

# **CODE OF ETHICS and CONDUCT FOR RESEARCH SCHOLARS**

**The Internal Quality Assurance Cell (IQAC)  
ACPM DENTAL COLLEGE, DHULE**



### **PURPOSE**

Research and development comprise of systematic work undertaken to enhance and increase the treasure of knowledge of people, culture, and society, and use of this treasure of knowledge to invent new applications for sustainable well-being. It is a culmination of activities original as well as innovative that encompass academic, professional, and technological domains. Research demands freedom of choice all the while comprehending their implications as well to maintain benchmarks requires rigor and integrity. Research shall therefore comply with ethical, legal, and professional bounds.

The repute of the institute relies on standards and ethics that it propagates in rendering research activities carried out by the scholars. The code hence intends to outline the mannerisms of research scholars registered for their doctoral program in dealing with the academic community, contemporaries, and public at large in terms of disciplines and behavior all the while being sincere and diligent to uphold the mission of the institute and hence instilling greater trust among all stakeholders.

### **1. ETHICAL DIMENSIONS OF RESEARCH**

The widely accepted five ethical dimensions of academic research are;

- 1) Normative ethics- includes determining what is right and wrong
- 2) Compliance- includes instituted policies and regulations at the institute
- 3) Rigor and reproducibility – “only kind of science that can offer social value and justify risks to subjects and financial investment in research”.
- 4) Social Value- “means that research addresses problems of importance to society, generating knowledge used to solve real-world problems through new technologies or procedures”.
- 5) Workplace relationships- a newly identified aspect of research, that in essence forecasts the beneficial relationship that has to be established and sustained for greater outcomes.

### **2. INSTITUTIONAL RESPONSIBILITIES**

The institute is committed to ensuring that all activities that encompass the Institute and in particular those including research are facilitated to the highest of standards as well as upholding legal, ethical, and safety norms. The institutional responsibility inherently is individuals' professional responsibilities on behalf of the ACPM Dental College.

The Institute thus;

1. Formulate research governance framework via policies and procedures;
2. Facilitates training and development programs and appropriate mentoring to enable skill up-gradation and consequential support for career development.
3. Provides research orientation for achieving excellence.
4. Institutes robust management systems that ensure compliance with set standards as well as systems for resolving disputes and prevent misconduct; also process for apt decision making and grievance redressal.
5. Provides apt infrastructure and resources, support, and services.

### **3. LEADERSHIP AND SUPERVISION**

Leadership in the context of this code is to motivate/inspire to act in a way that benefits the Institute. Leaders, the research supervisor, are expected to foster a conducive ambiance to promote sound research accolades to the Institute. Leaders are to facilitate research activities by assuredly upholding the integrity and sound governance and ethical practice, as well as instill a culture of honesty, co-operation, and professionalism.

As a supervisor, the leader is expected to exhibit apt competence in providing the training necessary to garner improved research results and acceptance by the stakeholders. The research supervisor shall maintain a professional supervisor–supervisee relationships and assign credit appropriately.

### **4. TRAINING AND MENTORSHIP**

It is the prerogative that the institute lays policies to ensure all researchers receives apt training opportunities and ensuing supervision and required assistance to enable research of the highest standards. The academic departments are to facilitate directions and coordination to in filter the policies to all stakeholders. The academic departments shall therefore facilitate

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training programs i.e., coursework (research methodology, regulatory, equipment use, confidentiality, data management, record-keeping, data protection, and publication). The academic departments shall ensure the appropriate use of licensed research resources and IPR as well as gear up the concerned administrative and technical personnel for accurate record-keeping and providing technical assistance for research.

A research mentor, a knowledgeable, open-minded, supportive, and a good listener himself, in the context of this code, is expected to serve as a catalyst, a role model, and a coach that facilitates progressive research beneficial for all researchers and the like and in turn the institute.

The research mentor shall therefore inspire and demand disseminating research outcomes in the various publicizing medium such as conference, journal, and the like.

### **5. EXCELLENCE**

A mere attempt at acquiring/facilitating a doctoral degree is an inferior expectation from the context of the Institute. Therefore personnel involved in research are to excel in the research of highest standards upholding ethics and disseminate their findings for the larger benefit of the society.

### **6. GOOD PRACTICE OF RESEARCH SCHOLARS**

Some of the practices and attributes that research scholars must possess and exhibit that are deemed key for undertaking good research are;

- ✓ **Sincerity and Dedication:** Every research scholar should be sincere in the work culture. They should be dedicated and devote their time only to research works.
- ✓ **Time Management:** Time spent on unproductive work will never fetch anything. Care should be taken to chart out a timeline for completing the given task and submit the thesis.
- ✓ **Honesty:** Refers to being accurate and truthful about one's self, one's work, and in acknowledging the work of others; reporting all the findings; and making valid interpretations and claims.
- ✓ **Rigour:** choose and adhere to appropriate methods; draw conclusions; and communicate the results.

- ✓ **Transparency:** report data collection methods; analyze and interpret data; and make findings widely available, including to the general public.
- ✓ **Respect and care:** exhibit care for all research participants and the environment. Conduct respectfully towards other scholars, staff, and faculty.
- ✓ **Trust:** Exhibit mutual trust to encourage the free exchange of ideas.
- ✓ **Fairness:** Ensure fairness in institutional standards, practices, and procedures as well as in interactions between members of the research groups.
- ✓ **Responsibility:** Uphold high standards of conduct in learning, teaching, and research responsibly for promoting academic integrity, among all members of the Institute.
- ✓ **Legality:** Observe valid legal norms related to the conduct and publication of research, particularly in relation to copyright, the intellectual property rights of third parties, the terms and conditions regulating access to research resources, and the laws of libel.

### 7. RESEARCH FUNDING

Financial assistance is a matter of pride and privilege for a researcher. Utmost care must be exercised by a researcher in;

- Familiarise themselves with the terms and conditions of any funding agreement (grant or contract and whether from public, government funding bodies, industry, or other), to ensure that they fully understand the implications of those terms.
- Agree to, and accept the terms and conditions of their research funding organization. Once the funding has been accepted, researchers must ensure that they observe and fully comply with the terms and conditions of any grant or contract.
- Adhere to all Financial Regulations and Procedures including those related to purchasing or procurement of materials, equipment, or other resources for research, the hiring of research project staff, and expenses.
- Use and manage financial resources responsibly and sustainably and following the terms and conditions of the funding agency and the institute.

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- Co-operate with any financial monitoring and audit. Any concerns, irregularities, or events which can result in unforeseen financial consequences, should be reported to the supervisor and the institute as soon as they become apparent.

### **8. ETHICAL VALUES OF RESEARCH SCHOLARS:**

Upholding ethical values are vital to good research and the institute promotes such research activity. Some of them are;

- ✓ Be very punctual, dedicated, and sincere in all academic work.
- ✓ Research data collected should be synthesized as per the procedure laid down.
- ✓ Research results to be reported should be following standard practices.
- ✓ Publication status should not be manipulated or misrepresented.
- ✓ Need to keep their undertakings and agreements honestly.
- ✓ Avoid casual attitudes and negligence with their research work.
- ✓ Keep quality in their paperwork and records of research activities, such as literature review, research design, data collection, data analysis, interpretation, drafted manuscripts and its communication with UGC recognized journals.
- ✓ Need to respect patents, copyrights, and other forms of intellectual property.
- ✓ Strive to protect confidential communications, such as manuscripts, projects, or grants submitted for publication, personnel records, deals or military secrets, and patient records used for requisite research.
- ✓ Endorse social wellbeing and to prevent or lessen social harms through research, public education, and promotion and care to safeguard the environment.

### **9. ACADEMIC FREEDOM, INTEGRITY, AND RESPONSIBILITY**

Integrity, accountability, and responsibility are cornerstones of the ACPM Dental College. The Institute renders academic freedom to all researchers to pursue knowledge and conduct advanced research without unreasonable interference or restriction from any quarters, norms, law, institutional regulations, or public pressure. Within the bounds of the Institute, a researcher is given apt freedom to inquire into the subject of study, to present research

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findings, to publish data and conclusions without control or censorship, in the manner, it is considered professionally appropriate. The researcher must exercise the freedom diligently and care must be taken to abhor violations of widely-recognized academic research standards, that represent serious offenses to the entire academic community and such things will be considered injurious to the credibility of the Institute which strives to promote excellence in academic research.

### **10. GENERAL RESPONSIBILITIES**

The Institute recommends every researcher to consider ethics and moral philosophy sincerely, those that address morality. These orient a researcher in terms of their behavior from a moral perspective. Ethics apply to all aspects of personal and organizational practice and are therefore relevant to professions as a whole and in particular a researcher at the Institute.

In dealing with research participants and other researchers, research scholars have a responsibility to ensure as far as possible that the physical, social, and psychological well-being of their research participants is not detrimentally affected by the research. Research scholars must abhor actions that potentiate deleterious consequence for the stakeholders or which might undermine the discipline's reputation.

### **11. INTELLECTUAL PROPERTY RIGHTS (IPR)**

The Institute deems fit to encourage and facilitate successful utilization of intellectual property rights. Intellectual Property is the product of innovative, diligent, creative, and intellectual effort.

Types of IP are copyrights, patents, trademarks, and trade secrets.

#### **a) Copyright**

Copyright is a legal term used to describe the rights that creators have over their literary and artistic works. Works covered by copyright range from books, music, paintings, sculpture, and films, to computer programs, databases, advertisements, maps, and technical drawings. Copyright does not protect ideas. It covers “tangible” forms of creations and original work—for example, art, music, architectural drawings, or even software codes. The copyright owner has the exclusive right to sell, publish, and/or reproduce any literary, musical, dramatic, artistic, or architectural work created by the author.

### b) Patents

A patent is an exclusive right granted for an invention. Generally speaking, a patent provides the patent owner with the right to decide how - or whether - the invention can be used by others. In exchange for this right, the patent owner makes technical information about the invention publicly available in the published patent document.

A patent is used to prevent an invention from being created, sold, or used by another party without permission. A Patent Owner has every right to commercialize his/her/its patent, including buying and selling the patent or granting a license to the invention to any third party under mutually agreed terms.

There are three different categories of patents,:

1. Utility Patent: A utility patent protects the creation of a new or improved product, process, and composition of matter, or machine that is useful.
2. Design patent: A design patent protects the ornamental design of a useful item.
3. Plant patent: A plant patent protects new kinds of plants produced by cuttings or other non sexual means.

Once an invention has been patented, the patent owner has the right to regulate any monetization activities involving the patent. However, before a patent application is filed, it is important to make sure that the invention is, in fact, new and unique. Otherwise, the patent application will be rejected. Therefore, for an invention to receive a patent, it must meet the following requirements: novelty, non-obviousness, and usefulness.

### c) Trademarks

Trademarks are another familiar type of intellectual property rights protection. A trademark is a sign capable of distinguishing the goods or services of one enterprise from those of other enterprises. Trademarks date back to ancient times when artisans used to put their signature or "mark" on their products. Some examples include McDonald's golden arch, the Face book logo, and so on.

A trademark can come in the form of text, a phrase, symbol, sound, smell, and/or color scheme. Unlike patents, a trademark can protect a set or class of products or services, instead of just one product or process.

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An industrial design constitutes the ornamental or aesthetic aspect of an article. A design may consist of three-dimensional features, such as the shape or surface of an article, or two-dimensional features, such as patterns, lines, or color.

### d) Trade secrets

Trade secrets are IP rights on confidential information which may be sold or licensed. The unauthorized acquisition, use, or disclosure of such secret information in a manner contrary to honest commercial practices by others is regarded as an unfair practice and a violation of the trade secret protection.

## 11.1 Confidential Information

Researchers may receive confidential information from other researchers, collaborators, and funders. Researchers need to ensure that they handle confidential and/or restricted information carefully and not use or disclose it to others without the consent of the party who owns the confidential information. Researchers must also ensure that they are aware of any confidentiality provisions applying to specific projects involving commercially sensitive data or Intellectual Property, and of possible obligations concerning those provisions.

## 11.2 Publication and Authorship

All researchers are expected to publish and disseminate the results of their research in an open, honest, transparent, and accurate manner, and via all appropriate media such as journal papers, books, reviews, software, a data repository, or conference proceedings. While both The Intellectual Property rights regulations and the requirements of research contracts must be satisfied.

## 11.3 Norms of Publications

The Institute expects all the publications to conform to appropriate discipline-specific professional standards, as well as the following examples of good practices:

- 1) In any publication, the authors must be able to identify their contribution to it. They should be familiar with its content and accept personal responsibility for it.

- 2) In all aspects of research, the contributions of formal collaborators and all others who have directly assisted or indirectly supported the research (including research students, research staff, and professional services staff) should be properly acknowledged with their permission.
- 3) Funding agencies of research should be acknowledged.
- 4) The sequence in which authors are listed should be agreed upon by all authors.
- 5) Intentional failure to acknowledge the contributions of others is regarded as unprofessional conduct, and instances other than minor omissions will be treated as research misconduct.
- 6) Any person who has not made an intellectual, scholarly, or practical contribution, and has not participated in a substantial way in conceiving, executing, or interpreting at least part of the relevant research, should not be included as an author of the publication derived from that research. The so-called ‘honorary authorship’, is not encouraged.
- 7) Research scholars must acknowledge and attribute all sources used in the research in line with their specific discipline citation and referencing convention.
- 8) When a researcher submits substantially similar work to more than one publisher should disclose that fact to the publishers at the time of submission.
- 9) Researchers have the full responsibility to ensure that any inconsistencies or errors in their published material are rectified on time.
- 10) The stipendiary Research scholars should observe the conditions, if any, set by funding or other bodies regarding the publication of their research.

### **11.4 Purpose of Intellectual Property Rights**

The purpose of intellectual property rights is to encourage new creations, including technology, artwork, and inventions, that might increase economic growth. Intellectual property rights are legal rights that provide creators protection for original works, inventions, or the appearance of products, artistic works, scientific developments, and soon.

All research scholars are required to familiarize themselves with, and strictly observe the terms and conditions relating to IP and confidentiality in any sponsored research, grant,

contract, or collaboration agreement.

Research scholars are also expected to respect IP created by others, use it only with appropriate permissions, and fully comply with all relevant IP licenses. Research Scholars should ensure that they keep all their field and lab notebooks and other records of data collection and experimental findings for evidencing the creation of new IP arising out of their research work.

### 12. RESEARCH MISCONDUCT

Misconduct in academic research implies but is not limited to fabrication, falsification, plagiarism, or deception in proposing, carrying out, or reporting results of research and deliberate, dangerous, or negligent deviations from accepted practice in carrying out research. It includes failure to follow an agreed protocol if and when this failure results in unreasonable risk or harm to persons, the environment, and when it facilitates misconduct in research by collusion in, or concealment of, such actions by others.

The Institute demands that research misconduct is to be abhorred by a researcher and further states that “research misconduct does not include honest error or differences of opinion”.

Misconduct includes but is not limited to the following acts:

- **Plagiarism** : The deliberate copying of ideas, text, data, or other work (or any combination thereof) without due permission and acknowledgment. Plagiarism is "the appropriation of another person's ideas, processes, results, or words without giving appropriate credit". Representing any part or parts of another's work as one's own is considered plagiarism and may be a violation of the Principle of Ethics.
- **Piracy** : The deliberate exploitation of ideas from others without proper acknowledgment
- **Abuse of Intellectual Property Rights** : Failure to observe legal norms regarding copyright and the moral rights of authors.
- **Abuse of Research Resources** : Failure to observe the terms and conditions of institutionally licensed research resources.
- **Defamation** : Failure to observe relevant legal norms governing libel and slander.

- **Misinterpretation** : The deliberate attempt to represent falsely or unfairly the ideas or work of others, whether or not for personal gain or enhancement.
- **Personation** : The situation where someone other than the person who has submitted any academic work has prepared (parts of) the work;
- **Fabrication and Fraud**: The falsification or invention of qualifications, data, information, or citations in any formal academic exercise.
- **Sabotage**: Acting to prevent others from completing their work. This includes stealing or cutting pages out of library books or otherwise damaging them, or willfully disrupting the experiments of others, or endangering institutional access to licensed research resources by willfully failing to observe their terms and conditions.

### 13. PROFESSORIAL MISCONDUCT

Professorial acts that are arbitrary, biased, or exploitative. Denying access to information or material: To deny others access arbitrarily to scholarly resources or to deliberately and groundlessly impede their progress.

#### 13.1. Misconduct in formal examinations:

Includes having access, or attempting to gain access during an examination, to any books, memoranda, notes, unauthorized electronic devices, or any other material, except such as may have been supplied by the invigilator or authorized by the Academic Department. It also includes aiding or attempting to aid another candidate or obtaining or attempting to obtain aid from another candidate or any other communication and conversations that could have an impact on the examination results.

#### 13.2. Use of Alcohol and Drugs

1. Use, possession, manufacturing, or distribution of drugs of abuse including, but not limited to, solvents; hallucinogens; narcotics; depressants; stimulants; or other controlled substances except as expressly permitted by law.
2. Use, possession, manufacturing, or distribution of alcoholic beverages
3. Driving while under the influence of alcohol or any illegal substances.

### 13.3. Disruption/Obstruction

1. Disruption or obstruction of teaching, learning, research, administration, disciplinary proceedings, and other proceedings and activities, including its public service functions.
2. Participating in a demonstration, riot, or activity that disrupts the normal operation of the Institute or which may infringe on the rights of others
3. Conduct that is disorderly, lewd, or indecent; breach of peace; or assisting, encouraging, or facilitating another person to breach the peace.
4. Engaging in individual or group conduct that is abusive, indecent, unreasonably loud, or similar disorderly conduct that infringes upon the privacy, rights or privileges of others, or disturbs the peace, orderly process, education, or employment of any member of the Institute or public within the campuses of the Institute.

### 13.4. Gambling

Engaging in or offering games of chance for money or another gain in violation of government rules and Penal Codes.

### 13.5. Harassment

Harassment consists of any verbal, visual, written or physical conduct that may create an intimidating, hostile, or offensive environment. It should be avoided and prevented. Nobody should be subjected to any harassment because of factors such as race, ethnicity, religion, gender, sexual orientation, age, creed, national origin, disability, political affiliation, or veteran status.

### 13.6. Bullying

Bullying is unwanted offensive and malicious behavior that undermines an individual or group through persistently negative verbal or psychological abuse. Bullying can adversely affect the dignity, health, and productivity of another individual.

- Cyber bullying is the use of electronic devices to convey a message in any format (i.e. text, image, audio, video) that defames, intimidates, harasses, frightens, stalks, or is otherwise intended to harm, offend or humiliate another individual or group of individuals in a deliberate, repeated, hostile or unwanted manner under the perpetrator's true or a false identity.

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- Physical bullying is pushing, shoving, kicking, poking, and/or tripping; assault or threat of physical assault; damage to a person's work/school area or property; damage to or destruction of a person's work/school product or personal property.
- Verbal bullying is repeated slandering, ridiculing, or maligning of a person or persons, addressing abusive and offensive remarks to a person or persons in a sustained or repeated manner; or shouting at others in public and/or in private where such conduct is so severe or pervasive as to cause or create a hostile or offensive educational or working environment or unreasonably interfere with the person's work or school performance or participation.
- Nonverbal bullying can consist of directing threatening gestures toward a person or persons or invading personal space after being asked to move or step away.

These kinds of activities will be treated as offensive mechanisms and the persons involved in such incidences will be subjected to disciplinary proceedings.

### **13.7. Health and Safety**

Every research scholar should take care of their health and safety. They also should ensure others' safety and health while executing some work within the campuses. Fire safety, safety while using chemicals in the Institute, safety while driving vehicles on the campuses are all very essential requirements of the Institute system.

### **13.8. The mechanism for Detecting Plagiarism**

Plagiarism detection or content similarity detection is the process of locating instances of plagiarism and/or copyright infringement within a research work or document.

The Institute's system of plagiarism detection should be followed by all the research scholars.

The "plagiarism detection tools " available to detect plagiarism in the research documents should be used for this purpose.

## **14. ANTI-RAGGING**

The Institute has a coherent and effective anti-ragging policy in place which is based on the 'UGC Regulation on Curbing the Menace of Ragging in Higher Educational Institutions, 2009 (hereinafter referred to as the 'UGC Regulations').

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The UGC Regulations have been framed because of the directions issued by the Hon'ble Supreme Court of India to prevent and prohibit ragging in all Indian Educational Institutions and Colleges. The said UGC Regulations shall apply mutatis mutandis to the Institution.

Normally, Research Scholars help junior students in their academic progression. Hence, there is no need to provide any guidelines about this purpose. If at all any complaint arises, the Anti-Ragging Committee shall examine all complaints of ragging and come out with recommendations based on the nature of the incident.

### **14.1. Gender Discrimination**

The Institute always stands on prevention and prohibition of sexual harassment at all its workplaces. Research Scholars should note that sexual discrimination is not acceptable at the Institute.

### **14.2. Sexual Misconduct/Harassment**

1. Sexual misconduct or threats of sexual misconduct including, but not limited to, the following:
2. Sexual touching, however slight, by one person upon another without effective consent or when it involves compelling a person to submit to such conduct by force, the threat of force, use of intoxicants to impair a victim's ability to give consent, or otherwise taking advantage of any impairment which might render a person incapable of making a reasonable or rational decision about sexual activity.
3. Obscene or indecent behavior, the display of sexual behavior that would reasonably be offensive to others.
4. Conduct of a sexual nature that creates an intimidating, hostile, or offensive environment for another person.

### **14.3. Private Business Activities**

Acting on behalf of faculty, staff, students, and/or third-party entrepreneurs who wish to promote their non-academic business interests to other students, faculty, and staff on or off-campus without the prior written approval of the Dean/Principal by conducting Meetings, Seminars, Symposiums, Workshops, Conferences and Distributing promotional materials, are not allowed in the Institute.

### **14.4. Promotion of Anti-government activities**

Anti-government slogans shouting, anti-Institute slogan shouting, and processions about anti-constitutional purposes will be considered for filing FIR, by the local police authorities.

## **15. ETHICS COMMITTEE**

The Institute's Ethics Committee will be functioning to promote the best practices by all its research scholars. However, in the event of any unwanted misconduct observed within the Institute or its constituent unit, this committee shall take up the matter and evaluate to punish or prevent such incidences.

### **15.1. Composition of the Ethics Committee**

The Ethics Committee is appointed by the Institute upon nomination by the Principal/Dean. The Committee shall be composed of the following members:

1. The Chairperson
2. The Basic Scientists
3. The Clinicians
4. The Legal experts
5. The Social Scientist
6. The Environmentalist
7. Lay person from society.

### **15.2. Tasks of the Ethics Committee**

The Ethics Committee is expected to

- 1) provide advice and guidance to the academic community on all matters about academic research ethics
- 2) advise the authorities on compliance with the 'Code of Ethics in Academic Research'
- 3) provide guidance and academic support to scholars on ethical issues in respect of teaching, research, and other academic activities.

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- 4) act as a consultative body for any disputed matter concerning research ethics and conduct and
- 5) to make recommendations to the Institute on what action, if any, should be taken as a result of identified misconduct committed by the individuals and based on inquiries and detailed investigations.

A preliminary investigation is to be conducted to ascertain whether there is sufficient substance to the allegation as to warrant a more thorough investigation.

The Committee will produce a report stating the procedures under which the formal investigation was conducted; how and, where appropriate, from whom information was obtained; the findings of the committee and the basis for these; a summary of the views of the respondent; and a description of any recommendations made by the committee.

### **15.3. Sanctions for Misconduct**

The following are the expected sanctions that will be imposed based on the level of misconduct:

1. Warning: A written reprimand for misconduct.
2. Loss of privileges: Denial of specified privileges for a designated period.
3. Fines: Previously established and published fines may be imposed.
4. Restitution: Compensation for loss, damage, or injury. This may take the form of appropriate services and/or monetary or material replacement.
5. Suspension: Separation for a definite period.
6. Suspension from Hostel residential accommodation: Suspension from the residence and Hostel premises for a definite period.
7. Dismissal: Permanent separation from the Institute

## **CONCLUSION**

Ethics and values are very important concepts in the life of growing (budding) research scholars. The purpose of these guidelines is to consider the positive aspects effectively and neglect the negative aspects which are in any case do not help anybody. Many research

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scholars may be aware of these guidelines and there is no need to explain them. However, newly joining researchers should be highlighted about these aspects, which will certainly help them to promote values, virtues, and good conduct with moral ethics, not only while doing research but also in their life too.

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