



Office Order

No. ADYPU/EC/2019-176A

Date: 7 Sept 2019

Ref: **Ethics Committee** (2019-2022)

In accordance with the approval accorded by the Hon'ble Vice Chancellor, the **Ethics Committee** is constituted for a period of 3 years. The committee will start functioning as per the norms of the university and will document the proceedings with minutes of meetings in the respective filing system as and when the meetings are convened.

This Committee has been given the authority to consider alleged cases of Research, IPRs and other such intellectual norms violations in the course of discharging their research responsibilities.

Sr No	Name	Designation
1	Dr. Makarand Joshi	Chairperson
2	Dr. Gouri Desai	Member
3	Dr. Biswajeet Champaty	Member
4	Dr. Samraggi Chakraborty	Member
5	Dr. Nitin Sherje	External Ethics Expert

For Ajeenkya DY Patil University

Registrar

Copy submitted to Prof. Hrridaysh Deshpande, Vice Chancellor



- Copy to: 1.Hon. Vice Chancellor's office  
2. Registrar –Raymond Paul  
3. All members



Office Order

No. ADYPU/EC/2022- 73 A

Date: November 15, 2022

Ref: **Ethics Committee** (2022-2025)

In accordance with the approval accorded by the Hon'ble Vice Chancellor, the **Ethics Committee** is constituted for a period of 3 years. The committee will start functioning as per the norms of the university and will document the proceedings with minutes of meetings in the respective filing system as and when the meetings are convened.

This Committee has been given the authority to consider alleged cases of Research, IPRs and other such intellectual norms violations in the course of discharging their research responsibilities.

Sr No	Name	Designation
1	Dr. Biswajeet Champaty	Chairperson
2	Dr. Makarand Joshi	Member
3	Dr Ram Sharma	Member
4	Dr Shaista Peerzada	Member
5	Dr Rajasekaran Shanmugam	Member
6	Dr Ajay Shah	External Ethics Expert

For Ajeenkya DY Patil University

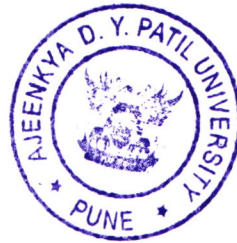
Registrar

Copy submitted to Prof. Hrridaysh Deshpande, Vice Chancellor

Copy to: 1.Hon. Vice Chancellor's office

2. Registrar –Raymond Paul

3. All members





Reference No: ADYPU/EC/2019-20/001

Date: October 14, 2019

**Minutes of the Research Ethics Meeting for AY: 2019-2020**

**The Research Ethics Meeting of Ajeenkya DY Patil University**

**Date:** October 14, 2019 (Friday)

**Time:** 12.30 to 2.30 pm

**Mode:** Hybrid

**Venue:** S2 Seminar Hall, University Learning One

**Members Present**

Sr. No.	Name	Designation
1	Dr. Makrand Joshi	Chairperson
2	Dr. Nitin Sherje	External Ethics Expert
3	Dr. Gouri Desai	Member
4	Dr. Biswajeet Champaty	Member
5	Dr. Samraggi Chakraborty	Member

**Members Absent**

Dr. Nitin Sherje	External Ethics Expert
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Welcoming of the members was done by the Chairperson.

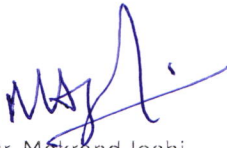
**Agenda**

- 1) Functions of the Ethics Committee
- 2) Year-wise Plan for Ethics in Research
- 3) Development of Ethical Guidelines for Interdisciplinary Research
- 4) Training and Capacity Building in Research Integrity and Plagiarism Prevention

## Points of Discussion

- Members outlined the primary roles of the Ethics Committee, emphasizing its importance in overseeing ethical standards in research activities. Workshops offering guidance on issues such as data privacy, informed consent, and intellectual property were proposed for research students.
- A detailed plan for integrating ethics into research activities over the coming years was presented. The plan is mandatory ethics training and awareness programs for new researchers.
- The need to establish interdisciplinary research was discussed and the steps to involve multiple departments, industries, or international partners are suggested by few members for implementation.
- Members suggested to formulate a plan for regular training sessions focused on research integrity, plagiarism prevention. Suggestions for best practices in scholarly writing, aimed at both faculty and doctoral students were given by the members. Effective measures for the same to be taken was the decision arrived at by consensus of the members present.

Vote of thanks was given by the Chairperson.



Dr. Makrand Joshi

**Chairperson: Research Ethics Committee**



Reference No: ADYPU/EC/2020-21/ 001

Date: 13<sup>th</sup> December 2020

**Minutes of the Research Ethics Meeting for AY: 2020-21**

**The Research Ethics Meeting of Ajeenkya DY Patil University**

**Date:** 12<sup>th</sup> December 2020

**Time:** 2:00- 4:00 pm

**Mode:** Hybrid

**Venue:** Dean's hub

**Members Present**

Sr. No.	Name	Designation
1	Dr. Makrand Joshi	Chairperson
2	Dr. Nitin Sherje	External Ethics Expert
3	Dr. Gouri Desai	Member
4	Dr. Biswajeet Champaty	Member
5	Dr. Samraggi Chakraborty	Member

**Members Absent**

Dr. Samraggi Chakraborty	Member
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**Welcoming of the members was done by the chairperson**

**Agenda**

1. Implementation of an Ethics Committee for Research Oversight
2. COVID-19 Challenges in Experimental Research
3. Innovations in Research Methodologies Post-COVID-19
4. Ethical Implications of Remote Research
5. Mental Health and Well-Being of Researchers and Participants

**Points of Discussion**

**1) Implementation of an Ethics Committee**

An Ethics Committee will be formed to ensure ethical standards and protect research participants' rights. Comprising diverse members, it will review protocols and address complaints, supported by ongoing training and feedback systems.

### **Decisions and Action Items for Ethics Committee Implementation:**

The Ethics Committee's formation was scheduled for to draft the standard operating procedures (SOPs) for review. During discussions, it was decided that [Name] would also organize training sessions and lead awareness campaigns to promote ethical standards among researchers.

#### **2) COVID-19 Challenges in Experimental Research**

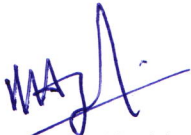
COVID-19 disrupted experimental research by limiting lab access and affecting participant recruitment, prompting a shift to remote data collection. Researchers faced challenges with informed consent regarding health risks, as well as shifting funding priorities and rapidly changing regulations.

#### **3) Safety Protocols for In-Person Research:**

Safety protocols for in-person research will prioritize compliance with public health standards through regular updates and risk-benefit analyses. Informed consent forms will detail COVID-19 risks and safety measures, while monitoring mechanisms and training on PPE use and emergency responses will ensure compliance and preparedness for public health emergencies.

#### **Conclusion:**

The Chairperson reiterated the importance of the Ethics Committee in navigating COVID-19 challenges and maintaining ethical research standards. The Committee will guide researchers through ethical dilemmas, particularly in these unprecedented times, and ensure research integrity and participant safety.



Dr. Makrand Joshi

**Chairperson: Research Ethics Committee**



Reference No: ADYPU/EC/2021-22/ 001

Date: January 23, 2021

Minutes of the Research Ethics Meeting for AY: 2021-22

The Research Ethics Meeting of Ajeenkya D Y Patil University

Date: January 20, 2021 (Wednesday)

Time: 10.30 am to 12.30 pm

Mode: Offline

Venue: Dean Cabin (ULC1)

Members Present

Sr. No.	Name	Designation
1	Dr. Makrand Joshi	Chairperson
2	Dr. Nitin Sherje	External Ethics Expert
3	Dr. Gouri Desai	Member
4	Dr. Biswajeet Champaty	Member
5	Dr. Samraggi Chakraborty	Member

Members Absent

Dr. Gouri Desai	Member
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The meeting commenced with a welcome address by the Chairperson, who thanked the members for their participation. The importance of maintaining high ethical standards in research was emphasized, and the agenda for the meeting was introduced.

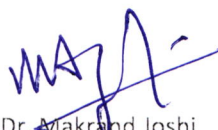
Agenda

- 1) Aligning departments for smoother research and publications.
- 2) Review of the 2021 Ethics Policy.
- 3) Guidelines for funding projects.
- 4) Discussion on biomedical and bioethics research.
- 5) Formulating publication policies to foster interdisciplinary research.

## Points of Discussion

1. Publication Policies
  - The need to focus on quality publications aligned with interdisciplinary research goals was discussed.
  - Faculty were advised to avoid publishing in predatory journals and prioritize reputable, peer-reviewed journals.
2. 2021 Ethics Policy
  - The 2021 Ethics Policy remains relevant, but minor updates are required to address emerging challenges, particularly in AI-based research.
  - Refresher sessions for faculty and students will be organized to ensure they are familiar with policy updates and ethical standards.
3. Funding Projects
  - Emphasis was placed on strengthening compliance tracking for getting funded projects to align with institutional and external guidelines.
  - A proposal was made to establish a Research Grant Cell to assist faculty with securing and managing funding opportunities.
4. Biomedical and Bioethics Research
  - A sub-committee will be formed to review biomedical proposals and ensure bioethics standards are maintained.
  - A bioethics workshop is planned to train researchers and raise awareness about ethical practices in biomedical research.
5. Interdisciplinary Research
  - A proposal was made to form research clusters for collaborative interdisciplinary projects.
  - The first call for interdisciplinary project proposals will be issued in October 2024 to encourage cross-department collaboration.

The meeting concluded with a vote of thanks by the Dean of Doctoral Studies, expressing appreciation for the members' participation and valuable input. Continued collaboration and adherence to research ethics were encouraged to uphold the university's standards.



Dr. Akram Joshi

**Chairperson: Research Ethics Committee**



Reference No: ADYPU/EC/2022-23/ 001

Date: September 23, 2024

**Minutes of the Research Ethics Meeting for AY: 2022-2023**

**The Research Ethics Meeting of Ajeenkya**

**Date:** September 20, 2024 (Friday)

**Time:** 12.30 to 2.30 pm

**Mode:** Hybrid

**Venue:** S1 Seminar Hall, University Learning One

**Members Present**

Sr. No.	Name of the Member	Designation
1	Dr. Biswajeet Champaty	Chairperson
2	Dr. Makrand Joshi	Member
3	Dr. Ram Sharma	Member
4	Dr. Shaista Peerzada	Member
5	Dr. Rajasekaran Shanmugam	Member
6	Dr. Ajay Shah	External Ethics Expert

**Members Absent**

Name of the Member	Position
Dr. Makrand Joshi	Member

**Agenda:**

- 1) Education and Training.
- 2) Skills development Needs.
- 3) Mentorship and guidance.

### Points of Discussion:

- 1) Review of existing training programs was considered and new workshops were suggested for PhD students.
- 2) Discussion done on the feedback received from participants on the effectiveness and relevance of these programs.
- 3) Discussion done on exploring the role of mentorship in the education and training programs of the PhD students.
- 4) How can we identify opportunities for interdisciplinary training that can enrich the PhD experience and the overall organisation.

The Convener and the chairman welcomed the newly joined members and the other members to the ethics committee meeting, the committee discussed and framed guideline for Review existing training programs and workshops available for PhD students.

And they discussed on review existing training programs and workshops available for PhD students. While taking feedbacks on the effectiveness and relevance of these programs.

We discussed all the below mentioned points and the work is distributed among the members of the committee.

The Convener and Chairman thanked all the members for their active participation and support for the meeting.



Dr. Biswajeet Champaty

**Chairperson: Research Ethics Committee**



Reference No: ADYPU/EC/2023-24/ 001

Date: January 25, 2024

**Minutes of the Research Ethics Meeting for AY: 2023-24**

**The Research Ethics Meeting of Ajeenkya DY Patil University**

**Date:** January 23, 2024 (Tuesday)

**Time:** 3:00 to 5:00 pm

**Mode:** Offline

**Venue:** S1 Seminar Hall, University Learning One

**Members Present**

Sr. No.	Name	Designation
1	Dr. Biswajeet Champaty	Chairperson
2	Dr. Makrand Joshi	Member
3	Dr. Ram Sharma	Member
4	Dr. Shaista Peerzada	Member
5	Dr. Rajasekaran Shanmugam	Member
6	Dr. Ajay Shah	External Ethics Expert

**Members Absent**

Dr. Shaista Peerzada	Member
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The Convenor and Chairman of the committee welcomed all the members and conducted the committee on general progress and review meeting.

**Agenda**

- 1) Review of last meeting's minutes
- 2) IPR and its importance
- 3) AI in research
- 4) Review of old research students
- 5) Any other point

## Points of Discussion

- 1) The committee members discussed about the minutes of last meeting and took a review of the agendas of last academic year.
- 2) The discussions were held about the importance of IPR, and the seminars conduction were suggested for spreading awareness about the same.
- 3) Impact of AI was discussed along with the challenges for supervisors about it's implementation in research. Steps to avoid such implications were discussed by members.
- 4) Measures to be taken for the few research scholars who are not working regularly.
- 5) The point of having skills related to research was raised by some members and the steps required to improve the same were discussed in this meeting.

The meeting is concluded by thanking note by convenor.



Dr. Biswajeet Champaty

**Chairperson: Research Ethics Committee**



**AJEENKYA**  
D Y PATIL UNIVERSITY

THE INNOVATION  
UNIVERSITY

# Code of Ethics Policy

📍 Ajeenkya DY Patil University  
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## Purpose

Research and development comprise of systematic work undertaken to enhance and increase the treasure of knowledge of people, culture, and society, and use of this treasure of knowledge to invent new applications for sustainable well-being. It is a culmination of activities original as well as innovative that encompass academic, professional, and technological domains. Research demands freedom of choice all the while comprehending their implications as well to maintain benchmarks requires rigor and integrity. Research shall therefore comply with ethical, legal, and professional bounds.

The repute of the university relies on standards and ethics that it propagates in rendering research activities carried out by the scholars. The code hence intends to outline the mannerisms of research scholars registered for their doctoral program in dealing with the academic community, contemporaries, and public at large in terms of disciplines and behavior all the while being sincere and diligent to uphold the mission of the university and hence instilling greater trust among all stakeholders.

### I. Ethical Dimensions of Research

The widely accepted five ethical dimensions of academic research are

- i. Normative ethics- includes determining what is right and wrong
- ii. Compliance- includes instituted policies and regulations at the university
- iii. Rigor and reproducibility – “only kind of science that can offer social value and justify risks to subjects and financial investment in research”.
- iv. Social Value- “means that research addresses problems of importance to society, generating knowledge used to solve real-world problems through new technologies or procedures”.
- v. Workplace relationships- a newly identified aspect of research, that in essence forecasts the beneficial relationship that must be established and sustained for greater outcomes.



## II. Institutional Responsibilities

ADYPU is committed to ensuring that all activities that encompass the university, and particularly those including research are facilitated to the highest of standards as well as upholding legal, ethical, and safety norms. The institutional responsibility inherently is individuals' professional responsibilities on behalf of the University.

The University thus:

- Formulate research governance framework via policies and procedures.
- Facilitates training and development programs and appropriate mentoring to enable skill up-gradation and consequential support for career development.
- Provides research orientation for achieving excellence.
- Institutes robust management systems that ensure compliance with set standards as well as systems for resolving disputes and prevent misconduct; also process for apt decision making and grievance redressal.
- Provides infrastructure and resources, support, and services.

### (i) Leadership and Supervision

Leadership in the context of this code is to motivate/inspire to act in a way that benefits the university. Leaders, the research supervisor, are expected to foster a conducive ambiance to promote sound research accolades to the university. Leaders are to facilitate research activities by assuredly upholding the integrity and sound governance and ethical practice, as well as instill a culture of honesty, co-operation, and professionalism.

### (ii) Training and Mentorship

It is the prerogative that the university lays policies to ensure all researchers receive apt training opportunities and ensuing supervision and required assistance to enable research





of the highest standards. The academic departments are to facilitate directions and coordination to in filter the policies to all stakeholders. The academic departments shall therefore facilitate training programs i.e., coursework (research methodology, regulatory, equipment use, confidentiality, data management, record-keeping, data protection, and publication).

A research mentor, a knowledgeable, open-minded, supportive, and a good listener himself, in the context of this code, is expected to serve as a catalyst, a role model, and a coach that facilitates progressive research beneficial for all researchers.

The research mentor shall therefore inspire and demand disseminating research outcomes in the various publicizing medium such as conference, journal, and the like.

### III. Good Practice of Research Scholars

Some of the practices and attributes that research scholars must possess and exhibit that are deemed key for undertaking good research are.

- ✓ **Sincerity and Dedication:** Every research scholar should be sincere in the work culture. They should be dedicated and devote their time only to research works.
- ✓ **Time Management:** Time spent on unproductive work will never fetch anything. Care should be taken to chart out a timeline for completing the given task and submit the thesis.
- ✓ **Honesty:** Refers to being accurate and truthful about one's self, one's work, and in acknowledging the work of others; reporting all the findings; and making valid interpretations and claims.
- ✓ **Rigour:** choose and adhere to appropriate methods; draw conclusions; and communicate the results.
- ✓ **Transparency:** report data collection methods; analyze and interpret data; and make findings widely available, including to the general public.
- ✓ **Respect and care:** exhibit care for all research participants and the environment. Conduct



respectfully towards other scholars, staff, and faculty.

- ✓ **Trust:** Exhibit mutual trust to encourage the free exchange of ideas.
- ✓ **Fairness:** Ensure fairness in institutional standards, practices, and procedures as well as in interactions between members of the research groups.
- ✓ **Responsibility:** Uphold high standards of conduct in learning, teaching, and research responsibly for promoting academic integrity, among all members of the university.
- ✓ **Legality:** Observe valid legal norms related to the conduct and publication of research, particularly in relation to copyright, the intellectual property rights of third parties, the terms and conditions regulating access to research resources, and the laws of libel.

#### IV. Ethical Values of Research Scholars

Upholding ethical values are vital to good research and the university promotes such research activity. Some of them are;

- a. be very punctual, dedicated, and sincere in all academic work.
- b. research data collected should be synthesized as per the procedure laid down.
- c. research results to be reported should be following standard practices.
- d. publication status should not be manipulated or misrepresented.
- e. need to keep their undertakings and agreements honestly.
- f. avoid casual attitudes and negligence with their research work.
- g. keep quality in their paperwork and records of research activities, such as literature review, research design, data collection, data analysis, interpretation, drafted manuscripts and its communication with UGC recognized journals.
- h. need to respect patents, copyrights, and other forms of intellectual property.
- i. strive to protect confidential communications, such as manuscripts, projects, or grants submitted for publication, personnel records, deals or military secrets, and patient records used for requisite research.



- j. Endorse social wellbeing and to prevent or lessen social harms through research, public education, and promotion and care to safeguard the environment.

## V. Research Misconduct

Misconduct in academic research implies but is not limited to fabrication, falsification, plagiarism, or deception in proposing, carrying out, or reporting results of research and deliberate, dangerous, or negligent deviations from accepted practice in carrying out research. It includes failure to follow an agreed protocol if and when this failure results in unreasonable risk or harm to persons, the environment, and when it facilitates misconduct in research by collusion in, or concealment of, such actions by others.

The university demands that research misconduct is to be abhorred by a researcher and further states that "research misconduct does not include honest error or differences of opinion".

### **Misconduct includes but is not limited to the following acts:**

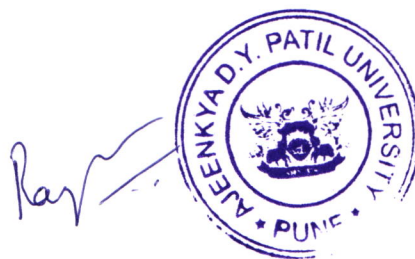
- **Plagiarism:** The deliberate copying of ideas, text, data, or other work (or any combination thereof) without due permission and acknowledgment. Plagiarism is "the appropriation of another person's ideas, processes, results, or words without giving appropriate credit". Representing any part or parts of another's work as one's own is considered plagiarism and may be a violation of the Principle of Ethics.
- **Piracy:** The deliberate exploitation of ideas from others without proper acknowledgment
- **Abuse of Intellectual Property Rights:** Failure to observe legal norms regarding copyright and the moral rights of authors.
- **Abuse of Research Resources:** Failure to observe the terms and conditions of institutionally licensed research resources.



- **Defamation:** Failure to observe relevant legal norms governing libel and slander.
- **Misinterpretation:** The deliberate attempt to represent falsely or unfairly the ideas or work of others, whether or not for personal gain or enhancement.
- **Personation:** The situation where someone other than the person who has submitted any academic work has prepared (parts of) the work.
- **Fabrication and Fraud:** The falsification or invention of qualifications, data, information, or citations in any formal academic exercise.
- **Sabotage:** Acting to prevent others from completing their work. This includes stealing or cutting pages out of library books or otherwise damaging them, or willfully disrupting the experiments of others, or endangering institutional access to licensed research resources by willfully failing to observe their terms and conditions.

## VI. Ethics Committee

The University's Ethics Committee will be functioning to promote the best practices by all its research scholars. However, in the event of any unwanted misconduct observed within the University or its constituent unit, this committee shall take up the matter and evaluate to punish or prevent such incidences.



- **Composition of the Ethics Committee**

The Ethics Committee is appointed by the University upon nomination by the Vice-Chancellor. The Committee shall be composed of the following members:

1. The Chairman
2. Senior Associate Professor/Professor from domain specialization (Three to Six Members)
3. The Dean (Research)
4. One or Two nominees who are external ethics experts as per the recommendation by Vice-Chancellor.

- **Tasks of the Ethics Committee**

1. Provide advice and guidance to the academic community on all matters about academic research ethics.
2. Advise the authorities on compliance with the 'Code of Ethics in Academic Research'
3. Provide guidance and academic support to scholars on ethical issues in respect of teaching, research, and other academic activities.
4. Act as a consultative body for any disputed matter concerning research ethics and conduct and to make recommendations to the University on what action, if any, should be taken as a result of identified misconduct committed by the individuals and based on inquiries and detailed investigations.
5. To conduct ethics committee meeting on a yearly basis to review the progress and discuss the various initiatives to boost quality research and integrity.

*Peru*




- **Sanctions for Misconduct**

The following are the expected sanctions that will be imposed based on the level of misconduct:

1. Warning: A written reprimand for misconduct.
2. Loss of privileges: Denial of specified privileges for a designated period.
3. Fines: Previously established and published fines may be imposed.
4. Restitution: Compensation for loss, damage, or injury. This may take the form of appropriate services and/or monetary or material replacement.
5. Suspension: Separation for a definite period.
6. Dismissal: Permanent separation from the University

## VII. Conclusion

Ethics and values are very important concepts in the life of growing (budding) research scholars. The purpose of these guidelines is to consider the positive aspects effectively and neglect the negative aspects which are in any case do not help anybody. Many research scholars may be aware of these guidelines and there is no need to explain them. However, newly joining researchers should be highlighted about these aspects, which will certainly help them to promote values, virtues, and good conduct with moral ethics, not only while doing research but also in their life too.

  
**Raymond Paul**  
Registrar

