



CODE OF ETHICS
(PROMOTION OF ACADEMIC INTEGRITY AND PREVENTION
OF PLAGIARISM AND MALPRACTICES)

2018

1. PREAMBLE

WHEREAS, UPES is committed to maintain high academic standards in its programmes and expects faculty, students and staff to conduct themselves in a manner that is fair, honest and consistent with the principles of academic integrity, during the entire process of teaching, learning and research;

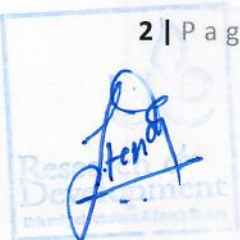
WHEREAS, ethical use of Information Communication Tools, videos, Power Point Presentations (PPTs), study material, written notes, handouts and other supports by the faculty and staff for teaching, learning or any other purposes what so ever including CCE study material, tend to be regarded as the touchstone of all academic interventions;

WHEREAS, assessment of academic and research work leading to the partial fulfillment for the award of degrees at Masters and Research level, done by a student or a faculty or a researcher or a staff; reflects the extent to which elements of academic integrity and originality are observed in various relevant processes adopted by any Educational Institution;

NOW, THEREFORE, in exercise of powers conferred by Rule 16 of the First Rules of the University of Petroleum and Energy Studies, the UPES hereby makes the following regulations.

2. SHORT TITLE AND COMMENCEMENT:

- 2.1. These regulations shall be called as "The UPES Regulations Governing Academic Integrity, 2018" (hereinafter referred to as 'the Regulations'). These Regulations shall come into force with effect from Aug., 2018.
- 2.2. These Regulations shall supersede all policies, rules, regulations, if any, framed by UPES in the past concerning and inconsistent with the matters contained herein to the extent of such inconsistency. However, the extant provisions contained herein shall be subject to the University Grants



Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018.

3. APPLICABILITY

These Regulations shall apply to all faculties, staff, researchers and students of the University.

4. OBJECTIVES

The objectives of these Regulations shall be:

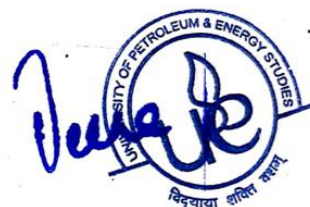
- a) To define, articulate and maintain Academic Integrity;
- b) To outline what constitutes major or minor cases of breaches of Academic Integrity, and the procedures for dealing with each;
- c) To provide a framework to ensure that academic standards and expectations are met;
- d) To establish institutional mechanism through education and training to facilitate responsible conduct of research, thesis, dissertation, promotion of academic integrity and deterrence from plagiarism;
- e) To create awareness about responsible conduct of research, thesis, dissertation, promotion of academic integrity and prevention of misconduct including plagiarism in academic writing among student, faculty, researcher and staff;
- f) To ensure that Academic Misconduct procedures are transparent, consistent, equitable and fair, and are consistent with the principles of natural justice;
- g) To identify responsibilities and accountabilities for decisions and processes; and
- h) To define a framework of penalties for substantiated academic misconduct.

5. DEFINITIONS



In these regulations, unless the context otherwise requires:

- a. **"Academic Integrity"** shall mean the intellectual honesty in proposing, performing and reporting any activity, which leads to the creation of intellectual property. The definition would include honesty, responsibility and the maintenance of academic standards in academics. Honesty in academics means that all academic work results from an individual's own efforts and that due credit is given to other peoples' ideas. Maintaining Academic Integrity involves that an individual or group of individuals:
- creating and expressing his/their own ideas in his/their work;
 - acknowledging all sources of information;
 - completing **scripts** independently or acknowledging collaboration;
 - accurately reporting results when conducting research or in clinical or laboratory work; and honesty during examinations.
- b. **"Departmental Academic Integrity Panel (DAIP)"** shall mean the body constituted to carry out second stage investigations into allegations of Academic Misconduct as described under these Regulations.
- c. **"Academic misconduct"** without prejudice to the generality of the term academic misconduct and the specific provisions made under this Policy, shall include acts and omissions specified under item No. 40 and 41 of Schedule I read with Clause 3 (j) of UPES Regulations Governing Conduct, Discipline and Appeal, 2017 and the Research Misconduct as prescribed under these Regulation. This shall further be without prejudice to the code of professional ethics for teaching faculty (as prescribed in the UGC Regulations) as contained in Schedule II of UPES Regulations ibid read with Clause 3 (j) thereof. This shall be further without prejudice to the provisions contained under Regulations Governing Maintenance of



Discipline among Students, 2009 (as amended in 2010 and following years), as may be applicable to the students from time to time;

- d. **"Departmental Academic Investigation Panel (DAIP)"** shall mean the body constituted to carry out first stage investigations into allegations of Academic Misconduct as described under these Regulations.
- e. **"Author"** includes a student or a faculty or a researcher or staff of UPES who claims to be the creator of the **script** under consideration;
- f. **"Centre for Continuing Education (CCE)"** shall mean the system of imparting education through any means of information technology and communication such as broadcasting, telecasting, correspondence course, seminar, contact program or a combination of any two or more such means. This will also have the same meaning as defined in respect of "Distance Education System" under Section 2 (1) (g) of the University of Petroleum and Energy Studies Act, 2003.
- g. **"Collusion"** means the active cooperation of two or more students with intent to deceive examiners.
- h. **"Copyright Infringement"** shall mean as follows: 'Copyright laws provide certain exclusive rights to the copyright holder, such as the right to reproduce, distribute, display or perform the protected work, or to make derivative works. Use of such copyright protected work without the permission of the copyright owner is Copyright Infringement.'
- i. **"Dean"** shall mean the dean of faculties as may be appointed by the Vice-Chancellor under Clause 2.4 of the First Statutes of the UPES read with Section 16 University of Petroleum and Energy Studies Act, 2003;
- j. **"Degree"** means any such degree, as may, with the previous approval of the Central Government, be specified in this behalf by the University Grants Commission, by notification in the official Gazette, under section 22 of the university Grants Commission Act, 1956;
- k. **"Educative Response Intervention"** shall mean an action focused on assisting a student to understand the error and learn better techniques.



Educative Response Intervention are used wherever it is deemed that a student unknowingly or unintentionally used non-original material in an assessment task without acknowledging the source of that material.

- l. **"Faculty"** refers to a person who is teaching and / or guiding students enrolled in UPES in any capacity whatsoever i.e. regular, ad-hoc, guest, temporary, visiting etc.;
- m. **"Plagiarism"** means an act of academic dishonesty and a breach of ethics. It involves using someone else's work as one's own. It also includes self-plagiarism;
- n. **"Programme"** means a course or programme of study leading to the award of a degree;
- o. **"Proprietary"** is an adjective that describes something owned by a specific company or individual. In the computing world, proprietary is often used to describe software that is not open source or freely licensed. Examples include operating systems, software programs, and file formats.
- p. **"Research"** means diligent and systematic enquiry into a subject to discover facts and principles.
- q. **"Researcher"** in this policy means a person conducting academic / scientific research in UPES.
- r. **"Research Misconduct"** in a non-exhaustive manner shall mean fabrication, falsification, plagiarism or deception in proposing, carrying out or reporting results of research or deliberate, dangerous or negligent deviations from accepted practices in carrying out research or deliberate changes in the list of authors or changes in the order of authorship without the mutual consent of all the authors or changes in the affiliation of the authors to suit one's needs. It includes failure to follow established protocols or adherence to established ethical principles if this failure results in unreasonable risk or harm to humans, other living organisms or the environment and facilitating of misconduct in research by collusion in, or concealment of, such actions by others. It includes intentional,



unauthorized use, disclosure or removal of, or damage to, research-related property of another, including apparatus, materials, writings, data, hardware or software or any other substances or devices used in or produced by the conduct of research. It also includes any plan or conspiracy or attempt to do any of the above."

- s. **"Script"** includes **Research Paper, Thesis, Study, Project Proposal/Report, Assignment, Dissertation, chapters in books, full-fledged books and any other similar work (including Class Room Presentation, Study Material, Notes, Handouts used by the Faculty/CCE);** any presentation in Conference/Seminars, any publication/article in any journal, book in print or in electronic form; and any other such work submitted for assessment / opinion leading to the award of degree or certificate or any publication in print or electronic media by students or faculty or staff of UPES; which shall further include the curriculum. **[Note:** This shall however exclude Model Answer scripts submitted in response to a question paper set by the Faculty.]
- t. **"Source"** means the published primary and secondary material from any source whatsoever. This shall further include written information and opinions gained directly from other people, including eminent scholars, public figures and practitioners in any form what so ever. This shall further include data and information in the electronic form be it audio, video, image or text Information, which bears the same meaning as defined under Section 2 (r) (v) of the Information Technology Act, 2000.
- u. **"Staff"** refers to all non-teaching staff working in UPES in any capacity whatsoever i.e. regular, temporary, contractual, outsourced etc. including Doctoral Research Fellow, Junior Research Fellow, Senior Research Fellow.
- v. **"Student"** means a person duly admitted and pursuing a programme of study including a research programme in full time or part-time or distant mode;
- w. **"University"** means University of Petroleum and Energy Studies (UPES)



- x. **"Year"** means the academic session in which a proven offence has been committed.

NOTE - 1: Words and expressions used and not defined in these regulations but defined in the University Grants Commission Act, 1956 shall have the meanings respectively assigned to them in UGC Act, 1956.

NOTE – 2: In these Regulations the expressions used for masculine shall also refer to feminine, unless repugnant to its context.

6. ACADEMIC INTEGRITY PRINCIPLES (STUDENT AND RESEARCHER)

6.1. Academic Integrity Principles in respect of students may be as follows:

- a) Work submitted for assessment purposes must be the independent work of a student/researcher or approved groups of students to demonstrate their proficiency in course and subject objectives and learning outcomes without resorting to any Research Misconduct as defined under these Regulations. However, whenever and wherever it is felt necessary to use any work of a third person, the same may be used with necessary permission or attribution with 'quote' and 'unquote', as may be reasonable & feasible and it must invariably bear proper and conspicuous acknowledgement for the original author.
- b) It is expected that each student/researcher fully understands the requirement to maintain Academic Integrity and is aware that failure to maintain Academic Integrity constitutes Academic Misconduct as defined under item No. 40 and 41 of Schedule I read with Clause 3 (j) of UPES Regulations Governing Conduct, Discipline and Appeal, 2017.
- c) Each student/researcher must understand that UPES may depending upon individual merits of the case, support an Educative Response Intervention to first-time plagiarism or collusion incidences wherever this is deemed appropriate and feasible. UPES decision concerning whether there are some merits in a particular case, shall be final and binding on the student.
- d) UPES shall provide to the students/researchers and staff who make an allegation of Academic Misconduct, or the student/researcher about whom an



allegation is made, the opportunity to formally present their cases. No person will suffer any discrimination or victimization because of raising an allegation in good faith.

- e) The **DAIP** shall be responsible to conduct first stage investigation in respect of an allegation of Academic Misconduct, and shall reach the conclusions based on a fair hearing as per principles of natural justice and will respect the reasonable privacy and confidentiality of all parties.

7. ACADEMIC INTEGRITY PRINCIPLES (FACULTY AND STAFF)

7.1. Academic Integrity Principles in respect of Faculty and Staff shall be as follows:

- a) It is expected that the IC Tools, videos, PPTs, study material, written notes, handouts and other supports used by the faculty and staff for teaching, learning or any other purposes what so ever including CCE study material, must contain their respective independent work. However, whenever and wherever it is felt necessary to use any work of a third person, the same may be used with necessary permission or attribution with 'quote' and 'unquote', as may be reasonable & feasible and it must invariably bear proper and conspicuous acknowledgement for the original author.
- b) It is expected that the faculty and staff duly understand the requirement to maintain 'Academic Integrity'. They should be aware that failure to maintain 'Academic Integrity' constitutes 'Academic Misconduct' in terms of item No. 40 and 41 of Schedule I read with Clause 3 (j) of UPES Regulations Governing Conduct, Discipline and Appeal, 2017; and the 'Code of Professional Ethics for Teaching Faculty (as prescribed in the UGC Regulations)' as contained in Schedule II of UPES Regulations ibid read with Clause 3 (j) thereof. Such provisions shall be equally applicable to the extent possible on staff in the extant matters.
- c) Each faculty member and staff must understand that UPES may depending upon individual merits of the case of a student, support an Educative Response Intervention to first-time plagiarism or collusion incidences wherever this is deemed appropriate and feasible as per extant provisions under these

Regulations. UPES decision concerning whether there are some merits in a particular case, shall be final and binding on the student.

- d) UPES shall provide to the faculty, students and staff who make an allegation of Academic Misconduct, or the faculty about whom an allegation is made, the opportunity to formally present their cases. No person will suffer any discrimination or victimization because of raising an allegation in **good faith**.
- e) Each faculty must have strategies in place to ensure that students receive appropriate education about, and support to fulfil, the University's expectations of students in terms of academic honesty.

8. ACADEMIC MISCONDUCT PROCEDURE

Integrity in submission of scripts

8.1. Dean concerned shall:-

(a) ensure that appropriate strategy is kept in place to educate the students within his domain, about:

- i. the University's expectations of students in terms of academic honesty;
- ii. the definition of Academic Misconduct as defined under item No. 40 and 41 of Schedule I read with Clause 3 (j) of UPES Regulations Governing Conduct, Discipline and Appeal, 2017;
- iii. the meaning and consequences of plagiarism, collusion and copyright infringement and how to ensure that students do not use these strategies in completing their scripts;
- iv. the use and importance of appropriate acknowledgments, references, citations, bibliography of source material for completing scripts that involve background research in all submitted scripts throughout their course.

(b) instruct students, faculty, researcher and staff about proper attribution, seeking permission of the author wherever necessary, acknowledgement of source

compatible with the needs and specificities of disciplines and in accordance with rules, international conventions and regulations governing the source.

(c) conduct sensitization seminars/ awareness programs every semester on responsible conduct of research, thesis, dissertation, promotion of academic integrity and ethics in education for students, faculty, researcher and staff.

(d) further ensure to:

- i. include the cardinal principles of academic integrity in the curricula of Undergraduate (UG)/Postgraduate (PG)/Master's degree/ Doctoral Researcher etc. as a compulsory course work/module.
- iii. include elements of responsible conduct of research and publication ethics as a compulsory course work/module for Masters and Research Scholars.
- iv. include elements of responsible conduct of research and publication ethics in Orientation and Refresher Courses organized for faculty and staff members of UPES.
- v. train student, faculty, researcher and staff for using plagiarism detection tools and reference management tools.
- vi. establish facility equipped with modern technologies for detection of plagiarism.
- vii. encourage student, faculty, researcher and staff to register on international researcher's Registry systems.

8.2. Students must review the educative materials provided by the faculty and successfully complete any script as directed to them.

8.3. Students must furnish a certificate in the prescribed format as per **Annexure-I** along with a declaration in hard copy or online, as the case may be, when submitting script. The declaration must include a statement:

(a) That the student understands the University's policy on Academic Integrity;



(b) That the student has not been assisted by or has not indulged into collusion with any other student in the completion of his Script, unless the submission is for a pre-approved collaborative assessment task;

(c) That the student has not used any sources without proper acknowledgment and reference; and

(d) That it represents the student's individual, original and independent contribution.

8.4. Where an assessment task involves the submission of computer program or code, students shall ensure that the work must include all of the following forms of acknowledgement:

(a) A detailed comment stating which part of it, if any, is copied, stating who is author of the copied part, and include this comment at the start of the program;

(b) Conspicuous comments in the body of the script marking the start and end of the copied material. These comments must also give the name of the author;

(c) The student has to ensure that code should not be obtained from a Proprietary Source; however, it may be obtained from an Open Source with a proper acknowledgement duly recorded in the script. There may be a situation where the student from elsewhere but from an open source has obtained a code, and he has then modified it; he must explain such modifications in a prominent component of the submission. For example, a comment might have the wording "The original code obtained from ABC was modified to". Each adaptation of the original code must be documented, both in a prominent location and in each part of the code that was modified;

8.5 Where the contents are sourced from the internet, the full URL and the date of visiting the site must be mentioned.

9. INVESTIGATING BREACHES OF ACADEMIC INTEGRITY

9.1. Allegations of misconduct committed by students/faculty/staff, as the case may be, shall be reported to the Dean concerned. The Dean if prima facie satisfied with the allegations shall draw up or cause to be drawn up, as follows:

(a) the substance of imputation of misconduct into definite and distinct articles of allegations.

(b) a statement of the imputation of misconduct or misbehavior in support of each article of allegation, which shall contain :

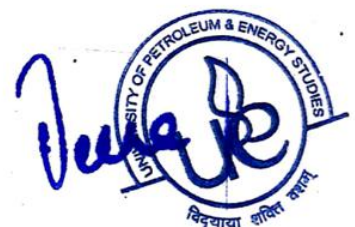
- a statement of all relevant facts including any admission or confession made by the charged Individual;
- a list of documents by which, and or a list of witnesses together with their respective statements, if any by whom, the articles of allegations are proposed to be sustained.

9.2. Consequent to the action taken as prescribed under Clause 9.1, hereinabove, the Dean shall refer the matter to the DAIP, for further action.

9.3. The Chairman of the DAIP shall deliver or cause to be delivered to the charged Individual, a copy of the articles of Allegations, the statement of imputation of misconduct and a list of documents and or witnesses by which each article of Allegation is proposed to be sustained and shall require the charged Individual to submit, within such time as may be specified, a written statement of his/her defence.

NOTE: If the charged Individual concerned demands the inspection of listed documents, he may be allowed to inspect the documents to submit a written statement of his defence.

9.4 The **Departmental Academic Integrity Panel (DAIP)** shall conduct investigation in respect of allegations of Academic Misconduct, and shall reach the conclusions based on a fair hearing as per principles of natural justice and will respect the reasonable privacy and confidentiality of all parties. DAIP shall conduct the investigation in accordance with the procedure contained under Clause 32 of the UPES



Regulations Governing Conduct, Discipline and Appeal, 2017 and submit its report and recommendations to IAIP.

9.5 The IAIP, may, for reasons to be recorded by it in writing, remit the case to the DAIP for further investigation and report and the DAIP shall thereupon proceed to conduct the further investigation according to the extant provisions under Clause 32 of the UPES Regulations Governing Conduct, Discipline and Appeal, 2017.

9.6 On receipt of the report of the DAIP, a copy thereof shall be made available to the concerned student/faculty/staff requiring him/her to submit his/her representation, if any, within a specified period, as may be decided by the IAIP.

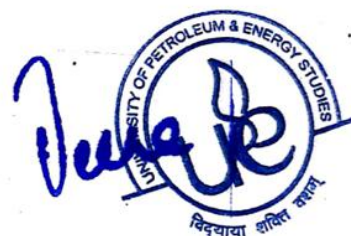
9.7 On receipt of the representation of the concerned student/faculty/staff or otherwise in the event no response is received; the IAIP shall if it disagrees with the DAIP report, record its reasons for such disagreement and record its own findings on such charge if the evidence on record is sufficient for the purpose.

Provided, where the findings of the DAIP are that the allegations are not established and the IAIP disagreeing with the findings of the DAIP records its reasons for such disagreement, which results into establishing the allegations, such reasons shall be communicated to the concerned student/faculty/staff, whose representation thereon shall be called and considered.

10. EDUCATIVE RESPONSE INTERVENTION

10.1. The Dean concerned shall upon being prima facie satisfied that there exist sufficient reasons, shall refer the matter to IAIP for Educative Response Intervention. However, it is the IAIP, which shall finally determine whether an educative response to plagiarism or collusion would be appropriate. Such a decision shall be taken if it appears to the IAIP that, the act of the student was unintentional, and;

- (a) The case involves the first teaching period of the first year students, except when plagiarism or collusion appears to have occurred on a substantial scale;
- (b) Where what appears to be plagiarism is minor in nature having similarities up to 10% of the entire paper; or



(c) In a case where a citation was provided but no quotation marks were used.

10.2. Where a decision has been taken to invoke Educative Response Intervention the IAIP may discuss with the student to render appropriate counselling. This intervention is resorted to enable the student understand the error and to learn the right way of referencing and acknowledging. Consequent upon discussion the student must review the take away obtained by him through ERI and successfully complete the script using the educative material provided by his faculty.

10.3. In the meeting, the IAIP shall warn the student about the consequences of any subsequent failures to maintain Academic Integrity.

10.4. Where directed, the student must resubmit the Script having corrected the matters identified. The work will be marked and graded within the full range of marks available.

10.5. Where a student refuses to participate in an Educative Response, the Dean concerned may move to a formal investigation and refer the matter to IAIP for appropriate action as deemed fit under Clause 7, hereinabove.

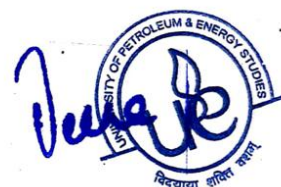
11. DETECTION/REPORTING/HANDLING OF ACADEMIC MISCONDUCT

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

The Vice Chancellor can also take suo-motto notice of an act of academic misconduct and initiate proceedings under these Regulations. Similarly, Vice Chancellor can also initiate proceedings based on findings of an examiner. All such cases will be investigated by the IAIP.

12. DEPARTMENTAL ACADEMIC INTEGRITY PANEL (DAIP)

i. There shall be a Departmental Academic Integrity Panel in each School whose composition shall be as given below:



- a. Chairman – The Dean concerned
- b. Member - Senior academician from outside the department, to be nominated by the Vice Chancellor.
- c. Member - A person well versed with anti-plagiarism tools, to be nominated by the Dean concerned.

The tenure of the members in respect of points 'b' and 'c' shall be two years. The quorum for the meetings shall be 2 out of 3 members (including Chairman).

- ii. The DAIP shall follow the principles of natural justice while deciding about the allegation of academic misconduct against the student, faculty, researcher and staff.
- iii. The DAIP shall have the power to assess the level of plagiarism and recommend penalty accordingly.
- iv. The DAIP after investigation shall submit its report with the recommendation on penalties to be imposed to the IAIP within a period of 45 days from the date of receipt of complaint / initiation of the proceedings.

13. INSTITUTIONAL ACADEMIC INTEGRITY PANEL (IAIP)

i. Vice Chancellor shall notify and nominate Chairman and members of an IAIP whose composition shall be as given below:

- a. Chairman - Pro-VC/Dean/Senior Academician from within UPES;
- b. Member - Senior Academician other than Chairman;
- c. Member - One member from outside UPES;
- d. Member - A person well versed with anti-plagiarism tools.



The Chairman of DAIP and IAIP shall not be the same. The tenure of the Committee members including Chairman shall be three years. The quorum for the meetings shall be 3 out of 4 members (including Chairman).

- ii. The IAIP shall consider the recommendations of DAIP.
- iii. The IAIP shall also investigate cases of plagiarism as per the provisions mentioned in these regulations.
- iv. The IAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff.
- v. The IAIP shall have the power to review the recommendations of DAIP including penalties with due justification.
- vi. The IAIP shall send the report after investigation and the recommendation on penalties to be imposed to the Vice Chancellor within a period of 45 days from the date of receipt of recommendation of DAIP/ complaint / initiation of the proceedings.
- vii. The IAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.

14. NATURE OF PENALTIES

14.1. Only when a student/faculty/staff has gone through the disciplinary process, which includes an opportunity provided to him/her for hearing as per principles of natural justice before a formally constituted DAIP/IAIP, can the following occur:

- (a) A penalty be imposed; or
- (b) Any entry be made on a student's record.

14.2. The following penalties may, for good and sufficient reasons and as provided under these clauses, be imposed on a student/faculty/staff, who is found guilty of any Academic Misconduct or breach of academic integrity, namely;

(a) PENALTIES FOR STUDENTS AND RESEARCHERS

Vice Chancellor, based on recommendations of the IAIP, shall impose penalty considering the severity of the Plagiarism, as follows:

Penalties in the cases of plagiarism shall be imposed on students pursuing studies at the level of Masters and Research programs and on researcher, faculty and staff only after academic misconduct on the part of the individual has been established without doubt, when all avenues of appeal have been exhausted and individual in question has been provided enough opportunity to defend himself or herself in a fair or transparent manner.

(1) PENALTIES FOR PLAGIARISM IN THESIS AND DISSERTATIONS

IAIP shall impose penalty considering the severity of the Plagiarism.

- i. **Level 0: Similarities up to 10%** - Minor Similarities, no penalty.
- ii. **Level 1: Similarities above 10% to 40%** - Such student shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.
- iii. **Level 2: Similarities above 40% to 60%** - Such student shall be debarred from submitting a revised script for a period of one year.
- iv. **Level 3: Similarities above 60%** - Such student registration for that programme shall be cancelled.

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

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

(2). PENALTIES FOR PLAGIARISM IN ACADEMIC AND RESEARCH PUBLICATIONS

I. Level 0: Similarities up to 10% - Minor similarities, no penalty.

II. Level 1: Similarities above 10% to 40%

- i) Shall be asked to withdraw manuscript.

III. Level 2: Similarities above 40% to 60%

- i) Shall be asked to withdraw manuscript.
- ii) Shall be denied a right to one annual increment.
- iii) Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a period of two years.

IV. Level 3: Similarities above 60%

- i) Shall be asked to withdraw manuscript.
- ii) Shall be denied a right to two successive annual increments.
- iii) Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a period of three years.

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

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

Note 3: If there is any complaint of plagiarism against the Dean, a suitable action, in line with these regulations, shall be taken by the Vice Chancellor.

Note 4: If there is any complaint of plagiarism against any member of DAIP or IAIP, then such member shall reclude himself / herself from the meeting(s) where his/her case is being discussed/investigated.

14.2 (b) PENALTIES FOR FACULTY, STAFF

(i) **Level 1: Similarities above 10% but up to 40%** - The charged Individual shall be asked to withdraw manuscript submitted for publication and shall not be allowed to publish any work for a minimum period of one year.

(ii) **Level 2: Similarities above 40% but up to 60%** - The charged Individual shall be asked to withdraw manuscript submitted for publication and he/she shall not be allowed to publish any work for a minimum period of two years. He/She shall also be denied a right to one annual increment and shall not be allowed to be a supervisor to any UG, PG, Master's, M.Phil., Ph.D student/scholar for a period of two years.

(iii) **Level 3: Similarities above 60%** - The charged Individual shall be asked to withdraw manuscript submitted for publication and he/she shall not be allowed to publish any work for a minimum period of three years. He/She shall also be denied a right to two successive annual increments and shall not be allowed to be a supervisor to any UG, PG, Master's, M.Phil., Ph.D. student/scholar for a period of three years.

Note 1: Enhanced penalty on repeated plagiarism - The charged Individual shall be punished for the plagiarism of one level higher than the lower level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative. In case level 3 offence is repeated then the concerned person shall be dismissed.

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

Note 3: If there is any complaint of plagiarism against the Dean, a suitable action, in line with these regulations, will be taken by the Board of Governors.

Note 4: In case the penalties provided under this Clause is not technically feasible to be imposed upon a staff member, the penalties as prescribed under Clause 29 of UPES Regulations Governing Conduct, Discipline and Appeal, 2017, shall be imposed.

15. RECORD KEEPING

15.1. The Academic Registrar must keep a record of:

- (a) all findings of Academic Misconduct;
- (b) all penalties imposed in respect of such findings; and
- (c) all cases of potential Academic Misconduct that result in an Educative Response, including the details of the nature of the educative response.

15.2. The records form part of the student's disciplinary record and must form part of a student's file. The file may be made available to persons within the University or outside the University in accordance with the University's privacy policy.

15.3 The records in respect of Faculty and Staff shall however be kept with HR department.

