सीएसआईआर-केन्द्रीय वैज्ञानिक उपकरण संगठन सैक्टर 30, चण्डीगढ 160030

सं. सीएसआइओ/7(1070)/2020-सत.

दिनांक: 08.12.2022

कार्यालय जापन

The Director, CSIR-CSIO has re-constituted an Institutional Committee on Ethics called the Standing Publications, Ethics and Scientific Vigilance Committee (SEC) as follows:-

1.	Dr. Satish Kumar, Chief Scientist	Chairman
	Dr. Samir Kumar Mondal, Sr. Principal Scientist	Ethics Officer & Member Secretary
3.	Dr. Prashant Kumar, Senior Scientist	Member
4.	Ms. Nalini Pareek, Sr. Scientist	Member
5.	Dr. Anupma Sharma, Sr. T.O(1)	Member
6.	Shri Harsh Kumar, Technical Officer	Member
7.	AcSIR Student Representative	Member

The Standing Publications, Ethics and Scientific Vigilance Committee (SEC) would be responsible for training staff members on all aspects of scientific ethics and looking into best practices and publications to be observed by the scientific community. The Terms of Reference (TOR) of the committee would be as follows:-

- The Committee shall regularly conduct seminars in Good Laboratory Practices and publications;
- shall make mandatory implementation of communication numbers at the time of publications after obtaining the approval from Competent Authority;
- 3. shall check Similarity Index and Plagiarism of all publications;
- 4. shall ensure that the scientific audit of each publications is done;
- shall advise and guide the Director on all matters pertaining to misconduct in scientific practices and research ethics;
- shall respond to any external parties (on behalf of CSIR-CSIO) for compliance with ethical standards in respect of research projects undertaken by staff;
- 7. on an entirely voluntary basis, researchers may seek the inputs of this committee for consultation on ethical aspects of their research.

The tenure of SEC will be two years from the date of issue of the OM.

(एस.डी. ऋषि)

प्रशासनिक अधिकारी

प्रति:-

- 1. अध्यक्ष एवं समस्त सदस्य
- 2. प्रधान निजी सचिव, निदेशक
- प्रमुख, आईएसडी-उपरोक्त कार्यालय ज्ञापन को सीएसआईआर-सीएसआइओ की वैब साइट में अपलोड करने हेतु।

सीएसआईआर-केन्द्रीय वैज्ञानिक उपकरण संगठन सैक्टर 30, चण्डीगढ़ 160030

सं. सीएसआइओ/7(1070)/2020-सत.

दिनांक: 30.10.2020

कार्यालय ज्ञापन

Director, CSIR-CSIO has constituted an Institutional Committee on Ethics called the Standing Publications, Ethics and Scientific Vigilance Committee (SEC) as follows:-

1.	Dr. H.K. Sardana, Chief Scientist	Chairman
2.	Dr. Shravana Kumar R.R., Sr. Principal Scientist	Ethics Officer & Member
3.	Dr. Umesh Kumar Tiwari, Principal Scientist	Member
4.	Dr. Rishemjit Kaur, Sr. Scientist	Member
5.	Ms. Bandhana, Sr. T.O.(3)	Member
6.	Sh. Mange Ram, Sr. T.O.(3)	Member
7.	AcSIR Student Representative	Member

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The tenure of SEC will be two years from the date of issue of the OM.

(एल. एस. नेगी)

प्रशासन नियंत्रक

प्रतिलिपि:-

- 1. अध्यक्ष एवं समस्त सदस्य।
- 2. निजी सचिव, निदेशक।
- 3. प्रमुख, आईएसडी-उपरोक्त कार्यालय ज्ञापन को सीएसआईआर-सीएसआइओ की वैब साइट में अपलोड करने हेत्।



Ethics in Science and Governance – A Mandatory Practice

Viswajanani J Sattigeri (With support from Shri Anoj Chadar and Shri RP Singh) DG's, CSIR Meeting with Directors – 27 July 2021



Scientific Misconduct

"Violation of the codes of scholarly conduct and ethical behaviour in the publication of professional scientific research.

Includes all acts from the initiation of an idea, its experimental verification, accuracy of results, accurate reporting without resorting to any malpractice in the presentation of data/images, due acknowledgement of all sources of information and people"

SCIENCE 127 papers from India retracted for image duplication, manipulation UPDATED: IULY 13, 2019 19:13 IST Since 2011 and particularly in the last three-four years more papers are getting flagged and retracted for problematic images Unlike plagiarism in papers published in scientific Single cell imprinting on the surface of Ag-ZnO bimetallic nanop modified graphene oxide sheets for targeted detection, ren photothermal killing of E. Coli journals, image duplication in the same paper or in different papers and image manipulation have hardly received any attention. Fortunately, this is beginning to change. Since 2011 and particularly in the last threef in a nati Univ THE MAR HINDU IISc has 33 papers listed on Pubpeer for image duplication

India's premier institution Indian Institute of Science (IISc), Bengaluru too seems to have problems with images in papers published in journals. At last count, 33 papers published by half a dozen researchers have images that have been duplicated. While most of the image duplication is within the sane paper, a couple of images have been reused in more than one paper. None of the images appear to have been manipulated.

Chem journal yanks paper because authors had stolen it as peer reviewers

CrystEngComm

The UK's Royal Society of Chemistry has retracted a 2017 paper in one of its journals after learning that the authors stole the article from other researchers during peer review.

The offending article, "Typical and interstratified arrangements in Zn/Al layered double hydroxides: an experimental and theoretical ap-

proach," appe CrystalEngCo was written k Priyadarshi R hury and Kris Rhattacharyy

took a PLOS journal to flag a paper after a sleuth raised concerns

> Two years after being alerted to a questionable figure in a 2016 paper by a group with a questionable publication history, a PLOS journal has issued an expression of concern about the article.

The paper, "Deprivation of L-Arginine Induces Oxidative Stress Mediated Apoptosis in Leishmania donovani Promastigotes: Contribution of the Polyamine Pathway," was published in PLOS Neglected Tropical Diseases and was written by a team based at the Rajendra Memorial Research Institute of Medical Sciences in Patna, India, along with a few other institutions in that country.

The penultimate author of the paper is C...., of the CSIR-

Two years: That's how long it

of times on PubPeer, where posters have flagged the figures in papers. In a 2019 article in The Hindu, hinted that an institutional investigation into work was underway but dismissed the prob-



THE SCIENCES

NCBS Retraction: New Allegations Intensify Spotlight on Institute



Student, Meet Bus July 14, 2021

THEMORHINDU





CSIR scientist dismissed for fabricating data



Committees that probed the matter reportedly found 'hard evidence' of the fraud by ${\rm I\!I}$

CHENNAI:, JULY 23, 2016 03:00 IST UPDATED: SEPTEMBER 18, 2016 15:48 IST

l), a CSIR lab, was removed from service early this month for fabricating data in three papers published in 2013 (April 17, October 1 and October 8) in a scientific journal PLOS ONE. All the three papers were retracted by the journal in July 2014.

Data fabrication was found in four more papers where he was the senior author. This is the first time in recent years that the CSIR has taken the extreme step of terminating the service of a senior scientist for scientific misconduct.

In a retraction note published in July 2014, the journal said: "The Council of Scientific and Industrial Research (CSIR) has carried out an investigation about several publications by this group [led by evaluate concerns raised about the authenticity of the data. The investigation committee... concluded that there are no data available underlying this study and thus the published results are fabricated. As a result, [CSIR] has requested the retraction of the publication."





Except one scientist who does not fully agree with the comments made on Pubpeer, no other scientist has challenged the allegations. Two scientists had even earlier communicated to the journals for an evratum to be published in their respective papers. All the other scientists maintain that image duplication does not warrant a correction. However, a few scientists appear to have stopped with posting the correct image on Pubpeer and not communicated with the journals to set the record straight.

30 papers published between 2011 and 2018 found to contain reused or duplicated images

A couple of days after a June 4 report in *The Hindu* was published detailing about journal papers containing images with duplication and/or manipulation, Director of Lucknow's Central Drug Research Institute (CSIR-CDRI) Frof. Tapas K. Kundu has asked all scientists to take appropriate steps to correct the problematic images.

Constitution of Committee for Developing the Guidelines



DG, CSIR constituted a Committee in July 2019

for

Developing Guidelines on Scientific Ethics, Good Publication Practices and dealing with the alleged cases of plagiarism, data manipulation, image duplication / manipulation in scientific publications in CSIR



Prof. D. Balasubramanian
Former President, IAS and Director, LVP Eye Institute



Prof. AK Singhvi Hon. Scientist, PRL & VP INSA Prof. K. Muralidhar Univ. of Hyd. & INSA Fellow



Dr. S. Chandrasekhar Director, CSIR-IICT



Dr. A. Ajayaghosh Director, CSIR-NIIST



Dr. Anurag Agarwal Director, CSIR-IGIB



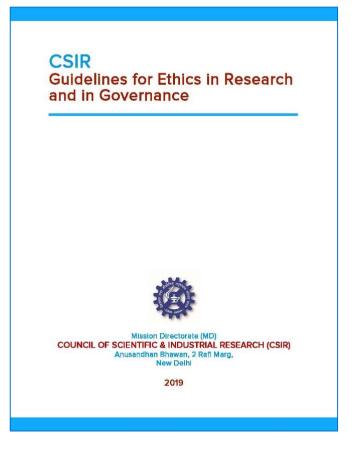
Dr. Rakesh K Mishra Director, CSIR-CCMB



CSIR Guidelines for Ethics in Research and in Governance



- 1. Preamble
- 2. What is scientific misconduct
- 3. Good Science Practices
- 4. Gender issues
- 5. Dealing with Misconduct
- 6. Types of reports and related documents covered under this umbrella
- 7. Intellectual Property
- 8. Ethics in Governance and Conflict of Interest (Col)
- 9. Other Recommendations
- **10. Personal Ethics/introspection**
- 11. EMR grants and CSIR grantees
- 12. Grievance Redressal
 Mechanism: Appointment of
 Ombudsman



- 13. Whistle Blowers and his/her identity and Protection
- 14. Acknowledgments
- 15. References
- Appendix A:
 - **A.1 Authorship Guidelines**
- Appendix B
 - **B.1-Standing Publications, Ethics and Scientific Vigilance Committee (SEC)**
 - B.2-Standard Operating Procedure (SOP) for dealing with Scientific Misconduct
 - B.3-Table 1: Levels of misconduct and suggested advice on action to be taken
- Appendix C:

Conflict of Interest Statement Form

CSIR Guidelines: Ethics, Misconduct, Review and Punitive Action



Catagoria	t C -: -	:t:- N	A:	I
Categories	s of Scie	entific iv	/IISCONO	IUCT

Embezzlement of ideas

Plagiarism

Falsification of data/result

Fabrication

Fraud

Redundant / Salami Publications

Non-compliance of Regulatory **Guidelines**

Inappropriate Authorship / Authorship

Withholding data for validation

Wrong versus Fraudulent paper

Conflict of Interest

Gender issues

Good Scientific Practice Laboratory Records

Authorship

Plagiarism Check

Safe Laboratory Practices

Research involving humans and human biological material

Use of Animals in Research

Journals

Consultancy work

Collaborative work

Levels of misconduct and suggested advice on action to be taken

Category I: Simple Error/ Minor

Transgression

Category II: Moderate

Transgression

Category III: Major Transgression

Category IV: Severe Transgression



David Baltimore and Thereza Imanishi-Kari



The Nobel Prize in Physiology or Medicine 1975

Associate Professor, MIT in 1968



Associate Professor at Tufts University

Assistant Professor,
MIT in 1981

A 1986 Cell paper co-authored by six including Baltimore and Imanishi-Kari: "The expression of endogenous genes mimicking the idiotype of the transgene suggests that a rearranged gene introduced into the germ line can activate powerful cellular regulatory influences"

June 1986: Margot O'Toole (researcher) – problems with reproducibility of experiments and accused Imanishi-Kari of fabricating the data

Cell paper - Subject of research misconduct allegations

1991: Charged by the Office of Scientific Integrity for falsifying data and barred from receiving research grants for 10 years

1996: The U.S. Department of Health and Human Services (HHS) (then newly constituted) reviewed the case again

1996: Following the investigations, Imanishi-Kari fully exonerated of charges

Dalibor Sames and Bengu Sezen

- Fabricated NMR:
 - Duplication of methylene chloride signal
 - Duplication of triphenylphosphine signal
 - Presence of correcting fluid on published specta



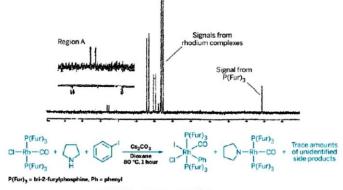
Pr. Dalibor Sames

1996 - Awarded PhD degree (University of Arizona)

9 awards

1998 - Assistant Professor (Columbia University)

2003 - Associate Professor (Columbia University)



Source: W. G. Schulz, Chemical & Engineering News, 08.08.2011, 89, 32, 40 - 43

- Bengü Sezen's misconduct proven after being trapped by a co-worker
- Neglected lab notebook handling



Bengü Sezen

2000 - joins Pr. D. Sames group

2002 - 1st fraudulent paper

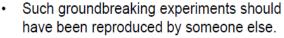
2002 - first reproducibility concerns

2005 - Awarded PhD degree

2011 - PhD retractation



- · Fabricated results.
- Falsified NMR.
- Lousy record keeping.
- Lack of experiment reproducibility.
- Scientific misbehavious in the lab.



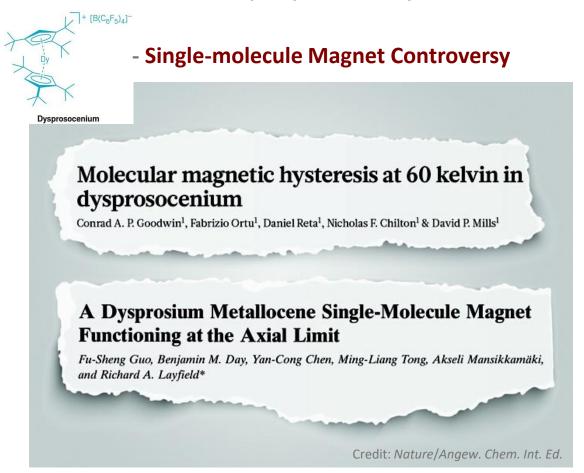
Pr. D. Sames was way too confident in B. Sezen's results.



David P. Mills and Richard A. Layfield



Mills and Layfield groups in adjacent floors at University of Manchester, UK
Papers published - Synthesis of the same molecule - done in exactly the same way



"could offer a way to dramatically shrink data-storage systems"

24 Feb 2017: Mills told Layfield on plans of preparing a dysprosocenium complex but did not disclose how...

Same day, Layfield emailed his researcher on the dysprosocenium complex

March 2017: Mills' team synthesized its dysprosocenium and deposited crystal strt. at Cambridge Crystallographic Data Centre; Nature Paper accepted in June and published in August 2017

Early May 2017: Layfield's group made the Dy(Cpttt)2Cl precursor and structure deposited in Cambridge database on May 23, 2017; Paper in Angew Chem Int Ed submitted in May and published in June 2017

Complaint filed by Mills; Investigation proceeds

Layfield committed two forms of research misconduct -

- Fully aware of Mills research...intention of beating Mills to publication in order to obtain the credit for the discovery; and
- 2. Author's disclosure: "must inform the editor of other manuscripts accepted, submitted, or soon to be submitted that have a bearing on the manuscript being submitted."







Professor, Organic Chemistry, Ohio State University
~1200 papers, 38 book chapters, and 17 books
Achieved the first total synthesis of the Platonic solid dodecahedrane in 1982

1992-1993:

- Plagiarized material from a researcher's grant application in his own proposal for research support
- Included information from a grant proposal that he reviewed in the introduction of an ACS paper, without attributing it to the concerned author

Actions

- Debarred from
 - Receiving federal grants
 - Participating in the peer review of confidential scientific proposals
 - Serving on Public Health Service committees, boards and review groups for 10 years
- Research proposals submitted by him certified by the university



Authorship

Authorship can refer to the creator or originator of an idea or the individual or individuals who develop and bring to fruition the product that disseminates intellectual or creative works

Minimum requirements for **authorship**:

- 1) substantial contribution to the work, and
- accountability for the work that was done and its presentation in a publication.

It is important that authors know, understand, and adhere to the criteria for authorship within their respective disciplines.

Acknowledgements - Contributions not meeting the criteria of authorship, that includes supporting the study, general mentoring, collecting data, acting as study coordinator, and other related activities

General Issues

- Omission of authors
- Inclusion of authors unrelated to work, noncontributing
- Ghost author
- Guest, gift or honorary authors No meaningful contribution to the design, research, analysis, or writing of a paper
- Prolific author
- Gender bias
- Insistence by sponsor

Authorship issues or disputes account for 2% to 11% of all disagreement in the scientific community







The Nobel Prize for Chemistry in 2002: John B. Fenn shared with Koichi Tanaka and Kurt Wurthrich Development of electrospray ionization for analysis of large molecules

1989: Fenn downplayed scientific and commercial value in response to Yale University's inquiry

1992: Patent applied for electrospray ionization mass spectrometry method filed – Fenn as assignee

Licensed the patent to Analytica, of Branford, Connecticut, - a company he cofounded; Analytica sublicensed rights to instrument makers

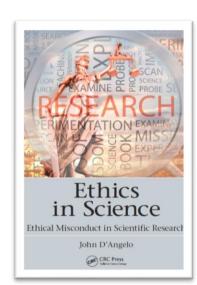
Fenn moved to Virginia Commonwealth University, when forced to retire by Yale

1993: Yale discovers the patent; licenses to a third party

1996: Fenn files lawsuit against Yale

2005: Fenn convicted of civil theft. Ordered to pay about \$1 million towards misdirected royalties and legal fees

As per Court verdict, Patent transferred to Yale



Other Inappropriate Research Practices



P-hacking

"hypothesizing after the results are known" (HARK)

"Expectancy Effect by Experimenters"

Fake reviewers; Buddy system

Stealing papers

Citation manipulation

Bias Gender, race, person, etc.

Not securing permissions and authorizations related to Copyrighted material

Predatory journals

Infringement – IPR and non-IPR materials

Breach of Agreement/MoU

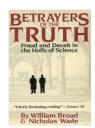
Breach of privacy and data policies

Not securing 'Free and Prior Informed Consent'

- Human studies
- Oral traditional knowledge knowledge holders, communities, etc.

Not securing statutory approvals and other permissions

- Ethics for animal and human studies, geneediting, etc.
- Concerned bodies/agencies (ICMR, NBA, DCGI, NGT, PWD, CPCB, etc.)
- Organizations concerned
- Sponsors



The eminent English physicist Lord Rayleigh submitted a paper from which his name had been inadvertently omitted. According to his son and biographer, "The Committee 'turned it down' as the work of one of those curious persons called paradoxers. However, when the authorship was discovered, the paper was found to have merits after all." More systematic studies of bias in the referee system have produced mixed results.



Similar issues also reported with research proposals and grant of projects/funding





Author Unresponsive Bias Issues or Lack of Balance Breach of Policy by Author Breach of Policy by Third Party Cites Retracted Work **Civil Proceedings Complaints about Author** Complaints about Company/Institution Complaints about Third Party Concerns/Issues About Authorship Concerns/Issues About Data Concerns/Issues About Image Concerns/Issues about Referencing/Attributions Concerns/Issues About Results Concerns/Issues about Third Party Involvement

Date of Retraction/Other Unknown Doing the Right Thing **Duplication of Article Duplication of Data Duplication of Image Duplication of Text Duplicate Publication through** Error by Journal/Publisher Error by Journal/Publisher **Error by Third Party Error** in Analyses Error in Cell Lines/Tissues Error in Data Error in Image Error in Materials (General) Error in Methods Error in Results and/or Conclusions Error in Text **Ethical Violations by Author** Ethical Violations by Third Party **Euphemisms for Duplication Euphemisms for Misconduct Euphemisms for Plagiarism** Fake Peer Review

Falsification/Fabrication of Data

Falsification/Fabrication of Image Falsification/Fabrication of Results Forged Authorship Hoax Paper Informed/Patient Consent -None/Withdrawn Investigation by Company/Institution Investigation by Journal/Publisher Investigation by ORI Investigation by Third Party Lack of Approval from Author Lack of Approval from Company/Institution Lack of Approval from Third Party Lack of IRB/IACUC Approval Legal Reasons/Legal Threats Manipulation of Images Manipulation of Results Miscommunication by Author Miscommunication by Company/Institution Miscommunication by Journal/Publisher Miscommunication by Third Party Misconduct – Official Plagiarism of Data Investigation/Finding Plagiarism of Image Misconduct by Author Plagiarism of Text Misconduct by **Publishing Ban** Company/Institution Results Not Misconduct by Third Reproducible Party Retract and Replace No Further Action **Rogue Editor** Nonpayment of Sabotage of Materials Fees/Refusal to Pav Sabotage of Methods Notice – Lack of Salami Slicing Notice – Limited or No Temporary Removal Information Transfer of Copyright/Ownership Notice – Unable to Unreliable Data Access via current Unreliable Image resources **Unreliable Results** Objections by Author(s) **Updated to Correction** Objections by **Updated to Retraction** Company/Institution Upgrade/Update of Objections by Third **Prior Notice** Withdrawal Party Original Data not Withdrawn (out of Provided date) Paper Mill Withdrawn to Publish in Different Journal Plagiarism of Article

Conflict of Interest

Lines/Tissues

Copyright Claims

Criminal Proceedings

(General)

Contamination of Cell

Contamination of Materials

Contamination of Reagents



Misconduct Prevention, Correction and Redressal Mechanism





Periodic workshops and courses be conducted on Scientific Ethics and Safe Lab Practices



Standing
Publications,
Ethics and
Scientific
Vigilance
Committee (SEC)

Conduct training, ensure scientific audit, respond to external parties, advice/guide Director/DG, CSIR



Scientific Investigation Board (SIB)

Investigate scientific misconduct



Ombudsman

Grievance redressal mechanism

rocedure

Conclusion

Materials

Suggested SOP for dealing Misconduct





- Complaint from 'identified' individual received. Anonymous complaints not to be entertained * .
- Director (for individual laboratory) / DG-CSIR (for CSIR Hqs) refer matter to SIB
- SIB investigates the matter and suggests punitive action commensurate with the offence done
 - ➤ Minor, moderate and major penalties (excepting those below): Be imposed on the accused directly by the Director for the laboratory and DG, CSIR for the Hqs
 - ➤ Major and severe transgressions involving penalties such as Deferred promotion/ Deferred increments/ Reduction to lower stage/ Compulsory retirement / Removal from Service: Be dealt as per extant CSIR rules and regulations, by CSIR administration with the approval of Competent Authority

^{*}In the larger interest of CSIR, the DG may initiate an inquiry in cases where any anonymous complaint is accompanied by factual and verifiable data for a particular case.



Additional Points from the Guidelines

- Workshops: Periodic workshops and courses be conducted on Scientific Ethics and Safe Lab Practices. A
 dedicated Ethics Officer and Safety Officer to be appointed at each Lab and HQs
- Laboratory Records: Keep proper records of each experiment, details of materials obtained from sources and how used, procedures, analysis and other related material
- Archival of Data: All primary data including field records related to publication to be deposited with the
 institute's knowledge resource centre with appropriate security for IP. Both soft and hard copies to be
 kept.
- Gender Issues: National and institutional guidelines must be followed
- Whistle Blowers: People who inform authorities of wrong doings; protection be ensured by CSIR Hqs.
- Ethics in Governance and Conflict of Interest (CoI): In every decision making process, all concerned members to necessarily sign a Conflict of Interest Statement. Those with conflict may recuse themselves from the Committee proceedings.



Details to be made available on every

lab/CSIR website

Compliance Sought:

- 1. Nomination of Ethics Officer, Safety Officer
- 2. Constitution of SEC, SIB at lab level
- 3. Ensuring every scientist, technical officer, project staff and students have read the Guidelines
 - ➤ Declaration may be signed by each certifying that one has understood the matter and shall abide by the Guidelines
- 4. Ensure heightened awareness including student seminars, quiz, talks, etc.
- 5. Extensive trainings Quarterly, if required
- 6. Proactive measures Corrective and Preventive Actions (CAPA) based on issues observed till date and regular audits
- 7. Expedite implementation of e-Lab Notebooks
- 8. Mentors for Students and Faculty



...only one case to surface every few months or so for the public credibility of science to be severely damaged.

CSIR INDIA

....Betrayers of the Truth

– Fraud and Deceit in the Halls of Science

By William Broad and Nicholas Wade

Thank you

Exercising Research Integrity – A Mandatory Conduct!
Scientific Misconduct Should and Will be treated Seriously!