance of a faculty member procuring an item for personal use against the University's budget was discussed in detail. The Committee noted that this was not merely a procedural lapse but a deliberate act of financial misconduct, as it involved concealment of the true nature of the purchase.
- It was noted that beyond this specific instance, a broader pattern of laxity in event-related procurement was observed, including instances of over-billing, procurement of items not strictly necessary for the event, and inadequate documentation, warranting a wider review.
- Members emphasised that such conduct, if left unaddressed, undermines financial discipline across the institution, sets a poor precedent, and exposes the University to reputational and legal risk.
- The Legal Advisor confirmed that the conduct of the concerned faculty member, being a clear case of misappropriation of institutional funds for personal gain, meets the threshold for major misconduct under the applicable service rules and Code of Conduct, warranting the strictest disciplinary action.
- The Committee noted that the concerned faculty member had been given an opportunity to respond/explain the discrepancy as part of the preliminary inquiry, and that the explanation offered was found unsatisfactory and unsupported by evidence.

- It was agreed that swift and decisive action was necessary in this instance, both to uphold institutional integrity and to serve as a clear deterrent against similar conduct by other employees.

ITEM 4: Observations of the Committee

1. The act of procuring an item for personal use and charging it to the University's official event budget constitutes misappropriation of institutional funds and a serious breach of trust and financial propriety.
2. The conduct of the concerned faculty member amounts to gross misconduct under the University's Code of Conduct and service rules, justifying termination of employment with immediate effect.
3. The absence of a robust pre-approval, documentation, and reconciliation mechanism for event-related procurement is a systemic gap that enabled this lapse and must be remedied on priority.

ITEM 5: To Determine Appropriate Disciplinary Action Against The Concerned Faculty Member.

In addition to the observation on the specific case above, the Committee resolved to recommend the following systemic measures to the Vice-Chancellor / Competent Authority for approval and implementation:

S.No.	Action Item	Responsibility	Target Timeline
1	Issue a formal letter of termination to the concerned employee with immediate effect, citing misappropriation of University funds and breach of the Code of Conduct / Service Rules, in accordance with due process already followed.	Registrar / HR	Immediate
2	Conduct a detailed financial audit of procurement made for all University events ascertain the extent of the misuse and identify any other irregular transactions.	Finance Officer	Within 3 weeks
3	Recover the value of the item(s) procured for personal use, along with any other identified irregular expenditure, from the concerned employee's final settlement.	HR/Legal	Within 4 weeks
4	Introduce a mandatory pre-approval workflow for all event-related procurement, requiring itemised	Finance Office	Within 1 month

S.No.	Action Item	Responsibility	Target Timeline
	budget estimates to be approved by the Finance Officer and event in-charge before purchase.		
5	Circulate a University-wide notice reiterating that University funds and materials procured for institutional purposes may not be used for personal benefit under any circumstance, and that violations will attract strict disciplinary action including termination.	Registrar	Within 1 week
6	Conduct a sensitization session for all faculty and staff involved in event organization and procurement on financial propriety, procurement procedure, and consequences of misuse of University funds.	HR / Finance Office	Within 6 weeks

ITEM 6: Any Other Item With The Permission Of The Chair

No other matter was raised for discussion.

The meeting concluded with a vote of thanks to the Chair.



Manish Madan

Member Secretary, Ethics Committee