

NIAS POLICY FOR PROMOTION OF ACADEMIC INTEGRITY AND PREVENTION OF PLAGIARISM

Preamble

Whereas the University Grants Commission has issued a notification on 23rd July 2018 entitled 'UNIVERSITY GRANTS COMMISSION (PROMOTION OF ACADEMIC INTEGRITY AND PREVENTION OF PLAGIARISM IN HIGHER EDUCATIONAL INSTITUTIONS) REGULATIONS, 2018 (Ref: F. 1-18/2010(CPP-II), the National Institute of Advanced Studies (NIAS), Bangalore, as a Higher Education Institution of India as per the UGC definition, in order to comply with the UGC rules, and to promote and ensure academic integrity and originality and prevent academic misconduct (including plagiarism) in all the work produced by members of the Institute, has adopted the following regulations:

1. Short title, application and commencement –

- a. These regulations shall be called the National Institute of Advanced Studies Promotion of Academic Integrity Policy.
- b. They shall apply to the students, faculty, researchers and staff of the Institute.
- c. These regulations shall come into force from the date of their notification by the Institute.

2. Definitions -

In these regulations, unless the context otherwise requires—

- a. 'Academic Integrity' is defined as intellectual honesty in proposing, performing and reporting any activity, which leads to the creation of intellectual property or original academic work;
- b. 'Author' includes a student, faculty member, researcher or staff member of NIAS claims to be the creator of the work under consideration;
- c. 'Commission' means the University Grants Commission as defined in the University Grants Commission Act, 1956;
- d. 'Common knowledge' means a well-known fact, quote, figure or information that is widely known and publicly available;

- e. 'Degree' means any degree specified by the University Grants Commission, by notification in the Official Gazette, under section 22 of the University Grants Commission Act, 1956;
- f. 'Faculty' refers to a person who is teaching and/or guiding students enrolled in NIAS in any capacity whatsoever, i.e., regular, visiting, honorary, adjunct, temporary etc;
- g. 'Information' includes data, message, text, images, sound, voice, codes, computer programs, software and databases or microfilm or computer-generated microfiche;
- h. '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 or other forms of academic misconduct, and decide on penalties to be imposed. In exceptional cases, it shall investigate allegations of plagiarism at the institutional level;
- i. 'Plagiarism' means the practice of taking someone else's work or idea and passing them as one's own.
- j. 'PhD Programme' refers to the NIAS Doctoral Programme, through which students are awarded degrees by affiliating Universities.
- k. 'Researcher' refers to a person conducting academic / scientific research in the Institute.
- l. '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 degrees or publication in print or electronic media by students or faculty or researcher or staff of an HEI.
- m. '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;
- n. 'Staff' refers to all non-teaching staff working in the Institute in any capacity whatsoever, i.e., regular, temporary, contractual, outsourced etc.;
- o. 'Student' means a person duly admitted and pursuing a programme of study including a research programme in any mode of study (full time or part-time or distance mode);

- p. '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;
- q. 'Year' means the academic session in which a proven offence has been committed.

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.

3. Objectives

- a. To create awareness about responsible conduct of research, thesis, dissertation, promotion of academic integrity and prevention of misconduct including plagiarism in academic writing among students, faculty, researchers and staff.
- b. To establish institutional mechanism through education and training to facilitate responsible conduct of research, thesis, dissertation, promotion of academic integrity and deterrence from plagiarism.
- c. To develop systems to detect plagiarism and to set up mechanisms to prevent plagiarism and punish a student, faculty, researcher or staff of HEI committing the act of plagiarism.

4. Awareness Programs and Trainings

- a. In accordance with UGC guidelines, the Institute is responsible for conducting awareness programs and trainings, to sensitize **and instruct** students, faculty, researcher and staff about proper attribution, seeking permission of the author wherever necessary, and acknowledgement of a source compatible with the needs and specificities of disciplines and in accordance with rules, international conventions and regulations governing the source. NIAS shall:
 - i. conduct sensitization seminars/ awareness programs once a year on responsible conduct of research, thesis, dissertation, promotion of academic integrity and ethics in education for students, faculty, researcher and staff.
 - ii. include the cardinal principles of academic integrity and the elements of responsible conduct of research and publication ethics within the compulsory coursework for PhD students (Foundation and/or Research Methodology Courses).

- iii. train student, faculty, researcher and staff in the use of plagiarism detection tools and reference management tools.
- iv. establish a facility equipped with modern technologies for detection of plagiarism.
- v. encourage student, faculty, researcher and staff to register on international researcher's Registry systems.

5. Curbing plagiarism

- a. NIAS shall declare and implement a technology-based mechanism using appropriate software so as to ensure that documents such as thesis, dissertation, publications or any other such documents are free of plagiarism at the time of their submission.
- b. The mechanism as defined at (a) above shall be made accessible to all engaged in research work including students, faculty, researchers and staff.
- c. Every student submitting a thesis, dissertation, qualifier examination paper, research proposal, or any other such documents to the Institute or the affiliating 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 any plagiarism.
- d. The undertaking shall include the fact that the document has been duly checked through a plagiarism detection tool approved by NIAS.
- e. Each supervisor shall submit a certificate indicating that the work done by the researcher under him / her is plagiarism free.
- f. All dissertations, publications and in-house publications will be stored on the NIAS Institutional Repository.
- g. The affiliating University shall submit to INFLIBNET soft copies of all dissertations within a month after the award of degrees for hosting in the digital repository under the 'Shodh Ganga e-repository'.

6. Similarity checks for exclusion from plagiarism

The similarity checks for plagiarism shall exclude the following:

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

Note:

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

7. Levels of Plagiarism

Plagiarism would be quantified into following levels in ascending order of severity for the purpose of its definition:

- a. Level 0: Similarities up to 10% - Minor similarities, no penalty
- b. Level 1: Similarities above 10% to 40%
- c. Level 2: Similarities above 40% to 60%
- d. Level 3: Similarities above 60%

8. Detection/Reporting/Handling of Plagiarism

If any member of the academic community suspects with appropriate proof that a case of plagiarism has happened in any document, he or she shall report it to the Institutional Academic Integrity Panel (IAIP). Upon receipt of such a complaint or allegation the IAIP shall investigate the matter and submit its recommendations to the Director.

The authorities can also take *suo motu* notice of an act of plagiarism and initiate proceedings under these regulations. Similarly, proceedings can also be initiated by the Institute on the basis of findings of an examiner or the University authorities. All such cases will be investigated by the IAIP.

9. Institutional Academic Integrity Panel (IAIP)

- a. The Institute shall notify a IAIP whose composition shall be as given below:
 - i. Chairman - Senior academician of NIAS, to be nominated by the Director
 - ii. Member - Senior Academician other than Chairman, to be nominated by the Director
 - iii. Member - One member nominated by the Director from outside NIAS
 - iv. Member - A person well versed with anti-plagiarism tools, to be nominated by the Director

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).

- b. The IAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff.
- c. The IAIP shall have the power to assess the level of plagiarism and recommend penalty(ies) accordingly.
- d. The IAIP after investigation shall submit its report with the recommendation on penalties to be imposed to the Director within a period of 45 days from the date of receipt of complaint / initiation of the proceedings.
- e. The IAIP shall also investigate cases of plagiarism as per the provisions mentioned in these regulations.
- f. The IAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.

10. Penalties

Penalties in the cases of plagiarism shall be imposed on students, researchers, faculty and staff of NIAS 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.

a. 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 up to 10%** - Minor Similarities, no penalty.
- 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 6 months.
- iii. **Level 2: Similarities above 40% to 60%** - Such student shall be debarred from submitting a revised script for a period of one year.
- iv. **Level 3: Similarities above 60%** -Such student registration for that programme shall be cancelled.

Note 1: Penalty on repeated plagiarism- Such student shall be punished for the plagiarism of one level higher than the previous level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative.

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

b. Penalties in case of plagiarism in academic and research publications

- i. **Level 0: Similarities up to 10%** - Minor similarities, no penalty.
- ii. **Level 1: Similarities above 10% to 40%** - Shall be asked to withdraw manuscript.
- iii. **Level 2: Similarities above 40% to 60%**
Shall be asked to withdraw manuscript.
Shall be denied a right to one annual increment.
Shall not be allowed to be a supervisor to any new Ph.D. Master's, or M.Phil., student for a period of two years.
- iv. **Level 3: Similarities above 60%**
Shall be asked to withdraw manuscript.
Shall be denied a right to two successive annual increments.
Shall not be allowed to be a supervisor to any new Ph.D., Master's, or M.Phil. student for a period of three years.

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

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: NIAS shall provide a mechanism so as to ensure that each of the paper publication/ thesis/ dissertation by the students of NIAS are checked for plagiarism at the time of forwarding/submission. The plagiarism software will be made available to all faculty, researchers and staff, who will be encouraged to check and correct their scripts before submission.

Note 4: If there is any complaint of plagiarism against the Head of the Institute, a suitable action, in line with these regulations, shall be taken by the Governing Council.

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

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

Note 7: All decisions/Recommendations shall be approved by the Head of the Institution.

[NOTE: This policy statement is based on the Notification issued by the University Grants Commission on 23rd July 2018 entitled 'UNIVERSITY GRANTS COMMISSION (PROMOTION OF ACADEMIC INTEGRITY AND PREVENTION OF PLAGIARISM IN HIGHER EDUCATIONAL INSTITUTIONS) REGULATIONS, 2018 Ref: F. 1-18/2010(CPP-II)]