

COMPLIANCE/ACTION TAKEN REPORT ON DECISIONS OF IQAC ON NOVEMBER 30th 2019

As reported and in Compliance to the decisions taken by IQAC in the meeting on 30th November 2019, following actions have been taken:

1. Collection and analysis of feedback from all stakeholders on quality-related institutional processes requires improvement (Reported in Agenda of IQAC meeting on 03/03/2020)

Date	Notice No.	Subject of notice
06/12/2019	1034	Conduction of in-house interactive workshop on stakeholder feedback

- As decided in the previous IQAC meeting on 30th November 2019, an in-house workshop on "Analysis of stakeholder' feedback" was conducted under the IQAC by the Dean Academics Office for the feedback coordinators of various departments on **16 December, 2019**. The workshop was attended by 22 coordinators.

The objectives were to:

- Review the latest feedback data and suggestions collected on **Course Content & Curriculum** from students, Faculty, Alumni & Employers
- Uniformity in analysis: development of a 5-point index
- **Implementation & effectiveness of the exercise in curriculum development**

- As discussed in the previous IQAC meeting on 30th November 2019, an In-house workshop on "Enhancing Alumni Interaction" was conducted under IQAC on **17 December, 2019** by the training & Placement cell for the alumni coordinators of the department. The workshop was attended by 22 coordinators.

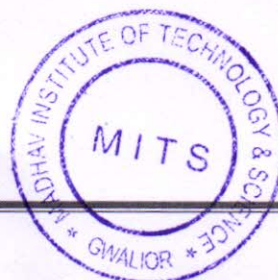
The objectives were to:

- Decide structure and process for building an alumni network at the department level
- Utilizing alumni connect for improvement of the internship mechanism

2. To review the status of e-repository created on MOODLE for UG projects and ME dissertations (Agenda of IQAC meeting on 03/03/2020)

Date	Notice No.	Subject of notice
03/12/2019	1032	Uploading ME dissertation and UG major project report in e-repository

- The house reviewed following status of uploading of UG projects and ME dissertations in e-repository on MOODLE under the Environment Management/ Sustainable Development mission of Institute.
- An e-repository was created and instructions were sent to all the departments to upload all the above reports for 2018-19 & 2019-20 batch.
- Till this report was compiled a total of 324 UG project reports and 57 PG dissertations were uploaded on the e-repository.



3. To report about the constitution of Parent-Teacher Association at the department level

Date	Notice No.	Subject of notice
11/02/2020	15	Constitution of Parent –teacher Association (PTA)
11/02/2020	16	Constitution of Departmental Alumni Association (DDA)

As decided in the previous IQAC meeting on 30th November 2019

- The Parent-Teacher Association (PTA) has been constituted at department level for each department with an objective of further improving & enhancing the participation & involvement of parents in the quality improvement process.

The initiative was appreciated and the House advised that at least 2-3 meetings should be conducted in a semester and the outcome of these meetings should be discussed in the next meeting of the IQAC.

4. To report about the constitution of Alumni Association at department level

As decided in the previous IQAC meeting on 30th November 2019

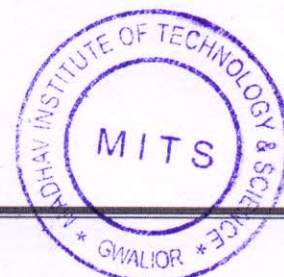
- The Departmental Alumni Association (DAA) will work for improving the overall industry connect of the department.
- It will also help in overall quality improvement by arranging internships for students, enhancing employability, identifying relevant projects etc.

The initiative was appreciated and the House advised that at least 2-3 meetings of the DAA should be conducted

Date	Notice No.	Subject of notice
31/12/2019	1038	Guidelines for allotment of code number for DE and OC
24/01/2020	1114	Guidelines for allotment of Code number for new courses/revised course.
12/2/2020	1122	Regarding conduction of remedial classes of weak students
27/02/2020	19	Attendance of candidates (minimum 240 days after completion of course work

5. Constant monitoring of progress of research scholars & maintaining quality of PG dissertations & UG projects

Date	Notice No.	Subject of notice
23/01/2020	1112	Six monthly Ph.D. review on 07 th March, 2020
12/02/2020	1121	Student publish/present one paper in conference/technical symposium/journal etc.



6. To report about the quality improvement initiatives & events conducted under the IQAC & TEQIP-III (Agenda of IQAC meeting on 03/03/2020)

Date	Notice No.	Subject of notice
22/01/2020	09	Conduction of a one-day in-house workshop on "Innovative & Interactive teaching learning practices.

➤ In- house workshops were conducted on "Innovative & interactive teaching learning practices" by various department as follows:

- *Applies Science and Humanities department conducted on 1st February, 2020- Effectiveness of Teaching Learning Process total number of 21 faculty members attended the programme.*
- *Computer Science Engineering & IT, Chemical Engineering and Biotechnology Department conducted on 15th February, 2020 – "Innovative & interactive Teaching Learning Practices" total number of 42 faculty members attended the programme.*
- *Electronics Engineering Department conducted on 1st February, 2020- "Innovative Teaching Learning Practices in the Department of Electronics Engineering" total number of 22 faculty members attended the programme.*

Workshop department level to discuss, analyze and review the exiting end semester examination question papers and to propose a new question paper pattern as discussed in Academic Council meeting.

A one-day in-house workshop on examination reforms was conducted at each department during February 2020.

Date	Notice No.	Subject of notice
24/01/2020	1113	All departments to conduct workshop on COs, Bloom's learning levels and POs
12/2/2020	1122	Regarding conduction of remedial classes of weak students

7. OBE compliance

In compliance to IQAC resolutions, each department conducted a workshop to discuss, analyse and review the end semester examination question papers. The OBE coordinators were instructed to conduct this activity at department level to map Cos, Bloom's Levels and POs

The objective of the workshop was to check whether LOTs and HOTs are addressed and attained through direct assessment or nor.

8. To apprise about conduction of online remedial/additional classes during lockdown

The institute is always determined to ensure good performance of students with special attention to the slow learners and needy students for the improvement in **quality and equity**. In view of the same the classes and other academic activities were continued after **26th April 2020** to help those students who were not able to attend the classes earlier due to technical or other reasons. The **remedial classes for UG & PG** students were also conducted. **The following is the summery of total Remedial Classes conducted through online mode during lockdown & subsequent unlock-1 in various departments:**

Dept./Year	B.Tech.				M. Tech	Total
	I	II	III	IV	I	
Applied Science	57	52	12	0	0	121
Civil	6	35	8	6	0	55
Mechanical		40	15	0		110
Automobile	51	24	9	5	4	38
Electrical	42	79	49	36	37	243
CSE		72	42	32		217
IT	27	51	40	36	44	127
Electronics & ET	0	106	72	24	19	221
Chemical	0	25	32	19	0	76
Architecture	15	2	0	0	0	17
Biotech	0	22	15	13	0	50
MCA	18	61	37	0	0	116
Total	216	569	331	171	104	1391

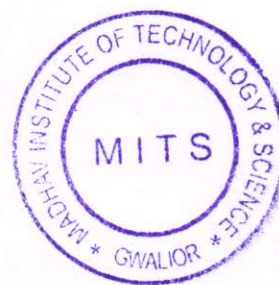
9. To brief the House about the Academic & Administrative Audit by external experts

- The Institute conducts six monthly Academic Audits as a standard practice, one in August by the Internal Audit Committee and the other in February by an external team.
- The Academic Audit was conducted as notified in the Academic Calendar on 22nd February and 29th February.
- The ATR will be presented in the next meeting along with the comparative status of departments with respect to previous audits.

The report of academic audit conducted on 22nd & 29th February 2020 is enclosed as Annexure with the IQAC minutes.

10. To report the performance of faculty & staff members in on-line courses on SWAYAM/ NPTEL platform during July-Dec. 2019

The SWAYAM/NPTEL local chapter of MITS ranked 31st in 100 top ranking chapters list issued by NPTEL.



Report on Performance of Faculty members SWAYAM/ NPTEL courses during July- Dec. 2019

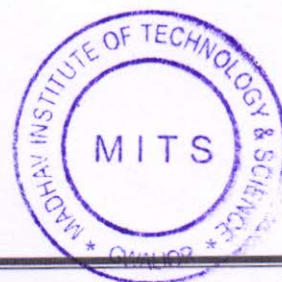
Total No. of courses Registered	Total no. of faculty & Staff registered in NPTEL courses	No. of registrations made by faculty members in exam		No. of faculty members qualified exam						
		No of enrolments for exam	No of faculty member present	Elite + Gold certificate	Elite +Silver certificate	Elite certificates	Successfully completed	Total no. of faculty qualified exam	No of toppers in various courses	No. of Faculty members completed FDP courses
456	56	83	72	-	24	30	16	66	06	66

Report on Students Performance in NPTEL Courses Run During July-Dec. 2019

Total No. of Registrations	No of students enrolled for SWAYAM-NPTEL exam	No. of students appeared in exam	No. of students qualified exam					
			Elite + Gold certificate	Elite +Silver certificate	Elite certificate	Successfully completed	No of toppers in various courses	Total students qualified exam
6224	872	770	14	135	235	160	24	544

11. THE FOLLOWING INITIATIVES TAKEN FOR GENDER EQUITY:

- Girls Grievance Cell was reconstituted this year.(Order No. 2381, Dated 01-08-2019)
- The 06 members of the cell regularly interact with students.
- The team has proposed to appoint two **Gender Champions** (one girl, one boy) from each class who will be associated in conducting activities like workshops, poster making, etc to create awareness about gender sensitivity, gender equity, safety, laws.
- A page and link regarding Girls Grievance Cell on the website/MOODLE/IMS is also planned.The house discussed the **Vishaka Guidelines against Sexual Harassment at Workplace** (Promulgated by the Indian Supreme Court in 1997 and were superseded in 2013 by the Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013).





MADHAV INSTITUTE OF TECHNOLOGY & SCIENCE, GWALIOR

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General Guidelines for Flexible Curriculum

(For batch admitted in 2017-18)

- For the award of basic Under Graduate (UG) Degree in Engineering/Technology (without Honours/Honours with Minor Specialization), it is required to earn **170 Credits**. For the B. Architecture Degree the total credit requirement is **260**.
- The students can opt up to **34 credits out of these 170 from recognized MOOC** (Massive Open Online Courses) platforms against Departmental & Open elective courses (DE/OC). Each such Course must be of minimum 2 credits.
- There is a provision for interested students to opt for **additional 20 credits** to obtain **Honours or Honours with Minor Specialization in chosen field**. These additional courses can be selected and opted from the list of courses approved by the department through their recognized bodies.
- In the flexible curriculum there is a provision of **03 Mandatory Credit Courses on Cyber Security, Disaster Management, & Intellectual Property Rights**.
- In the flexible curriculum presently there is a provision of **02 Audit Courses on (i) Biology for Engineers & (ii) Indian Constitution & Traditional Knowledge**. Auditing a course allows a student to take a class without the benefit of a grade or credit, for the sole purposes of self-enrichment and academic exploration.
- The students have to undergo three **Mandatory Summer Internship Programme/Projects (SIPs)** after their I, II and III year and their evaluation will reflect in III, V & VII semester examination results, respectively.
- Credit will be given for **“Professional Development”** of students in order to bring their all kinds of personality and skill development activities into the orbit and to encourage student participation in professional chapter activities, club activities, cultural events, sports, technical events, hackathons, personality development activities etc.
- The marks for **“Professional Development”** will be awarded to students in VIII semester on the basis of their participation and achievements in extra & co-curricular activities, sports, performance in MOOCs etc. right from I year.





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Guidelines for students opting additional courses for (i) B.Tech.Honours degree or (ii) B.Tech.Honours degree with Minor Specialization

- For getting an (i) **B.TechHonours** in parent discipline or (ii) **B.TechHonourswithMinor Specialization** in other interdisciplinary areas/fields of Engineering, Technology, Applied Science, Management etc. which are offered by the Institute, the **additional Credit requirement is 20 for Engineering & Technology students** i.e. **Total 170 + 20 = 190** credits needed by the end of VIII semester.
- For students desirous of achieving additional credits for Honours/HonourswithMinor Specialization, there is a provision of selecting maximum 02 courses per semester from V semester onwards. Each such Course must be of minimum 2 credits.
- These additional courses can be selected only from the pool of courses specified by the department from recognized SWAYAM/NPTEL/MOOCplatforms.

Credit Requirements & Guidelines for MOOCs

- Up to 34 Credits out of total 170 for Engineering/Technology students & 52 credits out of total 260 credits for B. Architecture students can be earned through SWAYAM/NPTEL/MOOC platform based learning for the award of UG degree in Engineering/Technology & Architecture respectively (**without Honours/HonourswithMinor Specialization**).
- To obtain **Honours or HonourswithMinor Specialization 20 credits** additionally can be acquired through SWAYAM/NPTEL/MOOC platform based learning.
- In this manner, students aspiring for **Honours or HonourswithMinor Specialization during the tenure of B. Tech programme** can opt for a total of **54 (34+20) Credits** and the students of the **B. Architecture programme** can earn up to **72 (52+20)credits** through SWAYAM/NPTEL/MOOC platform based learning.
- For the courses opted under MOOC, the equivalent credit weightage will be given to the students, for the credits earned in online examination on SWAYAM/NPTEL platform and other similar platforms as approved by the authorized bodies (BoS, ACetc.), in the credit plan of the program.
- Policy for credit equivalence and transfer for the courses opted from SWAYAM/NPTEL/University of Central Florida (UCF)/RGPV Bhopal/Institutional (MITS) MOOC/other MOOC (Massive Open Online Courses) platforms, is as follows :

Duration of MOOC	Credit Transfer
04 week course	01*
06 week course	02**





08 week course	03**
12 week course	04**

* The 01 credit courses can be opted only under seminar/self-study/professional development purposes.

** The 02, 03 & 04 credit courses can be opted under DEs/OCs and additional courses (for Honours/Honours with Minor Specialization).

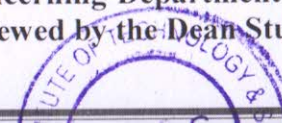
- The guidelines regarding “credit transfer from MOOCs” by All India Council of Technical Education (AICTE) and the affiliating university, i.e. RGPV Bhopal, as issued from time to time will be binding on the institute.

Guidelines for Departmental Elective (DEs) and Open Category Courses (OCs)

- The list of Departmental/Open Elective Courses (DEs/OCs) will be prepared well in advance and make the list public among the students, possibly in the previous semester itself for preference based registration process.
- The list of courses which the students can opt from the SWAYAM/NPTEL/MOOC platform against DE & OC courses in the scheme will be approved by authorized bodies (BoS, AC etc.) and displayed/communicated to students/on the website well in advance, (in September/October & April/May for even and odd semesters respectively) so that students can select the courses of their choice. Each such Course must be of minimum 2 credits.
- The Open Category (OC) course will be open for students of departments other than the offering (parent) department. Moreover, there will be no pre-requisite for Open Category Courses.
- **The allotment of DE/OC Courses will be based on First Come First Serve (FCFS) basis.**
- The weightage of continuous assessment (Mid Semester Exam, Quiz, Assignment etc.) for DE/OC courses which are opted from MOOCs will be considered from the score obtained towards assignment work/test etc. conducted by the course offering agency
- For matching the credit requirement with the curricular/scheme requirements, more than one MOOC course can also be selected against an Elective Course, provided that the collective credits are equal to or more than the credit requirement; however each such selected course must be of minimum 2 credits.

Mandatory Summer Internship Programme

- The students have to undergo three Mandatory Summer Internship Programme/Projects (SIPs) after the I, II and III year and their evaluation will reflect in III, V, & VII semester examination results.
- In case, a student fails to appear (due to valid cause)/acquire minimum score, the Head of Concerning Department may schedule the re-conduction of internship program for such students and the same will be monitored and reviewed by the Dean Student Welfare.





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Such students are required to fill the examination form for III/V semester in order to get the marks/credits reflected in their mark-sheet, which will also clearly indicate the year of completion of Internship.

- The promotion to successive semesters/years will not be affected for students who are not able to complete these requirements in time. However, **they will not be awarded the degree until they complete these mandatory Summer Internship programs (SIPs).**

Provision of Internship/Project

- All the courses offered in VIII semester are DE (Departmental Elective) and OC (Open Category) courses, which will run through online learning platform under the mentorship of faculty members.
- The students can opt for internship/project in the VIII Semester by either making a project or by doing internship in an industry after formal approval of the Institute as well as the concerned industry.

Awareness about Ethics & Academic Integrity

Criteria for accepting similarity index for the submission of UG project report/PG dissertation/Thesis

- The overall similarity index up to 15-20% is acceptable (using turnitin plagiarism check software).
- The highest similarity percentage from any one source is not greater than 4-6%.
- In case of self plagiarism, the permissible percentage may be slightly higher, say at 7-10%.

Guidelines for evaluating "Professional Development"

PERFORMANCE METRICS		
Categories	Suggestive Activities	Marks Assigned
Institute Level* (C1)	Participation in Institute level technical events such as quizzes, extemporary, debate, student volunteers, seminar, professional society local chapters (IET,IEEE,ISTE,IETE),NCC etc.	(02 Marks for each participation) Marks=Number of activities (C1) x 2 (Maximum marks in this category 06)





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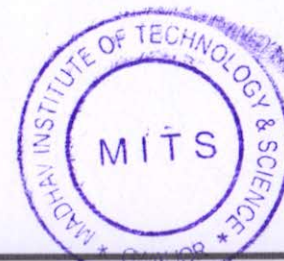
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State Level* (C2)	Participation in State level technical events such as Robotics, Coding challenge, Cultural cum technical fest, technical symposium, volunteers, hackathon, sports etc.	03 marks for each participation Number of Marks=Number of activities (C2) x 3 (Maximum marks in this category 09)
National level* (C3)	Participate in National level events such as hands on workshop, national level seminar, national conference, Entrepreneurship, model making, techno culture fest, national youth festival, research conclave, project competition, volunteers, sports festival etc.	05 marks for each participation (Maximum 15) Marks=Number of activities (C3) x 5 (Maximum marks in this category 15)
MOOC's** (C4)	Successfully completed technical certification course in any MOOC's platform such as (NPTEL/SWAYAM/EdX/Coursera/Class Central etc)	10 marks for each course (Maximum 20) Marks= Number of certificates (C4) x 10 (Maximum marks in this category 20)
Evaluation in VIII Semester		
Formula		Marks Scored(Out of 50)
$(C1 \times 2 + C2 \times 3 + C3 \times 5 + C4 \times 10) =$		

In addition to the above, if a student or group of students win a competition in the above three categories (Institute level/State level/National level etc.) then maximum marks in the respective category will be awarded to such students.

Note: * Student must produce a certificate as a proof for each activity.

****** Courses for which credits are already earned (for DE/OC/Honours or Minor Specialization from I to VIII semester) through MOOCs by the student during academics will not be counted.



POLICY ON ACADEMIC ETHICS

1. Introduction

Ethical practice is essential in every kind of academic activity, Any violation of basic ethics will affect the value and credibility of the activity being carried out. whether it is teaching or research or administration.

This document lays down broad guidelines and norms to be followed to ensure ethical practices in all academic institutions in the country. Here, "institution" includes all recognized universities, colleges and research institutes, as well as government agencies promoting or supporting academic activity. Other academic entities, including high schools, are also encouraged to adopt this policy.

Different areas of academic work, such as work involving human or animal subjects, medicine, engineering 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.

2. Policy of ethical conduct:

This section states the general principles of ethical conduct which should be followed in different aspects of academia:

(i) Teaching and research ~

- ✓ The selection and training of students should involve a just and fair procedure. During tests and interviews there can always be subjective judgements, however, they must avoid any considerations unrelated to the student's academic ability.
- ✓ During teaching, the dignity of the classroom/laboratory should always be maintained.
- ✓ Cheating in tests and exams is never acceptable.
- ✓ Through their own actions, mentors must communicate positive ethical values and professionalism to their students. In research projects, the Principal Investigator should monitor the procedures and, if relevant, write down policies for recording data and compiling results. These policies should be made known to all collaborators.
- ✓ Every institution must have fair procedures for proper use and sharing of equipment and facilities.

(ii) Purity of Data

National Policy on Academic Ethics

- ✓ Wherever any kind of experimental or data-driven work is involved, it is essential to present the results correctly and honestly. One must carefully avoid all unacceptable forms of data manipulation, for example adding or subtracting data points at will, editing images to produce a false result, creating images artificially and presenting them as data or using the same figure or table to describe different experiments. The conclusions claimed in a research paper must follow honestly from the data collected.

✓ It is understood that data often has to be processed. Details of acceptable/unacceptable processing can be quite complex and will vary from subject to subject. The relevant norms in the given area should be applied in each case.

✓ Data fraud should be considered as a very serious offence as it harms the image of the entire community and the country. Deliberate falsification of data should attract stringent punishment

(iii) Publications:

✓ The list of authors in research papers, reviews, books, monographs or policy documents should not be manipulated to give undue credit to those who have not contributed ("honorary authorship"), or deny credit to those who have contributed sufficiently. Sometimes a genuine author's name is suppressed to hide a conflict of interest and the name of a "ghost author" is substituted. Such a practice is unethical for both parties. Also, no one can be made an author of a document without their awareness and consent.

✓ In recent years there has been a rise in so-called "predatory journals" which publish papers with minimal or no review, typically for a fee. It is unethical to publish in journals of this nature. However, it is essential to distinguish predatory journals from legitimate open-access journals which may also charge a publication fee. Authors should be cautious of such journals before submitting their work for publishing and authorities should take serious note whenever a candidate for any position or award has publications in proven predatory journals.

✓ Plagiarism

- It is the practice of using ideas/words/data from other sources, in a manner that conveys a false impression that they are original. Publishing one's own results more than once as if they are new, is "self-plagiarism". Plagiarism is relevant not only for published papers but also project reports, textbooks and grant proposals.
- Plagiarism of any kind is unacceptable. The ethical practice is to use only a limited amount of ideas and words by other authors in one's writing and with proper acknowledgement
- While plagiarism is always wrong the extent of it can be variable and sometimes it can also be unintentional. Text-matching software can only alert us that plagiarism might have taken place, but this has to be verified by a qualified human being familiar with the area. Authors are responsible for learning about correct writing practices, and institutes also should impart training in this direction.
- When plagiarism is detected, it must be corrected by immediately publishing a retraction or revision. Deliberate and/or serious forms of plagiarism should entail strict punishment.

(iv) Safety and Environment:

✓ Academic work must not pose a risk or danger to people or the environment.

✓ Guidelines and regulations concerning safety must be formulated and carefully followed. This is especially important for handling, storing and disposing of radioactive, toxic or dangerous materials. Clearances and permits/licenses, if required, must be obtained.

✓ Wherever relevant; due attention must be given to industrial safety, sustainable development, sharing of intellectual property rights; environmental loading and related issues.

(v) Bias and discrimination:

✓ Academic communities are enriched by the presence of people of different ethnicities, genders, religions, castes, tribes, socioeconomic strata, affiliations, backgrounds and sexual orientations. There must be no direct or indirect bias or discrimination against any individual based on the above categories. Members should pro-actively strive to Improve the balance of under-represented sections.

✓ The nation should aim for the full and equal participation of women in all academic activities. It is everyone's responsibility to support a gender neutral and supportive environment to achieve this goal. Gender sensitivity should form an essential part of direct ethical training.

✓ Sexual misconduct and/or gender-based harassment in the workplace are totally unacceptable. Legal structures and rules regarding how to deal with sexual misconduct must be rigorously followed. There also exist many forms of behavior which may not amount to harassment in the legal sense but constitute gender-based discrimination. Institutions should strive to ensure that their members do not engage in such actions and should pro-actively sensitize their community on these issues.

✓ Bullying in the workplace is a form of harassment that usually targets the most vulnerable members. This can include abusive language, frequent use of Insults, threatening letters, sabotage of others' work, exploiting juniors to carry out personal errands etc. Such actions are highly unethical and are not acceptable.

(vi) Public interaction and outreach

✓ It is a duty, particularly for publicly funded academics, to communicate the results of their work to the society on a regular basis to educate the public of the fruits of their research and to stimulate the aspirations of young students in schools and colleges.

✓ While Interacting with the press and members of the public, it is essential for academics to avoid making exaggerated or false claims. Statements made in public should be balanced and professional. As practitioners of rational thinking and scientific temper, academics are encouraged to voice their professional opinions openly and without fear.

(vii) Science administration

✓ High standards of professionalism and objectivity should be shown by leaders and officials of institutions, departments and governmental agencies. This should be manifested in how they handle policy, performance assessment, grants and proposals and hiring.

✓ Officials must do their best to ensure that a culture of professionalism permeates the organization. Misuse of power is unethical and must be avoided. When committees are constituted, they must involve members known for their fairness and balance rather than personal loyalties or willingness to be influenced. Committees should be constituted keeping diversity in mind and should have appropriate gender representation.

✓ Where policy opinions and decisions are involved, officials must stay clear of commercial, social and political pressures. Conflicts of interest have to be avoided. When potential conflicts are liable to occur, the official must make this known to the concerned colleagues.

✓ Infringement of the right to privacy by an academic institution is not ethical. Not only the legal requirements but also more general professional standards for maintaining privacy should apply.

(viii) Role of whistleblowers:

✓ Individuals who complain about unethical practices may find themselves in a difficult or sensitive position. A negative impact on their career is one among many possible risks following their actions. It is important to safeguard the interests of the whistleblower against any retaliatory repercussions

✓ On the other hand, deliberately making false accusations is itself highly unethical and must be dealt with.

3. Regulatory Norms

(i) Implementation:

✓ It is essential to prevent unethical practices in the first place by suitable ethical training, promoting a culture of professionalism and a clear statement that unethical behavior is not tolerated in the institution. To this end, institutions must create or adopt suitable ethics documents and impart direct ethical training to its staff through lectures and interactive workshops on a regular basis, so that the community is fully aware of these issues.

✓ The detailed ethical guidelines for each institution must be made available to all employees and should clearly spell out procedures for grievance redressal at that institution.

✓ Despite all this, if ethical violations are found then they must necessarily be addressed on an urgent basis and for this purpose, it is recommended that the institutions should set up a standing committee which ensures timely and impartial redressal of all grievances alleged to arise out of policy violations.

(ii) Handling policy violations

Institutions should employ formal mechanisms and procedures for dealing with allegations of research misconduct, as well as any other kind of misconduct as described in this document, against its staff and students based on the following fundamental principles:

Corrective action:

If a publication is found to contain plagiarism or manipulated data, the institution must ensure that a correction or retraction is published in the same place as the original paper. On the administrative side, if a decision is found to have been made based on a bias or conflict of interest, then it should be overturned and the process repeated if necessary. In general, every effort must be made to ensure that an unethical action does not succeed in propagating false knowledge or incorrect decisions.

Punitive action

This covers not just misconduct involving data and publication, but also harassment, discrimination and other issues covered in this document Punitive action communicates not just to the violator, but also to society at large, that unethical behavior is unacceptable. The degree of punishment should be carefully calibrated in proportion to the offence. First-time offenders, particularly, if the offence is minor or unintentional and the offender is inexperienced, may be let off with a warning. Serious, multiple or repeat offences must be treated with utmost seriousness. Large-scale ethical violations should be met with severe disciplinary action and, if appropriate, dismissal.

Institutions should endorse the following principles when implementing disciplinary procedures:

- The responsibilities of those dealing with the allegation should be clear and understood by all concerned parties.
- Measures should be in place to ensure an impartial and independent investigation and to ensure that interests of those dealing with the allegation do not conflict with these procedures.
- The organization should safeguard the rights to confidentiality of the concerned parties.
- All concerned parties should be informed of the allegation at an appropriate stage in the proceedings.
- Anyone accused of misconduct should have the right to respond.
- A policy should be in place to ensure that no employee who makes an allegation in good faith against another employee shall suffer a detriment but equally that disciplinary procedures are in place to deal with malicious allegations.
- The allegation should be dealt with in a fair and timely manner.
- Proper record of the proceedings should be kept.
- The outcome should be made known as quickly as possible to all concerned parties.
- Anyone found guilty of misconduct should have the right to an appeal.
- Appropriate sanctions and disciplinary procedures should be in place for cases when the allegation is upheld.
- If appropriate, efforts should be made to restore the reputation of the accused party if the allegation is dismissed.

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