



YENEPOYA
UNIVERSITY

No.YU/REG/PA/NOT/Oct 2013

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NOTIFICATION

Sub: Prevention of Malpractice in Research

**Ref: 1. Proceedings of YRC Governing Council meeting held on 26.6.2013.
2. Proceedings of Board of Management meeting held on 17.8.2013.**

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The Yenepoya Research Centre Governing Council (YRCGC) at its meeting held on 26.6.2013 (agenda 3), after examining the draft of the "Prevention of Malpractices in Research" has recommended the said document for adoption and it has been approved in the Board of Management meeting held on 17.8.2013 (Agerida 8) and it is hereby notified;

Copy of the approved document on the subject is attached herewith.

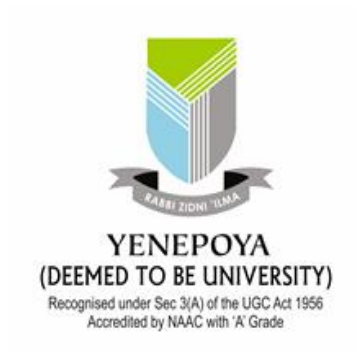
All concerned are requested to go through the same and implement the provisions contained therein.


Registrar

To:
The concerned.

Cc to:
The Statutory Officers
Director-A&A, Director-R&F
Special Officer, NAAC Office, Academics

Office of the Deputy Director, Yenepoya Research Centre	
No.	239
Date	10.10.2013

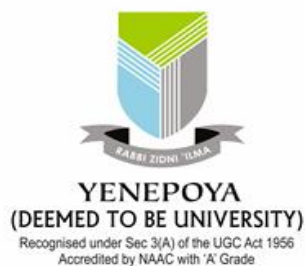


Prevention of Malpractices in Research



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Prevention of Malpractices in Research

1. Scope of the document

The Yenepoya University (YU) expects all research work under the University to be conducted at the highest standards of integrity. The university demands all staff members, undergraduate students, postgraduate students, research scholars, junior research fellows, senior research fellows, doctoral and postdoctoral researchers, research associates and others who are involved in research to abide by the highest standards of research integrity. It also requires all the researchers to adhere to the highest standards of performance with required ethical conduct and sincerity with respect to their own actions and in response to the actions of others involved in research. Any research related activity either intentional or otherwise- that is likely to destabilize the integrity essential in research is considered as malpractice. Any incidents of research malpractice either by the staff members or by the students will be considered seriously by the university and shall initiate necessary actions whenever required by the university. It should be noted that this document is to encourage all researchers to do research with the highest standards of truthfulness and in any way not to stop or discourage the researchers from conducting the research. This document is made in line with policies developed by various Universities worldwide and will be subject to review on demand. The university shall also provide necessary training to all the faculty and researchers to ensure that they are aware of the best practices in the research process.

The purpose of this document is;

- To provide education for preventing malpractice in research to all those involved in research in this university.
- To develop appropriate measures to prevent the incidence of malpractice.

- To ensure that the issues of malpractice are dealt with the principles of natural justice with an open mind and in fair and transparent manner by the University.

2. Definitions/terminologies related to malpractice

2.1 Research malpractice

Any research related activity either intentional or otherwise that is likely to undermine the integrity essential to research is considered as research malpractice. This includes plagiarism, collusion, fabrication or falsification of the data, ethical misconduct and any other practice that could result in unearned or undeserved credit for those committing it. Research malpractice can result from a deliberate act of cheating or may be committed unintentionally. Whether intended or not, all incidents of research malpractice will be treated similarly.

2.2 Categories of malpractice

2.2.1 Plagiarism

Plagiarism is the intentional or unintentional usage of another's ideas, works, writings, inventions, documents, papers etc., as one's own without unambiguous, clear and proper acknowledgement to the original researcher. Self plagiarism is also included as research malpractice.

2.2.2 Collusion

Collusion is an agreement between two or more researchers to hide someone else's individual input to the collaborative work (sometimes secretive), to limit open competition by deceiving, misleading, or defrauding others of their legal rights, or in gaining an unfair advantage.

2.2.3 Fabrication

Fabrication or falsification of data or results is the inappropriate manipulation with the intention to deceive. This includes false modification or manipulation of the raw data or graphs, tables, images, etc.

2.2.4 Misrepresentation

Misrepresentation in research includes

- a. Knowingly, irresponsibly or by gross negligence presenting a flawed interpretation of data
- b. Suppression of relevant findings with intention to deceive
- c. False credit of authorship in publication and other scientific reports.
- d. Not providing authorship to all those who are actively involved in the work.
- e. Undisclosed duplication of publication
- f. Deliberately attempting to deceive when making a research proposal
- g. Providing wrong information about skills, qualifications and/or experience
- h. Failure to declare material interests involved in research.
- i. Not giving credit to the Guide in a thesis related publications
- j. Guide writing the paper of the student as the first author

2.3 Gift authorship

Gift authorship includes giving authorship based on friendship or compelled to include the name of the superiors.

2.4 Salami Publication

Salami publication is data gathered by one research project is separately reported (wholly or in part) in multiple end publications. It is generally considered questionable when not explicitly labeled, as it may lead to the same data being counted multiple times as apparently independent results in aggregate studies.

2.5 Acknowledgement

Improper acknowledgement in research includes

- a. Not acknowledging the help of others
- b. Not giving credit to the Organization/Institution where the work was originally initiated
- c. Not acknowledging the financial support obtained from funding agencies

2.6 Malpractices relating to ethical issues

This includes performing any research activities either on human beings or animal system without taking appropriate approval from the respective ethics committees of the university and or appropriate organizations. In addition, performing research activities on patient samples without the written informed consent is also considered as a malpractice.

3. Roles and responsibilities of individual researchers in prevention of malpractices

It is stressed to maintain a good research environment in YU to create a positive atmosphere which ensures that malpractice is understood and seriously discouraged. The standards regarding malpractice are conveyed to all levels within the institute through this document and revisions thereof. The existing and newly recruited student or staff who shall be involved with research activities should ensure that they understand the seriousness of research malpractice and their roles and responsibilities in preventing research malpractice. This document shall be a mandatory material in the study program for the students and research scholars.

3.1 Role of individual researcher

Individual researcher can be a student, faculty member, or a visiting faculty and should be aware of all the categories of malpractice and should refrain themselves from doing that. As well they should report any cases of malpractice to the concerned authorities without fail to prevent major consequences.

3.2 Faculty/Guide/Co-guide/Mentor

He/she will be the first shield against malpractice. Their role is twofold in identifying, countering and discouraging malpractices by student/research scholar under his/her supervision.

3.2.1 As a first step,

- a. All the research assignments are designated/ formulated in such a way that they automatically reduce the chance of plagiarism.
- b. Supervised assessment of the works performed.
- c. Ensuring presentation of data, analysis and interpretation in an unbiased manner
- d. Understanding the student's abilities and judging the work produced on the basis on their abilities.
- e. Formally declare that the work submitted by the student is their own work and original.
- f. Checking for plagiarism using software provided at the library/or free software available.
- g. Teaching appropriate ways of recording cited text and the use of secondary data and techniques of referencing with examples.

h. He/she will not directly or indirectly influence the researchers/students towards biased/prejudiced preoccupied notion towards experimental outcome during or prior to the experimental results are obtained.

3.2.2 As a second step the guide/mentor are responsible for identifying the fact that the results submitted by the students are true. If the guide/mentor thinks there is a chance of malpractice, he/she should discuss it in detail with the student / research scholar through cross checking his work books, raw data, etc.

3.2.3 If any faculty member observes/suspects the malpractice of any student/ research scholar, he/she should inform it to the concerned authorities for further investigation.

3.3 Head of the Department

His/her role forms the second stage in ensuring that malpractice does not exist in the research work conducted in their department. Head of the department, as a vital part of quality assurance, can check for scopes of malpractice in the research work conducted by the students or staff members in his/her department. However he/she has to handle it through natural justice with an open mind and in a fair and transparent manner. If any student or staff member identified with malpractice feels that the case was not handled efficiently, then they have the right to appeal to the higher authority such as Dean /Vice Chancellor of the University.

3.4 Deans of the Faculty

As the head of the faculty/College, he/she can handle any individual allegations of malpractice at the college level or refer to a concerned committee (e.g.; Malpractice Prevention Committee) to investigate the matter in detail. However, the committee members should not have conflict of interest or bias with the person alleged for malpractice. The person alleged for malpractice has the right to request for the exclusion of any of the malpractice prevention committee members (Under valid circumstances only).

3.5 Head of the Institution:

As the Head of the institutions, Vice Chancellor shall handle all the cases of research malpractice to ensure that the highest standard of research integrity is maintained in the university. He shall also ensure that university has zero tolerance towards scientific/research misconduct.

4. Dealing with malpractice

Worldwide universities have made stringent rules in dealing with various types of malpractices in research. In line with that, YU shall adopt the following measures whenever necessary.

4.1 Minor acts of malpractice

This will be handled by the supervisor or head of the department and the person involved in malpractice shall be made aware the consequences of malpractice. As well the supervisor shall monitor his/her research activities closely.

4.2 Major acts of malpractice

Extensive malpractice, second or subsequent offences, inappropriate for staff to deal should be handled as follows;

1. Any incident of malpractice should be documented by the Head of the Department /and Dean of the faculty and brought to the notice of the concerned committee of the University.
2. Once the alleged malpractice is suspected, the alleged person involved in the activity has to be informed in writing about the nature of alleged malpractice as well as the possible consequences if malpractice is proven by the Head of Department, Dean or Head of the Institution.
3. The alleged individual shall be given time and chance to explain his/her point of view and the same shall be given in writing.
4. The response of the individual shall then be reviewed thoroughly and the University shall ensure that the investigation is conducted in a fair and transparent manner.
5. Decision on the completed investigation shall be given in writing on to the individual.
6. Appropriate actions shall be initiated according to the nature of incident by the Department where the research work was undertaken in order to prevent future incidents.
7. Gross misconduct shall be dealt through disciplinary procedures such as;
 - a. A reprimand and warning about future incidences of misconduct.
 - b. Barring from doing research work for a certain duration

- c. Preventing from publishing the data or other relevant penalties as decided by the concerned committee.
8. The University has the right to decide the disciplinary actions which is dependent on the seriousness of incident and recommendations from the malpractice prevention committee or concerned committee of the University.
9. Malpractice prevention committee must attempt to ensure consistency in disciplinary procedures between cases, making a judgment about what is a proportionate penalty and ensuring that the penalty chosen does not have consequences for the academic progress of the individual or group of individuals.
10. The committee shall consider the proportion of the piece of work that was subject to malpractice, student's level of study, overall credibility of the piece of the work, researcher's history of offence, etc., while assessing the severity of malpractice.
11. All stages of this investigation shall be documented and the records shall be maintained for at least three years after the decision.
12. Any incidences of research malpractice that cannot covered in this document shall be handled independently in a fair and transparent manner by the malpractice prevention committee or concerned committee notified for the purpose by the Head of the institution.

Note: Information provided in this document is adopted and modified from the policies on prevention of malpractice available in the universities across United States of America and Europe.