VINAYAKA MISSION'S KIRUPANANDA
VARIYAR MEDICAL
COLLEGE & HOSPITALS

Vinayaka Mission's Kirupananda
VARIYAR MEDICAL COLLEGE AND HOSPITALS,
SALEM – 636 308.
A PG Teaching Institution

HAND BOOK ON
INSTITUTIONAL CODE OF CONDUCT
FACULTY, STUDENTS, STAFFS AND ADMINISTRATORS

VINAYAKA MISSION'S
RESEARCH FOUNDATION
(Deemed to be University under section 3 of the UGC Act 1956)

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A HAND BOOK ON CODE OF CONDUCT FOR

FACULTY, STUDENTS, NON-TEACHING STAFFS AND ADMINISTRATORS

VINAYAKA MISSION'S
RESEARCH FOUNDATION
DEEMED TO BE UNIVERSITY
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PREFACE

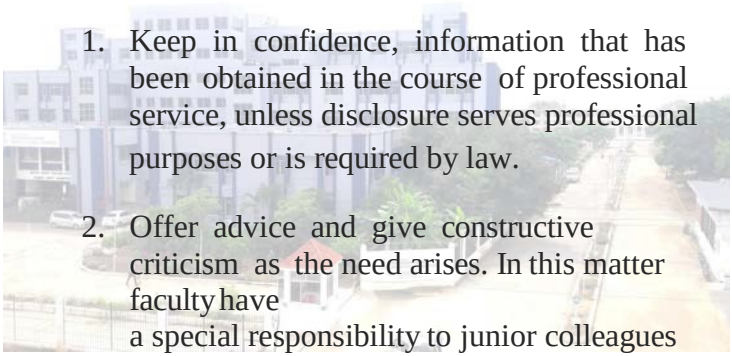
The code of conduct for Students, Teachers, & Non-teaching staff should be characterized by integrity. The code of conduct has prepared to know the rules and regulations of the Institute to the Students, Teachers & Non-teaching staff. It is expected that all students, teaching, nonteaching staff and administrators should strictly follow the code of conduct mentioned in this document.

CODE OF CONDUCT FOR FACULTY

Vinayaka Mission's Kirupananda Variyar Medical College and Hospitals, Salem has derived and drafted the following code of conduct for the faculty.

All faculty members are expected to know and follow the outlined code of conduct for their profession.

A.Commitment to the Profession



1. Keep in confidence, information that has been obtained in the course of professional service, unless disclosure serves professional purposes or is required by law.
2. Offer advice and give constructive criticism as the need arises. In this matter faculty have a special responsibility to junior colleagues and postgraduates.
3. Open confrontation of whatever nature must be avoided.
4. Faculty should not allow other employment if any to impair the effectiveness of professional service in the institution.
5. All records must be maintained accurately and up to date including an individual log books.

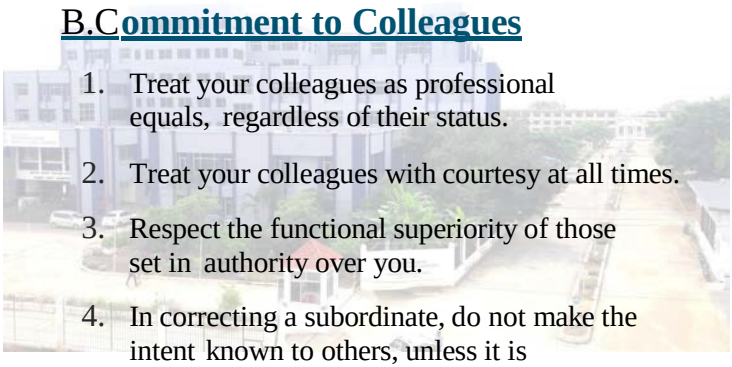
6. The meeting of deadliness must be given priority, and thoroughness in the preparation of required documents is crucial.

7. Professional growth is absolutely necessary and must be given priority.

8. Full working time must be devoted to vocation; teaching effort and time task are essential for success.

9. Faculty must not indulge in private or public pursuits which would bring the profession
to disrepute.

B.Commitment to Colleagues



1. Treat your colleagues as professional equals, regardless of their status.

2. Treat your colleagues with courtesy at all times.

3. Respect the functional superiority of those set in authority over you.

4. In correcting a subordinate, do not make the intent known to others, unless it is necessary.

5. Be impartial in your decisions with members of staff.

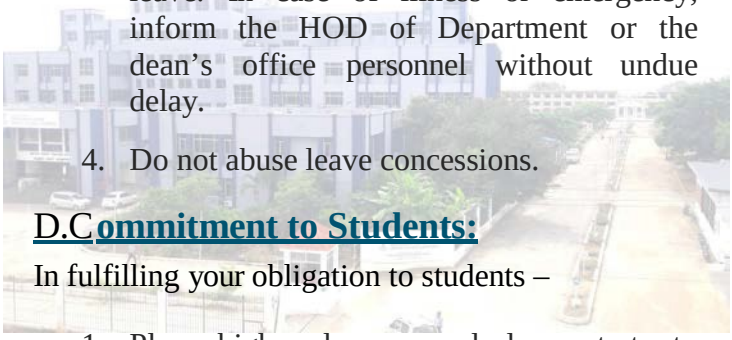
6. Do not encourage divisive or fractious behaviour in your department.

7. Do not discriminate on grounds of colour, creed, religion or caste.

8. Do not deliberately distort evaluation of colleagues.

C. Attendance, Leave and Absence

1. Be regular and punctual. Attendance should be faithfully recorded (Biometric).
2. The Head of the department has the prerogative of temporarily assigning a member of staff to teach a class in the absence of a teacher, providing that the member of staff is professionally and academically able to so do.
3. Prior approval as per institution protocol should be obtained before proceeding on leave. In case of illness or emergency, inform the HOD of Department or the dean's office personnel without undue delay.
4. Do not abuse leave concessions.



D.Commitment to Students:

In fulfilling your obligation to students –

1. Place high value on and demonstrate to students commitment for excellence in work, manners and achievement.
2. Encourage students to practice respect for other and to be thoughtful and helpful at all times.
3. Encourage students to exercise discipline.
4. Help students to develop a sense of responsibility, selfreliance and independence.

5. Encourage students to show respect for all forms of duly constituted authority.
6. Demonstrate patriotism and appreciation of freedom with responsibility.
7. Encourage students to show respect and appreciation for personal and public property.
8. Strive for consistency, firmness and understanding in disciplinary dealings with pupils.
9. Help students to understand and appreciate that the development of acceptable attitudes and standards is more important than blind obedience to rules.
10. Strive to develop mutual courtesy and respect between teachers and pupils.
11. Deal justly with each student and treat each with courtesy and consideration.
12. Work towards developing and promoting good human relations and qualities.
13. Do not encourage undue familiarity with students.
14. Do nothing by preceptor example likely to corrupt student.
15. Stimulate the spirit of enquiry, the acquisition of knowledge and understanding and the thoughtful formulation of worthy goals.

16. Respect the confidentiality of information about a student or his/her home and withhold it, unless its release serves a professional purpose benefits the student, or is required by law.

17. Undertake to constantly pursue the improvement of learning facilities and opportunities.

18. Make responsible efforts to protect students from conditions harmful to health and safety.

19. Do not discriminateon grounds of ability, caste, colour or creed or religion.

20. Co-operate, as far as your professional obligation will allow you, in securing the wishes of parents for their children.

21. Seek to foster the interest of parents in the progress of their children.

E. Commitment to the Community

The teaching profession occupies a position of public trust. Adhere to any responsible pattern of behavior accepted by the community for professional persons.

1. Perform the duties of citizenship, and participate in community activities with due consideration.

2. Respect the community in which you are employed and be loyal to the community and nation.

3. Work to improve education in the community and to strengthen the community's moral, spiritual and intellectual life.

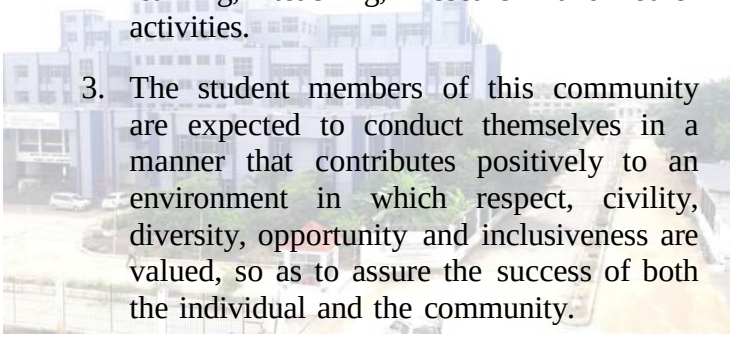
4. Co-operate with approved agencies concerned with student welfare.
5. Conduct professional business through recognized educational and professional channels.

6. Do nothing in your teaching, calculated to instill contempt or disobedience to the laws of the land.

CODE OF CONDUCT FOR STUDENT

1. The Student Code of Conduct sets out the standards of conduct expected of students. It holds individuals and groups responsible for the consequences of their actions. Failure to fulfill these responsibilities may result in the withdrawal of privileges or the imposition of sanctions.

2. The Institution is a community of students, faculty and staff involved in learning, teaching, research and other activities.



3. The student members of this community are expected to conduct themselves in a manner that contributes positively to an environment in which respect, civility, diversity, opportunity and inclusiveness are valued, so as to assure the success of both the individual and the community.

4. The Student Code of Conduct reflects a concern for these values and tries to ensure that members of the Institution/University and the public can make use of and enjoy the activities, facilities and benefits of the Institution without undue interference from others.

When does the code apply?

1. The Student Code of Conduct applies to any student enrolled in UG/PG program at the Institution/University including exchange students.

2. The Code applies to conduct that occurs on the campuses or near the premises of Vinayaka Mission's Kirupananda Variyar Medical College and Hospitals, Salem.

3. It also applies to conduct that occurs elsewhere if it is related to Institution sponsored programs or activities (such as travelling athletic teams) or if it occurs in the context of a relationship between the student and a third party that involves the student's standing, status or academic record at the Institution/University.

4. It does not apply to conduct that is assigned to another disciplinary body at the Institution/University, allegations regarding a student's failure to meet standards of professional conduct, or conduct committed by a student solely in his or her capacity as an employee of the Institution/University.

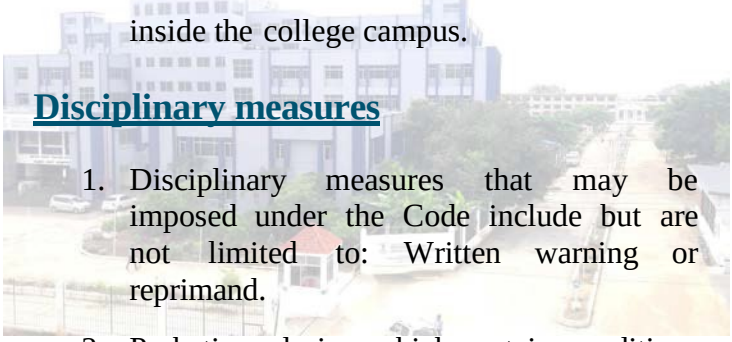
Prohibited conduct

1. Assaulting, harassing, intimidating,or threatening another individual or group is a crime.
2. Endangering the health or safety of others.
3. Stealing, misusing, destroying, defacing or damaging Institution property or property belonging to someone else.
4. Disrupting Institution activities.
5. Using Institution facilities, equipment, services or computers without authorization.
6. Making false accusations against any member of the Institution.
7. Supplying false information to the Institution/ University or forging, altering or misusing any Institution document or record.
8. Using, possessing or distributing illegal drugs.
9. Violating government liquor laws or Institution alcohol policies.
10. Ragging of any kind.
11. Encouraging, aiding, or conspiringin any prohibited conduct.

Failing to comply will be met with a disciplinary measure or disciplinary measures imposed under the procedures of this Code.

Dress Code

1. Formal wear for both girls and boys.
2. Girls should tie their hair up & wear cut shoes; avoid bracelets, finger rings, anklets & flowers.
3. Nails should be trimmed & not painted.
4. Boys should wear formal clothes (avoid fluorescent and flashy colored pants/ Jeans/Shorts/T-shirts) with black or brown shoes. Hair should be trimmed & boys should be clean shaven (face).
5. Half sleeved white coat should be worn inside the college campus.



Disciplinary measures

1. Disciplinary measures that may be imposed under the Code include but are not limited to: Written warning or reprimand.
2. Probation, during which certain conditions must be fulfilled and good behavior must be exhibited.
3. Payment of costs or compensation for any loss, damage or injury caused by the conduct
4. Issuance of an apology, made publicly or privately.
5. Loss of certain privileges.

6. Restriction or prohibition of access to, or use of, Institution facilities, services, activities or programs.
7. Fines or loss of fees.
8. Relocation or exclusion from hostel,
9. Suspension.
10. Expulsion.

CODE OF CONDUCT FOR NON- TEACHING STAFF

1. Every staff members employed in the Institute shall discharge his/her duties efficiently and diligently as per the rules and regulations laid by the Vinayaka Mission's Research Foundation, Deemed to be University, Salem.

2. All Staff members should display the highest possible standards of professional behaviour.

3. All Staff members should be punctual and discipline towards their work.

4. Every Staff members shall maintain the appropriate levels of confidentiality with respect to student and staff records and other sensitive matters.

5. Every Staff members should cooperate with students, colleagues & superiors.

6. All staff members should maintain the image of the institute through standards of dress, general courtesy, etc.

7. All the staff members should respect for the rights and opinions of others.

8. Every staff members should follow all norms and job details assigned by the Management, University officials, Head of

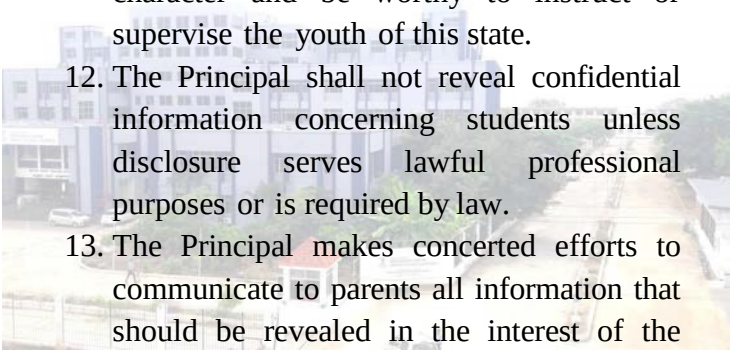
the Institution and Administrators from time to time with full dedication.

9. All Staff members must refrain from any form of harassment or unlawful discrimination based on existing legislative norms relating to gender/sexuality/age/marital status. Violations of code of conduct by the Teaching & Non-teaching staff are subject to Disciplinary action, Show Cause Notice, Memo, Enquiry Committee, Transfer to any other Institute , Suspension, Termination etc or any other action as per the Competent Authority.

CODE OF CONDUCT FOR ADMINISTRATORS

1. Principal should make a conscious effort to be fair to personnel and students.
2. Principal should unbiased to Faculty, staff, and students and need to know that they will be treated fairly when you make a decision. 2. Principal must apply honesty in his/her job. They should never directly lie to anyone. They must never withhold vital information that should be made public.
3. The Principal assumes responsibility and accountability for his or her performance and continually strives to demonstrate competence.
4. The Principal endeavors to maintain the dignity of the profession by respecting and obeying the law, and by demonstrating personal integrity.
5. Principal should maintain professional boundaries.
6. Train teachers to be responsible for their actions.
7. Understand that you and your teachers are accountable for your actions 24 hours a day, seven days a week.

8. The Principal shall not knowingly misappropriate, divert, or use monies, personnel, property, or equipment committed to his or her charge for personal gain or advantage.
9. The Principal shall not submit fraudulent requests for reimbursement, expenses, or pay.
10. The Principal shall not fake records, or direct or force others to do so.
11. The Principal shall be of good moral character and be worthy to instruct or supervise the youth of this state.
12. The Principal shall not reveal confidential information concerning students unless disclosure serves lawful professional purposes or is required by law.
13. The Principal makes concerted efforts to communicate to parents all information that should be revealed in the interest of the student.



MONITORING COMMITTEE FOR CODE OF CONDUCT

(FACULTY,STUDENTS, STAFFS AND ADMINISTRATORS)

S. No	Name	Designation	E-Mail
1	Prof.Dr. Deepti Shastri,	Dean,	9842724197 dean.vmkvmc@vmu.edu.in
2	Prof.Dr. K. Ezhil Vendhan	Medical Superintendent,	9655218468 ms.vmkvmc@vmu.edu.in
3	Prof.Dr. S.R. Rangabhasyam	Deputy Dean,	98941 87784 dydean.vmkvmc@vmu.edu.in
4	Prof.Dr. E.M.J. Karthikeyan,	Director, Hospital Development Committee	9842256564 emjkarthik@yahoo.co.in
5	Prof.Dr. S. Senthil Priya	Dy. Medical Superintendent,	8300142244 senthilpriya2000@gmail.com
6	Dr. C. Arul Murugan	Academic Coordinator Final MBBS-Part-2	9710919719 dr.arulp@gmail.com
7	Prof. Dr. S. Sangeetha	Academic Coordinator Final MBBS-Part-1	9865954756 balamurugan.sangeetha@rediffmail.com
8	Prof. Dr. V. Sivasankari,	Academic Coordinator, II-MBBS	9443515035 drvsivasankari@gmail.com
9	Dr. R. Sudha	Academic Coordinator, I-MBBS	9894401792
10	Dr. V. Selvam	Coordinator-IQAC,	9443346831 iqac.vmkvmc@vmu.edu.in

SCHEDULE FOR AWARENESS PROGRAMON CODE OF CONDUCT

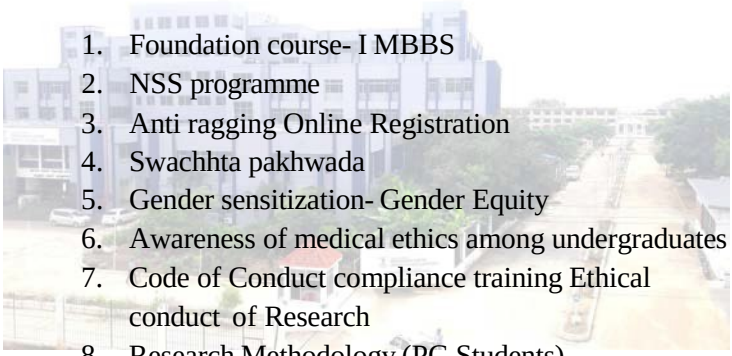
Stake Holders	Month	Name of the programme	Conducted by
Faculty	July - August	Faculty Induction Programme	MEU IQAC
		Code of Conduct	
		Professional Ethics	
		Gender Equity & Human values	Internal Complaints Committee
		Standard Operating Procedure – VMKVMC&H	Hospital Development Committee
Students	August - September	Foundation Course	MEU
		NSS	NSS Unit
		Prevention of Anti Ragging	Anti Ragging Committee
		Anti Ragging Online Registration	Anti Ragging Committee
		Gender Equity & Human Values	Internal Complaints Committee
		Professonal Ethics	MEU IQAC
		Awareness on Green Campus	Campus Environmental Committee
Non - Teaching	October - November	Rules & Regulations	IQAC
		Service Rules	IQAC
		Gender Equity & Human values	Internal Complaints Committee
		Biomedical Waste Management	Hospital Infection Control Committee
Administrators	November - December	Standard Operating Procedure – VMKVMC&H	Hospital Development Committee

Responsibilities of Monitoring Committee:

Responsible for the effective functioning and overall monitoring of all the programme related to UG and PG students.

To advise the various institute level committees and corroborate on the decisions in facilitating the implementation process related to student care and satisfaction etc.

To facilitate and organizing various programme in connection with co-curricular activities to disseminate the following area



1. Foundation course- I MBBS
2. NSS programme
3. Anti ragging Online Registration
4. Swachhta pakhwada
5. Gender sensitization- Gender Equity
6. Awareness of medical ethics among undergraduates
7. Code of Conduct compliance training Ethical conduct of Research
8. Research Methodology (PG Students)
9. Gender Equity
10. Orientation Programme on Human Ethics
11. Awareness programme on Code of Conducts to Teachers
12. Awareness programme on Code of Conducts to Staffs To disseminate and monitor information during the implementation process that must be action oriented and achieved within the given timeline

Leave Rules

Teaching Staffs

Leave Type	No of Days in year	Who is eligible & what is the rule?
Casual Leave	**12 days**	All staff are eligible from the date of joining
Medical Leave	**12 days**	Should be a confirmed staff on the rolls of the Institution. Can be availed while sick and supported with a valid medical certificate.
Maternity Leave	**26 weeks**	Should be a confirmed staff on the rolls of the institution. During probationary period no Maternity leave is available and it shall be only on loss of pay. Restricted to two confinements only.
Vacation Leave	**Summer 20 days Winter 10days**	Should be a confirmed staff on the rolls of the institution.
Compensatory Leave in lieu of Vacation Leave	**20 days**	Should be a confirmed staff on the rolls of the institution. Eligible - Staff from Clinical Departments of Medical, Dental and Homoeopathy up to a maximum of 20 days.

Other Leaves (Teaching Staffs)

Leave Type	No of Days in year	Who is eligible & what is the rule?
Extraordinary Leave on LOP	**No limit**	Should be confirmed staff on the rolls of the institution A staff member may be granted Extra-ordinary leave on loss of pay (EOL) to the extent required depending upon the circumstances. However, if the University requires the services, the staff member should rejoin duty within 3 months of the letter dispatched from the University.
Study/ Sabbatical Leave	**36 months**	Should be a confirmed staff on the rolls of the institution. Should have spent at least 2yrs in service in the institution. Leave without salary for pursuing higher studies during the Sabbatical leave period. He/She has to execute a bond upon resuming their resuming their services for a period of 3 years. Otherwise he/she shall resign from current position to proceed for higher studies without a bond.
Special leave	**15 days**	Special Leave can be availed to attend seminars, workshops, training programs, conferences and examination duty to other universities providing proper documentary proof to the Heads of the institutions. Eligible for all staff from Day one.
Marriage Leave	**15 days**	Should be a confirmed staff on the rolls of the institution. Marriage Leave can be availed only once in service for his/her marriage.

General Guidelines for Research & Ethics Committee

1. Individual faculty Research proposal should be given in the as per guidelines.
2. Detailed study protocol (methods) as per ICMR guidelines should be given.
3. Scientific Review of the proposal to be done by HOD & one professor of the respective department / subject and Dean & Medical Superintendent.

   Medical Education papers are to be reviewed by two Medical Education Unit co-ordinators and Dean & Medical Superintendent. Faculty doing Research on Medical Education should be a Reader / Professor and should have attended at least two Medical Education Unit workshop in which one in other Institution.
4. Institutional Ethical Committee (IEC) approval should be obtained along with the informed consent of the patients in case of surgical intervention including withdrawal of blood for research purposes.

5. Research Committee / IRB (Institutional Review Board) will decide the funding of the project, monitor the research of all the departments and conduct Research Methodology workshop.

Ethics Committee Guidelines

Instruction to Principal Investigators

1. In Experiment on human / patients **Informed Consent form** in local language to be filled by each patient.

2. Inform about the study to the patient through P**atient information sheet**.

3. **CRF (Case Report Form) or patient proforma** should be prepared for each patient.

4. Documents to be kept for at least 3 year after completion of study.

5. Synopsis to typed and given.

6. During Ethical Committee meeting you are request to present briefly.

7. A statement describing any compensation for study participation (including expenses and access to medical care) to be given to research participants.

8. **Protocol submitted as per ICMR guidelines :**
   - 10 copies of research protocol to submitted in case of non interventional studies.
   - 10 copies of research protocols to submitted in case of human studies and interventional studies
     - To be submitted before 10 days of meeting.

9. Check list
    1. Information sheet
    2. Protocol 10 copies
    3. Synopsis summary 1 page
    4. Informed consent form
    5. Patient information sheet
    6. Patient proforma
    7. Funds

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RESEARCH PROPOSALS / SCIENTIFIC PAPER PRESENTATIONS

INFORMATIONFORMAT(FACULTY)

1. NAME OF THE DEPARTMENT :
2. TITLE OF THE PROJECT :
3. TYPE OF STUDY :
4. NAME OF PRINCIPAL AUTHORS / RESEARCHER & QUALIFICATION

PRINCIPAL AUTHOR	CO-AUTHOR (S)	STUDENTS ASSOCIATES	GUIDE	PROJECTED EXPENDITURE	GRAND		PERIOD OF STUDY	
					SELF FUND	EXTERNAL FUND	YEARS	MONTHS

5. EARLIER PAPERS BY PRINCIPAL AUTHOR, IF ANY.

TITLE	YEAR OF PUBLICATION	INDEXED / NOT INDEXED	REFERRED JOURNALS	GRANTS / SUPPORTS & IT TYPE

6. ETHICAL ISSUES, IF ANY :

KINDLY RESPOND TO THE FOLLOWING QUESTIONS :

a. WHY DO YOU UNDERTAKE THIS STUDY ?
b. THE PRACTICABILITY OF THE STUDY.
c. WHAT IS TIME FRAME AND RESOURCE OPTIMIZATION.
d. WHAT ARE THE EXPECTED FINDINGS ?
e. WHAT IS THE IMPACT OF THE STUDY IN GENERAL?
f. POSSIBILITY OF INDUSTRY CO-ORDINATION. COMMENT.
g. FEASIBILITY OF UPGRADATION PROCESS FOR ITS QUALITY AND PRESENTABILITY IN NATIONAL / INTERNATIONAL FORUM.

Signature of Principal Authour Co-author Student associates

Signature of Scientific Review Committee members :

1. HOD
2. Professor
3. Medical Superintendent
4. Dean

Ethical Committee comments Signature of chairperson

Ethical committee

SUBMISSION OF APPLICATION (Faculty – ICMR Guidelines)

The researcher should submit an application in a prescribed format along with the study protocol as prescribed in SOP of IEC concerned. The protocol should include the following : -

1. The title with signature of Principal Investigator (PI) and Coinvestigators as attestation for conducting the study.
2. Clear research objectives and rationale for undertaking the investigation in human participants in the light of existing knowledge.
3. Recent curriculum vitae of the Investigators indicating qualification and experience.
4. Participant recruitment procedures and brochures, if any.
5. Inclusion and exclusion criteria for entry of participants.
6. Precise description of methodology of the proposed research, including sample size (with justification), type of study design (observational, experimental, pilot, randomized, blinded etc.), intended intervention, dosages of drugs, route of administration, duration of treatment and details of invasive procedures if any.
7. Plan to withdraw or withhold standard therapies in the course of research.
8. Plan for statistical analysis of the study.
9. Procedure for seeking and obtaining informed consent with sample of patient information sheet and informed consent forms in English and local languages.
10. Safety of proposed intervention and any drug or vaccine to be tested, including results of relevant laboratory, animal and human research.
11. For research involving more than minimal risk, an account of management of such risk or injury.
12. Proposed compensation and reimbursement of incidental expenses and management of research related and unrelated injury/ illness during and after research period.
13. An account of storage and maintenance of all data collected during the trial.
14. Plans for publication of results - positive or negative - while maintaining the privacy and confidentiality of the study participants.

15. A statement on probable ethical issues and steps taken to tackle the same like justification for washout of standard drug, or the use of placebo control.
16. All other relevant documents related to the study protocol like investigator's brochure for trial on drugs/ devices/ vaccines/ herbal remedies and statement of relevant regulatoryclearances.
17. Agreement to comply with national and international Good Clinical Practices (GCP) protocols for clinical trials.
18. Details of Funding agency/ Sponsors and fund allocation.
19. For international collaborative study details about foreign collaborators and documents for review of Health Ministry's Screening Committee(HMSC) or appropriate Committees under other agencies/ authority like Drug Controller General of India (DCGI)
20. For exchange of biological material in international collaborative study a MoU/ Material Transfer Agreement between the collaborating partners.
21. A statement on conflict-of-interest (COI), if any.

STANDARD FORMAT OF THE INFORMED CONSENT FORM

Study Title:

Study Number:

Subject's Initials:_____ Subject's Name:_____

Date of Birth/ Age: _____

		Please initial box (Subject)
(i)	I confirm that I have read and understood the information sheet dated_____for the above study and have had the opportunity to ask questions.	
(ii)	I understand that my participation in the study is voluntary and that I am free to withdraw at any time, without giving any reason, without my medical care or legal rights being affected.	
(iii)	I understand that the Sponsor of the clinical trial, others working on the Sponsor's behalf, the Ethics Committee and the regulatory authorities will not need my permission to look at my health records both in respect of the current study and any further research that may be conducted in relation to it, even if I withdraw from the trial. I agree to this access. However, I understand that my identity will not be revealed in any information released to third parties or published.	
(iv)	I agree not to restrict the use of any data or results that arise from this study provided such a use is only for scientific purpose(s)	
(v)	I agree to take part in the above study	

Signature (or Thumb impression) of the
Subject / Legally Acceptable Representative:

Date: / / _____

Signatory's Name: _____

Signature of the Investigator: _____
/ / ____

Date: / / _____

Study Investigator's Name: _____

Signature of the Impartial Witness __

Date: / / _____

Name of the Impartial Witness:

_____

PATIENT INFORMATION SHEET

1. Nature and purpose of study stating it as research

2. Duration of participation with number of participants

3. Procedures to be followed

4. Investigations, if any, to be performed
5. Foreseeable risks and discomforts adequately described and whether project involves more than minimal risk
6. Benefits to participant, community or medical profession as may be applicable

7. Policy on compensation

8. Availability of medical treatment for such injuries or risk management

9. Alternative treatments if available
10. Steps taken for ensuring confidentiality
11. No loss of benefits on withdrawal
12. Benefit sharing in the event of commercialization
13. Contact details of PI or local PI/Co-PI in multicentric studies for asking more information related to the research or in case of injury
14. Contact details of Chairman of the IEC for appeal against violation of rights
15. Voluntary participation
16. If test for genetics and HIV is to be done, counseling for consent for testing must be given as per national guidelines
17. Storage period of biological sample and related data with choice offered to participant regarding future use of sample, refusal for storage and receipt of its results

ICMR GUIDELINES-2

STATEMENT OF GENERAL PRINCIPLES

Any research using the human beings as participants shall follow the principles given below –

I. Principles of essentiality whereby the research entailing the use of human participants is considered to be absolutely essential after a due consideration of all alternatives in the light of the existing knowledge in the proposed area of research and after the proposed research has been duly vetted and considered by an appropriate and responsible body of persons who are external to the particular research and who, after careful consideration, come to the conclusion that the said research is necessary for the advancement of knowledge and for the benefit of all members of the human species and for the ecological and environmental well being of the planet.

II. Principles of voluntariness, informed consent and community agreement whereby research participants are fully apprised of the research and the impact and risk of such research on the research participant and others; and whereby the research participants retain the right to abstain from further participation in the research irrespective of any legal or other obligation that may have been entered into by such human participants or someone on their behalf, subject to only minimal restitutive obligations of any advance consideration received and outstanding. Where any such research entails treating any community or group of persons as a research participant, these principles of voluntariness and informed consent shall apply, *mutatis mutandis*, to the community as a whole and to each individual member who is the participant of the research or experiment. Where the human participant is incapable of giving consent and it is considered essential that research or experimentation be conducted on such a person incompetent to give consent, the principle of voluntariness and informed consent shall continue to apply and such consent and voluntariness shall be obtained and exercised on behalf of such research participants by someone who is empowered and under

a duty to act on their behalf. The principles of informed consent and voluntariness are cardinal principles to be observed throughout the research and experiment, including its aftermath and applied use so that research participants are continually kept informed of any and all developments in so far as they affect them and others. However, without in any way undermining the cardinal importance of obtaining informed consent from any human participant involved in any research, the nature and form of the consent and the evidentiary requirements to prove that such consent was taken, shall depend upon the degree and seriousness of the invasiveness into the concerned human participant's person and privacy, health and life generally, and, the overall purpose and the importance of the research. Ethics committee shall decide on the form of consent to be taken or its waiver based on the degree of risk that may be involved.

III. **Principles of non-exploitation** whereby as a general rule, research participants are remunerated for their involvement in the research or experiment; and, irrespective of the social and economic condition or status, or literacy or educational levels attained by the research participants kept fully apprised of all the dangers arising in and out of the research so that they can appreciate all the physical and psychological risks as well as moral implications of the research whether to themselves or others, including those yet to be born. Such human participants should be selected so that the burdens and benefits of the research are distributed without arbitrariness, discrimination or caprice. Each research shall include an in-built mechanism for compensation for the human participants either through insurance cover or any other appropriate means to cover all foreseeable and unforeseeable risks by providing for remedial action and comprehensive aftercare, including treatment during and after the research or experiment, in respect of any effect that the conduct of research or experimentation may have on the human participant and to ensure that immediate recompense and rehabilitative measures are taken in respect of all affected, if and when necessary.

IV. **Principles of privacy and confidentiality** whereby the identity and records of the human participants of the research or experiment are as far as possible kept confidential; and that

no details about identity of said human participants, which would result in the disclosure of their identity, are disclosed without valid scientific and legal reasons which may be essential for the purposes of therapeutics or other interventions, without the specific consent in writing of the human participant concerned, or someone authorised on their behalf; and after ensuring that the said human participant does not suffer from any form of hardship, discrimination or stigmatisation as a consequence of having participated in the research or experiment.

V. **Principles of precaution and risk minimisation** whereby due care and caution is taken at all stages of the research and experiment (from its inception as a research idea, its subsequent research design, the conduct of the research or experiment and its applicative use) to ensure that the research participant and those affected by it including community are put to the minimum risk, suffer from no known irreversible adverse effects, and generally, benefit from and by the research or experiment; and that requisite steps are taken to ensure that both professional and ethical reviews of the research are undertaken at appropriate stages so that further and specific guidelines are laid down, and necessary directions given, in respect of the conduct of the research or experiment.

VI. Principles of professional competence whereby the research is conducted at all times by competent and qualified persons who act with total integrity and impartiality and who have been made aware of, and are mindful of, preferably through training, the ethical considerations to be borne in mind in respect of such research or experiment.

VII. Principles of accountability and transparency whereby the research or experiment will be conducted in a fair, honest, impartial and transparent manner after full disclosure is made by those associated with the research or experiment of each aspect of their interest in the research, and any conflict of interest that may exist; and whereby, subject to the principles of privacy and confidentiality and the rights of the researcher, full and complete records of the research inclusive of data and notes are retained for such reasonable period as may be prescribed or considered necessary for the purposes of post-research

monitoring, evaluation of the research, conducting further research (whether by the initial researcher or otherwise) and in order to make such records available for scrutiny by the appropriate legal and administrative authority, if necessary.

VIII. Principles of the maximisation of the public interest and of distributive justice whereby the research or experiment and its subsequent applicative use are conducted and used to benefit all human kind and not just those who are socially better off but also the least advantaged; and in particular, the research participants themselves and or the community from which they are drawn.

IX. Principles of institutional arrangements whereby there shall be a duty on all persons connected with the research to ensure that all the procedures required to be complied with and all institutional arrangements required to be made in respect of the research and its subsequent use or application are duly made in a bonafide and transparent manner; and to take all appropriate steps to ensure that research reports, materials and data connected with the research are duly preserved and archived.

X. Principles of public domain whereby the research and any further research, experimentation or evaluation in response to, and emanating from such research is brought into the public domain so that its results are generally made known through

scientific and other publications subject to such rights as are available to the researcher and those associated with the research under the law in force at that time.

XI. Principles of totality of responsibility whereby the professional and moral responsibility, for the due observance of all the principles, guidelines or prescriptions laid down generally or in respect of the research or experiment in question, devolves on all those directly or indirectly connected with the research or experiment including the researchers, those responsible for funding or contributing to the funding of the research, the institution or institutions where the research is conducted and the various persons, groups or undertakings who sponsor, use or derive benefit from the research, market

the product (if any) or prescribe its use so that, inter alia, the effect of the research or experiment is duly monitored and constantly subject to review and remedial action at all stages of the research and experiment and its future use.

XII. inciples of compliance whereby, there is a general and positive duty on all persons, conducting, associated or connected with any research entailing the use of a human participant to ensure that both the letter and the spirit of these guidelines, as well as any other norms, directions and guidelines which have been specifically laid down or prescribed and which are applicable for that area of research or experimentation, are scrupulously observed and duly complied with. These 12 principles laid down under Statement on General Principles are common to all areas of biomedical research. The specific issues are mentioned under relevant topics.

ICMR GUIDELINES-3

GENERAL ETHICAL ISSUES

All the research involving human participants should be conducted in accordance with the four basic ethical principles, namely autonomy (respect for person / participant) beneficence, non-maleficence (do no harm) and justice. The guidelines laid down are directed at application of these basic principles to research involving human participants. The Principal Investigator is the person responsible for not only undertaking research but also for observance of the rights, health and welfare of the participants recruited for the study. S/he should have qualification and competence in biomedical research methodology for proper conduct of the study and should be aware of and comply with the scientific, legal and ethical requirements of the study protocol.

I. INFORMED CONSENT PROCESS

1. Informed Consent of Participants : For all biomedical research involving human participants, the investigator must obtain the informed consent of the prospective participant or in the case of an individual who is not capable of giving informed consent, the consent of a legal guardian. Informed consent protects the individual's freedom of choice and respect for individual's autonomy and is given voluntarily to participate in research or not. Adequate information about the research is given in a simple and easily understandable unambiguous language in a document known as the **Informed Consent Form with Participant/ Patient Information Sheet**. The latter should have following components as may be applicable :

1. Nature and purpose of study stating it as research
2. Duration of participation with number of participants
3. Procedures to be followed
4. Investigations, if any, to be performed
5. Foreseeable risks and discomforts adequately described and whether project involves more than minimal risk

6. Benefits to participant, community or medical profession as may be applicable
7. Policy on compensation
8. Availability of medical treatment for such injuries or risk management
9. Alternative treatments if available
10. Steps taken for ensuring confidentiality
11. No loss of benefits on withdrawal
12. Benefit sharing in the event of commercialization
13. Contact details of PI or local PI/Co-PI in multicentric studies for asking more information related to the research or in case of injury
14. Contact details of Chairman of the IEC for appeal against violation of rights
15. Voluntary participation
16. If test for genetics and HIV is to be done, counseling for consent for testing must be given as per national guidelines
17. Storage period of biological sample and related data with choice offered to participant regarding future use of sample, refusal for storage and receipt of its results

A copy of the participant/patient information sheet should be given to the participant for her/ his record. The informed consent should be brief in content highlighting that it is given of free will or voluntarily after understanding the implications of risks and benefits and s/he could withdraw without loss of routine care benefits. Assurance is given that confidentiality would be maintained and all the investigations/ interventions would be carried out only after consent is obtained.

When the written consent as signature or thumb impression is not possible due to sensitive nature of the project or the participant is unable to write, then verbal consent can be taken after ensuring its documentation by an unrelated witness. In some cases ombudsman, a third party, can ensure total accountability for the process of obtaining the consent. Audio-visual methods could be adopted with prior consent and adequate precaution to ensure confidentiality, but approval of EC is required for such procedures. For drug trials, if the volunteer can give only thumb impression then another thumb impression

by the relative or legal custodian cannot be accepted and an unrelated witness to the project should then sign.

Fresh or re-consent is taken in following conditions :

1. Availabilty of new information which would necessitate deviation of protocol.
2. When a research participant regains consciousness from unconscious state or is mentally competent to understand the study. If such an event is expected then procedures to address it should be spelt out in the informed consent form.
3. When long term follow-up or study extension is planned later.
4. When there is change in treatment modality, procedures, site visits.
5. Before publication if there is possibility of disclosure of identity through data presentation or photographs (which should be camouflaged adequately).

Waiver of Consent

Voluntary informed consent is always a requirement for every research proposal. However, this can be waived if it is justified that the research involves not more than minimal risk or when the participant and the researcher do not come into contact or when it is necessitated in emergency situations elaborated in the previous Chapter. If such studies have protections in place for both privacy and confidentiality, and do not violate the rights of the participants then IECs may waive off the requirement for informed consent in following instances:

i. When it is impractical to conduct research since confidentiality of personally identifiable information has to be maintained throughout research as may be required by the sensitivity of the research objective, *eg.*, study on disease burden of HIV/AIDS.

ii. Research on publicly available information, documents, records, works, performances, reviews, quality assurance studies, archival materials or thirdparty interviews, service programs for benefit of public having a bearing on public health programs, and consumer acceptance studies.

iii. Research on anonymised biological samples from deceased individuals, left over samples after clinical investigation, cell lines or cell free derivatives like viral isolates, DNA or RNA from recognised institutions or qualified investigators, samples or data from repositories or registries *etc*.

iv. In emergency situations when no surrogate consent can be taken.

2. Obligations of investigators regarding informed consent : The investigator has the duty to -

i. Communicate to prospective participants all the information necessary for informed consent. Any restriction on participant's right to ask any questions related to the study will undermine the validity of informed consent;
ii. Exclude the possibility of unjustified deception, undue influence and intimidation. Although deception is not permissible, if sometimes such

2. Obligations of investigators regarding informed consent : The investigator has the duty to -

i. Communicate to prospective participants all the information necessary for informed consent. Any restriction on participant's right to ask any questions related to the study will undermine the validity of informed consent;
ii. Exclude the possibility of unjustified deception, undue influence and intimidation. Although deception is not permissible, if sometimes such information would jeopardize the validity of research it can be withheld till the completion of the project, for instance, study on abortion practices;

iii. Seek consent only after the prospective participant is adequately informed. The investigator should not give any unjustifiable assurances to prospective participant, which may influence the her/his decision to participate;
iv. Obtain from each prospective participant a signed form as an evidence of informed consent (written informed consent) preferably witnessed by a person not related to the trial, and in case the participant is not competent to do so, a legal guardian or other duly authorised representative;
v. Take verbal consent when the participant refuses to sign or give thumb impression or cannot do so. This can then be documented through audio or video means;
vi. Take surrogate consent from the authorized relative or legal custodian or the institutional head in the case of abandoned institutionalized individuals or wards under judicial custody;
vii. Renew or take fresh informed consent of each participant under circumstances described earlier in this chapter;
viii. If participant loses consciousness or competence to consent during the research period as in Alzeimer or psychiatric conditions, surrogate consent may be taken from the authorized person or legal custodian.
ix. The investigator must assure prospective participants that their decision to participate or not will not affect the patient - clinician relationship or any other benefits to which they are entitled.

3. Essential information for prospective research participants : Before requesting an individual's Consent to participate in research, the investigator must provide the individual with the following information in the language she or he is able to understand which should not only be scientifically accurate but should also be sensitive/ adaptive to their social and cultural context :

i. The aims and methods of the research;
ii. The expected duration of the participation;
iii. The benefits that might reasonably be expected as an outcome of research to the participant or community or to others;
iv. Any alternative procedures or courses of treatment that might be as advantageousto the participant as the procedure or treatment to which s/he is beingsubjected;

v. Any foreseeable risk or discomfort to the participant resulting from participation in the study;
vi. Right to prevent use of her/ his biological sample (DNA, cell-line, etc.) at any time during the conduct of the research;
vii. The extent to which confidentiality of records could be maintained ie., the limits to which the investigator would be able to safeguard confidentiality and the anticipated consequences of breach of confidentiality;
viii. Responsibility of investigators;
ix. Free treatment for research related injury by the investigator and/ institution and sponsor(s);
x. Compensation of participants for disability or death resulting from such injury;
xi. Insurance coverage if any, for research related or other AEs;
xii. Freedom of individual / family to participate and to withdraw from research any time without penalty or loss of benefits which the participant would otherwise be entitled to;
xiii. The identity of the research teams and contact persons with address and phone numbers;
xiv. Foreseeable extent of information on possible current and future uses of the biological material and of the data to be generated from the research and if the material is likely to be used for secondary purposes or would be shared with others, clear mention of the same;
xv. Risk of discovery of biologically sensitive information and provision to safeguard confidentiality;
xvi. Publication, if any, including photographs and pedigree charts.

The quality of the consent of certain social and marginalized groups requires careful consideration as their agreement to volunteer may be unduly influenced by the Investigator.

II. COMPENSATION FOR PARTICIPATION

Participants may be paid for the inconvenience and time spent, and should be reimbursed for expenses incurred, in connection with their participation in research. They may also receive free medical services. When this is reasonable then it cannot be termed as benefit. During the period of research if the participant requires treatment for complaints other than the one being studied necessary **free ancillary care** or appropriate referrals may be provided. However, payments should not be so large or the medical services so extensive as to make prospective participants consent readily to enroll in research against their better judgment, which would then be treated as undue inducement. All payments, reimbursement and medical services to be provided to research participants should be approved by the IEC. Care should be taken :

i. When a guardian is asked to give consent on behalf of an incompetent person, no remuneration should be offered except a refund of out of pocket expenses;
ii. When a participant is withdrawn from research for medical reasons related to the study the participant should get the benefit for full participation;
iii. When a participant withdraws for any other reasons s/he should be paid an amount proportionate to the amount of participation.

III. CONFLICT OF INTEREST

A set of conditions in which professional judgment concerning a primary interest like patient's welfare or the validity of research tends to be or appears to be unduly influenced by a secondary interest like non-financial (personal, academic or political) or financial gain is termed as Conflict of Interest (COI). Academic institutions conducting research in alliance with industries/ commercial companies require a strong review to probe possible conflicts of interest between **scientific responsibilities of researchers and business interests** *e.g***(**ownership or part- ownership of a company developing a new product). In cases where the review board/ committee determines that a conflict of interest may damage the scientific

integrity of a project or cause harm to research participants, the board/ committee should advise accordingly. Significant financial interest means anything of monetary value that would reasonably appear to be a significant consequence of such research including salary or other payments for services like consulting fees or honorarium per participant; equity interests in stocks, stock options or other ownership interests; and intellectual property rights from patents, copyrights and royalties from such rights. The investigators should declare such conflicts of interest in the application submitted to IEC for review. Institutions and IECs need self-regulatory processes to monitor, prevent and resolve such conflicts of interest. The IEC can determine the conditions for management of such conflicts in its SOP manual. Prospective participants in research should also be informed of the sponsorship of research, so that they can be aware of the potential for conflicts of interest and commercial aspects of the research. Those who have also to be informed of the secondary interest in financial terms should include the institution, IEC, audience when presenting papers and should be mentioned when publishing in popular media or scientific journals.

Undue inducement through compensation for individual participants, families and populations should be prohibited. This prohibition however, does not include agreements with individuals, families, groups, communities or populations that foresee technology transfer, local training, joint ventures, provision of health care reimbursement, costs of travel and loss of wages and the possible use of a percentage of any royalties for humanitarian purposes. Undue compensation would include assistance to related person(s) for transport of body for cremation or burial, provision for insurance for unrelated conditions, free transportation to and fro for examination not included in the routine, free trip to town if the participants are from rural areas, free hot meals, freedom for prisoners, free medication which is generally not available, academic credits and disproportionate compensation to researcher / team/ institution. However, in remote and inaccessible areas some of the features mentioned above may be a necessity and culture specific. Therefore, the IEC should examine this on a case-by-case basis, as some of these elements may be justifiable for collecting vital data for national use or necessary to find if some

interventions may significantly have direct impact on health policies.

IV. SELECTION OF SPECIAL GROUPS AS RESEARCH PARTICIPANTS

i. ***Pregnant or nursing women*** : Pregnant or nursing women should in no circumstances be the participant of any research unless the research carries no more than minimal risk to the fetus or nursing infant and the object of the research is to obtain new knowledge about the foetus, pregnancy and lactation. As a general rule, pregnant or nursing women should not be participants of any clinical trial except such trials as are designed to protect or advance the health of pregnant or nursing women or foetuses or nursing infants, and for which women who are not pregnant or nursing would not be suitable participants.

a) The justification of participation of these women in clinical trials would be that they should not be deprived arbitrarily of the opportunity to benefit from investigations, drugs, vaccines or other agents that promise therapeutic or preventive benefits. Example of such trials are, to test the efficacy and safety of a drug for reducing perinatal transmission of HIV infection from mother to child, trials for detecting foetal abnormalities and for conditions associated with

or aggravated by pregnancy etc. Women should not be encouraged to discontinue nursing for the sake of participation in research and in case she decides to do so, harm of cessation of breast-feeding to the nursing child should be properly assessed except in those studies where breast feeding is harmful to the infant. Compensation in terms of supplying supplementary food such as milk formula should be considered in such instances.

b) Research related to termination of pregnancy : Pregnant women who desire to undergo Medical Termination of Pregnancy (MTP) could be made participants for such research as per The Medical Termination of Pregnancy Act, GOI, 1971.

c) Research related to pre-natal diagnostic techniques : In pregnant women such research should be limited to detect the foetal abnormalities or genetic disorders as per the Prenatal Diagnostic Techniques (Regulation and Prevention of Misuse) Act, GOI, 1994 and not for sex determination of the foetus.

ii. *Children* : Before undertaking trial in children the investigator must ensure that

a. Children will not be involved in research that could be carried out equally well with adults;
b. The purpose of the research is to obtain knowledge relevant to health needs of children. For clinical evaluation of a new drug the study in children should always be carried out after the phase III clinical trials in adults. It can be studied earlier only if the drug has a therapeutic value in a primary disease of the children;
c. A parent or legal guardian of each child has given proxy consent;
d. The assent of the child should be obtained to the extent of the child's capabilities such as in the case of mature minors from the age of seven years up to the age of 18 years.;
e. Research should be conducted in settings in which the child and parent can obtain adequate medical and psychological support;
f. Interventions intended to provide direct diagnostic, therapeutic or preventive benefit for the individual child participant must be justified in relation to anticipated risks involved in the study and anticipated benefits to society;
g. The child's refusal to participate in research must always be respected unless there is no medically acceptable alternative to the therapy provided/ tested, provided the consent has been obtained from parents / guardian;
h. Interventions that are intended to provide therapeutic benefit are likely to be at least as advantageous to the individual child participant as any available alternative interventions;
i. The risk presented by interventions not intended to benefit the individual child participant is low when compared to the importance of the knowledge that is to be gained.

iii. *Vulnerable groups* : Effort may be made to ensure that individuals or communities invited for research be selected in such a way that the burdens and benefits of the research are equally distributed.

a. Research on genetics should not lead to **racial inequalities**;

b. Persons who are **economically or socially disadvantaged** should not be used to benefit those who are better off than them;

c. Rights and welfare of **mentally challenged and mentally differently able persons** who are incapable of giving informed consent or those with behavioral disorders must be protected. Appropriate proxy consent from the legal guardian should be taken after the person is well informed about the study, need for participation, risks and benefits involved and the privacy and confidentiality procedures. The entire consent process should be properly documented;

d. Adequate justification is required for the involvement of participants such as prisoners, students, subordinates, employees, service personnel etc. who have **reduced autonomy** as research participants, since the consent provided may be under duress or various other compelling reasons.

V. ESSENTIAL INFORMATION ON CONFIDENTIALITY FOR PROSPECTIVE RESEARCH PARTICIPANTS

Safeguarding confidentiality - The investigator must safeguard the confidentiality of research data, which might lead to the identification of the individual participants. Data of individual participants can be disclosed under the following circumstances :

a. Only in a court of law under the orders of the presiding judge or

b. There is threat to a person's life or

c. In cases of severe adverse reaction may be required to communicate to drug registration authority or

d. If there is risk to public health it takes precedence over personal right to privacy and may have to be communicated to health authority.

Therefore, the limitations in maintaining the confidentiality of data should be anticipated and assessed and communicated to appropriate individuals or authorities as the case may be.

VI. COMPENSATION FOR ACCIDENTAL INJURY

Research participants who suffer physical injury as a result of their participation are entitled to financial or other assistance to compensate them equitably for any temporary or permanent impairment or disability. In case of death, their dependents are entitled to material compensation.

Obligation of the sponsor to pay :- The sponsor whether a pharmaceutical company, a government, or an institution, should agree, before the research begins, in the *a priori* agreement to provide compensation for any physical or psychological injury for which participants are entitled or agree to provide insurance coverage for an unforeseen injury whenever possible.

An Arbitration committee or appellate authority could be set up by the institution to decide on the issue of compensation on a case-by-case basis for larger trials where such a step is feasible. Alternately an institution can also establish such a committee to oversee such claims, which would be common for projects being undertaken by it.

Compensation for **ancillary care** for unrelated illness as free treatment or appropriate referrals may also be included in the *a priori* agreement with the sponsors whenever possible.

VII. POST - TRIAL ACCESS

The Helsinki Declaration of the World Medical Assembly (WMA), 2000 states that at the end of the trial every participant should be assured of access to the best proven prophylactic, diagnostic and therapeutic methods identified by the study. This led to a lot of debate globally on account of lack of even basic drugs in most of the developing countries. The Declaration of the WMA in 2004 reaffirmed "its position that it is necessary during the study planning process to identify post-

trial access by study participants to prophylactic, diagnostic and therapeutic procedures identified as beneficial in the study or access to other appropriate care. Post-trial access arrangements or other care must be described in the study protocol so the ethical review committee may consider such arrangements during its review." Therefore, whenever possible I\EC should consider such an arrangement in the *a priori* agreement. Sometimes more than the benefit to the participant, the community may be given benefit in indirect way through improving their living conditions, establishing counseling centers, clinics or schools, and giving education on maintaining good health practices. For smaller scale or student projects post trial benefit to the participants may not be feasible but keeping in mind the post trial responsibility conscious efforts should be made by the guides and the institution to initiate steps to continue to support and give better care to the participants.

VIII. INTERNATIONAL COLLABORATION / ASSISTANCE IN BIO- MEDICAL / HEALTH RESEARCH

Research in biomedical and health areas has gained greater momentum only by the second half of the 20th Century, especially since the 1960s, the scope of international co-operation and collaboration assumed such proportions as to have exploitative connotations with commercial and human dimensions. On the one hand, collaboration in medical research suggests an interest in a humane and civil society, while on the other it could give the impression of experimentation on the population of one country by another. Different levels of development in terms of infrastructure, expertise, social and cultural perceptions, laws relating to intellectual property rights etc., necessitate an ethical framework to guide such collaboration. The same concerns are applicable even when there is no formal collaboration between countries, but the research is undertaken with assistance from international organisations as sponsors (Governmental like National Institutes of Health, USA, non-Governmental like Bill & Melinda Gates Foundation, Ford Foundation or others like WHO, UNICEF, UNAIDS,etc.).

Special Concerns

1. Given the magnitude and severity of the health problems in different countries, capacity building to address ethical issues that arise out of collaborative research must be promoted on a priority basis. Strategies should be implemented so that various countries and communities can practise meaningful self-determination in health development and can ensure the scientific and ethical conduct of research.

2. The collaborating investigators, institutions and countries can function as equal partners with sponsors even when in a vulnerable position by building appropriate safeguards. Community representatives should be involved early enough while designing the protocol and in a sustained manner during the

   development, implementation, monitoring and dissemination of results of research.

3. Careful consideration should be given to protect the dignity, safety and welfare of the participants when the social contexts of the proposed research can create foreseeable conditions for exploitation of the participants or increase their vulnerability to harm. The steps to be taken to overcome these should be described and approval taken from concerned IEC/IndEC.

4. Every adult participant in the research should voluntarily give informed consent and child her/his assent as may be applicable.

5. As different kinds of research (epidemiological studies, clinical trials, product development, behavioural and social science oriented research *etc*.) have their own particular scientific requirements and specific ethical challenges, the choice of study populations for each type of study should be justified in advance in scientific and ethical terms regardless of the place from where the study population is selected. Generally, early clinical phases of research,

particularly of drugs, vaccines and devices, should be conducted in communities that are less vulnerable to harm or exploitation. However, for valid scientific and public health reasons, if sufficient scientific and ethical safeguards are ensured it may be conducted in any phase after obtaining relevant regulatory clearances.

6. The nature, magnitude, and probability of all foreseeable harms resulting from participation in a collaborative research programme should be specified in the research protocol and explained to the participants as fully as can be reasonably done. Moreover, the modalities by which to address these, including **provision for the best possible nationally available care** to participants who experience adverse reactions to a vaccine or drug under study, compensation for injury related to the research, and referral for psychosocial and legal support if necessary, need to be described.

7. The research protocol should outline the benefits that persons / communities / countries participating in such research should experience as a result of their participation. Care should be taken so that these are not presented in a way that unduly influences freedom of choice in participation. The burden and the benefit should be equally borne by the collaborating countries.
8. Guidelines, rules, regulations and cultural sensitivities of all countries participating in collaborative research projects should be respected, especially by researchers in the host country and the sponsor country. These could be with reference to intellectual property rights, exchange of biological materials (human, animal, plant or microbial), data transfer, security issues, and issues of socially or politically sensitive nature. In this context, it is essential for researchers to follow the GOI notification on " Exchange of Human Biological Material for Biomedical Research" issued on 19.11.97 and obtain appropriate regulatory clearances as prevalent in the country for international collaboration and EC approval from all trial sites before the initiation of research.

IX. RESEARCHER'S RELATIONS WITH THE MEDIA AND PUBLICATION PRACTICES

Researchers have a responsibility to make sure that the public is accurately informed about results without raising false hopes or expectations. It should also not unnecessarily scare the people. Researchers should take care to avoid talking with journalists or reporters about preliminary findings as seemingly promising research that subsequently cannot be validated or could lead to misconcepts if reported prematurely. Or, the results of research may be reported in such a way that it would seem that the human application is round the corner, only to be told later by the researchers that considerable time has to pass before these findings can be translated into tools for human use. In such circumstances, retractions most often do not appear in the media. Therefore, it is important to avoid premature reports and publicity stunts. The best safeguard against inaccurate reporting is for the researcher to talk to media on condition that the reporter submit a full written, rather than oral version, of what will be reported, so that it enables the researcher to make necessary corrections, if needed, prior to publication.

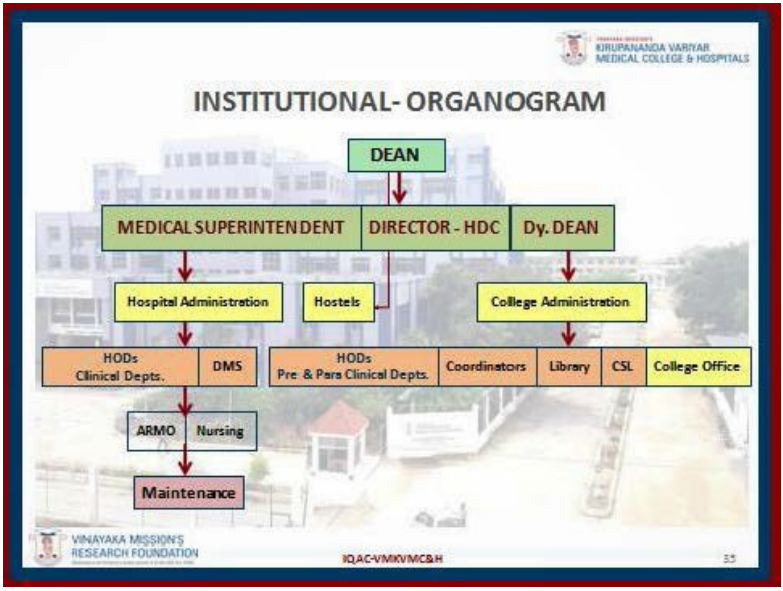
Investigator's publication plans should not threaten the privacy or confidentiality of participants, for example publication of pedigrees in the report on research in genetics can result in identification of study participants. It is recommended that a clear consent for publication be obtained besides the consent for participation in research or treatment and such a consent should preferably be obtained on two different occasions and not as a blanket one at the commencement of the study. Maintenance of confidentiality while publishing data should be taken care of. In case there is need for publication / presentation of photographs/ slides / videos of participant (s), prior consent to do so should be obtained. Identification features

should be appropriately camouflaged. The same safeguard should be observed for video coverage.

With regard to authorship, the International Committee of Medical Journal Editors (ICJME) has laid down criteria based on credit and accountability. Only those who make substantial

contribution to the article and take responsibility for the published matter can be co-authors. Plagiarism or falsification of data and authorship are important ethical issues in publications. The term 'misconduct in research' means fabrication, falsification, plagiarism, selective omission of data and claiming that some data are missing, ignoring outliers without declaring it, not reporting data on side effects/ adverse reactions in a clinical trial, publication of post-hoc analysis without declaring it, gift authorship, not citing others' work, not disclosing conflict of interest, redundant publication, and failure to adequately review existing research. The Commission on Research Integrity in US created by US Congress addresses the scientific, ethical, social and legal issues involving scientific misconduct in research. Consolidated standards of reporting trials (CONSORT) guidelines have been prescribed for publishing results of clinical research especially RCTs (Randomised Controlled Trials) and are available at http://www.consortstatement.org.

INSTITUTIONAL RGANOGRAM



POLICIES

The following policies are drafted and approved by Board of Management of Vinayaka Mission's Research Foundation (Deemed to be University), Salem.

HR Policy:

- Domestic Travel Policy
- Service Rules manual
- Employee Welfare Policy
- Employee Service Rules and Duties & Responsibilities

IQAC Policy

- E – Governance Policy
- Process Manual
- Strategic Plan Document
- Strategic Plan 2030

Research Policy

- Innovation & Entrepreneurship Policy 2020
- Research Promotion Support Incentive Policy
- Consultancy Policy (2018)
- Research Promotion Policy (2020)
- Research Code of Conduct Ethics
- Guidelines on Standardisation for Author, Affiliation and Institution names in publications
- Guidelines / policy for award for incentives with respect to research publications
- Academic integrity and prevention of plagiarism regulations 2019
- Constitution of publication oversight committee for university
- IPR Consultancy Policy 2015

VINAYAKA MISSION'S
RESEARCH FOUNDATION
(Deemed to be University under section 3 of the UGC Act 1956)

EMPLOYEES SERVICE RULES AND DUTIES & RESPONSIBILITIES

DUTIES & RESPONSIBILITIES AND CODE OF CONDUCT OF TEACHING FACULTY

1.0 PURPOSE AND SCOPE

As faculty members of Vinayaka Mission's Research Foundation (Deemed to be University), they are responsible for contribution and sustenance of the standards of the institution. They should comply with the relevant policies, rules, regulations, norms and standards set to guide their work. While every individual member is accountable for his/her action, as member of the University community, they are collectively accountable for upholding those standards of behaviour and for compliance with all applicable rules, regulations and code of conduct.

This document details the rules and regulations that every faculty member should follow and the code of conduct they should adopt in the discharge of their professional duties. These rules and regulations are not exhaustive and hence, the detailed instructions issued from time to time and the modifications made in these due to necessities have to be adopted by the faculty members.

2.0 APPLICABILITY AND INFRINGEMENTS

These rules and regulations and code of conduct prescribed applies to all full time faculty members, visiting faculty members, faculty members on contract/part- time employment, research scholars

given teaching assignment attached to all schools/departments of University.

Adherence to these rules and regulations and code of conduct makes the faculty members responsible for bringing suspected infringement of any of the provisions to the attention of appropriate authority of the University. Raising such concern is a service to the University and will not jeopardize one's position or employment. Confirmed violations will result in suitable disciplinary action upto and including termination from employment or other relationships with the University. If need be, legal recourse may also be resorted against the concerned individuals.

3.1 CURRICULAR RELATED

a) Teaching and Learning

A faculty is responsible for,

i) Teaching of both core and elective courses in the field of his/her specialization as allocated by the Head of the Department for various programmes offered by the University.

iii) Conducting laboratory courses, tutorials and seminars of the programmes assigned to him/her in an effective manner, so as to improve the practical knowledge of the student.

iv) Providing proper guidance and supervision of the project work undertaken by students and development of proper rapport with the industry/organization if the project is industry related one.

v) Making the teaching more effective and interesting to the students by the use of multi- media teaching aids.

vi) Making the laboratory and seminar classes more purposeful by examining the students orally either before or after the experiment/seminar to improve the student's understanding of the subject.

vii) Conducting the core / elective course as project based / experimental / activity based learning.

viii) Helping peer-assisted learning.

ix) On the whole, the teaching learning shall be learner centered ensuring learning

b) Course Planning and Material Preparation

i) The faculty member is required to plan and make complete preparation well in advance to effectively teach the theory and practical courses.

ii) He/she should prepare the schedule of lectures with topics, tests, assignments, demonstrations, screening of video or power point presentation etc., in advance and the students should be informed of the same.

iii) The faculty member has to design experiments for laboratory classes so as to improve the student's creative skills besides properly understanding the physical phenomena or concept.

c) Examination, evaluation and grading

i) A faculty is required to set standard question papers to test the knowledge / analytical thinking of students and evaluate the answer scripts of courses not only taught by him/her, but also that assigned to him/her by the Dean/Head of Department/Controller of Examinations of the University.

ii) A faculty is required to conduct and invigilate any exam/test in the university. Such test/exam may be for the course taught by him/her or for any other course assigned by the Head of Department/Controller of Examinations of the University.

iii) A faculty member while evaluating answer scripts, oral examination/project work evaluation, should scrupulously be objective in his/her approach so that the student can earn the marks/grading for his/her performance only. Besides, he/she should indicate the mistakes on the script except for end semester examination, where no marking is permitted to be made on the script.

d) Maintenance of Records

i) Each faculty member is required to maintain the record of class work, attendance and continuous assessment neatly, properly and in time. This should be produced to the Head of the Department (HOD) as and when called for or immediately after the test for scrutiny and should be handed over to the HOD after the academic audit.

ii) Each faculty member is required to keep a file containing question papers set by him/her for the course handled, copy of answer sheets of the students after evaluation, for production to the academic audit.

iii) If the faculty member is assigned to be the Class Adviser by the HOD, he/she should maintain the list of students under him / her, their parent/local guardian contact address/phone/mail ID etc., so that the student's progress could be monitored and

communicated to them. The Class Adviser shall also maintain cumulative record of attendance for the courses undergone by the student course-wise. The Class Adviser should also help the HOD in counselling poorly performing students and the follow up action taken to improve the students' performance.

e) Monitoring of students' progress

i) The faculty of any course is required to watch the attendance and academic performance of each student of his/her course and take necessary steps at his/her command to improve the student's progress. If his/her effort fails, the faculty member should bring it to the notice of the HOD and the Class Adviser so that the information can be sent to the parents/guardians.

ii) A faculty member is required to attend/organize the Class Committee Meeting either as a course teacher and/or as chairperson of the class committee and should actively participate in the deliberations there to improve the teaching-learning process.

iii) A faculty member may be required to be a Faculty Adviser to a group of students. He/she is then really a mentor for the students in his/her group. He/she has to keep account of the courses registered/enrolled by them and advice and counsel the students.

iv) A faculty member has to be thorough with the regulations of the academic programme offered by his/her Department and other instructions issued from time to time so that he/she can effectively guide the student.

v) As a Faculty Adviser, the faculty member is required to motivate students under his/her care and also help them while they face any other general problems till they leave the University.

f) Participation in Academic Developments

i) A faculty member should actively participate in curriculum preparation for new programmes/modification of existing programmes.

ii) Contribution to the preparation of new syllabus or updation of existing syllabus is also the responsibility of a faculty member pertaining to his/her specialization.

iii) A faculty is expected to be creative so as to contribute to the introduction of new academic programmes in the emerging areas relevant to the society, innovative curriculum and new methodology of teaching and evaluation.

iv) In order to be an effective faculty, he/she is required to update his/her knowledge by attending faculty development programmes, short–term courses, professional society meetings, National / International Conferences, reading recent technical journal articles and periodicals and going through the web sites of world class Universities. They may also enroll in one or more Professional Societies/Associations.

g) Punctuality and regularity

i) The faculty member shall not permit any student to attend the class after the stipulated time specified by the University so as to ensure punctuality in attending class by the students.

ii) A faculty member is required to make alternative arrangement to handle his/her scheduled course work and other works whenever he/she goes on leave.

iii) As far as possible a faculty member should not miss the scheduled class and only under unavoidable circumstances alternative arrangement can be made. This will ensure better compliance of scheduled classes.

iv) A faculty member shall be punctual in attending class and leave the class room after his/her class is over only after the arrival of the faculty for the next period or instruct the students to go to the laboratory/workshop for practical classes, as the case may be.

v) The faculty member shall carry out any other academic related activity that may be assigned to him by the HOD/Higher Authorities from time to time.

4.1 RESEARCH AND DEVELOPMENT

a) Academic research

i) As research is an inherent component of the functions of a University, every faculty member shall take active efforts to make research contributions in his/her field of specialization.

ii) A faculty member should identify specific aspects relating to his/her area of specialization in which there is considerable scope for further working, so that he/she either do it by himself/herself or motivate undergraduate and postgraduate scholars or a junior colleague to take up the study under his/her supervision.

iii) Faculty members who act as Research Supervisors should spare adequate time to the research scholars for discussion and monitor their progress, so that not only the quality of work is improved but also time over-run can be avoided.

iv) As the scope for doing further research work from the undergraduate and postgraduate students' project work is ample, active involvement of the faculty member in the student's project work is very essential.

v) If the student's project work is industry related, the faculty member shall visit the industry to know the problem in its perspective so that he/she can guide effectively. In fact, this will help to develop contact with the industry.

vi) Interdisciplinary and collaborative research is assuming enormous proportions a faculty should take efforts to identify such area(s) by interaction with his/her colleagues in other departments or researchers in established R&D laboratories for collaborative research purposes.

vii) Faculty members can act as research supervisor for other Universities only with the prior permission of the University. External research supervision will be permitted, only under special circumstances.

b) Research publications and books

i) As research publications in refereed journals of international importance not only improve the individual's image but also of the institution, every faculty member should strive to bring out such quality publications.

ii) Faculty members should publish their research output only in SCI or SSCI journals and publications in non-refereed journals will not be recognized.

iii) Faculty members shall also strive to file patents if their research output is felt new and novel.

iv) Depending upon the research content, the faculty member may also present papers in International/National level conferences, but the impact they command compared to publications in refereed journals is considered much less.

v) Faculty member should also take efforts to bring out his/her research work other than refereed journal papers, in the form of books or chapters in the books published by the international/National level publishers with ISBN/ISSN numbers.

vi) The faculty members will be provided financial incentives for publications in refereed journals taking into account the impact factor, total citations, immediacy index, half-life, etc.

c) Sponsored and funded research projects

i) An important source of financing and professional recognition to the University is sponsored and funded research projects. Therefore, every faculty member should browse the web sites of various funding agencies, advertisement, etc., periodically and submit research proposals in the proper format to those agencies to secure funding assistance for research and acquiring facilities such as equipment, instruments, etc.

ii) The faculty member, who is a Principal Investigator, besides employing Project Associates, if the project proposal contemplates and the funding agency approves, can also use the services of students and research scholars, wherever possible.

iii) Many funding agencies provide funding assistance for establishment of centres of excellence. A faculty member may also examine and send proposal pertaining to his/her department or interdisciplinary ones for establishment of such centres.

iv) Students should also be encouraged by faculty members to submit proposals for securing funding assistance for student projects from Science and Technology Councils of the State and Centre and other agencies.

v) The effort of the faculty member must be to convert his/her creative idea into a product either physical, conceptual or a computer software. In order to get recognition not only for the faculty, but also, for the institution, he/she should take efforts to obtain Patent/Intellectual Property Right (IPR) so that nobody could copy them.

vi) Cash incentives, as may be decided by the Management, will be given to those faculty members for funded research/projects secured, research papers and books published and patents obtained.

5.1. CONSULTANCY AND EXTENSION ACTIVITIES

a) Consultancy projects

i) Executing consultancy works for the state and private organizations is another important source of financial resource to the University.

ii) A faculty member should take efforts to secure consultancy works in his/her area of specialization from industries and business or from State agencies.

iii) To secure consultancy work, the individual's capability in solving practical problem in his/her area of specialization besides development of good rapport is very essential. Guiding industry oriented student projects is an easy way of establishing contacts with the industry counterparts. Hence, faculty member guiding such project works should establish proper, healthy and positive rapport with the concerned industry from where such project work is undertaken.

iv) A faculty member should constantly update his/her knowledge, familiarize himself/herself with the problem of industry by going through industry publications, attending professional society meetings etc., to establish contact and get to know the problem of industry.

v) Attending seminars and conferences organized by professional institutions such as Confederation of Indian Industry (CII), Federation of Indian Chamber of Commerce & Industry (FICCI), The Institution of Engineers (IEI), Institute of Electrical and Electronics Engineers (IEEE) or other Industrial Associations will also help to understand the problem of industry.

b) Extension activities

i) A faculty member should take efforts to organize refresher courses, seminars, workshops not only for the benefit of faculty members but also for participants of industry and society at large. Such programmes could be self supporting or sponsored ones.

ii) Conduct of continuing education programmes/structured courses to meet specific requirement of the industry and society is yet another way of augmenting resource for the University. A faculty member can organize such programmes either one time or on continual basis year on year.

iii) Extension activities could include various community oriented services, preferably using the expertise in the field of science and technology, and addressing the requirements of weaker sections of the society.

6.1 INVOLVEMENT IN DEVELOPMENT ACTIVITIES

a) Laboratory Development & Maintenance

i) A faculty member is required to involve in the laboratory development activities of the Department by introducing innovative experimental setups/instruments/computer software/computer control of machines or processes.

ii) Whenever new courses or new topics are proposed in the curriculum and syllabi in the emerging areas, the faculty member can design and fabricate or assemble new experimental setup for use by students.

iii) As a member of the faculty, he/she should ensure that the various machinery and equipment in the laboratory and workshop are maintained in working condition and are used effectively both for academic requirement, project works and research related activities.

iv) In case, a faculty member is assigned to be in charge of laboratory or workshop, he/she has to oversee the work of technical staff of the laboratory, besides arranging for periodical maintenance/repair and recalibration wherever necessary.

v) As one in charge of laboratory, he/she has to ensure proper maintenance of stock registers, both consumable and non-consumable, periodical stock verifications, and proposal for replacement of over aged/unserviceable equipment, besides their safe custody.

b) Purchase of items for the laboratory

i) As one in charge of laboratory has to prepare budget every year after taking into account the academic course requirements, research needs and discuss with the HOD and finalise it before inclusion in the overall budget proposal of the Department.

ii) As one in charge of laboratory has to initiate proposals for the purchase of consumables and equipment for his/her laboratory and take follow up action till it is procured and taken into stock.

iii) The faculty member should help the Professor in charge of purchase or the HOD in finalizing the specifications of equipment to be purchased calling the quotations and evaluation and tabulation of bids to be placed before the Purchase Committee.

iv) Once the budget proposals are approved by the management, the faculty in charge of the laboratory/workshop is responsible for the compliance of the budget proposal, unless it is altered or revised. If necessary, he/she has to prepare revised budget proposal through the HOD.

v) The faculty member shall follow the detailed guidelines/procedure issued by the University with regard to purchase of consumable and non-consumable items both indigenous as well as imported items.

c) Co-Curricular activities

i) A faculty member is required to arrange guest lectures, seminars etc., to supplement regular lectures and also help in the conduct of faculty development programmes, short- term

ii) programmes, workshops, open houses, exhibitions organized by the Department or University.

iii) A faculty member is required to organize industrial visits, educational tours and accompany the students to visits/tours as and when required by the HOD.

iv) A faculty member if nominated as an Office-bearer such as Treasurer, Adviser of Professional Society functioning in the Department/University he/she shall perform such duties accordingly.

v) A faculty member is required to help the Professional Societies in organizing annual events such as symposium, technical contest, quiz, and also in the interaction with the parent bodies (e.g. ASME, IEEE, IMA, IPA, IPGA, IACP, IDA etc.) to promote the student chapter of the professional bodies.

vi) A faculty member is required to coordinate National / International conferences / seminars / symposium / workshop.

vii) A faculty member should submit project proposals to the funding agencies for financial assistance to conduct seminars, conferences, etc.

c) Extra-curricular activities (Co-administrative Activities)

i) A faculty member should see that the class rooms, department buildings, laboratories and surroundings are kept neat and tidy with the help of personnel assigned for this purpose.

ii) A faculty member should ensure that lights and fans are switched off after the class is over, and if there is no lecture class for the students in the next period to save energy consumption.

iii) As discipline in the campus is very essential, every faculty member should interfere if they notice indulgence by students in activities of condemnable nature.

iv) A faculty member if required to help the HOD in all administrative matters like distribution of hall tickets, mark sheets etc., and compilation of departmental replies to higher authorities etc.

v) The faculty member has to serve as a member of any enquiry committee or as a member of various committees whenever the Department/University organizes major events such as Sports Day, Annual Day, Technical and Cultural Festivals, etc.

vi) Faculty members are liable to be assigned the responsibility of Residential Tutor/Deputy Warden of the hostels run for the benefit of students for a specific period of time and for this service they shall be given perquisites in addition to their salary.

vii) All faculty members are expected to oversee the students go to the class on time and not loitering in the campus.

viii) Faculty members should also take part in activities related to NCC, NSC, NSO, Red Cross Society, Alumni Association, etc., as office bearer/organizer and shall discharge the duties assigned to the position.

ix) Any other activity(s) related to Department or Institutional Development that may be assigned to the faculty member depending on the need.

7.1 WORKLOAD NORMS

a) Working hours

i) All full-time faculty members should perform a minimum of 40 hours of work per week for the University on a 5 day week basis. The University has the right to fix the working hours and days depending upon the exigency.

ii) The 40 hours is only the minimum, but a faculty member is expected to devote more time in connection with execution of sponsored and funded projects, consultancy work, continuing education, summer courses, etc.,

iii) The minimum working hours may vary in the case of part-time and visiting faculty depending upon their condition of employment.

b) Teaching-contact workload

Of the minimum workload of 40 hours per week, the teaching-contact hours for different categories of faculty members are as follows:

Lecturers	- 22 hours/week
Assistant Professors	- 20 hours/week
Associate Professors	- 16 hours/week
Professors	- 14 hours/week
Deans/HODs/Directors	- 10 hours/week

The above mentioned is only minimum contact hours be assigned by the HOD. However, the faculty member is expected to devote his/her time for research, lesson preparation, valuation of test/assignment etc. He/she shall be present in the department during the working hours of the institution, unless, otherwise he/she goes on other official duties with prior permission from the concerned authority.

A faculty member shall follow detailed instructions issued in this regard from time to time by the Management.

8.1 CODE OF CONDUCT

a) Faculty Member and Student

The faculty member plays a pivotal role not only in attaining the general aims of education, but also in the realization of the mission, goals and objectives of the University in which he/she is a member. He/she has to make all efforts for the physical, mental and intellectual development of students. In particular a faculty member shall strive to achieve,

i) to accord just and unprejudiced treatment to all students irrespective of religion, caste, creed, sex, economic and social status.

ii) to make regular contribution for the personal development of students, while looking after their interest and welfare.

iii) to be a role model for inculcating the virtues of self-reliance, national consciousness and democratic values among students.

iv) not to disclose confidential information about students to anyone except to authorized persons/agency or in the interest of law.

v) To be fair and to assess the students impartially and only on merit/performance.

vi) to have respect for and an affectionate and friendly attitude towards all students and help them to improve their behaviour unmindful of some untoward events if occurred, rather than having feeling of revenge.

vii) to abstain from accepting fees or honorarium, gift, etc., other than those permissible under the rules for providing guidance or coaching to the students.

b) Faculty Member and Parents / Guardian

A faculty member is expected to develop closer liaison with the parents/guardian of the students in order to achieve not only the broader objectives of education but also to the progress of the students. The faculty member should

i) respect the prerogative of parents/guardian to look after the interest of students.

ii) develop friendly and co-operative relations with parents/guardian.

iii) monitor the progress and share information about the students with the parents/guardian and also receive information about the students from them, which is essential for the development of students.

iv) bring to the notice of the parents/guardian any short comings/behaviour noticed which the faculty feel, the parents should know.

c) Relationship with Colleagues

A faculty member is expected to develop fraternal relations with his/her colleagues to have proper interpersonal relationships and to develop team spirit. In particular, he/she should

i) move with his/her colleagues in the University in a manner that he/she expects them to move with him/her.

ii) extend co-operation with his/her colleagues in evaluating the students and in other activities relating to the educational matters and the development of his/herprofession.

iii) eschew writing anonymous letters to the authorities about his/her colleagues.

iv) desist spreading rumors or wrong news about his/her colleagues to express his/her displeasure.

v) resist the temptation of harming the teaching community for self-interests.

vi) refrain from passing information about colleagues to any individual or agency without his/her express permission.

d) Faculty Member with Management

A faculty member is expected to develop proper rapport with the employer viz. Management of the University. Mutual respect and fraternal feelings are needed to ensure proper relationships. Measures suggested to achieve the objective include,

i) Perform all professional activities through proper channel.

ii) Do not discuss with unauthorized individuals about professional and secret information.

iii) Look for promotion/elevation only on grounds of competence/performance.

iv) Do not expect appointment or promotion out of turn, based on favouritism or against professional ethics.

v) Honour the provision of the bilateral agreement viz. bond/undertaking, which the faculty member committed/entered with the employer viz. University.

vi) Do not undertake any responsibility/work involving financial benefit in contravention of professional etiquette and the general interest of the University.

vii) Co-operate whole heartedly with the authorities of the University in the fulfillment of educational policies in conformity with professional responsibilities.

viii) Avoid condemnation of authorities, behaviour through anonymous communication to outsiders/newspapers and also conversational conflicts which harm the student's interest.

ix) Conduct the University's transaction with utmost honesty, accuracy and fairness.

x) Avoid unethical practices even on the grounds that it is 'customary'.

xi) Expediency should never compromise integrity.

xii) Get the approval from appropriate authority empowered by the University to take up sponsored funded projects, though faculty members normally encouraged to do so, since such acceptance of an agreement will create a legal obligation on the part of the University to comply with the terms and conditions of the agreement. Only such authority can enter into the agreement on behalf of the University.

xiii) Should follow all norms and standards set by the University for the faculty from time to time.

10.0 USE OF UNIVERSITY RESOURCES

The University resources include, but limited to, the use of telephone systems, data communication and networking services, university domain for electronic communication forums, computers and peripherals, stationery, reprographic facilities, vehicle and other equipment, time and effort of staff, students and others.

These resources must be used only for the purposes of the University. They should not be used for personal gain, and for personal purposes, except in a manner that is incidental, and reasonable in the list of employee's duties.

11.1 FACULTY AND PROFESSIONAL CAREER

An unceasing effort for professional development only ensures the dignity of a faculty member. The measures that would be helpful in ensuing professionalism include,

i) Continuous updating of knowledge and having greater involvement in research, industrial interaction, attending of conferences, seminars, etc.

ii) Having active participation in professional bodies meant for promoting and disseminating of advances in the knowledge frontiers in the field.

iii) Attracting bright youngsters to the academic profession through adoption of teaching norms.

iv) Making teaching more purposeful through active participation in educational planning such as program design, curriculum and syllabi development, etc.

v) Adherence to professional ethics, standards and values, whether supervised or unsupervised.

12.1 REPRESENTATION AND GRIEVANCE REDRESSAL

i) A faculty member should make representation of any suspected infringement or violations of applicable rules and regulations through proper channels beginning with the immediate superior. If for any reason, it is not appropriate to report suspected violations to the immediate superior (eg. The suspected infringement is by the supervisor), the individual may go to a higher level of management within his/her school/department.

ii) Reports/representations shall be made to the grievance redressal committee furnishing factual information/evidence, for necessary redressal.

iii) Faculty member, who is affected, should address his/her problem through proper channel to the grievance committee. If he/she is not satisfied with the committee's outcome, only then, he/she can appeal to higher authorities.

13.1 FACULTY MEMBER AND SOCIETY

The activities of a faculty member are not only related to the University but also have a serious impact on common social interests. Therefore, the following aspects merit consideration in this regard.

i) Adherence to desirable standards expected of professionals by the University.

ii) Participation in diverse activities of the community as a good citizen.

iii) Soliciting public co-operation in the promotion of educational programmes.

iv) Taking necessary efforts for the enrichment of educational, ethical, spiritual, cultural and intellectual life of the community.

14.0 CONFLICT OF INTEREST/COMMITMENT

A faculty member owes his/her primary professional allegiance to the University and its mission to engage in the highest level of education, research and scholarship. He/she is committed to devote his/her time fully to academic, research, consultancy, extension and administration related activities. Therefore, doing private business is strictly prohibited; more so related transactions, personal work, etc., during the University working hours is strictly prohibited.

15.1 MISCELLANEOUS RULES OF CONDUCT

The following are the miscellaneous items of rules of conduct, which a faculty member is expected to follow.

i) If a faculty member wishes to stand for election to any local body, State Legislative Assembly or Parliament, he/she shall seek the permission from appropriate authority and take leave for the period of his/her

election campaign. He/she shall also take such leave as is due to his/her or leave without pay so long as he remains a member of the elected body of which he/she is a member.

ii) A faculty member shall not indulge in any adverse criticism of the University and its officers by means of any article, broadcast or any other document or statement.

iii) A faculty member is entitled to protection by the University if he/she is subjected to any libel in the discharge of his/her duties.

iv) A faculty member shall not be under the influence of any intoxicating drug or liquor during the hours of his/her duty.

v) Use of cell phones by students in the University campus during working hours is discouraged and hence the faculty member has to set an example. They should not use them during class hours, meetings, the open premises, etc., while they are free to use them in their cabin.

vi) Faculty member shall not start private Business Organization, Association of his own or in partnership of his spouse or siblings, without prior information and permission of the university even if it is not pre judicial to his/her duties and even if it is non profiteering.

vii) Notwithstanding the rules and regulations and code of conduct specified in this document, all faculty members should follow the various rules and regulations framed, instructions issued by the University from time to time in true letter and spirit.

VINAYAKA MISSIONS RESEARCH FOUNDATION
Deemed to be University
(Declared Under Section 3 of the UGC Act, 1956)

VMRF-DU - CONSTI ANCY POLICY (2018)

VMRF-DU has a vision to provide research driven environment and facilities to the students and faculty in the university. This docurlJnt draws policy guide lines in regard to consultancy projects in the university and its constituent units.

This policy has been approved by the Board of Management – VMRF-DU

1.0 Background

VMRF-DU University has strong focus on l!alue based research focusing the benefit of the society. VMRF-DU believed that expertise by the university should not only being used to improve the teaching learning but also be used to benefit the larger part of the society. In order to motivate university faculties and staffs to share their knowledge and expertise for betterment of Society, University shall permit consultancy and project/work,in industry, corporate sectors and other organizations by the university faculty and staff members. The staff may use material resources of the University and its constituent colleges for such Consultancy Work. The university shall share the monitoring benefits occurring out of such work/association/assignments with the concerned staff.

2.1 Consultation Category

Following activities will fall undr the consultancy-

I. For development of a product/part of product or services for any individual industry or organization external to the university and its constituent colleges/units shall fall under consultancy where one or more university staff works for such development for a pre agreed cost and period.
II. For modification, augmentation or alteration of any product or process or services where one or more university staff extend their active participation for such job.
III. Any kind of professional advice given by one or more staff of the university to external organization/firm/individual for a pre decided cost and time.
IV. Any research work undertaken by one or mor _staff of the university for any external individual or organization to develop product or process or services.

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V. Conduct of any special courses, delivery expert advice/discourse for a fee to any outside organization/individual .

VI. Any royalty of fees received for any Intellectual Property by a staff and any fees received from outside.

3. Process of Consultancy Projects

Research Directorate/ Office of the Research in the univerity will be the nodal agency for any consultancy activity in the university research development . The concerned constituent colleges/Units will be the administrator and custodian of all documents for consultancy. The copy of the same should be submitted to research Directorate of University. Any staff, department or faculty may initiate the ground work and explore such possibilities. After the basic ground work it should be reported via file/documentation through proper channel to University research directorate for approval. Research Directorate will survey/preliminary inquiry and put up the matter for approval to the VC who may call in person or he may form a team with research directorate for further discussion.

After the negotiation and on arrival on agreement an Agreement Form will be initiated as per the format given at Appendix A by the Research Directorate. The format gives just the guidelines . It may be changed at the description of the Vice Chancellor. It will be signed by the client and Registrar on behalf of the university. The payment received for consultancy will be deposited by the client/constituent colleges/units in university bank account as per terms of the agreement.

In case of faculty and/or university staff going for conduct of special courses/workshops, expert discourse on behalf of the university agreement form will not be raised.

Money received from such consultancy event will be deposited in the Constituent colleges/university Account Section.

4. 0 Revenue Sharing

Consultancy projects received by the various departments if University constituent colleges from private and public organizations/agencies have been categorized into two viz.,

4.1 Total cost of consultancy project is predefined

a. **Overhead charges:** Usually, fifn percent (10%) of the revenue of the project will be charged as overhead paya_ble to the University and paid to the University research Account. The rest of the revenue will be shared as follows:

b. Consultancy project with a substantial contribution by the Investigator(s) and no resources of the institution/units {like labs, computer, software etc utilized), the 'consultancy fee' shall be divided between investigator(s) and the department/institution/units with University in 60:40 ratio. The 60% of the 'consultancy fee' for investigator(s) shall be divided in 2:1ratio between the PI and Co-PI (in case of more than one investigators)

c. Consultancy project utilizing the resource of the University/Institutions such as laboratory facilities, computing facilities, drafting and other facilities, the share of the institute will be 60% of the total consultancy amount received and 40% of the 'Consultancy fee' for investigator(s) shall be divided in 2:1ratio between the PI and co PI

d. The institute share (as stated in 4.lb and 4.1.c shall be divided between the institute and the department concerned in 50:50 ratio. The 50% of the department share shall be credited to the department budget if any.

4.2 The work or laboratory experiments are chosen by the party (individual/public/private organization)

a. In this case , the 'consultancy fee' refers to the total charges of tests conducted for the particular consultancy project/work . The charge / fee for all and every test/experiments are pre defined by the department/institute concerned and must be approved by the University

b. The 'consultancy fee' shall be divided between the investigator(s) and the institution in 60:40 raio.

c. Twenty (20) percent of the 'consultancy fee' received by the investigator(s) shall be given to the laboratory Assistant(s)/Technical Assistants involved in the project, if any.

3

d. The institution share shall be divrjed between the institution and the department concerned in 50:%0 ratio. The 50% of the department share shall be credited to the department budget if any.

*The maximum limit to be daimed by faa.Jlty under 4.1 & 4.2 to be Ri5 Lakhs (Rve Lakhs rupees only) per year induding applicable taxes.

5.0 Contingency incurred

Any contingency expenses incurred in respect of consultancy project will be met from the funds received from the same consultancy project. The fund left after deducting such expenses will be considered as net gain from the consultancy work.

6.0 Staff Appraisal

Consultancy work done by the staff will be entered in the Appraisal Report of the staff and will be given extra weightage in arriving Performance Index

7.0 Final Report

After completion of the consultancy work a detailed report will be submitted by concerning staff in writing to University Research Directorate in which he should mention complete details of work, resources of university used resources from outside, results and feedback of the second party for whom the task was undertaken.

8.0 Declaring the conflict of Interest

Faculty/ Staff undertaking consultancies, whether privately/independently or through University/Institutions/Units, must comply with the University's policy on Conflict of Interest and the same should be declared by both the parties.

Engaging in private professional practice by health care professionals after office hours are exempted from the policy.

4

VINAYAKA MISSION'S RESEARCH FOUNDATION
(Deemed to be University under section 3 of the UGC Act 1956)

RESEARCH PROMOTION POLICY-2020

The Research promotion Policy is formulated to create a vibrant atmosphere of research among faculty, students and researchers in Vinayaka Mission's Research Foundation, a Deemed to be University.The policy shall serve as an overall framework within which research activities may be carried out. This is a University wide Research Policy. It is implementable in all its ambit institutes in all campuses of Vinayaka Mission's Research Foundation in India. The following are research objectives and functions of the Research Foundation:

- The Vinayaka Mission's Research Foundation has constituted a Research Advisory Board, comprising Vice Chancellor as Chairperson, Director (Research) as convener and Eminent academicians and Researchers as members to formulate research policies, oversee and guide the research activities.
- The Vinayaka Mission's Research Foundation has constituted University Research Committee with

Director(Research) as Chairperson, Deputy Director(Research) as convener and HoI/Research Coordinators as members to initiate, follow up and guide the research activities in the institutes.

- Vinayaka Mission's Research Foundation has constituted University Ethics Committee (UEC) with a Retired High Court Judge as a chairperson and Director(Clinical Trials) as Member-Secretary to oversee the Ethical issues related to multidisciplinary research projects, clinical trials and ethical issues related to research in the constituent colleges
- In additionVMRF-DU has constituted Institutional Research Committees with HoI as Chairpersonand approved Ethical Committee by CDSCO wherever applicable to follow up and guide the research activities in the institute.

Research, being one of the major functions of this Academic institution, the University consistently motivates the faculty Members to undertake research projects, funded by UGC, DST, DBT, ICMR, CSIR, DRDO, CCRH and other funding Agencies, to promoteresearch and to

generate knowledge through innovative research to meet the industry needs.

- The University extends financial support to the faculty members for presenting papers and publishing research articles as per the university research incentive policy.
- The Universityawards the faculty members who publishes research papers in the refereed journals and books with incentives (as per the revised research incentive policy, 2019) annually to motivate them to achieve more in the field of research.
- The University renders financial assistance to each Institution to organize National and International Conferences, inter-university seminars/workshopsregularly.
- The University periodically improves theresearch infrastructure facilities, State-of-the art laboratories in the constituent institutions, the digital library and the Internet Connectivity to make research work more feasible.
- The University encourages the students to take up projects, provides them with ample opportunity to present papers in conferences and seminars on and off the campus, and stimulates them to publish their findings in journals.

- The Universityencourages to recruit Ph.D. holders as faculty for improving the quality of research.

- The University promotes interdisciplinary research, multidisciplinary research by encouraging all the Departments in the constituent institutions to take up interdisciplinary/multidisciplinary projects and conduct interdisciplinary/multidisciplinary seminars/conferences.
- The University constituted Interdisciplinary research Promotion Cells to promote interdisciplinary research among the Constituent colleges .
- The University constituted Intellectual Property rights Cell for promoting the innovations in research.

- In addition to the UG and PG laboratories, the constituentinstitutions are encouraged to establish Research labs and Research Centers of Excellence in the innovative areas of research.
- To expand the relevance of research carried out in institutions, foster the commercialization of R&D outcomes, and increase the mobility of experts between public and Private Sectors. Towards this University is constantly encouraging the initiatives to establish industry linkages and networking with different

institutions through collaboration and MoU's.

- ❖ University felicitates and rewards faculty members and staffs involved in researchandconsultancy projectsas per the University Consultancy Policy.
- ❖ The university grants awards to the faculty and the institutions for carrying out quality research, best publications and patents as per the university research incentive policy.
- ❖ Contributions to research are given due weightage in the annual performance review of the faculty and considered for their carrier advancement.
- ❖ Sabbatical for the faculty members for pursuing postdoctoral research.
- ❖ University offers Seed money to the faculty to carry out research and prove their research concepts.
- ❖ University recruits Research Associates to carry out full time research in emerging areas and areas of relevance to the ambit institutes.
- ❖ University provides fellowship amount to its Ph.D scholars to carry out research in the areas of relevance to the institutes.

- University provides fellowship to carryout Postdoctoral Research in the university.

- University provides student fellowships to carryout short term UG/PG research projects.

- University encourages incubation of research ideas through incubation centers.

VMRF (DU) Academic Integrity

and Prevention of Plagiarism Regulations, 2019

1. Preamble

Ethics and honesty are the two most important and integrated components of the academic activities in teaching or research, which are founded upon extremely high moral values. There cannot be any room for claiming the credit for the work she/he has not undertaken. Many times it is observed that some of the "researchers/academicians" knowingly or unknowingly publish or present other's work as their own. Such acts will affect healthy academic atmosphere in the academic institution, which will also harm the reputation of the academic institution as well as the individual. It is, therefore, necessary for any reputed and prestigious university to formulate well defined Guidelines to check menace of plagiarism. Accordingly Vinayaka Mission's Research Foundation (Deemed to be University) VMRF (DU) has framed the following guidelines in line with the University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Education Institutions) Regulations, 2018 (vide No. F.1- 18/2010(CPP-II) dated 23rd July,2018.

2. Definition of Plagiarism

- Submitting someone else's work as one's own;
- Copying words or ideas from someone else, without giving credit to the original work;
- Failing to put a quotation with quotation marks;
- Giving incorrect information about the source of a quotation;
- Changing words but copying the sentence structure of a source without giving credit to the original work;

- Copying more than 20 words continuously from a source, whether you give credit to the original work or not; and
- Manipulation or misinterpretation of others' work (published or un-published) as her/his own by modifying numerical values in figures, tables and illustrations.

3. Short title, application and commencement–

a) These regulations shall be called the VMRF(DU) Academic Integrity and Prevention of Plagiarism Regulations,2018 in line with UGC Regulation dt.23rd July,2018

b) They shall apply to the students, faculty, researchers and staff of all Higher Educational Institutions of VMRF (DU).

c) These regulations shall come into force with immediate effect

4. Definitions-

In these regulations, unless the context otherwise requires—

a) "Academic Integrity" is the intellectual honesty in proposing, performing and reporting any activity, which leads to the creation of intellectualproperty;

b) "Author" includes a student or a faculty or a researcher or staff of Higher Educational Institution (VMRF(DU)) who claims to be the creator of the work under consideration;

c) VMRF(DU) means Vinayaka Mission's Research Foundation (Deemed to be University)

d) "Commission" means the University Grants Commission as defined in the University Grants Commission Act,1956;

e) "Common Knowledge" means a well known fact, quote, figure or information that is known to most of the people;

f) “Degree” means any such degree specified by the University Grants Commission, by notification in the Official Gazette, under section 22 of the University Grants Commission Act,1956;

g) “Departmental Academic Integrity Panel” shall mean the body constituted at the departmental level to investigate allegations ofplagiarism;

h) “Faculty” refers to a person who is teaching and/or guiding students enrolled in VMRF(DU) in any capacity whatsoever i.e. regular, ad-hoc, guest, temporary, visitingetc;

i) "Information" includes data, message, text, images, sound, voice, codes, computer programs, software and databases or microfilm or computer generatedmicrofiche;

j) “Institutional Academic Integrity Panel” shall mean the body constituted at Institutional level to consider recommendations of the departmental academic integrity panel and take appropriate decisions in respect of allegations of plagiarism and decide on penalties to be imposed. In exceptional cases, it shall investigate allegations of plagiarism at the institutionallevel;

k) “Notification” means a notification published in the Official Gazette and the expression “notify” with its cognate meanings and grammatical variation shall be construedaccordingly;

l) “Plagiarism” means the practice of taking someone else’s work or idea and passing them as one’sown.

m) “Programme” means a programme of study leading to the award of a masters and research leveldegree;

n) “Researcher” refers to a person conducting academic / scientific research inVMRF(DU);

o) “Script” includes research paper, thesis, dissertation, chapters in books, full-fledged books and any other similar work, submitted for assessment / opinion leading to the award of master and research level degreesor publication in print or electronic media by students or faculty

or researcher or staff of an VMRF(DU) ; however, this shall exclude assignments/termpapers/projectreports/course work/essaysandanswerscripts etc.;

p) "Source" means the published primary and secondary material from any source whatsoever and includes written information and opinions gained directly from other people, including eminent scholars, public figures and practitioners in any form whatsoever as also data and information in the electronic form be it audio, video, image or text; Information being given the same meaning as defined under Section 2 (1) (v) of the Information Technology Act, 2000 and reproduced here in Regulation 2(l);

q) "Staff" refers to all non-teaching staff working in VMRF(DU) in any capacity whatsoever i.e. regular,temporary,contractual,outsourcedetc.;

r) "Student"means a person duly admitted and pursuing a programme of study including are search programme in any mode of study (full time or part-time or distancemode);

s) "University" means a university established or incorporated by or under a Central Act, a Provincial Act or a State Act, and includes an institution deemed to be university under section 3 of the UGC Act, 1956;

t) "Year" means the academic session in which a proven offence has beencommitted. Words and expressions used and not defined in these regulations but defined in the University Grants Commission Act, 1956 shall have the meanings respectively assigned to them in UGC Act, 1956.

5. Objectives

5.1 To create awareness about responsible conduct of research, thesis, dissertation, promotion of academic integrity and prevention of misconduct including plagiarism in academic writing among student, faculty, researcher andstaff.

5.2 To establish institutional mechanism through education and training to facilitate responsible conduct of research, thesis, dissertation, promotion of academic integrity and deterrence fromplagiarism.

5.3 To develop systems to detect plagiarism and to set up mechanisms to prevent plagiarism and punish a student, faculty, researcher or staff of the VMRF(DU) committing the act of plagiarism.

6. Duties of University:

a) VMRF(DU) should establish the mechanism as prescribed in these regulations, to enhance awareness about responsible conduct of research and academic activities, to promote academic integrity and to prevent plagiarism.

b) Awareness Programs and Trainings:

- VMRF(DU) 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.
- VMRF(DU) shall conduct sensitization seminars/ awareness programs every semester on responsible conduct of research, thesis, dissertation, promotion of academic integrity and ethics in education for students, faculty, researcher andstaff.

c) VMRF(DU) shall:

i. Include the cardinal principles of academic integrity in the curricula of Undergraduate (UG)/Postgraduate (PG)/Master's degree etc. as a compulsory coursework/module.

ii. Include elements of responsible conduct of research and publication ethics as a compulsory course work/module for Masters and Research Scholars.

iii. Include elements of responsible conduct of research and publication ethics in Orientation and Refresher Courses organized for faculty and staff members of theVMRF(DU).

iv. Train student, faculty, researcher and staff for using plagiarism detection tools and reference managementtools.

v. Establish facility equipped with modern technologies for detection ofplagiarism.

vi. Encourage student, faculty, researcher and staff to register on international researcher's Registry systems.

7. Curbing Plagiarism

a) VMRF(DU) implements the technology based mechanism using antiplagiarism 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 theirsubmission.

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

c) Every student submitting a thesis, dissertation, or any other such documents to the University 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 anyplagiarism.

d) The undertaking shall include the fact that the document has been duly checked through a Plagiarism detection tool approved by theUniversity.

e) VMRF(DU) deviced a policy on plagiarism and approved by thestatutory bodies/authorities. The approved policy placed on the homepage of the VMRF(DU) website.

f) Each supervisor shall submit a certificate indicating that the work done by the researcher under him / her is plagiarismfree.

g) VMRF(DU) shall submitt the softcopies of all Masters, Research program's dissertations and thesis to INFLIBNET within a month after the award of degrees for hosting in the digital repository under the"*ShodhGangae-repository"*.

h) VMRF(DU) created Institutional Repository on institute website which shall include dissertation / thesis / paper / publication and other in-housepublications.

8. Similarity checks for exclusion fromPlagiarism

The similarity checks for plagiarism shall exclude the following:

a) All quoted work reproduced with all necessary permission and/orattribution.

b) All references, bibliography, table of content, preface andacknowledgements.

c) All generic terms, laws, standard symbols and standardsequations.

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.

9. 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, nopenalty

ii. Level 1: Similarities above 10% to40%

iii. Level 2: Similarities above 40% to60%

iv. Level 3: Similarities above60%

10. Detection/Reporting/Handling ofPlagiarism

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 to the Departmental Academic Integrity Panel (DAIP). Upon receipt of such a complaint or allegation the DAIP shall investigate the matter and submit its recommendations to the Institutional Academic Integrity Panel (IAIP) of the VMRF(DU).

The authorities of VMRF (DU) can also take *suomotu* notice of an act of plagiarism and initiate proceedings under these regulations. Similarly, proceedings can also be initiated by the VMRF (DU) on the basis of findings of an examiner. All such cases will be investigated by the IAIP.

11. DepartmentalAcademicIntegrityPanel(DAIP)

i. For Ph.D candidates the Doctoral Committee and the Plagiarism Software Expert (Research Coordinator of the Constitutent Unit) shall act as a DAIP of the Each candidate registerd.

ii. In addition, All Departments in VMRF(DU) constituent colleges shall notify a DAIP whose composition shall be as givenbelow:

a) Chairman - Head of the Department

b) Member - Senior academician from outside the department, to be nominated by thehead of HOI.

c) Member - A person (Research Coordinator of the Institution) 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).

iii. The DAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher andstaff.

iv. The DAIP shall have the power to assess the level of plagiarism and recommend penalty(ies) accordingly.

i. The DAIP after investigation shall submit its report with the recommendation on penalties to be imposed to the IAIP within a period of 45 days from the date of receipt of complaint / initiation of theproceedings.

12. Institutional Academic Integrity Panel (IAIP)

i. VMRF(DU) shall notify a IAIP whose composition shall be as givenbelow:

a) Chairman - Pro-VC/Dean/Senior Academician of theVMRF(DU).

b) Member - Senior Academician other than Chairman, to be nominated by the Head ofVMRF(DU).

c) Member - One member nominated by the Head of VMRF(DU) from outside theVMRF(DU)

d) Member Apersonwellversedwithanti-plagiarismtools,to be nominated by the Head of the VMRF(DU).

The Chairman of DAIP and IAIP shall not be the same. The tenure of the Committee members including Chairman shall be three years. The quorum for the meetings shall be 3 out of 4 members (including Chairman).

ii. The IAIP shall consider the recommendations of DAIP.

iii. TheIAIPshallalsoinvestigatecasesofplagiarismaspertheprovisionsmentionedintheseregulations.

iv. The IAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff ofVMRF(DU).

v. The IAIP shall have the power to review the recommendations of DAIP including penalties with due justification.

vi. The IAIP shall send the report after investigation and the recommendation on penalties to be imposed to the Head of the VMRF(DU) within a period of 45 days from the date of receipt of recommendation of DAIP/ complaint / initiation of theproceedings.

vii. The IAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.

13. Penalties

Penalties in the cases of plagiarism shall be imposed on students pursuing studies at the level of Masters and Research programs and on researcher, faculty & staff of the VMRF (DU) 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.

13.1 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 upto 10% - Minor Similarities, nopenalty.

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 6months.

iii. Level2:Similaritiesabove40%to60%- 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 becancelled.

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 IAIP and approved by the Head of the Institution.

13.2 Penalties in case of plagiarism in academic and research publications

I. Level 0: Similarities up to 10% - Minor similarities, nopenalty.

II. Level 1: Similarities above 10% to40%

  i. Shall be asked to withdrawmanuscript.

III. Level 2: Similarities above 40% to60%

  i. Shall be asked to withdrawmanuscript.

  ii. Shall be denied a right to one annualincrement.

  iii. Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a period of twoyears.

IV. Level 3: Similarities above60%

  i. Shall be asked to withdrawmanuscript.

  ii. Shall be denied a right to two successive annualincrements.

  iii. Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a period of threeyears.

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 VMRF (DU).

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 IAIP and approved by the Head of the Institution.

Note 3: VMRF (DU) 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 VMRF (DU) is checked for plagiarism at the time of forwarding/submission.

Note 4: If there is any complaint of plagiarism against the Head of a VMRF (DU), a suitable action, in line with these regulations, shall be taken by the Controlling Authority of the VMRF (DU).

Note 5: If there is any complaint of plagiarism against the Head of Department/Authorities at the institutional level, a suitable action, in line with these regulations, shall be recommended by the IAIP and approved by the Competent Authorit

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

14. Procedure for Plagiarism Check

The University provides plagiarism checker software(s) to detect the similar textual content already published in various information sources. This facility will be available in all the Institutions of VMRF (DU). It is the responsibility of the Research Scholars and Supervisors to check the soft copy of the PhD/Post-PhD theses and documents for plagiarism, using the plagiarism detection software, while submitting their theses to the University.

VINAYAKA MISSIONS RESEARCH FOUNDATION

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Unersity Grants Commissn

HAND BOOK ON CODE OF CONDUCT

FACULTY, STUDENTS, STAFFS AND ADMINISTRATORS