

CSIR-INDIAN INSTITUTE OF PETROLEUM, DEHRADUN
RESEARCH PLANNING & PROJECT MONITORING

No. 1/SEC/RPPM/21

Dated 01.07.2021

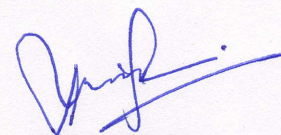
OFFICE MEMORANDUM

In accordance with CSIR OM No.30/GB/2019-MD dated 28.02.2021 regarding CSIR Guidelines for Ethics in Research and in Governance, Director, CSIR-Indian Institute of Petroleum has been pleased to accord approval to constitute committee on Ethics called the Standing Publications, Ethics and Scientific Vigilance Committee (SEC). The SEC would be responsible for training staff members on all aspects of scientific ethics and looking into best lab practices and publications to be observed by the scientific community.

The Scientific Vigilance Committee (SEC) constituted as follows:

Dr N Viswanadham	Chairperson
Dr Jasvinder Singh	Member Secretary / Ethics Officer
Dr Devender Singh	Member
Dr Aarti	Member
Dr Gaurav Gupta	Member
Dr Aruna Kukrety	Technical Member
alt Dr Sandeep Saxena	
AO (Est) alt PPS/SO (APAR)	Administrative Member
Student with highest GPA in 7th or 8th	Student Member
Semester (to change annually), to be identified	
by Member Secretary through AcSIR Coordinator	

The tenure of the current SEC will be until 31.03.2022



Dr. A K Jain
Head RPPM

Copy to:

1. PS to DIIP
2. Mail to All
3. All Members
4. All Notice Board
5. COA

B.1 Standing Publications, Ethics and Scientific Vigilance Committee (SEC):

Every CSIR lab as well as the HQ should have a **Standing Publications, Ethics and Scientific Vigilance Committee (SEC)** look into the best lab practices and publications to be observed by the scientific community. The committee would be chaired by a Chief Scientist (or one at a higher level) and comprise scientific and technical, administrative, and research fellows/students as members (with gender representation), with the Ethics Officer as the Member Secretary. The Committee in each lab would be constituted by its Director, while for the Hqs, it would be constituted by the DG. The Terms of Reference (TOR) of the committee would be as follows:

- i. The Committee shall regularly conduct seminars in Good Laboratory Practices and publications;
- ii. shall make mandatory implementation of communication numbers at the time of publications after obtaining approval from competent authority;
- iii. shall check Similarity index and Plagiarism of all publications;
- iv. shall ensure that the scientific audit of each publication is done;
- v. shall advice and guide the Director/DG, CSIR on all matters pertaining to misconduct in scientific practices and research ethics;
- vi. shall respond to any external parties (on behalf of CSIR) for compliance with ethical standards in respect of research projects undertaken by staff;
- vii. on an entirely voluntary basis, researchers may seek the inputs of this Committee for consultation on ethical aspects of their research;
- viii. shall work on any other matter as assigned by the Director / DG, CSIR

B.2 Standard Operating Procedure (SOP) for dealing with Scientific Misconduct

The following SOP is suggested for dealing with alleged cases of Scientific Misconduct:

सीएसआइआर-भारतीय पेट्रोलियमसंस्थान
देहरादून

संख्या: भापेस/प्रनि/08/2021

दिनांक : 23.07.2021

कार्यालय ज्ञापन

Sub: Constitution of Scientific Investigation Board (SIB) as per CSIR Guidelines on Ethics in Research and Governance.

In pursuance of CSIR-IIP OM No. 1/SEC/RPPMI21 Dated 01.07.2021 and in compliance to CSIR OM No.30/GB/2019-MD dated 28 February, 2020, the Director, CSIR-IIP has been pleased to constitute a Scientific Investigation Board (SIB) comprising of the following Members for investigation of Scientific misconduct at CSIR-IIP with immediate effect:

1. Dr N.Viswanadham, Chief Scientist, CSIR-IIP, Dehradun : Chairman
2. Dr Jasvinder Singh, Pr. T.O., CSIR-IIP, Dehradun : Member-Secretary and Ethics Officer
3. Dr Ajay K Gupta, Pr. T.O., CSIR-IIP, Dehradun : Safety Officer: Alternate to
Member-Secretary
4. Dr Samir K Maity, Sr. Pr. Sct., CSIR-IIP, Dehradun : Member
5. Mr Rajesh Kumar, Sr. Pr., Sct., CSIR-IIP, Dehradun : Member (Rep. SC/ST)
6. Dr Kishore Natte, Sr. Sct., CSIR-IIP, Dehradun : Member (Rep. OBC)
7. Ms. Kirtika Kohli, Sct., CSIR-IIP, Dehradun : Member

External Members Panel: (depending on subject of misconduct)

- (a) **Chemical Sciences:** Dr R.V. Jasra (Reliance)/Dr Pushpito Ghosh (ICT Mumbai)
- (b) **Biological Sciences:** Prof. Shams Yazdani (ICGEB)/ Dr Ramesh Sonti (CCMB)
- (c) **Engineering Sciences:** Prof. Anoop Chawla (IIT Delhi) / Prof. Sangeeta Kohli (IIT Delhi)
- (d) **Physical Sciences:** Dr Tejinder Pal Singh (TIFR Mumbai) / Prof. Sriram Ramaswamy (IISc Bangalore)
- (e) **Mathematical and Information Science:** Dr Sushmita Sur-Kolay (ISI Kolkata) / Dr V Mudkavi (Former Head CSIR-4PI)
- (f) **Interdisciplinary areas:** Dr Rajiv Bhirud, Former Head R&D, Tata International / Dr V Mohan Rao, Former Head, R&D, Asian Paints.

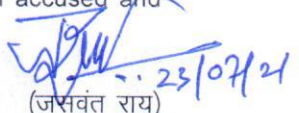
The Terms and Reference of SIB would be as under as Appendix-B Clause B.2 of the CSIR Guidelines *ibid*:-

- (i) To investigate the matter, fact finding and recommending the punitive action (taking input/response of the accused, if needed).
- (ii) The SIB will do due diligence including interaction with the concerned Scientific staff, examine the records and suggest the suitable punitive action commensurate with the offence done as per the Table-1 (as per guidelines). Based on the above, SIB will submit the report to the Director for consideration and appropriate action.
- (iii) In case of minor, moderate and major penalties (except those covered in Point (iv) below), the same will be imposed on the accused directly by the Director for the laboratory.
- (iv) The cases of major and severe transgressions involving penalties such as Deferred promotion/ Deferred increments/ Reduction to lower stage/ Compulsory retirement / Removal from Service, will be dealt as per the established administrative process (as per the rules and regulations adopted by the CSIR) by administration with the approval of the Competent Authority.

The Standard Operating Procedure (SOP) for inquiry in any act of scientific misconduct is detailed in the **Appendix-B and Table-1** of the guidelines which provides for the fair and transparent trial of an accused and safeguards the interest of whistle-blowers (Ref. 16; Section 13).

Copy to:

1. PA to Director, CSIR-IIP, Dehradun
2. All Head of the Divisions, CSIR-IIP, Dehradun
3. Dr. Jasvinder Singh, Head IIP – with requests to kindly take further necessary action for sending filled out form and ensuring appropriate regular internal measures to ensure compliance.
4. All Notice Boards
5. Mail to All


(जसवंत राय)
प्रशासन नियंत्रक
प्रशासन नियंत्रक/Controller of Administration
सी.एस.आई.आर.-भारतीय पेट्रोलियम संस्थान
CSIR-Indian Institute of Petroleum
देहरादून/Dehradun-248005

B.1 Standing Publications, Ethics and Scientific Vigilance Committee (SEC):

Every CSIR lab as well as the HQ should have a **Standing Publications, Ethics and Scientific Vigilance Committee (SEC)** look into the best lab practices and publications to be observed by the scientific community. The committee would be chaired by a Chief Scientist (or one at a higher level) and comprise scientific and technical, administrative, and research fellows/students as members (with gender representation), with the Ethics Officer as the Member Secretary. The Committee in each lab would be constituted by its Director, while for the Hqs, it would be constituted by the DG. The Terms of Reference (TOR) of the committee would be as follows:

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- vi. shall respond to any external parties (on behalf of CSIR) for compliance with ethical standards in respect of research projects undertaken by staff;
- vii. on an entirely voluntary basis, researchers may seek the inputs of this Committee for consultation on ethical aspects of their research;
- viii. shall work on any other matter as assigned by the Director / DG, CSIR

B.2 Standard Operating Procedure (SOP) for dealing with Scientific Misconduct

The following SOP is suggested for dealing with alleged cases of Scientific Misconduct:

- i. Complaint/information can be entertained from 'identified' individual. Anonymous complaints are not to be entertained.
- ii. The scientific misconduct is to be investigated by the **Scientific Investigation Board (SIB)**.
- iii. Director (for individual laboratory) and/or DG-CSIR (for CSIR Hqs) will set up a Scientific Investigation Board (SIB) comprising scientific/technical personnel of appropriate expertise (with gender and SC/ST/OBC representation) and with at least one external expert to investigate the matter, fact finding and recommending the punitive action (taking input/response of the accused, if needed).
- iv. The SIB will do due diligence including interaction with the concerned scientific staff, examine the records and suggest the suitable punitive action commensurate with the offence done as per the **Table-1** given below. Based on the above, SIB will submit the report to the Director and/or DG, CSIR as the case may be for consideration and appropriate action.
- v. In case of minor, moderate and major penalties (except those covered in section B.2.vi below), the same will be imposed on the accused directly by the Director for the laboratory and DG, CSIR for the Hqs.
- vi. The cases of major and severe transgressions involving penalties such as Deferred promotion/ Deferred increments/ Reduction to lower stage/ Compulsory retirement / Removal from Service, will be dealt as per the established administrative process (as per the rules and regulations adopted by the CSIR) by administration with the approval of the competent authority.
- vii. **Appellate Authority for Grievance Redressal:** The report of the SIB would be shared with the accused while implementing the punitive action. DG, CSIR will be the Appellate Authority for reviewing the punitive action recommended by SIB and implemented by the competent authority. The accused shall have the right to appeal, within 60, days against the recommendation of the SIB (and the punishment/ decision based on the same by competent authority), to the Director General, CSIR, for Grievance Redressal. The appeal should be based on merits, clearly bringing out facts and with supporting evidences which were not taken into consideration by SIB. DG, CSIR may in turn, based on the merits of appeal, refer the matter to an Ombudsman of concerned subject group for recommendation. The decision of DG, CSIR on the recommendation of the Ombudsman shall be final and binding on all sides.

B.3 Table-1: Levels of misconduct and suggested advice on action to be taken

Category	Characteristics	Examples	Action
I. Simple Error/ Minor Transgression	Non-deliberate, evidence of experiments having been performed via lab books or other records, with minimal or no change to primary scientific conclusions	<ul style="list-style-type: none"> • Plagiarism – materials and methods • Unmodified/Un-manipulated image duplication between figures or panels, where original data can be shown • Mistake in matters of credit/authorship where there is no clear misconduct 	<p>First: No action required other than correction of mistake /Counselling</p> <p>Second: Minor penalty such as warning for person(s) held responsible</p>
II. Moderate Transgression	<p>Very frequent instances of category I transgressions (>10).</p> <p>Deliberate, errors with changes to primary scientific conclusions, probable data fabrication</p>	<ul style="list-style-type: none"> • Plagiarism – main text • Modified image duplication between figures or panels or Instances of image duplication between publications, inability to provide original data • Deliberate denial of authorship or credit 	<p>Minor penalty commensurate with frequency and degree</p> <p>Removal from responsible position/Ban supervision/ Ban submission of proposals/ Ban consultancy/ Defer increments/Deferred promotion / Take a credit course on Ethics.</p>

<p>III. Major Transgression</p>	<p>Frequent instances of category II transgressions</p> <p>Any instance of clear data fabrication,</p>	<ul style="list-style-type: none"> • Plagiarism – data or >50% of text • Clear image manipulation sufficient to change scientific interpretation • Instances of repeated image duplication between publications, with different labels • Deliberate usurping of credit, fake authorships 	<p>Penalty to responsible person(s)</p> <p>Take a credit course on Ethics/</p> <p>Deferred promotion/ deferred increments/ reduction to lower stage/ compulsory retirement</p>
<p>IV. Severe Transgression</p>	<p>Very frequent instance of category III transgressions</p>		<p>Major penalty commensurate with the severity of misconduct</p> <p>Compulsory retirement/ removal from service</p>