



Mangalayatan University, Aligarh

Academic and Research Cell

Research Ethic Policy

General

The Research at the Mangalayatan University carried out according to the principles of integrity, academic excellence, accountability, inclusiveness and professionalism. All research must follow appropriate ethical, legal and professional frameworks, obligations and standards.

All researchers within the Mangalayatan University, Aligarh have a duty to society, to their profession, to the University and to those funding their research, to conduct their research in the most integrative and responsible manner possible. The University seeks to foster an environment where good research practice is encouraged with adequate mentoring and supervision at all relevant levels.

It is responsibility of the Dean/Head of the departments/Director of Institutions to convey clearly the standards for research in their departments and to ensure their implementations.

Research is basically and original investigation to acquire knowledge and understanding, it includes:

- The invention and generation of ideas, images, performances, artifacts including design, leading to new or substantially improved insights; work of direct relevance to the needs of commerce, industry, and to the public and voluntary sectors; scholarship such as the creation, development and maintenance of the intellectual infrastructure of subjects and disciplines (e.g., dictionaries, catalogues and research databases); the use of existing knowledge and experimentation to develop new or substantially improved materials, devices, products and processes, including design and construction.
- Additionally, the University provides guidelines for good practice in research data management and open access to research data as an integral part of high-quality research.
- This policy applies to all employees, students and visiting researchers of the University, including persons holding honorary University appointments who conduct research within, or on behalf of, the University.
- All members of the University are individually responsible for ensuring that their work is conducted in accordance with the University conditions of employment or study. Disregard with this



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policy may lead to the failure of assessed work, the suspension of study/research projects, and/or funding from research sponsors, or to the inability to publish.

- Work conducted without the appropriate ethical approval (wherever required) or in deliberate contravention of the decisions of the Director Research would not be covered by the University's indemnity arrangements.

Misconduct

Research misconduct constitutes a serious deviation from the accepted practice in proposing, performing, and/or reviewing research and /or in reporting research results. It includes but is not limited to fabrication, falsification, plagiarism or/and deliberate interference in performing or/and reviewing research etc. Misconduct that occurs in the research setting but does not affect the integrity of the research record, such as misallocation or misuse of funds, sexual harassment and gender discrimination, however will not be covered in this document.

Definitions

- Complainant means an individual who makes a complaint of research misconduct by furnishing a formal written complaint.
- Preliminary Investigation, also known as Fact Finding Inquiry, is the process of Evaluating the veracity of the Complaint, and such preliminary inquiry will include the following steps:
 - ✓ Study and analysis of the complaint.
 - ✓ Listing the facts that need to be verified and the documents in support thereof.
 - ✓ Listing the documents and the persons who can provide information on the matters.
 - ✓ Studying the information collected.
 - ✓ Preparing the Preliminary Investigation Report and submitting it to the Disciplinary Authority along with the documents and statements of witnesses.
- Research: For the purposes of this Policy, it will mean and include basic, applied and demonstration research in all fields of knowledge.



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- **Research Record:** means the record of data or results that constitute the facts resulting scientific or other scholarly inquiry, including, research proposals, laboratory records, either physical or electronic, progress reports, abstracts, oral presentations, internal reports, journal articles and articles in conference proceedings.
- **Respondent:** means a person including an Employee, Student or any third party against the complaint has made of Research Misconduct.
- **Student:** means students of the university studying (part/full time) including research fellows and exchange students;

Compliance with Laws, Regulations and Policies

The Administrative procedures to be followed by the university pursuant to this Policy are, in subject to the requirements of law. The university will comply with all applicable state government laws, regulations and Policies as they apply to the topic of misconduct.

The Committee on Academic Integrity in Research (CAIR)

The Hon'ble Vice chancellor of the University shall constitute a special Committee on Academic Integrity in Research, (CAIR) for preliminary inquiring a complaint on receipt of direction of higher authority. The members of CAIR shall have a one year term subject to renewal by Authority and reconstitution at the end of every academic year. The safeguards in this policy shall be provided to the members of CAIR, as applicable.

Complaint

- Any individual who comes across an act of research misconduct may submit complaint in writing to the Director Research. The Complaint will be forwarded to CAIR for preliminary investigation. A Complaint in the first instance could provide some details on the concerns raised by the Complainant including the names of the relevant parties, names of witnesses, if any, relevant dates, list of documents, locations, publications and the subject matter of the research misconduct in question.
- On receipt of the complaint CAIR shall take all reasonable and practical steps to appropriately preserve, in a secure manner, all potentially relevant research records and evidence, taking custody of and overseeing the inventory of material and return all the documents along with the Preliminary Report to the Hon'ble Vice Chancellor for the further action.



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Inquiry

An Inquiry into a complaint shall consist of following phases:

- Preliminary Inquiry (conducted by CAIR): collection of preliminary information and fact finding to assess whether such Complaint has substance and if so, whether an inquiry is warranted. The preliminary inquiry should be conducted as expeditiously as possible and should normally be concluded within 15 days from the date of receipt of the complaint along with all details by CAIR.
- Decision and Corrective Action: the formal procedure for reviewing and evaluating the Inquiry Report and taking next suitable steps including furnishing of the Report to the Respondent and reviewing the response of the Respondent and finally imposing penalty by the Hon'ble Vice Chancellor.

Safeguards in Dealing with Research Misconduct Guidelines

- Inquiry should be fair, comprehensive and conducted expeditiously, without compromising accuracy, objectivity or thoroughness.
- Confidentiality: To the extent possible, all written materials and information with respect to any proceedings shall be kept confidential.
- Conflicts of Interest: A clash of personal interests with professional activities can lead to a potential conflict of interest. It is necessary to protect actual professional independence, objectivity and commitment and also to avoid an appearance of any conflict of interest. To promote transparency and enhance credibility, potential conflicts of interests must be disclosed in writing to appropriate authorities, so that a considered decision can be made on a case by case basis.
- Handling Whistle blowers: It is important to protect the rights of whistle blowers during investigation and to ensure that their career prospects are not endangered.
- Transparency: Allegations of misconduct should be handled in a consistent and transparent fashion.
- Fairness to Respondent: Persons accused of research misconduct are given full details of the allegation(s) and allowed a fair process for responding to allegations and presenting evidence.



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- Taking Appropriate Action: Appropriate action should be taken against persons guilty of misconduct and such action must be proportionate to the severity of the violation.





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Safeguards for the Complainant

In addition to any other safeguards provided for in this Policy, the following safeguards shall be provided to a Complainant. In all cases of complaint, the university shall ensure that:

- The Complainant is treated fairly and reasonably.
- All reasonable and practical efforts are made to protect the Complainant from potential or actual retaliation.
- Diligent efforts are made to protect or restore the position and reputation of the Complainant.

However, in the event that the Inquiry Authority determines that a Complainant has made a Complaint for malicious reasons, or was otherwise not acting in good faith in making such Allegation, the Committee may recommend that appropriate action be taken against such Complainant.

Safeguards for the Respondent

In addition to any other safeguards provided for in this Policy the following safeguards shall be provided to a Respondent

- Respondent is assumed not to have committed Research Misconduct unless and until a finding of such has been made and should be protected from penalty and public knowledge until judged culpable.
- The Respondent in turn shall cooperate with the administrative procedures described in this Policy including by providing information, research records and evidence to the university representatives when so requested.
- The university shall not impede the ability of a Respondent to continue the work, and shall ensure that other corrective or adverse action not be taken, during the Investigation unless the Vice Chancellor determines that there are compelling reasons to suspend the Respondent's work or take such action during such period.
- During a Preliminary Inquiry, the Respondent shall have the right to meet with CAIR and to respond to the Complaint orally and in writing.
- The university shall take all reasonable efforts, if requested and as appropriate, to protect or restore the reputation of any Respondent against whom no finding of Research Misconduct is made.



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Safeguards for Witnesses

The university shall ensure that:

- All reasonable and practical efforts are made to protect Witnesses from potential or actual retaliation; and also maintain their confidentiality.
- Diligent efforts are made to protect or restore the position and reputation of Witness.

Penalties

In so far as employees are concerned, penalties enumerated as per university rules. In addition, the Disciplinary Authority has liberty to impose the following penalties.

- In Case Respondent is a Faculty Member (whether permanent, on tenure track, or on contract) the Disciplinary Authority may
 - Issue a written warning
 - Delay career advancement (promotion) for a specified time period,
 - Declare the Respondent ineligible for future university awards. (for a specified time period)
 - Inform agencies that have funded the Respondent's research work
 - Inform relevant National and International Academies
 - Strip the Respondent from all prior university awards and recognitions
 - Make the Respondent ineligible to receive any form of research funding from the university.
 - Prohibit the Respondent from taking any new PhD students.
 - Recommend against contract extension or tenure.
 - Terminate Employment
- In Case Respondent is a Post-Doctoral Scholar, the Disciplinary Authority may
 - Issue a written warning
 - Strip the Post-Doc fellowship / Awards
 - Declare the Respondent ineligible to be considered for future awards
 - Inform Agencies that Sponsor the Post-Doc
 - Terminate Employment
- In Case Respondent is a Student, the Disciplinary Authority may
 - Issue a written warning
 - Strip the student of all awards

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- Declare the student ineligible for any awards
- Inform Agencies that sponsor the student
- Expel the student

Appeal

Any person aggrieved by the Report-cum-Findings and the consequent action taken by the Disciplinary Authority may file an Appeal to the Hon'ble Vice Chancellor as per universities Regulations.

