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MINISTRY OF EDUCATION AND SCIENCE OF UKRAINE

Sumy State University

REGULATION
on Academic Integrity and Ethics of Academic Relations
at Sumy State University

Sumy 2019

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1. General provisions

1.1 Regulation on academic integrity and ethics of academic relations at Sumy State University (hereinafter - the Regulation) defines the basic principles of academic integrity in educational and research activities of the University community as an integral part of the quality assurance system in higher education and academic activities of Sumy State University (hereinafter - the University, SumDU), and addresses the issues of staffing, research and pedagogical staff training and their professional development.

1.2 The Regulation is applied in the part that does not contradict the current legislation, national and the university internal regulatory framework. The Regulation as well as activities related to it are based on the requirements of the following documents: the Laws of Ukraine "On Education," "On Higher Education", "On Research and Development Activities", "On Copyright and Related Rights," regulations of the Cabinet of Ministers of Ukraine, current orders of the Ministry of Education and Science of Ukraine and other national laws (with changes and amendments).

1.3 In addition to the national regulatory framework, the Regulation uses and analyzes (if necessary, interprets according to the specifics of the University) information retrieved from open electronic resources – i.e., websites (including regulations) of national and foreign higher educational institutions, national and international institutions and associations, recommendations of the Ministry of Education and Science of Ukraine, educational and scientific periodicals, data from national and international surveys, etc.

1.4 The content of the key definitions used in the Regulation is reflected in the Academic Integrity Code of SumDU.

1.5 Regulation is a part of the University's general regulatory framework. It is placed in the electronic register of the current University quality management system regulatory framework, which is a part of the "General Information" section of the University official website.

2. System of ensuring academic integrity and ethics of academic relations at Sumy State University

The system of ensuring adherence to the principles of academic integrity and ethics of academic relations (hereinafter – academic integrity) at SumDU comprises the logically interconnected components listed below.

Regulatory framework, which systemically describes the mechanisms for ensuring compliance with academic integrity norms in research and educational processes; the measures taken to adhere to the principles of academic integrity; the procedures aimed to prevent and struggle against violations of the academic integrity principles. The main elements of the regulatory framework include:

- basic regulations:
 - Code of Corporate Culture of SumDU;
 - Code of Academic Integrity of SumDU;
 - regulations on academic integrity and ethics of academic relations at SumDU;
 - regulations on academic integrity commissions and the University Commission on Ethics and Conflict Management;
 - regulations on the Academic Integrity Group;
- other normative documents on the implementation of relevant types of educational and research activities at the University, which, among other things, reflect issues of academic integrity;

Structural subdivisions and authorized commissions, which perform a supervisory function and ensure adherence to academic integrity principles and their implementation in the University's educational and research activities. These include:

- the Academic Integrity Promotion Group;

- permanent University Commission on Ethics and Conflict Management with a term of office of 2 years, permanent and temporary (if necessary) composition of which is appointed by orders of the Rector;

- one-time commissions on academic integrity, which, if necessary, are called by orders of the Rector or the University Vice-Rectors, Director of the Institute (Dean of the Faculty), Head of the Conference Organizing Committee, Editor-in-Chief of an academic journal, Head of the Specialized Academic Council.

To consider the reports on academic misconduct these commissions should include the representatives of students' self-government bodies.

The commission may not include a person who has ever been imposed academic liability for a breach of academic integrity. If the proven case of academic misconduct is detected, the Member of Commission is suspended by the Rector's order.

The commissions' meeting is considered valid if at least two-thirds of the members take part in its work. Decisions of commissions are deemed to be adopted if they are supported by a simple majority of votes of its members by open voting;

Information base, which enables promotion of the academic integrity principles and raising awareness of all participants of educational and research activities at the University on the issues of academic integrity. Its key components are:

- website "Academic Integrity at SumDU";
- promotional and methodological materials on information literacy and plagiarism prevention, which have been worked out in collaboration with the representatives of the companies-developers of programmes assessing the papers for uniqueness;

- information materials on corporate culture in the workplace and the benefits of fair learning, which have been designed in collaboration with the representatives of employers;

- materials related to promotion of the academic integrity principles among students (banners, infographics, handouts, etc.);

Tools for implementing the academic integrity principles in the educational and research activities of the university, which perform an educational function and through which it becomes possible to prevent violations of the academic integrity principles. These include:

- information and advisory support for teachers and students provided by means of creating appropriate resources on the library website, printing booklets and posters, developing and distributing videos and other activities to ensure adherence to the principles of academic integrity;

- mass open online courses "Academic Integrity: Challenges, Actions, Success Stories", "Fundamentals of Information Literacy and Data Management";

- implementation of the programme of professional development of research and pedagogical staff "Ethics and academic integrity in education and science";

- lectures of the higher education main stakeholders (famous graduates, employers, experts, etc.) on the benefits of fair learning and research, training cycles for all participants in educational and research processes held within the framework of national and international projects on academic integrity, grant unitmes, etc.;

Tools for monitoring compliance with the academic integrity principles in the educational and research activities of the university, which cover:

- conducting surveys to detect breach of academic integrity;

- mandatory inspection of research, methodological, qualification and educational papers to detect cases of academic plagiarism (based on the University regulatory framework).

3. Management of the process of adhering to the academic integrity norms at the University and local levels

3.1 The First Vice-Rector carries out management of ensuring adherence to academic integrity norms at the university level.

3.2 The Academic Integrity Promotion Group (hereinafter referred to as the Group) directly subordinates to the First Vice-Rector. The Group's primary goal is to ensure academic integrity in the University's educational and research activities. Tasks, functions, organization of the Group, its structure, interaction of the Group with other University divisions, the relevant rights and responsibilities of the Group are determined by a separate Regulation.

3.3 The Group performs its functions and carries out key tasks in collaboration with the University divisions according to the scope of their responsibilities.

3.3.1 Management of the process of adhering to the academic integrity principles in the educational activities of the University and informing students and university staff about the inadmissibility of academic dishonesty, as well as the implementation of measures to prevent academic misconduct, is executed by:

- the Organizational and Methodological Department, including the Bureau for Higher Education Quality Assurance and the Laboratory for Monitoring the Quality of Education – regarding students at the first (Bachelor) and second (Master) levels;

- the Department of Doctoral and Postgraduate Studies – regarding students at the third (PhD) and fourth (Doctoral) levels.

3.3.2 Management of the process of adhering to the academic integrity principles in all fields of research activities is carried out by the Vice-Rector for Research (regarding defending dissertations for obtaining degrees – together with the Director of the Department for Personnel Development and Training of Scientific and Pedagogical Staff). Control over compliance of the academic integrity principles and prevention of academic misconduct in the implementation of certain areas of research activity is carried out by:

- the Center for Scientific, Technical and Economic Information (hereinafter - CSTEI) and Editors-in-Chief of academic journals – regarding activities of the university scientific journals;

- CSTEI and Heads of organizing committees – regarding conducting University scientific events (conferences, seminars, etc.);

- Department for Personnel Development and Training of Scientific and Pedagogical Staff and the Heads of Specialized Academic Councils – regarding defenses of dissertations for scientific degrees;

- CSTEI – regarding intellectual property rights protection;

- the Research Unit (hereinafter - RU) and research supervisors – regarding research papers (hereinafter - RP) financed from the state and/or local budgets.

3.3.3 Management of the academic integrity ensuring at institutes (faculties) is carried out by:

- the First Deputy Director/Dean – regarding the issues of academic integrity ensuring in the educational process (except for research activity);

- the Deputy Director/Dean for Research – regarding the issues of ensuring academic integrity in research activities.

3.3.4 Promotion of the academic integrity principles, informing students about the inadmissibility of academic integrity breach, and taking measures aimed to prevent academic misconduct is carried out in collaboration with the students' self-government bodies, students' union of the University, Scientific Council of students, postgraduate students, and young researchers of SumDU.

3.3.5 The activities related to promoting academic integrity principles, raising awareness on academic integrity and work with databases, and enhancing overall information literacy are carried out by the SumDU library.

4. Responsibility for adhering to academic integrity norms

4.1 The students and the University staff are held responsible for adhering to the norms of academic integrity in educational and research activities.

4.2 Detecting the facts of academic misconduct by students is a primary responsibility of teachers (within the disciplines they teach) and supervisors of qualification papers; the facts of academic integrity breach by the University staff are to be detected primarily by higher officials, including the management of structural divisions, specialized academic councils, organizing committees of conferences, editorial boards of academic journals.

4.3 Decisions on academic liability for academic integrity breach may be made by the persons referred to in paragraph 4.2 of the Regulation, the Academic Integrity Commissions and/or the University Ethics and Conflict Management Commission.

4.3.1 A teacher may assign the following types of academic liability to the students accused of academic misconduct:

- lowering the assessment results (tests scores, examination scores, etc.);
- repeating assessment procedures;
- assigning additional assessment tasks (extra individual tasks, assignments, tests, etc.).

4.3.2 The supervisor may assign the following types of academic liability to the students accused of academic misconduct:

- reducing scores of the qualification paper assessment;
- redrafting a separate section (sections) of the qualification paper.

Details of academic liability may be specified in the discipline regulations or the qualification paper guidelines regulations.

4.3.3 Heads of departments, Directors of institutes / Deans of faculties may assign the following types of academic liability for students accused of academic misconduct:

- repeating a relevant educational component of the educational programme;
- repeating completion of a qualification paper;
- conducting additional assessment of other papers authored by the violator.

4.3.4 Heads of departments, Directors of institutes/ Deans of faculties, Heads of structural divisions, and Vice-rectors of the University may assign the following types of academic liability to university staff in response to academic misconduct:

- administering additional assessment for detecting plagiarism in all papers authored by the violator;
- withdrawing from consideration (publication) the papers authored by the violator, preparation of which was carried out in academic misconduct.

4.3.5 Academic Integrity Commissions may assign the following types of academic liability:

- regarding students – denial of the academic scholarship or charging a penalty points in rankings, withdrawal of academic scholarships;
- regarding university staff – non-eligibility for participation in applying for research and educational projects funding, awarding scholarships, grants, etc.

4.3.6 The University Commission on Ethics and Conflict Management (except for the types of academic liability specified in 4.3.1-4.3.5) is empowered to:

- assign the following types of academic liability to students:
 - informing the entity that finances training (research), the institution which awards the academic / research grant, potential employers, parents of a student about the academic misconduct;
 - denying eligibility for participation in scholarship or grants applications;

- imposing restrictions on the violator's participation in research, suspending him from certain research projects;

- recommend the Rector, the University Academic Council or other bodies and officials (according to the distribution of powers) that they entail the following types of academic liability for the violator:

- regarding students:

- withdrawal of tuition benefits granted by the university;

- written reprimand with the record to the violator's personal file;

- expulsion from an educational institution;

- regarding university staff:

- expulsion from the Academic Council, the University advisory and working bodies or non-eligibility for participation in such bodies' work for a certain period;

- written warning;

- revocation of honorary titles, awards, scholarships, etc. granted by the University;

- denial of submission on granting a pedagogical title or qualification category;

- dismissal.

- recommend the University Academic Council that they consider (with a further petition to the Ministry of Education and Science of Ukraine, the National Agency for Quality Assurance in Higher Education, other agencies at the national and international levels) entailing the following types of academic liability:

- denial of the right to participate in the work of bodies prescribed by law or to hold office specified by law;

- revocation of the awarded pedagogical title, qualification category;

- denial of submission on granting a scientific degree or an academic title;

- revocation of granting a scientific degree or academic title.

4.4 For each case of academic misconduct, students and university staff may be held accountable for one or more types of academic liability, depending on the above commissions' decision. The commissions may also consider academic misconduct issues, with the recommendations for imposing other types of liability under the current legislation of Ukraine.

4.5 The application of a specific type of academic liability for academic integrity breach is carried out with consideration to:

- violator's admitting the guilt in academic misconduct, his awareness of the inadmissibility of further misconduct;
- violator's collaborating with the commission or refusing to collaborate while the case of misconduct is under consideration;
- whether the academic misconduct has been committed for the first time or the breaches have systematic nature, the combination of breaches;
- the degree of the misconduct impact on the reputation of the University, Institute (Faculty), Department, Scientific school, etc.;
- the degree of the misconduct impact on the quality and learning outcomes (for students) and the implementation of educational and research activities (for pedagogical and research staff).
- other circumstances of the misconduct.

4.6 In case a teacher, a qualification paper supervisor, the Head of the department, the Director of the institute / Dean of the faculty, Head of the University structural unit, or the Vice-rector is not authorized to establish the procedures of liability for academic misconduct, they submit a request to the Rector on appointing a commission to consider the reported case of academic misconduct, or on summoning the University Commission on Ethics and Conflict Management to detect presence or absence of academic misconduct (in accordance with the commissions' powers to assign types of academic liability, which are specified in paragraphs 4.3.5-4.3.6 of the Regulation). The petition

shall provide substantiated information on the nature of the misconduct and a proposal on the type of academic liability to be applied to the violator.

It is not allowed to submit an anonymous petition, a petition which doesn't provide substantiated information on the violation, contains false (defamatory) information about the fact of violation, is based on unverified facts or displays the nature of an assumption.

An application may also be made on behalf of a student if (s)he has witnessed an academic integrity breach or is willing to provide substantiated information about another graduate or university employee's academic misconduct.

4.7 The procedure for reviewing academic misconduct by the Academic Integrity Commission or the University Ethics and Conflict Management Commission follows the steps below:

- informing the person about the suspicion of committing academic misconduct;
- conducting an official investigation;
- preparing a protocol on the results of the official investigation which contains conclusions and determines the type of academic liability.

4.8 Considering the fact of academic misconduct is carried out confidentially with the members of the commissions only, senior officials, and a person suspected of committing misconduct being informed about the progress of the case. A person suspected of academic integrity breach has the right to:

- familiarize themselves with the materials reviewed by the commission, the report on the results of the official investigation, and other information related to the review regarding the case of academic misconduct;
- on their own initiative or at the request of the commission, provide written comments and explanations or refuse to provide any reasoning requested from the commission;

- participate in the Commission meeting when the case of imposing academic liability is under consideration.

4.9 The Academic Integrity Commission or the University Ethics and Conflict Management Commission reviews the misconduct and makes its decision based on substantiated information on the nature of the misconduct, the results of the official investigation, and bearing paragraph 4.5 of the Regulation in mind.

4.10 In case of disagreement with the decision to appoint a specific type of academic liability under paragraphs 4.3.1-4.3.4 of the Regulation, or the relevant commission for imposing academic liability, the person accused of misconduct has the right to appeal. The appeal is filed by the violator personally in the name of the Rector within ten days after the Commission's decision has been announced. In case of receipt of an appeal initiated by a student or a university employee, the appeal is reviewed by the appeal commission established by order (authorization) of the Rector.

In case of an appeal from the third parties (as well as on authorization by the Ministry of Education and Science of Ukraine or relevant government agencies), review of the appeal is carried out by the University Commission on Ethics and Conflict Management following the order of the Rector.

4.11 The appeal is to be reviewed by the relevant commission within a week beginning with the next day after the issuance of the order (authorization) by the Rector, unless otherwise specified in the order. The conclusions of the commission are drawn up in the appropriate protocol and submitted to the Rector (or his authorized person), who makes the final decision on the results of the breach (appointment of the type of academic liability, recommendation to the Academic Council on the type of academic liability to be applied, etc.).

5. Procedure(s) for detecting plagiarism in academic papers

5.1 The following papers are subject to detecting academic plagiarism in:

- students' academic (course papers / projects, abstracts, etc.) and qualification (certification papers/projects) papers, which at the stage of submission for defense are inspected by the supervisor or those who are in control at the department level and appointed in accordance with the established procedure;

- research and methodological papers (textbooks, manuals, study guides, lecture notes), monographs, as well as electronic papers (collections of materials on OCW, distance courses, mass open online courses, etc.), which at the reviewing stage are assessed by those who are in control at each department (according to the affiliation of the papers being inspected) and appointed in accordance with the established procedure;

- research papers (manuscripts of articles and abstracts received by the editorial boards of scientific journals or organizing committees of scientific, technical, and methodological events – conferences, seminars, etc.; dissertations), which are assessed at the stage of submission to the journal editorial board, the conference organizing committee, the specialized academic council (depending on the type of paper) and are assessed by the executive secretary of the academic journal / executive secretary of the conference / secretary of the specialized academic council respectively or by other staff appointed by the editor-in-chief of the academic journal, Head of specialized academic council, Dean of the faculty or Head of the department with respect to the type of paper under consideration;

- final reports on the results of RP, financed from the state and/or local budgets, which are inspected before submission to the RU by the RP supervisor or other persons who may be appointed by order of the Vice-Rector for Research.

Detecting cases of academic misconduct must precede all other review procedures.

5.2 Assessment of all types of papers is carried out by means of software and hardware (hereinafter - the programme), which allows to generate a report on

the results of the assessment (hereinafter - the report) to detect presence or absence of textual and (or) illustrative borrowings.

5.3 Programmes may be publicly available or provided to the University by development companies on a paid or unpaid basis. To increase objectivity in assessing research and methodological papers, monographs, electronic papers it is recommended that at least two programmes should be used. Depending on the task (assessing the text, tables, illustrations, etc.), the person who performs the inspection independently chooses the programme which functionality meets the task requirements as fully as possible.

5.4 The algorithm for assessing the work for detecting academic plagiarism is determined by specific guidelines.

5.5 In case the report on the results of detecting cases of academic misconduct states correctness of references to the original source for textual and/or illustrative borrowings, the work (depending on its type) is authorized for the defense, review or consideration, recommended for publication, or considered to have passed an internal review.

5.6 The necessity for a more detailed analysis of the work is determined by the person in charge of the inspection. If necessary, experts may be engaged in a more in-depth analysis of the paper:

- regarding students' academic and qualification papers, research and methodological papers, monographs, electronic papers – experts from among the highly qualified professionals working at the department, appointed by order of the Head of the department. If necessary, the commission engages representatives of the institute / faculty departments, other institutes / faculties;

- regarding research papers – experts from among the members of the editorial board appointed by order of the Editor-in-Chief of the academic journal; from among the members of the organizing committee appointed by order of the Head of the conference organizing committee; from among the members of the specialized academic council, and from among the highly qualified professionals

working at the department appointed by order of the Dean of the faculty or Head of the department (depending on the type of paper);

- regarding final reports on the results of research, funded by the state and/or local budgets – experts from among the leading University researchers in the relevant field of knowledge or research.

5.7 If a detailed inspection of the paper detects minor technical errors in the review part of the paper that does not present the author's personal findings, or textual, illustrative borrowings and paraphrases without proper reference to the original source are detected, such paper is returned to the author for revision with a possibility of further re-considering. The reasons for the paper return are indicated in the assessment report. After all comments have been considered by the author, the person in charge of the inspection (if necessary - with the engagement of an expert) re-analyzes the paper and, in case of a positive decision (depending on the type of paper), the paper is authorized for defense or review, or recommended for publication.

5.8 In case the detailed assessment of the paper by the person in charge (if necessary – by the invited expert) detects the fact of intentional textual and illustrative distortions, attempts to conceal borrowings, presence of borrowed ideas and academic plagiarism, it (depending on the type of paper) is not authorized for defense or review, is not recommended for publication, is considered not to have passed internal review. In this case, the author (authors) of the paper is (are) imposed to academic liability. The reasons for not recommending the paper to be defended, reviewed, considered, or published, as well as the type of academic liability are indicated in the inspection report. Depending on the proposed type of academic liability, the decision is made by an authorized person or commission in accordance with paragraph 4.3 of the Regulation. Given the above facts are detected regarding the final reports on the results of Research funded by the state and/or local budgets, the paper is

recommended for mandatory revision by the author's team (without additional funding provided).

5.9 In case there comes an appeal from the third party, or the author(s) disagree(s) with the inspection results, the procedure for filing and reviewing the appeal is determined by paragraphs 4.10 and 4.11 of the Regulation.

6. Measures intended to prevent academic misconduct in educational and research activities

Prevention of violations of the principles of academic integrity and ethics of academic relations in the academic environment of the University is carried out by the organizational, methodological and research divisions of the University by means of implementing a set of preventive measures, the main of which are:

- informing students and university staff about the need to comply with the norms of the Code of Corporate Culture of SumDU, the Code of Academic Integrity, this Regulation and other national and intra-university regulations, and standards of academic ethics;

- signing the Declaration of adherence to the principles of academic integrity by the students and university staff;

- organizing events that promote information literacy and culture;

- teaching the basics of academic integrity and ethics of academic relations in a specific block of the discipline "Fundamentals of Academic Writing";

- setting the tasks for academic and qualification papers that stimulate students' creative approach to completing them and are based on recent pedagogical innovations;

- disseminating methodological materials that follow unified requirements for proper referencing in written papers;

- hosting annual events for students and university staff on the issues of practical implementation of academic integrity principles in educational and research activities of the University;

- conducting seminars with representatives of companies-developers of programmes for detecting academic plagiarism for students, research and pedagogical staff (separately for each group);

- creating informational and methodological materials on information literacy and plagiarism prevention;

- developing information materials on corporate culture in the workplace and the benefits of fair learning in collaboration with the representatives of employers;

- creating and placing the materials pertaining to the promotion of the academic integrity principles among students (banners, infographics, videos, handouts, etc.) at the University;

- placing students' qualification papers (mandatory after their defense), research and methodological papers of research and pedagogical staff in the institutional repository of SumDU to ensure transparency, honesty, responsibility and other principles of academic integrity, according to the provision "On eSSUIR Institutional Repository of Sumy State University" and the current version of the order "On provisioning the archive and institutional repository with qualification dissertations".

7. Final provisions

7.1 The Regulation shall become effective the day following its approval by the Rector's order.

7.2 Changes and amendments to the Regulation may be introduced by order of the Rector, or by order of the Rector which follows the decision of the University Academic Council or the relevant advisory body. The Regulation is repealed in the same order.

7.3 Responsibility for updating the Regulation and monitoring the implementation of its requirements is born by university officials in accordance with their functional responsibilities.

7.4 The "Regulation on the inspection of research, methodological, qualification and academic papers for academic plagiarism" approved by the order of the Rector № 0562-I of 15.06.2015 and the order of the Rector № 0424-I of 31.05.2018 "On the peculiarities of the procedure for assessing academic texts for plagiarism" shall be held as invalid.