



**KALINGA
UNIVERSITY**

Policy on Research Integrity and Ethics



Policy Document on Research Integrity and Ethics

Preamble

Kalinga University is committed to promote and preserve a climate of research which promotes creativity, innovation and productivity with high ethical standards. The university is committed to nurture scholars and researchers to carryout research strictly by adhering to the highest norms of professional standards, while fully respecting academic freedom and individual uniqueness. Every member of the research community is called upon to design research, collect data, analyze and report their findings avoiding both intentional and negligent behavior which may result in the violation of law, plagiarism, dishonesty, fabrication or misrepresentation of data.

Kalinga University subscribes to ethical principles in its research to protect the rights, dignity, health, safety and privacy of research subjects the welfare of animals and the integrity of the environment. We are further committed to protecting the health, safety, rights and academic freedom of researchers and the reputation of the University as a centre for properly conducted, high quality research.

Objective

The purpose of this document is to lay down a positively oriented set of policy statements and guidelines for maintaining integrity and ensuring ethical practices in research. Not only does the ethical conduct of scientific research satisfy a scientific moral code; it also leads to better scientific results because the adherence to ethical research practices leads to more attention to the details of scientific research, including qualitative analysis and quantitative & statistical techniques, and to more thoughtful collaboration among investigators. Also, the credibility of science with the general public depends on the maintenance of the highest ethical standards in research. Adherence to this policy will help an investigator to avoid departure from accepted ethical research practice and prevent deviations that constitute research misconduct.

Matters of Ethical Concern in Research

1. PLAGIARISM

Plagiarism is the practice of taking someone else's work or ideas and passing them off as one's own. It is an act of copying or reproducing it without acknowledging the source and as such it is a form of academic misconduct that undermines public trust in the quality and integrity of academic and/or research output. Plagiarism, whether deliberate or through negligence or ignorance, is a serious violation of conduct in any environment that values integrity, respect and fairness.

Authors who present the words, data, or ideas of others with the implication that they are their own, without attribution in a form appropriate for the medium of presentation, are committing theft of intellectual property and may be guilty of plagiarism and thus of research misconduct This applies to reviews and to methodological and background/historical sections of research papers as well as to original research results or interpretations.

An author should cite the work of others even if he or she had been a co-author or Editor of the work to be cited or had been an advisor or student of the author of such work.



The work of others should be cited or credited, whether published or unpublished and whether it had been written work or an oral presentation, or material on a website. Each journal or publisher may specify the particular form of appropriate citation

Not only does plagiarism violate the standard code of conduct governing all researchers, but in many cases it could constitute an infraction of the law by infringing on a copyright held by the original author or publisher.

To ensure the same Plagiarism checking software should be used and plagiarism to be checked as per the UGC Guidelines

a. Intellectual Property Rights

Intellectual property (IP) means knowledge and creations arising from intellectual activity and Intellectual property rights (IPR) means the exclusive rights for a prescribed time and within a prescribed region to control how the IP may be used and what others may do with it. Intellectual property includes copyright, patents, designs, trademarks, etc

Issues of intellectual property may arise in research in different ways:

An input to research - IP may take the form of others' ideas, creations, teaching materials, proprietary business practices and indigenous or other cultural knowledge;

An object of research – IP may take the form of others' ideas, creations, teaching materials, proprietary business practices and indigenous or other cultural knowledge;

An output of research- Types of IP that occur as research outputs are likely to include authorship, compositions, models, copyright, inventions, patents and other pieces of professional work.

To respect intellectual property in research the following steps are necessary:

Appropriate referencing and acknowledging sources of IP inputs.

To the greatest extent possible, parties to the research should document consent regarding how IP may be used, how it will be safeguarded and who owns it. This applies in particular to IP as research objects including:

Proprietary knowledge: It is knowledge that has potential for commercial advantage.

Confidential knowledge: It is valuable or sensitive information which a reasonable person would regard as confidential.

Cultural knowledge: It is "insider" knowledge that is known only by people within a particular culture or by people who have learned about the culture through some kind of interaction with it.

Appropriate recognition of contributions to the research output such as publications, artefacts or commercially valuable items. Ownership rights to research outputs should be agreed before the research begins. It is recommended that a written agreement be developed, particularly in cases between scholars and their supervisor(s).



b. Misuse of privileged information

A serious form of plagiarism is the misuse of privileged information taken from a grant application or manuscript received from a funding agency or journal editor for peer review. This form of plagiarism is a serious matter of theft of intellectual property because it not only deprives the original author of appropriate credit by citation but could also pre-empt priority of first publication or use of the original idea to which the source author is entitled. One who breaches confidentiality by showing a privileged unpublished document to an unauthorized person may be held to a shared responsibility for any subsequent plagiarism of the document committed by that unauthorized person.

2. RESEARCH DATA

A. Integrity of Data

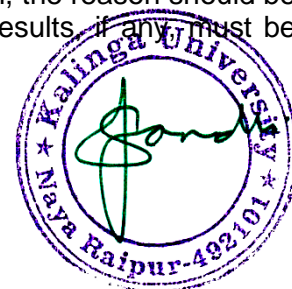
Fabrication and falsification of research results are serious forms of misconduct. It is a primary responsibility of a researcher to avoid either a false statement or an omission that distorts the research record. A researcher must not report anticipated research results that had not yet been observed at the time of submission of the report. In order to preserve accurate documentation of observed facts with which later reports or conclusions can be compared, every researcher has an obligation to maintain a clear and complete record of data acquired. The intentional destruction of research records or the failure to maintain and produce research records supporting a questioned research publication or report may be considered to be circumstantial evidence of research misconduct.

To prevent this, all data should be recorded contemporaneously with the production or observation of the data. If some data are obtained as printouts from instruments or computers, these printouts should be stored securely and the storage location properly referenced. If unique critical materials, such as cell lines, archaeological artifacts or synthetic chemical intermediates, are prepared or discovered, they should be preserved and appropriately labelled, and explicit instructions recorded as to where they are stored. Extensive data sets may be stored electronically. Researchers shall establish processes to organize, store and protect electronic data that is generated in the process of research. It is essential to ensure that such data are formatted in such a manner that they cannot be modified or overwritten.

While conducting research in social sciences and in some clinical biomedical fields the protection of human subjects requires that data be used, stored, and disclosed in a way that ensures the privacy of individual research subjects. However, to ensure accuracy of data, the primary data - clinical or laboratory records, questionnaires, tapes of interviews, and field notes - should be coded and archived so that they are available for review if required.

B. Use and Misuse of Data

Research integrity requires not only that reported conclusions are based on accurately recorded data or observations but that all relevant observations are reported. It is considered a breach of research integrity to fail to report data that contradict or fail to support the reported conclusions, including the purposeful withholding of information about confounding factors. If some data are disregarded for a stated reason, the reason should be stated in the published accounts. A large background of negative results, if any, must be reported



Special care must be taken in the use of photo-images not to misrepresent the underlying data. When using imaging- processing software, like Adobe Photoshop, for example, in preparing a blot for viewing, it is improper to add or delete a band, to differentially adjust the intensity of one or more bands, to label an image from one experiment as representing a different experiment, to splice lanes without using a line indicating the deletion, or to juxtapose pieces from different gels onto a single image.

C. Ownership of and Access to Data

Research data obtained in studies performed at the Kalinga University and/or by the employees of the University are not the property of the researcher who generated or observed them or even of the principal investigator of the research group. They belong to the Kalinga University, which can be held accountable for the integrity of the data even if the researchers have left the University. Reasonable access to data, however, shall not be denied to any member of the research group in which the data were collected. If there is any possibility that a copyright or patent application might emerge from the group project, a written agreement within the group should specify the rights, if any, of each member of the group to the intellectual property. A researcher who has made a finding which may be patentable should file an Invention Disclosure with the Department of Research

A principal investigator who leaves the University is entitled to make a copy of data to take to another institution so as to be able to continue the research or, in some cases, to take the original data, with a written agreement to make them available to the University on request within a stated time period. A formal Agreement on Disposition of Research Data should be made in such cases through the Department of Research. Each student, postdoctoral fellow, or other investigator in a group project should come to an understanding with the research department, preferably in writing, about which parts of the project he or she might continue to explore after leaving the research group. Such an understanding should specify the extent to which a copy of research data may be taken.

For unique materials prepared in the course of the research, such as intermediates in a chemical synthesis, cell lines, and reagents, items that can be proportioned should be divided among members of a research group at different locations under negotiated terms of material transfer agreements. For non-divisible items, the allocation of the item should be clearly stipulated in the agreement. The Department of Research facilitates the execution of such agreements.

In the interest of advancement of knowledge, every investigator has an obligation to the general academic community share data. Sharing data also facilitates independent confirmation or refutation of reported outcomes. It is generally accepted that the data underlying a research publication should be made available to other responsible investigators upon request after the research results have been published or accepted for publication. A researcher who has access to a unique set of experimental or observational data has an obligation either to publish research results within a reasonable time or to make the data available to others who will be able to do so.

D. Storage and Retention of Data

Data should be stored securely for at least five years after completion of the project, submission of the final report to a sponsoring agency, or publication of the research, whichever comes last. Some agencies that sponsor research may specify a longer period for which data must be retained. In the absence of a specific agency regulation, a



conservative rule is to retain data for as long as there is still scientific interest in the details of the research

3. AUTHORSHIP AND OTHER PUBLICATION ISSUE

Publication of research results is important as a means of communication to the scholarly world so that readers may be informed of research results and other researchers may build on the reported findings. In fact, it is an ethical obligation for an investigator at the University to make research findings accessible, in a manner consistent with the relevant standards of publication. The reported data and methods should be sufficiently detailed so that other researchers could attempt to replicate the results. Publication should be timely but should not be hastened unduly if premature publication involves a risk of not subjecting all results to adequate internal confirmation or of not considering adequately all possible interpretations.

A. Criteria for Authorship

Publication must give appropriate credit to all authors for their roles in the research. If more than one person contributes significantly, the decision of which names are to be listed as co-authors should reflect the relative contributions of various participants in the research. It is necessary that each author should have participated in formulating the research problem, interpreting the results, and writing the research paper, and should be prepared to defend the publication against criticisms. A person's name should not be listed as author without his or her knowledge, permission, and review of the final version of the manuscript that includes the names of all co-authors.

A person whose contribution merits co-authorship should be named even in oral presentations, especially when abstracts or transactions of the proceedings of a conference at which a paper is presented will be published. The entitlement to authorship should be the same whether or not a person is still at the original location of the research when a paper is submitted for publication.

To avoid misunderstandings and recriminations, the inclusion and exclusion of names of research participants as co-authors should be made clear to all participants in the research project prior to submission of the manuscript.

B. Order of Authors

It is important that all co-authors understand the basis for assigning an order of names and agree in advance to the assignments. A corresponding, or senior author (usually the first or last of the listed names in a multi-authored manuscript) should be designated for every paper, who will be responsible for communicating with the publisher or editor, for informing all co-authors of the status of review and publication, and for ensuring that all listed authors have approved the submitted version of the manuscript.

C. Self-citations

In citing one's own unpublished work, an author must be careful not to imply an unwarranted status of a manuscript. A paper should not be listed as submitted, in anticipation of expected submission. A paper should not be listed as accepted for publication or in press unless the author has received galley proof or page proof or has received a letter from an editor or publisher stating that publication has been approved.



D. Duplicate Publication

Researchers should not publish the same article in two different places without very good reason to do so, unless appropriate citation is made in the later publication to the earlier one, and unless the editor is explicitly informed. The same rule applies to abstracts. If there is unexplained duplication of publication without citation, sometimes referred to as self-plagiarism, a reader may be deceived as to the amount of original research data.

An author should not divide a research paper that is a self-contained integral whole into a number of smaller papers merely for the sake of expanding the number of items in the author's bibliography

Publication of two papers representing different interpretations of the same data by different participants in the research is confusing to readers. The participants with differing interpretations of the same data should attempt to reconcile their differences in a single publication or present their alternative interpretations in the same paper.

E. Early Release of Information about to be Published

It is unethical to release to the media scientific information contained in an accepted manuscript prior to the publication. An exception may be made if a public health issue is involved and the editor agrees to an advance release.

4. INTERFERENCE

Not only withholding of data but intentional removal of, interference with, or damage to any research related property, including instruments and other equipment, is improper and could be classified as research misconduct.

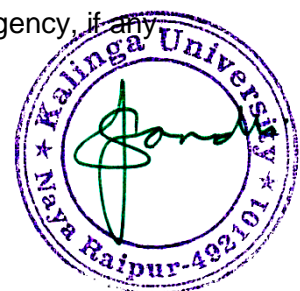
5. OBLIGATION TO REPORT RESEARCH MISCONDUCT

a. Reporting Suspected Misconduct

Reporting suspected research misconduct is a shared and serious responsibility of all members of the academic community. Any person who suspects research misconduct has an obligation to report the allegation to the head of the unit in which the suspected misconduct occurred or to the Research Integrity and Ethics Review Board. All reports shall be treated confidentially to the extent possible, and no adverse action shall be taken, either directly or indirectly, against a person who makes such an allegation in good faith.

b. Correction of Errors

If a finding of error, either intentional or inadvertent, or of plagiarism should be made subsequent to publication, the investigator has an obligation to submit a correction or retraction in a form specified by the editor or publisher and, in the case of research misconduct, in a form specified by the University and the sponsoring agency, if any.



c. Curriculum Vitae

A biographical sketch incorporated into a grant proposal or a curriculum vitae used in an application for a fellowship or any other position must follow the same standards of accuracy as a research publication. Inflated or otherwise inaccurate listings of educational background or academic status with an intent to deceive, including degrees, employment history, and professional accomplishments, are reprehensible as are irresponsible entries in a list of publications. This is considered as falsification may be categorized as misconduct.

d. Conflict of Interest

There are some circumstances in which conflicts of interest could compromise the integrity of a researcher and even lead to research misconduct. The University shall lay down a clear Conflict of Interest Policy and require researchers to make annual disclosures of outside interests and ensure that these disclosures are reviewed by designated academic administrators to avoid the escalation of conflicts into improper behaviour or misconduct and to avoid even the perception of improper behaviour.

The principal investigator of a commercially sponsored study report must have access to all the data underlying a publication and must have full control over the decision to publish. In the case of a multi-site study, the principal investigator of the overall project must have access to data from all sites.

University researchers shall not allow their names to be used as “ghost” authors of manuscripts written or provided by commercial sponsors.

Faculty members may be allowed to engage in outside professional activities such as consulting or service on a scientific advisory board, but approval of each such activity from the authorities designated by the Consultancy Regulations of the University must be obtained in advance. In no case are University facilities to be used in the conduct of an outside activity without proper permissions. The University name and logo may be used by outside entities only with permission of designated University Authorities.

Conflict of commitment must be avoided so as not to threaten a University researcher's primary professional allegiance and responsibility to the University.

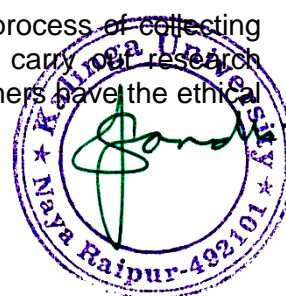
6. RELATIONS WITH AND RESPONSIBILITIES TOWARDS STAKEHOLDERS OF RESEARCH

a. University Approval

Research protocols involving human subjects must be approved in advance by the University Research Integrity and Ethics Review Board, which determines whether risks posed to subjects, are acceptable and whether information describing risks and benefits of subject participation is conveyed to subjects in an accurate and intelligible manner. The Board review also ensures that all relevant University and state regulations and policies are being followed.

b. Relations with and Responsibilities towards Research Participants

Researchers may enter into close contact with the researched in the process of collecting data. This often lengthy association with people among whom they carry out research entails personal and moral responsibility, trust and reciprocity. Researchers have the ethical



responsibility to respect the trust and use the data only for the stated research purposes. The responsibilities of researchers towards three important categories of people are mentioned below.

c. Research with Children and vulnerable populations

- Research procedures must never harm children, physically or emotionally.
- Children and their families have the right to full information about the research in which they may participate, including possible risks and benefits. Their decision to participate must be based on "informed consent."
- If the research is conducted during school hours the written consent of the principal is essential.
- Research conducted at juvenile homes, orphanages and old age homes should get all necessary permissions in writing.
- Children and their families have the right to refuse to participate in research or to withdraw from participating at any time.
- Information obtained through research with children should remain confidential. Researchers should not disclose personal information or the identity of participants in written or oral reports and discussions.

d. Research with indigenous communities

- Research procedures must never harm indigenous communities, their identity or the social fabric of their society.
- Indigenous communities have the right to full information about the research in which they may participate, including possible risks and benefits.
- If the research is conducted in a village, necessary consent shall be obtained from the village headman and other community leaders after informing them all the details of the research.
- If funding has been received for research and if there is a provision to pay for the participants then it should be done in an equitable manner.
- Information obtained through research from indigenous communities shall be judiciously used. Researchers shall not disclose
- Personal information or the identity of participants in written or oral reports and discussions
- All data collected shall be preserved for a minimum period of three years.



e. Research with Women

- Research procedures must never harm women, their identity, modesty or social status.
- Participating women have the right to full information about the research in which they may participate, including possible risks and benefits.
- If funding has been received for research and if there is a provision to pay for the participants then it shall be done in an equitable manner.
- Information obtained through research from women should be judiciously used. Researchers shall not disclose personal information or the identity of women participants in written or oral reports and discussions.
- All data collected should be preserved for a minimum period of three years.

f. Relations With and Responsibilities towards Sponsors, Funders and Statutory Bodies

- When agreements with commercial sponsors of research are negotiated by the University researchers shall familiarize themselves with the special terms of such agreements, such as those, for example, concerning reporting of results, disclosure of inventions, and confidentiality. Failure to comply with these provisions may sometimes constitute a breach of contract or compromise the University's claims to intellectual property.
Researchers shall honour their general and specific obligations to sponsors, funders and statutory bodies whether these are contractually defined or are only the subject of informal and often unwritten agreements.
- Researchers shall carefully clarify, preferably in advance of signing contracts or starting their research, matters relating to their professional domain and requirements concerning control over the research project and its products.
- Researchers are entitled to full disclosure of the sources of funds, personnel, aims of the research project and the disposition of research results.
- Researchers are entitled to expect from a sponsor, funder or statutory body respect for their professional expertise and for the integrity of the data, whether or not these obligations are incorporated in the formal contracts.
- Researchers shall pay particular attention to matters such as their ability to protect the rights and interests of research participants, their ability to make all ethical decisions in their research and their rights regarding data collected, publications, copyrights and royalties.
- Researchers shall submit progress and final research reports to a sponsor at times specified in the project award. They must authorize expenditures in a manner consistent with the approved budget and should review financial reports carefully. They shall maintain proper accounts which shall be produced when asked for by the Research Department.
- When in doubt, researchers shall seek the guidance of the Research Department.



g. Relations with, and Responsibilities towards Colleagues and the Discipline

- Researchers enjoy certain privileges of access to research participants and to data not only by virtue of their personal standing but also by virtue of their professional association. Hence
- They must exercise personal responsibility with regard to the method, procedure, content and reporting of enquiries, behavior in the field and relations with research participants and field assistants. Researchers shall ensure that their activities will not jeopardize future research or bring bad name to the institution.
- In case of conflict of interest between two or more researchers or between a researcher and a participant the advice of the Department of Research shall be sought, and the Board shall be apprised of further developments.
- In the interest of the development of the discipline, researchers shall consider ways in which research data and findings can be shared with colleagues and with research participants. Research findings, publications and, where feasible, data should be made available for the furtherance of research, and If necessary, they shall be translated into the national or local languages.

h. Responsibilities towards the Wider Society

- Researchers have certain responsibilities towards other members of the public and society. They depend upon the confidence of the public for conducting their research and hence they shall attempt to promote and preserve such confidence without exaggerating the accuracy or explanatory power of their findings.
- While conducting research, researchers shall consider the likely consequences of their research and research findings for the wider society and groups within it.
- Researchers shall not misuse information for any individual gain or for causing any harm to individuals or to society
- Researchers shall maintain professional and scholarly integrity at every level of research.
- Researchers shall not engage in or collude with others to select methods designed to produce misleading results, or in misrepresenting findings by commission or omission.

i. Responsibilities towards Research Equipment/labs

Researchers shall make every attempt to

- Avoid, eliminate or minimize hazards of which they are aware;
- Comply with all occupational health and safety instructions,
- Make proper use of all safety devices and personal protective equipment;

Not willfully place at risk the health and safety of themselves or any other person.

- Seek information or advice where necessary, or when in doubt, before carrying out new or unfamiliar work (this includes operating unfamiliar equipment).



- Wear protective clothing and footwear, as prescribed or required;

Be familiar with emergency and evacuation procedures, including the location and use of emergency equipment such as safety showers and eyewash facilities

- Report any medical conditions or allergies that could put them at risk during the conduct of their research to their supervisor;
- Report and record all accidents and near miss incidents to the concerned supervisor

j. Responsibilities towards Research Objects/Animals

Kalinga University fully subscribes to the view that every effort shall be made to find alternatives to the use of animals in re-search. In cases where research is conducted using animals, birds or vertebrates, researchers shall adhere to the rules and procedures laid by the statutory authorities.

k. Collaborative Research

Researchers should be open to collaborative work with investigators having different but complementary skills, whether at the Kalinga University or elsewhere. Early understandings should be reached in any collaboration about sharing of research resources and materials, authorship credit and responsibilities, and entitlement to any revenue from marketing of intellectual property through patents, copyrights, or licensing agreements.

i. Responsibilities of the Principal Investigator

An investigator who leads a research group has leadership and supervisory responsibilities with respect to the research performed by members of the group. A principal investigator must not only put together the research group but also arrange for the assembly of an adequate financial and administrative structure to support the research. A supervisor not only provides guidance and advice to individual members of the group in the responsible conduct of the research but also has ultimate responsibility for the scientific integrity of the whole research project. He or she shall thus take all reasonable steps to check the details of experimental procedures and the validity of the data or observations reported by members of the group, including periodic reviews of primary data in addition to summary tables, graphs, and oral reports prepared by members of the group. Written policies and procedures for collecting, maintaining and communicating experimental data within the research group are highly recommended.

7. UNIVERSITY UNITS SUPPORTING RESEARCH

a. Board of Studies

The Board of Studies is a statutory Board of the University, established by the Statutes of the University, with the function of co-coordinating and promoting the research activities of the University. It is also the responsibility of the Board of Studies to review the progress of research and report on it at regular intervals to the Academic Council of the University.



b. University Department of Research

The Department of Research is the authorized University office charged with reviewing, submitting, and endorsing research proposals and budgets for grants and contracts to sponsoring agencies, whether governmental or private. Material transfer agreements, data use agreements, and nondisclosure agreements are also processed through this department. The Coordinator of Research Department must approve and sign all such documents as the authorized University signatory. The functional areas supported by Department of Research include information services, project and proposal development assistance, and grants and contracts administration for pre-award and selected post-award tasks.

c. Cases of Research Misconduct

The Research Department of the University may consider cases which are brought to its notice in writing and shall submit its recommendations to the Board of Research Studies. The Department may also take cognizance of cases which are available in public domain where name of the University is under threat of disrepute.

d. Plagiarism Check Register

The Research Department shall maintain a Research Misconduct Register to ensure the monitoring of offenders and consistent application of actions. It is a database, maintained by the Department where the records of investigations of allegations of research misconduct are stored. All cases of plagiarism that a scholar admits to or of which he/she has been found guilty by the Research Department shall be recorded in the Register. The Register also enables a review of the extent of research misconduct within the University.

e. Disciplinary Measures

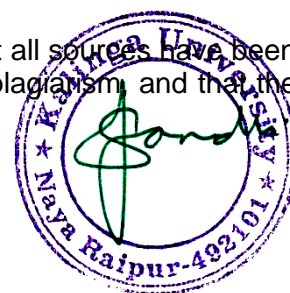
Depending on the nature and seriousness of the misconduct, the Board may recommend any or all of the following actions:

- Fine or warning
- Rustication for a limited period of time or permanently from the university
- Withdrawal of Degree if any has been awarded based on findings which indicate proven research misconduct.

f. Research Misconduct Declaration

The Research Misconduct Declaration is a declaration to be included by researchers as part of the research report or thesis submitted for assessment or examination. The specific content of this declaration will require the scholars to affirm:

- That the Scholar has read the University Policies on research misconduct, and any other guidelines on research provided in the University and that none of these policies have been violated in the report or thesis;
- That the work being submitted is the Scholar's own work, that all sources have been acknowledged in the work, that the information contains no plagiarism, and that the information provided is not knowingly inaccurate; and



- That, unless explicit provision has been made and written permission obtained from the concerned authorities, the work or any version of it has not been previously submitted for assessment for any other award offered by the University, its partner institutions or other institutions.

8. CONCLUSION

The Policy Document on Research and Integrity is an attempt to ensure quality and rigour in research while eliminating misconduct. While this document provides certain wider guidelines in conducting ethical research and the dissemination of knowledge, it does not spell out every detail. The purpose is to ensure that all research conducted by the community of Kalinga University is carried out in an ethical manner.

