

# **Institute Ethics and Research Policy (IERC)**

Vivekanand Education Society's  
College of Pharmacy



Vivekanand Education Society's College of Pharmacy  
Hashu Advani Complex, Collector Colony,  
Chembur East, Mumbai 400074  
Maharashtra India



# Research Policy and Code of Ethics

VES COLLEGE OF PHARMACY

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<b>Sr. No.</b>	<b>Policy Title:</b>	<b>Institute Ethics and Research Committee Policy</b>
	<b>Policy Number</b>	<b>VES/ 2014/01/Rev01</b>
1.	Purpose of the Policy:	The purpose of this Research policy and Code of Conduct is to define and implement the Ethics, Duties and Roles of Researchers at the Vivekanand Education Society's College of Pharmacy.
2	Scope of the Policy:	<p>The Research Code applies to all Researchers at VESCOLP, including:</p> <ul style="list-style-type: none"><li>• Undergraduate, postgraduate and doctoral candidates</li><li>• Faculty Members, Research Guides and Principal Investigators for Govt. and Industry projects</li><li>• Visiting and conjoint/adjunct appointees doing research at VESCOLP</li><li>• Professional/non-teaching staff undertaking research or a research function</li></ul> <p>It also applies to all research undertaken at VESCOLP, including, conception, design, conduct and reporting of research, including all associated research activities, methods, procedures and research outputs</p>
3.	Policy Applies to:	Students
4.	Effective from the Date:	1 <sup>st</sup> September 2021
5.	Approved by	Principal

## A. Conduct and Discipline

1. All the rules and regulations indicated in the college code of conduct need to be strictly abided by in the laboratories.
2. The students should observe a behaviour that suits their particular aims and goals. The students are required to adhere to and promote the principles of integrity, accountability,



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independence/impartiality, respect for persons and communities, and professionalism in their research.

3. Report any malpractice or noncompliance to the Code to supervisors/HOD's for action.
4. Instances of suspected misconduct involving registered students (both undergraduate and postgraduate) or faculty members will be investigated and dealt with seriously.

### **B. Research activities**

#### **I. Heads of Department**

5. HODs must monitor the number of students, research assistants and trainee researchers assigned to a particular supervisor so as to ensure effective intellectual interaction and effective oversight of the research at all times.
6. The allotment of students and teachers must be done in a transparent manner and on the order of merit of students.
7. HODs must monitor the working arrangements that do not directly discriminate against groups.
8. HODs must ensure that the labs are having working protocols and SOPs set.
9. HODs would be responsible for documentation regarding maintenance, calibration of equipment and audits.

#### **II. Research Guides / PIs**

10. Research guides and PI would be responsible to collect and preserve the suggestions by peers and seniors on the research presentations by the students in the provided format in **Appendix I**. Research guides will ensure that an ATR of the same is entered before the next presentation or colloquium, whichever is earlier.
11. The Research guide should collect and preserve following items from the research candidate on completion of the project as per **Appendix II**
  - a. Thesis or detailed project report
  - b. Duly compiled Lab notebook
  - c. Minutes of Regular research meetings
  - d. All gift samples, starting materials, Products and formulation in appropriately labelled container along with all details and documents like MSDS
  - e. A proof/confirmation from library that a copy of thesis is submitted to the college library



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- f. A proof/confirmation from the office that the project completion report is submitted to the principal's office [**Appendix III or as per funding agency**]. In the case of M. Pharm and PhD the equivalent document will be Colloquium report and attendance report.
12. For application to funding agencies
- Ensure to provide clear and accurate information.
  - Make sure that the research funder's terms and conditions for applications and awards are understood clearly and also ensure that those are abiding by at all times.
  - The research proposal needs to be revised by research guide
  - The proposal should be passed for IERC's approval subject to honouring the terms of confidentiality signed with the sponsoring body.
  - There should be a clear understanding of conflict of interest
  - Projects involving outside collaboration with individuals and/or organisations ensure the collaborator's costs and any letters of support or agreements are appropriately included in the application.
  - One must not submit a proposal/project without specific approval in writing from the Head of department and the Principal. [**Appendix IV**]
13. In case of additional research activities carried out which are not funded by any particular agency or were over and above the requirement of any programme / course offered the head of the department should be informed in writing [**Appendix IV**]
14. In case of collaborations with individuals/organizations
- A formal agreement must be put in place prior to the commencement of the research.
  - One must not sign any research-related agreements (including, but not limited to, consultancy, research grants, and materials transfer and confidentiality/non-disclosure agreements) without specific approval in writing from the principal. [**Appendix IV**]
  - A copy of the agreement must be submitted to the Principal's office.
  - PI must familiarise with and adhere to the standards and procedures for the conduct of research laid out in any collaboration agreement.
15. The title or research proposal to be submitted to the university should pass through the approval from respective Research Advisory Committee and an abstract should be submitted to IERC of VES College of Pharmacy.
16. Research funds



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- a. For any sponsored or funded project the consultancy and PI Charges should be based on IP policy of VES.
  - b. Must be utilized against only the purpose for which they were provided and in accordance with the conditions laid down by funding agencies.
  - c. Need to be monitored closely by the PI's; hence it's their responsibility to follow on the timely usage of the funds and getting the utilization certificate from accounts department. Also, PI must ensure compliance with the monitoring and audit regulations of the funding body.
  - d. Would be disbursed, shared or granted as per the institutes set IP policy.
  - e. Must be used with prior permission of the funding agency, if use of funds differs from any conditions previously approved.
17. Duplicate submission of application of grant for similar projects from different funding agencies is discouraged. Hence, one must not submit a project or work that is substantially similar in style, content or length to more than one agency. However, in case, all the grants are sanctioned simultaneously then it will be the primary onus of the PI to communicate to the respective agency(s) after comparative analysis and withdraw application from one of two. The PIs shall not avail grants from two funding agencies for the same project under any circumstances.
18. PIs must comply with all University and granting body's regulations relating to the employment of staff using research funding.
19. Research guides/ PIs must provide guidance on all matters of good research practices. This includes discussing relevant issues of intellectual property, research conduct and ethics with research students, research assistants and trainee researchers, and referring any problems or queries to the Head of Department or research guide.
20. Research guides/ PIs must ensure, as far as possible, the validity of research data obtained by students under their supervision.
21. Research guides/ PIs should ensure the student's contribution to any research and accordingly decide on authorship in publications and patents. The gift authorship should not be granted to any person unless he/she has actively contributed in making the manuscript.



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22. Research guides/ PIs should maintain clear, accurate, secure and complete records of all research including research data and primary materials and, allow access and reference to these by interested parties, provided it does not infringe the proprietary rights.
23. In case of any product or patent granted the information should be shared on respective government portals for visibility and commercialization like YUKTI 2.0.

### III. Students/Research Candidate

24. The students should do a thorough literature review before starting any new endeavour. The literature at the end of course needs to be submitted to guide in bound / soft format.
25. Research Laboratories are strictly *no fire zone*. Either electrical heating devices are to be used or undergraduate laboratories to be utilized.
26. While using any instrument or facility a proper permission be sought in prescribed format.
27. Before using a particular equipment/instrument, entry must be made in the log book
28. No students would perform any experiment without bringing to the knowledge of respective guides or at least to one of on-role faculty members.

### IV. General

29. An approval from the concerned ethics committee needs to be obtained in advance as and when needed.
30. The researchers should use authentic software during their research.
31. Any kind of fabrication, manipulation, generating false data, Misrepresentation of data and suppression of relevant findings is strictly forbidden.
32. If some individuals are involved in research activity as volunteers in research should be kept confidential.
33. The participants or associated individuals should be involved with prior consent, and appropriate safeguards should be taken.
34. Researchers should observe all legal and reasonable ethical requirements or obligations of care for human or animal subjects, human organs or tissue used in research, or for the protection of the environment as far as possible.
35. Researchers should familiarize themselves and properly document, while working with biological agents, potentially hazardous chemicals, controlled drugs, chemical weapon



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precursors, radiation or genetically modified organisms as well as health and safety, data security and information governance considerations.

36. Wherever possible research should not involve in projects which are sensitive, insecure or material related to any illegal activity. If at all they have to, then ensure that all procedures set are followed for proper approvals.

### C. Research outcomes

#### I. Research Guides / PIs

37. The PIs should seek advice from the Trustee, Principal, and Industrial Advisory board, if a project may result in intellectual property or any revenue sharing agreements following commercialisation of intellectual property. The IP policy of the institute should be strictly followed for the same.
38. The researchers should preferably publish their work in journals of repute only, particularly those indexed in Scopus or Web of Science in accordance with regulatory authorities, accreditation and ranking bodies. It will be encouraged to publish in journals prescribed by UGC or journals listed under Thomson Router or PubMed or Indian citation index.
39. Authorship should be decided based on significant contributions made to research. Anyone who has not participated in a substantial way in conceiving the idea, executing or interpreting substantial part of the research must not be included as an author of a relevant publication.
40. The collaborators and sponsors of any work need to be explicitly mentioned and/or acknowledged in the presentation and publications.
41. The address for correspondence shall mention the full name of the college, Vivekanand Education Society's College of Pharmacy (Affiliated to University of Mumbai).
42. The publications need to be duly cited with literature survey, in prescribed format by the publication house. The bibliography must be relevant, precise and devoid of excessive self-citation.
43. Duplicate submission of research / review papers will be investigated and serious action will be taken. Hence, one must not submit a project or work that is substantially similar in style, content or length to more than one journal or publisher unless it has been rejected by the previous publisher.



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44. If the research work generates some interest from the media or the general public, researchers must inform the Principal and share the information with the media only after approval by the Principal. Such media coverage then can be shared on the college website and social media of the College.

#### II.

#### III. Students/Research Candidate

45. Students should write thesis / reports in accordance with guidelines by University of Mumbai bearing the declaration of originality of research work.
46. All the appropriate timelines should be followed for submission of the synopsis / thesis / seminar report / review articles / research articles/ to the research guide/College Library / University as per the schedule.
47. No students would publish or present any research or review work or thesis without a thorough plagiarism search. A plagiarism report needs to be submitted to the research guide before communication or submission.
48. No students would publish or present any research or review work without consulting respective guides or at least on one of on-role faculty members and mentioning their names as *corresponding author*
49. The Research candidate should compile and submit following items to the research Guide before completion of the project
- Thesis or detailed project report
  - Duly compiled Lab notebook
  - Minutes of Regular research meetings
  - All gift samples, starting materials, Products and formulation in nicely labelled packed in an appropriate container along with all details and documents like MSDS
  - A proof/confirmation from library that a copy of thesis is submitted to the college library
  - A proof/confirmation from the office that the project completion report is submitted to the principal's office [**Appendix III or as per funding agency**]. In the case of M. Pharm and Phd the equivalent document will be Colloquium report and attendance report.

#### IV.





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#### V. General

50. All the resources, products and rights generated are sole property of the institute.
51. In case of any IPR, the IP Policy of VESCOLP to be followed.
52. In case of any IPR or other rights, the VES College of Pharmacy would be the Applicant and owner.
53. In case of industrial projects, complete secrecy shall be maintained.
54. The Institute Research and Ethics committee advocates original research hence any repetition /copy of previous work will be seriously dealt with.
55. Falsification of qualifications and/or experience, which actually was not obtained at VES College of Pharmacy, will be investigated and serious action will be taken.

#### VI. Plagiarism Check and reporting

56. A plagiarism report needs to be submitted with % similarity. It should be not more than 10%.
57. Students need to submit the manuscripts to guides who can do a plagiarism check.
58. The manuscripts need to be improved and checked again till the criteria is met.
59. A plagiarism check report needs to be submitted and a copy to be preserved for future reference. The formats generated by standard softwares like Turnitin, Urkund or Unicheck are acceptable but just in case some other tool is used a report in the format as described in **Appendix V** should be submitted to the guide.
60. IERC will be responsible for auditing this activity annually.



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### Appendix I: Periodic Research Progress Meeting

#### Suggestion/Comments Sheet

<b>Name of Student</b>	
<b>Level (UG/PG/PhD)</b>	
<b>Guide</b>	
<b>Evaluator(s)</b>	
<b>Department</b>	
<b>Date and Time of Meeting</b>	
<b>Title</b>	
<b>Suggestions</b>	<b>ATR (To be filled before next meeting)</b>
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
6.	6.
7.	7.
8.	8.
9.	9.
10.	10.

	<b>Submitted by</b>	<b>Checked by</b>
<b>Signatures</b>		
<b>Name</b>		
<b>DRI's</b>	<b>Student</b>	<b>Research Guide</b>



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### Appendix II: PI's Checklist for Project Completion

<b>Name of Student</b>	
<b>Level (UG/PG/Phd)</b>	
<b>Guide</b>	
<b>Department</b>	
<b>Date and Time</b>	
<b>Title</b>	
<b>Items</b>	<b>Submission Status</b>
1. Thesis or detailed project report	1. <input type="checkbox"/>
2. Duly compiled Lab notebook	2. <input type="checkbox"/>
3. Minutes of Regular research meetings	3. <input type="checkbox"/>
4. All	4.
a. gift samples,	a. <input type="checkbox"/>
b. starting materials,	b. <input type="checkbox"/>
c. Products and formulation in nicely labelled container	c. <input type="checkbox"/>
d. details and documents like MSDS	d. <input type="checkbox"/>
e. Other (Specify)	e. <input type="checkbox"/>
5. A proof/confirmation from library that a copy of thesis is submitted to the college library	5. <input type="checkbox"/>
6. A proof/confirmation from office that project completion report is submitted to the principal's office	6. <input type="checkbox"/>

	<b>Submitted by</b>	<b>Checked by</b>
<b>Signatures</b>		
<b>Name</b>		
<b>DRIs</b>	<b>Student / Research Candidate</b>	<b>Research Guide / PI</b>



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### Appendix III: Project Completion Report

1. **Title of the project:**
2. **Principal Investigator(s) and Co-Investigator(s):**
3. **Collaborating Institution(s):**
4. **Date of commencement:**
5. **Planned date of completion:**
6. **Actual date of completion:**
7. **Objectives as stated in the project proposal:**
  
8. **Deviation made from original objectives if any, while implementing the project and reasons thereof:**
  
9. **Experimental work giving full details of experimental set up, methods adopted, data collected supported by necessary table, charts, diagrams & photographs:**
  
10. **Detailed analysis of results indicating contributions made towards increasing the state of knowledge in the subject:**
  
11. **Conclusions summarizing the achievements and indication of scope for future work:**
  
12. **S&T benefits accrued:**
  - i. **List of Research publications**  
**Paper Sr No :**  
**Type : Research / Review**  
**Authors**  
**Corresponding Author**



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**Title of paper**

**Name of the Journal**

**Volume**

**Pages**

**Year**

**Impact factor:**

**Indexed in** :  Pubmed     Scopus     Web of Science     Listed by UGC

**ii. Manpower trained on the project**

- a) Research Scientists or Research Associates
- b) No. of M. Pharm produced
- c) No. of Ph.D. produced
- d) Other Technical Personnel trained

**iii. Patents taken, if any**

Sr. No.	Authors	Owner of Patent	Title of Patent	Type of Patent	Status Filed/granted/ published	Year

**iv. Any other outcome.**



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### 13. Financial Position:

Sr. No.	Budget Head	Funds Sanctioned	Expenditure	% of Total cost
1.	Manpower			
2.	Consumables			
3.	Contingencies			
4.	Travel			
5.	Others, if any			
6.	Overhead Expenses			
7.	Equipment			
	<b>Total</b>			<b>100%</b>

### 14. a) Procurement/Usage of Equipment

Sr. No.	Name of Equipment	Make/ Model	Cost (Rs.)	Date of Installation	Utilization Rate (%)	Deadstock number

### b) Plans for utilizing the equipment facilities in future

Sr. No.	Name of Equipment	Make/ Model	Cost (Rs.)	Expected Date of Installation	Utilization Rate (%)

Name and Signature with Date

a.\_\_\_\_(Principal Investigator/Research Guide)

b.\_\_\_\_(Co-Investigator)



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### Appendix IV: Permission from Head of Institute for Proposal /Agreement/MoU

To,

The Principal,  
Vivekanand Education Society's College of Pharmacy

**Subject: Permission to go ahead with the Proposal /Agreement**

Respected Sir/Madam

With reference to the above subject, I/We are in the process of following engagement detailed in table below

<b>Name of PI</b>	
<b>Co PIs</b>	
<b>Department</b>	
<b>Date and Time</b>	
<b>Nature</b>	<b>Proposal/Consultancy/Agreement/Other (Specify)</b>
<b>Title</b>	
<b>Short Synopsis</b>	

Kindly grant me/us the permission to go ahead with it. I/we assure that a copy of the final project proposal/Agreement/MoU or a summary sheet will be submitted to your office.

	<b>Submitted by</b>	<b>Checked by</b>	<b>Approved by</b>
<b>Signatures</b>			
<b>Name</b>			
<b>DRIs</b>	<b>PI/Co-PI</b>	<b>Head of Department</b>	<b>Principal</b>



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### Appendix V: Plagiarism Check Report

Title of Manuscript	
Authors	
Plagiarism Tool	
Plagiarism Similarity Score	
No. of Time the Plagiarism search was executed,	
Dates of Plagiarism Check	
Responsible person	
Has the manuscript been properly improved?	Yes / No/ Not required
Self-declaration	1. I/we certify that the information provided here and the documents I have submitted to be true and accurate. 2. If any information is found to be untrue I/we shall be liable for disciplinary action.
Comment by the Any one IERC Committee member (coordinators or HOD)	
Signature of the IERC member	
Name and Designation of IERC Member	

APPROVED BY:	
	<b>Dr. Supriya Shidhaye</b> <b>Principal</b>