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SYMBIOSIS INSTITUTE OF MEDIA & COMMUNICATION

Symbiosis International University

(Established under section 3 of the UGC Act 1956 vide notification No. F9-12/2001-U.3 Govt. of India)

Accredited by NAAC with 'A' grade

Founder : Prof. Dr. S. B. Mujumdar M.Sc. Ph.D. (Awarded Padma Bhushan and Padma Shri by President of India)

SIMC/DO/434/2019 **Date: November 25, 2019**

Academic Integrity Committee (AIC)

As per Item No. 7 I (a) & (b) of the policy, SIMC, a constituent institute of the Symbiosis International (Deemed University) is constituted an **Academic Integrity Committee (AIC)** which is as follows:

Sr. No	Name of the Committee member	Role in the Committee
i.	Dr. Ruchi Jaggi	Chairperson
ii.	Dr. Nilesh Gokhale	Member
iii.	Dr. Ashwani Upadhyay	Member

The tenure of AIC shall be of 3 years.

Thanks and Regards,

Ruchi Jaggi

Ruchi Kher Jaggi, PhD
Director,
Symbiosis Institute of Media & Communication (SIMC)

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SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)

(Established under section 3 of the UGC Act, 1956)
Re-accredited by NAAC with 'A' grade (3.58/4) | Awarded Category – I by UGC
Founder: Prof. Dr. S. B. Mujumdar, M. Sc., Ph. D. (Awarded Padma Bhushan and Padma Shri by President of India)

Notification No. SIU/U-28/858 dated 30th September, 2019

Subject: Symbiosis International (Deemed University) Rules for Promotion of Academic Integrity and Prevention of Plagiarism, 2019

It is hereby notified for information of all concerned that, as per the decision taken by the University authorities, the Symbiosis International (Deemed University) Rules for Promotion of Academic Integrity and Prevention of Plagiarism, 2019, are attached as Annexure 'A'.

These Rules shall be effective from the date of this notification.

Authority: BoM Resolution No. B4 dated 6th May, 2019.

SIU/U-28/19/4240
Dated: 30th September, 2019

Dr. M. S. Shejul
Registrar

Copy for information to:
The Hon'ble Chancellor, Pro Chancellor, Vice Chancellor, Principal Director, Symbiosis, Dean-Academics and Administration, Symbiosis, Deans of Faculties of Symbiosis International (Deemed University), Director, Deputy Director, Administrative Officer/ Assistant Administrative Officer/ Office Superintendent of Constituent Institutes / Departments of SIU, Officers of Symbiosis Society and Symbiosis International (Deemed University).

॥वसुधैव कुटुम्बकम्॥
SIU

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Annexure 'A'

Symbiosis International (Deemed University) Rules for Promotion of Academic Integrity and Prevention of Plagiarism, 2019

[Rules framed under Section 14(i) of MoA of the University in Consonance with University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018, New Delhi dated 23rd July 2018]

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1. Preamble

Traditionally, institutions, as well as individuals, have exercised self-regulation based on shared ethical principles and commonly accepted practices, when it comes to responsible and ethical research behaviour. However, in response to a rising number of cases of questionable research practices, it becomes imperative for the Higher Education Institutions (HEI) to frame a policy regarding promotion of academic integrity and prevention of plagiarism. The policy helps in two ways; at the first level, it guides the researchers for conducting research in a responsible manner, and second, it controls the behaviour of researchers, whenever they deviate from standard norms followed in the research. Ethical conduct in research, not only satisfies a scientific moral code but also leads to improved scientific results because the adherence ensures more attention to the details of scientific research including analytical techniques and more thoughtful collaboration among investigators. Also, the credibility of science with the general public depends on the maintenance of the highest ethical standards in research.

At Symbiosis International (Deemed University), it is ensured that research is conducted in a responsible manner. In this regard, the University has constituted an Independent Ethics Committee (IEC), which looks after responsible conduct of experiments on animals, clinical trials on human and other research related activities influencing the humans (Annexure 1.B.5 of Research Manual). This policy will provide the insights on Responsible Conduct of Research (RCR) and help the researchers to avoid departures from accepted ethical research practices and prevent those most serious deviations that constitute research misconduct.

2. Definition

a) "Academic Integrity" means intellectual honesty in proposing, performing and reporting any activity, which leads to the creation of intellectual property.

b) "Academic Integrity Committee (AIC)" means the committee constituted at the level of constituent of University to facilitate check on plagiarism and to maintain vigilance over the promotion of academic integrity and prevention of plagiarism.

c) "Author" means a student or a faculty or a researcher or staff (either regular, ad-hoc, guest, temporary, visiting, etc.) of the University who claims to be the creator of the work under consideration.

d) "Common Knowledge" means a well-known fact, quote, figure, or information that is known to most of the people.

e) "Faculty Academic Integrity Panel (FAIP)" means the body constituted at the level of Faculty (Branch of Study) to investigate allegations of plagiarism.

f) "Faculty Member" means a person who is teaching and/or guiding students enrolled in the University in any capacity whatsoever, i.e. regular, ad-hoc, part-time, guest, temporary, visiting, etc.

g) "Information" means data, message, text, images, sound, voice, codes, computer programs, software, and databases or microfilm or computer generated microfiche.

h) "University Academic Integrity Panel (UAIP)" means the body constituted at University level to consider recommendations of the Faculty Academic Integrity Panel (FAIP) and take appropriate decisions in respect of allegations of plagiarism and decide on penalties to be imposed. In exceptional cases, it shall investigate allegations of plagiarism at the University level.

i) "Plagiarism" means the practice of taking someone else's work or idea and passing them as one's own.

j) "Programme" means a programme of study leading to the award of a bachelor, master or research level degrees, and diploma/certificate.

k) "Researcher" means a person conducting academic/scientific research in University.

l) "Script" means research paper, thesis, dissertation, chapters in books, full-fledged books and any other similar work, submitted for assessment/opinion leading to the award of bachelor, master and research level degrees or publication in print or electronic media by students or faculty or researcher or staff of a University.

m) "Similarity Index (SI)/Similarity Score" means a basic indication of how much information contained in your file is matched to other sources in the repositories (i.e., published documents or web pages). It is also called a Similarity Score and is indicated in the percentage of text that matches to other published documents or web pages.

n) "Source" means the published primary and secondary material from any source whatsoever and includes written information and opinions gained directly from other people, including eminent scholars, public figures and practitioners in any form whatsoever as also data and information in the electronic form be it audio, video, image or text. Information being given the same meaning as defined under Section 2(1)(v) of the Information Technology Act, 2000 and reproduced here in Regulation 2(l);

o) "Staff" means all non-teaching staff working in University in any capacity whatsoever, i.e. regular, temporary, contractual, outsourced, etc.

p) "Student" means a person duly admitted and pursuing a programme of study including a research programme in any mode of study (full time or part-time or distance mode) at the University.

q) "University" means a University established or incorporated by or under a Central Act, a Provincial Act or a State Act, and includes an institution deemed to be University under Section 3 of the UGC Act, 1956.

r) "Year" means the academic session in which a proven offence has been committed.

3. Applicability

The rules made herein under shall be applicable to all the faculty members, researchers, fellows, Ph.D., postgraduate (PG), undergraduate (UG) students and staff associated with SIU

directly and indirectly, who are involved in research/research and consultancy projects/publications/dissertations/or any kind of work leading to degree/diploma/certificate.

It is desired that in order to promote academic integrity and inculcate the culture of academic honesty, continuous evaluation components such as assignments, project reports, internship reports, etc. be checked for plagiarism.

4. Objectives

- To create awareness about the responsible conduct of research, thesis, dissertation, promotion of academic integrity and prevention of misconduct, including plagiarism in academic writing among students, faculty, researchers, and staff.

- To establish an institutional mechanism through education and training to facilitate responsible conduct of research, promotion of academic integrity, and deterrence from plagiarism.

- To develop systems to detect plagiarism, and to set up mechanisms to prevent plagiarism, and take appropriate action against student, faculty, researcher, or staff of SIU committing the act of plagiarism.

- To provide a set of practical suggestions for maintaining integrity in research and avoid conflict of interest among the researchers at personal, professional, and financial levels.

- To create awareness about the ethical aspects of the acquisition of data, use of laboratory equipment/tools, management of information and sharing and ownership of resources.

- To create awareness among researchers about the aspects and functioning of the Independent Ethics Committee (IEC).

5. SIU Standards of Academic Integrity

a) SIU expects all of its faculty members, researchers, students and staff to act with the highest standards of integrity. Researchers are expected to exercise good practices in research as a routine part of their work and be aware that good practice includes reporting concerns about the (mis)conduct of research also.

b) The faculty members, researchers, students, and staff of the University shall conduct research work based on new/novel or original ideas.

c) Any written document (manuscripts, dissertation, thesis, research reports, etc.) which includes an abstract/summary, hypothesis, observations, results, discussion, conclusions, and recommendations shall ideally have Similarity Index (SI) of zero percent (0 %).

d) The University expects all its researchers to critically follow the Fourteen Responsibilities as given by the 'Singapore Statement on Research Integrity' formulated after second world conference on research integrity (See Annexure 12.B. of Research Manual).

6. Responsibilities and Duties of the University

It is the prime responsibility of the University to enhance awareness about the responsible conduct of research and academic activities to promote academic integrity and prevention of plagiarism. The University shall curb the act of plagiarism by:

I. Organising awareness/trainings and develop modules on Responsible Conduct of Research

(a) The University shall instruct faculty members, researchers, students, and staff through training about the following:

i) Giving proper attribution/credit to the work of others,
ii) Seeking the permission of the author(s), wherever necessary,
iii) Acknowledgement of source compatible with the needs and specificities of disciplines and in accordance with rules, international conventions, and regulations governing the source.
iv) Seeking consent from the Institutional Ethics Committee (IEC), wherever necessary.

(b) The University through its constituents shall 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, researchers, and staff.

(c) Each constituent Institute/Department of the University shall ensure that the relevant and authentic tool(s) be made accessible to all engaged in research work including students, faculty members, researchers, and staff.

(d) The University shall:

i) Include the cardinal principles of academic integrity in the curricula of Undergraduate (UG)/Postgraduate (PG)/Master's degree, etc. as a compulsory course work/module.
ii) Include elements of responsible conduct of research and publication ethics as a compulsory course work/module for Masters and Research Scholars.
iii) Include elements of responsible conduct of research and publication ethics in Faculty Development Programmes (FDPs) organised for faculty and staff members.
iv) Train students, faculty members, researchers, and staff for using plagiarism detection tools and reference management tools.
v) Establish facility equipped with modern technologies for the detection of plagiarism.
vi) Encourage students, faculty members, researchers, and staff to register on International Researcher's Registry System.

II. Academic Integrity and Curbing Plagiarism

a) The University shall implement technology based mechanism using appropriate software so as to ensure that documents such as thesis, dissertation, publications, research proposals, interim/final reports or any other such documents are free of plagiarism at the time of their submission.

b) The University shall establish a three tier system for promotion of academic integrity and prevention of plagiarism, viz., Academic Integrity Committee (AIC), Faculty Academic Integrity Panel (FAIP) and University Academic Integrity Panel (UAIP).

c) Each faculty member/researcher of the University shall give an undertaking [endorsed by Academic Integrity Committee (AIC) of their respective SIU Institute/Department] as per **Proforma-1** to the Chairperson, FAIP and SCRI before submission of their manuscript to any Journal/Book/Proceedings, etc. for publishing. The undertaking shall include the fact that the document has been duly checked through a plagiarism detection tool approved by the University (e.g., Turnitin).

d) Each Principal Investigator (PI)/Co-Principal Investigator (Co-PI) shall give an undertaking as per **Proforma-2** before submission of Research Project Proposals to any National and International funding agencies (Govt. & non-Govt.). The undertaking shall include the fact that the document has been duly checked through a plagiarism detection tool approved by the University (e.g., Turnitin).

e) Each Research Supervisor/Co-supervisor shall submit a certificate indicating that the work done by the Ph.D. student under him/her is free from plagiarism as per **Proforma-3.**

f) Every UG/PG student submitting a dissertation, or any other such relevant document to the constituent shall submit an undertaking as per **Proforma-4**, indicating that the document has been prepared by him/her and that the document is his/her original work and free of any plagiarism. The undertaking shall include the fact that the document has been duly checked through a plagiarism detection tool approved by the University (e.g., Turnitin).

g) The University shall place the Plagiarism Policy on the homepage of its website.

h) The University shall create an Institutional Repository on the institute's website, which will include dissertation/thesis/paper/publication and other in-house publications.

7. Mechanisms for maintenance of Academic Integrity and Prevention of Plagiarism

The University shall establish a three tier system for promotion of academic integrity and prevention of plagiarism, which are as follows:

(i) Academic Integrity Committee (AIC)
(ii) Faculty Academic Integrity Panel (FAIP)
(iii) University Academic Integrity Panel (UAIP)

I. Academic Integrity Committee (AIC)

(a) Every constituent of the University shall constitute an Academic Integrity Committee (AIC) consisting of:

i.	Director/Head of the Constituent:	**Chairperson**
ii.	One Professor/Associate Professor nominated by the Director/Head:	**Member**
iii.	A person well versed with anti-plagiarism tools, to be nominated by the Director/Head:	**Member**

The tenure of the committee members shall be of three years.

Note: All the existing and forthcoming Research Centres of the University are an integral part of Symbiosis Centre for Research and Innovation (SCRI). Therefore, SCRI shall constitute AIC and be vigilant over the promotion of academic integrity and prevention of plagiarism in their Centres.

(b) Procedure for similarity check at the level of Constituent:

i. The faculty members/researchers/students/staff shall submit their manuscripts/research proposals/dissertations, etc. (excluding Ph.D. Thesis) to the AIC along-with the undertaking as per the applicable **Proformas**.

ii. The committee shall ascertain the SI check for the manuscripts/proposals/dissertations, etc. within a period of five days after submission.

iii. The AIC shall endorse that the document submitted by faculty member/researcher/student has been checked for SI and other relevant details.

iv. AIC shall maintain the record of submission of academic documents as per the **Proforma-5.**

II. Faculty Academic Integrity Panel (FAIP)

There shall be Faculty Academic Integrity Panel (FAIP) for detection, reporting, and handling of plagiarism for each Faculty.

(a) The FAIP shall consist of:

i.	Dean of respective Faculty:	**Chairperson**
ii.	One senior academic from the Faculty, nominated by the Vice Chancellor:	**Member**
iii.	One senior academic from other Faculty, nominated by the Vice Chancellor:	**Member**

iv. A person well versed with anti-plagiarism tools, to be nominated by the Vice Chancellor: **Member**

v. Head - Research Publications/Research Programme/ Research Projects: **Member Secretary**

The tenure of the committee members shall be of three years. The quorum for the meetings shall be four out of five members.

(b) Procedure to be followed:

i) If any member of the academic community, suspects with appropriate proof that a case of plagiarism has happened in any document, he/she shall report it to the Faculty Academic Integrity Panel (FAIP).

OR

The authorities of University can also take *suo motu* notice of an act of plagiarism and initiate proceedings under these rules, proceedings can also be initiated on the basis of findings of an examiner/supervisor.

ii) Upon receipt of such complaints, the FAIP shall investigate the matter in details in the following manner:

a) The Member Secretary of the FAIP, in consultation with the Chairperson, shall send a notice to the accused within seven clear days from receipt of the complaint. The notice shall be accompanied by the charges and a copy of the complaint. The identity of the complainant shall be kept confidential.

b) The respondent shall submit his/her statement in his/her defence against the charges/complaints within 10 clear days from the date of receipt of the charges.

c) The Secretary, FAIP shall place the statement submitted by the respondent before the committee by calling a meeting within a period of 10 days. The FAIP shall give a fair chance to the accused to defend himself/herself. FAIP shall follow the principle of natural justice while dealing with the case.

d) The FAIP shall assess the level of plagiarism and after thorough inquiry shall recommend penalty with justification or otherwise.

e) The FAIP after investigation shall submit its report with findings and recommendation on penalties to be imposed to the University Academic Integrity Panel (UAIP) as early as possible, but not later than 45 days from the date of receipt of complaint.

III. University Academic Integrity Panel (UAIP)

There shall be an UAIP at the level of University, and the UAIP shall consist of:

a. Dean – Academics & Administration: **Chairperson**

b. One Senior Academic from outside of the University to **Member**

be nominated by the Vice Chancellor:

c. One Senior Academic from the University to be nominated by the Vice Chancellor: **Member**

d. A person well versed with anti-plagiarism tools, to be nominated by the Vice Chancellor: **Member**

e. Director - SCRI: **Member Secretary**

The Chairperson and the members of FAIP and UAIP shall not be the same. The tenure of the committee members shall be for three years. The quorum for the meetings shall be four out of five members.

Procedure to be followed for the meeting:

a) The Member Secretary of UAIP shall send the copy of the findings and recommendations (not the entire report) of FAIP to the person(s) against whom inquiry report is submitted within the period of 10 clear days from the date of the submission of the report to the University.

b) The Member Secretary after receipt of the report of FAIP shall send a notice of meeting, in consultation with the Chairperson, in 15 clear days before the date of the meeting. He/She shall send the full report along with the notice to the members.

c) The notice of the meeting shall be sent to the person against whom the inquiry was done for remaining present before the UAIP.

d) The UAIP shall give fair opportunity to the accused to present his/her case and follow the principle of natural justice. The UAIP shall investigate case of plagiarism, if necessary, under its consideration thoroughly.

e) The UAIP shall have the power to review the findings and recommendations of FAIP, including penalties with due justifications.

f) The UAIP shall send its decision with clear cut penalty to be imposed along with reasons/justifications. A copy of the report shall be sent to the office of the Vice Chancellor for information within a period of 30 days from the date of receipt of the recommendations from FAIP.

g) The Secretary of UAIP shall send the copy of the findings and penalties (not the entire report) to the Registrar of the University for further action.

h) The Registrar shall send findings and recommendations of the UAIP to the person within a period of 10 days of the receiving the report.

i) The person, against whom the inquiry was initiated, if he/she desires, may file an appeal to the Vice Chancellor of the University within a period of 15 clear days from the date of communication of findings and recommendations to him/her.

j) If the person against whom the inquiry was done, does not avail the appeal facility within 15 clear days from the date of communication of the findings and recommendations to him/her, the Registrar shall send the show cause notice stating that why the action recommended should not be initiated against him/her.

k) The person shall respond to the show cause within a period of 10 days in the form of his/her statement. The Registrar shall place the findings and recommendations of UAIP, show cause notice and his/her reply to the show cause notice before the Vice Chancellor for initiation of the final action.

l) If the person avails the facility of appeal mechanism the Vice Chancellor shall take an appropriate decision on the appeal; if the appeal is allowed, the procedure complying the principles of natural justice shall be followed.

Flowchart 1 shows a simple process for detection, reporting, and handling of plagiarism at the level of FAIP and UAIP.

IV. Similarity checks for exclusion from Plagiarism

a) The faculty members, researchers, staff, research students, UG/PG students shall check the similarity percentage using authentic software available at SIU such as 'Turnitin.'

b) The 'Turnitin' software indicates a similarity score when any manuscript/thesis/ research proposal/dissertation or any other submission is made for the purpose of evaluation.

c) The research work carried out by the faculty members, researchers, staff and students shall be based on original ideas, which shall include abstract, summary, hypothesis, observations, results, conclusions and recommendations only and shall not have any similarities. However, the author(s) shall acknowledge the source for maps, graphics, tables, or any such similar reproduced data.

d) The similarity check for plagiarism shall exclude the following:

i. All the quoted work reproduced with all necessary permission and/or attribution
ii. References and bibliography
iii. Footnotes and endnotes
iv. Standard provisions/principles
v. Doctrines, formulae, quotations
vi. Historical facts
vii. Common knowledge or coincidental terms up to 14 consecutive words
viii. Generic terms, laws, standard symbols, and standards equations
ix. Similarity index of text which is less than 1%
x. Table of content, preface, and acknowledgements

V. Levels of plagiarism

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

i. Level 0: Similarities up to 10% - Minor similarities, no penalty
ii. Level 1: Similarities above 10% to 40%
iii. Level 2: Similarities above 40% to 60%
iv. Level 3: Similarities above 60%

VI. Benchmarking similarity index of plagiarism at University

The **Similarity Index (SI) of ≤ 10% (Level 0)** has been set up as a benchmark by the University for the following documents:

- UG, PG dissertations, and Ph.D. Theses.
- All manuscripts being submitted for publishing such as – abstract & extended abstract, research paper, book, book chapter, proceedings paper, case study, white paper, working paper, etc. to any publishing agency.
- Research project proposals being submitted to various funding agencies (National/International, Govt./Non-Govt.) for research grants. For the granted projects, any interim/progress reports submissions as well as the final reports of the projects.
- Any internship/assignment, interim/progress reports, final reports submitted to the Institute/University for the fulfilment of degree and/or being submitted to the funding agency.

Note: Any research/project related document to be communicated outside the University shall have the SI of ≤10% (Level 0). The faculty members/researchers/students at SIU shall:

a) Follow SIU's policies and procedures on RCR.
b) Undertake their responsibility to conduct research with high ethical standards.
c) Seek guidance wherever necessary from SCRI.
d) Ensure that they have the necessary training, resources, and support to carry out their research, and
e) Participate in the development of good research practices on a continual basis.

VII. Manuscript submission process

It shall be mandatory for the all the faculty members/researchers/students of SIU to check the Similarity Index for Plagiarism of their manuscripts before submission to any journal/book/ proceedings, etc. for publishing.

The process of manuscript submission shall be as follows:

a) Based on his/her research work, the SIU faculty member/researcher shall prepare the manuscript.
b) The faculty member/researcher shall check the manuscript through authenticate software like Turnitin available with all constituents of the University.
c) If the SI is detected >10%, then the faculty member/researcher shall revise the manuscript accordingly to bring down the SI to ≤10% (Level 0) by way of paraphrasing and/or reconstructing the manuscript.
d) Before communicating the manuscript, the faculty member/researcher shall fill-in the details as per **Proforma-1** (which includes IEC clearance, if applicable) on their Desktop

Computer, take the print, put in their name and signature with a blue ball-point pen, take the endorsement from AIC and then scan the filled-in **Proforma-1.**

e) Thereafter, the scanned **Proforma-1** along with SI report must be sent to SCRI (head_respub@siu.edu.in) by email, marking a copy to - Chairperson-FAIP (Dean of their respective faculty), Chairperson-AIC, Director-SCRI and co-authors of their paper, if any, for information. This exercise shall be carried out by the Lead author (i.e., corresponding author) of SIU in case if multiple authors are involved in the manuscript.

f) Upon submission of **Proforma-1** along with SI report to SCRI, only then the faculty member/researcher shall communicate the manuscript to suitable journal/book/ proceedings, etc. for publishing.

Note: All the faculty members/researchers shall note that the above process is mandatory, as the Academic Performance Index (API)/Performance Appraisal Report (PAR) score and the incentives for publications are entirely subject to their submission of filled-in **Proforma-1.** AIC shall keep the record (in the form of soft copies) of all these documents at their institute level, while SCRI shall maintain the records (in the soft form) for entire University.

Flowchart 2 depicts a simple process for submission of manuscript to journal, book, book chapter, proceedings, etc. for publishing.

VIII. Research project proposal submission process

A similar process (as mentioned in VII) shall apply for submission of **Research Project Proposals** to any funding agency (Govt. or non-Govt.) in India and abroad. In this case, **Proform-2** shall be used by the faculty member/researcher. Overall process of submission of the research project proposals shall remain the same as mentioned in VI.

The scanned **Proforma-2** along with SI report shall be sent to SCRI by email (head_resprojects@siu.edu.in), marking a copy to – Chairperson-FAIP (Dean of respective faculty), Chairperson-AIC, Director-SCRI and co-investigators, if any. This exercise shall be carried out by the Principal Investigator (PI), where multiple investigators are involved in the project proposal.

A simple process for submission of research/consultancy project proposals (PP) or interim report (IR) or final report (FR) to Govt./Non-Govt. funding agencies in India/abroad is shown in **Flowchart 3**.

IX. Ph.D. Thesis submission process

In the case of final Ph.D. Thesis submission process, **Proforma-3** shall be used by the Ph.D. student and his/her supervisor. The filled-in **Proforma-3,** signed by the student and Ph.D. supervisor (Co-supervisor, if applicable) along with the Similarity Index of Plagiarism report shall be submitted in hard copy to the Head –Research Programme, SCRI. The copies of **Proforma- 3** along-with similarity report shall be appended to all the copies of the thesis. **Flowchart 4** shows the process for submission of final Ph.D. Thesis to SCRI.

X. Submission of the final dissertation by UG/PG students to their Institute

All the UG/PG students of the Institutes/University shall mandatorily check the Similarity Index for Plagiarism of their dissertation before final submission to their Institute. The

UG/PG student(s) shall fill-in the details as per the **Proforma-4** (as given by SCRI), take a print, take the signature of their supervisor/guide followed by an endorsement by AIC and then submit the same along with SI report to the concerned authority of the Institute. The photocopy of the **Proforma-4** and SI report shall be the mandatory part of their final assignment/dissertation, etc. submission.

Flowchart 5 depicts the process for submission of final UG/PG dissertation/final project report to their respective institute.

8. Penalties

Penalties in the cases of plagiarism shall be imposed on students pursuing studies at the level of UG/PG, Ph.D. and on researcher, faculty & staff of the University 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/herself in a fair and transparent manner.

9. Penalties in case of plagiarism in the submission of theses and dissertation

University Academic Integrity Panel (UAIP) shall impose penalty considering the severity of the Plagiarism.

i. **Level 0: Similarities upto 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 six 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 the case where plagiarism of the 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 UAIP and approved by the Vice Chancellor of the University.

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

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

Level 1: Similarities above 10% to 40% - Shall be asked to withdraw the manuscript.

Level 2: Similarities above 40% to 60%

- Shall be asked to withdraw the manuscript.
- Shall be denied a right to one annual increment.
- Shall not be allowed to be a supervisor to any new UG/PG student, Ph.D. Student/scholar for a period of two years.

Level 3: Similarities above 60%

- Shall be asked to withdraw the manuscript.
- Shall be denied a right to two successive annual increments.
- Shall not be allowed to be a supervisor to any new UG/PG, 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 the case where plagiarism of the highest level is committed, then the punishment for the same shall be operative. In case of Level 3 offence is repeated then the disciplinary action including suspension/termination as per service rules shall be taken by the University.

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 UAIP and approved by the Vice Chancellor.

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

Note 4: If there is any complaint of plagiarism against the Director of any Institutes or Heads of SIU Departments, a suitable action, in line with these regulations, shall be recommended by the UAIP and approved by the Competent Authority.

Note 5: If there is any complaint of plagiarism against any member of FAIP or UAIP, then such member shall excuse himself/herself from the meeting(s) where his/her case is being discussed/investigated.

These Rules have been modified as necessarily considering the structure of Symbiosis International (Deemed University), however, the modifications are in no manner inconsistent with University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018.

11. Flowcharts

Flowchart 1: A process for detection, reporting, and handling of plagiarism at the level of FAIP and UAIP

Flowchart 2: A process for submission of manuscript to journal, book, book chapter, proceedings, etc. for publishing

Flowchart 3: A process for submission of research/consultancy project proposal (PP) or interim report (IR) or final report (FR) to Govt./Non-Govt. funding agencies in India/abroad

Flowchart 4: A process for submission of final Ph.D. Thesis to SCRI

Flowchart 5: A process for submission of final UG/PG dissertation/final project report to their respective institute

12. Flowcharts

Proforma-1: Undertaking from SIU Authors before Communicating Manuscripts to any Journals/Books/Proceedings, etc.

Proforma-2: Undertaking from SIU Researchers before Submitting Research Project Proposal to Funding Agency for Grants

Proforma-3: Undertaking from the Ph.D. student while submitting his/her final Thesis to SCRI

Proforma-4: Undertaking from the student(s) while submitting his/her final dissertation to his respective institute

Proforma-5: Record of submission of the academic document for plagiarism check

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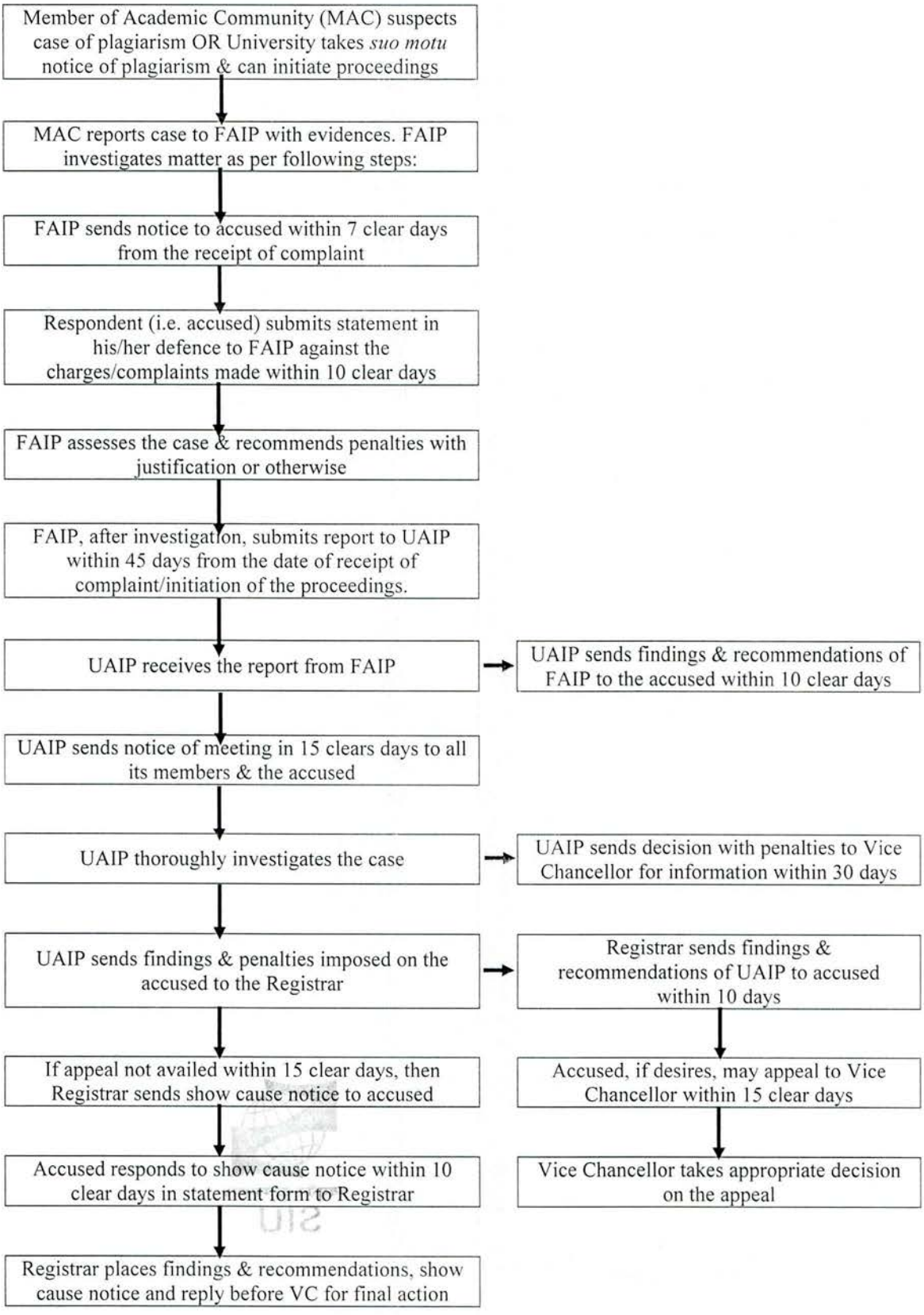
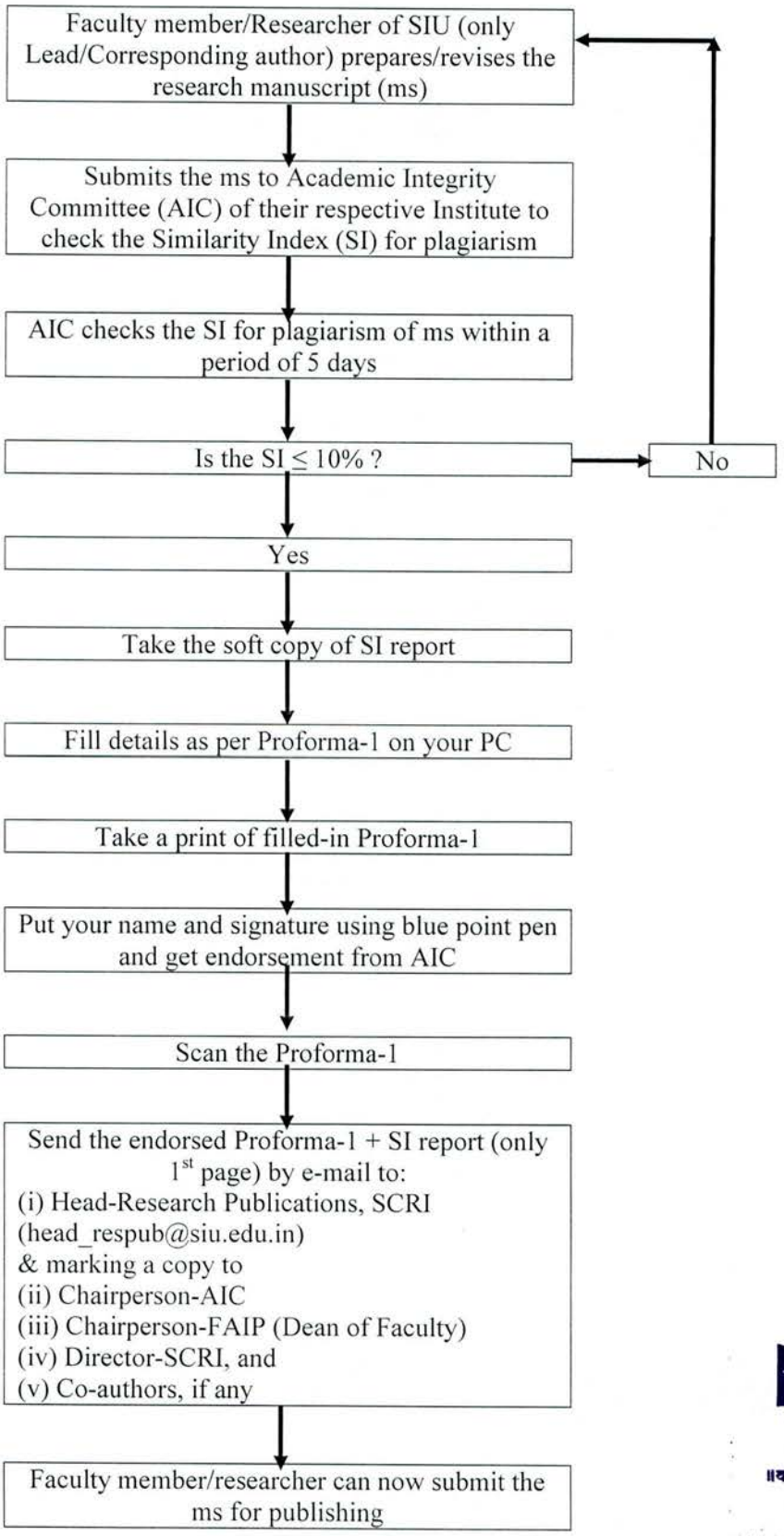
Flowchart 1
A process for detection, reporting, and handling of plagiarism at the level of FAIP and UAIP



Flowchart 2

A process for submission of manuscript to journal, book, book chapter, proceedings, etc. for publishing



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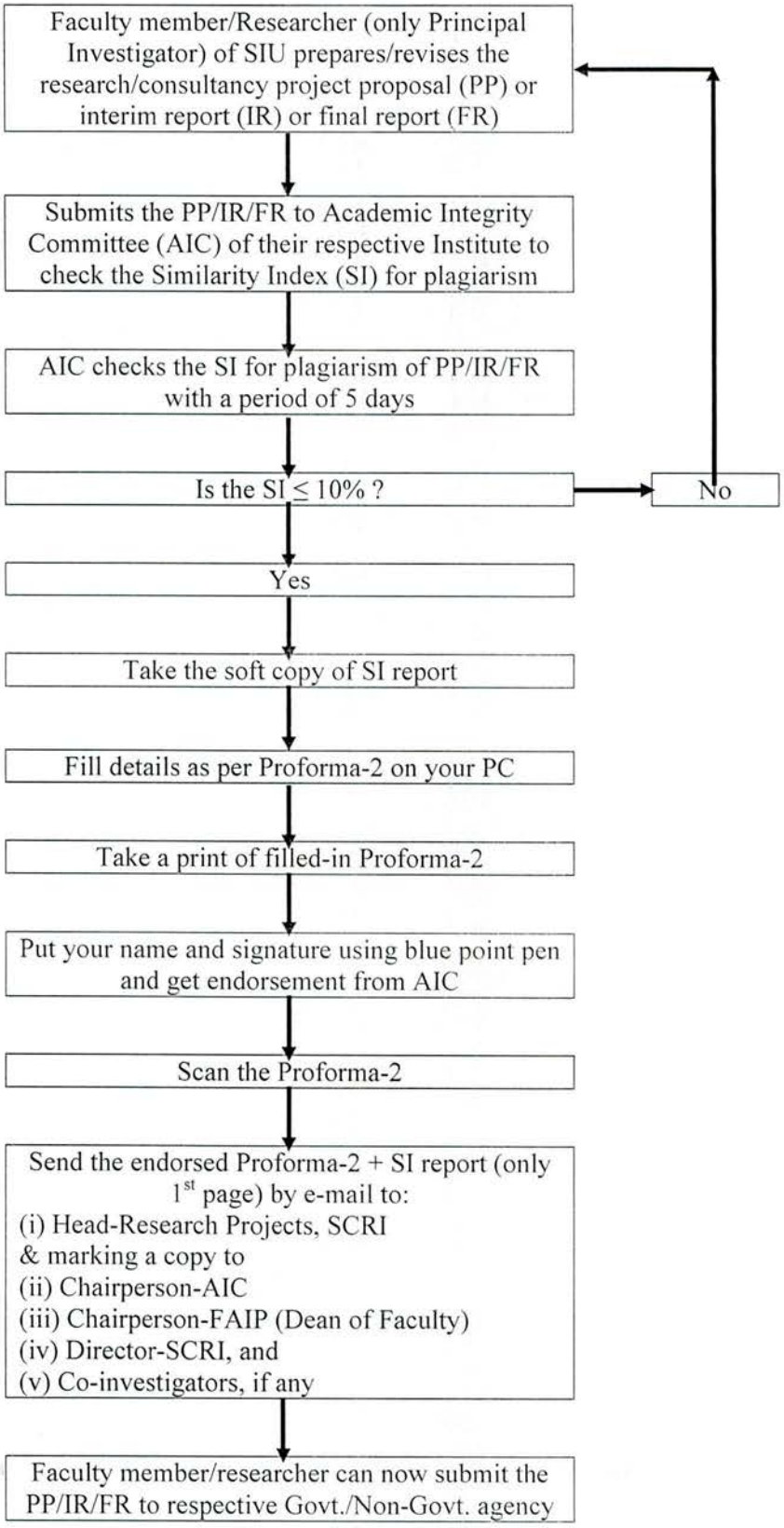
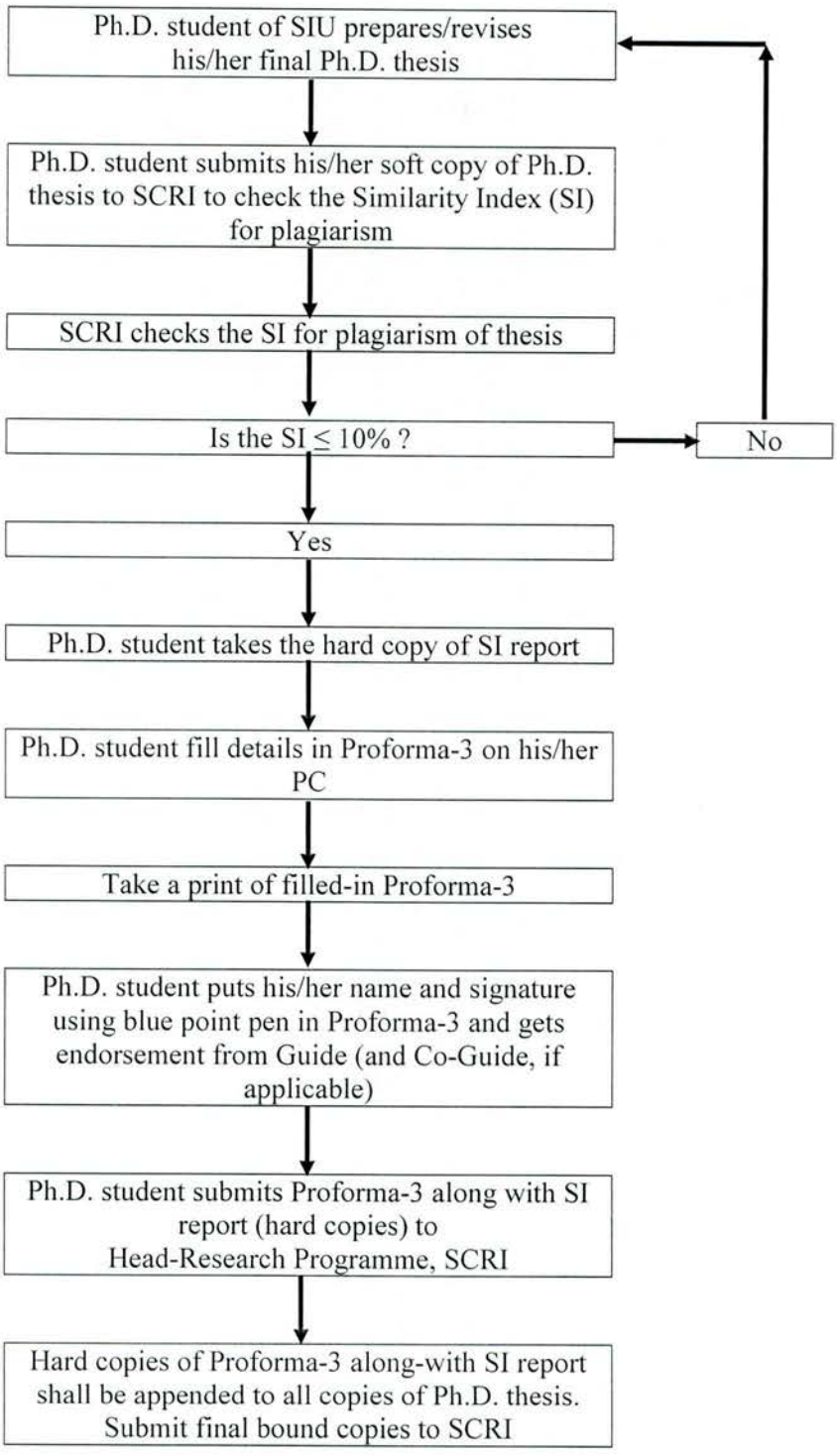
SIU

Flowchart 3

A process for submission of research/consultancy project proposal (PP) or interim report (IR) or final report (FR) to Govt./Non-Govt. funding agencies in India/abroad

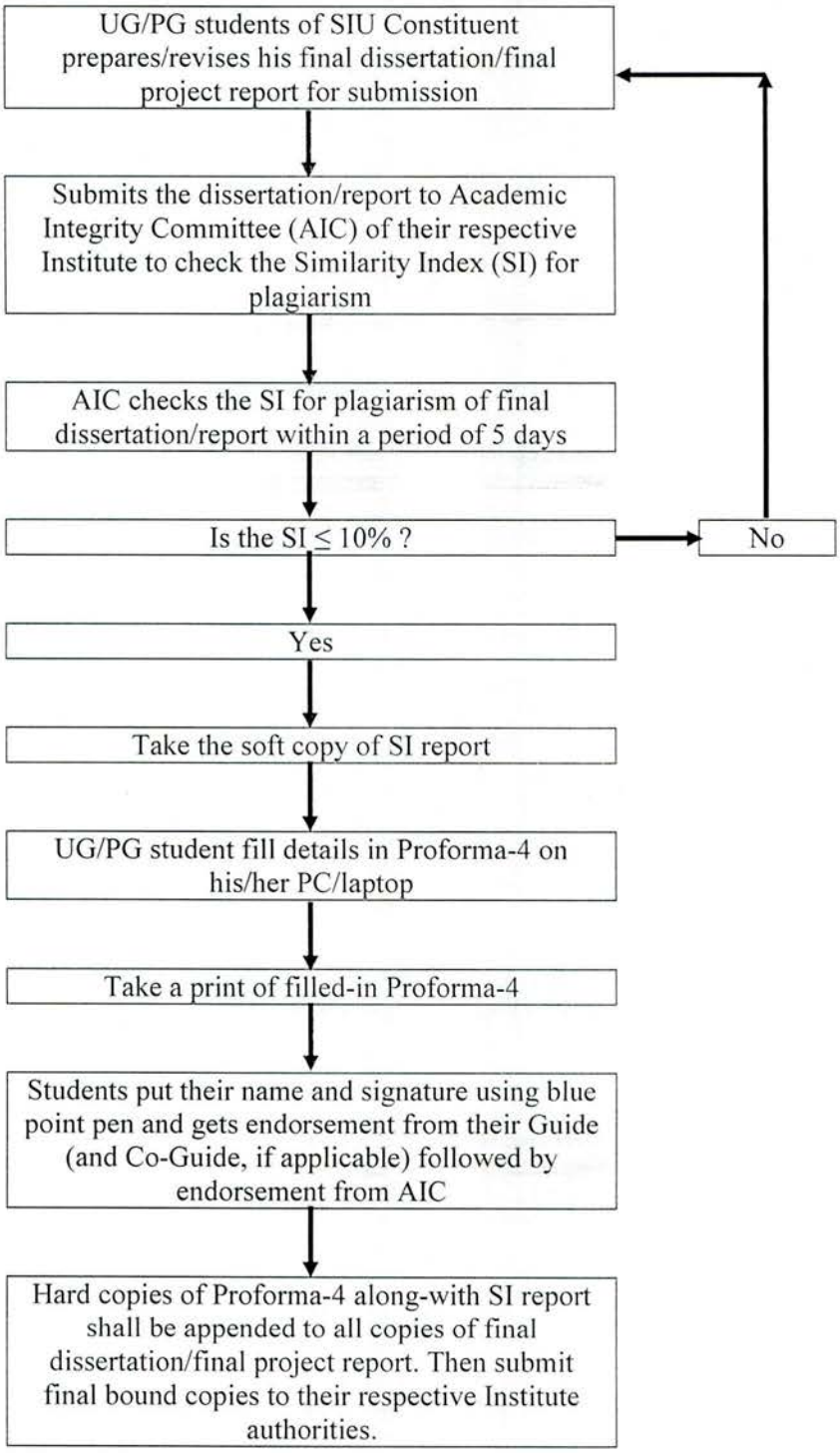


Flowchart 4
A process for submission of final Ph.D. Thesis to SCRI



Flowchart 5

A process for submission of final UG/PG dissertation/final project report to their respective institute



Proforma-1

Undertaking from SIU Authors before Communicating Manuscripts to any Journals/Books/Proceedings, etc.

Institute/Department name: _____ **Ref. No.** _____

I / We, the following author(s)

Sr. No.	Sequence of authors in submitted ms	Authors name [Put an asterisk (*) if you are the corresponding author]	Affiliation & Place	Email & Mobile
1.	1st author			
2.	2nd author			
3.	3rd author			

Note: Put additional rows in case of more number of authors

hereby give an undertaking that the manuscript entitled _____

_____

to be communicated to the journal/book/proceedings, etc. _____

has been checked for its Similarity Index for Plagiarism through authentic _____ software tool; and that the document has been prepared by me/us and is my/our original work and free of any plagiarism. It was found that:

1.	The Similarity Index (SI) was: (**Note:** SI range: 0 to 10%; if SI is >10%, then authors cannot communicate manuscript; attachment of SI report is mandatory)	_____ %
2.	The ethical clearance for research work conducted obtained from: *(Note: Name the consent obtaining body; if 'not applicable' then write so)*	
3.	The source of funding for research was: *(Note: Name the funding agency; or write 'self' if no funding source is involved)*	
4.	Conflict of interest: *(Note: Tick √ whichever is applicable)*	Yes / No
5.	The material (adopted text, tables, figures, graphs, etc.) as has been obtained from other sources, has been duly acknowledged in the ms: *(Note: Tick √ whichever is applicable)*	Yes / No

In case the above-furnished information is found false at any point in time, then the University authorities can take action as deemed fit against all authors.

Signature & Full Name
of the Corresponding/Lead Author

Date: _____

Place: _____

Endorsement by
Academic Integrity Committee (AIC)

Encl: Similarity Index Report

Note: The scanned filled-in and signed Proforma-1 along with the Similarity Index of Plagiarism report shall be sent only by email to the Head – Research Publications (head_respub@siu.edu.in), SCRI and marking a copy to the following without fail: (i) Chairperson, FAIP (Dean of your Faculty) (ii) Chairperson-AIC (Director of your Institute/Department) (iii) Director, SCRI and, (iii) all co-authors, if any, of the manuscript.

Proforma-2

Undertaking from SIU Researchers before Submitting Research Project Proposal to Funding Agency for Grants

Institute/Department name: _____ **Ref. No.** _____

I / We, the following researcher(s)

Sr. No.	Sequence of authors	Researchers name	Affiliation & Place	Email & Mobile
1.	Principal Investigator			
2.	Principal Co-Investigator-1			
3.	Principal Co-Investigator-2			

Note: Put additional rows in case of more number of Co-PIs

hereby give an undertaking that the research project proposal entitled _____

_____

to be submitted to the Funding Agency _____ for research grants has been checked for its Similarity Index/Plagiarism through authentic _____ software tool; and that the document has been prepared by me/us and is our original work and free of any plagiarism. It was found that:

1.	The Similarity Index (SI) was: *(Note: SI range: 0 to 10%; if SI is >10%, then authors cannot communicate manuscript; attachment of SI report is mandatory)*	_____ %
2.	The ethical clearance for research work conducted obtained from: *(Note: Name the consent obtaining body; if 'not applicable' then write so)*	

In case the above-furnished information is found false at any point in time, then the University authorities can take action as deemed fit against me and my co-investigators.

Signature & Full Name
of the Principal Investigator

Date: _____

Place: _____

Endorsement by
Academic Integrity Committee (AIC)

Encl: Similarity Index Report

Note 1: This proforma can also be used for submitting interim/progress reports and final reports to the project granting agency.

Note 2: The scanned filled-in and signed Proforma-2 along with the Similarity Index of Plagiarism report (only first page) shall be sent only by email to the Head – Research Projects (head_resprojects@siu.edu.in), SCRI marking a copy to the following without fail: (i) Chairperson, FAIP (Dean of your Faculty), (ii) Chairperson-AIC (Director of your Institute/Department), (iii) Director-SCRI and, (iii) all co-investigators, if any, involved in the research project proposal.

Proforma-3

Undertaking from the Ph.D. student while submitting his/her final Thesis to SCRI

Ref. No. _____

I, the undersigned, hereby declare and give an undertaking that the Ph.D. Thesis entitled_____

_____ under the Faculty of _____ has been checked for its Similarity Index for Plagiarism through an authentic _____ software tool; and that the document has been prepared by me and is my original work and free of any plagiarism. It was found that:

1.	The Similarity Index (SI) was: *(Note: SI range: 0 to 10%; if SI is >10%, then the student cannot submit his/her thesis; attachment of SI report is mandatory)*	_____ %
2.	The ethical clearance for research work conducted obtained from: *(Note: Name the consent obtaining body; if 'not applicable' then write so)*	
3.	The material (adopted text, tables, figures, graphs, etc.) as has been obtained from other sources, has been duly acknowledged in the thesis: *(Note: Tick √ whichever is applicable)*	Yes / No

In case if any of the above-furnished information is found false at any point in time, then the University authorities can take action as deemed fit against me.

Date: _____

Place: _____

Signature, Full Name & PRN
of the Ph.D. student

Signature &
Name of Supervisor

Signature &
Name of Co-supervisor

Note: The filled-in and signed Proforma-3 along with the Similarity Index of Plagiarism report (only first page) shall be submitted in hard copy to the Head – Ph.D. Programme, SCRI.

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Proforma 4

Undertaking from the UG/PG student(s) while submitting his/her final dissertation to his respective institute

Ref. No. _____

I / We, the following student(s)

Sr. No.	Sequence of students names on a dissertation	Students name	Name of the Institute & Place	Email & Mobile
1.	1st student			
2.	2nd student			
3.	3rd student			

Note: Put additional rows in case of more number of students

hereby give an undertaking that the dissertation entitled _____

_____

has been checked for its Similarity Index/Plagiarism through _____ software tool; and that the document has been prepared by me/us and it is my/our original work and free of any plagiarism. It was found that:

1.	The Similarity Index (SI) was: *(Note: SI range: 0 to 10%; if SI is >10%, then authors cannot communicate ms;* ***attachment of SI report is mandatory****)*	_____ %
2.	The ethical clearance for research work conducted obtained from: *(Note: Name the consent obtaining body; if 'not appliable' then write so)*	
3.	The source of funding for research was: *(Note: Name the funding agency; or write 'self' if no funding source is involved)*	
4.	Conflict of interest: *(Note: Tick √ whichever is applicable)*	Yes / No
5.	The material (adopted text, tables, figures, graphs, etc.) as has been obtained from other sources, has been duly acknowledged in the manuscript: *(Note: Tick √ whichever is applicable)*	Yes / No

In case if any of the above-furnished information is found false at any point in time, then the University authorities can take action as deemed fit against all of us.

Full Name &
Signature of the student(s)

Name &
Signature of SIU Guide/Mentor

Date: _____

Endorsement by
Academic Integrity Committee (AIC)

Place: _____

Note: It is mandatory that the Similarity Index report of plagiarism (only first page) should be appended to the UG/PG dissertation

Proforma 5

Record of Submission of the Academic Document for Plagiarism Check
(Only for faculty member/researcher)

Note: This document shall be mandatorily maintained by the Academic Integrity Committee (AIC) at their Institute/Department level.

Sr. No.	Document submitted by *(Name of faculty member/ researcher)*	Type of document *(abstract / manuscript/project proposal, etc.)*	Date of submission	Received by *(authorised AIC person)*	Date of plagiarism check	Similarity Index (%)	Date of the report received	Signature of Receiver
1.								
2.								
3.								
4.								
5.								

Record of Submission of the Academic Document for Plagiarism Check
(Only for UG/PG students)

Note: This document shall be mandatorily maintained by the Academic Integrity Committee (AIC) at their Institute/Department level.

Sr. No.	Document submitted by *(Name of the student)*	Programme name	Type of document *(assignment/ dissertation/ report, etc.)*	Date of submission	Received by *(authorised AIC person)*	Date of plagiarism check	Similarity Index (%)	Date of Report received	Signature of Receiver
1.									
2.									
3.									
4.									
5.									

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