

## MAINTENANCE OF ACADEMIC VALUES AND ETHICAL RESEARCH STANDARDS REGULATIONS, 2013

[Regulations to promote a healthy research culture and prevent plagiarism]

### 1. Short title and commencement

- (i) These regulations may be called Maintenance of Academic Values and Ethical Research Standards Regulations, 2013
- (ii) They shall come into force immediately on their Publication in the official notification.

### 2. Interpretation

- (i) In the regulations, unless the context otherwise requires:
  - (a). "Article" means an academic writing of wholesome nature on a particular specific aspect of a broader theme of research.
  - (b). "Book" means a set of written or printed pages containing literary work fastened along one side and encased between protective covers or maintained in electronic form.
  - (c). "Chapter in a book" means an ordinarily understood chapter, distinctly identifiable from the other chapters and contents of a book as defined in Clause (2) (b) of these Regulations.
  - (d). "Copying" means transcription or reproduction of others works in any form, proportion and by any means.
  - (e). "Copyright" means a right to reproduce a literary work or any portion of thereof under the applicable laws in India.
  - (f). "Data" means any information stored in a medium, electronic or otherwise, retrievable for use and possible to process.
  - (g). "Infringement of copyright" means any unauthorized use of a copyrighted material without the permission of the copyright holder or without giving a complete citation of the source of the material, as the case may be.
  - (h). "Plagiarism" means copying in the form of transcription, reproduction, retrieval, transmission, misappropriation, any other unauthorized use of other's literary work/research data or making an unsubstantiated claim of originality about some work as one's own in a publication, presentation or any other form of projection, resulting into the infringement of a copyright, violation of academic values, standards of research ethics or code of conduct for teachers/staff defined in the University Statutes.
  - (i). "Primary research" includes carrying out of basic or preliminary tests to acquire primary data and creation of formulations and expressions which do not exist.

(j). "Research Paper" means an academic writing in the form of an essay in which a scholar presents his findings of his research in his own analysis, assessment and line of reasoning.

(k). "Secondary research" includes the already existing research and may involve interpretation thereof in a new form.

(l) "University" means the Guru Gobind Singh Indraprastha University as incorporated under the Indhprastha Vishwavidyalia Act, 1998.

**3. Application.-** These regulations shall apply to every student and staff member of the Guru Gobind Singh Indraprastha University.

**4. Removal of doubts.-** If any doubt arises as to the interpretation of any of the provisions of these regulations, the matter shall be referred to the Vice Chancellor or such Authority/Committee as may be specified by the Vice Chancellor for general or special purpose. The final deciding authority shall vest with the Vice Chancellor.

**5. Charge of plagiarism.-** (1). A charge of plagiarism shall lie only on receiving a complaint about one's-

(a) commission of an act of copying in the form of transcription, reproduction, retrieval, transmission, theft, fraud, misappropriation, any other unauthorized use of other's literary work or research data;

(b) making an unsubstantiated claim of originality about others work as his own;

(c) commission of such an act or making such a claim amounting to plagiarism as defined in Clause 2 (h) of these Regulations in a publication, presentation or any other form projection; and

(d) such a publication, presentation or any other form of projection results into the infringement of a copyright, academic dishonesty or violation of academic values and standards of research ethics.

(2). The charge of plagiarism shall be considered as an act of cheating, fraud, malpractice, misconduct and as a violation of code of conduct for teachers/staff defined in the University Statutes.

Explanation-1.- Plagiarism occurs when one makes even marginal changes in the material of someone else or his own (of which he has transferred the copy right to some other person or agency) and includes it without citation in his/her manuscript/publications; or copies any materials/data presented in from other's publication, website or reports as his own; or uses data obtained by any other researcher claiming that as his own; or does any kind of falsification/fabrication of data; or prepares a document based substantially on other's work; or make a factual misrepresentation in his publication in the form of a book/paper or presentation in a conference or other relevant information; or denies authorship or the correct order of authorship to a contributor.

*Explanation-2.-* Plagiarism extends to wrongful appropriation and purloining and publication of original author's work, languages, expression and data as may be covered by the Copy Right Act, 1957.

(3) **Exceptions:-** In most cases plagiarism can be avoided in academic setting by citing a reference to the source, not using verbatim reproduction or by putting reused contents under quotation marks followed by citation. Furthermore, use of material not protected by copyright or can be considered as "Common Knowledge" (i.e. Available in numerous sources like handbook, manuals, atlas mythological scripts, or as proverbs, etc) is not a case of plagiarism as long as reference is given. Similarly, the use of "creative commons" or "copyright" protected content may be allowed, provided the source is cited and put under quotation marks.

Often a person resorts to plagiarism unknowingly because he/she may not be aware of the source or the practice of referencing. Sometimes, however, plagiarism is deliberate because the person presenting the work knowingly exceeds the limits of reasonable extent of reproduction or gets the work done by someone else and reproduces it as his/hers. While the University shall do its bit to enhance the awareness, all faculty members are expected to be aware of the ethics of publishing.

Researchers must carefully search for and cite the sources of materials that are reproducing and limit the reproduction to the extent permitted by the doctrine as "fair use." Deliberate plagiarism is a violation of ethical conduct in research. While faculty members are generally responsible for training students in this regard, the ultimate responsibility for student plagiarism rests with the students

## 6. Detection of Plagiarism

Plagiarism shall be found to have been detected when.-

- a) a portion of the work or whole of it is found belonging to another author and a formal complaint is received about it.
- b) a sudden change in found in the style of writing of a text, inconsistent with the style used in the entire text.
- c) a substantial common material content is found in the work in question and the original work as detected by a plagiarism detection device.

*Explanation-1.-* In case of an idea, subject-matter, themes, plots, or historical or legendary facts plagiarism shall be determined only regarding form, manner, arrangement and expression in the original work.

*Explanation-2.-* The substantial common material shall be taken as any common material exceeding 20% in works in the areas of Basic Science and Technology and 30% in Humanities and Social Sciences, Law, Management and Education.

## 7. Mechanism for dealing with complaints of Plagiarism

(1) *Receiving of complaint.*- No complaint of plagiarism shall be received unless it is:

- (i) addressed to the Vice Chancellor of the University;
- (ii) signed by the complainant with complete name and address; and
- (iii) accompanied by appropriate documents authenticating the complaint.

(2) *Non-publicizing of complaints.*-The complainant shall not publicize the matter until a final decision is taken by the University otherwise, it will be treated as misconduct.

(3) *Committee to deal with complaints.*-Any complaint received by the Vice Chancellor may be referred for investigation to a Standing Complaint Committee, constituted by the Vice Chancellor for the said purpose. The constitution of the committee shall be as follows:

- (i) One Dean of a University School of Studies/ Director (for a period of two years) (Chairman);
- (ii) One Professor of the University;
- (iii) One External Expert in the field concerned to be nominated by the Vice Chancellor.

Provided that the committee may co-opt one or two members, as the case may be, as an expert member/s depending upon the gravity of the complaint.

(4) After the receipt of the Complaint, the Vice Chancellor may refer it to the Standing Complaint Committee within a week from the date of receipt.

(5). The Chairman of the Committee shall obtain necessary information from the complainant including relevant documents relating to the complaint and, if satisfied, initiate the formal fact finding proceedings in the matter.

(6) The Committee shall submit its fact finding report to the Vice Chancellor within 30 to 45 days of initiation of the fact finding. No such report shall be submitted before giving the person accused of plagiarism an opportunity of being heard in accordance with the principles of natural justice.

## 8. Censureship:

Where a complaint is found factually correct, an appropriate action in the form of academic censorship or administrative action may be taken against the person found guilty of plagiarism depending on the gravity of guilt.

(a) Academic censorship may be in any of the following forms:

- (i) Obtaining sincere repentance from the individual and an undertaking not to repeat it.
- (ii) Verbal warning
- (iii) Written warning
- (iv) Advisory note by the Vice chancellor

- (v) Name and Shame
- (vi) Disqualification from taking Ph.D. Student for a period of 2 years.

(b) Administrative action may be in the form of:

- (i) giving more teaching load
- (ii) non assignment of any administrative duties and examinations task for a specific period.
- (iii) disqualification for any grant from the University for a maximum period of 3 years.

## **9. False and malafide complaints**

Any complainant who has made a false or *mala fide* complaint shall be liable for:

- (i) name and shame;
- (ii) putting the matter of false complaint on the University website;
- (iv) giving him a written warning;
- (v) taking any appropriate administrative action; and
- (iv) sending of a letter to the Organization Head in which he is employed, and, if not employed, any other action deemed fit may be taken.

Provided that any / or moresuch penalty shall be imposed only after the approval of the Board of Management of the University.

## **10. Guidelines to Prevent Plagiarism**

1. Materials on ethical code of conduct, copyrights, and referencing system shall be developed and made available to the academic community by an Ethical Standing Committees to be constituted by different Schools/Centres respectively of the University.
2. All students shall be made to declare that the materials they are submitting for class works, projects dissertations, thesis etc. are their own, that they have not resorted to any unethical means in getting the results or reporting them, and that they have adequately acknowledged the sources wherever they have used other's works.
3. All submissions that are suspected to contain copied passages, figures, tables, and code (in the case of computer programs) without acknowledgment of sources shall be tested for plagiarism with the help of software packages that are specifically meant to detect plagiarism.
4. Acknowledgement of sources of materials by scholars should be encouraged and approved modes of citation should be duly inculcated in their minds by supervisors.

5. Copyright norms should be taught to scholars in general to make them aware of the consequences of copyright infringement.
6. Researchers must be taught to limit the reproduction from a source only to the extent permitted by the doctrine as "fair use."
7. Every research publications should acknowledge the standard software package (from public domain or otherwise) which it has used in the work. When software written by someone else is used, the same should be clearly cited. If the existing code is modified, the type and extent modification should be clearly mentioned in the Publication. Minor modification in an existing code or renaming of some of the code variables does not amount to an original research contribution.
8. Where a researcher is tempted to include the same material in more than one paper/publication in order to increase their number of publications, he should refer to the relevant past publications explicitly and mention how the current publication is related to them. In addition, the basic idea(s) published in a communication/letter form may be expanded in the subsequent full paper(s) with due citation, as per convention.
9. It is worth noting that software packages are available now-a-days in public domain (e.g., eTBLAST in <http://invention.swmed.edu/etblasf>) for indentifying similarity in the materials contained in separate publications. However, most of them currently search only the titles, abstracts of paid publications and full text articles of open access or free publications. They may not detect all cases of plagiarism. On the other hand, there are paid soft-wares which subscribe to full text sources and use them to scan for plagiarism, with better rate of detection.
10. In case of co-authorship, the principal/corresponding author will be responsible for deciding the list of authors and the order of appearance of the names of the authors in the publication. By merely providing workspace, standard experimental or computational facility, administrative support or advice on merely trivial and uncorrelated aspect of a research project, one does not automatically become eligible for authorship in a publication. The person must make significant intellectual contribution to the research work to deserve authorship.
11. In the case of sponsored projects, the principal investigator is primarily responsible for formulating the project and defining the outcome of the project. Therefore, every research paper arising out of a sponsored project must have the name of the principal investigator as a co-author, unless there are co-investigators who played the role of the Principal Investigator for the contents of a particular publication.

12. In case of multiple-authored publications, the issue of obtaining informed consent is extremely important. A co-author in such a publication is entitled to include only that portion of the work that he has contributed after getting the written consent of the principal author to that effect. A second co-author of the same publication cannot claim ownership of the aforesaid portion of work. He can include that portion of work in his thesis or publication with proper citation. Verbatim presentation of a large portion of a co-authored publication(s) in the thesis should be avoided. The principal author remains responsible to declare the extent and level of contribution made by the co-authors, if such information is sought by the University. Informed consent is also important for participants in his share of market surveys, and other interviews/surveys etc. as per relevant laws/conventions.
13. Each author of a co-authored document is responsible for the findings, interpretations, and conclusions reported in a research document and has to accept the full responsibility of the results reported, in case of any dispute concerning the publication. The corresponding author has the full and final responsibility for the scientific/scholarly accuracy and ethical compliance, including all the co-authorships (given or not given) in each and every publication.
14. Civic sense and decorum make it mandatory that a research work complies with the law of the country and is not intentionally offensive in nature. Not to exercise "due care" where harmful consequences for the researcher or for others are foreseeable is an offence. While working at high hazardous materials, such as toxic or inflammable substances, or while working at high temperatures, an investigator must take all possible precautionary measures to ensure the safety of humans and assets around the workspace.
15. Decency demands that due respect should be shown to all concerned, including the members of the research group, colleagues, and supervisor(s). Impertinent discriminatory remarks based on caste, creed, gender, racial origin, or age are highly objectionable and should be avoided in any research document.
16. All human achievement must take the responsibility to ensure social well-being and must strive to avert or to mitigate foreseeable risks to the society.
18. Before submission for publication the researcher should do the checking and certify to that effect. If the software rejects the materials on the ground of Plagiarism, Copyright Infringement or Copying, its publication should be ordered to be stopped forthwith.
19. Many faculty members act as reviewers for manuscripts submitted for publication as well as project proposals submitted for financial support. In both cases, they get access to information and ideas which have not yet been published. It is important for them to ensure that this advance access to information is not used by them for their own benefit.

## **11. Supervision**

A supervisor has a role to teach and transfer his knowledge, skill, and research tools to the student and grooming him to develop original thinking and carry out independent research work to become a supervisor in the future. To play the roles effectively, a harmonious relationship needs to be maintained between the two. The period a research student spends with the supervisor should be pleasant, academically stimulating, productive, and mutually satisfying.

In case of co supervisors, they should earn authorship by contribution and not by status or situation of the other going on leave, dying or leaving the organization or the project. It is advisable that co-supervisors are appointed only under special circumstances to be recommended by the School Research Committee such as multi/inter disciplinary research work, retiring/leaving supervisor etc.

Behavioral harmony should be maintained in co-supervision and the situation should not be that one of the supervisors:

- (a). dominates in decisions with regard to the approach to the research question, documentations of the work, and annoyance of the other supervisor; or
- (b). does not actively participate in the process of supervision but claims the same credit/authorship as that of the active supervisor.

Incompatibility between the supervisors may hamper the student's progress. It is necessary that the supervisors are also guided by certain ethical principles to ensure that the student's research progress is not compromised. School Research Committee and Board of Studies of the School may entertain complaints on such issues and arbitrate on such matters as needed.

## **12. Conduct for scholars and supervisors**

A research student should follow the ethical code of conduct given in these regulations and acknowledge the contribution of the supervisor. He should submit a declaration that he shall not indulge (or has not indulged) in any form of research misconduct and shall not Refrain from fouling with other students' equipment, data, and results.

A research supervisor should-

- (i) guide students in areas where they are proficient;
- (ii) spend adequate time on the research work of their students;
- (iii) provide sufficient laboratory, computational, and library facilities to the students;
- (iv) ensure the veracity of data, the validity of analysis, and the interpretation of results;
- (v) give enough freedom to the students to use their own ideas and approaches and motivate them to come out with something new and innovative;
- (vi) insist on communicating research results - interim and final - in conferences and journals;

- (vii) advise the students on the University regulations and guidelines pertaining to research and to the research ethics outlined in this document and other related documents of the University ;
- (viii) ensure that the students do not adopt any unfair means in their research work;
- (ix) instill in students the ideas of research honesty, integrity, and rigour;
- (x) refrain from exploiting the students intellectually, (for example, by demanding a large number of publications before achieving research milestone such as registration or synopsis submission or by publishing a student's work in one's own name without the student as a co-author), emotionally or in any other manner; and
- (xi) maintain a cordial and harmonious relationship with the research students and co-supervisors (if any);

### **13. Role of Administrative Bodies of the University**

(1). The members of the School Research Committees and Boards of Studies of all university schools should:

- (a) advise scholars on new ways of looking at the research problems and their solution methods;
- (b) critically scrutinize the work of scholars and ensure the conformance of the research work to the ethical code of conduct followed by the University and the research community at large;
- (c) Report the cases of research misconduct to the Vice-Chancellor of the University and provide necessary subject expertise to ascertain the truth.

(2). While allocating a new research student to a supervisor School Research Committee/Board of Studies should take into consideration the matching research interest areas and equitable distribution of research supervision possible, and ensure availability of all facilities to the student to carry out the research work.

(3).School Research Committee should-

- a) take periodic stock of the progress of the research work and ensure that the research students benefit from the constructive suggestions of the School Research Committee members;
- b) provide adequate facilities and ensure that every supervisor/school maintains research data and results (duly indexed and securely stored) for the specified period time after a research work comes to an end;
- c) resolve supervisor-supervisor and supervisor-student conflicts; and Report cased of research misconduct to the University Authorities.

(4). The Director (Research and Consultancies) should-

- a) designs research ethics related instructional materials and guide inclusion of these

- topics in research-level subjects; for approval by various Bodies.
- b) publicize contents of this and other related documents widely. In order to enhance awareness on research ethics among the research community of the University.
  - c) provide necessary support to the University in order to enquire and investigate into the reported cases of research misconduct (as per University rules) and implement the decisions, and bring these cases to the notice of the research community while keeping the names of the concerned individuals confidential (maintain statistics).

(5). The University administration should-

- a. develop laboratories and libraries to make the research environment self-sustaining;
- b. take measures to promote technical and presentational skills of research students;
- c. properly deal with reported cases of research misconduct and unethical research practices; and
- d. make available the Research Policy Documents of various bodies and various other guidelines on referencing, copyrights, etc for consultation by scholars.

#### **14. Miscellaneous**

- 1) These regulations will be applicable to published articles and Online Publications.
- 2) Every article/research paper to be published by the faculty should get it cleared from the authorized anti-plagiarism software, to be made available by the University.
- 3) If an article has been published and detected at a later stage, the author gets the articles RETRACTED and the same has been accepted by the publisher only written warning may be issued.
- 4) Magazine/Newspaper/ Published Articles, if found plagiarized, on detection subsequently be retracted and verbal warning be issued.