

SHRI VENKATESHWARA UNIVERSITY

Research Policy



As approved by the 27th Executive Council vide Item no. 27.19 (c),
dated 31.01.2023,



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CONTENT		
Chapter	Title	Page
1	Overview	
1.1	Preamble	3
1.2	Purpose	3
1.3	Scope	3
1.4	Objectives	3-4
1.5	Values needed for good research	4
2	Implementation mechanism	
2.1	Dean, Research and Development	5
2.2	Research Advisory Board (RAB)	5-6
2.3	PhD Ordinance	6-13
3	Students research support	
3.1	Guidelines for award of fellowship/scholarship cum assistantship	14
3.2	Research incentives	14-16
4	Promoting research	
4.1	Policy for incentives, awards, and recognitions	17-18
4.2	Research projects: policy for seed money	18-23
4.3	Incentives for faculty members for R & D activities, patents, publication	24-25
5	Protecting intellectual property rights	
5.1	Preamble	26
5.2	Objectives	27
5.3	Scope of IPR policy	27
5.4	Publication	28
5.5	Types of IP	28-29
5.6	Financial support	29-30
5.7	IP produced by collaboration with outside parties	30
5.8	Fostering entrepreneurship	30
5.9	IP generated by contractors, consultants, and vendors	31
5.10	Trade secrets and know-how information	31
5.11	Reward programme for IPR filing	31
5.12	Monitoring and reacting to IPR violation	31
5.13	Commercialization and licensing	31-32
5.14	Commercialization via start-up and spinoff	32-33
5.15	Responsibility of university for IPR violation	33
5.16	Term	33
5.17	Conflicts and appeals	33
5.18	Applicable law	33
5.19	Amendments	33
5.20	Implementing organization	33
6	Institutional Ethics Committee	
6.1	Preamble	34
6.2	Academic Autonomy, Integrity, and accountability	34-37
6.3	Plagiarism and similarity check	37-40



CHAPTER-1: OVERVIEW

1.1. Preamble

Shri Venkateshwara University (SVU) is committed to contribute in a significant manner in the generation and growth of scientific knowledge because it has an impact on economic and societal development. Aim of the university is to contribute to make India as global knowledge hub through education, research, and innovation. To attain this goal, it is important to pursue cutting-edge basic, target oriented, and thrust area focused research in a transparent, responsible, and ethical manner. The educational organizations collect and create a body of knowledge and then pass that accumulated learning through generations. In doing so they shape lives, one by one, and through the instrument of educated and skilled people facilitate discovery, inventions, and contribute to a more rational and richer society. Generally, both innovation and generation of knowledge initiated at the University research environment, and it is also the mission of SVU. Research and developmental activities create and spreads new knowledge in range of fields, promotes innovation and these will motivate better learning and teaching among faculties and students these are often included in the courses. Research is the foundation of knowledge that brings new energy, builds state of the art facilities, promotes research publications, develops collaborations, and becomes part of active community that shares the mission objectives. In view of above considerations, following Research Policy is implemented in SVU.

1.2. Purpose

The purpose of the Research Policy is to create a vibrant atmosphere of research among faculty and researchers in SVU. The policy shall serve as an overall framework within which research activities may be carried out.

1.3. Scope

This is a SVU wide Research Policy. It is implementable in all schools/Institutes of SVU and will serve as guidelines.

1.4. Objectives

1. To improve the university capacity for strategic, technical, and operational planning, budgeting, and control of all research activities of the university.
2. To create and promote a culture of research among the faculty and students.
3. To create an enabling environment within SVU to foster a research culture as well as provide required support through research framework and guidelines.
4. To ensure efficient and effective support system to facilitate faculty and researchers in their research activities.
5. To guarantee quality publications in reputed national/International journals having high Impact Factor and indexed in Scopus, Web of Science, Pub Med and/or listing in UGC recognized journal list.
6. To nurture an environment of undertaking socially useful research with potential for commercialization.
7. To establish interdisciplinary collaborations and partnerships nationally and globally.
8. To ensure quality, integrity, and ethics in research.
9. To facilitate the presentation of the research work through academic events such as workshops/seminars/conferences.



10. To identify and inform researchers about the appropriate research opportunities announced by different academic, research, industry or government organizations.
11. To provide professional guidance, technical support, and recommendation for financial assistance.
12. To identify and establish linkages including MOUs for long term relationships with national and international research organizations for widening the scope of research opportunities available to the teachers and students at the University.

1.5. Values needed for good research.

It is of paramount importance that research should espouse the integrity. The UGC in its Guidance document: Good Academic Research Practices (2020) defined the values required for the good research. The university will promote these values in the conduct and management of research and will have courage to initiate, adopt and sustain the changes:

1. **Ethics:** Conduction of research in an ethical manner by ensuring dignity, rights, safety, and privacy.
2. **Rigour:** Research ensure high quality design, reliable data, the appropriate use of methods, rigorous and careful analysis, and transparent reporting and interpretation of results.
3. **Relevance:** In the endeavour of expanding the knowledge-base and understanding the environment and ecosystem, research advances the short- and long-term goals of science and society.
4. **Transparency:** Honesty is promoted through transparency in developing, undertaking, reviewing, reporting, and communicating research in a fair, comprehensive, and unbiased fashion.
5. **Respect:** The process of research is aligned with the norms and traditions of society and its cultural heritage, with respect for colleagues, research participants, and the environment.
6. **Impartiality:** Objectivity and lack of bias are the core principles of research. Researcher should avoid conflicts of interest in setting research priorities, establishing research collaborations, choosing research questions, and interpreting and assessing the implications of the research results.
7. **Independence:** Research functions must be insulated from both the appearance and the reality of undue influence of funders or other non-researchers within the outcome of the research. To promote objectivity, researchers should be allowed independence in the design, conduct, analysis, interpretation, and dissemination of the research and research findings.
8. **Accountability:** Research will comply with both the spirit and the letter of relevant rules and procedures such as regulations governing professional standards. The readily accessibility of such rules, roles, and procedures will ensure that instances of alleged misconduct or malfeasance are rare. Further, if they occur, they will be effectively and promptly addressed in a fair and timely fashion with sensitivity towards the rights of all concerned.

1.6. Custodian of Policy

The implementation and revising of Research Policy shall be carried out by Dean Research and Development, SVU. Further, the Research Policy shall have a RAB.

to function under Vice Chancellor, SVU and administrative committee, to assist and advise in matters related to research within SVU.



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CHAPTER-2: IMPLEMENTATION MECHANISM

2.1. Dean, Research and Development

The Dean Research and Development of the University shall be responsible for implementing this research policy of the University by working closely with the University management. Dean, Research and Development shall be overall in-charge of the PhD program. Quality research, formulation of research projects by the faculties and their subsequent submission to funding agencies, formulation and circulations of rules, roles and procedures will be guaranteed by the Dean Research & Development.

2.2. Research Advisory Board (RAB)

The activities related to research in the university will be governed by a set of norms formulated by the RAB.

2.2.1. The Research Advisory Board shall be constituted as under:

1. The Vice-Chancellor - Chairman
2. The Pro-Vice-Chancellor - Member
3. All the Dean of Schools - Members
4. Dean, Academic Affairs - Member
5. All the Professor Emeritus and Distinguished Professors of the University - Members
6. Out-side experts, not exceeding five, nominated by the Chancellor - Members
7. The Vice-Chancellor may co-opt a distinguished Scientists/ Professors from within or outside to any meeting of the RAB - Members
8. Dean, Research & Development - Member Secretary.

2.2.2. All the members of the RAB, other than the ex- officio members, shall hold membership for a term of two years.

2.2.3. The RAB shall meet as often as may be necessary but not less than two times during an academic year. The Board may devise its own procedure for the conduct of the meetings.

2.2.4. The RAB shall be the principal research body of the University and shall provide the larger holistic vision, the research to be undertaken, including prioritization of the research areas.

2.2.5. The Board will develop and house other knowledge capabilities that may include referral and participatory networks of scholars and industry experts.

2.2.6. The Board may select e-resources such as e-journals, e-books, on- line lectures reference material and reference websites for students and faculty.

2.2.7. The Board, shall develop, sustain, and manage:

- a) incubation/Innovation Centre, basic workshop for entrepreneurs.
- b) develop business models and field test products and services;and
- c) development of start-up ventures.

2.2.8. The Board shall advise the Deans of Schools in matters relating to industry sponsored research and consultancy, as also in facilitating the faculty in procuring equipment necessary to conduct research / consultancy work, recruitment of project staff.

2.2.9. The Board shall suggest necessary steps to improve the quality benchmark in the matter of



- research; as also filing of research patents and registration of designs. It will also work towards protection of IPRs and its awareness.
- 2.2.10. The Board shall monitor the quality of research publications as also shall provide guidance for submission of research proposals for funding by external agencies.
- 2.2.11. The Board shall oversee all the issues related to biosafety and ethics and help the Deans develop necessary safeguards against scientific misconduct and plagiarism.
- 2.2.12. The Deans shall report every matter relating to plagiarism and scientific misconduct to the Board which will, after due consideration, make necessary recommendations to the competent authorities for appropriate penal action.
- 2.2.13. The recommendations made by the RAB shall be reported to the Executive Council.

2.3. PhD Ordinances

In pursuance of UGC (Minimum Standards and Procedures for Award of Ph D Degree) Regulations, 2009, as amended from time to time, the University has framed PhD Ordinance to govern award of degree of Doctor of Philosophy (Ph D) in the diverse disciplines of knowledge, as approved by its Executive Council from time to time.

In case of council governed programmes the guidelines are implemented.

The existing PhD Ordinance, 2022 as adopted by the University and notified vide no. 27th Executive Council, dated 31.01.2023, Item no. 27.19.

2.3.1. Short title, Application, and Commencement. –

These Regulations may be called Shri Venkateshwara University (Minimum Standards and Procedure for Award of PhD Degree) Regulations, 2022 and shall come into force from the date of their approval by the Executive Council.

2.3.1.1. Definitions. –

In these Regulations, unless the context otherwise requires, -

- a) "Act" means the Shri Venkateshwara University, Act, 2010.
- b) "Adjunct Faculty" means a part-time or contingent instructor, but not full-time faculty member hired by the University.
- c) "Cumulative Grade Point Average (CGPA)" means a measure of the overall cumulative performance of a student over all semesters. The CGPA is the ratio of total credit points secured by a student in various courses in all semesters and the sum of the total credits of all courses in all semesters. It is expressed in up to two decimal places.
- d) "Credit" means the number of hours of instruction required per week over the duration of a semester. A three-credit course in a semester means three one-hour lectures per week, with each one-hour lecture counted as one credit.
- e) "School" means an institution engaged in higher education and/or research, established by the University as its constituent unit.
- f) "Commission" means the University Grants Commission established under Section 4 of the UGCA Act, 1956.
- g) "Course" means one of the specified units which go to comprise a programme of study.
- h) "Course Work" means courses of study prescribed by the school to be undertaken by a



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student registered for the PhD Degree.

- i) "Degree" means a degree awarded by the University in accordance with the provisions . . . of section 22 (3) of the UGC Act.
- j) "External examiner" means an academician/researcher with published research work who is not part of the University.
- k) "Foreign Educational Institution" means—(i) an institution duly established or incorporated in its home country and offering educational programmes at the undergraduate, post graduate and higher levels in its home country and (ii) which offers programme(s) of study leading to the award of a degree through conventional face-to-face mode, but excluding distance, online, ODL mode.
- l) "Grade Point" means a numerical weight allotted to each letter grade on a 10-point scale.
- m) "Guide/Research Supervisor" means an academician/researcher recognized by university to supervise the PhD scholar for his/her research.
- n) "Interdisciplinary Research" means research conducted by a PhD scholar in two or more academic disciplines.
- o) "Open and Distance Learning Mode" shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020.
- p) "Online Mode" shall have the same meaning as defined under the UGC (Open and Distance Learning Programmes and Online Programmes) Regulations 2020.
- q) "Plagiarism" means the practice of taking someone else's work or idea and passing them as one's own.
- r) "Programme" means a higher education programme pursued for a degree specified by the Commission under sub-section (3) of section 22 of the Act.
- s) "Prospectus" means any document, whether in print or otherwise, issued for providing fair and transparent information relating to University and programmes, to the general public (including to those seeking admission) by the University.
- t) "Research Proposal" means a brief write-up giving an outline of the proposed research work which the PhD scholar shall submit along with the application for registration for PhD programme.
- u) "University" means Shri Venkateshwara University established by a State Act,

2.3.1.2. Words and expressions used and not defined in these Regulations but defined in Act and not consistent with these Regulations shall have the meanings assigned to them in that Act.

2.3.1.3. Eligibility criteria for admission to the PhD Programme

The following are eligible to seek admission to the PhD programme:

Candidates who have completed:

- a. 1-year/2-semester master's degree programme a 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a pointscale wherever grading system is followed.



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or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized, or authorized by an authority, established, or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/ differently abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

- b. Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions, shall be eligible for admission to the PhD programme. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently Abled, Economically Weaker Section (EWS) and other categories of candidates as per the decision of the Commission from time to time.

2.3.1.4. Duration of the Programme

1. PhD Programme shall be for a minimum duration of three years, including course work, and a maximum duration of six (6) years from the date of admission to the PhD programme.
2. A maximum of an additional two (2) years can be given through a process of re-registration as per the Statute/Ordinance of the Higher Educational Institution concerned; provided, however, that the total period for completion of a PhD programme should not exceed eight (8) years from the date of admission in the PhD programme.
3. Provided further that, female PhD scholars and Persons with Disabilities (having more than 40% disability) may be allowed an additional relaxation of two (2) years; however, the total period for completion of a PhD programme in such cases should not exceed ten (10) years from the date of admission in the PhD programme.
4. Female PhD Scholars may be provided Maternity Leave/Child Care Leave for up to 240 days in the entire duration of the PhD programme.

2.3.1.5. Procedure for admission

- 2.3.1.5.1. The admission shall be based on the criteria notified by the University, keeping in view the guidelines/ norms in this regard issued by the UGC and other statutory/regulatory bodies concerned, and considering, the reservation policy of the State Government from time to time.

- 2.3.1.5.2. Admission to the PhD programme shall be made using the following methods:

- (i) The University (SVU) may admit students who qualify for fellowship/scholarship in UGC-



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NET/UGC- CSIR NET/GATE/CEED/GPAT/ICAR NET and similar national level tests based on an interview.

and/or

- (ii) SVU may admit students through an Entrance Test conducted at the level of the individual SVUCET. The Entrance Test syllabus shall consist of 50% research methodology, and 50% shall be subject-specific.
- (iii) Students who have secured 50 % marks in the entrance test are eligible to be called for the interview.
- (iv) A relaxation of 5 % marks will be allowed in the entrance examination for the candidates belonging to SC/ST/OBC/differently abled category, Economically Weaker Section (EWS), and other categories of candidates as per the decision of the Commission from time to time.
- (v) SVU may decide the number of eligible students to be called for an interview based on the number of PhD seats available.
- (vi) Provided that for the selection of candidates based on the entrance test conducted by the SVU, a weightage of 70 % for the entrance test and 30 % for the performance in the interview/viva-voce shall be given.

2.3.1.5.3. The University, shall:

- (i) Notify a prospectus well in advance on the website specifying the number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, the procedure for admission, and all other relevant information for the candidates.
- (ii) Adhere to the National/State-level reservation policy, as applicable.

2.3.1.5.4. The University shall maintain a list of PhD supervisors (specifying the name of the supervisor, his or her designation, and the department/school/centre), along with the details of PhD scholars (specifying the name of the registered PhD scholar, the topic of his/her research and the date of admission) admitted under them on the website of the institution and update this list every academic year.

2.3.1.5.5. Allocation of Research Supervisor - Eligibility criteria to be a Research Supervisor, Co-Supervisor, Number of PhD scholars permissible per supervisor, etc.

2.3.1.5.6. Permanent faculty members working as Professor/Associate Professor of the University with a PhD, and at least five research publications in peer-reviewed or refereed journals and permanent faculty members working as Assistant Professors in the University with a PhD, and at least three research publications in peer-reviewed or refereed journals may be recognized as a Research Supervisor in the university where the faculty member is employed. Such recognized research supervisors cannot supervise research scholars in other institutions, where they can only act as co-supervisors. PhD awarded by a university under the supervision of a faculty member who is not an employee of the university would be in violation of these Regulations.

For PhD scholars working in Central government/ State government research institutions whose degrees are given by Higher Educational Institutions, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfil the above requirements.



Provided that in areas/disciplines where there is no, or only a limited number of peer-reviewed or refereed journals, the University may relax the above condition for recognition of a person as Research Supervisor with reasons recorded in writing.

Co-Supervisors from within the same School or other School /department of the University of the same institution in other institutions may be permitted with the approval of the competent authority.

Adjunct Faculty members shall not act as Research Supervisors and can only act as co-supervisors.

- 2.3.1.5.7. In case of interdisciplinary/multidisciplinary research work, if required, a co-Supervisor from outside the Department/School/Centre/College/University may be appointed.
- 2.3.1.5.8. An eligible Professor/Associate Professor/Assistant Professor can guide up to eight (8) / six (6) / four (4) PhD scholars, respectively, at any given time.
- 2.3.1.5.9. In case of relocation of a female PhD scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate, provided all the other conditions in these Regulations are followed, and the research work does not pertain to a project sanctioned to the parent Institution/Supervisor by any funding agency. Such scholar shall, however, give due credit to the parent institution and the supervisor for the part of research already undertaken.
- 2.3.1.5.10. Faculty members with less than three years of service before superannuation shall not be allowed to take new research scholars under their supervision. However, such faculty members can continue to supervise PhD scholars who are already registered until superannuation and as a co-supervisor after superannuation, but not after attaining the age of 70 years.
- 2.3.1.6. **Admission of International students in PhD programme-**
- (i) Each supervisor can guide up to two international research scholars on a supernumerary basis over and ~~to~~ the permitted number of PhD scholars as specified in clause 6.3 above.
- (ii) The University may decide their own selection procedure for PhD admission of international students keeping in view the guidelines/norms in this regard issued by statutory/regulatory bodies concerned from time to time.
- 2.3.1.7. At any point, the total number of PhD scholars under a faculty member, either as a supervisor or a co-supervisor, shall not exceed the number prescribed in clause 6.3 and clause 7.1.
- 2.3.1.8. **Course Work- Credit requirements, number, duration, syllabus, minimum standards for completion, etc.**
- (i) The Credit requirement for the PhD coursework is a minimum of 12 credits, including a "Research and Publication Ethics" course as notified by UGC vide D.O. No. F.1-1/2018(Journal/CARE) in 2019 and a research methodology course. The RAB can also recommend UGC recognized online courses as part of the credit requirements for the PhD programme.
- (ii) All PhD scholars, irrespective of discipline, shall be required to train in teaching/ education/ pedagogy/writing related to their chosen PhD subject during their doctoral period. PhD scholars may also be assigned 4-6 hours per week of teaching/research assistantship for



conducting tutorial or laboratory work and evaluations.

- (iii) A PhD scholar must obtain a minimum of 55% marks or its equivalent grade in the UGC 10-point scale in the course work to be eligible to continue in the programme and submit his or her thesis.

2.3.1.9. Research Advisory Committee (RAC) and its Functions

- (i) There shall be a Research Advisory Committee (RAC), or an equivalent body as defined in the Statutes/Ordinances of the University for each PhD scholar.
- (ii) The composition of RAC shall be as follow:
- | | | |
|---|---|------------------|
| 1. Dean Research & Development | - | Chairman |
| 2. Dean/HoD of the concern school | - | Member |
| 3. Supervisor | - | Convenor |
| 4. Two Deans nominated by Vice Chancellor | - | Member |
| 5. Associate Dean (R&D) | - | Member Secretary |

Power & Functions

- a. To review the research proposal and finalize the topic of research.
- b. To guide the PhD scholar in developing the study design and methodology of Research and identify the course(s) that he/she may have to do.
- c. To periodically review and assist in the progress of the research work of the PhD scholar.
- (iii) Each semester, a PhD scholar shall appear before the Research Advisory Committee to make a presentation and submit a brief report on the progress of his/her work for evaluation and further guidance. The Research Advisory Committee shall submit its recommendations along with a copy of PhD scholar's progress report to the University. A copy of such recommendations shall also be provided to the PhD scholar.
- (iv) In case the progress of the PhD scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the PhD scholar fails to implement these corrective measures, the Research Advisory Committee may recommend, with specific reasons, the cancellation of the registration of the PhD scholar from the PhD programme.

2.3.1.10. Doctoral Research Committee (DRC)

Dean of the school shall constitute the DRC through concern head of the department consisting of the following for each student.

- | | | |
|---|---|----------|
| 1. Supervisor | - | Convenor |
| 2. One Teacher from the department | - | Member |
| 3. One Teacher from the related department/School | - | Member |

Power & Functions

- a. Selecting Research Area
- b. Recommendation for Course Work
- c. Course Work Registration
- d. Facilitating the student for Research Plan Formulation and its presentation to SRC for approval
- e. Regular monitoring of the progress of research work and submission of six-monthly progress



- report to SRC
- f. Publication of quality research papers
 - g. Facilitating the student for Pre PhD -Research Work Presentation, prerequisite for thesis submission
 - h. Preparing student for thesis viva voce/ defence before external examiner

Facilitating the student for submission of thesis to the office of Dean Research and Development as per check list DRC shall be responsible for regular monitoring of the progress of research work of the student. A student shall appear before the Doctoral Research Committee at least once in six months to make a presentation of the progress of his/her work for evaluation and further guidance. The DRC shall submit six-monthly progress report to SRC with recommendations whether the progress is satisfactory or not within 15 days from the date of presentation.

2.3.1.11. Evaluation and Assessment Methods, minimum standards/credits for award of the degree etc.

- i) Upon satisfactory completion of course work and obtaining the marks/grade prescribed in clause (3) of Regulation 9 above, the PhD scholar shall be required to undertake research work and produce a draft dissertation/thesis.
- ii) Before submitting the dissertation/thesis, the PhD scholar shall make a presentation before the Research Advisory Committee, which shall also be open to all faculty members and other research scholars/students.
- iii) The University has a mechanism using well-developed software applications (URKUND) to detect Plagiarism in research work and the research integrity shall be an integral part of all the research activities leading to the award of a PhD degree.
- iv) A PhD scholar shall submit the thesis for evaluation, along with (a) an undertaking from the PhD scholar that there is no plagiarism and (b) a certificate from the Research Supervisor attesting to the originality of the thesis and that the thesis has not been submitted for the award of any other degree/diploma to any other Higher Educational Institution.
- v) The PhD thesis submitted by a PhD scholar shall be evaluated by his/her Research Supervisor and at least two external examiners who are experts in the field and not in employment of the University concerned. Such examiner(s) should be academics with a good record of scholarly publications in the field. Wherever possible, one of the external examiners should be chosen from outside India. The viva-voce board shall consist of the Research Supervisor and at least one of the two external examiners and may be conducted online. The viva-voce shall be open to the members of the Research Advisory Committee/faculty members/research scholars, and students. The University may formulate appropriate rules/ordinances to affect the provisions of this Regulations.
- vi) The viva-voce of the PhD scholar to defend the thesis shall be conducted if both the external examiners recommend acceptance of the thesis after incorporating any corrections suggested by them. If one of the external examiners recommends rejection, the University shall send the thesis to an alternate external examiner from the approved panel of examiners, and the viva-voce examination shall be held only if the alternate examiner recommends acceptance of the thesis. If the alternate examiner does not recommend acceptance of the thesis, the thesis shall be rejected,



and the PhD scholar shall be declared ineligible for the award of a PhD.

vii) The University shall complete the entire process of evaluating a PhD thesis, including the declaration of the viva-voce result, within a period of six (6) months from the date of submission of the thesis.

2.3.1.12. PhD through Part-time Mode

1. PhD programmes in part-time mode will be permitted, provided all the conditions stipulated in these Regulations are fulfilled.
2. The University shall obtain a "No Objection Certificate" through the candidate for a part-time PhD programme from the appropriate authority in the organization where the candidate is employed, clearly stating that:
 - i. The candidate is permitted to pursue studies on a part-time basis.
 - ii. His/her official duties permit him/her to devote sufficient time for research.
 - iii. If required, he/she will be relieved from the duty to complete the course work.
3. Notwithstanding anything contained in these Regulations or any other law, for the time being in force, no Higher Educational Institution or research institution of the Central government or a State Government shall conduct PhD programmes through distance and/or online mode.

2.3.1.13. Grant of M.Phil. Degree – Shri Venkateshwara University shall not offer the M.Phil. (Master of Philosophy) programme.

2.3.1.14. Issuing a Provisional certificate

Prior to the actual award of the PhD degree, the University shall issue a provisional certificate to the effect that the PhD is being awarded in accordance with the provisions of these Regulations.

2.3.1.15. Award of PhD degrees prior to Notification of these Regulations

Award of degrees to candidates registered for the PhD programme on or after July 11, 2009, till the date of Notification of these Regulations shall be governed by the provisions of the UGC (Minimum Standards and Procedure for Award of M.Phil./PhD Degree) Regulations, 2009 or the UGC (Minimum Standards and Procedure for Award of M.Phil./PhD Degrees) Regulations, 2016. Further, the award of degrees to candidates already registered and pursuing PhD shall be governed by these Regulations or UGC (Minimum Standards and Procedure for Award of M.Phil./PhD Degree) Regulations, 2016. Nothing in these Regulations shall impact the M.Phil. degree programmes commencing prior to the enactment of these Regulations.

2.3.1.16. Depository with INFLIBNET

Following the successful completion of the evaluation process and before the announcement of the award of the PhD degree(s), the University shall submit an electronic copy of the PhD thesis to INFLIBNET, for hosting the same to make it accessible to all the Higher Educational Institutions and research institutions.

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CHAPTER 3: STUDENTS RESEARCH SUPPORT

3.1. Guidelines for award of Fellowship/Scholarship cum Assistantship to PhD Students

The University awards Fellowships and Teaching Assistantships to PhD students enrolled full-time to encourage research activities and draw talented individuals to the program. The regulations are listed below.

- 3.1.1. Only full-time PhD students who have been admitted through an entrance exam are eligible for a fellowship/assistantship.
- 3.1.2. Full time scholar registered in the PhD Program of Shri Venkateshwara University having qualified NET/Gate will get a fellowship worth Rs. 15,000.00 per month and other full time Scholars without NET/Gate will get a Fellowship cum teaching assistantship worth Rs. 12000.00 per month from the date of joining to the PhD programme i.e., after the approval of research plan in RAC as well as reporting to the Shri Venkateshwara University.
- 3.1.3. Those Full-time scholars of School/Department (maximum two) who get highest marks in university entrance exam will get fellowship worth Rs. 18,000 per months. It will be applicable once in an academic year.
- 3.1.4. With the above fellowship, the Scholars may have to take workload of 12 hours per week in the concerned School/Department. The amount of fellowship will be based on nature of workload. For this Rs. 10000 per month will be paid extra.
- 3.1.5. If the assigned workload in any month is less than 12 hours/week, the fellowship cum teaching assistance ship amount will be paid on pro-rata basis, calculated at the level of concerned school deans.
- 3.1.6. Fellowship-cum-Assistantship will be awarded for a period of first 3 years, only.
- 3.1.7. Fellowship cum teaching assistantship will be offered only to those PhD Scholars who have successfully submitted their synopsis and completed their coursework with minimum 7.0 CGPA and based on selection procedure i.e., interview for assistantship.
- 3.1.8. The disbursement of the Fellowship cum teaching assistantship amount to the PhD scholar for a month will be released only on receipt of details of research and teaching activities carried out by him/her, duly verified by associated supervisor, Dean of the school and approved by Dean Research.
- 3.1.9. Progress of PhD scholar research will be scrutinized by Doctoral Research committee (DRC) of the school at every six months and the fellowship cum teaching assistantship will be renewed based on satisfactory progress only.
- 3.1.10. If the synopsis of the student is not approved within a year from the date of registration, fellowship may be terminated.

3.2. Research Incentives

Research & Development and Extension are key functions of a university apart from teaching. A good quality research and its dissemination to wider academic and research audience on the one hand and its applied content to its users for enhancing productivity and quality of life on the other, are intrinsic to the academicians researchers.



Performance and Reputation of a University is measured in terms of research outcomes such as Research Publications, Patents, Copyrights, Extramural Research Grants received, Consultancy provided, and Revenue earned etc. Shri Venkateshwara University believes in inculcating robust Research Culture by involving Faculty Members/Research Scholars/Students at all levels to improve their learning curves. To encourage its academic staff and research fellows for their research activities, Eternal University, notifies the current Research Promotion Policy which covers sufficient incentives for Faculty Members, Research Scholars and Students engaged in various research incubation activities.

3.2.1. Scope of scheme

- Research Scholar, undergraduate and postgraduate students who are on roll with the Shri Venkateshwara University can publish their original research work.
- Full-time employees of Shri Venkateshwara University who are on probation/permanent payrolls and faculty who are appointed on a contract basis in any of the constituent departments of the Institute.

3.2.2. Incentive Scheme for Research Publication

- University shall pay Rs.10000/- per research paper published in SCI/SCOPUS/SSCI/A&HCI indexed journals (Clarivate authenticated) and Rs. 2500 for publication in "Indian Citation Indexed journal or "UGC-Approved Journals "as incentive. However, the publication charges, if any, will be beard by the author(s).
- In case of more than one faculty member/student as author/co-author, the amount of incentive shall be distributed equally.
- SVU shall pay maximum Rs.7500/- per textbook/teaching manuals theory or practical published with ISSN and ISBN number as incentive.
- SVU shall pay incentive of Rs. 5000 per chapter in the book published with ISSN and ISBN number.

3.2.3. Patents

- An amount of Rs. 5000/- will be given for a patent that is published in the Indian Patent Journal, World Intellectual Property.
- An amount of Rs. 20000/- will be given if patent is granted.

3.2.4. For attending Conference/Seminars/FDPs

- The National and International Conference/Seminars /FDPs registration fees will be provided to the faculty members.
- The National and International Conference/Seminars /FDPs registration fees will be reimbursed on submission of receipt by a faculty member when he/she has contributed to the deliberation at the conference by way of:
 - a) Presenting of Paper /Poster
 - b) Chairing a session.
 - c) Judging a Scientific Paper /Poster session.
 - d) Delivering a guest lecture/ invited talk.



- The faculty member would be allowed OD+ Registration+ T.A. on an actual basis or Rs. 10,000/-whichever is less.
- Target
- At least 30-50 papers publications per year.
- One National / International Conference per year.
- One Workshop/ Seminar of each school/department.
- Research Profile Reviewed of each faculty member by Dean Research and Research committee.
- Collaboration with various higher education institutions/ engines/ University of India/Abroad.
- Stabilizations of Research labs.

3.2.5. Outcome

- Excellent placement in various research areas.
- Enhancement in the quality of Research Works.
- Significant growth in research publications by the university.
- The activities may be showcased by the university as best practices for NAAC accreditation.
- It would be small step towards research university in terms of National Education Policy.



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CHAPTER 4: PROMOTING RESEARCH

4.1. Policy for Incentives, Awards and Recognitions

4.1.1. Preamble

Shri Venkateshwara University (SVU) is a higher education institute committed to promoting high-quality education and research endeavors. SVU provides a wide array of academic programs, including Bachelor's, Master's, and Doctoral levels. The university also fosters a culture of engaging its faculty, researchers, and students in impactful research activities aimed at advancing societal well-being.

This document contains comprehensive guidelines and procedures for recognizing and providing support to faculty and students who achieve recognition and honors on local, national, and global scales. These guidelines are presented to promote general awareness, provide direction, and ensure compliance.

4.1.2. Introduction

Faculty members and research scholars play a critical role in the University's performance. Consequently, the University is dedicated to acknowledging and rewarding these faculty members for their substantial contributions to societal development. The Incentive Scheme, tailored for State, National, and International Awards and Recognitions, serves as a crucial avenue for fostering motivation within the workplace and nurturing an environment conducive to achieving organizational objectives. This endeavor not only instills a sense of esteem and acknowledgment for the faculty's admirable endeavors but also contributes to knowledge generation, magnifies the university's societal and economic influence, nurtures the faculty's innovative and entrepreneurial spirit, among other benefits. Essentially, the University proactively encourages its faculty to partake in a range of research, innovation, and outreach endeavors that have the potential to yield substantial societal and national advantages.

The Incentive Policy seeks to:

- 1) Support our faculty in doing research, coming up with new ideas, and reaching out to the community.
- 2) Recognize and appreciate the efforts of both individuals and teams who excel at the local, national, and global levels.
- 3) Develop a feeling of responsibility and leadership for impressive achievements.

4.1.3. Scope

The policy includes all faculty members and the students at the University. Its objective is to offer incentives to both faculty and students who attain State, National, and international awards/recognitions, supplementing the existing award/recognition initiatives dedicated to advancing the University's research endeavors. Therefore, awards should hold a significant value. To ensure fairness, only awards/recognitions received by faculty and students from organizations approved or acknowledged by State, National, and international agencies will be considered. Awards that are commonplace or are given primarily for financial reasons are not within the scope of this policy and will not be included in this scheme.

4.1.4. Categories of Awards and Incentives

Apart from the current schemes aimed at promoting research and outreach efforts, the



University offers rewards to both faculty and students for their remarkable achievements in academics, research and development, innovation, and outreach. These achievements should result in awards or recognition at the state, institutional, national, and international levels. The following categories have been incorporated for this purpose:

S.No.	Awards/Recognitions	Certificate	Incentive
1.	International Awards	Commendation certificate + Gold Medal	(Rs. 10000-25000 based on the level/merit of award/ recognition)
2.	National Awards	Commendation certificate + Silver Medal	(Rs. 5000-15000 based on the level/merit of award/ recognition)
3.	State Awards	Commendation certificate + Bronze Medal	(Rs. 3000-10000 based on the level/merit of award/ recognition)
4.	University Awards	Commendation certificate + Medal	(Rs. 2000-5000 based on the level/merit of award/ recognition)

To ensure broader publicity, the acknowledgment of these achievements should be shared through department/school newsletters, Newspapers, and the university website.

The committee, composed as specified, will evaluate the significance and quality of these awards/recognitions, and propose appropriate incentives for faculty and students to the Vice Chancellor.

- | | | |
|---|---|-------------|
| 1. Dean, Research and Development | - | Chairperson |
| 2. Dean Academic Affairs | - | Member |
| 3. Pro Vice Chancellor | - | Member |
| 4. One Senior Professor from University | - | Member |
| 5. One Senior Professor outside from University | - | Member |

The Dean of the respective school shall commence the process of award recognition and submit the proposal to the Director of IQAC for subsequent handling. This will occur on a case-by-case basis, contingent upon the assessed merit of the award/recognition by the committee.

The award/recognition must adhere to university policies and procedures, and it should align with the level of accomplishment attained in research, innovation, extension activities, or outreach programs.

Recognition ought to be conferred upon a faculty member or student during university events such as Convocation, Teachers Day, Orientation Day, and Award Functions.

Ultimately, the decision of the vice-chancellor shall be considered definitive in all instances.

4.2. Research Projects: Policy for Seed Money

4.2.1. Introduction

Research and Development constitutes a methodical endeavor involving fundamental and applied research aimed at uncovering solutions to societal challenges or generating novel



products and knowledge.

The university introduced the Seed Money Scheme to provide seed research grant to the faculty members across various research domains with the following aims:

- To bolster and enrich the research capabilities of faculty, enabling them to formulate proposals for Government or Private-funded research initiatives.
- To inspire faculty members and amplify their engagement in research pursuits.
- This endeavor could yield outcomes such as intellectual property (IP), research publications, patents, copyrights, and more. The overarching goal of this scheme is to establish a foundation that expedites the potential for pursuing high-value projects, backed by financial backing from external entities. Applicants are required to distinctly and persuasively exhibit that their proposed projects chart a fresh research trajectory, one that is likely to captivate external funding opportunities.

4.2.2. Scope of the Policy

- (a) The primary aim of this policy is to provide an incentive for faculty members to share their innovative ideas through Seed Research Proposals, which have the potential to evolve into substantial research endeavors and subsequently be proposed to external agencies for funding.
- (b) Faculty members (specifically Assistant and Associate Professors) who have successfully completed their probationary period and hold a PhD degree or equivalent qualifications like MD/MS/DNB/MDS are eligible to participate.
- (c) Faculty members can avail seed project financial support once during their tenure at Shri Venkateshwara University, serving as the Principal Investigator (PI). For interdisciplinary projects, inclusion of Co-Principal Investigators (Co-PIs) is also allowed.
- (d) Generally, one faculty member from the same Department should be designated as PI or Co-PI.
- (e) The provision of seed money grants is valid for a maximum of two years. In the event of project delays, PIs/Co-PIs are expected to seek an extension from the Dean of Research and update the Internal Quality Assurance Cell (IQAC) accordingly.
- (f) Normally, grants up to Rs. 2 Lakh may be awarded, based on proposal merit and the decision of the committee formed by the Vice Chancellor. However, there may be no specific limit for groundbreaking research and development projects, contingent upon assessed necessity and fund availability.
- (g) Professors, Professor Emeritus, Distinguished Professors, Visiting Professors, possessing relevant expertise, are expected to provide mentorship for these projects.
- (h) PIs/Co-PIs are required to promptly submit utilization certificates to both the Office of Dean, Research and Development, and the IQAC.
- (i) The progress of sanctioned projects will be periodically reviewed and monitored by the Dean of Research, who will subsequently submit reports to the Vice Chancellor and IQAC.
- (j) Upon completion of the Seed Money Project, a final report must be compiled according to the prescribed format and submitted to the offices of Dean Research and IQAC for record-keeping purposes.
- (k) The applicant shall submit a proposal for a grant of Seed Money Project and the Project Completion Report on the prescribed format as enclosed here under.



FORMAT FOR SUBMISSION OF SEED FUND PROJECT
Shri Venkateshwara University, Gajraula, District- Amroha, Uttar Pradesh

1. Title of the Project
2. Name & Designation of the PI, Department and School, E-Mail & Mob number
3. Name & Designation of Co-PIs, Department & School for Interdisciplinary Research Project (Not more than one Co-PI), E Mail & Mob number
4. Experience of PI & Co-PI (Not more than one page)
5. Cost of the Project (Rs. in Lakh):
6. PDC (Probable Date of completion) in Months (Normally 1 Year):
7. Introduction
8. Global Status of the theme area of the project (Not more than one page)
9. National Status of the theme area of the project (Not more than one page)
10. Gaps Identified
11. Bridging the Gaps
12. Objectives
13. Methodology Timeline linked activity chart.

S. No.	Activity	0-3 M	4-6 M	7-9 M	9-12M	Remarks



14. Break up of Cost.

S.No.	Equipment/ Expandable item/Activity	Cost (Rs)
1		
2		
3		
4		

15. Expected Outcome

16. Future plan to submit a major project to any funding agency (Should be submitted immediately after completion of Seed Fund Project)

17. Selected References

(Name & Signatures of PI)

Dated:

(Name & Signatures of Co-PI, if any)

Dated:

Forwarding of Head of Department

Recommendation of Dean of the School



(Annexure-2)

**SEED MONEY
PROJECT COMPLETION REPORT**

PROJECT TITLE

SUBMITTED BY

(Name of Principal Investigator)

Details of the Department and School

Date of Sanction

Date of Completion

Project Title:		
Duration of Project:	From:	To:
Principal Investigator	Name	
	Email ID	
	Mob No	
	Department and School	
Co-Principal Investigator	Name	
	Email ID	
	Mob No	
	Department and School	



Part A - Summary Report

1. Project Objectives

Objective as per the approved Project	Fully Achieved/Partially Achieved (indicate shortfall)	Reason for Partial Achievement

2. Deliverables

Deliverables as per the approved Project	Fully/Partially/Not Achieved	Reason for Partial/ Non Achievement

Specific Outcome *(Please give details)*

- i. Patent, if any*
 - ii. Product/Process developed/ technology transferred.*
 - iii. List of Publications arising from the Project (Attach Copies of the Papers)*
 - iv. Linkages established.*
- 3. Project Budget (Final)**
- 4. Suggestions for Utilization of Project Outcome *(Give tangible road map, name specific Industrial Units)***

Part B – Comprehensive Report

(The Comprehensive Report should be precise in detail and self-contained)

1. Project Title:
2. Product/Process as an outcome of the Project, identify beneficiaries.
3. Scientific Description (Give Specifications/Standards for the same)
4. Methodology adopted *(State briefly in 300 words, paste picture if any)*
5. Scientific /Industrial Invention giving underlying Basis *(Provide sufficient details)*
6. Further Effort required, if any, to get full Benefits or enhance Utilization.
7. Recommendations for Utilization of the Product/Process. Give details.
8. Output of the Project:
 - Research papers/publications/posters:
 - Patent filings:
 - Participation in conference/ training workshops attended:
 - Status of the submission of the project to any External Funding Agencies(Y/N), If yes give the detail.

Signatures and Name of PI

Signatures and Name of Co-PI



4.3. Incentive to Faculty Members for R&D Activities, Patent, Publication

To inspire and elevate the Research and Development (R&D) pursuits of the faculty members within the University, the subsequent financial support and incentive scheme has been formulated:

S.No.	Item	Amount	Remark
1.	Seed money for Minor Research Projects (Two Years)	Up to ₹ 2.0 lacs per project to be given @ ₹ 1 lac per year	Expendables/Materials, Minor equipment including repair/maintenance
2.	Reward for research publications in SCOPUS/SCI Journals	*SCOPUS /SCI: ₹ 10,000/-	For first as well as for the subsequent publication(s). Professors, excluding the Distinguished Professor, will be given Rs. 2500/- only for 3rd publication onward in the same academic year.
3.	Financial Support to Regular faculty members for Travel/ Registration for attending National and International Conferences	National: up to ₹ 10,000/- - or actual whichever is lower International: up to 50 % of the actual or 30,000/- maximum whichever is lower	Travel (up to ₹ 6,000/- per year)
4.	Minor equipment grants for strengthening infrastructure of Research, Laboratories	₹ 1 lac per laboratory per year	
5.	Charges for using experimental facilities available at other Universities/ Institutes	Up to ₹ 20,000/- per year based on actual bills	Charges for using experimental facilities available at other Universities/ Institutes
6.	Additional Grant for enhancing the e- resources	₹ 10.0 lacs per year	Additional Grant for enhancing the e- resources
7.	Filing and processing fee of patent applications	The University will bear. entire expenditure involved	Filing and processing fee of patent applications



4.3.1. Reward for Publication and Grant of Patents

To motivate the Faculty Members towards innovative research that culminates in publications and patent grants, the University has chosen to bestow the ensuing rewards upon faculty members who achieve such accomplishments:

- Patents Published : ₹ 5,000 /-
- Patents Granted : ₹ 20,000 /-

Patents and Copyrights

All participating researchers, including postdocs, students, and visiting scholars, must sign the Patent and Copyright Agreement of the Shri Venkateshwara University before the commencement of any research activities.

Confidentiality Clause

In cases where an external entity, whether private, governmental, or an individual/group from outside, has shared confidential information with the investigator, measures can be taken to uphold confidentiality and possibly introduce a brief publication delay. During this period, the source of the confidential information may review the proposed publication to confirm that the investigator has not divulged any part of the confidential information intentionally or inadvertently.

Grievance Procedures

The grievance procedures outlined elsewhere in the University Policy documents will be followed for the research projects as well. The general principle is however very clear: These procedures are designed to assure that decisions by faculty members and administrators comply with the standards of academic freedom granted to all faculty and PIs. These procedures are internal to the University and are aimed at preserving confidentiality and academic integrity while protecting the rights of individual staff. The provisions of engagement in the projects do not create contractual rights subject to review by agencies outside the University. There must be some administrative remedies for faculty or research staff grievances covered by parallel rights established under the laws of the land.

- a. The rights herein conferred shall be enforceable only by a person who is directly aggrieved and who holds a faculty or research position; no other person or person could complain on her/his behalf.
- b. If any faculty member feels aggrieved by a decision that she or he believes to be in violation of these guidelines and rules, he or she may file a grievance pursuant to the Statement on Faculty Grievance Procedures and its attendant standing rules.
- c. For grievances brought in whole or in part for alleged violation of the Statement on Academic Freedom, the rules and procedures of the Statement on Faculty Grievance Procedures shall be modified as required. For a grievance not arising out of a negative decision on appointment, reappointment or promotion, the grievance and appeal structure shall rest on the authorities of the University.



CAPTER 5: PROTECTING INTELLECTUAL PROPERTY RIGHTS

5.1. PREAMBLE

The achievement of excellence in teaching and research in the domains of science and technology, engineering, basic sciences, humanities, social sciences, performing arts, and sports is a long-standing tradition at the University. With a mission to continue to be one of the top canthers for teaching, research, and excellence through unwavering dedication in all endeavours, the University provides the technical manpower, technical consultancies, advisory consultancies, and intellectual property rights through its qualified, experienced, and dedicated faculty, technical personnel, administrative staff, as well as students. It is imperative to encourage researchers to consider their work potential uses in areas of greater societal concern than just publishing. Protection and licensing of intellectual property (IP) is essential for the effective application of research to issues of greater public concern. These obligations include the duty to promote the creation of innovative and scholarly works for the creation of novel and practical materials, goods, tools, processes, and other kinds of intellectual property, some of which may have potential commercial worth.

The University researchers have been given technical and financial support by the establishment of the Intellectual Property Cell to help them secure IPRs for their discoveries. Additionally, the IP unit organizes workshops, seminars, and training sessions to raise understanding of intellectual property among university researchers. Considering the university intellectual power, the necessity to preserve intellectual property, and the rising public awareness of breakthrough research with economic potential, an IP Policy document has been formulated to provide guidance to the researchers of the university, comprising academic and non-academic staff, students, research scholars, postdoctoral fellows, visiting scientists and outside agencies involved in the collaborative work. The university also houses an Intellectual Property (IP) Cell.

This document highlights the practices and the rules of the university regarding intellectual property rights (IPR) and obligations depending upon the nature of the intellectual property (IP), requirements of its ownership, its confidentiality, licensing, technology transfer, and revenue sharing. The policy laid down in this document is expected to fulfil the commitment of the university to promote academic freedom and provide a conducive environment for both curiosity-driven and market-driven research and development activities of commercial importance and original works of authorship. It is to be stressed that this IP policy is to be treated more as a guideline than a strict rule in the legal sense in view of the



evolutionary scenario in the national IPR policy and is, therefore, subject to changes if a need arises.

5.2. Objectives

The principal objectives of the University's IPR Policy are:

- To encourage creative and innovative research that results in the creation of new information, ideas, and inventions is one of the main goals of the university's IPR policy.
- To promote the dissemination of innovative commercial and industrial information as well as the results of university-developed research.
- To offer University faculty, staff, and students support in evaluating the patentability and marketability of their discoveries.
- To make it easier to file applications and obtain licenses when the university deems a prime face to be patentable.
- To educate academics, staff, and students on the processes for filing applications under the Patent Cooperation Treaty as well as the processes for provisional patent filing in India.
- To familiarize academics, staff, and students with the patent filing forms
- To encourage the creation of a wide variety of intellectual goods.
- To achieve this, the law gives people and businesses property rights to the information and intellectual goods they create, usually for a limited period of time.
- To give economic incentive for their creation, because it allows people to profit from the information and intellectual goods they create.
- These economic incentives are expected to stimulate innovation and contribute to the technological progress of countries, which depends on the extent of protection granted to innovators.

5.3. Scope of IPR policy

All intellectual property produced at the institution and all related intellectual property rights should be covered by the policy.

All university researchers, including academic and non-academic staff, undergraduate, graduate, doctoral, and post-doctoral students, as well as visiting scientists, who use university resources or otherwise take part in research projects managed by the university are subject to the policy.



5.4. Publication

The loss of prospective intellectual property rights may come from early public disclosure in any manner, researchers should be aware. As a result, they must use all commercially reasonable measures to locate any IP that can be protected as soon as practicable. Additionally, researchers are required to maintain adequate records of their research work and to take reasonable steps to guarantee that only university personnel who need access to those documents to carry out their tasks are given that access.

Researchers have a responsibility to identify any potential intellectual property rights (IPRs) resulting from their work and to provide the IPR Cell with full, complete, and accurate information to allow it to access the relevant technical and related features, ownership, commercial potential, and IP protection that may be applicable.

5.5. Types of IP

The intellectual properties can be broadly listed as:

1. Patents
2. Copyrights
3. Trade/Service marks
4. Industrial designs
5. Software, IC layout designs, and other creative works
6. New plant variety and Biotechnology inventions
7. Traditional knowledge and Geographical Indications

5.5.1. **Patent-** A patent is a form of right granted by the government to an inventor or their successor-in-title, giving the owner the right to exclude others from making, using, selling, offering to sell, and importing an invention for a limited period of time, in exchange for the public disclosure of the invention. An invention is a solution to a specific technological problem, which may be a product or a process and generally has to fulfill three main requirements: it has to be new, not obvious and there needs to be an industrial applicability. To enrich the body of knowledge and stimulate innovation, it is an obligation for patent owners to disclose valuable information about their inventions to the public.

5.5.2. **Copyright-** A copyright gives the creator of original work exclusive rights to it, usually for a limited time. Copyright may apply to a wide range of creative, intellectual, or artistic forms, or "works". Copyright does not cover ideas and information themselves, only the form or manner in which they are expressed.



- 5.5.3. **Trade/Service mark-** means a mark capable of being represented graphically and which is capable of distinguishing the goods or services of one person from those of others and may include the shape of goods, their packaging, and combination of colours.
- 5.5.4. **Industrial Design-** An industrial design right (sometimes called "design right" or design patent) protects the visual design of objects that are not purely utilitarian. An industrial design consists of the creation of a shape, configuration or composition of pattern or colour, or combination of pattern and colour in three dimensional forms containing aesthetic value.
- 5.5.5. **Software** – means instructions that tell a computer, microcontroller, microprocessors what to do. The software comprises the entire set of programs, procedures, and routines associated with the operation of a computer system.
- IC Layout Designs** - means a layout of transistors and other circuitry elements and includes lead wires connecting such elements and expressed in any manner in a semiconductor integrated circuit.
- New Plant Variety-** a plant variety that is novel, distinct and shows uniform and stable characteristics.
- Biotechnology Inventions-** include recombinant products such as vectors, nucleotide sequences, and micro-organisms.
- Traditional Knowledge-** The knowledge developed by the indigenous or local communities for the use of a natural resource with respect to agriculture, food, medicine etc. over a period and has been passed from one generation to another traditionally.
- 5.5.6. **Geographical Indications-** is understood as a sign used to indicate or identify all such goods – agricultural or natural – which originate from or are manufactured in a specific geographical location and carry qualities and reputation attributed to the original place. Further, the qualities characteristics or reputation of such goods are essentially attributable to its geographical origin since there is a clear link between the goods and the place of origin.

5.6. Financial Support

- 5.6.1. IPR applications generated by Researchers shall be filed in the name of the University.



5.6.2. Prior to submitting IPR applications, the researcher(s) must enter into an agreement with the university outlining the following terms:

- a. If the University licences the concerned IPR to a third party for the purpose of commercialization, the researcher(s) must be given a copy of the licence agreement.
- b. Researchers will receive their share of royalties in accordance with the terms of the IPR Policy, and their share will continue to be paid regardless of how long they remain researchers at the university.
- c. The university will make sure that any payments are made on time to the last known address.
- d. The university shall have the right to abandon the concerned IPR, in case of university fails to license the concerned IPR within 10 years of its grant.

5.6.3. IPR Cell working under the administrative control of the University shall be the nodal agency for handling filing, prosecution, grant, maintenance etc. of IPR applications. Dean, Research and Development shall be the signing authority on behalf of the Vice Chancellor.

5.6.4. The University shall bear all costs associated with submitting, pursuing, granting, maintaining, etc. such IPR applications in its name.

5.6.5. The Dean of Research and Development shall decide on an individual basis, taking into consideration the terms and conditions of any agreement signed with such third party, if any, regarding the costs associated with the filing, prosecution, grant, maintenance, etc. of all IPR applications filed jointly in the name of the University and any third party.

5.7. Intellectual Property (IP) Produced by Research Done in Collaboration with Outside Parties

The terms and circumstances of the agreement executed by the parties in question should govern ownership of IP created during research projects carried out in partnership with external partners. However, unless otherwise agreed, the University will typically retain a perpetual, royalty-free licence to use the created IP for research and instructional purposes on a global basis.

5.8. Fostering entrepreneurship and new businesses

The University may agree to transfer its ownership of an intellectual property to the Researcher in order to support and foster entrepreneurship. The Researcher may then choose to sell, defend, and licence the intellectual property on his own, with little assistance from



the University. The fees that such assignee(s) must pay to the university include all costs associated with filing, pursuing, and receiving grants.

5.9. IP Generated by Contractors, Consultants and Vendors

All IPs generated by contractors, consultants, or vendors, as part of their engagement with university, will be owned by the University, unless agreed to otherwise as part of the contract.

5.10. Trade-Secrets and Know-how Information

The university has the authority to declare certain private information a trade secret. In that case, all Researchers will be required to keep the Trade Secret a secret. Researchers and faculty members must sign Non-Disclosure Agreements (NDAs) with third parties to secure the information they have exchanged or are exchanging with them. Trade secrets and technological know-how shall only be disclosed to third parties in writing following written approval from the IPR Cell.

5.11. Reward Programme for IPR Filing

The University shall adopt an incentive programme, which shall be announced by the University from time to time, to encourage an innovation culture among the teaching and researcher community.

5.12. Monitoring and Reacting to IPR Violations

The university will develop measures to monitor IPR infringement by another organization and will appropriately respond to any infringement in the event of any IP the university owns or co-owns with a collaborator. The institution will use all reasonable efforts to prevent its own researchers, faculty, and students from violating intellectual property rights that belong to other people.

5.13. Commercialization and Licensing

- i. The university must use all reasonable efforts to license the intellectual property that its researchers have created. By setting up particular industrial interactions for presenting the University ideas, the University may enter into an MOU with any supporting body to encourage inventors to commercialize their intellectual property.
- ii. The university will encourage the inventors to use their personal professional networks to help commercialize their intellectual property. Any official technology transfer agreement, however, must be handled by the IPR Cell.
- iii. A third party may apply to the IPR Cell for permission to commercialize an



IP after reviewing its pertinent technical profile. The IPR Cell will choose a license cost after consulting with the inventor. The Institution Along with other things, IP protection is intended to encourage anyone connected to the university who has the potential to pursue research that could result in a marketable product or process and, as a result, produce income for the university.

- iv. (iv)The policy calls for stakeholders to split the money made via IP monetization. In addition to the university, these stakeholders will also include inventors, affiliated academic institutions of the university, and administrative entities involved in managing and commercializing intellectual property. However, University reserves the right to decide the proportion of the various sometimes engaged parties in the creation and diffusion of IP.
- v. Starting from the date that any technology transfer agreement is signed, the Researcher and University will split revenue sharing 90:10 in order to ensure early commercialization and encourage the researcher to take proactive initiative for this goal.
- vi. Any single Researcher's total earnings for any given financial year are always limited to Rs. 150 Lakh, and any excess is split between the University and the Researcher.
- vii. Regardless of whether the person remains a Researcher at the institution, the Researcher's share will continue to be paid. All researchers would be eligible for benefit sharing in that IP with an equal proportion if more than one researcher participated in its creation.
- viii. In terms of IP-related profits received by the university, 50% of the revenue may be used to establish the IP management fund for the institution. This fund may be used for any action involving the commercialization, preservation, or acquisition of intellectual property rights.

5.14. Commercialization via Start-up and Spinoff

- a. University-generated intellectual property (IP) may be licensed to a third party or even to a spin-off firm or start-up business that the researcher(s) himself/herself is/are establishing. The University would carefully review any such licensing agreements to make sure that there is no conflict of interest because of their execution, especially in cases where the third party is also the inventor. When a third



party expresses interest in such a transfer of rights, they must first show that they have the financial and technological means to exploit the licensed intellectual property.

- b. Additional terms and conditions, such as income sharing with the University or payment of the cost of statutory protection, may apply to the license. The University will be allowed to cancel such license if it discovers that the third party has not started to commercialize the IP within two years of accepting the license.
- c. University shall be granted a perpetual, non-exclusive, royalty-free license to utilize the licensed intellectual property for its own teaching and scholarly endeavours on a global basis.

5.15. Responsibility of the University for IPR Violations

In the event of any claim, criminal or civil action, suits or proceedings brought by third parties for infringement of their intellectual property rights, the University will not be held liable or responsible in any way for the infringement of the IP rights of third party (ies) by its researchers, faculty, students, or collaborators.

5.16. Term

The initial term of this IPR policy is five (05) years from the start date, and it automatically renews every year after that.

5.17. Conflicts and Appeals

To address the concerns of the aggrieved person(s) or Researcher(s) on the implementation of the Policy, or the validity or breach thereof, the University may create a committee of experts. All disputes thereunder shall be resolved by this committee. This committee's decision must be made within a set time after the issue has been submitted. The Vice Chancellor will settle the ultimate dispute, and his or her decision is binding.

5.18. Applicable Law

The Arbitration and Reconciliation Act, 1996, as amended from time to time, shall govern the resolution of any unresolved legal matter, if any, relating to the interpretation of the Policy.

5.19. Amendments

This IPR Policy may only be amended or modified with the written consent of the University's statutory authority.

5.20. Implementing Organization

The IPR Cell, which is supervised by the Dean of Research and Development, will be responsible for carrying out the Policy.



CHAPTER 6: INSTITUTIONAL ETHICS COMMITTEE

6.1. Preamble

The University, while ensuring a free academic environment for research and development, is also committed to promote and maintain ethical principles in the process of academic research, and to entrench and recognize the transparency of the culture of honesty in all institutional activities. Faculty members, scientists and research scholars are required to carry out their research in compliance with all the University's obligations under legislation and other ethical and contractual obligations. In case of research projects, involving human or animal subjects, including those undertaken as part of a teaching programme, must be approved in advance by the competent committees. All academic staff, students, and visitors of the University are required to make themselves aware and follow the contents of the University Act, Statutes and other policies duly approved by the competent authority. The formulating of research projects should focus on both national and regional priorities into consideration. A plethora of multidisciplinary themes may be identified that augment the academic policy and framework of the University. Thus, the University expects the highest possible standards of integrity during the conduction of academic research and/or in case of supporting any academic research activities. For example, a PhD thesis and other projects submission requires a plagiarism check by the competent authority before it is accepted for evaluation. In this direction, the University has subscribed and used software meant for plagiarism check.

Present policy elaborates on guidelines so that a comprehensive mechanism for academic probity, integrity, and anti- plagiarism is in place. The University adopts UGC guidelines issued from time to time for academic integrity and plagiarism check in its complete form.

6.2. Academic Autonomy, Integrity, and Accountability

Academic autonomy: Academic autonomy is the liberty to pursue the knowledge and conduct research without any difficult intervention. Violation of the recognized academic research norms degrades the institution reputation and is considered as a severe offense.

Academic integrity: Academic integrity is the commitment to trustworthiness, objectivity, admiration, accountability, and acceptability. Academic integrity involves academic research to follow an amplified proficient level, comprising applicable research scheme and structure, adhere to high-level research ethics, and comply with the requirements of professional and regulatory research guidelines and research ethics frameworks issued in appropriate fields. It is intellectual honesty in proposing, performing, and reporting any activity, which leads to the creation of intellectual property.

Academic Honesty: Academia must have the pursuit of truth, awareness, and thoughtful by needful knowledge and trustworthiness in education, training, and research.

Trust: Academia should create an atmosphere of mutual trust to encourage the free exchange of ideas and enable everyone to realize their full potential.

Fairness: Academia should strive to ensure fairness in institutional standards, practices and procedures, and fairness in interactions among community members.



Respect: An academic community should promote respect for mutual respect.

Responsibility: An academic community should maintain excellent values in learning, teaching and research.

Communication: The academic community should widespread its original research findings

6.2.1. Institutional Responsibilities

The Vice Chancellor, Dean Research and development, and Deans of various school are primarily accountable for encouraging and implementing a transparent academic atmosphere, full of decent and high professional ethical standards in academic research. University expects from all members to build and preserve an atmosphere of cooperation, exchange of ideas and development of academic research skills. It is also anticipated by the academic staff to provide the appropriate supervision and guidance to researchers based on the nature of their academic disciplines and related research models. The appropriate training in research design, methodology, equipment uses, data management, record keeping, data protection and publishing the original research work is also expected.

6.2.2. Publication Practice and the University Central Repository.

The university expects and encourages students, research scholars and faculty members to publish their research work in reputed peer reviewed journals by following the undermentioned points.

- **Acknowledgement:** Authors must acknowledge the Shri Venkateshwara University in case of the use of university facilities like Infrastructural/laboratory/other resource specially for the research purpose. This applies to all research outputs, including those published in PhD and other projects.
- **Affiliation:** Reporting authors must follow format for indicating affiliation (Name of Department, Name of School, Shri Venkateshwara University, Gajraula, Uttar Pradesh. Example: Department of Physics, School of Applied Sciences, Shri Venkateshwara University, Gajraula, Uttar Pradesh, India.
- **University Central Repository:** The details of the published research papers (Scopus, WoS, PubMed/ UGC CARE) must be uploaded on the University's Central Repository. Contribution in terms of publications of books/ book chapters in edited volumes and papers in National/International conference-proceedings also to be uploaded on the University central repository. Similarly, a copy of the PhD thesis and other projects, is to be submitted to the INFLIBNET to make it accessible to all Institutions.

6.2.3. Misconduct in Academic Research

6.2.3.1. Research Misconduct

Misconduct in academic research means (but not limited to) the following:

- **Plagiarism:** Intentionally copying idea/thoughts, text, data, or other works (or any combination thereof) without consent and acknowledgement.
- **Piracy:** Intentionally exploiting the thoughts of others without proper recognition.



- Misinterpretation: Unfairly signifying the thoughts or work of others, whether for personal or self-interest.
- Fabrication and falsification of data: Alteration of information related to research and consultancy/training, wrong information or citations in any formal academic activity.
- Professorial misconduct: Arbitrary, prejudiced, or exploitative teaching behaviour.

6.2.3.2. Procedures for Investigation of Research Misconduct

1. **Commencement of actions:** Anyone can file a complaint about academic misconduct to the respective School Dean. Such complaints need to be reinforced by adequate evidence. The dean will decide whether the claims are sufficient to warrant examination by the University Ethics Committee. The person who raised the allegation should be required to submit the foundation for the accusation in writing.

The Ethics Committee may carry out:

- A preliminary investigation to determine whether the allegations have sufficient content and warrant a more thorough investigation.
 - Formal inquiries may include consultation or participation of external experts when necessary.
2. **Investigation:** Where possible, the scrutiny will include inspection of all applicable records, comprising, but not limited to associated research data; computer files; publications and related correspondence. For fair judgment, the external member may be invited. All individuals interviewed during the investigation will be required to respect the personal nature of the investigation.
 3. **Investigation report and recommendations:** The Ethics Committee will prepare a report based on the formal investigation and findings and submit to the Vice Chancellor. Based on the investigation report and the recommendations of the Ethics Committee, the University, may take an appropriate decision, this may include (but is not limited to):
 - Resubmit assignments or academic works.
 - Fail the exam or designated exercises, or the failing grade of the whole course.
 - Depending on the importance of the work to the grade of the whole course
 - A letter of condemnation issued by the University on the recommendation of Ethics Committee, which may or may not be recorded in the scholar's file.
 - Suspend the program.
 - Suspension of award/contract.
 - Revocation of degree or certificate

6.2.3.3. Research Misconduct Committee

The Research misconduct Committee will have the following composition:

- Dean Research and Development, Chairperson
- Two Professors/ Associate Professors, Members
- Concerned Head of Department, Member
- Associate/ Assistant Dean Research, Convenor

The tenure of the committee members save ex-officio members, is for two years.

6.2.3.4. Responsibilities of the Research Misconduct Committee

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- To guide on compliance with ethics in academic research on various research activities of the University.
- To provide the guidance and academic support to research scholars on ethical issues in teaching, research, and other academic activities.
- To seek advice from Research Advisory Committee, Academic Council and the Executive Council of the University on various policies that may be required to receive funding from specific research sponsors.
- To work as an investigation/consultation agency for any disputes related to research ethics.
- Make recommendations regarding the measures (if any) that should be taken on the results of the investigation.

6.3. Plagiarism and Similarity Check

6.3.1. Plagiarism is the practice of taking someone else's work or idea and passing them as one's own. It is an academic offence and scientific misconduct, which includes copying someone's text without citation, improper or inadequate citation, paraphrasing without citation, paraphrasing with different meaning, self-plagiarism (own previous publications) etc. Similarity with copied text (%) from other sources with proper citation. Similarity is not plagiarism, if credit is given where it is due.

6.3.2. **Plagiarism Prevention:** The University strictly deal with anti-plagiarism norms to minimize the plagiarism as low as zero percent.

I. Plagiarism prevention norms shall be applicable to all students, research scholars and faculty members of the University as per UGC (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018.

II. Research publications (conference paper, research paper, review article), research proposal, PhD synopsis, PhD thesis and project work shall be submitted to the University along with a self-declaration statement about its plagiarism & similarity check.

III. The submitted work will be thoroughly checked for plagiarism and similarity. However, the quoted text, references, bibliography, table of content, preface, acknowledgements, all generic terms, laws, standard symbols and standard equations etc be excluded. If similarity exceeds the permissible limit, the manuscript should be modified suitably to fit in the admissible range.

6.3.3. Documents to undergo plagiarism check include research papers, theses, dissertations, books, chapter (s) in books, opinions, assignments where teacher specifically prescribes the limits, publications in print or electronic media. It shall exclude material written in mid-term and end-term examination answer scripts, where the author has taken specific permission before reproduction, references, bibliography, table of contents, preface generic terms, laws, standard equations, and acknowledgements.

6.3.4. **Carrying out plagiarism check.** Concerned stakeholder is primarily responsible for plagiarism check before submission to competent authority.



- A faculty member nominated by the HoD/ Dean of the School shall do plagiarism check for PhD thesis and other Projects. Maximum similarity limit allowed is 10% for PhD and other projects.
- Dean, research and development or nominee shall do plagiarism check for PhD thesis and any other material submitted to Research Development Cell with the limits prescribed by the University.
- Dean or nominee shall do plagiarism check for publications – print or electronic of the faculty / scholars / students that emanate from the school.

6.3.5. Penalties

The Research Committee shall go into details of the breach of academic integrity and shall recommend to Vice Chancellor for penalties which in the mildest case could be warning and in severest cases it could be dismissal of the employee or debarring the student / scholar. The committee shall recommend penalties as per UGC guidelines, where applicable, only after the misconduct has been established beyond reasonable doubt and the individual has been provided enough opportunities to defend in fair and transparent manner. Executive council (EC) shall be the final deciding authority in the case of employees and Vice Chancellor shall be the final deciding authority in the case of students / scholars. The University shall reserve the right to cancel the degree / award / credit so given when the academic misconduct is established long after the conferment as per the policy guidelines for withdrawal of degrees. If found guilty of plagiarism, the concerned research worker will be liable for penalty as may be decided by the Ethics Committee of the University, which may include any of the following.

- Rejection of the work.
- Rustication from the academic programme of the University (for students).
- Disciplinary actions/Termination of the job (for employees).
- Any other as decided by the Ethics Committee

6.3.6. Institutional Ethics Committee (IEC)

It is mandatory to constitute Institutional Ethics Committee (IEC) and seek its approval for bio-medical research involving human subjects. In SVU, the IEC was constituted under the aegis of the concern Dean of SVU.

Composition of IEC

- One Senior Medical Professional as Chairperson
- 1-2 basic medical scientists (preferably one pharmacologist)
- 1-2 clinicians
- One legal expert or retired judge.
- One social scientist / representative of non – governmental voluntary agency
- One philosopher / ethicist / theologian
- One lay person from the community
- Member Secretary

The ethical committee as notified vide no. 1-1/VIMS/GA/2022-23/ 205, dated May 29, 2023, by Dean Academics, Venkateshwara Institute of Medical Sciences (VIMS), a constituent of university, is as follows.



Sr.no.	Name	Designation	Affiliation
1	Dr. Monica Sharma	Chairperson	Professor & Head, Dept. of Pharmacology, LLRM Medical College, Meerut
2	Dr. Bhabhajyoti Bora	Member Secretary	Asso. Professor, Dept. of Anatomy, VIMS
3	Dr. Anoop Kumar	Member, Basic Medical Scientist	Asso. Professor, Dept. of Biochemistry
4	Dr. Saurabh Kansal	Member	Asso. Professor, Dept. of Pharmacology, VIMS
5	Dr. Amrish	Member	Asso. Professor, Dept. of Community Medicine, VIMS
6	Dr. Pankaj Mahesh	Member	Prof. & Head, Dept. of Radiodiagnosis, VIMS
7	Dr. G.S. Jeety	Member	Prof. & Head, Dept. of Anaesthesia, VIMS
8	Shri R. Lakshman	Member-Legal Expert	Advocate, Ghaziabad
9	Shri Ramnivas Trivedi	Member-NGO/Social Worker/Theologian	Kulpurohit Yogacharya, Amroha
10	Km. Vinita	Member-Lay Person	Homemaker, Gajraula

Membership Requirements

- Duration of appointment is initially for a period of 2 years.
- At the end of 2 years' committee is reconstituted, and 50% of the members are replaced by a defined procedure.
- A member can be replaced in the event of death or long-term non-availability or for any action not commensurate with the responsibilities laid down in the guidelines deemed unfit for a member.
- A member can tender resignation from the committee with proper reasons.
- All members should maintain absolute confidentiality of all discussions.

Role of IEC

- IEC ensures a competent review of all ethical aspects of project proposals received by it in an objective manner free from any bias and influence.
- IEC provides advice to the researchers on all aspects of welfare and safety of research participants after ensuring the scientific soundness (of the project / protocols study).
- IEC may take up the dual responsibility of review of both, the scientific content, and ethical aspects of the proposal.
- According to the Ethical approval for conduct of clinical study/ research project

Responsibilities of IEC

- To protect the dignity, rights and well – being of the potential research participants
- To ensure that universal ethical values and international scientific standards are expressed in terms of local community values and customs.



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- To assist in the development and the education of a research community responsive to local health care requirements (ICMR)
- IEC has some additional responsibilities like reviewing a proposed / study within a reasonable time and documents its views in writing for the following:
 - Approval / favourable opinion
 - Modifications required prior to its approval / favourable opinion.
 - Disapproval / negative opinion.
 - Termination / suspension of any prior approval / favourable opinion (as per ICH –GCP Guidelines).

Record Keeping

All documentation and communication of IEC are dated, filed, and preserved according to written procedures. Strict confidentiality is maintained.

Records are maintained for the following:

1. Constitution and composition of the IEC
2. CV of all IEC members
3. SOPs of the IEC as per National and International guidelines
4. Copies of the Protocol, data collection formats, investigators regarding application, decision and follow up.
5. All correspondence with IEC members and investigators regarding application, decision and follow up.
6. Agenda of all IEC meetings and minutes of meetings will be signed by the Member Secretary.
7. The decisions are communicated to the applicants.
8. Record of all notifications issued for premature termination of a study with a summary of the reasons, if any Records are safely maintained after termination of the study for at least a period of 5 years as per (CDSCO) and (3 years-ICMR, ICH) Guidelines.

Review Process

- **Periodic Review** – at regular intervals of six months to one year as may be specified in the SOP.
- **Continuing Review** – approved projects for continuation, new information, adverse event monitoring, follow – up.
- **Interim Review-** can be resorted – to instead of waiting for the scheduled time of the meeting. However, decisions taken should be brought to the notice of the main committee for Reasons:
 - To re-examine a proposal
 - Research study of a minor nature such as examination of case records etc.
 - An urgent proposal of national interest Administration and Management.
 - A full-time secretariat and space for keeping records be made available.
 - The external members are given a reasonable compensation for reviewing the proposals.
 - A reasonable fee is charged to industry-based companies for project proposals to cover the expenses related to review and administrative processes (ICMR) as per guideline.

