



9

# NETAJI SUBHAS UNIVERSITY

Estd. Under Jharkhand State Private University Act, 2018

## Research Ethics Policy

*for*  
*Pranjan*  
*5/12/21*

**VICE CHANCELLOR**  
NETAJI SUBHAS UNIVERSITY  
JAMSHEDPUR, JHARKHAND

**Registrar**  
Netaji Subhas University  
Jamshedpur, Jharkhand

**NETAJI SUBHAS UNIVERSITY, JAMSHEDPUR****RESEARCH ETHICS POLICY**

This Policy lays down broad guidelines and norms to be followed to ensure ethical practices in the NetajiSubhasUniversity, Jamshedpur. NetajiSubhas University, Jamshedpur, is a State Private University established under Jharkhand State Private University Act 2018, here in after referred to as the 'University' and abbreviated as NSU. It shall provide facilities for research in several areas of Commerce & Management, Education, Applied Science, Pharmacy, Law, Humanities and other Inter Disciplinary Field for the award of the Degree of Doctor of Philosophy, hereinafter abbreviated as Ph.D .

The University wherever mentioned in the Policy refers to NetajiSubhas University, Jamshedpur, Jharkhand. These guidelines should be required to be read and accepted by every member of University..

Department, wherever mentioned in this Policy refers to all Department of the University.

**1. Introduction:**

Ethics in research is very important as adhering to certain norms promotes the aims inherent in research. The Research Ethics Policy provides broad guidelines for individual behaviour in matters of research conduct: Any violation of basic ethics will affect the value and credibility of the activity being carried out.

**2. Purpose:**

Every departments should establish the mechanism as prescribed in these policy to enhance awareness about responsible conduct of research and academic activities, to promote academic integrity and to prevent plagiarism.

This Research Ethics policy sets out the principles for ethical research and the processes by which researchers should seek ethical approval for their research. It is expected that this policy will be read in conjunction with the relevant subject-specific and professional codes and guidance on ethics and research conduct as well as taking into account all relevant norms.

**3. SCOPE**

This Research Ethics Policy applies to all researchers, and research using University premises and facilities, and/or in the University's name .

This also applies to the work done by any faculty or researchers outside the university, in collaboration with any external expert or institution/organization within the territorial Jurisdiction of India.

**4. Objectives:**

*[Handwritten signature]*  
**VICE CHANCELLOR**  
 NETAJI SUBHAS UNIVERSITY  
 JAMSHEDPUR, JHARKHAND

*[Handwritten signature]*  
**Registrar**  
 Netaji Subhas University  
 Jamshedpur, Jharkhand

The Research Ethics Policy is intended to:

- Ensure all research in the departments follows universally approved protocols of ethics and laws of the land
- To provide guidelines to ensure that collaborative work can be carried out without conflict of interests.
- To safeguard the rights of animals, humans or communities' if part of research. •
- To outline the role expected from mentors (guides) and mentees (scholars)
- Prevent plagiarism;
- Provide the ethical framework within which the ethical review process will operate across campus;
- Direct researchers to adhere to best practices relating to the ethical development, implementation and dissemination of research, creating awareness about responsible conduct of research for a thesis/ dissertation, promotion of academic integrity and prevention of misconduct including plagiarism in academic writing among student, faculty, researcher .
- Establish institutional mechanism through education and training to facilitate responsible conduct of research for a thesis/ dissertation, promotion of academic integrity and deterrence from plagiarism;
- Develop systems to detect plagiarism and to set up mechanisms to prevent 5.

**Awareness Programs and Trainings:**

(a) NSU shall instruct students, faculty, researcher and staff about proper attribution, seeking permission of the author wherever necessary, acknowledgement of source compatible with the needs and specificities of disciplines and in accordance with rules, international conventions and regulations governing the source.

(b) NSU shall conduct sensitization seminars/ awareness programs every semester on responsible conduct of research, writing of thesis/ dissertation, promotion of academic integrity and ethics in education for students, faculty, researcher and staff.

(c) NSU shall:

i. Include the cardinal principles of academic integrity in the curricula of Postgraduate (PG)/Master's degree, PhD etc. as a compulsory course work/module.

ii. Include elements of responsible conduct of research and publication ethics as a compulsory course work/module in Master's and Research degree programmes.

iii. Include elements of responsible conduct of research and publication ethics in Orientation and Refresher Courses organized for faculty and staff members of the NSU

- iv. Train students, faculty, researchers and staff for using plagiarism detection tools and reference management tools.
- v. Establish facility equipped with modern technologies for detection of plagiarism.
- vi. Encourage students, faculty, researchers and staff to register on international researcher's Registry systems.

## 5. Principles:

The University's stance on ethical issues is underpinned by the following key principles:

**Informed consent:** Those involved in research whether as participants or researchers should be informed of the nature and purpose of the research, and any potential benefits, risks, obligations or inconvenience associated with the research before they choose to participate.

**Confidentiality:** Except where explicit written consent is obtained to the contrary, researchers should protect the confidentiality and anonymity of all human participants and their data relating to them at all times.

**Justified:** Researchers should be able to demonstrate that the research they undertake is worthwhile and necessary. They should be able to show that the study will add new knowledge and not simply replicate research that already exists. The value of the new knowledge gained should outweigh the potential disruption of existing systems based on old knowledge and inconvenience caused to those involved in the development and usage of such systems.

**Three Rs:** Research involving animals should aim to conform to the principles of Replacement, Reduction and Refinement.

**Ethical bio-prospecting:** Researching the commercial use of natural resources must be respectful of indigenous territories and cultures, and take account of relevant international agreements.

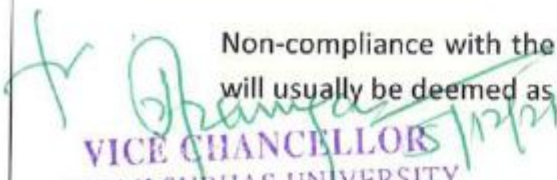
**Independence:** Researchers should not distort research design and/or findings to suit funder requirements.


**Reciprocity:** Research should be based on the creation of outcomes for the common good.

**Accessibility:** Researchers should aim wherever possible to disseminate their findings in the public domain and through learning and teaching roles at the University.

## 6. Research misconduct:

Non-compliance with the Research Ethics Policy, whether deliberate, reckless or negligent, will usually be deemed as research misconduct.

  
 VICE CHANCELLOR  
 NETAJI SUBHAS UNIVERSITY  
 JAMSHEDPUR, JHARKHAND

  
 Registrar  
 Netaji Subhas University  
 Jamshedpur, Jharkhand

**Plagiarism:** Copying information word for word from a source, including cutting and pasting information from an electronic text, without using quotation marks and giving proper acknowledgment of the source or providing a proper citation.

- Paraphrasing, or putting into one's own words, the text of a source without providing proper acknowledgment of the source or providing a proper citation. Paraphrasing extensive portions of another source, even with citation.
- Presenting any work or part of a work or assignment that has been prepared by someone else as one's own.
- Reproducing, without proper citation, any other form of work of another person such as a graph, experimental data or results, laboratory reports, a proof, or a problem solution, in full or in part.

**Fabrication:** Fabrication means falsifying or misusing data including presenting falsified data in a paper, manuscript, or presentation and making up a source for a citation.

**Cheating:** Cheating is the use or attempt to use of any unauthorized assistance in any academic exercise.

**Impeding fair and equal access to the educational and research process:** including tampering with, damaging, impeding access to academic resources.

**Misrepresentation :** includes Falsifying, misusing, or tampering with information such as test scores, transcripts, letters of recommendation or other materials required for admission to and continued enrollment and access in the University's programs or facilities.

- Altering, forging or misusing academic records or any official University form regarding self or others.
- Presenting false information at an academic proceeding or intentionally destroying evidence important to an academic proceeding.
- Making a bad faith report of an academic integrity violation.
- Offering bribes to any University representative in exchange for special favors or consideration in an academic proceeding.

**Facilitation:** Facilitation occurs when one knowingly or intentionally assists another person in committing a violation of any of the previous sections of Research Ethics policy.

**Role of whistleblowers:** Individuals who complain about unethical practices may find themselves in a difficult or sensitive position. A negative impact on their career is one among many possible risks following their actions. It is important to safeguard the interests of the whistleblowers against any retaliatory repercussions.

*Pranjal*  
**VICE CHANCELLOR**  
 NETAJI SUBHAS UNIVERSITY  
 JAMSHEDPUR, JHARKHAND

**Registrar**  
 Netaji Subhas University  
 Jamshedpur, Jharkhand

On the other hand, deliberately making false accusations is itself highly unethical and must be dealt with

## 7. Conduct of Research:

**Ethical responsibilities:** In experimental research projects there is usually a Principal Investigator (PI) mostly along with a set of co-PIs who lead the project. They should specially ensure the supervision and appropriate mentoring of researchers. Research supervisors should display the highest ethical standards when dealing with researchers and students. Potentially troublesome issues should be identified and dealt with as soon as possible with fairness and clarity.

Despite the above, all individuals participating in a research project are responsible for their own actions and should make sure these are consistent with, and uphold, high ethical standards. Unethical behavior on their part cannot be justified by the claim that they were following a mentor's instructions.

**Data management:** Steps must be taken to retain all research materials gathered (including physical and visual data), in a safe and confidential space. Particularly with experimental work, defending the publication requires properly recorded raw data to be produced. Its absence will typically be treated as suspicious. A well maintained lab notebook provides not only a permanent record of results and protocols for future publications, but also serves as critical evidence for a claim of priority in the case of patent applications and as proof of adherence to appropriate ethical standards. Tampering with or manipulating records in a laboratory notebook is unacceptable. Through the informed consent process, participants should be informed about how study data should be managed and how long it will be retained.

**Ownership:** Physical materials including lab notebooks, data sets etc. arising out of research performed at this University will remain the property of University unless explicitly decided otherwise. The same holds for software and processes having commercial value.

**Responsible use of funds:** Efforts should be made to ensure reasonable and efficient use of resources following transparent and fair processes. Researchers must not use funding for purposes other than that specified in their grant award.

**Experiments involving animals:** All experiments that involve use of animal and human research subjects require ethical permission and approval.

**Safety and environment:** Research activity must not endanger other people or the environment in any way. The University expects all its members to incorporate safety and environmental concerns into their research practices. Environmental guidelines, regulations and laws must be followed and appropriate licenses/permits and clearances obtained for the handling, storage or disposal of hazardous material. Within experimental laboratories

the University and Researchers have joint responsibility for ensuring that the work area is safe, and that research practices of the group do not endanger the research team, visitors or the public.

**Publication of research findings:** Researchers must share all research findings with appropriate parties, unless major confidentiality issues arise and subject to the guidelines mentioned above or contractual provisions.

When publishing research all reasonable steps must be taken to ensure that published reports, statistics and public statements about research activities and performance are complete, accurate and unambiguous. Researchers are responsible and accountable for the accuracy and completeness of their reports.

The nature of financial support must be acknowledged in all reports of research outcomes, both to acknowledge the support and ensure transparency.

The University is committed to adhering to the expectations of regulatory bodies relating to open access data of publicly funded research and expects all researchers to duly comply.

All researchers who have contributed to the development of results and dissemination should be appropriately acknowledged in accordance with the particular publication's definition of authorship.

#### **Similarity checks for exclusion from Plagiarism:**

The similarity checks for plagiarism shall exclude the following:

- i. All quoted work reproduced with all necessary permission and/or attribution.
- ii. All references, bibliography, table of content, preface and acknowledgements.
- iii. All generic terms, laws, standard symbols and standards equations.

#### **Note:**

The research work carried out by the student, faculty, researcher and staff shall be based on original ideas, which shall include abstract, summary, hypothesis, observations, results, conclusions and recommendations only and shall not have any similarities. It shall exclude a common knowledge or coincidental terms, up to fourteen (14) consecutive words.

### **8. Regulatory norms: implementation, handling policy violation**

#### **Curbing Plagiarism**

a) NSU shall declare and implement the technology based mechanism using appropriate software so as to ensure that documents such as thesis, dissertation, publications or any other such documents are free of plagiarism at the time of their submission.

b) The mechanism as defined at (a) above shall be made accessible to all engaged in research work including student, faculty, researcher and staff etc.

- c) Every student submitting a thesis, dissertation, or any other such documents to the NSU shall submit an undertaking indicating that the document has been prepared by him or her and that the document is his/her original work and free of any plagiarism.
- d) The undertaking shall include the fact that the document has been duly checked through a Plagiarism detection tool approved by the NSU.
- e) NSU shall develop a policy on plagiarism and get it approved by its relevant statutory bodies/authorities. The approved policy shall be placed on the homepage of the NSU website.
- f) Each supervisor shall submit a certificate indicating that the work done by the researcher under him / her is plagiarism free.
- g) NSU shall submit to INFLIBNET soft copies of all Master's, Research program's dissertations and thesis within a month after the award of degrees for hosting in the digital repository under the "Shodh Ganga e-repository".
- h) NSU shall create Institutional Repository on institute website which shall include dissertations / thesis / papers /publications and other in-house publications.

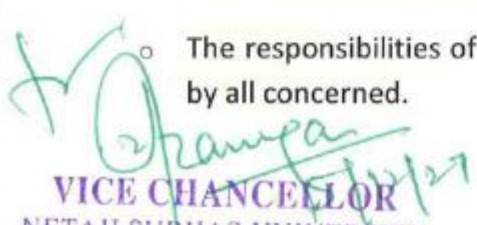
**Handling policy violations:** The University should employ formal mechanisms and procedures for dealing with allegations of research misconduct, as well as any other kind of misconduct as described in this document, against its staff and students based on the following fundamental principles:


**Corrective action:** If a publication is found to contain plagiarism or manipulated data, the University must ensure that a correction or retraction is published in the same place as the original paper. On the administrative side, if a decision is found to have been made based on a bias or conflict of interest, then it should be overturned and the process repeated if necessary. In general, every effort must be made to ensure that an unethical action does not succeed in propagating false knowledge or incorrect decisions.

**Punitive action:** This covers not just misconduct involving data and publication, but also harassment, discrimination and other issues covered in this Policy. Punitive action communicates not just to the violator, but also to society at large, that unethical behavior is unacceptable. The degree of punishment should be carefully calibrated in proportion to the offence. First-time offenders, particularly if the offence is minor or unintentional and the offender is inexperienced, may be let off with a warning. Serious, multiple or repeat offences must be treated with utmost seriousness. Large-scale ethical violations should be met with severe disciplinary action and, if appropriate, dismissal.

NSU should endorse the following principles when implementing disciplinary procedures:

- The responsibilities of those dealing with the allegation should be clear and understood by all concerned.

  
**VICE CHANCELLOR**  
 NETAJI SUBHAS UNIVERSITY  
 JAMSHEDPUR, JHARKHAND

  
**Registrar**  
 Netaji Subhas University  
 Jamshedpur, Jharkhand



- Measures should be in place to ensure an impartial and independent investigation and to ensure that interests of those dealing with the allegation do not conflict with these procedures.
- The NSU should safeguard the rights to confidentiality of the concerned parties.
- All concerned parties should be informed of the allegation at an appropriate stage in the proceedings.
- Anyone accused of misconduct should have the right to respond.
- NSU should ensure that no employee who makes an allegation in good faith against another employee shall suffer a detriment, but equally that disciplinary procedures are in place to deal with malicious allegations.
- The allegation should be dealt with in a fair and timely manner.
- Proper records of the proceedings should be kept.
- The outcome should be made known as quickly as possible to all concerned parties.
- Anyone found guilty of misconduct should have the right to an appeal.
- Appropriate sanctions and disciplinary procedures should be in place for cases when the allegation is upheld.
- If appropriate, efforts should be made to restore the reputation of the accused party if the allegation is dismissed.

#### **9. Detection/Reporting/Handling of Plagiarism:**

If any member of the academic community suspects with appropriate proof that a case of plagiarism has happened in any document, he or she shall report it . Upon receipt of such a complaint or allegation the Research and Development cell shall investigate the matter .

The authorities of NSU can also take suo-motu notice of an act of plagiarism and initiate proceedings. All such cases will be investigated by the University.

#### **10. Departmental Academic Integrity Panel (DAIP)**

- i. All Departments in NSU shall notify a DAIP whose composition shall be as given below:
  - a. Chairman Chairperson – Dean of concerned Faculties.
  - b. Member - Senior academician from outside the any other department of NSU, to be nominated by the Pro -Vice Chancellor with consultation with Vice Chancellor..
  - c. Member - A person well versed with anti plagiarism tools, from within or outside the department to be nominated by the Vice Chancellor on the recommendation of the Head of the Department.

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

- ii. The University shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff.
- iii. The University shall have the power to assess the level of plagiarism and recommend penalty(ies) accordingly.
- iv. The committee constituted for this purpose after investigation shall submit its report with the recommendation on penalties to be imposed to the Vice Chancellor within a period of 45 days from the date of receipt of complaint / initiation of the proceedings.

#### 11. University Academic Integrity Panel (UAIP)

- i. NSU shall notify a UAIP whose composition shall be as given below:
  - a. Chairman - Pro-VC nominated by the Vice Chancellor.
  - b. Member – A Senior Academician other than Chairpersons of DAIP, to be nominated by the Vice Chancellor.
  - c. Member - One member nominated by the Vice Chancellor (also to act as member-secretary)
  - d. Member - A person well versed with anti-plagiarism tools, to be nominated by the Vice Chancellor

The Chairman of UAIP shall be a different person from those of DAIP Chairpersons. The tenure of the Committee members including its Chairman shall be three years. The quorum for the meetings shall be 3 out of 4 members (including Chairman).

- ii. The UAIP shall consider the recommendations of DAIP.
- iii. The UAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the students, faculty, researcher and staff .
- v. The UAIP shall have the power to review the recommendations of DAIP including penalties with due justification.
- vi. The UAIP shall send the report after investigation and the recommendation on penalties to be imposed by Vice Chancellor for further necessary action within a period of 45 days from the date of receipt of recommendation of DAIP/complaint / initiation of the proceedings.
- vii. The UAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.

#### 12. Penalties:

Penalties in the cases of plagiarism shall be imposed on students pursuing studies at the level of Master's and Research degree programs and on researcher, faculty & staff of the

NSU only after academic misconduct on the part of the individual has been established without doubt, when all avenues of appeal have been exhausted and individual in question has been provided enough opportunity to defend himself or herself in a fair or transparent manner.

**Penalties in case of plagiarism in submission of thesis and dissertations:**

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

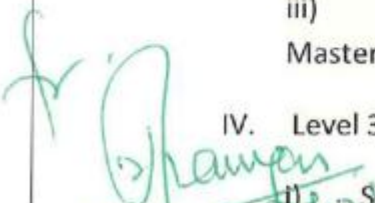
- i. Level 0: Similarities upto 10% - Minor Similarities, no penalty.
- ii. Level 1: Similarities above 10% to 40% - Such students shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.
- iii. Level 2: Similarities above 40% to 60% - Such student shall be debarred 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: Penalty on repeated plagiarism- Such student shall be punished for the plagiarism of one level higher than the previous level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative.

Note 2: Penalty in case where the degree/credit has already been obtained - If plagiarism is proved on a date later than the date of award of degree or credit as the case may be then his/her degree or credit shall be put in abeyance for a period recommended by the UAIP and approved by the Vice Chancellor.

**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 the manuscript.
- III. Level 2: Similarities above 40% to 60%
  - i) Shall be asked to withdraw the 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, Ph.D. Student/scholar for a period of two one yearsyear.
- IV. Level 3: Similarities above 60%
  - i) Shall be asked to withdraw the manuscript.

  
**VICE CHANCELLOR**  
 NETAJI SUBHAS UNIVERSITY  
 JAMSHEDPUR, JHARKHAND

  
**Registrar**  
 Netaji Subhas University  
 Jamshedpur, Jharkhand

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

Note 1: Penalty on repeated plagiarism - Shall be asked to withdraw manuscript and shall be punished for the plagiarism of one level higher than the lower level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative. In case level 3 offence is repeated then the disciplinary action including suspension/termination as per service rules shall be taken by the NSU.

Note 2: Penalty in case where the benefit or credit has already been obtained - If plagiarism is proved on a date later than the date of benefit or credit obtained as the case may be then his/her benefit or credit shall be put in abeyance for a period recommended by UAIP and approved by the Vice Chancellor

Note 3: NSU shall create a mechanism so as to ensure that each of the paper publication/thesis/dissertation by the student, faculty, researcher or staff of the NSU is checked for plagiarism at the time of forwarding/submission.

Note 4: If there is any complaint of plagiarism against a Head of the Department at NSU, the matter shall be dealt with by the UAIP and a suitable action, in line with these regulations, shall be taken by the Vice Chancellor after approval by the Board of Management.

Note 5: If there is any complaint of plagiarism against the Head of Department the Chairperson or any member of DAIP or UAIP/or any of the Authorities of the University at the University level the matter shall be dealt with by the Standing Committee, and a suitable action, in line with these regulations, shall be recommended by the UAIP taken by the Vice Chancellor after and being approved by the Competent Authority/Board of Management..


Note 6: If there is any complaint of plagiarism against any member of DAIP or UAIP, then such member shall excuse himself / herself from the meeting(s) where his/her case is being discussed/investigated.

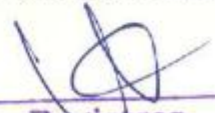
### 13. Removal of Difficulty:

The NSU reserves the right to remove difficulty/difficulties in the course of implementations of these Regulations in consultation with the Deans of Faculties. Interpretation to any provision of these rules as given by the Pro-Vice Chancellor shall be final and binding to all.

If there is any contradiction in any of policy of the University, a later policy may prevail over the earlier policy.

### 14. Amendment

*for*  
  
**VICE CHANCELLOR**  
 NETAJI SUBHAS UNIVERSITY  
 JAMSHEDPUR, JHARKHAND

  
**Registrar**  
 Netaji Subhas University  
 Jamshedpur, Jharkhand

The University shall review its ethics policy from time to time so as to amend the policy whenever required to suit to the national level policies / directives issued by appropriate apex bodies.

**15.. Publication of the Research Ethics Policy:**

The University shall to publicize the Research Ethics Policy by circulating among the research guides / supervisors, registered research candidates, teaching staff of the University as well as published in the University Website in a prominent manner so as to attract the attention of the interested persons.

THANK YOU

*frj*  
*Pranjan*  
*5/12/21*  
**VICE CHANCELLOR**  
NETAJI SUBHAS UNIVERSITY  
JAMSHEDPUR, JHARKHAND

*[Signature]*  
**Registrar**  
Netaji Subhas University  
Jamshedpur, Jharkhand