

CODE OF RESEARCH ETHICS

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The goal of this set of guidelines is to provide a positive, doable list of suggestions for maintaining research integrity. By adhering to these guidelines, an investigator can help them stay within the parameters of recognized ethical research practice and avoid the most egregious mistakes that constitute research misconduct. "Research misconduct" includes the creation, falsification, or plagiarism of research projects, evaluations, reports, or proposals, in addition to the falsification of credentials.

Plagiarism

No Plagism Policy

Authors who publish other people's words, facts, or ideas with the suggestion that they are their own without properly attributing them in a way that fits the medium of presentation run the risk of being found guilty of plagiarism and research misconduct in addition to stealing intellectual property. This claim holds true for reviews, methodological, background, and historical aspects of research papers as well as unique study findings or interpretations. When someone copies a passage of another person's writing that is exactly longer than a sentence or six or seven words, it should be indented or enclosed in quote marks, and the original source should be cited at the location in the text where the copied material is located. The same rules apply to grant applications and proposals, clinical

Others' work should be cited or credited, whether published or unpublished, whether written, oral, or on a website. Each journal or publisher may establish the suitable citation format. Citations are not required for well-established notions contained in mainstream textbooks or statements describing a widely utilized methodology. Special regulations were devised for citing electronic information.

Use and Misuse of Data

Accurate documentation of all pertinent observations is necessary for research integrity, as is the foundation of all findings. Research integrity is violated when data are purposefully withheld, especially those that show confounding factors, or when data simply do not support the results that have been stated. If there is a reason why certain data should be ignored—a rationale supported by an authorized statistical test for ignoring outliers—that explanation should be included in the published reports. A significant history of unfavorable outcomes needs to be disclosed. A deliberate or careless disregard for accuracy when reporting observations could be regarded as research misconduct.

Ownership of and Access to Data

The lead investigator of the research group, nor the researcher who created or saw the research data, are not the owners of the data collected from studies carried out at the institution by University personnel. Even if the researchers depart the University, they remain property of the University, which is still liable for the accuracy of the data. The institution, and not the individual researcher, is the recipient of funded research awards, which is another justification for the organization's ownership claim over research data. However, no member of the research team that collected the data should typically be denied reasonable access to the data. In the unlikely event that the group produces a copyright or patent application

A principal investigator who leaves the University is entitled to make a copy of data to take to another institution so as to be able to continue the research or, in some cases, to take the original data, with a written agreement to make them available to the University on request within a stated time period. A formal Agreement on Disposition of Research Data should be negotiated in such cases through the Office of Research. Each student, postdoctoral fellow, or other investigators in a group project should come to an understanding with the research director or principal investigator, preferably in writing, about which parts of the project he or she might continue to explore after leaving the research group. Such an understanding should specify the extent to which a copy of research data may be taken. Co-investigators at another institution are entitled to access the data which they helped to obtain.

Authorship and Other Publication Issues

Publishing research findings is crucial as a way to inform the academic community so that readers can learn about the findings and further investigate the topics covered. In actuality, an investigator at the University has an ethical duty to disseminate research findings in a way that complies with applicable publication criteria. It should be possible for other researchers to try to duplicate the results if the supplied data and procedures are sufficiently thorough. Publication should occur on schedule, but it shouldn't be rushed if doing so runs the danger of not giving the results enough internal validation or of failing to sufficiently take into account all potential interpretations. A research project's business sponsor might not have the power to reject

Criteria for Authorship

Academic work is influenced by a wide range of sources that provide concepts and information, so proper acknowledgment must be stressed when presenting ideas and publishing manuscripts. Only those who have made an original and noteworthy contribution to the conception, design, execution, and interpretation of the published work should be granted authorship.

Others who have supported the research in various ways or who have made modest contributions—such as offering counsel, doing analyses, or supplying subject matter—should also be recognized. Whether or not these people should be listed as writers should be decided by the main author. There are instances when acknowledgment in a published work requires formal consent, and the entity requesting it may even specify the format.

Concerns of co-authorship include the order of the list of authors, the criteria for inclusion as an author, and each author's capacity to assess every facet of the research. Before starting a co-author project, authors should schedule an appointment and have an honest conversation about these issues. The primary author, or the one submitting the work, is in charge of organizing its completion and submission as well as making sure that each and every collaborator and contribution is properly acknowledged. The final draft of the text should be approved by each contributor, and they should all be willing to take accountability for their contributions in public.

It is the responsibility of each author or co-author to compile, edit, and double-check those sections of the text.

Order of Authors

Different disciplines have different conventions on the order in which co-authors' names should appear. Regardless of the field, it is crucial that all collaborators comprehend the rationale behind determining a naming sequence and provide their prior consent before beginning work.

Every paper should designate a corresponding, or senior, author (usually the first or last listed name in a multi-authored manuscript). This person will be in charge of corresponding with the publisher or editor, keeping all co-authors informed about the manuscript's status during review and publication, and making sure that all listed authors have approved the submitted version of the work.

Self-citations

It is important for authors to avoid implying that a paper is unpublished when they cite their own unpublished work. A paper should not be marked as submitted before it is expected to be submitted. Unless the author receives a galley or page proof, or a letter from an editor or publisher confirming approval for publishing, maybe with copy-editing still pending, the paper shouldn't be listed as accepted for publication or in the press.

Duplicate Publication

Unless there is a compelling need to do so, researchers shouldn't publish the same work twice unless they have given the editor express notice and included the proper citation in the latter publication. This also holds true for abstracts. An inexplicable repetition of publishing without citation—also known as self-plagiarism—may lead a reader to believe that there is more original research material than there actually is.

In most fields, having the same manuscript pending review by multiple journals at the same time is incorrect. Journals sometimes stipulate that a work submitted should not have been published or submitted for publication elsewhere, and some even demand that a statement to that effect be included with a submitted paper.

Conflict of Interest

Academic staff members are not permitted to let their focus be diverted from their primary duties to the University by other professional or extracurricular activities. Every semester they are on active duty, they should continue to have a noticeable and respectable presence on campus. Vacation time and leave policies should follow the University's guidelines.

In order to foster an environment of academic freedom, they should encourage the timely and open disclosure of the findings of their research, make sure that their recommendations to students and postdoctoral fellows are free from bias, and reveal any outside endeavors that might impede the free exchange of knowledge between themselves, their students, and their peers.

As long as the University receives payment in accordance with the guidelines in the Rules for Contract Work of the University, researchers are permitted to use University resources, such as buildings, personnel, equipment, data, and sensitive information, as part of contract work. According to University regulations, researchers are not allowed to utilize University resources for any purpose other than those associated with tuition, research, or

services supplied by the University without first obtaining authorization from the dean or head of the department.

Obligation to Report

Reporting Suspected Misconduct

All members of the academic community have a significant and shared responsibility to report any suspicions of research misconduct. Anybody who has reason to believe that there has been research misconduct has a duty to notify the Dean of Academic Research or the Head of the department where the alleged misconduct took place. The University's policy outlines the procedures that are followed when handling allegations. To the greatest extent feasible, all reports are handled in confidence, and anyone who makes an honest accusation of this kind won't face any negative consequences for it.

Correction of Errors

In the event that an intentional or inadvertent error or instance of plagiarism is discovered after the work has been published, the investigator is required to submit a retraction or correction in the format that the editor or publisher specifies.

Responsibilities of a Research Investigator

When it comes to the research that group members conduct, an investigator in charge of the group has both leadership and supervisory duties. In addition to organizing the research team, a principle investigator is responsible for setting up a sufficient administrative and financial framework to support the study. A supervisor is ultimately in charge of ensuring the scientific integrity of the entire research endeavour in addition to offering direction and counsel to individual group members on how to perform the study responsibly.

Responsibilities to Funding Agencies

An investigator should be aware that publications submitted for publication must meet the same accuracy and integrity criteria as applications and funding proposals. Even if the proposal is eventually rejected or withdrawn before the entire funding process is completed, reporting the results of unfinished experiments as evidence to support the proposed research funding, for example, is considered a fabrication and may result in a finding of research misconduct. The same principles of plagiarism apply to applications and proposals as they do to publications, including background information and methodological components.

Resources in support of Research

(a) University Research and Development Fund

The principle of administering the allocation of all Research funding in the university is that it is an investment to create intellectual resources.

It will help economic upliftment and intended to maximise the scientific outcomes that the University expects to result from staff and student Research.

(b) Seed money

However, the University is willing to grant seed cash or partial financing based on the quality of proposals submitted by academics or students. Faculty and students are encouraged to pitch their ideas / project proposals to the research committee for the sanction of seed financing in accordance with University norms.

The University allocates research funds for all departments to spend on consumables, non-consumables, and research and development.

Provisions and obligations related to external contracts/external research

In order to promote advanced technology in different frontier areas, the University has signed MOUs with national and international organizations

Research Planning

Faculty members are expected to create and implement their own research plans in accordance with the University's Research Strategy and Strategic Plan.

Performance Evaluation and Monitoring

Employees must give their managers complete, accurate reports on the results of their research. The list of staff and student publications will be published by the Research Office in the categories specified by the publication standards.

Centralized Common Research Facility

- Excellent, competitive research that, in the case of interdisciplinary studies, may involve scholars who are recognized both internationally and in India
- Consistent with the objectives of the University. Anticipated to provide results that are original, unknown and patented.
- Aligned to the priorities given by Research funders and organizations.
- For major research outcomes, substantial financing must be raised, and resources must be used sparingly.

CODE OF RESEARCH ETHICS

6. REGULATION ON PROMOTION OF ACADEMIC INTEGRITY AND PREVENTION OF PLAGIARISM AT ITM UNIVERSITY, GWALIOR

- a. These regulations shall be known as the ITMU (Promotion of Academic Integrity and Prevention of Plagiarism in ITMU) Regulations.
- b. They shall be applicable to all students, faculty, researchers, and staff members of ITMU.
- c. These regulations shall become effective from the date of their notification.

Definitions

In these regulations, unless the context otherwise requires—

- a. “Academic Integrity” denotes the intellectual honesty involved in proposing, executing, and reporting any activity that contributes to the creation of intellectual property;
- b. “Author” encompasses a student, faculty member, researcher, or staff of ITMU who asserts to be the creator of the work under consideration;
- c. “Commission” denotes the University Grants Commission as defined in the University Grants Commission Act, 1956;
- d. “Common Knowledge” signifies a well-known fact, quote, figure, or information widely recognized by the majority;
- e. “Degree” encompasses any degree specified by ITMU;
- f. “Departmental Academic Integrity Panel” refers to the body established at the departmental level to investigate allegations of plagiarism;
- g. “Faculty” pertains to an individual engaged in teaching and/or guiding students enrolled in ITMU in any capacity, including regular, ad-hoc, guest, temporary, or visiting roles;
- h. “Information” includes data, messages, text, images, sound, voice, codes, computer programs, software, databases, microfilm, or computer-generated microfiche;
- i. “Institutional Academic Integrity Panel” denotes the body constituted at the institutional level to deliberate on recommendations of the departmental academic integrity panel and make appropriate decisions regarding allegations of plagiarism, along with determining penalties to be imposed. In exceptional cases, it is authorized to investigate allegations of plagiarism at the institutional level;
- j. “Notification” refers to a notification along with its associated meanings and grammatical variations, to be interpreted accordingly;
- k. “Plagiarism” denotes the act of appropriating someone else’s work or idea and presenting it as one’s own;
- l. “Programme” signifies a program of study leading to the award of a master’s and research-level degree;
- m. “Researcher” refers to an individual conducting academic or scientific research in ITMU;
- n. “Script” encompasses a research paper, thesis, dissertation, chapters in books, full-fledged books, or any similar work submitted for assessment or opinion leading to the award of master’s and research-level degrees, or for publication in print or electronic media by students, faculty, researchers, or staff of ITMU. However, this

excludes assignments, term papers, project reports, coursework, essays, and answer scripts;

- o. "Source" denotes the published primary and secondary material from any source, encompassing written information and opinions obtained directly from other individuals, including eminent scholars, public figures, and practitioners, in any form, including audio, video, image, or text. The term "Information" carries the same meaning as defined under Section 2(1)(v) of the Information Technology Act, 2000, as reproduced in Regulation 2(I);
- p. "Staff" refers to all non-teaching staff working in ITMU in any capacity, whether regular, temporary, contractual, or outsourced;
- q. "Student" signifies an individual duly admitted and pursuing a program of study, including a research program, in any mode of study, whether full-time, part-time, or distance mode;
- r. "Year" denotes the academic session in which a proven offense has been committed.

Objectives

- 8.1 To foster awareness regarding the ethical conduct of research, thesis, dissertation, and the promotion of academic integrity, including the prevention of misconduct such as plagiarism, among students, faculty, researchers, and staff.
- 8.2 To institute an institutional mechanism through education and training aimed at facilitating the responsible conduct of research, thesis, dissertation, and the promotion of academic integrity, while deterring plagiarism.
- 8.3 To devise systems for detecting plagiarism and establishing mechanisms to prevent it, along with implementing measures to penalize any student, faculty member, researcher, or staff of ITMU found guilty of committing plagiarism.

Duties of ITMU

ITMU has implemented the mechanisms outlined in these regulations to bolster awareness regarding the responsible conduct of research and academic activities, to advocate for academic integrity, and to mitigate instances of plagiarism.

Awareness Programs and Trainings:

- (a) ITMU will provide guidance to students, faculty, researchers, and staff on proper attribution, including seeking permission from authors when necessary, and acknowledging sources in a manner that aligns with the requirements and specificities of their disciplines, as well as with rules, international conventions, and regulations governing sources.
- (b) ITMU will organize sensitization seminars and awareness programs each semester, focusing on the responsible conduct of research, thesis, dissertation, promotion of academic integrity, and ethics in education. These programs will target students, faculty, researchers, and staff.
- (c) ITMU will:
 - i. Incorporate fundamental principles of academic integrity into the curricula of undergraduate, postgraduate, and master's degree programs as mandatory coursework.

- ii. Integrate elements of responsible research conduct and publication ethics into mandatory coursework for master's and research scholars.
- iii. Include aspects of responsible research conduct and publication ethics in orientation and refresher courses for faculty and staff.
- iv. Provide training to students, faculty, researchers, and staff on the use of plagiarism detection tools and reference management tools.
- v. Establish facilities equipped with modern technologies for the detection of plagiarism.
- vi. Encourage students, faculty, researchers, and staff to register on international researcher registries.

Curbing Plagiarism

- a) ITMU will implement a technology-based mechanism using suitable software to ensure that documents such as thesis, dissertations, publications, or any similar works are free from plagiarism at the time of submission.
- b) This mechanism, as described in (a) above, will be accessible to all individuals engaged in research work, including students, faculty, researchers, and staff.
- c) Each student submitting a thesis, dissertation, or similar document to ITMU must provide a declaration stating that the document is their original work and is free from plagiarism.
- d) This declaration must also confirm that the document has been checked using a plagiarism detection tool approved by ITMU.
- e) ITMU will develop a plagiarism policy and obtain approval from relevant statutory bodies or authorities. The approved policy will be published on the homepage of the ITMU website.
- f) Supervisors will be required to submit a certificate confirming that the work conducted by their respective researchers is free from plagiarism.
- g) Within one month after the award of degrees, ITMU will submit soft copies of all master's and research program dissertations and thesis to INFLIBNET for hosting in the digital repository known as "Shodh Ganga e-repository."
- h) ITMU will establish an Institutional Repository on its website, which will include dissertations, thesis, papers, publications, and other in-house publications.

Similarity checks for exclusion from Plagiarism

The plagiarism similarity checks shall not include the following:

- i. All quoted work that is reproduced with appropriate permission and attribution.
- ii. All references, bibliography entries, table of contents, prefaces, and acknowledgements.
- iii. All generic terms, laws, standard symbols, and standard equations.

Note:

Research conducted by students, faculty, researchers, and staff must be based on original ideas, including abstracts, summaries, hypothesis, observations, results, conclusions, and recommendations. It should not contain any similarities, except for common knowledge or coincidental terms, of up to fourteen (14) consecutive words.

Levels of Plagiarism

Plagiarism would be quantified into following levels in ascending order of severity for the purpose of its definition:

- i. Level 0: Similarities upto 10% – Minor similarities, no penalty
- ii. Level 1: Similarities above 10% to 40%
- iii. Level 2: Similarities above 40% to 60%
- iv. Level 3: Similarities above 60%

Detection/Reporting/Handling of Plagiarism

If any member of the academic community has credible evidence indicating plagiarism in any document, they are required to report it to the Departmental Academic Integrity Panel (DAIP). Upon receiving such a complaint or allegation, the DAIP will conduct an investigation and present its recommendations to the Institutional Academic Integrity Panel (IAIP) of ITMU.

Authorities at ITMU are also empowered to initiate action on their own accord upon discovering an act of plagiarism, in accordance with these regulations. Likewise, proceedings may be initiated by ITMU based on the findings of an examiner. All such cases will be thoroughly investigated by the IAIP.

Departmental Academic Integrity Panel (DAIP)

- i. All Departments in ITMU shall notify a DAIP whose composition shall be as given below:
 - a. **Chairman** – Head of the Department
 - b. **Member** – Senior academician from outside the department, to be nominated by the head of ITMU.
 - c. **Member** – A person well versed with anti plagiarism tools, to be nominated by the Head of the Department.

The tenure of the members in respect of points 'b' and 'c' shall be two years. The quorum for the meetings shall be 2 out of 3 members (including Chairman).

- ii. The DAIP will adhere to the principles of natural justice when adjudicating allegations of plagiarism against students, faculty, researchers, and staff.
- iii. The DAIP is authorized to evaluate the extent of plagiarism and propose appropriate penalties.
- iv. Following its investigation, the DAIP will present its findings and recommended penalties to the IAIP within 45 days from the date of receiving the complaint or initiating the proceedings.

Institutional Academic Integrity Panel (IAIP)

- i. ITMU shall notify a IAIP whose composition shall be as given below:
 - a. **Chairman** – Pro-VC/Dean/Senior Academician of the ITMU.
 - b. **Member** – Senior Academician other than Chairman, to be nominated by the Head of ITMU.

- c. **Member** – One member nominated by the Head of ITMU from outside the ITMU
- d. **Member** – A person well versed with anti-plagiarism tools, to be nominated by the Head of the ITMU.

The Chairman of DAIP and IAIP must not hold the same position concurrently. Committee members, including the Chairman, will serve a three-year term. A quorum for meetings shall consist of three out of four members, including the Chairman.

- ii. The IAIP will review the recommendations put forth by the DAIP.
- iii. The IAIP is also responsible for investigating cases of plagiarism in accordance with the regulations outlined herein.
- iv. The IAIP will adhere to the principles of natural justice when adjudicating allegations of plagiarism involving students, faculty, researchers, and staff of ITMU.
- v. The IAIP is empowered to review the recommendations made by the DAIP, including any proposed penalties, providing justifications as needed.
- vi. Within 45 days of receiving the recommendations from the DAIP, a complaint, or the initiation of proceedings, the IAIP will submit a report on its investigation and recommended penalties to the Head of ITMU.
- vii. The IAIP will furnish a copy of the investigation report to the individual(s) named in the inquiry report.

Penalties

Sanctions for plagiarism will only be imposed on students enrolled in Masters and Research programs, as well as on researchers, faculty, and staff of ITMU, after conclusive evidence of academic misconduct has been established, all avenues of appeal have been pursued, and the accused individual has been afforded ample opportunity to present a defense in a fair and transparent manner

17.1 Penalties in case of plagiarism in submission of thesis and dissertations

Institutional Academic Integrity Panel (IAIP) shall impose penalty considering the severity of the Plagiarism.

- i. Level 0: Similarities up to 10% – Minor Similarities, no penalty.
- ii. Level 1: Similarities above 10% to 40% – Such student shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.
- iii. Level 2: Similarities above 40% to 60% – Such student shall be debarred from submitting a revised script for a period of one year.
- iv. Level 3: Similarities above 60% – Such student registration for that programme shall be cancelled.

Note 1: Regarding repeated instances of plagiarism, the penalty will escalate to the next level compared to the previous offense committed by the student. If the highest level of plagiarism is reached, the corresponding punishment will be applied.

Note 2: In cases where plagiarism is proven after the degree or credit has been conferred, the degree or credit will be suspended for a duration determined by the IAIP and ratified by the Head of the Institution. Penalties in case of plagiarism in academic and research publications

- I. Level 0: Similarities up to 10% – Minor similarities, no penalty.

II. Level 1: Similarities above 10% to 40%

- i) Shall be asked to withdraw manuscript.

III. Level 2: Similarities above 40% to 60%

- i) Shall be asked to withdraw manuscript.
- ii) Shall be denied a right to one annual increment.
- iii) Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a period of two years.

IV. Level 3: Similarities above 60%

- i) Shall be asked to withdraw manuscript.
- ii) Shall be denied a right to two successive annual increments.
- iii) Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a period of three years.

Note 1: Regarding repeated instances of plagiarism, the individual shall be required to withdraw the manuscript and face a penalty one level higher than the previous offense. If the highest level of plagiarism is reached, the corresponding punishment will be applied. In the event of a repeat offense at level 3, disciplinary action including suspension or termination as per service rules will be taken by the ITMU.

Note 2: In cases where the benefit or credit has already been obtained, if plagiarism is proven after the date of benefit or credit has been received, it will be suspended for a period recommended by the IAIP and approved by the Head of the Institution.

Note 3: ITMU shall establish a mechanism to ensure that every paper publication, thesis, or dissertation by students, faculty, researchers, or staff of the ITMU is checked for plagiarism at the time of submission.

Note 4: If there is a complaint of plagiarism against the Head of an ITMU, appropriate action in accordance with these regulations shall be taken by the Controlling Authority of the ITMU.

Note 5: If there is a complaint of plagiarism against the Head of Department or Authorities at the institutional level, suitable action as per these regulations shall be recommended by the IAIP and approved by the Competent Authority.

Note 6: In case of a complaint of plagiarism against any member of DAIP or IAIP, the concerned member shall excuse himself or herself from the meetings where their case is being discussed or investigated.