

UPES
ETHICS COMMITTEE
MINUTES OF THE MEETING

12th January 2026, 12:30 PM Onwards

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

Chairperson

Dr. Sunil Rai, Vice Chancellor

Secretary

Mr. Manish Madaan, Registrar

Members:

1. Dr. Suni 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 No. 1: Welcome Address and Introduction of the New Vice Chancellor

The Member Secretary called the meeting to order and welcomed all members. He informed the Committee that Dr. Ram Sharma, who had hitherto served as Vice Chancellor and Chairperson of the Ethics Committee, had been elevated to the position of Chancellor of the University.

The Committee formally welcomed Dr. Sunil Rai, who has since assumed charge as the new Vice Chancellor of the University, to his first meeting of the Ethics Committee. Members individually introduced themselves and briefly apprised Dr. Sunil Rai of their respective roles on the Committee.

The Member Secretary, on behalf of the Committee, placed on record its appreciation for the guidance and leadership provided by Dr. Ram Sharma during his tenure as Chairperson, and congratulated him on his elevation as Chancellor of the University.

Item No. 2: Briefing of the New Vice Chancellor on the Ethics Committee

The Member Secretary briefed Dr. Sunil Rai in detail on the constitution, mandate, and functioning of the Ethics Committee, including the earlier Minutes of Meeting and the cases considered and disposed of by the Committee to date. The briefing covered the following:

Item Briefed	Summary
Constitution & Mandate	Formation, composition, Terms of Reference, Charter, and Standard Operating Procedures of the Ethics Committee.
Complaint Mechanism & Frameworks	Ethics Complaint Reporting Mechanism, Ethics Awareness and Capacity Building Plan, and the Committee's Dashboard and Reporting Framework.
Investigation Process	Investigation Flow and Case Handling Process, categories of cases under the scope of work of the Committee.
“Punch and Go” Attendance Matter	Background of the case, the Committee's observations and recommendations, and the action finally taken — issuance of warning letters to the concerned faculty members and their current appraisal cycle being treated as a “zero appraisal year.”
Misuse of Event Budget	The case of misuse of University budget for procurement during events, including a faculty member's procurement of an item for personal use, and the Committee's decision to terminate the concerned employee's services with immediate effect, along with systemic procurement safeguards recommended.
Awareness and sensitization of the Policy	The committee conducted various sessions on the do's and don'ts with the faculty and staff.

Dr. Sunil Rai noted the briefing and appreciated the structured manner in which the Committee had been operationalised and the cases handled to date. He requested that copies of all earlier Minutes of Meeting and case records be made available to him for detailed review.

Item No. 3: Welcome of Dr. Sunil Rai as Chairperson of the Ethics Committee

Following the briefing, the Committee formally welcomed Dr. Sunil Rai as the Chairperson of the Ethics Committee, in his capacity as Vice Chancellor of the University, in succession to Dr. Ram Sharma. Members conveyed their confidence in his leadership and reaffirmed their commitment to supporting the Committee's mandate of promoting ethical conduct and institutional integrity.

Dr. Sunil Rai thanked the members for the warm welcome and expressed his commitment to strengthening the ethical governance framework of the University, building upon the foundation already laid by the Committee.

Item No. 4: Suggestion on Increasing the Frequency of Ethics and Code of Conduct Sessions

Dr. Sunil Rai suggested that the frequency of sessions on ethics and the Code of Conduct for all faculty and staff be increased, in line with the principle of Employee Engagement followed by the Human Resources function of the University. He observed that more frequent and regular engagement on these themes would help reinforce ethical awareness on a continuing basis, rather than being confined to periodic or one-off sessions.

The Committee deliberated on the suggestion and agreed that it aligned well with the Ethics Awareness and Capacity Building Plan and that increasing the frequency of such sessions would further strengthen the institution's ethical culture. Members agreed that HR & Establishment should be entrusted with revising the session calendar accordingly, in coordination with the IQAC and respective Deans/Heads of Department.

The Committee resolved to recommend the following action to the Competent Authority for approval and implementation:

S.No.	Action Item	Responsibility	Target Timeline
1	Prepare a revised annual calendar increasing the frequency of ethics and Code of Conduct sessions for all faculty and staff, in line with the Employee Engagement principles followed by HR.	HR / IQAC	Within 3 weeks
2	Coordinate with Heads of Department to schedule sessions such that all faculty and staff, across departments and shifts, are able to attend at least one session per quarter.	HR / Deans / HoDs	Ongoing
3	Integrate the ethics and Code of Conduct sessions with existing HR Employee Engagement activities and the induction/orientation program for new joiners.	HR	Within 1 month

S.No.	Action Item	Responsibility	Target Timeline
4	Track and report attendance and feedback for each session to assess effectiveness and inform continuous improvement.	HR / Member Secretary	After each session
5	Place a status report on the increased frequency of sessions and participation levels before the Ethics Committee in its next meeting.	Member Secretary	Next meeting

Item No. 5: Any Other Matter with Permission of the Chair

No other matter was raised for discussion.

The Member Secretary proposed a vote of thanks, welcoming Dr. Sunil Rai once again as the new Chairperson and thanking all members for their continued engagement with the Committee's work. The Chairperson thanked the members for the warm welcome and briefing, and reiterated his commitment to the Committee's objectives. The meeting concluded with a vote of thanks to the Chair.



Manish Madaan

Member Secretary, Ethics Committee