UPES

ETHICS COMMITTEE

MINUTES OF THE MEETING

28th October 2025, 02:30 PM Onwards

Venue: Inclusivity Meeting Room, Hubble, Bidholi Campus, UPES

Chairperson

Dr. Ram Sharma, Vice Chancellor

Secretary

Mr. Manish Madaan, Registrar

Members Present

1. Dr. Ram Sharma, 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. Student Representative

Item No. 1: Welcome Address

The Chairperson welcomed the members and informed the Committee that the primary objective of the meeting was to review, discuss, and approve the proposed investigation and case handling framework to ensure transparency, fairness, confidentiality, and procedural consistency in dealing with ethical complaints, and to finalise the categories of cases and the Annual Action Plan.

Item No. 2: Confirmation of Minutes of the Third Meeting

The Minutes of the Third Ethics Committee Meeting were placed before the Committee and confirmed by all members.

Item No. 3: Presentation of Proposed Investigation Flow

The Member Secretary presented the proposed investigation framework for handling ethical complaints received from faculty and staff. The following flow was proposed and discussed:

1. Receipt of Complaint — through email, written application, or referred by a competent authority.
2. Registration of Complaint — assignment of a unique case number and entry into the Ethics Committee Register.
3. Preliminary Scrutiny — verification of admissibility, and prima facie merit or the gravity of the complaint referred by the competent authority.
4. Chairperson's Approval — preliminary findings submitted to the Chairperson for approval to proceed.
5. A fact-finding panel or subcommittee constituted depending on the nature and complexity of the case.
6. Investigation and Evidence Collection — collection of documents, statements, records, and relevant evidence; meetings with concerned parties.
7. Hearing of Parties — opportunity to present facts, explanations, and supporting evidence, in keeping with the principles of natural justice.
8. Investigation Report — submission of findings, observations, and recommendations.
9. Review by Ethics Committee — examination and deliberation on the investigation report.
10. Recommendation to Competent Authority — recommendations regarding corrective, preventive, or disciplinary measures.
11. Closure and Record Management — closure of the case after action taken, secure maintenance of records and confidentiality.

Item No. 4: Discussion by Members

Members appreciated the structured approach and recommended the following:

- Timelines should be defined for each stage of investigation.
- Confidentiality obligations should be clearly documented.
- Conflict of interest declarations shall be obtained from investigation panel/ sub-committee members.
- Serious misconduct may be fast-tracked with the approval of the Chairperson.
- Status reports should be submitted by the Member Secretary.

Item No. 5: Approval of Investigation Flow

After detailed deliberations, the Committee unanimously recommended adoption of the proposed investigation framework and authorized the Chairperson to approve and implement the process as the official Ethics Committee Investigation Procedure.

Item No. 6: Approval for Preparation of Detailed SOP

The Committee authorized the Member Secretary to prepare a detailed Standard Operating Procedure (SOP) incorporating timelines, reporting templates, confidentiality provisions, investigation formats, and case closure mechanisms, based on the approved investigation flow, and to submit the same for final approval of the Chairperson.

Item No. 7: Finalization of Categories of Cases under Committee scope of work

Building on the discussions of earlier meetings, the Committee finalized the following categories of cases as falling within its scope of work:

- Academic Integrity Violations.
- Conflict of Interest Matters.
- Professional Misconduct by Faculty and Staff.
- Breach of Institutional Ethical Standards.
- Confidentiality and Data Privacy Violations.
- Cases referred by University Authorities involving ethical considerations.

Members agreed that matters involving serious ethical issues may be referred to competent authorities, while the Ethics Committee shall provide recommendations in such matters.

Item No. 8: Approval of Annual Action Plan

The Committee approved the consolidated Annual Action Plan, incorporating the activities agreed upon in earlier meetings:

- Ethics awareness and sensitization programs, and faculty/staff ethics training workshops.
- Orientation sessions for new faculty and staff.
- Dissemination of ethical guidelines and advisories.
- Monthly meetings of the Ethics Committee and annual reporting to the Competent Authority.

The Member Secretary was directed to prepare a detailed activity calendar and circulate it to all members.

Item No. 9: Any Other Matter with Permission of the Chair

No additional matters were raised for discussion.

The Chairperson thanked all members for their constructive suggestions and emphasized the importance of a fair, transparent, and accountable investigation mechanism. The Chairperson further noted that, with the conclusion of this meeting, the Ethics Committee's foundational framework constitution, charter, SOPs, complaint mechanism, awareness plan, reporting framework, and investigation process stood fully operationalized. The meeting concluded with a vote of thanks to the Chair.

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Mr. Manish Madaan

Member Secretary, Ethics Committee