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**University of
Technology**
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CODE OF ETHICS FOR RESEARCH

(Approved by 5th Meeting of Academic council held on 05.08.2019)

University of Technology

Fatehpuria road, Vatika,
Jaipur (Raj)-303903

University of Technology
Fatehpura Road, Post Kumahariyawas,
Vatika, Jaipur, Rajasthan - 303903
Phone: +91-141- 4098900
Email: info@uot.edu.in

Regional College for Education Research & Technology
ISI-17, RIICO Institutional Area Sitapura,
Jaipur, Rajasthan - 302022
Ph: 0988 776 8098

Deepshikha College of Technical Education
Sector - 3, Varun Path, Mansarovar,
Jaipur, Rajasthan - 302020
Ph: 09351 111 097

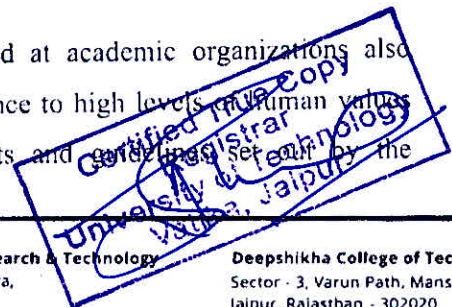
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Preamble

Moral and Ethical values can be considered as defining the features of a person or an Institutions or an organization or a society at large. Followers of human values and ethics imbibe these lessons either through self-motivation or through the lessons learned from life experience which is the greatest arena of learning, and through the academic institutions, those they attend. Hence, the academic organizations themselves need to be personified with high values and ethics. Unarguably, education holds prime importance in the development of a civilized and dignified society. The civilized and dignified society in turn leads to the development of a great nation. If education system of a society is strong, that society would remain humane and would prosper. If academic system of a society crumbles or develop some malfunctions, the society or whole nation may enter into sub-human phase. Thus, it is highly important that we should keep emphasizing the importance of human values and ethics in educational institutions. Further, values and ethical manners are not like life-skills, which once mastered remain with the learner forever. These value and ethical learnings do not belong to any domain of conventional academic knowledge system they come under varied horizon of lifelong learning, experiences the domains that belongs to subtler understanding and practice. Among many life guiding thought one of the greatest teacher and philosopher Shri Aadi Shankar has been reported to suggest that these subtler aspects of human values should to be nurtured and protected with care, as a mother protects the womb. Values and ethics have nature of camphor – they evaporate if not preserved carefully. Hence there is a need to discuss and streamline the process that helps to infuse the culture of human values and ethics in educational institutions. Knowledge is power but practice and implementation of human values and ethics demand action-orientation, supported with pro-active culture in institutions.

Academic integrity requires that the research conducted at academic organizations also follows the high professional standards including adherence to high levels of human values and ethics and abides by the framework, requirements and



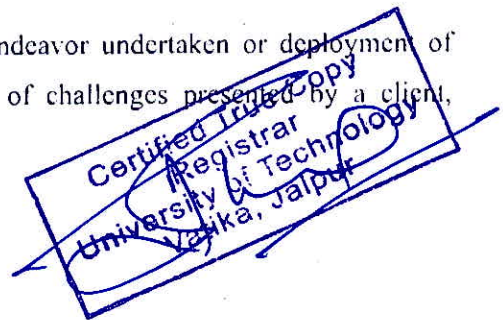


professionals and regulatory authorities in appropriate areas of research. University of Technology is committed to deliver high quality of education following the highest standards of Human Values and Professionals Ethics in line with the guidelines established for Higher Education Institutes (HEI) in India, in all aspects of its operations.

Different areas of academic work, such as work involving human or animal subjects, etc. may have their own, detailed and specific codes of ethics, but the essence of those guidelines should be aligned with the norms mentioned in this document. These guidelines should be required to be read and accepted by every member of the institution.

At UOT the definition of research includes the following:

1. **Basic Research:** carefully designed and systematic study can be of experimental and theoretical in nature and conducted to acquire new knowledge of the underlying foundation of a phenomena and observable facts, without any particular immediate practical application or use in day to day activities.
2. **Applied Research:** carefully designed and systematic study undertaken to develop some product or technology with immediate of prospective application.
3. **Strategic research:** A kind of applied research directed towards achieving some practical application in near future.
4. **Creative Work:** work of ingenuity like some new invention or improvement of some previous invention, generation of some novel idea, image, artifacts and design, including novel application of already established technology.
5. **Consultancy work:** Any scientific non-scientific endeavor undertaken or deployment of existing knowledge and resource for the resolution of challenges presented by a client, usually from industrial or commercial entities.





1. Code of Ethics:

Scientific research involves the cooperation and coordination of different people to achieve goals that have impact on society and are essential for overall development in all areas. Research requires experimentation, data analysis, writing research papers and grant proposals and educating future scientists. Thus, it is essential that research is carried out in ways that are ethically correct. The University has established a Code of Ethics for research, requiring faculty, students and researchers to adhere to moral and ethical values. The goal is to ensure the dignity of the University by preventing malpractices and plagiarism in research publications, dissertations, and thesis. The University research department has a basic automation software to prevent and check wrongdoings and plagiarism. The final plagiarism check has to be done through the advanced plagiarism prevention software available in the research department or through pertinent government agencies. Guidelines for research ethics are laid in such a way that concerns of research institutions and individuals are simultaneously addressed. Also, it is important to adhere to these ethical guidelines in order to preserve the dignity, rights and welfare of researchers and research participants. Based on area of research and subjects involved, guidelines for carrying research has been defined by various agencies. These guidelines can be found on WEBSITE of various government agencies. All the researchers at University of Technology are expected to follow the Ethics of research as described in the guidelines.

Research Council ensures that the ethics guidelines mandated by the funding agencies are followed. Some of the guidelines are given below:

- **Biomedical Research on Human Participants:** The Nuremberg Code formulated in 1947, was the first international statement on ethics of medical research using human subjects. Over the years, different national and international advisory bodies have revised and formulated the principles for scientific research involving human beings. Clinical research is required for better understanding of science and developing drugs, vaccines, diagnostics, instruments and materials which can enhance quality of human

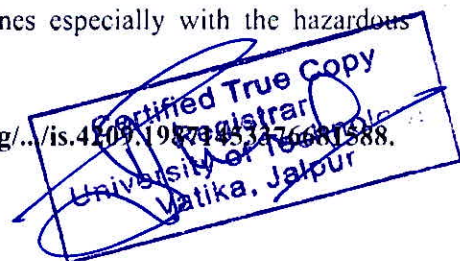


health. However, it is important to give credit to individuals who volunteer to participate in biomedical research. To protect the interest of participants in biomedical research, ethical guidelines are established. In India, the Indian Council of Medical Research (ICMR), Govt. of India, sets ethical guidelines for biomedical research involving human participants. Research on human subjects follows the principles of essentiality of the research, voluntariness, informed consent, non-exploitation, confidentiality, accountability and transparency. The guidelines can be found at: cmr.nic.in/ethical_guidelines.pdf

- **Working with Laboratory Animals:** In India, the Committee for the Purpose of Control and Supervision on Experiments on Animals (CPCSEA), has laid down guidelines to assure quality maintenance and humane care of laboratory animals while conducting scientific experiments. These guidelines also set rules for proper procurement, quarantine and rearing of laboratory animals. Though currently non of the department of University of Technology carry out research on animals however, whenever it happens, the department carrying out research must be following the principles laid down by the pertinent agency. The guidelines can be found at: cpcsea.nic.in/Content/55_1_GUIDELINES.aspx and www.cpcsea.com

Working with Chemicals: The Bureau of Indian Standards, Govt. of India, recommends a code of safety for all chemical laboratories in India. It involves guidelines for recognizing potential chemical hazards and employing corrective actions in order to expeditiously minimize accidents. Every researcher at University of Technology is expected to follow the guidelines especially with the hazardous chemicals. Details can be found

at: images10.newegg.com/UploadFilesForNewegg/.../is.4109.198794327661588.pdf





- **Radiation Safety:** These guidelines set by the Department of Atomic Energy, Govt. of India, apply to practices adopted and interventions applied while working with radiation sources in Indian laboratories. They ensure that the ionizing radiation and nuclear energy does not cause any risk to the health of researcher and the environment. Close monitoring by institutional radiation safety committee helps in ensuring compliance to these guidelines so that the exposure to all sources of ionizing radiation should be 'as low as reasonably achievable'.

<https://www.aerb.gov.in/index.php/english/regulatory-facilities/radiation-facilities/application-in-medicine/nuclear-medicine1>

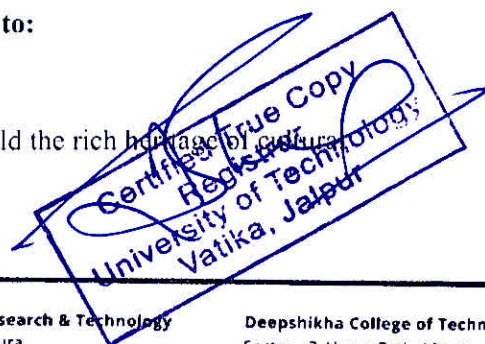
- **Recombinant DNA Technology and Bio-contaminants:** Recombinant DNA technology is the most popular method of introducing gene or related material in microorganism, plants and animals. Department of Biotechnology has given guidelines for research work in this area. The details can be found at: www.dbtindia.nic.in/.../Draft-Biosafety-Regulations-and-Biocontainment-Guidelines-2017

The University is committed to carry out and promote research of the highest quality, free from malpractices and plagiarism, while promoting academic freedom and innovative thinking. The detailed procedures and policy has been established by University research department including the research committee to assess the level of plagiarism.

2. OBJECTIVES

Code of Ethics for Research are Set by the University to:

- To reiterate the University's management to uphold the rich heritage by culture, legacy and ethics of which we are the custodians.





- To suggest operational guidelines for value-based and ethical practices in the Organization leading to implementation and monitoring.
- To lay emphasis on human values and professional ethics in academic research and awards as broader indicators of desirable actions vis-à-vis undesirable actions.
- To discourage, curtails and audit scientific writings, research article, dissertation, and thesis writing errors, wrong doings, and plagiarism.
- To suggest indicative reinforcement programmes for nurturing human values and ethics in academic research and to assess the ethical safeguards in research.
- To encourage quality research in the pursuit of knowledge and societal development.

3. SCOPE:

The "Code of Ethics for Research" is outlined in this document and applies to all faculty, research scholars, and students engaged in research, and any individual who is not a member of staff or student at the University but is undertaking research using University premises and facilities, and/or in the University's name. This also applies to the work done by any faculty or student outside the university, in collaboration with any external expert or institution/organization. It includes all of the procedures used to design, observe, gather, analyze, process, and disseminate research data/findings as well as other pertinent information, such as surveys, interviews, and the publication of research findings.

4. CODE OF ETHICS FOR RESEARCH

The following are ethical values addressed under the "Code of Ethics for Research" set by the University.

- 1) **Integrity:** adhering to a conduct of duties in righteous manner and in accordance with the principles of honesty, trust, transparency and fairness. Academic honesty is highly necessary in all scientific endeavours; data, techniques, procedures, publication status and results are to be reported. Faculty members, research scholars and students





- should act honestly in all these areas. Never falsify or modify data, fool colleagues, funders, or the public.
- 2) **Trusteeship:** The researchers must operate in ethical and true manners especially in group participation and must adhere to their commitments and agreements, behave honorably, and should endure for consistency in decisions and actions.
 - 3) **Harmony:** Researchers must respect the diversity and should endure to balance the difference through a culture of forgiveness, tolerance and discussion.
 - 4) **Cautious:** Researchers must uphold highest level of accountability in their work, always exercise caution to avoid careless errors and neglect. Every work must be critically examined before moving further. They must regularly maintain and update their records pertaining to all research-related activities.
 - 5) **Respect for Intellectual Property (IP) and its Rights:** Researchers must respect other researcher work on ingenuity and all form of IP like copyrights, patents, and trade secret etc. Additionally, one should never use another person's unpublished data, techniques, or results without her/his consent. Without plagiarizing the work, provide credit/acknowledgement where it is due for all contributions to the research or individuals.
 - 6) **Protect private information,** Data privacy is a discipline aimed at safeguarding data from unauthorized access, theft, or loss through effective data management and prevention of unauthorized access.
 - 7) **Accountability:** Researchers, including faculty and students, must make the necessary efforts to promote social well-being and to prevent or decrease social damages through research, public awareness campaigns, and other forms of promotion, eventually protecting the environment.
 - 8) **Competence:** The research community is needed to maintain and enhance professional competency and knowledge by ongoing education and learning; additionally, they must take initiatives to advance scientific competence generally by maintaining an interdisciplinary approach.

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Vatika, Jaipur



- 9) **Legitimacy:** The researchers should familiarize themselves with institutional rules and regulations as well as governmental policies, IP-related laws, such as those pertaining to cybercrime and IP rights.
- 10) **Respect for Animals:** When utilizing animals in research or in academic , educators, students, researchers and scientists must respect them and always handle them with the proper care by adhering to the necessary laws and regulations. Additionally, never take the animals for granted, no poorly designed or experiments should be carried out with animals and without proper supervision and guidance..
- 11) **Protection of Human Subjects:** When using human subjects in research, researchers must minimize risks and difficulties while maximizing benefits; they must also respect people's decency, privacy, and independence; they must take necessary special safety precautions when working with vulnerable populations; and they must make an honest effort to share the benefits and difficulties of their work.
- 12) **Sustainability** – not to spoil mother earth in all of its aspects, always ensure wiser and optimal resource allocation and utilization-in terms of economic, environmental and social values to achieve minimum effect on nature and for long lasting and safe future.
- 13) **Inclusiveness** – adopting standards, policies and procedure to promote and ensure equal opportunity, without any discrimination against an individual or a group, for education, research, work of ingenuity, art, craft, employment, promotion and other activities in an the University

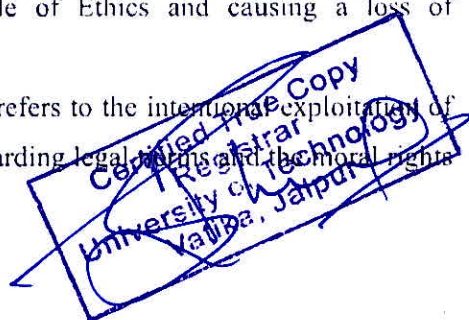
5. INSTITUTIONAL RESPONSIBILITIES

The management, registrar, dean academics, Heads of Departments, faculty and teaching are responsible for creating a transparent academic environment that promotes professional and ethical research practices. Research guides are expected to foster a climate of mutual cooperation, promoting open exchange of ideas and skill development. They must ensure appropriate supervision and direction for researchers, based on the nature of the discipline and research mode. REC is committed to provide appropriate direction and supervision for



researchers, adhering to University of technology norms as well as norms laid down by pertinent regulatory bodies for the subject matter of the research for Doctoral Supervision, which outlines supervisory relationships, progress assessments, and problem-solving procedures.

1. **TRAINING:** Academic departments performing research activities must ensure that the researchers have received proper lab safety training and academic training in research design, methodology, ethics, equipment use, confidentiality, data protection and management, record keeping, as well as and respecting third-party intellectual property rights (IPs).
2. **PUBLICATION PRACTICE AND AUTHORSHIP:** REC must encourage researchers for high-quality research publication and knowledge dissemination, responsible research engagement and awareness about social media and print media handling and of consequences. Proper authorship should be shared between the team members as per their contribution. Results should be appropriate to academic discipline, and authors must accept responsibility for their contributions and have sufficient research participation.
3. **RESEARCH MISCONDUCT:** Misconduct in academic research includes fabrication, falsification, plagiarism, deception, and deviations from accepted practices. It includes failure to follow protocol, resulting in unreasonable risk or harm, and collusion. The university demands abhorrence of research misconduct, excluding honest error or differences of opinion.
4. **PLAGIARISM:** Plagiarism is the intentional appropriation of another person's work without proper credit, violating the Principle of Ethics and causing a loss of originality.
5. **PRIVACY:** Intellectual property rights abuse refers to the intentional exploitation of ideas without proper acknowledgement, disregarding legal norms and the moral rights of authors.





6. **ABUSE OF RESEARCH RESOURCES:** Failure to observe the terms and conditions of institutionally licensed research resources.
7. **PERSONATION:** The situation where someone other than the person who has submitted any academic work has prepared (parts of) the work;
8. **FABRICATION AND FRAUD:** The falsification or invention of qualifications, data, information, or citations in any formal academic exercise.
9. **SABOTAGE:** Preventing others from completing their work involves stealing, damaging library books, disrupting experiments, or endangering institutional access to licensed research resources.

6. RESEARCH MISCONDUCT INVESTIGATION: PROCEDURES

- Academic misconduct complaints can be submitted to the competent authorities, as per the research policy document available at the research department, so that decision could be made if the allegation is serious enough to pursue an investigation by the Ethics Committee. The initiator must provide a written basis for the allegation. The Ethics Committee may conduct a preliminary investigation or a formal inquiry, possibly involving external experts. The members of the committee has the right to investigate suspected abuse of institutionally licensed research resources and suspend users from access pending a full investigation. The members must also register a complaint with the Ethics Committee when appropriate.
- The investigation will examine all relevant documentation, including research data, notebooks, computer files, and other materials. The Ethics Committee Coordinator may invite non-members of the Committee to attend meetings. Interviews will be conducted with the complainant and respondent, as well as other individuals involved in the allegations. Details of the allegations and investigation will be made available only to the Ethics Committee, and all interviewed individuals will be asked to respect the confidentiality of the investigation.
- The Ethics Committee will create a report detailing the investigation process, information sources, committee findings, respondent's views, and recommendations.

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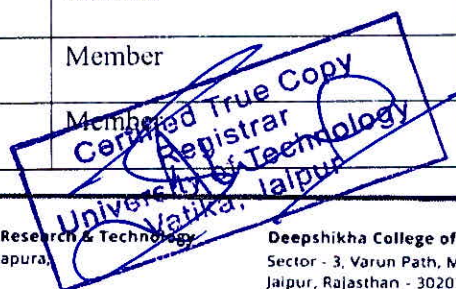
The respondent will receive the report and can comment. Comments can be submitted as an addendum. If disciplinary actions are recommended, the Ethics Committee will inform the management of UOT of the necessary action.

7. THE ETHICS COMMITTEE

All members, including faculties, researchers, and postgraduate researchers, must adhere to high ethical standards, including data uprightness and adhering to ethical guidelines. They must also avoid academic duplicity and form an Ethics Committee to investigate academic dishonesty. If found guilty, appropriate disciplinary action may be taken. The university has a comprehensive "Research Policy", which can be obtained from research department or can be retrieved online from University portals. The research policy has detailed process and procedure to check Plagiarism and to authenticate data authenticity, and the plagiarism software has been purchased and installed in the Library and Information Centre to check plagiarism.

The Following Research Ethics Committee (REC) is constituted with designation and specific responsibility. The REC meets at least twice in an academic year, before the scheduled dates of academic council meeting. One third of the members of the committee form the quorum.

S. No	Designation	Position in committee
1	Vice Chancellor	Chairman
2	Dean Research	Convener
3	Academician	Member
4	General Practitioners/Medical Scientist	Member
5	Social Scientist/ NGO	Member
6	Legal Expert	Member
7	Academician External	Member



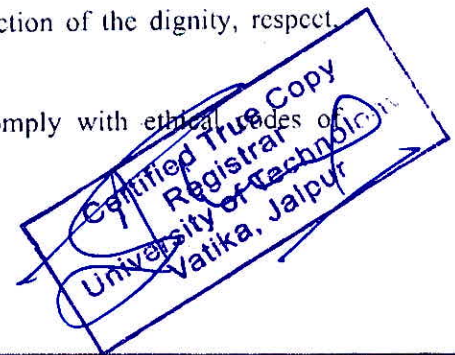


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8. TASKS OF ETHIC COMMITTEE

The Research Ethics committee (REC) will review and approve all types of research proposals to safeguard the dignity, rights, safety and wellbeing of all actual and potential research participants. The goals of research, however important, should never be permitted to override the health and wellbeing of the research subjects/participants. The REC will take care that all the cardinal principles of research ethics viz Autonomy, Beneficence, Non-maleficance and Justice are taken care of in planning, conduct and reporting of the proposed research. For this purpose, it will look into the aspects of informed consent process, risk benefit ratio, distribution of burden and benefit and provisions for appropriate compensations wherever required. It will review the proposals before start of the study as well as monitor the research throughout the study until and after completion of the study through appropriate well documented procedures, such as annual reports, final reports and site visits etc. The committee will also examine compliance with all regulatory requirements, applicable guidelines and laws. The mandate of the REC will be to review all research projects involving human subjects including human biological materials, research involving animals, toxic chemicals, including radio-active material as well as recombinant technology and research requiring bio containment facility and human biological data to be conducted at the Institute, irrespective of the funding agency. In addition, well also provide support and guidelines as mentioned below:

1. The main responsibility of the REC is to ensure protection of the dignity, respect, rights, safety and well-being of the researchers.
2. The REC must ensure that every researcher must comply with ethical research conducts.



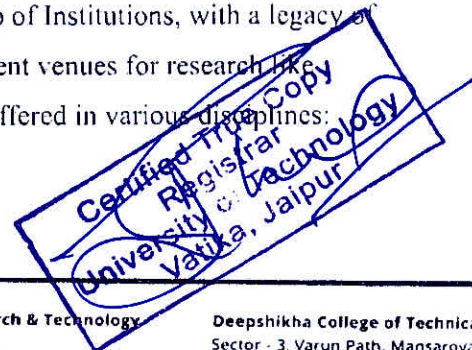


3. It is also REC responsibility to that universal ethical values and national and international scientific standards are being followed by the researchers in the University.
4. To offer counsel and direction to the academic community of the University on all issues relating to academic research ethics.
5. To provide guidance to the academic council regarding the various academic pursuits at the college's adherence to the "code of ethics in academic research."
6. Advising academics and offering help on ethical matters pertaining to teaching, research, and other academic activities.
7. To inform the academic council of any guidelines that may be necessary in regards to obtaining funding from specific research sponsors.
8. To serve as an inquiry or advisory body for any issue involving conduct and ethics in research.
9. Provide authorities with advice on adhering to the "Code of Ethics in Academic Research" offering advice and academic support to academic on moral issues pertaining to research, teaching, and other academic activities.
10. Serve as a consulting committee for any issue involving research ethics and conduct that is in dispute.
11. Based on inquiries and thorough investigations, to suggest to the University what, if any, action should be taken in response to the identified wrongdoing perpetrated by the people.

9. POLICY ON ETHICAL RESEARCH

University of Technology is a well-known organization for its excellence and holistic student development. The University is part of the Deepshikha Group of Institutions, with a legacy of serving in education from 1976 The University offers different venues for research like Ph.D. (Full-time and Part-time) Research Programmes are offered in various disciplines:

- Computer Science
- Commerce





- Management
- Mathematics
- English
- Social Work

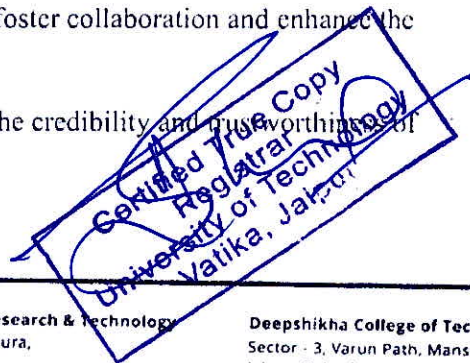
The Research Ethics Policy is intended to:

- To ensure and examine the implementation of the proposed research's ethical protections
- To ensure and protect the dignity, rights, safety and well-being of trial subjects, respondents, and participants.
- To investigate misconduct cases or complaints against researchers guides, tudents and fellows, and to provide appropriate corrective measures and suggestions to ethical committee.

Need for Policy on Ethical Research

The terms "research ethics" and "ethical conduct of research involving human participants or animals" are used interchangeably. These guidelines are intended to guarantee that research is carried out with respect for the rights, dignity, and welfare of the people or animals involved. A crucial component of scientific investigation, research ethics supports the integrity and veracity of study findings. Ethics in research is important for the following reasons:

- **Scientific Integrity:** Ethics in academic Research is necessary to validate the integrity and authenticity of the research process.
- **Compliance:** Implementation of Ethical guidelines ensure compliance with legal and regulatory requirements.
- **Ethical Decision-Making:** Ethical guidelines help and support investigators in navigating complex ethical dilemmas.
- **Collaboration & Reputation:** Ethical practices foster collaboration and enhance the reputation of researchers and institutions.
- **Credibility & Trust:** Ethical practices enhance the credibility and trustworthiness of research findings.





Principles of Ethical Research

Provides guidelines for the responsible conduct of research in academic Institutions. In addition, it educates and monitors scientists conducting research to ensure a high ethical standard. The University adopt the following time tested principles in ethical research.

- **Honesty:** Honestly report data, results, methods and procedures, and publication status. Do not fabricate, falsify, or misrepresent data.
- **Objectivity:** Strive to avoid bias in experimental design, data collection, data analysis, data interpretation, peer review, personnel decisions, grant writing, expert testimony, and other aspects of research.
- **Integrity:** Keep your promises and agreements; act with sincerity; strive for consistency of thought and action.
- **Carefulness:** Avoid careless errors and negligence; carefully and critically examine your own work and the work of your peers. Keep good records of research activities.
- **Openness:** Share data, results, ideas, tools, resources. Be open to criticism and new ideas.
- **Respect for Intellectual Property:** Honor patents, copyrights, and other forms of intellectual property. Do not use unpublished data, methods, or results without permission. Give credit where credit is due. Never plagiarize.
- **Confidentiality:** Protect confidential communications, such as papers or grants submitted for publication, personnel records, trade or military secrets, and patient records.
- **Responsible Publication:** Publish to advance research and scholarship, not to advance just your own career. Avoid wasteful and duplicative publication.
- **Responsible Mentoring:** Help to educate, mentor, and advise students. Promote their welfare and allow them to make their own decisions.
- **Respect for Colleagues:** Respect your colleagues and treat them with respect.
- **Social Responsibility:** Strive to promote social good and prevent or minimize social harms through research, public education, and advocacy.



- **Non-Discrimination:** Avoid discrimination against colleagues or students based on sex, race, ethnicity, or other factors that are not related to their scientific competence and integrity.
- **Competence:** Maintain and improve your own professional competence and expertise through lifelong education and learning; take steps to promote competence in science.
- **Legality:** Know and obey relevant laws and institutional and governmental policies.
- **Animal Care:** Show proper respect and care for animals when using them in research. Do not conduct unnecessary or poorly designed animal experiments.
- **Human Subjects Protection:** When conducting research on human subjects, minimize harms and risks and maximize benefits; respect human dignity, privacy, and autonomy.

Protection from Retaliation

No individual who reports an ethical concern in good faith shall be subject to retaliation or adverse action as a result of making such a report.

Consequences of Violation

Violations of the Ethics Policy may result in disciplinary action, up to and including suspension or expulsion for students, termination of employment for staff and faculty, or legal action as deemed necessary.

Review and Revision

The Ethics Policy Document will be reviewed periodically to ensure its continued relevance and effectiveness. Changes may be made with input from the college community.

