



# VINAYAKA MISSION'S RESEARCH FOUNDATION

(Deemed to be University under section 3 of the UGC Act 1956)

## RESEARCH POLICIES

March 2024

## Foreword

Research and innovation play an important role in the development of Science & Technology, helping the human mankind to have a better and comfortable standard of living. In the early years, the research has been more self-driven and individual centric. However over a period of time, exclusive institutes have been setup to do research in an organized way and we could see phenomenal growth over the last six to seven decades.

Realizing the importance of research, educational institutes have started contributing to the development and many well established universities have been encouraging and incentivizing the efforts of faculty throughout the world.

Ever since Vinayaka Mission's Research Foundation has become a Deemed university in 2001, the concentration was more on achieving academic excellence. Having attained a level of maturity in academics, I am happy that the University has turned its attention towards research. The last Five years have seen significant initiatives towards research and the efforts started yielding positive results. Many exclusive Research Laboratories have been established in different institutes of the university by investing considerable money and time.

VMRF (DU) is keen to establish itself as a leading research institution by promoting research in its constituent colleges, by taking research initiatives and outcome to next higher level. As part of this effort, systems, structures and organization have been put in place. To accelerate the growth, it is decided to reward its most productive researchers with handsome incentives, to increase the research outcome, the number of publications and patents as well as expand its research infrastructure. VMRF (DU) is committed to create conducive environment for its faculty and students to conduct the directed research in the University.

Various Research Policies for the University have been put in place. This document illustrates the various Research Policies along with revised Research Promotion and incentive policy covering the various initiatives such as Seed Money to faculty to prove/test their innovative research concepts, enhanced fellowships to Ph.D scholars, Post Graduate Students, Postdoctoral fellows. Also to make rapid progress in research, Research Associates for carrying out full time research are being recruited to augment the research efforts of the faculty. Various incentives for carrying out externally funded research, publishing their research outcomes in high impact factor journals, publishing maximum number of indexed journals, writing books and book chapters, filing patents and towards capacity building for research.

This concise book covers all the Research & Innovation Policies of VMRF (DU).

I sincerely thank the management for the far reaching and progressive initiatives taken to promote research in the university.

**(Prof.Dr.P.K.Sudhir)**

**Vice Chancellor**

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# VINAYAKA MISSION'S RESEARCH FOUNDATION

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## RESEARCH PROMOTION POLICY

## RESEARCH PROMOTION POLICY

The Research promotion Policy is formulated to create a vibrant atmosphere of research among faculty, students and researchers in Vinayaka Mission's Research Foundation, a Deemed to be University. The policy shall serve as an overall framework within which research activities may be carried out. This is a University wide Research Policy. It is implementable in all its ambit institutes in all campuses of Vinayaka Mission's Research Foundation in India. The following are research objectives and functions of the Research Foundation:

- The Vinayaka Mission's Research Foundation has constituted a Research Advisory Board, comprising Vice Chancellor as Chairperson, Director (Research) as convener and Eminent academicians and Researchers as members to formulate research policies, oversee and guide the research activities.
- The Vinayaka Mission's Research Foundation has constituted University Research Committee with Director (Research) as Chairperson, Deputy Director (Research) as convener and HoI/Research Coordinators as members to initiate, follow up and guide the research activities in the institutes.
- Vinayaka Mission's Research Foundation has constituted University Ethics Committee (UEC) with an eminent person the chairperson and Director(Clinical Trials) as Member-Secretary to oversee the Ethical issues related to multidisciplinary research projects, clinical trials and ethical issues related to research in the constituent colleges
- In addition VMRF-DU has constituted Institutional Research Committees with HoI as Chairperson and approved Ethical Committee by CDSCO wherever applicable to follow up and guide the research activities in the institute.
- Research, being one of the major functions of this Academic institution, the University consistently motivates the faculty Members to undertake research projects, funded by UGC, DST, DBT, ICMR, CSIR, DRDO, CCRH and other funding Agencies, to promote research and to generate knowledge through innovative research to meet the industry needs.
- The University extends financial support to the faculty members for presenting papers and publishing research articles as per the university research incentive policy.
- The University awards the faculty members who publishes research papers in the indexed journals and books with incentives quarterly to motivate them to achieve more in the field of research.
- **As far as the incentives are concerned faculty mean, Full time, recognized faculty members including Assistant Professors (Research). However Assistant Professors (Research) are not included in the eligible faculty for Chancellor's Awards.**
- The University renders financial assistance to each Institution to organize National and International Conferences, inter-university seminars/workshops regularly.
- The University periodically improves the research infrastructure facilities, State-of-the art laboratories in the constituent institutions, the digital library and the Internet Connectivity to make research work more feasible.
- The University encourages the students to take up projects, provides them with ample opportunity to present papers in conferences and seminars on and off the campus, and stimulates them to publish their findings in journals.
- The University envisions to recruit Ph.D. holders as faculty for improving the quality of research.
- The University promotes interdisciplinary research, multidisciplinary research by encouraging all the Departments in the constituent institutions to take up interdisciplinary/multidisciplinary projects and conduct interdisciplinary/multidisciplinary seminars/conferences.

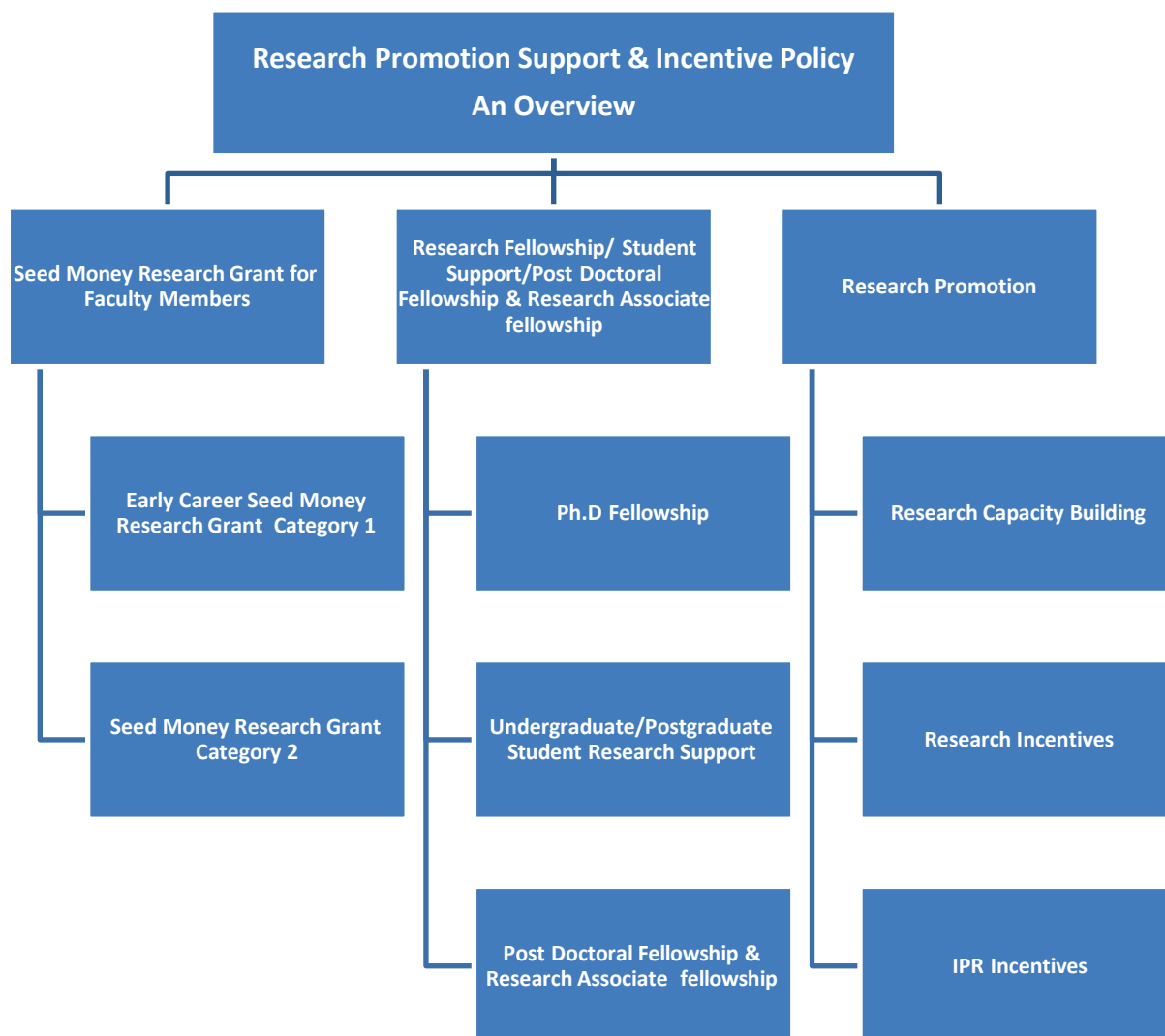
- The University constituted Multidisciplinary research Promotion Cells to promote Multidisciplinary research among the Constituent Colleges.
  - The University constituted Intellectual Property rights Cell for promoting the innovations in research.
  - In addition to the UG and PG laboratories, the constituent institutions are encouraged to establish Research labs and Research Centers of Excellence in the innovative areas of research.
  - To expand the relevance of research carried out in institutions, foster the commercialization of R&D outcomes, and increase the mobility of experts between public and Private Sectors. Towards this University is constantly encouraging the initiatives to establish industry linkages and networking with different institutions through collaboration and MoU's.
  - University facilitates and rewards faculty members and staff involved in research and consultancy projects as per the University Consultancy Policy.
  - The university grants awards to the faculty and the institutions for carrying out quality research, best publications and patents as per the university research incentive policy.
  - Contributions to research are given due weightage in the annual performance review of the faculty and considered for their carrier advancement.
  - Sabbatical for the faculty members for pursuing postdoctoral research.
  - University offers Seed money to the faculty to carry out research and prove their research concepts.
  - University recruits Research Associates to carry out full time research in emerging areas and areas of relevance to the ambit institutes.
  - University provides fellowship amount to its Ph.D scholars to carry out research in the areas of relevance to the institutes.
  - University provides fellowship to carryout Postdoctoral Research in the university.
  - University provides student fellowships to carryout short term UG/PG research projects.
  - University encourages incubation of research ideas through incubation centers.
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# VINAYAKA MISSION'S RESEARCH FOUNDATION

(Deemed to be University under section 3 of the UGC Act 1956)

## **Research Promotion Support & Incentives Policy**





## **Research Promotion Support and Incentives Policy**

### **Purpose:**

VMRF (DU) is keen to establish itself as a leading research institution by promoting research in its constituent colleges, Schools and departments by expanding its research infrastructure and rewarding its most productive researchers with incentives to increase the number of publications, patents, Extramural Projects. VMRF (DU) is committed to create conducive environment for its faculty and students to conduct the research in the University. The VMRF (DU) Research promotion support and Incentives policy has been modified with the following objectives.

1. To offer financial support to encourage faculty members (Full time, recognized faculty members including Assistant Professors (Research)) to carry out innovative research and prove/test their research ideas by granting seed money on merit of the proposal on competitive basis.-
2. To offer Chancellor's awards in every Calendar year, to the faculty members (Assistant Professors (Research) are not eligible) having a) annual highest cumulative impact factor/Cite Score publications, b) annual highest number of indexed (Scopus, WoS (core collection), PubMed, UGC CARE) publications, c) completed highest value externally funded research project. d) To offer award to the institution which had executed highest cumulative value of externally funded projects. Both awards a) & b) are given, separately for Health Sciences Faculty and non- health sciences faculty.
3. The University offers incentives for the patents granted viz. inventions, design, Published copyrights, trademarks granted thus encouraging Intellectual Property Rights.
4. To reimburse the publication charges of papers published in Q1 & Q2 journals as per the policy.
5. To reimburse the Patent filing charges to eligible faculty.
6. To provide support to faculty and students for IPR.
7. To strengthen the Ph.D program by offering fellowships to candidates.
8. To recruit Post-doctoral fellows/Research Associates to carryout research in the Areas of interest to the institutes/University.
9. To encourage UG/PG students research projects/dissertation/thesis through short-term Financial support
10. To encourage faculty members to provide consultancy services on the respective domains.
11. Incubation facilities are set up to promote innovation, entrepreneurship and encourage startups.
12. To conduct Oration/ Guest Lectures by eminent Scientists/Academicians/Health Care Professionals/ Industry Experts.

## I. OVERVIEW OF SEED MONEY RESEARCH GRANTS FOR FACULTY MEMBERS:

To encourage faculty members to carryout research, try their novel research ideas and to prove /test their conceptual ideas, research grants in the form of seed money are provided in every academic year for an amount of Rs.300 Lakhs/year to the faculty in its constituent colleges/Schools of the University. The research grants are provided in two categories **Category I: Faculty members of less than 40 years of age exclusively and Category II: All faculty members irrespective of age.**

**Table 1: Overview of Seed Money Research Grants for Faculty members\***

	<b>Early Career Seed Money Research Grants Category I</b>	<b>Seed Money Research Grants Category II</b>
<b>Purpose</b>	Seed money for early career faculty exclusively to Support for preliminary studies/proof of concept research.	Seed Money to all interested faculty members to Support aiding to sponsored research projects
<b>Who can apply?</b>	Early stage Faculty of (<40years) with no prior funding from VMRF(DU)	Any faculty member with no currently active Category I or Category II seed money
<b>How much funding?</b>	Normally up to Rs.2,00,000 for a period of maximum 2 years for equipment / personnel /consumables	Normally up to Rs. 5,00,000 for a period of maximum 2 years for equipment / personnel/Consumables
<b>Budgeted Amount</b>	Rs. 100 Lakhs in each Academic year	Rs. 200 Lakhs in each Academic year
<b>Deliverables</b>	<ul style="list-style-type: none"> <li>● Deliverables as projected in the proposal</li> <li>● Project outcome report,</li> <li>● At least two indexed publications,</li> <li>● Follow-up grant proposal for external funding.</li> </ul>	<ul style="list-style-type: none"> <li>● Deliverables as projected in the proposal,</li> <li>● Project outcome report,</li> <li>● Follow-up grant proposal for external funding</li> <li>● Two indexed publications and</li> <li>● A paper presentation at National/ International Conference.</li> </ul>

\* See Part I for details

**Note:** All Seed Money Projects approved by Vice Chancellor will be given an Unique Id by Director (Research), which shall be referred to in all the correspondence viz. request for approval of purchase, hiring of any services etc. by PI to HoI, Indent being sent to Purchase Officer, Purchase Order placed by Purchase Officer, the receipt voucher by the Stores Officer, Stock register maintained by the Stores Officer, issue of items to PI and Payment made by the accounts manager.

**I. OVERVIEW OF RESEARCH FELLOWSHIPS /STUDENT SUPPORT/ POST-DOCTORAL FELLOWSHIP & RESEARCH ASSOCIATE AWARD \*:**

**Table 2: Overview of Research Fellowships / Student Support/ Post-Doctoral Fellowship and Research Awards**

*(Priority based on the No. of Research Supervisors in the Institutions and the emerging areas of research)*

	<b>Ph.D Fellowships Category- I</b>	<b>Undergraduate/Post graduate support Category II</b>	<b>Post-Doctoral Fellowship/ Research Associates Award Category III</b>
<b>Purpose</b>	Fellowship support for Ph.D candidates	Support for undergraduate/postgraduate students Projects	Support for Post-Doctoral Research/Research Associates
<b>Who can apply?</b>	Full time Ph.D candidates receiving no other financial support	Undergraduate/ Postgraduate students who are carrying out project work requiring financial support.	For Post Doctorate: Ph.D candidates. Research Associates: Preferably Ph.D holders
<b>Selection process</b>	Entrance test / interview for Ph.D applicants	Evaluation of received research proposals	Proposal Review and /or Interview by a selection committee
<b>How much funding?</b>	Fellowship of up to maximum of Rs. 25,000 per month for a maximum duration of 3 Years. Based on the Performance, after review, the fellowship may be extended for one more year in exceptional situations. Those who are qualified in GATE,GPAT, UGC CSIR NET etc. are eligible for a fellowship of Rs.30,000/Month.  A maximum of Rs.10,000/year as contingency	Up to Rs. 20,000/ Student	Rs.40000/ to Rs.75000/ Month for the period of engagement.  Maximum of Rs.50,000/year- for consumables, travel and contingency/Human Resource Support
<b>Budgeted Amount</b>	Rs. 65 Lakhs/year	Rs. 20 Lakhs/ Year	Rs. 65 Lakhs/year
<b>Deliverables</b>	1. Ph.D Thesis 2. Minimum Three publications in Indexed Journals	1. Project report 2. Minimum one publication (at least communicated to indexed journal)	1.Project Report 2.Minimum Three publications in indexed journals/year

\* See Part 2 for details

### III. OVERVIEW OF RESEARCH PROMOTION:

To promote and get external research funding from R&D organizations and industries to update the faculty technical skills and meet industry requirements.

**Table 3: Overview of Research Incentives\*\***

Type of Incentive	Quantum of incentive
i) Incentives for obtaining external research Funding	5% of total grant amount received shared in a 1:1 ratio between Principal and Co-investigator(s) from VMRF(DU)
ii) Incentives for publications – Journal articles (SCOPUS/Web of Science (Core Collection) /PubMed/UGC CARE)	Ranging from a total of Rs.2000/ publication to Rs.9000* (as per the Journal Impact Factor/Cite Score) per publication to be shared between First Author, Corresponding Author and Co-authors as mentioned.
iii) Incentives for Indexed Books/Book Chapters	Rs. 20000/Book which is indexed in Scopus/WoS. If the indexed Book is Published by VMRF Faculty, no separate incentive will be paid for the book Chapters of that book. If the Indexed Book is Published/edited by the faculty of other Universities, an incentive of Rs. 5000/Book Chapter contributed by VMRF faculty will be paid.  <b>No incentive will be paid for non-indexed books &amp; Book chapters.</b>
iv) Incentive for Patents Granted	Patents Granted: Inventions: Rs.50,000 Designs, Aesthetics of Products : Rs.10,000 Trademarks, Brands: Rs.2,500 Published Copyright :Art, Software, Music: Rs.2,500 Geographical Indications: Origins : Rs.2,500 Trade Secrets, Formulae, Know-How's : Rs.2,500  The incentive will be only for the Published Copyrights only.  <b>The Incentives for the Patents granted will be given if the applicant's name is in the name of VMRF (DU) only.</b>
v) Incentive for Research Capacity Building	Faculty who qualify in NPTEL/SWAYAM that are <b>Research Capacity building courses only</b> are awarded the following incentives (8-12 week Courses) Based on Securing grades Gold/Topper – Rs. 7,500/course Silver – Rs.5,000/Course Elite – Rs.3,000/Course Successful – Rs.2,000/Course For 4 week courses an amount of Rs.2000/ will be paid.

<p><b>vi) Chancellor's Awards</b></p> <p><b>a)Chancellor's Award</b> for Annual Highest Cumulative Impact factor/ Cite Score Publications.</p> <p><b>b)Chancellor's Award</b> for Annual Highest Number of Indexed Publications</p> <p><b>C )Chancellor's Award</b> for Annual Highest value Externally funded research project executed by the faculty member (after completion of the project.)</p> <p><b>d) Chancellor's Award</b> for Annual Highest cumulative value of externally funded research projects completed by the institution.</p>	<p>a) Two cash prizes of Rs. 100000/- and certificates of appreciation.</p> <p>b) One award each will be given for the faculty of Health Sciences and other than Health Sciences faculties.</p> <p>c) Assistant Professors (Research) are not eligible.</p> <p>d) Two cash prizes of Rs. 100000/- and certificates of appreciation.</p> <p>e) One award each will be given for the faculty of Health Sciences and other than Health Sciences faculties.</p> <p>f) Assistant Professors (Research) are not eligible.</p> <p>g) <i>Health Sciences Faculties include Medicine, Dental, Homeopathy, Pharmacy, Physiotherapy, Allied Health Sciences, Nursing</i></p> <p>h) <i>Other than Health Sciences Faculties include Engineering &amp; Technology, Management, Arts &amp; Sciences, Law, Architecture, Physical Education.</i></p> <p>i) A cash prize of Rs.50000/- and certificate of appreciation - Assistant Professors (Research) are not eligible.</p> <p>j) A cash prize of Rs.50000/- and certificate of appreciation to the institution.</p>
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**\*\*See Part 3 for details**

**Research Prizes:** Every year Research Prizes will be given to the institutes & faculty who excel in Research, during the University Research Day. In addition Research Paper contest will be conducted and 1<sup>st</sup>, 2<sup>nd</sup>, 3<sup>rd</sup> Prizes will be given for the best research papers during the Research day.

## **PART 1 : SEED MONEY RESEARCH GRANTS FOR FACULTY MEMBERS**

### **Early Career Seed Money Research Grant-Category I**

#### ***Purpose***

To support faculty members including Assistant Professors (Research), at the early part of their career to nurture them in the field of research.

#### ***Eligibility***

- A Faculty member of VMRF(DU) University below the age of 40 years as on 1<sup>st</sup> January of the year in which the seed money is sought.
- Younger applicants who have not received external funding will be preferred, depending on their potential and topic of importance.

#### ***Funding level***

Normally up to a maximum of Rs.200000/-

#### ***Duration***

Maximum 2 years. Extension by six months in justifiable cases with a no-cost escalation.

#### ***VMRF (DU) Budgeted amount***

A total of Rs.100 Lakhs/ Year is earmarked for this type of grant.

#### ***Budget norms***

The total funding can be used for equipment purchase/ hiring Personnel/Consumables purchase/Contingencies with the following conditions / limits:

Equipment including computers and software.	<ul style="list-style-type: none"><li>• No sub-limit</li><li>• Due processes and procedures as specified by VMRF (DU) to be followed in equipment procurement.</li><li>• Equipment procured under the project will be the property of VMRF (DU) and will be under the administrative control of the concerned Head of Department / Institution. During and after completion of the project, it will be shared and made available for any other project/program if such use will not interfere with the work on the project for which the equipment was originally procured.</li></ul>
Personnel	<ul style="list-style-type: none"><li>• A Research Assistant or Technical Assistant or Field Assistant may be recruited purely on a temporary basis for one year, extendable to a maximum of two years.</li><li>• Maximum remuneration of Rs.10000 per month for Research Assistant, Rs.8000 per month for Technical / Field Assistants.</li><li>• Qualifications and recruitment procedures as laid down by VMRF (DU) to be followed for recruitment.</li></ul>
Consumables	<ul style="list-style-type: none"><li>• No sub-limit</li><li>• Only for consumables directly required for the project. Expenses on stationery, travel is not permitted.</li></ul>

Payments towards charges for in- house investigations	<ul style="list-style-type: none"> <li>● No sub-limit.</li> </ul>
Payments towards charges for investigations / services by external agencies	<ul style="list-style-type: none"> <li>● Only if the investigations / services are crucial for the study and are unavailable in-house.</li> <li>● Not more than 50% of total grant may be used for such purposes.</li> <li>● VMRF (DU) procedures to be followed while availing services by external agencies against payment.</li> </ul>
Publication charges	<ul style="list-style-type: none"> <li>● Publications Charges of up to Rs. 10000/ towards indexed Publications made arising out of the Seed Money Project.</li> </ul>

### ***Selection process and timeline***

- Applications in prescribed format will be submitted to the University through Head of the Institution with recommendation of Institutions Research Committee and Ethical Committee, if required, on or before specified date to Director (Research).
- External Experts will evaluate the seed money proposals and make their recommendation. The University Technical Committee constituted by Vice Chancellor will review the recommendations. The recommendations of the Technical committee will be placed in the University Research Committee for final recommendation to the Vice Chancellor for approval.
- The Vice Chancellor may approve the research proposals based on the URC's recommendation.

### ***Post-award processes***

- Projects have to be initiated within 1 month of approval
- The progress report has to be submitted to the Director (Research) through HoI every 3 months.
- If an extension of duration is sought, the request should be submitted in prescribed format, at least two months before the originally scheduled end of the project through HoI to the Director (Research) for recommendation to Vice Chancellor .
- The Guidelines to be followed by PI, HoI, Purchase officer, Accounts Manager are given in Annexure A.

### ***Deliverables***

- A final report in the prescribed format has to be submitted through HoI to the Director (Research) after the completion of the project.
- At least two indexed publications shall be submitted in indexed (Scopus / Web of Science (Core Collection)/ PubMed / UGC CARE) Journal along with final project report
- Deliverables as projected in research proposal.
- Faculty shall apply for a follow-up grant proposal for funding from any external funding agency

## SEED MONEY RESEARCH GRANT FOR FACULTY MEMBERS (CATEGORY II)

### **Purpose**

To support faculty members including Assistant Professors (Research) to nurture them in the field of research, to have research bent of mind, to update their knowledge through research, to initiate a research project that has the potential to be developed into an externally funded proposal.

1. This grant may be used for the following types of studies:
  - §Feasibility studies to test/prove research concepts, pilot studies.
  - §Studies aimed at collecting preliminary data.
  - . Exploration of novel research ideas or conducting research in important areas.

### **Eligibility**

- A Faculty member with one year experience in VMRF (DU) with no other currently active VMRF (DU) funded project.
- Faculty who are not currently having any external funding will be preferred.

### **Funding level**

Normally up to a maximum of Rs.500000/-

### **Duration**

Up to 2 years. Time extension of 6 months in justifiable cases with no-cost escalation.

### **VMRF (DU) quantum of grants**

A total of Rs.200 lakhs/Year is earmarked for this type of grant.

### **Budget norms**

The total funding can be used for equipment purchase/ Personnel hiring / Consumables purchase / Contingencies with the following conditions/ limits:

Equipment (Laptop computers are not permitted).	<ul style="list-style-type: none"><li>● No sub-limit</li><li>● Due processes and procedures as specified by VMRF(DU) to be followed in equipment procurement</li><li>● Equipment procured under the project will be property of VMRF (DU) and will be under the administrative control of the concerned Head of Department / Institution. During and after completion of the project, it will be shared and made available for any other project/program if such use will not interfere with the work on the project for which the equipment was originally procured.</li></ul>
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Personnel	<ul style="list-style-type: none"> <li>● A Research Assistant or Technical Assistant or Field Assistant may be recruited purely on a temporary basis for one year, Extendable to maximum of two years. The need for such Personnel should be clearly justified.</li> <li>● Maximum remuneration of Rs.10000/- per month for Research Assistant, Rs.8000/- per month for Technical / Field Assistants.</li> <li>● Qualifications and procedures as laid down by VMRF (DU) to be followed for recruitment.</li> <li>● Applicants who are active PG/Ph.D guides are encouraged to involve their PG students/Ph.D Scholars preferably instead of recruiting personnel under these grants.</li> </ul>
Consumables	<ul style="list-style-type: none"> <li>● No sub-limit</li> <li>● Only for consumables directly required for the project. Expenses on stationery and travel is not permitted.</li> </ul>
Payments towards charges for in-house Investigations	<ul style="list-style-type: none"> <li>● No sub-limit.</li> </ul>
Payments towards charges for investigations / services by external agencies	<ul style="list-style-type: none"> <li>● Only if the investigations / services are crucial for the study and are unavailable in-house.</li> <li>● Not more than 50% of total grant may be used for such purposes</li> </ul>
Publication charges	<ul style="list-style-type: none"> <li>● Publications Charges of up to Rs. 10000/ towards indexed Publications made arising out of the Seed Money Project.</li> </ul>

#### ***Selection process and timeline***

- Applications in prescribed format will be submitted to the University through Head of the Institution with recommendation of Institutions Research Committee and Ethical Committee, if required, on or before specified deadline to Director (Research).
- External Experts will evaluate the seed money proposals and make their recommendation. The University Technical Committee constituted by Vice Chancellor will review the recommendations. The recommendations of the Technical committee will be placed in the University Research Committee for final recommendation to the Vice Chancellor for approval.
- The Vice Chancellor may approve the research proposals based on the URC's recommendation.

#### ***Post-award processes***

- Projects have to be initiated within 1 month of approval
- The progress report has to be submitted to the Director (Research) through Hol for every 3 months.
- If an extension of duration is sought, the request should be submitted in prescribed format, at least two months before the originally scheduled end of the project through Hol to the Director (Research) to be recommended to

Vice Chancellor.

- The Guidelines to be followed by PI, HoI, Accounts Manager are given in Annexure A.

### ***Deliverables***

- A final report in the prescribed format has to be submitted through HoI to the Director (Research) after the completion of the project.
- At least two indexed Publications in (Scopus / Web of Science (Core Collection) /PubMed/UGC CARE) Journal along with final project report
- Faculty shall apply for a follow-up grant proposal for funding from any external funding agency
- Deliverables as projected in research proposal.

## **PART 2: RESEARCH FELLOWSHIPS / AWARDS/ STUDENT SUPPORT**

### **i) Ph.D Fellowships Category I**

Each year, Fellowships will be available for full-time Ph.D candidates selected through the procedures described in the VMRF (DU) Ph.D Regulations. Each fellowship will carry a consolidated stipend of maximum up to Rs.25,000 (regular), Rs.30,000 (for students qualified in GATE, GPAT, UGC CSIR NET, etc. in the last 3 years) per month for three years and extendible by one year in deserving cases after performance review.

**Selection Process:** Applications for pursuing Ph.D in VMRF (DU) will be sought through an advertisement put in University Website/News Paper. After the last date, the eligible applicants will be called for a written test. The candidates qualified in the written test will be called for interview. The selected candidate will pursue the Ph.D programme in any of the constituent institutes. The research topic will be decided by the Guide and student together and it shall preferably in an area of interest to the university

**Contingency Fund:** Rs. 10,000/year is available for each Ph.D Scholar towards contingencies.

### **ii) UG/PG student support Category II**

- ~~1.~~ A total of up to 100 Short term Student projects of a maximum of Rs. 20000/ student project in every academic year will be given on a competitive basis for the UG/PG students. The sanctioned amount will be paid after successful completion of the project and publishing one indexed publication (In Scopus/WoS/PubMed/UGC CARE).
- ~~2.~~ For receiving Category II support, students have to apply through the project guide/ Supervisor (Faculty member).
- ~~3.~~ Funding will be for the duration of the project not exceeding 24 months depending up on the Streams.
- ~~4.~~ The Student Research Grant may be used (with prior approval by HoI) for any research related expense other than travelling/registration for conferences /workshops etc.

- 5- Applications in prescribed format will be submitted through Hol to the Director (Research).
- 6- A final list of selected applicants will be made by the Technical Committee and put up to Vice Chancellor for approval. The sanctioned list of fellowship will be reported to URC.
- 7- Project completion report is to be submitted in prescribed format within 1 month of completion of the project.
- 8- On acceptance and approval of project completion report, the Student Investigator will receive a Certificate from VMRF (DU).

**iii) Post-Doctoral Fellowships / Research Associates fellowships:**

When Post-Doctoral fellows/Research associates have to be recruited, University will advertise in the news Papers/ University web site, the requirements, the desired qualifications and Specializations. After the last date for receipt of applications, the received applications will be screened by a Technical committee. The applicants meeting the desired qualifications and specializations will be interviewed by a selection committee appointed by Vice Chancellor as per the objective assessment decided by the university and performance in the interview. The selected candidates will be posted in the different constituent institutes of the university.

**PART 3: INCENTIVES FOR RESEARCH OUTCOMES**

**Section 1: General Guidelines**

Faculty members of VMRF (DU) University will be eligible for incentives for research activities.

1. The incentives will be calculated as per guidelines detailed in the following sections.
2. The claims for research incentives shall be submitted in the format given through Hol to Director (Research).
3. The faculty members of VMRF (DU) shall clearly indicate the Departmental, Institutional, University affiliations to be eligible for publication incentive claims.
4. The Chancellor's awards will be given once every calendar year for the faculty (other than Assistant Professors (Research)) having:
  - a) The indexed Publications as **first author** with Highest Cumulative journal impact factor/Cite Score by a faculty. To be eligible the Cumulative Journal Impact Factor/Cite Score shall be more than or equal to **5**.
  - b) Max. Number of indexed publications by a faculty as first author. To be eligible, the number of indexed publications as first author shall be more than or equal **5**.
  - c) Faculty who has received and completed highest externally funded Research project. To be eligible the total received money shall be more than or equal to **Rs. 10 Lakhs**.
  - d) Institution that has completed highest cumulative externally funded research projects in that calendar year. To be eligible the total received money of the projects shall be more than or equal to **Rs.10 Lakhs**.
5. For Chancellor's Awards, the indexed publications made based on the faculty's **original**

**Research only will be counted and review publications will not be counted.**

6. Presentation of Chancellor's awards in different categories will be for the contributions in that particular calendar year.
7. Director (Research) will send the communication seeking nominations from different constituent institutes of VMRF (DU) to Hols. Nominations for different awards shall be accompanied by supporting documents like the Journal papers with impact factor/Cite Score, list of Publications made as a first author in a calendar year, Sanction letter of the externally funded research projects, Proof of successful completion of NPTEL/SWAYAM courses certification with the category. Research Section will evaluate the nominations received and put them up to Awards & Incentives Committee for scrutiny & approval.
8. For Chancellor's awards, the committee may decide and ask the faculty concerned to present the research work carried out before a committee. After Vice Chancellor approves, the awards will be disbursed.
9. Research faculty are eligible for Seed Money grant and all incentives. However they are not eligible for Chancellor's Awards.
10. Ph.D Scholars are not eligible for the incentives.

**Section 2: Incentives for obtaining external research funding**

Faulty members including Assistant Professors (Research) of VMRF (DU) are eligible to claim incentives for obtaining research grants from external agencies .

1. A total of 5% of the external grant received may be awarded as incentive to the Principal investigators (PI) and Co-investigators (CI) who are faculty members in VMRF (DU).
  - a. PI will receive 50% of the incentive (i.e., 2.5% of the research grant)
  - b. CI's will share the other 50% equally
  - c. MODROBS grants are not eligible for Research Incentives.
2. The incentive will be calculated on the amount actually received for the project.
3. The incentive can be claimed only on completion of the research project and submission of the completion report to the Funding agency, a copy of which is to be furnished along with the claim.
4. Grants received for Student projects / fellowships in which faculty members are guides / mentors will not be eligible for this incentive.

**Section 3: Incentives for publications**

1. Faculty members including Assistant Professors (Research) of VMRF (DU) are offered incentives for publications in scientific journals and contributions to books /monographs.
  - a. Incentives will be calculated as detailed below in Tables 4 and 5
  - b. Only publications in legitimate peer-reviewed journals that are in the UGC Approved Journals list ie. Scopus/Web of Science (Core Collection)/ PubMed /UGC CARE are eligible for incentives. ESCI, Additional WoS Publications are not eligible for incentives.

- c. For multi-institutional indexed Publications with in VMRF (DU), the first author will be given the incentive. The first author's institute has to apply for the incentive.
- d. For joint indexed publications with faculty of other universities, the first author of VMRF (DU) will be given incentive.

## 2. Reimbursement of Publication Charges:

The Publications Charges actually paid will be reimbursed for the Publications made in **Quartile 1 (Q1) or Quartile 2 (Q2) journals of Scopus or Web of Science (Core Collection only)**, as **First author as per the following policy:**

- 2.1. 50% of the publication charges paid with an upper sealing of Rs.30000/- for the publications made in **Q1 Journals of Scopus or Web of Science (Core Collections only)**.
- 2.2. 50% of the publication charges paid with an upper sealing Rs.20000/- for the publications made in **Q2 Journals of Scopus or Web of Science (Core Collections only)**.
- 2.3. The Publication should have been made by the faculty of VMRF-DU as **FIRST author**.
- 2.4. This is in addition to the Publication incentives provided by the University.
- 2.5. Only Faculty of VMRF-DU are eligible. The Publication shall consist of Institute and University affiliation compulsorily for being eligible for the reimbursement.
- 2.6. The publication charges should **not** have been claimed from any other source or as part of Seed Money Project.
- 2.7. The Original Receipt of Payment to the publishers shall be produced for reimbursement.
- 2.8. The Reimbursement of Publication Charges will be made for the Q1 or Q2 Publications published from **1<sup>st</sup> April 2023** onwards.
- 2.9. The reimbursement claims will be processed once in a quarter along with other Research Incentives.
- 2.10. Faculty can claim for as many Q1 or Q2 publications as they have made in the calendar year, as per the above norms.

Both Book and Book chapters which are indexed in Scopus/WoS will be eligible for incentive as per Table 5.

**Table 4: Articles / papers in peer-reviewed scientific journals**

Sl.No	Type of Publication	First Author (Rs.)	Corresponding Author <sup>4</sup> (Rs.)	Co-Author(s) <sup>5</sup> (Rs. to be equally divided)
1.	Original research paper / Case Study Report / review / letter to editor / invited editorial in indexed <sup>1</sup> journals with an Impact Factor (IF) <sup>3</sup> of 0.5 or more			
	IF 3.0 and above	3,000+*	3,000+*	3,000+*
	IF 1.0 to <3.0	2,000	2,000	2,000
	IF 0.1 to <1	1,000	1,000	1,000
2.	IF = 0	1000	500	500

\* **Rs. 9000 + Rs. 150 for every additional 0.1 impact factor value over 3.0**

\* In case of single author the total amount may be claimed by sole author. In case of two authors the total amount shall be equally shared. In case corresponding and first author do not belong to

VMRF (DU) the faculty member of VMRF(DU) is eligible to claim the co-author portion of the total incentive.

- \* The incentive will be paid to the first author of the publication.
- \* Process for paying the incentive: The incentives will be paid once in every quarter. The consolidated list from each institute shall be sent through HoI to Director (Research). The Awards & Incentives committee constituted by Vice Chancellor will scrutinize the requests and based on its recommendation, VC will approve it for disbursement of payment.
- \* Here Impact Factor means the Journal Impact Factor given by WoS or Cite Score given by Scopus.

**Table 5: Incentives for Books and Book Chapters. <sup>(4)</sup>**

Sl.No	Description	Amount (Rs.)
1	Book authored or edited by VMRF Faculty indexed in Scopus/WoS. <b>Authors of the Book Chapters of this book are not eligible for incentive.</b>	20000
2	Book Chapter authored by VMRF Faculty in the indexed books authored/edited by faculty of other Universities.	5000
3	Non-Indexed Books/Book Chapters authored by VMRF Faculty.	No Incentive

### 3. Reimbursement of Patent Filing Charges:

- 3.1. All the eligible faculty members of the institutes of VMRF (DU) are encouraged to file their innovative ideas which are a) new and novel, b) original and nonobvious, c) Useful for Patents at the earliest with IPR India.
- 3.2. Institutes shall apply through KAPILA (Kalam Program for IP Literacy and Awareness) scheme, which provides up to 50% reimbursement of Patent filing Charges.
- 3.3. **Patents shall be filed with Institute Name, Vinayaka Mission's Research Foundation (DU) as APPLICANTS.**
- 3.4. The Charges Paid towards Patent filing, Patent Publishing, Patent Examination Charges and Fast tracking charges will be reimbursed to the institutes along with Quarterly Research Incentives after verification that University name is there as Applicant.
- 3.5. **These reimbursement incentive is available only for Indian (Invention/Design) patents.**

## **Part 4: Other Research Promotion activities:**

### **Section 1: Incubation Centers and Entrepreneurship:**

To promote innovation among students and faculty, incubation centers are established at Salem and Paiyanoor campuses to try and test their innovative ideas and convert them to prototype products. University may decide to start such incubation centers in other campuses also based on the requirement. After successfully testing the Prototype products, they will be converted to products that can be commercialized through a startup or the technology can be transferred to Industry. The incubation centers enable students to turn in to entrepreneurs by starting Startups. The incubation centers will be equipped with all the required state of the art test and measuring equipment. The incubation centers also will work in close coordination with the constituent colleges and make use of their research laboratories. Each incubation center will serve a cluster of institutions ie. Salem Cluster and Chennai cluster. The incubation centers also will work in close coordination with Institute Innovation Cells (IICs).

### **Section 2: Oration Lectures:**

To provide opportunity to the faculty and students to hear to eminent Scientists/academicians/Health Care Professionals, industry Experts on state of the art research, technology or health care topics, oration lectures are planned in various ambit institutes of VMRF (DU). These are in addition to the Guest Lectures arranged in the institutes. The conduct of such oration lectures shall be informed to VC, Pro VC, Registrar, Director(Research), HO and all Hols of the University. The expenses towards the conduct of such oration lectures shall be accounted under a separate budget head by the accounts manager.

**Section 3: Participation in International/National Conferences by Faculty:** The Hol of the concerned institute will recommend/approve the participation of their Faculty in the International/National conferences based on its relevance to the area of the faculty members' specialization and work. Normal approval process of the institution shall be followed by Hol while recommending or approving such proposals. The registration fee and national travel expenses will be borne by the respective institute. The period of absence will be treated as on duty. Where ever International Travel is involved the faculty shall seek the approval by sending the details through Hol to the Registrar. Vice Chancellor will approve the international travel based on the recommendation of Registrar. Participation in both national/international conferences shall be recorded in a separate register and the money spent on registration fees, travel expenses shall be accounted with a separate budget head with the details.

### **Section 4: Sharing of Intellectual Property revenue accrued:**

- A) **Patents:** If the patents are filed by the faculty/research scholar/students using the time in the working hours, institute infrastructure, institute resources, the IP rights of those patents will rest with the institute & university. The amount received as royalty for using the Patents granted to the university shall be shared in the ratio of 40:60 between the university and Faculty members/research Scholars/students. If more than one faculty member/research scholar/student is involved in the patent, the amount received as faculty share shall be shared equally among the members.
- B) **Product design, technology transfer:** Any product/design/idea developed by the faculty/research scholar/students using the time in the working hours, institute infrastructure



including incubation center, institute resources, the rights of those intellectual property will rest with the institute & university. The amount received through commercialization of those products/designs/ideas including technology transfer shall be shared in the ratio of 60:40 between university and the faculty/research scholar/students. If more than one faculty member/research scholar/student is involved in the product/design/idea development, the amount received as faculty share shall be shared equally among the members.

- C) **Books & Book Chapters:** Any books/book chapters written by the faculty/research scholar/students using the time in the working hours, institute infrastructure, institute resources are published, the IP rights of those Intellectual property will rest with the institute & university. The amount received as royalty from those intellectual property to the university shall be shared in the ratio of 30:70 between the university and Faculty members/research Scholars/students. If more than one faculty member/research scholar/student is involved in this academic activity, the amount received as faculty share shall be shared equally among the members.
- D) **Cash awards received for best papers:** Any cash award received by the faculty/research scholar/students for presenting any academic activity like presenting a paper in international/national conferences/workshops will be the exclusive right of the faculty/research scholar/students. However any shield received for participating in any competition and winning the award will be the property of the institute.
- E) **Consultancy:** The activities that fall under the consultancy are I) Services rendered for development of a product/part of product or services for any individual industry or organization external to the university and its constituent colleges shall fall under consultancy where one or more university staff works for such development for a pre-agreed cost and period. II) Services rendered for modification, augmentation or alteration of any product or process or services where one or more university staff extend their active participation for such job. III) Any kind of professional advice given by one or more staff of the university to external organization/firm/individual for a pre-decided cost and time. IV) Any research work undertaken by one or more staff of the university for any external individual or organization to develop product or process or services. V) Conduct of any special courses, delivery of expert advice/discourse for a fee to any outside organization/individual.

**Revenue Sharing:** Consultancy project with a substantial contribution by the Investigator(s) and no resources of the institution/units (like labs, computer, software etc. utilized), the 'consultancy fee' shall be divided between Faculty and institute in 60:40 ratio. The 60% of the 'consultancy fee' of the faculty shall be divided in 2:1 ratio between the PI and Co-I. (in the case of more than one investigator). Consultancy money accrued for projects executed utilizing the resources of the University/Institutions such as laboratory facilities, computing facilities, drafting and other facilities, the share of the institute will be 60% of the total consultancy amount received and 40% of the 'Consultancy fee' for faculty. The 40% of the consultancy fee received shall be divided in 2:1 ratio between the PI and co-I

#### **Section 5: Sharing of Overhead Charges**

The overhead charges collected by the institutes towards executing externally funded Research projects, Consultancy projects/services will be shared by the investigators, department and the



institute in the ratio of 10%: 15%: 75%. The investigators can use the money for professional activities like becoming members of professional societies. The departments can use the money for buying new equipment. In case more than one investigator, department, institute execute the project, their money will be shared equally among themselves.

***Foot notes***

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1. UGC Approved list of Journals UGC CARE LIST
  2. Journal Impact Factor assigned by Web of Science and Cite Score assigned by Scopus will be considered.
  3. Co-Author(s) – Author(s) other than First Author and Corresponding Author. Points shown in this column are to be divided between all Co-Authors irrespective of affiliation or student/faculty status.
  4. Incentive may be claimed for the publication of first edition. Revision/Reprint are not eligible for new claim. Soft copy & Hard Copy of contribution need to be submitted.
-

## Annexure A

### Guidelines for executing Seed Money Research Proposals.

#### Unique Id:

- Each Seed Money Project that is approved by Vice Chancellor is given a Unique Id.
- The Unique id shall be mentioned in all the correspondence such as i) request by the Principal Investigator to HoI for procurement of any material, any service etc., ii) any procurement done by the purchase officer against that seed money project, iii) any item received by the stores officer against that seed money project, iv) Any item issued by the stores officer to the principal investigator, v) Any payment made by Accounts manager against the particular Seed Money Project, vi) Any progress report or technical report prepared by the Principal Investigator etc.

#### A) Guidelines for Principal Investigators (PI):

1. Each Seed Money Proposal approved by the Vice Chancellor has been given a unique id at University Level and is being communicated to you through the HoI and with a copy to the Research Coordinator of the institute.
2. The Research work proposed shall start within one month of approval of the proposal.
3. The Project duration will be counted from the date informed by Director (Research) after approval of Vice Chancellor.
4. The seed money approved shall be strictly used for carrying out the research work proposed in the proposal only. The money shall be used for the budget item proposed and any re-appropriation shall be with the prior approval of the Vice Chancellor through Director (Research) and HoI.
5. The procurement of any equipment, taking any services, employing any person on short term basis shall be as per the institute's operational process.
6. The PI shall fill up the attached **Form-1 (Annexure-1)**, for funds and get the approval of HoI before incurring any expenditure or initiating any activities for expending.
7. The PI is responsible for tracking the account of seed money approved, money spent on each item with details like date of payment, amount spent, description of the item, money committed against any item and plan their expenditure accordingly.
8. PI shall project the quantum of Seed money required for the project work and inform to HoI for necessary action quite in time, so that progress of the project is not effected at any time.
9. The progress of the work shall be reviewed by IRC at least once in two months.
10. URC/Director (Research) will review the progress every three months.
11. The Project progress status report along with immediate work plans and reasons for delay, if any, shall be submitted by PI through HoI concerned to the Director (Research) every 3 months. Based on satisfactory progress only the next instalment of seed money will be credited.
12. In the beginning about 25% of the sanctioned seed money or as much as requested by PI based on the need for the Seed Money Project will be credited to the institute to start the research work. Money can be spent by the PI with the prior approval of HoI, concerned.
13. After successful completion of the project, the complete Project completion Report with the deliverables shall be presented to the URC.

14. The complete account of money spent for each project shall be submitted by the PI along with the project completion report with the approval of HoI.
15. The periodic internal audit will be carried out on project finance (Seed Money) and the detailed breakup shall be submitted to Director (Research) through concerned HoI.
16. In case of unavoidable circumstances, if the project is not completed on approved time, time extension shall be sought with justifiable reasons through IRC to URC.
17. In case of unavoidable reasons, if the PI seeks more money than the approved money for the proposal during the closing stages of the project, PI may seek small additional funds with due justification to Vice Chancellor, through HoI and Director(Research)
18. The PI shall involve Co-investigator in all the activities of the Seed Money research.
19. The PI shall sign the **undertaking letter (Annexure-2)** and return to HoI.

**B) Guidelines for HoI:**

1. Each Seed Money Proposal approved by Vice Chancellor for the institute has been given a unique id at University Level and is being communicated to you with a copy respective RC.
2. The Research work proposed shall start within one month of approval of the proposal.
3. The Project duration will be counted from date informed by Director (Research) after approval of Vice Chancellor.
4. The seed money approved shall be strictly used for carrying out the research work proposed in the proposal. The money shall be used only for the project specified work items and any re-appropriation shall be with the prior approval of Vice Chancellor through Director (Research). HoI shall ensure the same before approving any expenditure.
5. The procurement of any equipment, taking any services, employing any person on short term basis shall be as per the respective institute operational process. HoI shall ensure the same.
6. The PI shall fill up the **attached Form (Annexure-1)**, for funds and get the approval of HoI before incurring any expenditure or initiating any activity for expending. HoI may approve incurring expenditure after ensuring sufficient funds are available against the approved seed money project. If required, HoI may consult the institute's accounts manager.
7. PI will project the quantum of Seed money usage based on project work items or quarter wise and inform HoI. HoI may take necessary action quite in time, so that progress of the project is not effected at any time.
8. HoI shall facilitate all the purchases, hiring of any other services are done in reasonable periods so that the progress of the project is not effected.
9. The periodic internal audit will be carried out on project finance (Seed Money) and the detailed breakup shall be submitted to Director (Research) through HoI.
10. The progress of the work shall be reviewed once in two months by IRC.
11. In addition, URC/Director (Research) will review the progress once in three months. The progress status report shall be submitted by PI through HoI concerned to the Director (Research) every 3 months. Based on satisfactory progress only the next instalment of seed money will be released.
12. In the beginning about 25% of the sanctioned seed money or as much as requested by PI based on the need for the Seed Money Project will be credited to the institute to start the research work. Money can be spent by the PI with the prior approval of HoI, concerned.
13. After completion of the project, the complete Project Report with the deliverables shall be presented to the university by PI through HoI.

14. In case of unavoidable circumstances, if the project is not completed in time, time extension shall be sought with justifiable reasons through IRC to URC.
15. HoI shall ensure that Co-Investigator is also participating in the research execution activities of the project from the beginning. In the unlikely event of PI leaving the institution, Co-Investigator shall continue the project and successfully complete. In such an event of PI leaving the institute, HoI shall ensure that PI hands over all the documents, equipment procured under this budget and technical information and status to the Co-Investigator.
16. In case of unavoidable reasons, if the PI seeks more money than the approved money for the proposal during the closing stages of the project, PI may seek small additional funds with due justification to Vice Chancellor, through HoI and Director(Research)
17. The PI shall sign the **undertaking letter (Annexure-2)** and return to HoI.

**C) Guidelines for the Accounts Manager of the institutes:**

1. Each Seed Money Proposal approved by Vice Chancellor has been given a **unique id** at University Level and is being shared with the Accounts department of the institute.
2. The Research work proposed shall start within one month of approval of the proposal.
3. The Project duration will be counted from date informed by Director (Research) after approval of Vice Chancellor.
4. The procurement of any equipment, taking any services, employing any person on short term basis shall be as per the Institute's operational process. HoI and accounts manager shall ensure the same before expending.
5. The PI shall fill up the attached **Form (Annexure-1)**, for funds and get the approval of HoI before incurring any expenditure or initiating any activity for expending. HoI may approve incurring expenditure after ensuring sufficient funds are available against the approved seed money project. If required, HoI may consult the institute's accounts manager and accounts manager may facilitate the same at the earliest.
6. Accounts manager shall maintain a separate ledger account for each seed money project proposal approved with unique id, amount sanctioned against each seed money proposal, expenditure incurred against that proposal with required bills, amount committed such as purchase orders, as per the institute's operational process.
7. Accounts Manager shall ensure that money spent & committed does not exceed at any time, the total money approved against the seed money proposal.
8. The accounts manager shall ensure that the money credited towards seed money proposals is not spent for any other purpose.
9. The periodic internal audit will be carried out on the project finance (Seed Money) and will be submitted to Director (Research) through the HoI.

**d) Guidelines to the Purchase Officer:**

1. Any Purchase request that comes from the institute shall have the Unique Id mentioned in that request.
2. When Purchase Officer places any purchase order for a particular Seed Money Project, the Unique Id shall be mentioned in the purchase order.
3. Any correspondence by Purchase officer to the Stores officer or Accounts Manager regarding procurement, delivery, payment etc. shall have the Unique Id.

e) **Guidelines to the Stores Officer:**

1. Any item that is received against the purchase order corresponding to seed money Projects shall be entered in the stock register with the Unique Id.
2. All the items issued to PI against the particular seed Money Project shall have the Unique id and shall be acknowledged by the PI.
3. The stores officer shall maintain all the records as per the Institution's operational

Vinayaka Mission's Research Foundation -DU

Annexure-1

Ref: VMRF/SeedMoney/2020/18

**Form: Requisition for incurring any expenditure for purchase of any equipment, hiring any services, travel, contingency etc. for approved Seed money proposal.**

Date:

- 1) Institute Name:
- 2) **Unique id** of the Seed Money Proposal approved:
- 3) Name of the Principal Investigator:
- 4) Name of the Research Proposal:
  
- 5) Total Seed Money approved & Total Duration:
  
- 6) Details of Item(s) to be purchased/reasons for hiring any human resources/ any technical services, travel, contingencies:
  
- 7) Expected expenditure:
- 8) Total Money spent so far:
  
- 9) Total commitments made, but money to be paid:
  
- 10) Any Other relevant information:

(Signature of PI)

Approved/ Not approved

(Signature of HoI)

To,

Accounts Manager

Vinayaka Mission's Research Foundation-DU

Annexure-2

Ref: VMRF/SeedMoney/2020/19

Date:

Sub: Undertaking from Principal Investigator.

1. I \_\_\_\_\_(PI's Name), Grade\_\_\_\_\_, \_\_\_\_\_ (Name of the department), of \_\_\_\_\_(Name of the Institute), Vinayaka Mission's Research Foundation-DU agree to abide by the Guidelines given by the university for executing the Seed Money Research Project.
2. I also abide by the code of conduct rules to be followed by the faculty of the Vinayaka Mission's Research Foundation-DU.
3. I agree that all the Intellectual Property and research outcome of the Seed Money Research Project belongs to the Vinayaka Mission's Research Foundation -DU.
4. Any Products, patents that accrue out of the project belongs to the university.
5. I also agree that I **shall not** divulge any Intellectual Property that accrue out of the project directly or indirectly to any outside person/agency/institute.
6. I shall abide by this undertaking even if I leave the University.
7. I will involve the Co-Investigator in all activities of the project.
8. The Publications that are published out of this research work shall contain an acknowledgement that **"This research work is carried out with the Seed Money granted by Vinayaka Mission's Research Foundation -DU"**.

(Signature of PI with Date)

(Signature of Co-I with Date)

(Signature of Hol with Date)

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# VINAYAKA MISSION'S RESEARCH FOUNDATION

(Deemed to be University under section 3 of the UGC Act 1956)

## CONSULTANCY POLICY



## CONSULTANCY POLICY

VMRF (DU) has a vision to provide research driven environment and facilities to the students and faculty in the University. This document draws policy guidelines with regard to consultancy projects in the university and its constituent units.

This policy has been approved by the Board of Management – VMRF (DU)

### **3.1. Background**

VMRF (DU) University has strong focus on value based research focusing the benefit of the society. VMRF (DU) believes that expertise of the university should not only be used to improve the teaching learning but also be used to benefit the larger part of the society. In order to motivate University faculty and staff to share their knowledge and expertise for betterment of society, University shall permit consultancy and project/work in industry, corporate sectors and other organizations by the university faculty and staff members. The staff may use material resources of the university and its constituent colleges for such consultancy work. The university shall share the monetary benefits occurring out of such work /association/ assignments with the concerned staff.

### **3.2 Consultation Category**

- i. For development of a product /part of product or services for any individual industry or organization external to the university and its constituent colleges/units shall fall under consultancy where one or more university staff works for such development for a per agreed cost and period.
- ii. For modification, augmentation or alteration of any product or process or services where one or more university staff extend their active participation for such Job.
- iii. Any kind of professional advice given by one or more staff of the university to external organization /firm/individual for a pre decided cost and time.
- iv. Any research work undertaken by one or more staff of the university for any external individual or organization to develop product or process or services.
- v. Conduct of any special courses, delivery expert advice/discourse for a fee to any outside organization /individual.
- vi. Any royalty of fee received for any intellectual property by a staff and any fee received from outside.

### **3.3 Process of Consultancy Projects**

Research Directorate/ Office of the research in the university will be the nodal agency for any consultancy activity in the university research development. The concerned constituent colleges/Units will be the administrator and custodian of all documents for consultancy. The copy of the same should be submitted to research Directorate of University. Any staff, department or faculty may initiate the ground work and explore such possibilities. After the basic ground work it should be reported via file/documentation through proper channel to University Research directorate for approval. Research Directorate will survey/preliminary inquiry and put up the matter for approval to the VC who may call in person or he may form a team with research directorate for further discussion. After the negotiation and on arrival on agreement an agreement form will be initiated as per the format given by the Research Directorate. The format gives just the guidelines. It may be changed at the discretion of the Vice Chancellor. It will be signed by the client and Registrar on behalf of the

University. The payment received for consultancy will be deposited by the client/constituent colleges/Units in university bank account as per terms of the agreement.

In case of faculty and /or university staff going for conduct of special course/workshops, expert discourse on behalf of the university agreement form will not be raised.

Money received from such consultancy event will be deposited in the constituent colleges/ university Account Section.

### **3.4 Revenue sharing**

Consultancy projects received by the various departments of University constituent colleges from private and public organizations/ agencies have been categorized into two viz.

#### **3.4.1 Total cost of consultancy project is predefined**

- a. **Overhead charges:** Usually, ten percent (10% of the revenue of the project) will be charged as overhead payable to the university and paid to the University research Account. The rest of the revenue will be shared as follows:
- b. Consultancy project with a substantial contribution by the Investigator(s) and no resources of the institution /units (like labs, computer, software etc utilized), the 'consultancy fee' shall be divided between investigator(s) and the department /institution/units with University in 60:40 ratio The 60% of the 'consultancy fee' for investigator(s) shall be divided in 2:1 ratio between the PI and Co-PI(in case of more than one investigators)
- c. Consultancy project utilizing the resource of the University/Institutions such as laboratory facilities, computing facilities, drafting and other facilities, the share of the institute will be 60% of the total consultancy amount received and 40% of the 'Consultancy fee' for investigator(s) shall be divided in 2:1 ratio between the PI and Co PI
- d. The institute share (as stated in 3.4.1b and 3.4.1.c shall be divided between the institute and the department concerned in 50:50 ratio. The 50% of the department share shall be credited to the department budget if any.

#### **3.5 The work or laboratory experiments are chosen by the party (individual /public/private organization)**

- a. In this case, the 'consultancy fee' refers to the total charges of tests conducted for the particular consultancy project/work. The charge/fee for all and every test/experiments are predefined by the department/institute concerned and must be approved by the University.
- b. The 'consultancy fee' shall be divided between the investigator(s) and the institution in 60:40 ratio.
- c. Twenty (20%) percent of the 'consultancy fee' received by the investigator(s) shall be given to the laboratory Assistant(s)/Technical Assistants involved in the project, if any.
- d. The institution share shall be divided between the institution and the department concerned in 50:50 ratio. The 50% of the department share shall be credited to the department budget if any.

**\*The maximum limit to be claimed by faculty under 3.4.1 & 3.4.2 will be Rs. 5 Lakhs (Five Lakhs rupees only) per year including applicable taxes.**

#### **3.6 Contingency incurred**

Any contingency expenses incurred in respect of consultancy project will be met from the funds received from the same consultancy project. The fund left after deducting such expenses will be considered as net gain from the consultancy work.

#### **3.7 Staff Appraisal**

Consultancy work done by the staff will be entered in the Appraisal /Report of the staff and will be given extra weight age in arriving Performance index

### **3.8 Final Report**

After completion of the consultancy work a detailed report will be submitted by concerned staff in writing to the University Research Directorate in which he should mention completed details or work, resources of university used resources from outside, results and feedback of the second part for whom the task was undertaken.

### **3.9 Declaring the conflict of Interest**

Faulty/Staff undertaking consultancies, whether privately/independently or through University/institutions/Units, must comply with the University's policy on conflict of interest and the same should be declared by both the parties.

**Engaging in private professional practice by health care professionals after office hours are exempted from the policy.**

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**VINAYAKA MISSION'S  
RESEARCH FOUNDATION**  
(Deemed to be University under section 3 of the UGC Act 1956)

## **INTELLECTUAL PROPERTY RIGHTS (IPR) POLICY**

## **Intellectual Property Rights (IPR) POLICY**

### **Acknowledgement**

The model guidelines on implementation of IPR policy in Academic Institution, have been prepared by Cell for IPR Promotion & Management (CIPAM). The provisions of these model guidelines are based on the “Guidelines on Developing Intellectual Property Policy for Universities and R&D Organizations, WIPO, Geneva” and other existing intellectual property policies of several universities, published on the WIPO website.

The youth today is the key to creating, nurturing, building and strengthening creativity and innovation. Student-focused policies ensure that change is initiated and supported by students, especially in light of envisioning a young and healthy start-up ecosystem. The R&D facilities, infrastructure and other amenities provided by the academic institutions, offer a platform for students to build and sustain a creative and innovative environment.

The ultimate goal of these model guidelines is to promote student-led startups and ventures to protect and respect intellectual property. Additionally, these guidelines are not intended to override the best practices already followed by most of the academic institutions. The use of these guidelines is intended to complement the existing intellectual property laws of India. All academic institutions are free to adopt and/or implement subsequent process of policy implementation, as well as propose further strategies for the same.

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These guidelines were adopted as VMRF-DU guidelines.

### **Objective**

Intellectual property (IP) refers to creations of the mind: inventions; literary and artistic works; and symbols, names and images used in commerce. IP is protected in law by, for example, patents, copyright and trademarks, also called as Intellectual Property Rights (IPRs), which enable people to earn recognition or financial benefit from what they invent or create.

An intellectual property rights policy is the cornerstone of innovation and creativity for academia. It provides structure, predictability, and a framework for talented minds to do what they do best: create and innovate.

The overall aim of *Model Guidelines on Implementation of IPR Policy for Academic Institutions* is to nurture the spirit of innovation and translate these into products, processes, and services for commercial exploitation in wider public good. The aim is to contribute in transforming industry and society, by delivering research-led education, promoting innovation, collaboration and fostering human values.

These model guidelines have the following objectives:

- i) To provide a framework to foster innovation and creativity in the areas of technology, sciences, and humanities by nurturing new ideas and research, in an ethical environment.
- ii) To protect intellectual property (IP) rights generated by faculty/ personnel, students, and staff of the academic institution, by translating their creative and innovative work into IP rights.
- iii) To lay down an efficient, fair, and transparent administrative process for ownership control and assignment of IP rights and sharing of revenues generated by IP, created and owned by the academic institution. Additionally, in cases of government funded research, the inventor(s)/ organization(s) should disclose their IP filings to the Government Agency(s) that have funded their research.
- iv) To promote more collaborations between academia and industry through better clarity on IP ownership and IP licensing.
- v) To create a mechanism for knowledge generation and its commercial exploitation. The purpose of IP commercialization is also to augment the financial self-sustenance goals of the academic institution & its labs and to reward faculty and researchers.
- vi) To establish an IP cell for supporting all innovation, creativity and IPR related endeavors of students, research scholars and faculty members. This IP cell will be the nodal agency to implement the mandate of the draft guidelines for IP cells (as provided under Annexure – A).

### **Description of Terms**

**Author:** An author is as defined under Section 2(d) of the Copyright Act, 1957. <sup>1</sup>

**Collaborative Activity:** is the research undertaken by the personnel in academic institution, in cooperation with industry and/or another researcher(s), who are not the personnel from the academic institution.

<sup>1</sup> Section 2(d) defines author, it says "Author" means –

- (1) In relation to a literary or dramatic work, the author of the work;
- (2) In relation to a music work, the composer;
- (3) In relation to artistic work other than a photograph, the artist;
- (4) In relation to photograph, the person taking the photograph, the artist;
- (5) In relation to a cinematograph film or sound recording, the producer; and
- (6) In relation to any literary, dramatic, musical or artistic work which is computer- generated, the person who causes the work to be created.

**Creator:** means the researcher who contributed to the creation of the Intellectual Property (IP) (essentially copyrights, designs, etc.).

**External Partners:** includes Government of India, State Government(s), Local Self-Governments, Government Departments, Foreign Governments, International Organizations, Public Sector Undertakings (PSUs), all types of Private Sector Organizations, Multinational Corporations, Non - Governmental Organizations, and/or other institutions that provide research projects or consultancy assignments to researchers on regular or irregular basis; or any combination(s) of the above.

**Moral Rights:** Moral rights are enshrined under the aegis of Section 57 of the Copyright Act, 1957.<sup>2</sup> They are the author's or creator's special rights which include: the right to paternity and the right to integrity.

**Intellectual Property:** Intellectual Property, as provided under Article I of the Agreement on Trade Related Aspects of Intellectual Property Rights (TRIPS), refers to all categories of intellectual property that are subject of Sections 1 to 7 of Part II of the TRIPS Agreement.

**Intellectual Property Rights:** means ownership and associated rights relating to afore mentioned Intellectual Property, either registered or unregistered, and including applications or rights to apply for them and together with all extensions and renewals of them, and in each and every case, all rights or forms of protection having equivalent or similar effect anywhere in the world. The IPRs recognized in India are broadly listed below:

Patent: As defined under Section 2(m) of the Patents Act, 1970.

Copyright: Copyright is a right given to creators of literary, dramatic, musical and artistic works and producers of cinematograph films and sound recordings. Works are as defined under the Copyright Act, 1957.

Section 57 – Author's special right:

- (1) Independently of the author's copyright and even after the assignment either wholly or partially of the said copyright, the author of a work shall have the right –
  - (a) to claim authorship of the work; and
  - (b) to restrain or claim damages in respect of any distortion, mutilation, modification or other act in relation to the said work which is done before the expiration of the term of copyright if such distortion, mutilation, modification or other act would be prejudicial to his honour or reputation: Provided that the author shall not have any right to restrain or claim damages in respect of any adaptation of a computer programme to which clause (aa) of sub-section (1) of section 52 applies.

Explanation.—Failure to display a work or to display it to the satisfaction of the author shall not be deemed to be an infringement of the rights conferred by this section.

- (2) The right conferred upon an author of a work by sub-section (1), other than the right to claim authorship of the work, may be exercised by the legal representatives of the author.

Trade Mark: As defined under Section 2(zb) of the Trade Marks Act, 1999.

Design: As defined under Section 2 (d) of the Designs Act, 2000.

Semiconductor Integrated Circuit: As defined under Section 2(r) of the Semiconductor Integrated Circuits Layout Design Act, 2000.

Plant Variety: It is governed by the Protection of Plant Variety and Farmers Rights Act, 2001. It recognizes the contributions of both commercial plant breeders and farmers in plant breeding activity and also supports the specific socio-economic interests of all the stakeholders including private, public sectors and research institutions, as well as resource-constrained farmers.

Geographical Indication: As defined under Section 2 (e) of the Geographical Indications Act, 1999.

**Inventor:** means the researcher who contributed to the creation of the Intellectual Property (essentially patents).

**Research:** Ownership rights over IP generated in academic institutions may vary as per source of funding, for the research through which IP was generated. Hence, it is important to understand the different contexts in which IP may be generated within the academic institutions. Some of the important contexts in which they produce IP are:

1. Research undertaken by a researcher in the normal course of his/her engagement/ appointment with the academic institution, utilizing resources of the institution. This includes, but is not limited to, use of space, facilities, materials, or other resources of the academic institution, specific monetary support for research through grants or fellowships, funds for procuring books/ equipment or materials for specific research projects, and creation/ modification of infrastructure like labs for the specific needs of research.
2. Research undertaken by a researcher in collaboration with an external partner. This support from external partners includes, but is not limited to, specific monetary support given for research through grants or fellowships.

**Researcher:** means;

- i) Persons employed by the academic institution, including student employees and technical staff;
- ii) Students, including undergraduate, postgraduate, doctoral and post-doctoral students of the academic institution;
- iii) ny persons, including visiting scientists;
- iv) Who uses the resources of the academic institution and who perform any research task at the academic institution or otherwise participate in any research project(s) administered by the academic institution, including those funded by external sponsors. Wherever different conditions are applicable for any of the sub-categories of researchers, they are specifically mentioned in the guidelines.

**Research Agreement:** May refer to Research Service Agreement, Cooperative Research and Development Agreement, Material Transfer Agreement, Confidentiality Agreement, Consultancy Agreement and any other type of agreement concerning research pursued by researchers and/or IP created at the academic institution.



**Royalty:** It is the payment made to an inventor/author or an institution for legal use of a patented invention or any intellectual property when licensed.

**Sufficient Disclosure:** It means providing a detailed description of features essential for carrying out the invention, in order to render it apparent how to put the invention into practice to a person skilled in the art.

### ***Things to Remember***

- (i) **Publication/ Display in Public Exhibition of Invention before Filing for Patent:** Generally,<sup>3</sup> an invention, if published or publicly displayed cannot be patented, as such publication or public display leads to lack of novelty.
- (ii) **Inventions/ Innovations that cannot be patented:** Innovations/ Inventions falling under the category of Sections 3 and 4<sup>4</sup> of the Indian Patents Act, 1970 cannot be patented in India.
- (iii) **Acts that do not constitute copyright infringement:** Section 52 of the Indian Copyright Act, 1957, specifically state certain acts as not being infringement of copyright. The “doctrine of fair dealing” envisaged under section 52 of the Indian copyright law allows certain use(s) of copyrighted works in special cases such as: private use for the purpose of education, research, critique, review, etc.
- (iv) **Attribution or Citation should be done wherever references have been sourced from other work(s):** Copying or using any work from an already published or non-published work,

<sup>3</sup> Under certain circumstances, the Indian Patents Act, 1970, provides a grace period of 12 months for filing of patent application from the date of its publication in a journal or its public display in an exhibition organized by the Government or disclosure before any learned society or published by the applicant. The detailed conditions are provided under Chapter VI of the Patent Act (Sections 29 – 34).

<sup>4</sup> Sections 3 and 4 of the Indian Patents Act, 1970, specifically state exclusions to what cannot be patented in India. They are:

Section 3 – What are not inventions

Section 4 – Inventions relating to atomic energy not patentable

whether digital or in physical form, should be rightly attributed and referenced to the original source. Unless allowed as “fair dealing”, copying should not be done without obtaining required permissions/ licences from the author/ creator. Remember, plagiarism is not only immoral, it is also illegal.

- (v) **Keep a record of all legal and related documents:** All agreements which are to be entered into with co-creators/ inventors / third parties should be documented properly to establish the ownership of any IP created. Additionally, keep a record of all documents relating to the IP, since the expressed inception of the idea.

- (vi) **Rain check regarding names/ brands before choosing a trade mark:** A prior public search for trademarks would prove beneficial before choosing a name or a brand name. This would aid in checking whether the same has been registered already as a trade mark.

### **Scope of Guidelines**

- (i) These guidelines shall apply to all Intellectual Property created at the academic institution, as well as, all IP rights associated with them, from the date of implementation of these guidelines.
- (ii) These guidelines shall apply to all researchers who have established legal relationship with the academic institution, based on which the researcher is bound by these guidelines. Such a legal relationship may arise pursuant to the provision of law, collective agreement or individual agreement (may refer to employment/ retainership contract/ pursuance of studies or any other legal arrangement).
- (iii) These guidelines shall not apply in cases in which the researcher entered into an explicit arrangement to the contrary with the academic institution prior to the effective date of the guidelines, or the academic institution previously entered into an agreement with a third party concerning rights and obligations set out in these guidelines.

### **Ownership of IP**

The ownership rights on IP may vary according to the context in which the concerned IP was generated. In this regard, a two-tier classification is suggested for adoption:

#### **IP generated from research conducted by utilising resources of the Academic Institution**

##### **I. PATENTS**

- i. All inventions whether made by student/ researcher/ faculty (in furtherance of their responsibilities with the academic institution), developed by utilising the resources of the academic institution, or with the mix of funds, resources and/or facilities of the academic institution, shall ordinarily be vested with the academic institution.
- ii. If the academic institution determines that an invention was made by an individual(s) on his/her own time and unrelated to his/her responsibilities towards the academic institution and was conceived or reduced to practice without the use of resources of the academic institution, then the invention shall vest with the individual(s)/ inventor(s).

##### **II. COPYRIGHT**

- i. The ownership rights in scholarly and academic works generated utilising resources of the academic institution, including books, articles, student projects/dissertations/ theses, lecture notes, audio or visual aids for giving lectures shall ordinarily be vested with the author(s).

- ii. The ownership rights in lecture videos or Massive Open Online Courses (MOOCs), films, plays, and musical works, institutional materials including, but not limited to, course syllabi, curricula, exam questions, exam instructions, and papers/ reports specifically commissioned by the academic institution, shall ordinarily be vested with the academic institution. The moral rights shall continue to vest with the author(s) wherever applicable.

### III. TRADE MARKS

- i. The ownership rights in all trademarks involving the academic institution shall ordinarily be vested with the academic institution. The academic institution may formulate necessary guidelines regarding the usage of the name of the academic institution through their trade mark.
- ii. If the academic institution determines that the creator of the trade mark was created by an individual(s) on his/ her own time and unrelated to his/ her responsibilities [e.g. name of a company/ start-up venture by the student(s)], then the right to the same shall ordinarily be vested with the said individual(s).

### IV. INDUSTRIAL DESIGNS

- i. All industrial designs whether made by student/ researcher/ faculty (in furtherance of their responsibilities with the academic institution) developed by utilising the resources of the academic institution, or with the mix of funds, resources and/or facilities of the academic institution, shall ordinarily be vested with the academic institution.
- ii. If the academic institution determines that the industrial design was created by an individual(s) on his/her own time and unrelated to his/her responsibilities towards the academic institution and was conceived or reduced to practice without the use of resources of the academic institution, then the industrial design shall vest with the individual(s).

### V. SEMICONDUCTOR INTEGRATED CIRCUITS AND PLANT VARIETY

- i. The ownership rights over integrated circuits and plant varieties, with the utilization of resources of the academic institution, shall vest with the academic institution.
- ii. If the academic institution determines that the semiconductor integrated circuit layout design or plant variety was created by an individual(s) on his/her own time and unrelated to his/her responsibilities towards the academic institution and was conceived or reduced to practice without the use of resources of the academic institution, then the semiconductor integrated circuit layout design or plant variety shall vest with the individual(s).

### **IP generated from research conducted in collaboration with external partners**

- i. With regard to research conducted in collaboration with external partners, ownership of IP shall be determined as per the terms and conditions in the agreement signed between the concerned parties. However, unless agreed upon explicitly, the academic institution shall normally retain perpetual, royalty free license to use the IP for research and educational purposes.
- ii. In the absence of a specific agreement between the academic institution, and the external partner, who is providing support for research, the IP rights shall be shared amongst the concerned parties, similar to the royalty proportion set out under “*Licensing and Revenue Sharing*” section in these model guidelines.

### **Commercialization and Benefit Sharing**

#### **Types of IP licensing and assignment**

Licensing and assignment of IPRs to a third party are the most common modes of IP transfer that can lead towards commercialization of IP. While both licensing and assignment involves giving certain rights to another party, the key difference is that assignment involves transfer of ownership, while licensing is limited to permitting certain uses.

In general, it is recommended that the academic institution should try to use the mechanism of licensing, so that ownership rights on the IP may be retained without hindering the prospects of commercialization. Given below are some types of licensing that may be used:

1. **Exclusive licensing:** The licensor licenses the IP solely to one licensee. In other words, the licensee will be the only one authorized by the licensor to use and exploit the IP in question. To the extent possible, exclusive licenses should be avoided.
2. **Non-exclusive licensing:** The licensor is permitted to enter into agreements with more than one entity for use and exploitation of the IP. In other words, the same IP may be used by different licensees at the same time for the same purpose or for different purposes.
3. **Sub-licensing:** This is applicable when a licensee wishes to further license the IP to another party(s). Permissions pertaining to sub-licensing need to be clarified explicitly in the agreement between the academic institution(s)/ researchers and licensee(s).

Given the abundance of creativity and innovation taking place at academic institutions and diversity of the creation or innovation so generated, the academic institution may combine elements of the aforementioned types of licensing or use other forms of licensing, such as – know-how licensing, etc.

#### **Encouraging Entrepreneurship and Start-ups**

To promote and encourage entrepreneurial activities by its staff, the academic institution, may reassign, under an agreement, its ownership of an intellectual property to the inventor(s) or creator(s) of the property, who opt to market, protect and license it on their own with minimal involvement of the academic institution. The fees to be paid to the academic institution by the assignee consist of all

patenting and licensing expenses and appropriate amount of royalties, equity or other value received by the inventor(s) or creator(s).

The academic institution would endeavor to exploit the IP either by itself or by commissioning an agency to bring to fruition the IP produced by its personnel. The inventor(s)/creator(s) may seek the academic institution, to assign the rights to them after a certain holding period.

To promote a start-up/ venture set up by a researcher, it may be exempted from any upfront fee and/or royalty accrued to the academic institution for a certain period.

**Licensing Agreements and Revenue Sharing**

**Research outputs generated as a result of utilization of resources of the Academic Institution**

i. The academic institution is free to enter into revenue sharing agreement(s) with the researcher(s), in cases of commercialization of innovation(s), creation(s), etc., as per the advice of the IP cell. The details of revenue sharing may be decided, based on the type of IP and the nature of commercialization. The academic institution may adopt various models for royalty sharing amongst creator(s)/ inventor(s) and institution/ organization; a suggestive arrangement is given below:

- a) 60:40 ratio of revenue sharing: 60% of the royalty/ technology transfer amount with the researcher and 40% with academic institution.
- b) Deciding the division of royalty/ technology transfer amount on fixed slabs:

Case	Net earnings	Inventor(s)	Institution’s Share*	Service Account**
1.	For the first amount Q	65%	25%	10%
2.	For the next amount Q	45%	45%	10%
3.	For amounts more than 2Q	25%	65%	10%

\*\*Service Account – Money may be used for the promotion and upgradation of the invention. Unused funds from the service account will be used for promotion of commercialization, IP protection and any other related activities.\*\*

- ii. In case the IP filing costs were not borne by the academic institution, the researcher may be allowed to first deduct the costs incurred for filing of applications and maintenance of such IP, from any income accruing from the commercial exploitation of the IP. This is particularly relevant, as provisional patent applications may have to be filed by the innovators before any disclosure of the innovation. Only the income beyond such costs needs to be shared with the academic institution.
- iii. The researcher's share may continue to be paid, irrespective of whether or not the individual continues as a researcher at the academic institution.
- iv. If more than one researcher is involved in the generation of IP, all the researchers who qualify for benefit sharing in that IP may sign at the time of filing the application (for example, at the time of filing of patent application), an agreement outlining the proposed distribution of any IP-related earnings based on their contribution. The agreement should specify the proportional percentage of distribution of earnings from IP to each of the researchers. The researcher(s) may, at any time, by mutual consent, revise the distribution of IP earnings agreement, and the academic institution, may approve the revised agreement, subject to the advice of the IP cell.
- v. With regard to the IP-related revenues earned by the academic institution, 50% of the revenue may be used for creating the academic institution IP management fund. This fund may be utilized for any activity relating to commercialization and maintenance of IPR or obtaining IPR in any other country, or for capacity building in the area of IP protection. Further, 10% of the share may be paid to the academic institution as administrative charges, and 40% may be made available to the concerned department for the purchase of equipment or materials, including Annual Maintenance Contracts (AMC), or for any other academic/research activity, including promotion of science and innovation.
- vi. In the case where the copyright vests with the author(s) [*as mentioned under "IP generated from research conducted by utilising resources of the Academic Institution" II. Copyright*], the academic institution shall have a non-exclusive, royalty free, irrevocable, and worldwide license to use the IP for research, non-commercial and educational purposes. Additionally, in cases where the academic institution is the owner of copyright in lecture videos and/or MOOCs, the author(s) shall have a non-exclusive, royalty free, irrevocable, and worldwide license to use the IP for research, non-commercial and educational purposes.

**Research outputs generated in collaboration with external partners**

- i. The revenue sharing on any IP generated from a partnership between the academic institution and external partners may be based on the agreement signed between the academic institution and the external partner at the beginning of such collaborations.
  - ii. In circumstances wherein, the assignee or the licensee has not taken adequate steps for the commercialization of the academic institution – owned intellectual property, the academic institution may consider revocation of the license and assigning it to another party, after following due process. It is important to add this as a clause in any agreement entered into by the academic institution, with regard to commercialization of technologies.

### **Limitation of Liability**

All commercialization agreements shall clearly mention that the academic institution is protected and indemnified from all liability arising from development and commercialization of the IP.

### **Sharing of Costs with regard to IP protection**

With regard to the costs involved in IP protection, the following is suggested:

1. The expenses involved in obtaining and maintaining IP protection may be shared between the parties, depending on who owns the IP. If the academic institution is the sole owner of IP, the costs of IP protection shall be borne by the academic institution.
  - i. In case the academic institution refuses to incur expenditure in protecting IP, inventor may be allowed to file IP applications in the name of the academic institution at their own costs. Under such circumstances, IP filing costs may be recouped as per the provisions relating to benefit sharing as described under the Licensing agreements and revenue sharing section.
2. If the IP ownership is shared with external partners, the costs for IP protection may be shared by both the parties, based on the terms and conditions provided in the agreement.
3. It is preferable that any costs involved in the transfer of rights/ ownership of the academic institution – owned IP may be borne exclusively by the licensee, assignee or person acquiring such rights.

### **Waiver of IP rights by the Academic Institution**

1. Subject to any associated agreements, or any other agreement thereof, the academic institution may waive its rights, if the academic institution decides not to pursue the protection of IP within a period fixed by the academic institution, from sufficient disclosure by the researcher(s) to the academic institution (*for example: nine months*).
  2. The academic institution shall take all efforts to convey the decision to the researcher, whether to pursue or not pursue the protection of IP, within a stipulated time period, after sufficient disclosure by the researcher, to the academic institution. Under all such circumstances, unless explicitly agreed to, the academic institution, shall retain a non-exclusive, royalty-free, irrevocable, and worldwide license to use the IP for research and educational purposes.

### **Use of Academic Institutions' IP Resources**

The academic institution may allow the use of the following IP resources by third parties as per conditions given thereunder:

- (i) Intellectual Property already in existence and owned by the academic institution;
- (ii) Usage of the name, logo, or trademark of the academic institution in the creation and marketing of intellectual property.

### Conditions:

1. They will be used only in public interest;
2. They will be used:
  - i. in a responsible manner to create a product/process conforming to environmental safety and good manufacturing practices promoted by the Government of India and its regulatory bodies;
  - ii. in promoting truthful claims and information, i.e., not for misleading the society or users;
  - iii. Without any liability on the university in case of misuse of trademark(s) or accidental damage accruing due to use of trademark(s).

### **Dealing with IP rights owned by third parties**

#### **Use of technology protected by IPRs like patents and designs**

It is possible that researchers may have to use diverse technology/ design/ software, as part of their research. Under all such circumstances, due care and attention must be given, for not infringing the IP rights of third parties. Some of the licenses may have restrictions with regard to kind of usages permitted. It is important to ensure that due and necessary permissions are obtained from IP owners prior to engaging in any use which moves beyond the terms of license or as permitted under the relevant statute(s) in India.

#### **Use of copyrighted materials**

Whenever researchers use copyrighted material for teaching or research purposes, it needs to be ensured that the use is within the permission obtained from the concerned copyright holder(s) or is within the boundaries of exceptions provided under the Indian copyright law. The scope of different educational use-related exceptions under Indian copyright law have been interpreted by different courts in India.

- i) The academic institution may create an Institutional Repository and a link to the same may be provided on their official website. This repository shall include dissertations, theses, papers, publications, and other in-house publications. In the absence of an institutional repository, the researchers may submit such works in other open repositories in the relevant subject area.
- ii) The researchers may be encouraged to license their works under an open license so that other researchers can also use the research outputs by providing appropriate attribution to the researchers.

### **Promotion of the use of Free and Open Source Software (FOSS)**

The National IPR Policy, 2016, approved by the Union Cabinet, is a giant leap by the Government of India to spur creativity and stimulate innovation. A vision document, it lays down the roadmap for the future of IPRs in India. It aims to establish an ecosystem in the country, conducive to innovation and creativity



not only in terms of IP awareness and creation, but also commercialization and enforcement. In this regard, it is pertinent to note that the policy enshrines the following action point: *5.12.: Promote use of Free and Open Source Software along with adoption of open standards; possibility of creating Indian standard operating environments will be examined.*

The use of Free and Open Source Software (FOSS) can help in furthering the software-related skills of students and researchers. Wide adoption of FOSS would also improve the quality of software and lower the long-term costs of research in the universities. Hence the academic institution may:

- i) actively promote the use of FOSS among researchers, along with adoption of open standards;
- ii) regularly organize training programmes in FOSS for researchers;
- iii) license academic institution – owned software under open licenses; and
- iv) as far as possible, use FOSS for all official purposes.

### **Confidentiality, Data Protection and Privacy**

All users of information, documents and/or data within the academic institution, must ensure that the same is always held securely and all activities pertaining to such information, documents and/or data will be kept confidential by the user(s) and will be used only for purpose of such activities. The academic institution shall strive to protect the data and personal information against unauthorized access, loss, destruction or breach. It is suggested to have proper non-disclosure agreements with the user(s) in place to secure such confidential information, documents and/or data.

Notwithstanding the above, any information which falls within one of the following shall not be treated as Confidential Information:

- i. already under public domain;
- ii. is required by law or regulation to be disclosed;
- iii. is independently developed by the researcher; and
- iv. is received from a third party having no obligations of confidentiality to the disclosing party.

### **Publications**

- i) Any publication, document and/or paper arising out of research activities shall be owned jointly by the academic institution and researcher(s). The use of name, logo and/ or official emblem of the academic institution shall not be done without prior written permission from the institution.
- ii) While the researcher may publish material relating to the research, it may be better for both the researcher and the academic institution to jointly decide on any publication to be made.

- iii) Particular care needs to be taken that no publication is made till the patent, if applicable, is filed.
- iv) The academic institution may retain the right to require exclusion of certain portions from the information being published.

### **Disputes & Appeals**

- i) The academic institution may appoint a committee of experts to address the concerns of the aggrieved person(s) and all disputes thereunder shall be dealt with by this committee.
- ii) The decision taken by this committee should be within a prescribed time period (as decided by the academic institution/ committee) from submission of said concern. Over and beyond the above, with respect to any legal dispute arising under these guidelines, the relevant provisions of law shall be applicable.
- iii) In case of any disputes between the academic institution and the inventor(s) / creator(s)/ any other aggrieved person(s), regarding the implementation of these guidelines, scope, operation or effect of any contract/ agreement entered into, or the validity or breach thereof, the inventor(s) / creator(s)/ any other aggrieved person(s) may appeal to this committee appointed by the academic institution.
- iv) If the inventor(s) / creator(s)/ any other aggrieved person(s) is not satisfied with the verdict/ decision of the committee, mechanisms such as: Alternate Dispute Resolution (ADR), Arbitration & Conciliation, Mediation, or appeal to the Court of Adjudicature nearest to the academic institution, may be opted and the same shall be governed by the appropriate laws of India.

## **Annexure – A: Guidelines for Intellectual Property (IP) Cells**

### **Introduction**

In today's century 'Gen-Y' is considered the key person for laying down a future roadmap for creating, nurturing, building and strengthening creativity and innovation. In this regard, student-focused policies ensure that a change is initiated and supported by students, especially in light of envisioning a young and healthy creative, innovative and healthy start-up ecosystem. Moreover, the R&D facilities, infrastructure and other amenities provided by the academic institution offer a platform for students to build and sustain this environment.

Recognizing the importance of Intellectual Property Rights (IPRs) and inculcating respect for the same, amongst innovators, researchers, industries, etc. is an important mandate of the National IPR Policy, 2016. The foundation of this has to be laid at the grass-root level by initiating programs for the youth; with specific target being the academic institution. In order to engage students/ personnel and motivate them to work in the field of IPRs, a first step would be through the creation of "IP cells" in the academic institution. To ensure the effective applicability of these guidelines, the IP cells so formed, have been proposed as the common network for all IP Cells to be established pan India in the academic institution.

This document provides guidelines as regards the roles, responsibilities and functioning of the IP Cells in the academic institution. The ultimate goal these guidelines propose to achieve is to promote student-led startups and entrepreneurial ventures that protect and respect intellectual property. The use of these guidelines is intended to complement the existing intellectual property laws of India.

### **Aim**

IP Cells envision promoting academic freedom and safeguarding the interests of inventor in creation and commercialization of intellectual property with legal support, wherever necessary. They also envision creating an environment for acquiring new knowledge through innovation, developing an attitude of prudent IP management practices and promoting an IPR culture compatible with the educational mission of the academic institution.

IP Cell will function with the prime focus of enabling students, researchers and professors to identify, generate and protect their intellectual property through filing procedures for rights like patents, copyrights, trademarks, designs, etc. IP Cell will also cater to commercialization of intellectual property, which will further foster the creation of a fruitful dynamic system between universities, investors and industries. Along with this, IP Cell will ensure seamless and ceaseless knowledge transfer amongst students and faculties, alike.

### **Vision**

To establish an evolving framework where creativity and innovation are stimulated by Intellectual Property for the benefit of all; where intellectual property promotes advancement in science and technology, arts and culture, media and entertainment; where knowledge is the main driver of development, and knowledge owned is transformed into knowledge shared; where an ambience is

created wherein new ideas, research and scholarship flourish and from which the leaders, creators and innovators of tomorrow emerge.

### **Mission**

To create a nationwide reach and network of IP Cells which will create awareness about IPRs, encourage students/ faculties/ personnel to file for IPRs and also help in commercialization of the same.

### **Objectives**

- i. IP Cell will be responsible for conducting the following:
  - § IPR Awareness Programs – Conducting IPR awareness programs for students, faculty, researchers, officials, etc.
  - § Self-Training Workshops/ Advanced level awareness programs – Conduct advanced and training of trainers (TOTs) level IPR awareness programs for students, faculty, researchers, officials, etc.
- ii. IP Cell shall provide an environment for academic and R&D excellence and conduct dedicated programs on IPR for the undergraduate and postgraduate students as well as organise regular IPR counselling programme for research scholars.
- iv. IP Cell shall expose students, faculty, researchers, officials, etc. to the prevalent IP law practices and provide them with an opportunity to learn and use legal skills under the supervision of IP practitioners and experts.
- v. IP Cell shall provide a platform to diagnose innovation and research on contemporary issues of national and international relevance leading to creation of IPR.
- vi. IP Cell shall facilitate, encourage, promote and establish collaborative frameworks for industry – academic institution partnerships at national and international scale to initiate research and development of commercial value.
- vii. Another important task of IP Cell would be to create an IPR Policy for the academic institution, including the Royalty's Distribution Arrangement. Some models and drafts of IPR policies of several universities may be accessed from the WIPO website for reference.<sup>5</sup> This database also includes IPR policies of various other Higher Educational Institutions (HEIs).
- viii. IP Cell may tie up with the existing innovation and creativity ecosystem in the academic institution, if already existing (such as Research Ethics Committees, Incubation Centres, Entrepreneurship Clubs, etc.). If not already established, it shall be responsible for setting up a new innovation ecosystem with hand-holding support and assistance from relevant authorities.
- ix. IP Cell will facilitate the recording, monitoring and maintenance of the IP portfolio of the academic institution may choose an outside counsel/ IP firm for managing its IP portfolio.
- x. IP Cell will enhance the reputation of the academic institution as an academic research institution and a member of society as well as the reputation of the Researchers through bringing the research

results to public use and benefit. It will ensure that a culture is built that enhances recognition and respect for IP amongst students, faculty, researchers, officials, etc.

- xi. IP Cell will set out the academic institution procedures on the identification, ownership, protection and commercialization of IP.
- xii. IP Cell on regular basis will encourage researchers to identify solutions for problems faced by the industries and tailor research projects around the same.
- xiii. In case of IP Filings:

<sup>5</sup> Model Intellectual Property Policy for Universities and Research Institutions, World Intellectual Property Organization (WIPO), Available at: [https://www.wipo.int/edocs/pubdocs/en/wipo\\_pub\\_transition\\_2\\_a.pdf](https://www.wipo.int/edocs/pubdocs/en/wipo_pub_transition_2_a.pdf); Last updated on: January 29, 2019; Available at: [https://www.wipo.int/about-ip/en/universities\\_research/documents/ip\\_toolkit/guidelines\\_template.docx](https://www.wipo.int/about-ip/en/universities_research/documents/ip_toolkit/guidelines_template.docx).

For a database of University IP Policies, also see: [https://www.wipo.int/about-ip/en/universities\\_research/ip\\_policies/](https://www.wipo.int/about-ip/en/universities_research/ip_policies/).

Students pursuing Post-Graduate and above courses (M. Tech and Ph.D. students) shall be encouraged to undertake patent search before publishing any research paper and subsequently file for a provisional patent for novel inventions.

- xiii. For filing any IP, IP Cell may avail necessary help from the nearest PIC/ IPFC or TISC present across the country. IP Cell may seek assistance from these entities for legal certainty in research activities and technology-based relationships with third parties.
- xiv. IP Cell shall share half yearly reports, which shall provide updates regarding the work done and targets/ milestones achieved, with CIPAM-DPIIT and concerned Department(s) in the State Government.
- xv. IP Cell may ensure, in case of disputes, efforts are made to address the concerns by developing and instituting as well as adopting an alternative dispute mechanism at the academic institution level.
- xvi. IP Cell shall be governed by appropriate laws of the State (where the academic institution is located) and India.

***Apart from aforementioned mandates, the IP Cell in its individual capacity, is free to adopt and/or implement other strategies and steps as it deems fit.***

### **Organization Structure**

The following positions of responsibility are suggestive in nature. This structure may be followed to establish a creative, innovative and IP friendly ecosystem as well as devise monitoring mechanisms in academic institution.

Lead Coordinator: This position may be allotted to 1 senior faculty who shall be responsible for making sure that all the mandates are followed and the roles and responsibilities for effective functioning are judiciously followed. The Lead Coordinator shall also be responsible for using his or her network to reach out to industries for collaboration with the universities. Compulsory: Must have basic knowledge on IPRs.

Deputy/ Assistant Coordinator: This position may be offered to 2 junior faculties who shall be responsible for day-to-day operations of the IP Cell and will coordinate with the students. The responsibilities of Deputy Coordinator and Lead Coordinator will more or less be the same.

Student Coordinator(s): One or more 1st and 2nd year students who have interest in the field of IPRs may be appointed as student coordinators. They will work under the guidance of Lead Coordinator/ Deputy Coordinator/ Assistant Coordinator towards achieving the goals of the IP Cell.

Campus Ambassador/ IP Ambassador: 3rd/ final year students of the academic institution with experience and zeal in the field of IPRs may be enrolled as Campus Ambassadors/ IP Ambassadors who will work with the Student, Deputy and Lead Coordinators in nurturing the ecosystem of innovation and creativity in the academic institution.

**Note:** For Overall IPR the university constituted a Intellectual Property Rights Management Cell (IPRMC) Cell. However, Individual Institutions are encouraged to constitute a cell to promote their IPR with the prior approval of VMRF (DU).

#### **Verticals**

The academic institution may choose to have one or more of the following verticals in the IP Cell:

- i) Awareness/ Public Outreach – This vertical will focus on conducting intra – academic institution – Workshops/ Seminars/ Conferences on IPR, in-house workshops, academic institution – Industry Linkages, Student Activity Forum.
- ii) Education – This vertical will focus on facilitating credit courses/ content material, research projects, advanced/ TOT programs.
- iii) Operations – This vertical will focus on creation of database for IP filings in the academic institution, technology transfer, IP management and related industrial interaction thereof.
- iv) Legal Assistance – This vertical will focus on general and day to day legal assistance required for industry-academia collaborations, confidentiality agreements, forms and fees regard IP filings, in-house intellectual property, publications, et al.
- v) Administration – This vertical will focus on all matters involving payments, expenditure, resource allocation and budgetary approvals related to the general functioning and administrative as well as statutory functions of the IP Cell.
- vi) Due Diligence – This vertical will focus on all matters pertaining to possibilities of plagiarism, counterfeiting, patent infringement and other related IP issues.



# VINAYAKA MISSION'S RESEARCH FOUNDATION

(Deemed to be University under section 3 of the UGC Act 1956)

## ACADEMIC INTEGRITY AND PREVENTION OF PLAGIARISM REGULATIONS

## **ACADEMIC INTEGRITY AND PREVENTION OF PLAGIARISM REGULATIONS**

### **Preamble**

Ethics and honesty are the two most important and integrated components of the academic activities in teaching or research, which are founded upon extremely high moral values. There cannot be any room for claiming the credit for the work she/he has not undertaken. Many times it is observed that some of the “researchers/academicians” knowingly or unknowingly publish or present other’s work as their own. Such acts will affect healthy academic atmosphere in the academic institution, which will also harm the reputation of the academic institution as well as the individual. It is, therefore, necessary for any reputed and prestigious university to formulate well defined Guidelines to check menace of plagiarism. Accordingly Vinayaka Mission’s Research Foundation (Deemed to be University) VMRF (DU) has framed the following guidelines in line with the University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Education Institutions) Regulations, 2018 (vide No. F.1- 18/2010(CPP -II) dated 23rd July, 2018.

### **Definition of Plagiarism**

- Submitting someone else's work as one’s own;
- Copying words or ideas from someone else, without giving credit to the original work;
- Failing to put a quotation with quotation marks;
- Giving incorrect information about the source of a quotation;
- Changing words but copying the sentence structure of a source without giving credit to the original work;
- Copying more than 20 words continuously from a source, whether you give credit to the original work or not; and
- Manipulation or misinterpretation of others’ work (published or un-published) as her/his own by modifying numerical values in figures, tables and illustrations.

### **Short title, application and commencement**

- a) These regulations shall be called the VMRF (DU) Academic Integrity and Prevention of Plagiarism Regulations,2018 in line with UGC Regulation dt.23rd July,2018.
- b) They shall apply to the students, faculty, researchers and staff of all Higher Educational Institutions of VMRF (DU).
- c) These regulations shall come into force with immediate effect

### **Definitions**

In these regulations, unless the context otherwise requires

- a) “Academic Integrity” is the intellectual honesty in proposing, performing and reporting any activity, which leads to the creation of intellectual property;
- b) “Author” includes a student or a faculty or a researcher or staff of Higher Educational Institution (VMRF(DU) who claims to be the creator of the work under consideration;
- c) VMRF(DU) means Vinayaka Mission’s Research Foundation (Deemed to be University)
- d) “Commission” means the University Grants Commission as defined in the University Grants Commission Act,1956;
- e) "Common Knowledge" means a well known fact, quote, figure or information that is known to most of the people;
- f) “Degree” means any such degree specified by the University Grants Commission, by notification in the Official Gazette, under section 22 of the University Grants Commission Act,1956;
- g) “Departmental Academic Integrity Panel” shall mean the body constituted at the departmental level to investigate allegations of plagiarism;
- h) “Faculty” refers to a person who is teaching and/or guiding students enrolled in VMRF(DU) in any capacity whatsoever i.e. regular, ad-hoc, guest, temporary, visiting etc;



- i) "Information" includes data, message, text, images, sound, voice, codes, computer programs, software and databases or microfilm or computer generated microfiche;
- j) "Institutional Academic Integrity Panel" shall mean the body constituted at Institutional level to consider recommendations of the departmental academic integrity panel and take appropriate decisions in respect of allegations of plagiarism and decide on penalties to be imposed. In exceptional cases, it shall investigate allegations of plagiarism at the institutional level;
- k) "Notification" means a notification published in the Official Gazette and the expression "notify" with its cognate meanings and grammatical variation shall be construed accordingly;
- l) "Plagiarism" means the practice of taking someone else's work or idea and passing them as one's own.
- m) "Programme" means a programme of study leading to the award of a masters and research Level degree;
- n) "Researcher" refers to a person conducting academic / scientific research in VMRF(DU);
- o) "Script" includes research paper, thesis, dissertation, chapters in books, full-fledged books and any other similar work, submitted for assessment / opinion leading to the award of master and research level degrees or publication in print or electronic media by students or faculty or researcher or staff of an VMRF(DU) ; however this shall exclude assignments/term papers/project reports/coursework/essays and answer scripts etc.
- p) "Source" means the published primary and secondary material from any source whatsoever and includes written information and opinions gained directly from other people, including eminent scholars, public figures and practitioners in any form whatsoever as also data and information in the electronic form be it audio, video, image or text; Information being given the same meaning as defined under Section 2 (1) (v) of the Information Technology Act, 2000 and reproduced here in Regulation 2(l);
- q) "Staff" refers to all non-teaching staff working in VMRF(DU) in any capacity whatsoever i.e. regular, temporary, contractual, outsourced etc.;
- r) "Students" Means a person duly admitted and pursuing a programme of study including are search programme in any mode of study (full time or part time or distance mode)
- s) " University" means a University established or incorporated by or under a central Act, a provincial Act or a state Act, and includes an institution deemed to be university under section 3 of the UGC Act, 1956;
- t) "Year" means the academic session in which a proven offence has been committed. Words and expressions used and not defined in these regulations but defined in the University Grants Commission Act, 1956 shall have the meanings respectively assigned to them in UGC Act, 1956.

## Objectives

- To create awareness about responsible conduct of research, thesis, dissertation, promotion of academic integrity and prevention of misconduct including plagiarism in academic writing among student, faculty, researcher and staff.
- To Establish institutional mechanism through education and training to facilitate responsible conduct of research, thesis, dissertation, promotion of academic integrity and deterrence from plagiarism

- To develop systems to detect plagiarism and to set up mechanisms to prevent plagiarism and punish student, faculty, researcher or staff of the VMRF (DU) committing the act of plagiarism.

#### **Duties of University:**

- a) VMRF (DU) should establish the mechanism as prescribed in these regulations, to enhance awareness about responsible conduct of research and academic activities, to promote academic integrity and to prevent plagiarism.

#### **b) Awareness Programs and Trainings:**

- I. VMRF (DU) shall instruct students, faculty, researcher and staff about proper attribution, seeking permission of the author wherever necessary, acknowledgement of source compatible with the needs and specificities of disciplines and in accordance with rules, international conventions and regulations governing the source.
- II. VMRF (DU) shall conduct sensitization seminars/ awareness programs every semester on responsible conduct of research, thesis, dissertation, promotion of academic integrity and ethics in education for students, faculty, researcher and staff.

#### **c). VMRF (DU) Shall:**

- i. Include the cardinal principles of academic integrity in the curricula of Undergraduate (UG/postgraduate (PG)/Master's Degree etc. as a compulsory coursework/module.
- ii. Include elements of responsible conduct of research and publication ethics as a compulsory course work/module for Masters and Research Scholars.
- iii. Include elements of responsible conduct of research and publication ethics in Orientation and Refresher Courses organized for faculty and staff members of the VMRF (DU).
- iv. Train student, faculty, researcher and staff for using plagiarism detection tools and reference management tools.
- v. Establish facility equipped with modern technologies for detection of plagiarism.
- vi. Encourage student, faculty, researcher and staff to register on international researcher's Registry systems,

#### **Curbing Plagiarism**

- a) VMRF(DU) implements the technology based mechanism using anti-plagiarism software so as to ensure that documents such as thesis, dissertation, publications or and other such documents are free of plagiarism at the time of their submission.
- b) The mechanism as defined at (a) above shall be made accessible to all engaged in research work including student, faculty, researcher and staff from the designated office of the University.
- c) Every students submitting a thesis, dissertation, or any other such documents to the University shall submit an undertaking indicating that the document has been prepared by him or her and that the document is his / her original work and free of any plagiarism.
- d) The undertaking shall include the fact that the document has been duly checked through a plagiarism detection tool approved by the university.
- e) VMRF(DU) devised a policy on plagiarism and approved by the statutory bodies/ authorities. The approved policy placed on the homepage of the VMRF(DU) website.
- f) Each supervisor shall submit a certificate indicating that the work done by the researcher under him / her is plagiarism free
- g) VMRF(DU) shall submit the softcopies of all Maters, Research program's dissertations and thesis to INFLBNET within a month after the award of degree for hosting in the digital repository under the "ShodhGangae repository".

- h) VMRF (DU) created Institutional Repository on institute website which shall include dissertation/ thesis /Paper/ Publication and other in – house publications.

#### **Similarity check for exclusion from plagiarism**

The similarity checks for plagiarism shall exclude the following:

- a) All quoted work reproduced with all necessary permission and /or attribution.
- b) All references, bibliography, table of content, preface and acknowledgements.
- c) All generic terms, laws, standard symbols and standard equations.

#### **Note:**

The research work carried out by the student, faculty, researcher and staff shall be based on original ideas, which shall include abstract, summary, hypothesis, observations, results, conclusions and recommendations only and shall not have any similarities. It shall exclude a common knowledge or coincidental terms, up to fourteen (14) consecutive words.

#### **Levels of Plagiarism**

Plagiarism would be quantified into following levels in ascending order of severity for the purpose of its definition:

- i. Level 0: Similarities up to 10% Minor similarities, no penalty
- ii. Level 1: Similarities above 10% to 40%
- iii. Level 2 : Similarities above 40% to 60%
- iv. Level 3 : Similarities above 60%

#### **Detection/Reporting/Handling of plagiarism**

If any member of the academic community suspects with appropriate proof that a case of plagiarism has happened in any document, he or she shall report it to the departmental Academic integrity panel (DAIP) Upon receipt of such a complaint or allegation the DAIP shall investigate the matter and submit its recommendations to the institutional academic integrity panel (IAIP) of the VMRF (DU)

The authorities of VMRF (DU) can also take suo motu notice of an act of plagiarism and initiate proceedings under these regulations. Similarly, proceedings can also be initiated by the VMRF (DU) on the basis of findings of an examiner. All such cases will be investigated by all IAIP.

#### **Departmental Academic Integrity Panel (DAIP)**

- i. For Ph.D Candidates the Doctoral Committee and the Plagiarism Software Expert (Research Coordinator of the Constituent Unit) Shall act as a DAIP of the each candidate registered.
- ii. In addition, all departments in VMRF(DU) constituent colleges shall notify a DAIP whose composition shall be as given below:
  - a) Chairman- Head of the Department
  - b) Member-Senior academician from outside the department, to be nominated by the HOI.
  - c) Member – A person (Research Coordinator of the Institution) well versed with anti-plagiarism tools, to be nominated by the Head of the Department.

The tenure of the members in respect of points 'b' and 'c' shall be two years. The quorum for the meetings shall be 2 out of 3 members (including Chairman).

- iii. The DAIP Shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff.
- iv. The DAIA Shall have the power to assess the level of plagiarism and recommend penalty(ies) accordingly.

- v. The DAIP after investigation shall submit its report with the recommendation on penalties to be imposed to the IAIP within a period of 45 days from the date of receipt of complaint/ initiation of the proceedings.

#### **Institutional Academic Integrity Panel (IAIP)**

- i. VMRF(DU) shall notify a IAIP whose composition shall be as given below:
  - a) Chairman- Pro- VC/ Dean/Senior Academician of the VMRF (DU).
  - b) Member- Senior Academician other than Chairman, to be nominated by the Head of VMRF(DU)
  - c) Member –One Member nominated by the Head of VMRF(DU) from outside the VMRF(DU)
  - d) Member –A person well versed with anti- plagiarism tools, to be nominated by the head of the VMRF(DU)

The Chairman of DAIP and IAIP shall not be the same. The tenure of the committee members including chairman shall be three years. The quorum for the meetings shall be 3 out of 4 members (including chairman).

- ii. The IAIP shall consider the recommendations of DAIP
- iii. The IAIP shall also investigate cases of plagiarism as per the provisions mentioned in the regulations
- iv. The IAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff of VMRF (DU).
- v. The IAIP shall have the power to review the recommendations of DAIP including penalties with due justification.
- vi. The IAIP shall send the report after investigation and the recommendation on penalties to be imposed to the head of the VMRF (DU) within a period of 45 days from the date of receipt of recommendation of DAIP /Complaint/initiation of the proceedings.
- vii. The IAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.

#### **Penalties**

Penalties in the case of plagiarism shall be imposed on students pursuing studies at the level of Masters and Research programs and on researcher, faculty & staff of the VMRF (DU) only after academic Misconduct on the part of the individual has been established without doubt, when all avenues of appeal have been exhausted and individual in question has been provided enough opportunity to defend himself or herself in a fair or transparent manner.

#### **Penalties in case of plagiarism in submission of thesis and dissertations**

Institutional academic integrity panel (IAIP) shall impose penalty considering the severity of the Plagiarism.

- i. Level 0 : Similarities upto 10% Minor Similarities, no penalty.
- ii. Level 1 : Similarities above 10% to 40% - such student shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.
- iii. Level 2 : Similarities above 40% to 60% such student shall be debarred from submitting a revised script for a period of one year.
- iv. Level 3: Similarities above 60% such student registration for that programme shall be cancelled.

**Note 1:** Penalty on repeated plagiarism such student shall be punished for the plagiarism of one level higher than the previous level committed by him /her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative.

**Note 2:** Penalty in case where the degree/ Credit has already been obtained – if plagiarism is proved on the date later than the date of award of degree or credit as the case may be then his/ her degree or credit shall be put in abeyance for a period recommended by the IAIP and approved by the Head of the Institution.

**Penalties in case of plagiarism in academic and research publications**

- i. Level 0: similarities up to 10% Minor similarities, no penalty
- ii. Level 1 : Similarities above 10% to 40%
  - I. Shall be asked to withdraw manuscript
- iii. Level 2 Similarities above 40% to 60%
  - i. Shall be asked to withdraw manuscript
  - ii. Shall be denied a right to one annual increment
  - iii. Shall not be allowed to be a supervisor to any new Master’s M.Phil., Ph.D. student/scholar for a period of two years.
- iv. Level3: Similarities above 60%
  - i. Shall be asked to withdraw manuscript.
  - ii. Shall be denied a right to two successive annual increments.
  - iii. Shall not be allowed to be a supervisor to any new Master’s , M.Phil., Ph.D. Student/scholar for a period of three years.

**Note 1:** Penalty on repeated plagiarism – shall be asked to withdraw manuscript and shall be punished for the plagiarism of in a level higher than the lower level committed by him / her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative. In case level 3 offence is repeated then the disciplinary action including suspension/ termination as per service rules shall be taken by the VMRF (DU).

**Note 2:** Penalty in case where the benefit or credit has already been obtained –if plagiarism is proved on a date later than the date of benefit or credit obtained as the case may be then his / her benefit or credit shall be put in abeyance for a period recommended by IAIP and approved by the head of the institution.

**Note 3:** VMRF (DU) shall create a mechanism so as to ensure that each of the paper publication/thesis/ dissertation by the student, faculty, researcher or staff of the VMRF (DU) is checked for plagiarism at the time of forwarding /submission.

**Note 4:** if there is any complaint of plagiarism against the Head of a VMRF (DU), a suitable action, in line with these regulations, shall be taken by the controlling Authority of the VMRF (DU).

**Note 5:** if there is any complaint of plagiarism against the Head of Department /Authorities at the institutional level, a suitable action, in line with these regulations, shall be recommended by the IAIP and approved by the competent authority.

**Note 6:** if there is any complaint of plagiarism against any member of DAIP or IAIP, then such member shall excuse himself/ herself from the meeting(s) where his / her case is being discussed / investigated.

**Procedure for plagiarism check**

The University provides plagiarism checker software(s) to detect the similar textual content already published in various information sources. This facility will be available in all the institutions of VMRF (DU). It is the responsibility of the Research scholars and supervisors to check the soft copy of the Ph.D/ Post- Ph.D theses and documents for plagiarism, using the plagiarism detection software, while submitting their theses to the University.

*Format for plagiarism check certificate*

**VINAYAKA MISSION'S RESEARCH FOUNDATION  
(DEEMED TO BE UNIVERSITY) SALEM, TAMILNADU  
CERTIFICATE OF PLAGIARISM CHECK**

1	<b>Name of the Research Scholar/Student</b>	
2	<b>Title of the Thesis / Dissertation</b>	
3	<b>Name of the Supervisor</b>	
4	<b>Department/ Institution/ Research Centre</b>	
5	<b>Similar content (%) identified</b>	
6	<b>Acceptable Maximum Limit</b>	<b>10%</b>
7	<b>Software Used</b>	
8	<b>Date of Verification</b>	

\*Report on plagiarism check, specify included/excluded item with % of similarity to be Attached

Check by (with Name, designation & Signature):

**Research Coordinator of the Institution**

**Name & Signature of the Researcher:**

**Name & Signature of the Supervisor:**

**Certificate for Plagiarism**

It is certified that PhD Thesis Titled-----

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-----by -----

-----has been examined by us. We undertake the follows:

- a) Thesis has significant new work/knowledge as compared already published or are under considerations to be published elsewhere. No sentence, equation, diagram, table, paragraph or section has been copied verbatim from previous work unless it is placed under quotation marks and duly referenced.
- b) The work presented is original and own work of the author (ie. There is no plagiarism). No ideas, processes, results or words of others have been presented as author own work.
- c) There is no fabrication of data or results which have been compiled / analyzed.
- d) There is no falsification by manipulating research materials, equipment or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- e) The thesis has been checked using Plagiarism checking software (copy of originality report attached) and found within limits as per university plagiarism policy and instructions issued from time to time

**NAME & SIGNATURES OF THE DEPARTMENT ACADEMIC INTEGRITY PANEL/DOCTORAL COMMITTEE\***

1.

2.

3.

4.

**Note: In the case of Languages like Malayalam, Tamil, etc. On which no software is available for plagiarism check, a manual check shall be made by the Doctoral Committee, for which an additional certificate has to be attached.**





# VINAYAKA MISSION'S RESEARCH FOUNDATION

(Deemed to be University under section 3 of the UGC Act 1956)

## Policy for Academic Research Integrity & Ethics

## **Policy for Academic Research Integrity & Ethics in VMRF (DU)**

### **1. Introduction:**

- Vinayaka Mission's Research Foundation - Deemed to be University (VMRF (DU)) had improved its research outcomes Viz. Publications, Patents, Extramural Projects, Clinical Trials etc. significantly in the last few years. Also the University is providing Seed Money grants to the faculty, Student Research grants, giving various research incentives, awards to the faculty for their contributions. It was felt that we shall have written policy for Academic Research Integrity & Ethics in VMRF (DU). This policy gives broad guidelines that shall be followed by all the faculty, Full time Research Staff, Ph.D Scholars, students and collaborating institutes. The details are available in respective policies of the University.
- While nurturing integrity, creativity, research freedom and striving for excellence and achieving high productivity in its research activities, VMRF (DU) is committed to ensuring highest ethical standards in its publications, Patents, execution of Seed Money Projects, Extramural Projects, clinical trials conforming to the principles of honesty, fairness and scientific integrity.
- The Policy will be implemented in letter and spirit by the Institutional Research Committees of the institutes concerned and will be overseen by Research Ethics Committee of the University. HoI or his/her nominee is responsible to implement this policy in their institute.
- This Policy is issued based on the Good Academic Research Practices issued by UGC (Ref.1).
- All the faculty members shall ensure that the complete IPR rests with the University/Institution and IPRs are protected. The IPR of all the research work carried out as part of dissertation/thesis/projects by students belong to VMRF (DU).

### **2. Guidelines for authorship & Ethics in Publications/Conference Papers:**

Scientific/technical inputs in the form of experimental work, results analysis & interpretation, theoretical inputs, originator of idea, guidance and review are some of the major criteria for the basis of authorship. All those who have contributed should find a place in the list of authors. The nature of contribution of each co-author should be verified by the person delegated and all major contributors shall find a place in the manuscript. The lead author of the paper should be the person who is the main contributor or the person who is responsible for executing the work. Any one of the following can be the basis for assigning authorship.

- Substantial contributions to conception and design, Simulation or modelling
- Experimental arrangement, data acquisition, analysis and interpretation of data
- Drafting the article or revising it critically for important intellectual content
- First author should have a substantial contribution and should be the one having domain expertise in that area.
- In general, in all publications made by the faculty members, it is preferable to have the first author as the communicating/corresponding author.
- In all manuscripts submitted based on the work of the Full time Research staff/Ph.D Scholar/ Student, he/she shall be the first author. The guide shall be the corresponding author.
- The names of the faculty members from other institutions shall be included only if they had contributed.
- All the manuscripts, Books & Book Chapters shall be checked for Plagiarism and it shall be at a minimum level and shall be less than prescribed by the journal.

- The first author and corresponding author shall ensure that there is no falsification or fabrication of data.
- In case of authorship dispute, IRC shall resolve it before the paper is communicated.
- When the manuscript is accepted or requires revision or rejected, the first/corresponding author shall inform all co-authors.
- In case of any dispute/complaint from other institutions/organizations/individuals, the same may be suitably resolved at the earliest by the HoI with the knowledge of or help of University Research Ethics Committee.
- In case the Publisher/Indexing Database “Retracts” any paper after Publication after finding unethical means by the author while publishing, the author shall inform to the University Research Ethics Committee through HoI within 15 days.
- In case the research is funded by the University/external funding agencies, the same shall be acknowledged under Acknowledgements para.
- Predatory and cloned journals shall be avoided for publication.
- In case any inputs are taken from other publications, the same shall be cited.
- All publications shall necessarily contain institute & University affiliation.

### **3. Execution of Seed Money Projects/Extramural Projects/PG/Ph.D thesis:**

- While executing the seed money projects/extramural projects, the investigators shall avoid falsification, fabrication, or misrepresentation of data and shall report actual observations. If required they shall repeat the experiments and look at the interpretations. All research work carried out as part of dissertation/thesis shall adhere to the same. Sanctioned time/money shall not be the reason for falsification or fabrication of data.
- The investigators shall report all the findings and should not withhold them in part or full for their subsequent use.
- Any IPR which is patentable, shall be done at the earliest before making any publication or presenting in any conference.
- All the Seed Money projects shall be converted to at least two indexed publications. All the projects shall lead to extramural projects and faculty shall apply for the external grants based on the results.
- While executing extramural projects the guidelines given by the funding agencies shall be followed including for publications, patents etc.

### **4. Patents:**

- All efforts shall be made by the faculty to patent any new findings of their research after thorough patent search. The seed money projects may be converted to patents wherever possible.
- The original contributor to the invention/design shall be the first inventor in the patent.
- The actual contributors to the invention/design shall only be included in the list of inventors in the patent.
- No falsification or fabrication or misrepresentation of data shall be attempted.
- Unless they had contributed, the faculty from other institutes shall not be included in the inventors list.

- Consent to be one of the inventors shall be given to the patents filed by other institutes only if the respective faculty had contributed. Faculty shall keep in mind that in case of any legal disputes all inventors will be held accountable.

#### **5. Clinical Trials:**

- All the regulatory clinical trials shall be approved by the respective Institutional Ethics committee (IEC) and the trials can be carried out only after registering in Clinical Trial Registry of India (CTRI) and approval by respective statutory authorities Viz. Central Drug Standard Control Organization (CDSCO). (Ref.2)
- In case of academic clinical trials, the trials shall be approved by respective Institutional Ethics committee and registered in CTRI. If IEC recommends CDSCO approval, the same shall be obtained.
- The approval of Institutional Animal Ethics committee and other statutory committees shall be obtained wherever applicable.
- All guidelines prescribed by the respective agencies shall be followed while transporting clinical samples within the country and outside. Hols shall ensure that.
- The obligations as specified in the agreement with the funding agency with respect to disclosure of results, publications, conference presentations shall be scrupulously followed.
- All the guidelines given by statutory bodies from time to time shall be implemented in letter and spirit.

**These Guidelines for Research Ethics come in to force with immediate effect. All the faculty /Full time Research staff/Ph.D scholars/Students shall follow these guidelines. Any violation will invite disciplinary action against them by the institute/University.**

#### References:

1. Guidance document on Good Academic Research Practices by UGC – Sept. 2020.
  2. ICMR Policy on Research Integrity and Publication Ethics- 2019
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# VINAYAKA MISSION'S RESEARCH FOUNDATION

(Deemed to be University under section 3 of the UGC Act 1956)

## INNOVATION & ENTREPRENEURSHIP POLICY 2023

**Revision Sheet:**

Innovation & Entrepreneurship Policy 2020	October 2020	Approved by BOM
Innovation & Entrepreneurship Policy 2021	October 2021	Approved by BOM
Innovation & Entrepreneurship Policy 2023	January 2023	

## Vinayaka Mission's Research Foundation - (VMRF-DU)

### Sub: Innovation, Incubation & Entrepreneurship Policy 2023

1. **Introduction:** Innovation, Incubation and Entrepreneurship Policy of VMRF-DU is formulated to enable the constituent institutes to actively engage students, faculty, research scholars and staff in innovation, incubation and startup related activities. This will guide the institutions of VMRF-DU on the mechanisms of hand holding the students and faculty members for supporting their initiatives for innovations & Startups with the aim that Innovation, incubation and Entrepreneurship emerge as one of the focal points of our education related activities.
  - a. VMRF-DU has three Innovation & Incubation Centres, two at Chennai location called "Ganesan Incubation & Entrepreneurship Centre" and "MSME Business Incubator – Aarupadai Veedu Institute of Technology" the other at Salem location called "Vinayaka Mission's Kirupananda Variyar MSME Business Incubator" (earlier called as Prof. Dr. A.P.J. Abdul Kalam Incubator) which are recognized by Ministry of MSME, Govt. of India. More such incubation centres may be formed in the university based on the requirement.
  - b. In addition, Institution Innovation Councils (IICs) are functional in Thirteen constituent colleges to promote innovation.
  - c. The policy is formulated based on National Innovation & Startup Policy 2019 for Students, Faculty, Research Scholars and Staff of VMRF (DU).
  
2. **Strategies:** Entrepreneurship promotion and development is one of the major objectives of the university. Faculty & Students are encouraged to come out with innovative ideas & try them out in the incubation centres, convert them to products that would enable entrepreneurship and startups. To enable this a faculty/student friendly system is evolved and faculty & Students can access the incubation facilities without much hassles.
  - a. Research and Innovation are inseparable. Faculty who are carrying out Research activities, especially proof of concept or product oriented and students doing internships are encouraged to use the incubation facilities.
  - b. VMRF-DU being a multidisciplinary university, Institutions shall encourage innovation,

incubation, startups & entrepreneurship not only in specific disciplines but also in interdisciplinary & multidisciplinary domains. Incubation centres are equipped to promote and enable such ideas.

- c. Product to market strategy for startups is developed by the institute on case to case basis.
- d. Importance of innovation and entrepreneurial agenda is the responsibility of the Head of the Institution and Institutions Innovation Council across the institute and is promoted and highlighted at institutional programs such as conferences, lectures, workshops etc. The University Innovation, incubation and Entrepreneurship cell (IIEC) is coordinating to successfully implement the entrepreneurship culture.
- e. Development of entrepreneurship culture is not limited within the boundaries of the institution. The institutions is driving force in developing entrepreneurship culture in its vicinity (regional, social and community level). This include giving opportunity for regional startups, provision to extend facilities for outsiders and active involvement of theinstitute in defining strategic direction for local development. Institutes permit its alumni to make use of the incubation centre. Institution's decision is final in allowing outsiders to use the incubation facilities. Faculty provide the required technical guidance for the startups. Theintellectual properties is shared on mutually agreed basis.
- f. The incubation centres will be augmented on a contiguous and need basis to cater to the requirements of all the departments of the institutes.
- g. A designated person is heading the Innovation, incubation and Entrepreneurship cell (IIEC) and appropriate reporting structure and support system is formulated.
- h. Importance of innovation and entrepreneurship agenda is known across the Institutes and is promoted and highlighted at Institutional programs such as Smart India Hackathon, IDEATHON, Conferences, Workshops etc.,
- i. Action plan is formulated at Institution level with well defined short-term and long-term goals.
- j. As VMRF (DU) provides Seed Money for faculty, faculty are encouraged to take up product oriented research using the incubation centres.



### **3. Governance Structure:**

- a. Each of the incubation Centres is headed by a Manager/one of the HoDs of the institution. He/She will facilitate Students, Faculty and other staff in all the incubation activities without hassles. The designated person is the custodian of the Incubation centre and he/she plan for its augmentation based on need periodically.
- b. The designated person report to the Principal/Dean of the respective College.
- c. A Senior Person has been designated as Director - Innovation, Incubation and Entrepreneurship Cell to coordinate Innovation, Incubation & Startup activities in the University and he reports to Vice Chancellor, VMRF-DU and report the progress to Research Advisory Board (RAB).
- d. Principals of the colleges having the incubation centres report to Director - Innovation, Incubation and Entrepreneurship technically for Innovation & Startup activities.

**4. Resource Mobilization:** Resource mobilisation plan is worked out at the institute for supporting pre-incubation, incubation infrastructure and facilities. A sustainable financial strategy is planned in order to reduce the organizational constraints to work on the entrepreneurial agenda.

- a. Investment in the entrepreneurial activities is a part of the institutional financial strategy.
- b. The institution allocate sufficient fund of the total annual budget for funding and supporting innovation and startup related activities through “Research” head.
- c. The strategy also involve raising funds from diverse sources to reduce dependency on the institute alone.
- d. Bringing in external funding through government (state and central) such as DST, DBT, MHRD, AICTE, TDB, TIFAC, DSIR, CSIR, BIRAC, NSTEDB, NRDC, ICMR, AYUSH, Startup India, Invest India, MeitY, MSDE, MSME, etc. and non-government sources is encouraged.
- e. To support technology incubators, the institutes approach private and corporate Sectors to generate funds under Corporate Social Responsibility (CSR) as per Section 135 of the Company Act 2013 with required approvals from the institutions/university.

- f. Institute also raise funding through sponsorships and donations with required approvals from the institutions/university.
- g. Institutes actively engage and involve alumni network for promoting Innovation & Entrepreneurship (I&E) in the institution.
- h. The Innovation fund accounts are audited as per the institute procedures.
- i. When the Incubation & Startup activities of the institute reach a sufficiently matured stage, an 'Incubation cum Technology Commercialization Unit' (ITCU) may be formed and it should be a separate entity preferably registered under Section-8 of Company Act 2013 or 'Society' registered under Society Registration Act with independent governance structure. "Ganesan Incubation and Entrepreneurship Centre" one of our incubator is such a unit register under Section-8 of Company Act 2013.
- j. Institutes make use of the Innovation Fund for paying Patent filing charges for the patents coming out of the incubation facilities.

#### **5. Nurturing Innovations and Startups:**

- a. The institutes establish processes and mechanisms for easy creation and nurturing of Startups/enterprises by students (UG, PG, Ph.D.), staff (including temporary or project staff), faculty, alumni and potential start up applicants even from outside the institutions. While defining their processes, institutions will ensure to achieve following:
  - i. Offer access to Incubation facility to start ups to students, staff and faculty for mutually acceptable time-frame.
  - ii. Allow licensing of IPR from institute to startup: Ideally students and faculty members intending to initiate a startup based on the technology developed or co-developed by them or the technology owned by the institute, should be allowed to take a license on the said technology on easy term, either in terms of equity in the venture and/ or license fees and/ or royalty to obviate the early stage financial burden.
  - iii. Allow setting up of a startup and working part-time for the startups while studying / working.
  - iv. Institutes allow their students / staff to work on their innovative projects and setting up startups (including Social Startups) while studying / working.
  - v. Student Entrepreneurs earn credits for working on innovative

- prototypes/Business Models, wherever permitted by the respective statutory authorities. Student inventors are allowed to opt for startup in place of their mini project/ major project, seminar, summer trainings. The area in which student wants to initiate a startup may be interdisciplinary or multidisciplinary.
- b. Students who are pursuing incubation activities and are pursuing some entrepreneurial ventures while studying are allowed to use their address in the institute to register their company with due permission from the institution.
  - c. Institute facilitate the startup activities/ technology development by allowing students/faculty/staff/alumni/nearby outsiders to use institute infrastructure and facilities, as per the choice of the potential entrepreneur in the following manners, wherever permitted:
    - i. Short-term/ six-month/ one-year part-time entrepreneurship training.
    - ii. Mentorship support on regular basis.
    - iii. Facilitation in a variety of areas including technology development, ideation, creativity, design thinking, fund raising, financial management, cash-flow management, new venture planning, business development, product development, social entrepreneurship, product costing, marketing, brand-development, human resource management as well as law and regulations impacting a business.
    - iv. Institute also link the startups to other seed-fund providers/ angelfunds/ venture funds or itself may set up seed-fund once the incubation activities mature.
    - v. Institute extend this startup facility to alumni of the institute as well as outsiders with due approvals.
    - vi. License institute IPR as discussed in section 7 below.
    - vii. A Special Purpose Vehicle (SPV) funded by DST and / or other central govt. agencies will be setup in the institutes in future.
  - d. In return of the services and facilities, institute may take equity/ stake in the startup/company, based on brand used, faculty contribution, support provided and use of institute's IPs. The quantum of stake/royalty will be on mutually agreed terms through an MoU. Other factors for consideration should be space, infrastructure, mentorship support, seed funds, support for accounts, legal, patents etc.

## **6. Modifications in Academic/Examination regulations & HR Policies:**

Vinayaka Mission's Research Foundation-DU will come up with modifications in Academic/Examination regulations & HR Policies to facilitate students & Faculty to become successful entrepreneurs and initiate startups. However the decisions of the University/institute in their implementation are final.

- a. University will come up with regulations to enable its students to turn to entrepreneurs by modifying its academic & examination regulations viz. Students entrepreneurs will be allowed to sit for the examinations, even if their attendance is less than the minimum permissible percentage, wherever permitted by corresponding statutory authorities, with due prior permission from the institute/university.
- b. Institutes may allow their students to take a semester/year break (or even more depending upon the decision of review committee constituted by the institute) to work on their startups and re-join academics to complete the course, wherever permitted by corresponding statutory authorities. Student entrepreneurs may earn academic credits for their efforts while creating an enterprise, if permitted. Institute should set up a review committee for review of start up by students, and based on the progress made, it may consider giving appropriate credits for academics.
- c. The institute will explore provision of accommodation to the entrepreneurs within the campus for some period of time on chargeable basis.
- d. May allow faculty and staff to take off for a semester/year (or even more) depending upon the decision of review committee constituted by the institute as paid leave up to one month/sabbatical/unpaid leave/ casual leave/ earned leave for working on startups and come back, wherever applicable. Institution should consider allowing use of its resource to faculty/students/staff wishing to establish start up as a fulltime effort. The seniority and other academic benefits during such period may be preserved for such staff or faculty.
- e. Product development and commercialization, Participation in startup related activities needs to be considered as a legitimate activity of faculty in addition to teaching, R&D projects, industrial consultancy and management duties and must be considered while evaluating the annual performance of the faculty. Every faculty may be encouraged to mentor at least one startup.
- f. Institutions might also update/change/revise performance evaluation policies for

faculty and staff as stated above.

- g. Institute should ensure that at no stage any liability accrue to it because of any activity of any startup.

#### **7. Product Ownership Rights for Technologies Developed at Institute:**

- a. When institute facilities / funds are used substantially or when IPR is developed as a part of curriculum academic activity, IPR is to be jointly owned by inventors and the institute.
- b. Inventors and institute could together license the product / IPR to any commercial organisation, with inventors having the primary say. License fees could be either / or a mix of
  - 1. Upfront fees or one-time technology transfer fees
  - 2. Royalty as a percentage of sale-price
  - 3. Shares in the company licensing the product
- c. An institute may not be allowed to hold the equity as per the current statute, so Special Purpose Vehicle (SPV) may be formed and it will hold equity on their behalf. If one or more of the inventors wish to incubate a company and license the product to this company, the royalties, licensing, revenue sharing will be mutually agreed upon through an MoU between the institute and the incubated company.
- d. **Technology transfer:** If product / IPR is developed in such a way as in 7 a & b, a five member committee constituted by the university consisting of three experts, a legal adviser and a financial adviser along with Director – Innovation, incubation and entrepreneurship as Chairperson will examine the product developed by inventors and recommend for technology transfer.

- 8. **Conflict of interest:** If there is any dispute in ownership w.r.t. inventors (Faculty, students, university officers, if any) and incubated startup, a minimum five membered committee consisting of two faculty members (having developed sufficient IPR and translated to commercialisation), two of the institute's alumni/ industry experts (having experience in technology commercialisation) and one legal advisor with experience in IPR, will examine the issue after meeting the inventors and help them settle this, hopefully to everybody's satisfaction. Institute can use alumni/ faculty of other institutes as members, if they cannot find sufficiently experienced alumni / faculty of their own. The Committee will be constituted by Vice Chancellor, VMRF-DU.

## **9. Capacity Building and Incentives:**

- a. Institute should recruit staff that have a strong innovation and entrepreneurial/ industrial experience, behaviour and attitude, wherever applicable. This will help in fostering the I&E culture.
- b. To achieve better engagement of staff in entrepreneurial activities, institutional policy on career development of staff will be developed with constant upskilling.
- c. Faculty and departments of the institutes have to work in coherence and cross-departmental linkages should be strengthened through shared faculty, cross-faculty teaching and research in order to gain maximum utilization of internal resources and knowledge.
- d. Periodically some external subject matter experts such as guest lecturers or alumni can be engaged for strategic advice and bringing in skills which are not available internally.
- e. Faculty and staff should be encouraged to do courses on innovation, entrepreneurship management and venture development, wherever permitted by corresponding statutory authorities.
- f. In order to attract and retain right people, institute will develop academic and non-academic incentives and reward mechanisms for all staff and stakeholders that actively contribute and support entrepreneurship agenda and activities.

## **10. Creating Innovation Pipeline and Pathways for Entrepreneurs at Institute Level:**

- a. To ensure exposure of maximum students to innovation and pre incubation activities at their early stage and to support the pathway from ideation to innovation to market, mechanisms should be devised at institution level. Spreading awareness among students, faculty and staff about the value of entrepreneurship and its role in career development or employability should be a part of the institutional entrepreneurial agenda.
  - i. Students/ staff should be taught that innovation (technology, process or business innovation) is a mechanism to solve the problems of the society and consumers. Entrepreneurs should innovate with focus on the market niche.
  - ii. Students should be encouraged to develop entrepreneurial mind set through experiential learning by exposing them to training in cognitive skills (e.g. design

thinking, critical thinking, etc.), by inviting first generation local entrepreneurs or experts to address young minds. Initiatives like idea and innovation competitions, hackathons, workshops, boot camps, seminars, conferences, exhibitions, mentoring by academic and industry personnel, throwing real life challenges, awards and recognition should be routinely organized.

- iii. To prepare the students for creating the start up through the education, integration of education activities with enterprise-related activities should be done.
- b. The institute should link their startups and companies with wider entrepreneurial ecosystem and by providing support to students who show potential, in pre-startup phase. Connecting student entrepreneurs with real life entrepreneurs will help the students in understanding real challenges which may be faced by them while going through the innovation funnel and will increase the probability of success.
- c. The institutes should establish Institution Innovation Cells (IICs), wherever they do not exist, as per the guidelines of MoE's Innovation Cell and allocate appropriate budget for its activities. IICs should guide institutions in conducting various activities related to innovation, startup and entrepreneurship development. Collective and concentrated efforts should be undertaken to identify, scout, acknowledge, support and reward proven student ideas and innovations and to further facilitate their entrepreneurial journey.
- d. For strengthening the innovation funnel of the institute, access to financing must be opened for the potential entrepreneurs.
  - i. Networking events must be organized to create a platform for the budding entrepreneurs to meet investors and pitch their ideas.
  - ii. Provide business incubation facilities: premises at subsidised cost. Laboratories, research facilities, IT services, training, mentoring, etc. should be accessible to the new startups.

#### **11. Norms for Faculty Startups:**

- a. Faculty members are also encouraged to involve themselves in start-up activities. Only those technologies should be taken for faculty startups which originate from within the same institute.

- i. Role of faculty may vary from being an owner/ direct promoter, mentor, consultant or as on-board member of the startup.
  - ii. Faculty members shall float their own start-ups without compromising their assigned academic duties with due permissions from the university authorities.
  - iii. Faculty startup may consist of faculty members alone or with students or with faculty of other institutes or with alumni or with other entrepreneurs.
- b. In case the faculty/ staff holds the executive or managerial position for more than One months in a startup, they will go on sabbatical/ leave without pay/ utilize existing leave.
  - c. In case of selection of a faculty start up by an outside national or international accelerator, a maximum leave (as sabbatical/ existing leave/ unpaid leave/ casual leave/ earned leave) of one semester/ year (or even more depending upon the decision of review committee constituted by the institute) may be permitted to the faculty.
  - d. Faculty shall not accept gifts from the startup.
  - e. Human subject related research in startup should get clearance from ethics committee of the institution.
  - f. Faculty must not involve research staff or other staff of institute in activities at the startup or vice versa.

## **12. Pedagogy and Learning Interventions for Entrepreneurship Development:**

- a. Diversified approach should be adopted to produce desirable learning outcomes, which should include cross disciplinary learning using mentors, labs, case studies, games, etc. in place of traditional lecture-based delivery, wherever permitted by corresponding statutory authorities.
  - i. Student clubs/ associations must be created for organizing competitions, bootcamps, workshops, awards, etc. These clubs/ associations should be involved in institutional strategy planning to ensure enhancement of the student's thinking and responding ability.
  - ii. University should start annual 'INNOVATION & ENTREPRENEURSHIP AWARD' to recognize outstanding ideas, successful enterprises and contributors for promoting innovation and enterprises ecosystem within the institutes.



- iii. For creating awareness among the students, the teaching methods should include case studies on business failure and real-life experience reports by startups.
  - iv. Tolerating and encouraging failures: Our systems are not designed for tolerating and encouraging failure. Failures need to be elaborately discussed and debated to imbibe that failure is a part of life, thus helping in reducing the social stigma associated with it. Very importantly, this should be a part of institute's philosophy and culture.
  - v. Innovation champions should be nominated from within the students/ faculty/ staff for each department/ stream of study.
- b. Entrepreneurship education should be imparted to students at curricular/ co-curricular/ extracurricular level through elective/ short term or long-term courses on innovation, entrepreneurship and venture development, wherever permitted by corresponding statutory authorities. Validated learning outcomes should be made available to the students.
- i. Integration of expertise of the external stakeholders should be done in the entrepreneurship education to evolve a culture of collaboration and engagement with external environment.
  - ii. In the beginning of every academic session, institute should conduct an induction program about the importance of I&E so that freshly inducted students are made aware about the entrepreneurial agenda of the institute and available support systems. Curriculum for the entrepreneurship education should be continuously updated based on entrepreneurship research outcomes. This should also include case studies on failures.
  - iii. Industry linkages should be leveraged for conducting research and survey on trends in technology, research, innovation, and market intelligence.
  - iv. Sensitization of students should be done for their understanding on expected learning outcomes.
  - v. Student innovators, startups, experts must be engaged in the dialogue process while developing the strategy so that it becomes need based.
  - vi. Customized teaching and training materials should be developed for startups.
  - vii. It must be noted that not everyone can become an entrepreneur. The

entrepreneur is a leader, who would convert an innovation successfully into a product, others may join the leader and work for the startup. It is important to understand that entrepreneurship is about risk taking. One must carefully evaluate whether a student is capable and willing to take risk.

- c. Pedagogical changes need to be done to ensure that maximum number of student projects and innovations are based around real life challenges. Learning interventions developed by the institutes for inculcating entrepreneurial culture should be constantly reviewed and updated.

However VMRF-DU Academic Council shall approve the Pedagogical aspects.

### **13. Collaboration, Co-creation, Business Relationships and Knowledge Exchange:**

- a. Stakeholder engagement should be given prime importance in the entrepreneurial agenda of the institute. Institutes should find potential partners, resource organizations, micro, small and medium sized enterprises (MSMEs), social enterprises, schools, alumni, professional bodies and entrepreneurs to support entrepreneurship and co-design the programs.
  - i. To encourage co-creation, bi-directional flow/ exchange of knowledge and people should be ensured between institutes such as incubators, science parks, etc.
  - ii. Institute should organize networking events for better engagement of collaborators and should open up the opportunities for staff, faculty and students to allow constant flow of ideas and knowledge through meetings, workshops, space for collaboration, lectures, etc.
  - iii. Mechanism should be developed by the institute to capitalize on the knowledge gained through these collaborations.
  - iv. Care must be taken to ensure that events Don't become an end goal. First focus of the incubator should be to create successful ventures.
- b. The institute should develop guidelines for forming and managing the relationships with external stakeholders including private industries.
- c. Knowledge exchange through collaboration and partnership should be made a part of institutional policy and institutes must provide support mechanisms and guidance for

creating, managing and coordinating these relationships.

- i. Through formal and informal mechanisms such as internships, teaching and research exchange programmes, clubs, social gatherings, etc., faculty, staff and students of the institutes should be given the opportunities to connect with their external environment.
- ii. Connect of the institute with the external environment must be leveraged in form of absorbing information and experience from the external ecosystem into the institute's environment.
- iii. Single Point of Contact (SPOC) mechanism should be created in the institute for the students, faculty, collaborators, partners and other stakeholders to ensure access to information.
- iv. Mechanisms should be devised by the institutions to ensure maximum exploitation of entrepreneurial opportunities with industrial and commercial collaborators.
- v. Knowledge management should be done by the institute through development of innovation knowledge platform using in-house Information & Communication Technology (ICT) capabilities.

#### **14. Entrepreneurial Impact Assessment:**

- a. Impact assessment of institute's entrepreneurial initiatives such as pre-incubation, incubation, entrepreneurship education should be performed regularly using well defined evaluation parameters.
  - i. Monitoring and evaluation of knowledge exchange initiatives, engagement of all departments and faculty in the entrepreneurial teaching and learning should be assessed.
  - ii. Number of startups created, support system provided at the institutional level and satisfaction of participants, new business relationships created by the institutes should be recorded and used for impact assessment.
  - iii. Impact should also be measured for the support system provided by the institute to the student entrepreneurs, faculty and staff for pre-incubation, incubation, IPR protection, industry linkages, exposure to entrepreneurial ecosystem, etc.
- b. Formulation of strategy and its success should go hand in hand. The information on

impact of the activities in terms Products incubated, Startups initiated and their sustenance, technology transfers made should be actively used while developing and reviewing the entrepreneurial strategy.

- c. Impact assessment for measuring the success should be in terms of sustainable social, financial and technological impact in the market. For innovations at pre-commercial stage, development of sustainable enterprise model is essential and all the policies shall lead to it.
- d. The Institutional Research Committees and University Research Committee will review the progress of innovation and entrepreneurial activities periodically. The committees also will review the entrepreneurial impact assessment.

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# VINAYAKA MISSION'S RESEARCH FOUNDATION

(Deemed to be University under section 3 of the UGC Act 1956)

## PUBLICATION & PATENT GUIDELINES

## Publication Guidelines

All publications made by the faculty/Students of VMRF (DU) **SHALL** contain appropriate institute & University affiliation compulsorily. Otherwise those publications are not considered by accreditation agencies like NAAC, NIRF, THE, QS etc. They are also not captured by Scopus and WoS databases.

The examples for **correct affiliation** shall look as follows.

1.

Authors Names

Name of the department

Aarupadai Veedu Institute of Technology

Vinayaka Mission's Research Foundation (DU)

2.

Authors Names

Name of the Department

Vinayaka Mission's Kirupananda Variar Engineering College

Vinayaka Mission's Research Foundation (DU)

**Note: Publications not following these guidelines will not be considered for incentives, reimbursement of publication charges, awards etc.**

## **PATENT GUIDELINES**

All patents (Invention Patent, Design Patent etc.) filed by the Faculty/Students of Vinayaka Mission's Research Foundation (Deemed to be University) shall necessarily contain University name as the applicant name. For this faculty /students have to file the patents with University as applicant while filling Form-1. Faculty/Students will be inventors.

### **For Example:**

The Patent Applicants shall be:

**“Institute name:**

(For example: Vinayaka Mission's Sankarachariyar Dental College)

**Vinayaka Mission's Research Foundation (DU)”.**

Incentives will not be paid for the patents granted without University name as the applicant.

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