

2024-25

# Research Policy

A path to Innovation



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## 1. Preamble

Suresh Gyan Vihar University, Jaipur is first state private university in Rajasthan to be accredited “A” grade by NAAC. It is a Self-Financed University established by Govt. of Rajasthan under Section 2(f) of UGC Act 1956 vide Suresh Gyan Vihar University, Jaipur act 2008. SGVU offers research programme in Agriculture, Sciences, Engineering, Pharmacy, Social Sciences and Management for Ph.D., admissions starting from January 2009 session. The institute also offers the candidates with research fellowship enabling them to contribute to teaching while pursuing the full time in house doctoral program. **This Research Policy is prepared in accordance with the UGC regulations 2022 (Minimum Standards and Procedures for award of Ph.D. Degree).**

It is envisioned that the Suresh Gyan Vihar University will be visible as a prominent performer of the tasks envisaged in the country’s development mission until 2025 through the dedicated services of its faculty members and students. It is envisaged that Suresh Gyan Vihar University, as a research-intensive multifunctional university will create and disseminate the state-of-the-art knowledge in various fields of cutting-edge research with a focus on the holistic development of all its stakeholders. Conditioned by the latest research and development, Suresh Gyan Vihar University is to be seen as a house of innovative ideas. It is likely to witness that the university’s inventive user-oriented research programs may significantly contribute towards making India globally competitive in the present techno-economic scenario. The vision of the Suresh Gyan Vihar University encompasses its developmental strategies as follows:

- Making SGVU the academic destination for excellent faculty, staff and students in pursuit of good culture of innovation and entrepreneurship with opportunities to learn, conceive, collaborate, launch and lead in new endeavors.
- Continuing to enhance the quality of research thereby raising the ambition to produce research outputs of international standards. SGVU shall envisage the quality of its research and to measure in the frame of international benchmarks, it shall document by the publications in leading journals and having high level of citation.
- Focusing on Multidisciplinary approach, SGVU will aggressively thrive for enhancement of its research excellence in its existing beacons viz. Biotechnology, Pharmacy, Energy and Earth Sciences. Ensuring no constraint from internal system for interdisciplinary working.

- Fostering an atmosphere for the interaction and collaboration between individuals as well as institutions of diverse cultures and backgrounds.
- Promoting the extensive use of learning management system to conduct research-related activities viz. interaction with supervisors, periodic submission of reports by the scholars, monitoring progress by research departments and school heads, and corrective actions thereupon.
- Barring impedance towards receiving external support by establishing seed funding programs to encourage creative minds to support early-stage research and innovation.
- Inculcating the habit of all Research Associates, Scholars, SRF & JRF to work in laboratories within the working hours and beyond; create a vibrant ambience for good research culture.
- Rewarding and acknowledging the creativity, entrepreneurship and other impactful academic activities in recognition of the fact that SGVU fraternity is engaged in diversified creative work that does not fit within the traditional means of its promotion.

As token of resource augmentation, it is envisaged to mobilize considerable amount of financial, physical and knowledge resources. Diversified approach will be taken for a substantial increase in funding from corporate/ business houses and various national and international funding agencies. This will aid in shaping SGVU's research agenda that shall align the University Vision document. The university shall strive for creation of state-of-the-art research facilities which will create the right ambience for advanced research.

## **2. Aims & Objectives**

SGVU is research driven University and focus on the creation of knowledge. To meet with the vision of mission of the University, this research policy relies on following:

1. Harmonious with the vision, Suresh Gyan Vihar University (SGVU) shall contemplate to harness its potential to meet future research challenges in the global scenario.
2. The policy aims to promote research in the University to be visible as a prominent performer of the tasks envisaged in the National Mission for research and development through the dedicated services of its researchers.
3. As a research-intensive multifunctional university, it will adopt means to create and disseminate the state-of-the-art knowledge in emerging fields of science, technology and education with a focus on the holistic development of stakeholders.
4. Conditioned by the latest research and development, the policy aims to make Suresh Gyan Vihar University to be seen as a house of innovative ideas and thus proposes actions that will make one witness that the University's innovative user-oriented research programs have significantly contributed towards making India globally competitive in the present techno economic scenario.
5. Research findings shall be kept open to scrutiny or formal evaluation by experts within the field. This may be achieved through various forms of dissemination including, but not limited to, publications, manufacture, construction, public presentation, or provision of confidential reports.

### 3. Policy for Research Promotion

This research promotion policy embodies the principles of actions, the Suresh Gyan Vihar University (SGVU) proposes to ensure for the cause of research promotion and hence called the **Research Promotion Policy of SGVU**. As a token of aligning with the **New Education Policy (NEP) 2020**, Suresh Gyan Vihar University **seeks to emerge as a research-intensive university that enables the individual researchers to be groomed with ample sense of universal human values, with right kind of scientific temper, with ethical conscience** and to inculcate intellectual independence, creativity and the spirit of commitment to benefit the society. In recognition of research as the corner stone of knowledge creation, the research promotion policy of SGVU records its contemplation for the creation of a conducive environment that sustains academic freedom in the form of freedom of inquiry, the right to disseminate the results thereof, freedom to challenge conventional thought, and the freedom of conducting research on human and animal subjects with due regards to the implied responsibility to ensure that all research is undertaken with due cognizance to the principles of honesty, integrity, trust, accountability and collegiality. Moreover, the policy envisages that the conducted research meets the high scientific and ethical standards. The policy aims to steer the research in SGVU for being conducted with honest and thoughtful inquiry, rigorous analysis, and accountability for the use of professional standards; as well as it seeks to increase knowledge in ways that do not harm but benefit society. It also provides an overarching framework for the development and implementation of all components of research management at Suresh Gyan Vihar University. Recognizing the consequences of globalization viz. dwindling half-lives of technologies and transnational technology race, the University would be dedicated to pull its resources in an interdisciplinary manner so as to make its researchers aware of the international cultural diversity, thereby enabling them to deliver in an alien environment. This research promotion policy aims to emphasize research on topics of direct relevance to improving the quality of life. Following are the important features of the policy:

- The philosophy of research shall be made to be based on ‘welcome/receptive’ approach.
- The University’s policy shall emphasize on improving communication, problem solving and leadership skills of the young researchers concurrent with the enhancement of their generic knowledge.
- The University will adopt all necessary means which are aiding to promotion of quality of research to be carried out by the researchers.

- University will encourage scholars to carry out independent research in topic of current relevance in global scenario.
- University will evolve means to motivate the faculty members to supervise PhD students for producing quality output.
- University will create ambiance for dissemination of research results.
- University will provide support in securing financial grant for research activities from external sources.
- University will adopt means to empower the researchers in respect of submission of research proposals to various agencies.
- University will continue to reconstitute University Research Board (URB) every three years drawing eminent research professionals. (The University Research Board reviews, monitors, and improves university research while ensuring compliance, ethics, and academic quality).
- A central library with state-of-the-art e-resources shall be made available to the researchers; this will be accessible by anyone from anywhere.

The following sub-sections will describe different bodies / components / actions to implement this research policy:

**a. Establishment of Research Department and its responsibilities:**

As a step towards research promotion, the policy advocates the formation of full-fledged research department to accomplish such tasks which can smoothen the various administrative components involved in overall management of research activity within the departments/schools/centres. The Research Department shall have the following responsibilities:

- (A) Framing of PhD regulations and getting it approved by the academic council of the University as per statutory norms.
- (B) To assist in running the PhD program viz. assisting in admission of PhD students, framing the curricular structure of mandatory coursework, arranging to frame the syllabi of the courses as per rules of the University.
- (C) Assisting in regular holding of DRC and RAC meetings and their documentation.
- (D) Arranging for evaluation of PhD thesis and managing the entire process till the recommendation for the award of degrees.
- (E) To make researchers and students aware that:

- (i) Nothing in this policy is to be construed so as to prevent Heads of School from allocating teaching and other responsibilities in the light of the Research record of academic staff.
- (ii) Academic staff and students are required to carry out their Research in compliance with all the University's obligations under legislation and any other ethical and contractual obligations.
- (iii) Research projects that involve human or animal subjects, including those which are undertaken as part of a teaching program, must be approved in advance in accordance with structures and codes to be laid down by IEC (Institutional Ethics Committee) and IAEC (Institutional Animal Ethics Committee).
- (iv) Supervisor of students engaged in Research shall take reasonable measures to:
  - a. ensure that the students have been advised of their obligations in respect of academic integrity and the ethical conduct of Research.
  - b. ensure that the students have received a copy of the Regulatory Framework relevant to their particular research.
  - c. provide the students with a copy of any research related documents which the students have been asked to sign.
  - d. disclose to the students any special conditions concerning such matters as constraints on publication, limitations on future use of Data, and ownership of intellectual property that may influence a student's decision to participate in the research.
- (F) Research department would monitor if a researcher engaged in research external to the University without being a part of her or his academic duties acts with due integrity and adhere to the ethical obligations.
- (G) Research department shall conduct periodic review of the rules and regulations of PhD program and recommending its due amendment
- (H) Based on experience in implementation of research promotion policy, the Research Department shall identify the points of updation of the existing research policy. The department shall forward its suggestion and such proposed updation of research promotion policy, if felt pertinent and urgent for augmentation of research activity the university, may be approved by the Chairman of BOG. Updataion of research promotion policy shall not be frequency limited, but necessity driven.
- (I) Updation of research promotion policy as to be initiated by the Research department is exclusive of the mandatory 'Review of Policy' as enumerated in this Research Policy of Suresh Gyan Vihar University.



**b. Obligations of Researchers:**

- A Researcher shall ensure that publications do not misrepresent data or images and that the nature and purpose of any image manipulation is explained.
- The policy does not allow an individual researcher to enter into agreement with another researcher for mutual gain as authors of reports / publications in case the concerned researcher does not have any contribution.
- A Researcher may collect data concerning human and animal subjects only in accordance with the Regulatory Framework governing the use of such subjects.
- A Researcher shall respect the laws governing access to personal information and privacy in his or her collection and use of Data.
- Data shall be retained by a Principal Investigator or the department or research unit in which they were generated as agreed to by the Principal Investigator and his or her Head.

**c. Collaborative Research:**

- The research promotion policy of SGVU envisages formal research collaborations between the staff of SGVU and researchers at any other institution, national or international.
- Collaborative research at the individual level is as equally encouraged as that at institutional level.
- Collaborative research shall mean to complement and expand existing research strengths and capability of individual researcher at either end.
- There will be a mutually consented agreement for formal research collaboration between SGVU and the collaborating organization. This agreement needs to be in place prior to commencement of any joint project that involves handling of research fund or other resources.
- If there is an anticipated commercial return arising out of a collaborative research project there must be an agreement a priori as to distribution of the said return and it should be consistent with university's policy.
- The arrangement for shared access to research materials and data must be negotiated prior to commencement of the research project and should be consistent with the policy of SGVU

- Management of Knowledge assets and intellectual property management should be consistent with the IPR policy of SGVU and requires to be mutually agreed by the collaborating researchers.

**d. Dispute in Collaborative Research:**

The University shall assist in facilitating the resolution of disputes between research collaborators. The University, however, has no obligation to ensure that such disputes are resolved.

**e. Commercialization of Research Result:**

Without prejudice to the rights of a researcher's collaborators or sponsors of research, a researcher shall not be obliged to seek commercial development of his or her invention, software or other discovery. The University shall respect the decision of a researcher not to commercialize his or her invention, software or other discovery.

A researcher who elects to develop an invention, software or other discovery or to become involved directly in its commercial application shall comply with the Regulatory Framework governing intellectual property management as in vogue in SGVU.

**f. Hazardous Research:**

- A Researcher proposing to engage in Research activities posing inherent risk of accidental injury to persons or property shall comply with all rules and regulations of the University. Following the statutory obligation in carrying out hazardous research of any type is mandatory for all researchers.
- The researchers must declare the potential risks involved in such research and must get necessary consent from the competent authority of SGVU prior to initiation of any such research. Research department shall scrutinize the declaration of the intendant researchers and shall proceed to get approval of the authority provided that the research department deems it fit and doable within the University
- In any exigency arising out of conducting such research, appropriate measures need to be taken to mitigate the difficulty in accordance with the provisions of University's emergency policy and guidelines.

**g. Secret Research:**

A Researcher shall not enter into any arrangement with any person to conduct any such secret research under the auspices of the University, or in university premises or using students, academic, administrative or support staff, or university resources or facilities on the understanding that the conduct of such research is to be kept secret.

**h. Research Involving Animals:**

A Researcher conducting research involving animals shall:

Conduct such research in accordance with the highest ethical standards and the regulatory framework of the University which is compatible with the national regulatory frame as stipulated by IEC (Institutional Ethics Committee) and IAEC (Institutional Animal Ethics Committee).

**i. Research Funds:**

- A researcher shall ensure that all research funds administered by him or her are used with honesty, integrity and accountability.
- A Researcher, and those with responsibility of looking after fund management and their use, shall comply with the university Regulatory Framework as well as the applicable policies and guidelines of the funding agencies relating to the management and disbursement of funds.
- A Researcher shall not approve payment from any funds sanctioned by an agency or University unless expressly authorized by the university or the concerned agency. Similarly, use of any University personnel, resources, services or materials for purposes other than those already approved for conducting the concerned research, shall require explicit approval of the agency or the university authority.
- A researcher shall acknowledge all the agencies and other public or private funding sources supported his or her research in all published works resulting from his or her research,
- Use and management of any research fund must comply with the financial rules of the university as well as the stated terms and conditions of the sponsoring agencies.

**j. Conflict of Interest:**

- A researcher shall comply with the Regulatory Framework governing conflicts of interest, and consulting activities.

- A researcher shall disclose to all relevant persons (including other institutions, agencies, conference organizers, participants, journals and publishers) any conflict of interest that might influence such persons' decisions viz. whether a researcher should be asked:
- To review research proposals, funding applications or manuscripts.
  - To test inventions, software or other discoveries.
  - To present research results or to be permitted to undertake research sponsored by outside Persons.

**k. Research Misconduct:**

- Any action that is inconsistent with integrity, honesty or the Regulatory Framework of the University shall be liable to be considered as research misconduct. If, after examination, it is revealed that the misconduct was a wilful act, it would be treated as offence attracting disciplinary actions as per University's regulation.
- Nothing in the provisions of this policy is intended for a researcher to be impugned for honest errors or for differences of interpretation or judgment relating to Data or results that are reasonable in light of the circumstances leading to such action on part of the researcher.

**l. Review of Policy**

This Policy shall be reviewed after four full years of its implementation. The review work shall be done by a five member 'Research Promotion Policy Review Committee' that will comprise of three internal and two external members and shall be constituted by the Vice Chancellor of the University. The head of research department shall act as the member secretary. The observation of the committee shall be placed before the Senate. After examination and necessary modification Senate may approve the same for adoption as the new research promotion policy by the University. To meet with the visions, and to fulfil the aims and objectives, following key points are included in the policy:

- (i) Publications
- (ii) Patents
- (iii) Seed Money
- (iv) Projects
- (v) Consultancy
- (vi) Conference/Travel Grants
- (vii) Research Award

The individual policies governing the above points are included in next sections of this document.

## 4. Policy for Publications

SGVU shall envisage the quality of its research and to measure in the frame of international benchmarks, it shall document by the publications in leading journals and having high level of citation. Following should be the benchmarks / guidelines regarding the publications:

- Insurance of publication of 3 papers per faculty / year within 2025 and raising the citation index two times of the present figure (as of 2022) by 2025. Two papers should strictly be published in SCI / Scopus indexed journals. Open access journals, listed in SCI or Scopus database are also acceptable. The faculty members are encouraged not to publish in any predatory Journals. For expected faculty strength of 200, the number of research publications may be **600 in journals** of high citation index/impact factor.
- A Researcher shall recognize in an appropriate form or manner in his or her publications the substantive contributions of all research collaborators including students.
- A Researcher shall ensure that authorship of published work includes all and only those who have made significant scholarly contributions to the work and who share responsibility and accountability for the results.
- A Researcher shall ensure that where a co-authored publication is based primarily on the work of a student, including a dissertation or thesis, the student is given due prominence in the list of co-authors in accordance with the established practices of the discipline.
- Prior to the submission of a manuscript for publication, the corresponding author shall:
  - (i) Ensure that all persons who are entitled to co-authorship are included as co-authors.
  - (ii) Make a reasonable attempt to obtain the consent of the co-authors to the order of attribution of authorship:
  - (iii) Ensure that persons who have made useful contributions to the research but do not qualify them for co-authorship, are appropriately acknowledged in accordance with the standards of the discipline and the publisher:
  - (iv) Provide each co-author an opportunity to comment on the manuscript prior to its submission for publication:
  - (v) In case of collaborative research, there should be endeavour among collaborators to reach an agreement, consistent with the Regulatory Framework concerning the allocation of intellectual property.

## **5. Policy for Patents**

### **5.1 Overview**

Intellectual property rights (hereinafter referred to as ‘IPR’) are one of the important tools that allow creators and innovators to benefit from their investments (both in terms of money as well as time) in creativity and innovation. They may play an important role in providing a competitive edge to an organisation, and also help individuals and organisations to build strategic alliances for socio-economic and technological growth. With the help of this Intellectual Property Rights Policy for universities (hereinafter referred to as ‘IPR Policy’), the Suresh Gyan Vihar University aims to create a balanced intellectual property eco-system that can fuel creativity and innovations within the universities. This IPR Policy document can act as a guide for dealing with diverse intellectual property-related issues such as ownership of intellectual property, benefit sharing, partnerships, ethical issues, and potential conflicts of interest.

### **5.2 Objectives**

This IPR Policy intends to promote an eco-system which is conducive to the development of diverse varieties of research and innovation within the university. A balanced approach in the area of IP protection, as followed in this IPR Policy, can also play a major role in promoting start-ups by enabling equitable access to knowledge and technology resources. In this regard, the specific objectives of this IPR Policy are:

- A. To promote more research and innovation within university through a balanced IP management approach.
- B. To provide more freedom and autonomy to researchers for IP creation and management, in order to create a better eco-system for innovation and entrepreneurship within the state.
- C. To promote more collaborations between the academia and industry through better clarity on IP ownership and IP licensing.
- D. To promote and encourage high quality research, including adoption of open science practices.
- E. To ensure better and equitable access to results from publicly funded research through broader dissemination of knowledge.
- F. To ensure more optimal utilisation of results obtained from publicly funded research through better diffusion of knowledge.

G. To promote bilateral and/or multilateral agreements for technology transfer mechanisms within the universities.

H. To promote intra-academia and inter-university research collaborations.

### **5.3 Ownership of IP and Allocation of IP Rights**

#### ***A. Types of Support for Research***

Ownership rights over IP generated in university can vary with the source of funding and resources used for the research that generated the IP. Hence, it is important to understand the different contexts in which IP may be generated within a university. Some of the important contexts in which university produce IP are:

1. Research undertaken by a researcher in the normal course of his/her appointment/engagement with the University, using substantial support from the University (this would also include research projects/ dissertations/ theses undertaken by students under the supervision of a faculty member).
2. Research undertaken by a researcher in the normal course of his/her appointment/engagement with the university, using incidental support from the University.
3. Research undertaken by a researcher with substantial support from an external partner.

#### ***B. Ownership and Allocation of IP***

The ownership rights on IP may vary according to the contexts in which the concerned IP was generated. This IPR Policy recommends a three-tier classification in this regard. i.e., IP generated from research conducted with incidental support from the university, IP generated from research conducted with substantial support from the university, and IP generated from research conducted with substantial support from an external partner. The IPR Policy recommends the following approaches for these three categories:

#### **IP generated from research conducted with ‘incidental support from the university’**

- i. Subject to the exceptions provided below, copyright in scholarly, academic and artistic works generated by the researcher with only incidental support from the university including books, articles, lecture notes, Open Science -Open Innovation audio or visual aids for giving lectures, films, plays, and musical works shall vest with the researchers. Researcher shall not disclose any outcome of their research work, particularly in the fields of science and technology, before filing of IP application with appropriate IP Office with

regard to the work having potential to be protected by patents and other IP where novelty is the prerequisite.

- ii. Copyright in any institutional materials including course syllabi, curricula, exam questions, exam instructions, and papers/ reports specifically commissioned by the university shall vest with the university.
- iii. The ownership rights over any other form of IP generated with incidental support from the university, including software, patentable and non-patentable inventions, know-how, designs, plant varieties, and integrated circuits, shall vest with the university.

**IP generated from research conducted with ‘substantial support from the university’**

- i. Copyright in scholarly and academic works generated with substantial support from the university, including books, articles, student projects/dissertations/ theses, lecture notes, and audio or visual aids for giving lectures, shall ordinarily be vested with the researcher. However, the university shall have a non-exclusive, royalty-free, irrevocable, and worldwide license to use the IP for research and educational purposes. Researcher shall not disclose any outcome of their research work before filing of IP application with appropriate IP Office with regard to the work having potential to be protected by patents and other IP where novelty is the prerequisite.
- ii. Copyright in films, plays, and musical works, which are created by the researchers with substantial support from the University shall vest with the university. However, in the event of commercialisation of these outputs, the revenue shall be shared with the researcher at a ratio fixed by the IPR Cell.
- iii. Copyright in any lecture videos or Massive Open Online Courses (MOOCs) produced with substantial support from the university shall vest with the university. However, the researcher shall have a non-exclusive, royalty-free, irrevocable, and worldwide license to use such works for teaching and research purposes by the researcher.
- iv. Copyright in any institutional materials including, but not limited to, course syllabi, curricula, exam questions, exam instructions, and papers/ reports specifically commissioned by the university shall vest with the university.
- v. The ownership rights over any other form of IP generated with substantial support from the university including but not limited to software, patentable and non-patentable inventions, know-how, designs, plant varieties, and integrated circuits shall vest with the university. However, in the event of commercialisation of such IP, the university may engage in benefit sharing as suggested in clause V of this IPR Policy.



### **IP generated from research conducted with ‘substantial support from external partners’**

- i. With regard to research conducted with substantial support from external partners, ownership of IP shall be determined as per the terms and conditions in the agreement signed between the concerned parties. In the absence of a specific clause in the agreement between the university and the external partner who is providing substantial support with regard to copyright in scholarly and academic works generated from such research produced with substantial support from the external partner, university and external partner shall resolve the issue of relinquishing copyrights in favour of researcher. However, the researcher shall grant the university and the funding agency, as the case may be, a non-exclusive, royalty-free, irrevocable, and worldwide license to use the work for any purpose including, sharing it through open access repositories.
- ii. In the absence of a specific agreement between the university and the external partner who is providing substantial support for research, copyright in films, plays, and musical works, which are created by the researchers with substantial support from the external partner; university and external partner shall resolve the issue of joint ownership of copyright for sharing the benefits in the proportion of their relative contribution, i.e., the university and external partner. However, in the event of commercialisation of these research outputs, the revenue shall be shared with the researcher/ external partner (as the case may) as per the IPR Policy.
- iii. In the absence of a specific agreement between the university and the external partner who is providing substantial support for research, copyright in any lecture videos or Massive Open Online Courses (MOOCs) produced with substantial support from the external partner university and external partner shall resolve the issue of joint ownership of copyright for sharing the benefits in the proportion of their relative contribution, i.e., the university and external partner. In the absence of a specific agreement between the university and the external partner who is providing substantial support for research, any form of IP other than copyright, i.e., patentable and non-patentable inventions, know-how, designs, plant varieties, integrated circuits etc. shall vest with the University.
- iv. University shall ensure through specific agreement with external partner that the copyright in any institutional materials including course syllabi, curricula, and papers/ reports prepared under the specific instructions of the university shall vest with the university.

## **5.4 Commercialisation and Benefit Sharing**

### **A. 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 commercialisation 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 universities and researchers should try to use licensing mode only, so that ownership rights over IP can be retained without hampering the prospects of commercialisation. The mode of assignment to be used in exceptional circumstances, it is to be decided by the President on recommendation of the IPR Cell. There are various types of licensing, and they include:

1. **Exclusive Licensing:** The licensor licenses the IP solely to one licensee. In other words, the licensee will be the only one authorised by the licensor to use and exploit the IP in question. It is usually in the interest of the university to refrain from giving exclusive licenses of the IP other than copyright. However, in exceptional circumstances it is to be decided by the President on recommendation of the IPR Cell.
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/parties. Permissions pertaining to sub-licensing need to be clarified explicitly in the agreement between the universities/ researchers and licensee(s).

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

The researcher may be exempted from any upfront fee and royalty for three years, on any university owned IP where they are named as inventors, for the purpose of starting firms/ start-ups. If there is more than one researcher, all researchers can collectively avail this benefit, and not individually or in sub-groups without the consent of rest of the researchers in the IP being utilised for the purpose.

## **5.5 Licensing Agreements and Revenue Sharing**

### *1. Research Outputs Generated as a Result of Incidental Support by the University*

The revenue sharing on any IP generated by using incidental support, between university and researcher will be in the ratio of 20:80 respectively. It will be applicable to IP owned by university which is created with incidental support of the University.

## *2. Research Outputs Generated as a Result of Substantial Support by the University*

i. The university are free to enter into revenue sharing agreements with the researchers, in cases of commercialisation of innovations, as per the advice of the IPR Cell. The details of revenue sharing may be decided, based on the type of IP and kind of commercialisation. The university and researcher will have 60:40 ratio of revenue sharing, respectively. In order to ensure early commercialisation and encourage the researcher to take active initiative for this purpose, the sharing of revenue sharing will be 40:60 by the University and researcher respectively for the first five years from the date of filing of particular IP application.

ii. In case the IP filing costs were not borne by the university, the researcher would be first reimbursed 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 and also in case refusal of financial support for filing and maintenance of IP. Only the income beyond such costs needs to be shared with the university.

iii. The researcher's share may continue to be paid, irrespective of whether or not the individual continues as a researcher at the university.

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 university may approve the revised agreement, subject to the advice of the IPR Cell.

v. With regard to the IP-related revenues earned by the university, 50% of the revenue may be used for creating the University's IP management fund. This fund may be utilized for any activity relating to commercialisation and maintenance of IPRs or obtaining IPRs in any other country, or for capacity building in the area of IP protection. Further, 10% of the share may be

paid to the university as administrative charges and 40% may be made available to the department concerned for the purchase of equipment or materials or for any other academic/research activity, including promotion of science and innovation.

### *3. Research Outputs Generated as a Result of Substantial Support from External Partners*

i. The revenue sharing on any IP generated from a partnership between the university and external partners may be based on the agreement signed between the university and the external partner at the beginning of such collaborations. In absence of any prior agreement on revenue sharing, University and External partner shall hold discussion and resolve revenue- sharing issue in line with proportional contribution in generating and protecting IP, ownership of IP and allocation of rights as per clause VI.

ii. In circumstances wherein the assignee or the licensee has not taken adequate steps for the commercialisation of the university-owned intellectual property, the university should consider revocation of the license and assign it to another party. For this, insertion of an appropriate clause in the initial license agreement between the University and the licensee about transfer and/or commercialisation of technology would be desirable.

### **Limitation of liability**

All commercialisation agreements shall clearly mention that the university and its researchers are protected and indemnified from all liability arising from development and commercialisation of the IP.

## **5.6 Sharing of Costs with regard to IP Protection**

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

A. The expenses involved in obtaining and maintaining IP protection may be shared between the parties, depending on who owns the IP. If the university is the sole owner of IP, the costs of IP protection shall be borne by the university.

i. In case the university refuses to incur expenditure in protecting IP, inventor will be allowed to file IP applications in the name of the university or in the joint name of researcher and university at their own costs. Under such circumstances, IP filing costs may be recouped as per the provisions relating to benefit sharing as per clause V (C)(1).

B. 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. In absence of such prior arrangement cost shall be shared in proportion to the allocation of rights and benefits.

C. Any costs involved in the transfer of rights/ownership of the university-owned IP will be borne exclusively by the licensee, assignee or person acquiring such rights.

## **5.7 Use of University Trademarks**

The University may allow the use of its name and trademarks (it includes name of university, university logo and any other trademark registered by the university) by third parties on following conditions:

A. They will be used only in public interest.

B. They will be used:

1. 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.

2. in promoting truthful claims and information, i.e., not for misleading the society or users.

3. without any liability on the university in case of misuse of trademark(s) or accidental damage accruing due to use of trademark(s).

## **5.8 Sharing of IP Rights by the University**

Subject to any associated agreements, as well as the conditions mentioned above, the University may allow researchers to be joint applicant in all IP protected by researchers at their cost if the University decides not to pursue the protection of IP within a period of nine months of sufficient disclosure by the researcher to the University. The University shall make all efforts to convey to the researcher the decision to pursue or not to pursue protection of IP, within a period of six months of sufficient disclosure by the researcher to the University, and the University shall cooperate with researcher in executing all relevant documents required in the process of filing, prosecution and maintenance of IP by researcher(s) at his/her/their own cost.

‘Sufficient disclosure’ 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.

### **5.9 Limitation of IP Rights with regard to Certain Activities**

#### **A. Reservation of rights with regard to depositing of materials in repositories created by the University**

The university shall retain the right to submit and share soft copies of all undergraduate/postgraduate/research related works (including, but not limited to projects/ dissertations/ theses) through any digital repository created by the University or any other regulatory body, including “Shodhganga e-repository”. In cases where the invention is patentable in nature, the researcher as well as the University may take necessary steps for filing patent application before submission of such research work such as dissertation, thesis etc. in the repository.

### **5.10 Dealing with IP Rights Owned by Third Parties**

#### **A. 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 permissions are taken from IP owners before engaging in any use which goes beyond the terms of license or as permitted under the relevant statute(s) in India.

#### **B. Use of Copyrighted Material**

Whenever researchers use copyrighted material for teaching or research purposes, it needs to be ensured that the use is with permission from copyright holders or is within the boundaries of exceptions provided under Indian copyright law. The scope of different educational use-related exceptions under Indian copyright law have been interpreted by different courts in India. However, it needs to be highlighted that it is the duty of the researchers to ensure that they do not violate the copyrights and that the concerned use is within the ambit of exceptions

provided under copyright law. The universities shall follow the guidelines of the university/ gazette notifications from time to time.

1. The university shall create an Institutional Repository and a link to the repository may be provided on their official website. The 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.
2. The researchers shall 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.

### **5.11 Promotion of the Use of Free and Open-Source Software (FOSS)**

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 university shall:

- A. actively promote the use of FOSS among researchers, along with adoption of open standards.
- B. regularly organize training programmes in FOSS for researchers.
- C. license University owned software under open licenses; and
- D. as far as possible, use FOSS for all official purposes.

### **5.12 Other Related Issues**

#### **A. Conflict of Interest**

The researcher(s) are required to disclose any conflict of interest or potential conflict of interest with regard to potential licensing of technologies. If the researcher(s) and/or their immediate family members have a stake in the Licensee Company or potential licensee company, they are obliged to disclose the details in writing to the Chairperson/Coordinator of IPR Cell. However, mere ownership of stakes by researcher(s) and/ or their immediate family members in the Licensee Company or potential licensee company shall not be a ground of rejection of

licensing. The IPR Cell may take the final decision on the licensing, based on an overall assessment of relevant factors.

#### **B. Policy Related to Transfer of Biological Resource and Associated Knowledge**

Any transfer of biological resources shall be in strict compliance with the provisions of Government of India's Biodiversity Act 2002, including the amendments in future. While processing application filed for grant of patent, researchers shall parallelly process their request for permission from National Biodiversity Authority.

### **5.13 Organisational Measures for IP Protection**

#### *A. IPR Cell: Administrative Set-up*

The IPR Cell will have a team of individuals having defined roles. The constitution of the IPR Cell may be as follows:

1. Chairperson (To be nominated by the President/Director/Director-General/Principal)
2. Member Coordinator
3. Members – at least one faculty member each from Basic Sciences, Engineering, Humanities, and Social Sciences
4. Two IP experts as members – one IP expert from management faculty and one IP expert from law faculty. In case of non-availability of expert faculty members from management and law faculties, external members with relevant IP expertise may be appointed as IP experts.
5. University Finance Officer
6. Two research scholars (preferably from engineering and science stream)

The tenure of the members of the IPR Cell shall ordinarily be three years and since the activities of the cell demand expertise in the area of IP, the tenure of members may be renewed by the Vice-Chancellor, before the end of the term of their appointments, based on their performance in the IPR Cell. The IPR Cell will have the overall responsibility of guiding the university administration on all decisive issues relating to this IPR Policy and any other relevant matters relating to IP generated within the university.



### *B. Roles and Responsibilities of the IPR Cell*

1. IPR Cell shall be responsible for overseeing the implementation of all recommendations and decisions pertaining to IP management in the university.
2. IPR Cell shall maintain all confidentiality related obligations. All the members, including the Chairperson, shall sign a non-disclosure agreement with the university.
3. IPR Cell shall be the responsible authority for guiding the university with regard to entering into agreements such as memoranda of understanding (MoU), confidential disclosure agreements (CDA), material transfer agreements (MTA), and IP licensing agreements.
4. IPR Cell may suggest changes in the IPR Policy or new policies as and when deemed necessary. This can happen with changes in governmental policies or national and international developments such as new treaties or legal judgments.
5. Screening of all requests for patent applications shall be done by the IPR Cell.
6. IPR Cell will support the university and the researchers for negotiating technology transfer and benefit-sharing agreements.
7. In cases where in a researcher wants to use university owned IP for creating a start-up, the researcher may place a request before the IPR Cell, and after taking into consideration all the relevant aspects, the IPR Cell may recommend the university to allow the researcher to use the IP. The IPR Cell may also put forward its recommendations on the extent to which the researcher can use the university owned trademarks with regard to the activities of that start-up.
8. Whenever required, the IPR Cell shall clarify to the researchers and the university whether the research in question can be considered as research with incidental support of university, research with substantial support of the university, and/ or research with substantial support of external partners.
9. IPR Cell will help in creating awareness about different open initiatives like open access, open data, and open-source software and help the university and researchers comply with the open access mandates of the government/ funding agencies/ university.
10. IPR Cell will keep proper records of all IP applications from the university.

11. While replying to applications under the Right to Information Act 2005 (“RTI Act”), IPR Cell may ensure that the novelty of the innovations (for the purpose of patent protection) shall not be defeated. The relevant provisions of the RTI Act may be consulted in this regard.

12. In cases of allegations of infringements of IPRs by any researcher of the university or any third party, the university may refer the matter to IPR Cell and seek its opinion on appropriate course of action.

13. In cases wherein any third party infringes upon the IPRs of university, the university may seek the opinion of IPR Cell on the appropriate action to be taken and the IPR Cell may make recommendations to the President for any legal course of action.

14. The IPR Cell may conduct periodic audit of university IP.

### *C. IP Protection through IPR Cells: Implementation Process*

1. Once IPR Cell receives a proposal from a researcher, the IPR Cell may initiate the process IP protection. In cases of all forms of IP protection, the IPR Cell may screen the applications as expeditiously as possible and provide necessary support for shortlisted applications to get necessary IP protection. In case of patent applications, the IPR Cell may take inputs from subject experts as well as legal experts where it is absolutely essential and cannot be assessed jointly by inventors and IPR Cell, such inputs to be taken after

appropriate Non-Disclosure Agreement (NDA) between university and the expert, from within or outside the University, during the screening process.

2. IPR Cell Wherever necessary, the IPR Cell may forward the application to PIC, DST, Government of Rajasthan, for more inputs and support.

3. If an innovation is recommended by the IPR Cell for patent protection, IPR Cell may forward the details to TISC, PIC, DST, Government of Rajasthan for patent filing through PFC-TIFAC, DST, Government of India.

4. In cases of urgency, the IPR Cell may also file patent applications through alternative means, i.e., private patent agent/attorneys. All the expenses in this regard maybe met out of the IPR Cell budget or the budget of the relevant research project, depending on availability of funds.

5. In cases of joint patent applications of the university with the funding agency, the costs of filing shall be shared between the joint applicants and IPR Cell may facilitate the filing of

applications, as per the agreement between the parties. However, if the funding body does not want to file the patent application through the University IPR Cell, the funding body will be required to bear the entire expenses towards joint patent application and prosecution.

6. The IPR Cell shall always ensure that the IP protection measures it suggests are not in conflict with the open access/ open data policies of the university/ government and it shall take due measures to help the researchers comply with such policies.

7. The IPR Cell shall undertake due measures for creating awareness about different open initiatives like open access, open data, and open-source software, through different channels including awareness and training programmes.

8. Decisions with regard to maintenance of IP will be based on the guidelines evolved by the IPR Cell and it shall be based on the need and potential of the IP.

9. The IP protection abroad will be evaluated by a high-powered committee chaired by the Vice-Chancellor or his/ her nominee. This committee may consist of the Registrar, Head of the Finance Section, Chairperson of the IPR Cell, two members of the IPR Cell, and two external experts.

#### *D. IPR Cell: Appeal Procedure with regard to Decisions of the IPR Cell*

In case of any grievances regarding any of the decisions taken by the IPR Cell, including, but not limited to, ownership of IP, processing of proposals, procedures adopted for implementation of IPR Policy, any aggrieved person may file an appeal to the Vice-Chancellor of the university and the decision taken by her/ him shall be final.

### **5.14 Applicability**

This IPR Policy will be applicable to universities, its constituent colleges, regional and satellite campuses, or any activity under the direct control of the university administration. Mere affiliation for examination purposes will not make it obligatory on part of colleges to comply with this IPR Policy, however they are encouraged to use it as a model IPR Policy when framing their own guidelines in this respect. While it is not mandatory for affiliated colleges to follow this IPR Policy, they are also encouraged to adopt the principles suggested in this policy, wherever applicable.

## **5.15 Dispute Resolution**

### **A. Mediation**

In the event of a dispute on any of the IP related matters or the interpretation of the provisions of IPR Policy, the matter shall be initially referred to the IPR Cell and it shall investigate the matter thoroughly within a given time frame and with priority. Wherever a settlement is desirable, the IPR Cell shall take all efforts to settle the matter through mediation. If the dispute in question is not one that can be settled through mediation, it shall recommend appropriate remedies to the Vice-Chancellor of the University for Urgent Decision.

### **B. Jurisdiction**

Any disputes arising from the terms and conditions of any IP-related agreement entered into by the university shall be subject to the jurisdiction of the District Court which has territorial jurisdiction over the place in which the university is located.

## **5.16 Review Clause**

Patent Information Centre, Department of Science & Technology, Government of Rajasthan may review the policy every three years (from date of adoption by the DST) or earlier based on any change in IP framework or/and at Government of India, Government of Rajasthan, or triggered by any change in technology.

## **5.17 Financial Support for Patent filing & processing**

Suresh Gyan Vihar University believes in innovation and research. In order to promote the innovation among its faculty members, University supports the faculty members by providing the expenses related to patent filing and other process. The financial detail of the support is given in Annexure at the end of this policy.

## 6. Policy for Grant of Seed Money

Knowledge creation is one of the important pillars of university education and that creation can be formulated through cutting edge research. However, it is not possible to carry the research work without the availability of funds. Receiving funds from Government as well as other agencies is not easy, especially for the young researchers who have no previous experience or only with a little experience. To fill that gap and to prepare its faculties for the next generation research areas, SGVU initiated a policy for Seed money. The policy is specifically designed for the faculty members who are in their early stage of career, however, not limited to them only. The policy also supports senior faculty members, if the research project meets certain requirements and the senior faculty members doesn't have previous experience in the new area of research.

The policy shall be made kept operative under the aegis of the Research Department with following regulations:

- The incentive policy envisages the award of merit-based research grant to all the faculty members of the university.
- Any innovative research proposals can be submitted by the faculty members for the award of research grant in the form 'Seed Money for carrying out advanced research'
- Upon announcement for submission of project proposals for University Seed Money, the faculty members may submit the research proposal for consideration by the committee to be appointed by the competent authority of the University.
- The project must be innovative and should aim at commercialization potential.
- The proposals will be duly scrutinised and reviewed by the committee to judge the merit of the proposals.
- The project proposals found suitable by the committee for the award of seed grant shall be forwarded to the President of the university, who will finalize the name of awardees; notifications will be accordingly issued.
- Utilisation of research grant [seed money] may comply with the financial rules of the university.
- Awardees must complete the sanctioned project within due time (1 year) and submit the final project report to the president's office.
- It is required for all the recipients of Seed Money grant to present their results and final outcome of the project before the higher officials of the university.
- This seed grant is independent of all other incentives to be provided by the University for

the promotion of research.

- The recipients of the seed money are expected to publish at least 1 research paper / patent with a proper acknowledgement in the research paper / patent.
- The proposal and the progress report (Quarterly/half-annually/completion) should be prepared in the attached format (Form A, B & C) should be submitted to the Research Department through the reporting officers.
- The financial details are given in the Annexure given at the end of this policy.

## **Seed Money Proposal Format**

### **Form A**

#### **Summary of the proposal**

Form No ..... (for official use only)

**Name of the PI:**

**Employee ID:**

**School / Department / Centre:**

**Date of Joining:**

**Research Profile:** (attach separate sheet giving details of doctoral research, publication, seminars and conferences attended, details of previous seed money grants from)

**Title of the Project:**

**Discipline/ Subject Area:**

**Name of Co-Investigator with affiliation, if any:**

**Summary of the proposal (Max. 150 words):**

Name & Signature of the PI & Co-PI

#### **Certificate**

It is hereby certified that:

PI and Co-PI (if any) take responsibility for the utilization of the seed money within the stipulated period for the approved project only.

The School / Department / Centre shall provide the infrastructural & other facilities required for the project.

Date:

Signature of the Head of School/Department/Centre/Institution

Name and Designation with seal

## Form B

- **Thematic area:**
- **Title of the Project:**
- **Objectives:**
- **Origin of the proposal:**
- **Review of the status of Research and Development in the subject**
  - International status
  - National status
- **Importance of the proposed project in the context of the current status**
- **Methodology**
- **Timeline:**
- **Proposed outcome/ findings:**
- **Budget Estimates (with details)**

S. No.	Item	Budget (₹)
1.	Consumables	
2.	Minor instruments	
3.	Other cost	
	<b>Grand Total</b>	

Name & Signature of the PI & Co-PI



**Form C**  
**Format for Progress Report**

**Name of the PI:**

**Employee ID:**

**School / Department / Centre:**

**Title of the Project:**

**Project Start date:**

**Period of report (Quarterly / Half-Annual / Completion):**

**Work planned in the above period:**

**Work completed in the above period:**

**Outcome:**

**Plan for next quarter:**

**Details of expenses (attach the copy of bills):**

S.No.	Item	Expense	Details/Remarks

Name & Signature of the PI & Co-PI

## 7. Policy for Consultancy

The Competent Authority of Suresh Gyan Vihar University has introduced policy on 'Consultancy and Testing' with the objectives that it will:

- increase the professional and/or academic competence and experience of the Staff Member and provides a continuing professional education, & also opportunity in the world outside academia and research.
- create and enhances links between the University and external organisations that will aid the University in areas such as increasing research opportunities, student recruitment & placement and help the University to achieve its mission of knowledge transfer to improve the local and regional economies; and
- generate additional income for the Staff Member and increased funding for the University.

The 'Consultancy and Testing' will be implemented in following manner, for smooth conduct of university business:

- I. Suresh Gyan Vihar University, Jaipur has expertise in Engineering, Technology, Software Development, Renewable Power, Energy Conservation, Pharmacy, Management, Management Development Program, Agriculture, GIS, Water Conservation, Hospitality & Catering, Personality Development, Psychology, Governance, Project Reports, Training, testing etc. and can provide consultancy/service to industry, institutions, society and individuals.
- II. The purpose of this policy is to set out the principles and procedures governing Consultancy and other Outside Services undertaken by the University.
- III. This policy applies to all academic & administrative staff members of the University.
- IV. Consultancy is defined as 'the provision of expert advice, analysis and interpretation, which applies the expertise and knowledge of members of University staff'.
- V. All consultancy work requires agreement in advance with university regardless of whether it is performed during or out of 'working hours. The agreement is to be signed by the individual concerned person(s) authorised and approved by the President. All legal responsibility shall be of the authorised person of the consultancy seeker who has accepted the consultant.
- VI. Faculty and Staff Members of the University are encouraged to undertake Consultancy and other similar work provided it does not conflict with the interests of the University.

- VII. The industry/external agency can contact the university or individual for the consultancy. For University supported consultancy, the university can assign it to an individual or a group, depending on the requirements and expertise.
- VIII. This Consultancy provided by the University, may involve the use of university resources, such as laboratory, intellectual property, other resources etc.
- IX. There shall be a **Consultancy & Testing Cell (CTC)** in the University, which will keep a centralized record of all such services provided by the University.
- X. Each School will identify the services, which can be offered by and will also fix the charges thereof. For standard testing, the charges shall be fixed and approved by the Chairman. For specific consultancy the charges will be as per the work requirements.
- XI. The CTC will centrally notify to the prospective industry/ institutions/organizations the availability of all such services/ facilities along with the rates/ charges.
- XII. The consultancy & testing work may also be accepted directly by the school/ individual faculty, but the approval has to be taken from the competent authority with intimation to the CTC.
- XIII. The financial details are given in the Annexure given at the end of this policy.

## **8. Policy for Conference / Membership Grants**

### **8.1 Objective:**

To increase the participation of SGVU faculty members in the National and International conferences as well as to enhance the recognition to the reputed societies/associations.

### **8.2 Policy for Grant in Aid:**

The Suresh Gyan Vihar University encourages faculty participation in National / International Conferences/Seminars/Workshops/FDPs and thereby the Policy for Grant in Aid for attending Conference/Seminar/Workshop/FDP is notified. Every faculty member can avail financial support once in a semester. This grant can also be utilized for a reimbursement towards the membership fee of recognized societies / associations.

### **8.3 Mode of claim:**

Prior approval for financial assistance/support for attending the Conference/Seminar/Workshop/FDP or the membership fee shall be routed through the Reporting Officer, who shall recommend the case for final approval to the Hon'ble President.

After attending the program claim form should be submitted with the following attachments:

1. On-duty request (Up to 2 days for local conferences / as per actual for outstation conferences/seminars/FDPs)
2. Attendance Certificate from the organizers
3. Registration Fee slip / Membership Fee slip
4. Copy of Conference/Seminar/Workshop/FDP Certificate / Membership ID card/document.

The attached claim form should be submitted through the proper channel.

**The financial details are given in the Annexure given at the end of this policy.**

## **Format for Conference / Membership Grant Reimbursement**

- **Name of the Faculty:**
- **Employee ID:**
- **School / Department / Centre:**
- **Date of Joining:**
- **Research Profile:** (attach separate sheet giving details of doctoral research, publication, seminars and conferences attended, details of previous seed money grants from)
- **Name of the Conference / Society / Association:**
- **Dates of the conference:**
- **Title of paper if presented & mode of presentation:**
- **Type of Membership:** (Annual/Life member)

Date:

**Signature**

Date:

Signature of the Head of School/  
Department/Centre/Institution  
Name and Designation with seal

## **9. Research Award**

Suresh Gyan Vihar University (SGVU) being a research-driven university, believe in encouraging faculty members to be actively involved in research, teaching and extension. A greater emphasis is placed on scholarly research that results in R & D projects, conferences presentations and quality publications. Such productivity contributes to the scientific and professional literature, society and brings credibility and acclaim both to the individual scholar and to the institution.

The University aims to establish uniform guidelines and expectations across the University regarding the incentives for faculty engaging in research and extension services. The university intends to grant awards to faculty members who published work that enriches scientific knowledge and serves the society distinguished national and international publishing journals and getting externally funded research projects.

### **4.2 Terms of Scientific Research Publication Awards:**

- The applicant must be a teaching faculty member at the SGVU.
- The publication date should not exceed one year or published in the desired duration.
- The researcher's affiliation must be the SGVU.
- Publication must be in internationally classified accredited journals as specified by SGVU.
- Publications in Scopus and Web of Sciences indexed journals are acceptable for research award.
- Applications shall be invited by the IQAC at the end of each year.

**The financial details are given in the Annexure given at the end of this policy.**

## **10. Policy for Appointment of Research Personals**

### **10.1 Preamble**

The Research Fellowship Scheme is the premier scholarship scheme of Suresh Gyan Vihar University, which has been launched to promote research activities. The Objective of SGVU Research Fellowship Scheme is to promote the meritorious post graduate students to pursue doctoral degree as well as gain the teaching experience. The designation of such selected candidates will be “**Research Assistant/JRF/SRF/Postdoctoral Fellow**”. The research work will be supervised by concerned supervisor and the teaching load (if applicable) will be allotted by the concerned departmental head.

### **10.2 Eligibility Criteria:**

#### **(a) SGVU doctoral fellowship / JRF**

The Candidate:

- i. must hold a Master’s degree in respective discipline with minimum 60% marks.
- ii. having qualified score of GATE/ GPAT / NET in the relevant subject will be given preference.
- iii. should be proficient in M.S. Office (MS Excel, MS Power Point and MS Word)
- iv. should have strong communication skills (written and oral) to effectively correspond with diverse audience.

#### **(b) SRF**

The Candidate:

- i. must have completed 2 years as JRF / SGVU doctoral fellowship.
- ii. Must have published at least 2 research papers in SCI/Scopus indexed journals.
- iii. should be proficient in M.S. Office (MS Excel, MS Power Point and MS Word)
- iv. should have strong communication skills (written and oral) to effectively correspond with diverse audience.

#### **(c) Postdoctoral Fellow**

The Candidate:

- i. must hold a Doctor’s degree in respective discipline.
- ii. must have published at least 5 research papers in SCI/Scopus indexed journals.
- iii. should be able to lead a research project under the mentorship of SGVU faculty members.
- iv. should be proficient in M.S. Office (MS Excel, MS Power Point and MS Word)

- v. should have strong communication skills (written and oral) to effectively correspond with diverse audience.

### **10.3 Selection Procedure**

The call for application will be open every year through the office of Dean-Research, SGVU. The application in the scheme shall be addressed to the “**Dean Research**” along with academic details and proof of valid GATE/ GPAT / NET score card (if applicable) as well as other documents in support of the claims. The selection shall be based on keen interest in research, marks of the qualifying degree (weightage - 50%) and performance in the interview (weightage - 50 %).

### **10.4 Tenure of Fellowship**

The tenure of the selected candidates will be as follows:

- (a) JRF: 2 years
- (b) SRF: 1 year
- (c) SGVU Doctoral Fellow: 3 years
- (d) Postdoctoral Fellow: 3 years

All the research personals will be reviewed each year and the position can be terminated / extended based on the evaluation.

### **10.5 Roles and responsibilities of Research Personals:**

#### **(a) JRF**

- i. He / She will have to complete the course work following which they will be registered to Ph.D. program.
- ii. He / She will have to carry out research work in the concerned department as full researcher.
- iii. He / She will have to perform teaching work (6 hours / week) in concerned department.
- iv. He / She is expected to participate in the departmental activities.
- v. He / She will have to deliver midterm and end term seminars.
- vi. He / She will have to publish minimum one papers in Scopus/WOS indexed journal per year.
- vii. He / She is expected to participate in the conferences/symposia/workshop within India or abroad.
- viii. He / She is expected to deliver seminar on the concerned research work involved in.



- ix. He / She is expected to perform the above tasks effectively, the candidate shall be expected to work in close coordination with the Institution and with the Departmental Research Team.
- x. He / She is expected to plan, organize, and conduct research in scientific, cultural, historical, or artistic field for use in own work or in project of sponsoring institution.

**(b) SRF**

- i. All the responsibilities will be same as that of JRF.

**(c) SGVU Doctoral Fellow**

- i. He / She will have to complete the course work following which they will be registered to Ph.D. program.
- ii. He / She will have to carry out research work in the concerned department on full time basis.
- iii. He / She will have to perform teaching work (12 hours / week) in concerned department.
- iv. He / She is expected to participate in the departmental activities.
- v. He / She will have to deliver midterm and end term seminars.
- vi. He / She will have to publish minimum one papers in Scopus/WOS indexed journal per year.
- vii. He / She is expected to participate in the conferences/symposia/workshop within India or abroad.
- viii. He / She is expected to deliver seminar on the concerned research work involved in.
- ix. He / She is expected to perform the above tasks effectively, the candidate shall be expected to work in close coordination with the Institution and with the Departmental Research Team.
- x. He / She is expected to plan, organize, and conduct research in scientific, cultural, historical, or artistic field for use in own work or in project of sponsoring institution.
- xi. Any other duty assigned by the university.

**(d) Postdoctoral Fellow**

- i. He / She will have to prepare a 3-year project plan.
- ii. He/she will have to help PhD/Research students in planning and executing their research work.
- iii. He / She will have to carry out his own research work in the concerned department.

- iv. He / She will have to perform teaching work (12 hours / week) in concerned department.
- v. He / She is expected to participate in the departmental activities.
- vi. He / She will have to publish minimum one papers in Scopus/WOS indexed journal per year.
- vii. He / She will have to file at least 1 patent during the tenure.
- viii. He / She is expected to participate in the conferences/symposia/workshop within India or abroad.
- ix. He / She is expected to deliver seminar on the concerned research work involved in.
- x. He / She is expected to actively be involved in writing projects/research grants.
- xi. He / She is expected to perform the above tasks effectively, the candidate shall be expected to work in close coordination with the Institution and with the Departmental Research Team.
- xii. He / She is expected to plan, organize, and conduct research in scientific, cultural, historical, or artistic field for use in own work or in project of sponsoring institution.
- xiii. Any other duty assigned by the university.

#### **10.6 Performance Evaluation and Continuation of Fellowship**

The Progress of the research assistant will be monitored annually by a committee and further continuation shall be granted subject to satisfactory performance in research and academics. If the performance of a research assistant is non-satisfactory, the University will discontinue his/her fellowship, allowing him/her to continue their Ph.D. program without fellowship. In such situation the student will have to pay their program fee for the remaining duration.

#### **Acceptance of Undertaking**

I hereby declare that I have carefully read all the rules and conditions of my research associate ship and I promise to abide by all these rules and conditions failing to which the University will be free to suspend my research associate ship.

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JRF/SRF/SGVU Doctoral Fellow/Postdoctoral Fellow

Dean Research

## **11. Appointment of Research Professors**

To leverage the traditional strengths of SGVU, it is necessary to acquire or develop new strengths. In particular, it seeks to nurture large groups of faculty and scholars working on transformational technologies that have the potential to address the societal challenges faced in India today with regard to water, energy, healthcare, housing, education, agriculture, irrigation, sciences, engineering, pharmacy, digitization and the like. Industry- and government funded research and development is a major component of this effort that enunciates Suresh Gyan Vihar University being recognized as a global leader. Following are two key visions of SGVU:

- Promoting and coordinating research and knowledge transfer activity within the Universities.
- To establish and maintain recognition of SGVU as an international centre of excellence in various fields of Research.

To achieve goals related to raising the quantum of research output and improving its quality, SGVU Jaipur will adopt a multi-pronged strategy addressing the issues of enhancing the number of research scholars and the faculty strength and of augmenting resources.

A major initiative is a plan to develop focused research centres in the university on different areas-eventually, there will be approximately 30 such active centres at SGVU at any given time. It is envisaged that each Centre of Excellence will involve 5-10 faculty members drawn from multiple disciplines. The Centres of Excellence could also be multi-institutional, involving partnerships with other universities, IITs, IISc and research organizations.

### **Specific objectives and targets of Research:**

- To be known as the best educational research university in the world in all the areas we are engaged in
- To make significant contributions to the technology needs of the nation
- To publish a large fraction of papers in top journals where peers in the top 50 universities publish.
- To nurture the unique strength of SGVU in research and development leading to technologies with immediate societal value (water, energy, housing, healthcare, education, IT, etc.).

- To establish two or three new research centres of excellence each year, built around focus themes for which SGVU should be known globally for the national and societal impact as well as the new knowledge that they create.
- To increase the value of total funded research to approximately **100 crores** per year.
- To increase the number of industry-driven projects
- To be engaged in at least **one joint project** with each SGVUs Research fields.
- To increase the number of patents applied for annually **to 100-200**.
- To commercialize 5–10 research innovations annually to encourage “**idea to product**” pre-incubation activity involving faculty and students

The overall research plan for developing sponsored research and industrial consulting activities at SGVU in next 5 years is to vigorously identify new research projects of relevance to the nation and of interest to industry and to build relationships.

To fulfil all the objectives, approximately 30 retired people like professors/scientists (age between 58-63 years) from various research labs/organizations may be appointed to get the excellence in research.

#### **Agencies from which recruitment may be considered**

- DRDO
- Indian Space Research Organization (ISRO)
- SERB
- IITs
- CEERI Pilani
- CSIR
- Govt, Research Labs
- Ministry of New and Renewable Energy (MNRE)
- DST
- Department of Biotechnology (DBT)
- Ministry of Earth Sciences (MoES)
- Ministry of Power
- University Grants Commission (UGC)
- Ministry of Human Resource and Development (MHRD)
- India Meteorological Department (IMD)
- Department of Electronics & Information Technology (DeitY)

#### **Research Work Profile**

- The age group of Professor/Associate Professor will be between 58-63 years.
- All professor and Associate Professor will work from home.

- Guide the Ph.D. scholars (6-8) as per the UGC and SGVU norms.
- Bring or submit two (2) funding projects per semester.
- Associate at least one SGVU faculty member in the funding project.
- Mentoring one faculty mentee.
- Publish 6-8 research papers per year in a SCOPUS/WOS indexed journal with high impact factor.
- Weekly Ph.D. scholar's web meeting will be held.
- Attend the RAA meeting of the concerned department.
- Conduct fortnightly PPT presentation of the scholars.
- Coordination with research department.
- Associate with one SGVU Research centre or develop/set up a new research centre.
- Visit SGVU campus physically at least once a semester/as per requirement.
- Develop two teaching courses on an online program using E-content.
- Eight hours teaching load per week will be assigned.
- They will attend research department meetings, IQAC meeting, NIRF and research pool meeting for the development and make them better as per need.
- They will produce and collect evidence / digital evidence against each of the activity, engaged in.

## **12. Research Ethics Policy**

### **12.1 Preamble**

The Suresh Gyan Vihar University shall adopt all measures to ensure that every researcher obeys the research ethics and integrity; strict adherence of this will be ensured by the University “Research Ethics Board (REB)” constituted for the purpose. Research Advisory Committee will regularly monitor if appropriate research ethics is followed in every research activity.

All kinds of researches in SGVU shall have strict adherence to the common principle of ethics and integrity which may however, differ with the varying types of research. Besides following the statutory ethical compliance of researches on animals and human, the university will adopt means for following the ethical aspects underlying in research on nanotechnology and nanobiotechnology that directly concerns the society, community and human being.

All individual researchers are expected to maintain the highest standard of integrity and honesty in every research activity within SGVU. The entirety of research work including research planning, design, the adopted experimental methods, generation of data and its interpretation will embed due research ethics. Any contributions from colleagues, collaborators and others should be duly acknowledged. All research activities in SGVU must be compliant with all the regulations of UGC as well as the regulations and orders framed by the Academic Council, SGVU.

A researcher has to inform the risks, if any, involved in his/her such researches to the research department. Research department after preliminary examination, shall secure approval of the Research Ethics Board (REB). REB will see that all the statutory obligations in carrying out hazardous research of any type is followed by researchers.

A researcher shall disclose to all relevant persons (including other institutions, agencies, conference organizers, participants, journals and publishers) any conflict of interest that might influence such persons’ decisions viz. whether a researcher should be asked: The research policy SGVU aims to ensure that publications by researchers do not misrepresent data or images and that the nature and purpose of any image manipulation is explained.

Due acknowledgement to the agencies for their support of any type is mandatory for the researchers at SGVU. Conflict of interest of any sort, is strictly prohibited and a declaration regarding its observance needs to submit to Research Ethics Board of the university whose decision shall remain binding to all. Any action found inconsistent with integrity, honesty or the Regulatory Framework of the University shall be treated as research misconduct. Intentional misconduct shall attract disciplinary action in accordance with rules and regulations of the university.

## **12.2 Constitution of Ethics Board to maintain Research Integrity**

In pursuit of maintaining the highest standards of research integrity, transparency, and ethical compliance, Suresh Gyan Vihar University (SGVU) hereby constitutes the **Ethics Board to maintain Research Integrity**. This board will oversee the ethical conduct of research, ensure adherence to institutional and regulatory guidelines, and promote responsible research practices across all disciplines.

### **A. Composition of the Ethics Board:**

The Ethics Board shall comprise the following members:

1. **Hon'ble President** – Chairperson
2. **Pro-President (Academics)**– Co-Chairperson
3. **Dean Research**– Member Secretary
4. **Dean of Schools** – Members
5. **Directors / Heads of Centres**- Members
6. **Senior Faculty (from outside University nominated by University Management)**  
– Members
7. **Senior Scientist (from outside University nominated by University Management)**  
– Members

### **B. Role of Ethics Board to maintain Research Integrity**

Suresh Gyan Vihar University “**Research Ethics Board**” is constituted to suggest appropriate measures to ensure the establishment of high standard of research environment in the University from time to time. The Suresh Gyan Vihar University Research Ethics Board tenure will be for three years and will be reconstituted after each three years by the approval of the competent authority.

The Suresh Gyan Vihar University “**Research Ethics Board**” has to look into the matters of conflict of interest (if arises) and guide the researchers appropriate measures to come over such type of issues. Suresh Gyan Vihar University “**Research Ethics Board**” should meet at least once every quarter. Depending on the situation emergent meeting may be called upon by the approval of the competent authority.

**C. Responsibilities:**

1. Evaluate and confirm the appropriate approval for the area and title of research from the concerned authority.
2. Assess and verify appropriate permissions for obtaining information/data from participants and organizations.
3. Review and ensure compliance with permissions required from various regulatory bodies (IEC for human sample research).
4. Follow SOP guidelines laid down by concerned regulatory bodies.
5. Avoid unreasonable risk or harm to humans or animals used in research and to the environment
8. Handle privileged or confidential information on individuals collected during research in an approved manner including appropriate disposal of such material
9. Follow approved procedures when producing or discarding hazardous materials including chemical, biological, genetically modified materials and the human elements
10. Avoid any conflicts of interest
11. Avoid publishing plagiarized materials
12. Avoid manipulation of data to obtain desired result
13. Respect for Intellectual Property
14. Unbiased approach throughout the period of research including experiments of data collection and analysis of publication.

All faculty members, researchers, and students are expected to ensure the highest level of ethical integrity in research with the board and uphold the highest standards of research integrity.



### **13. Policy for PhD Admission & Procedures**

Ph.D. Admissions in Suresh Gyan Vihar University are in accordance with the UGC regulations 2022. Admission for Ph.D. is on the basis of Entrance Test and Interview conducted by the University twice in one academic calendar year. Candidates seeking admission in Ph.D. program should have minimum 55% marks or equivalent in the respective post-graduation. Admission will be confirmed only on clearance of Ph.D. Entrance Test and subsequent Interview. Reservation rule will be followed as per the government of India guidelines prevailing at the time of admission.

#### **AREA OF Ph.D.**

- Electrical Engineering
- Electronics & Communication Engineering
- Computer Science and Engineering
- Mechanical Engineering
- Material Science & Technology
- Civil Engineering
- Energy
- Life Sciences (Botany, Zoology, Biochemistry, Biotechnology, Microbiology)
- Chemistry
- Environmental Science
- Mathematics
- Physics
- Management
- Commerce
- Education
- Physical Education
- Pharmacy
- Sustainable Development
- Geo-informatics
- Disaster management
- Agriculture
- Psychology
- Law

- Design and Arts
- Physiotherapy

## **ADMISSION PROCEDURE**

**Step 1:** Procurement of Online Application Form for Admission Direct / Ph.D. Entrance test (Rs. 1100/- Registration, Rs. 2000/- Entrance Examination fee).

Online Application Form should be duly filled in & submitted with all the desired scanned documents uploaded (only original copy should be scanned), no hard copy required

**Step 2:** Ph.D. Entrance Test on ----- . Admit card shall be emailed.

**Step 3:** Declaration of Result of Ph.D. Entrance Test on the University Website [www.gyanvihar.org](http://www.gyanvihar.org)

**Step 4:** Date of personal Interview, Fee deposition of qualified applicants of Ph.D. Entrance Test or those who are eligible for direct admission/personal interview, the schedule for these will be notified through email and will be uploaded on the University website.

Scrutiny of Forms and removal of deficiencies

Deposition of requisite documents & subsequent verification (originals + 2 photocopies each)

Consent letter from the registered guide (Suresh Gyan Vihar University)

**Step 5:** Synopsis submission after one month from the confirmation of admission

**Step 6:** RAC and Course work examination: Date Shall be intimated through Mail

## **Ph.D. ENTRANCE EXAM PATTERN**

**PATTERN OF PAPER** One paper containing 50% questions on Research Methodology and 50% questions related to subject specific.

**Total Marks of Entrance Test and Interview = 100**

**Part A**– Research Methodology- Marks 35, Mode- Subjective (5 questions out of 7, each of 7 marks) Duration 1.5 hr

**Part B**– Subject Specific – Marks 35, Mode Subjective (5 questions out of 7, each of 7 marks) Duration 1.5 hr

**Part C**– Interview – Marks 30

## **Part A- Syllabus – Research Methodology**

**Introduction to Research Methodology:** Meaning of Research, Objectives of Research, Motivations in Research, Types of Research, Research Approaches, Significance of Research,

Research Methods v/s Methodology, Research and Scientific Methods, Research Process, Criteria of Good Research

**Defining the Research Problem:** What is Research Problem? Selecting the Problem, Necessity of and Techniques in defining the problem

**Sample Design:** Implication, Steps. Criteria for selecting a sample procedure, Characteristics of Good sampling Procedure, Types of Sample Design, Selecting Random Samples, Complex random sampling Design

**Methods of Data Collection:** Collection of Primary Data, Observation Method, Interview method, Collection of Data through questionnaire and Schedules, Other methods. Collection of Secondary Data, Selection of an appropriate method for data collection, Case Study Method, Guidelines for developing a questionnaire, successful interviewing. Survey v/s experiment

**Processing and Analysis of Data:** Measures of Central Tendency, Dispersion, correlation and Regression, Chi-square test: Applications, Steps, characteristics, limitations, Analysis of Variance and Co-variance

**Testing of Hypothesis:** Meaning, Basic concepts, a Flow diagram, Power of a hypothesis test, Important parametric tests, Hypothesis Testing of Means, hypothesis testing of Correlation coefficients, Limitations of Tests of the hypothesis.

## **Part B- Subject Specific Syllabus**

Syllabus of specific subject can be downloaded from the SGVU website using the following steps

- Open the SGVU website
- Click on Research
- Go to Ph.D. norms
- Click on subject in the Area of Ph.D.

## **COURSE WORK**

The course work for the doctoral research has been made mandatory by the U.G.C. (University Grant Commission). Suresh Gyan Vihar University has decided to implement it judiciously for the benefit of the students pursuing Ph.D. The course work has been designed in such a way so as to support, motivate and encourage quality research. The students will get equipped with fundamentals of research methodology, communication skill and also recent developments in the field of their specialization. The course work has to be completed by the student in a

satisfactory way before submission of thesis for the award of Ph.D degree. Course work evaluation would be done through CGPA and shall be mentioned in the degree.

### Course Work Structure

Paper	Title	Credit	Total Marks	Duration of Exam
Paper-I	Research Methodology	4	100	3 hrs
Paper-II	Research & Publications ethics	2	50	1.5 hrs
Paper-III	Literature Review in the domain of Research	4	100	Assessment of review article in the relevant field and a presentation of the same
Paper-IV	Specialization Paper	4	100	3 hrs

**Paper I & II** is common for all the Ph.D. candidates (Subjective written papers)

**Paper III** (Presentation and report on Research Article), Report on research article will be submitted at the office of Dean Research, Suresh Gyan Vihar University before the written Ph.D. course work examinations. For Paper III, the student shall review atleast 50 research articles related to his/her field of research and prepare a research article (report) based on the following criteria.

1. Relevant information on the article- importance, justification etc.
2. Summary of Literature Review
3. Identifying research gaps
4. Statement of research
5. Objectives, questions and hypothesis framing
6. Research design and methodology
7. Brief summary of finding and conclusion (based on the review of at least 50 research articles)
8. References

The article should be on A4 size paper with proper margins on the left and right side of the paper and top and bottom of the paper. It should be in typed form, using Times new roman, font 12, spacing 1.5, justified margins.

**Paper IV** will be on the specialization (Recent trends in the respective subject). Syllabus to be framed by supervisor (Subjective written paper).

The candidate will be given **two chances** to qualify the course work on the basis of their score in course work **SGPA** shall be calculated & will be mentioned on the degree as per directives of UGC.

A RAC will be held for getting the approval of the synopsis which is to be presented before the experts. The RAC meeting will be held only after the candidate has cleared all the four papers of Pre- Ph.D. Course Work Examination.

## **SOP FOR Ph.D. PROCESS FLOW**

### **Ph.D. PROCESS FLOW**

Note: For detail information regarding rules and formats, visit the SGVU website (<https://www.gyanvihar.org/phd>)

<b>Step</b>	<b>Activity</b>	<b>Duration</b>
1	Entrance + Interview	
2	Selection + Offer Letter	
3	Enrolment Process: Original Document Verification and submission of Migration Certificate	Within 20 Days
4	Course Work (First Week of February & August)	6 Months
	Literature Review, Reading and Presentation of 2 Papers\Month	
	Summary Report of total 40 Papers in 6 months	
	Exam of Course Work (Offline)	
5	Guide Allotment by University	Within 2 Weeks after result Declaration of Course Work
6	RAC (Synopsis)	Within 3 Months
7	Ph.D. Registration with all formalities to be completed by the student	7 Days from RAC
8	Progress Report, paper and chapter Submission to RAC in every 6 Month till the completion of work for Submission Progress report-1: Review paper (paper-1) from next 60 papers (chapter-1) Progress Report-2: Paper-2 (chapter-2) Progress Report-3: Paper-3 (chapter-3) Progress Report-4: Papers- 4& 5 (ch.-4 & 5)	Every 6 Months
9	Pre-Submission in RAC (Required: Publication as per SGVU Norms, Draft Thesis)	3 years from admission
10	Thesis Submission	Within 1 Month
11	Evaluation, Defence, Degree	6 Months

## **SOP FOR Ph.D.**

The proposed SOP outlines the pathway for PhD candidates, aiming to ensure structured doctoral education, foster academic excellence, and promote high-quality research outcomes. The SOP governs the lifecycle of the PhD process, from orientation to degree awarding, and includes provisions for supervision, coursework, research, reporting, and thesis submission.

### **1. Orientation (First Day)**

- To orient new PhD candidates with the university's policies, available resources, and the academic expectations for successful completion of their degree.
- Introducing institutional guidelines for research ethics, plagiarism, and academic integrity.
- Familiarization with the available research tools, laboratories, library facilities, and administrative support.

### **2. Appointment of Supervisor and Mentor (Months 0-3)**

- The supervisor will conduct weekly meetings to provide research guidance, track progress, address challenges, and allocate a specific research topic.
- A mentor will meet fortnightly with the candidate and supervisor to provide general academic and professional advice, ensuring well-rounded support.

### **3. Coursework and Exam (Months 0-6)**

- The candidates will complete coursework in research methodology, subject-specific modules, and electives to build a solid theoretical foundation.
- Examination at the end of the 6th month

### **4. Literature Review and Research Development (Months 6-18)**

- Candidates will conduct a comprehensive literature review on topic specific allotted by supervisor and refine their research objectives, methods, and hypothesis formulation.

### **5. Quarterly Presentations (Months 6-18)**

- Candidates will present their research progress quarterly to supervisor for review and feedback. This helps refine research, anticipate potential challenges, and adjust approaches accordingly.

## 6. Reporting and Publications as per Norms

- Report Submission: Detailed progress reports are required at the end of the 6th, 12th, 18th, and 24th months, summarizing work completed, obstacles faced, and future objectives.
- Publications:
- First Publication: Between 6-18 months.
- Second Publication: Between 18-30 months.

## 7. Thesis Writing (Months 1-30)

- Chapter One: (Introduction, literature review, research objectives) to be completed by Month 18.
- Chapter Two: (Methodology, experimental design, data analysis etc.) to be completed by Month 24.
- Chapters Three/Four/Five: Experimental results, analysis, and conclusion to be completed by Month 30.

## 8. Final Review and Submission (Months 30-36)

- A thorough review process of the thesis draft will take place, with feedback provided by both the supervisor and mentor. Corrections and revisions should be implemented before final submission.

## 9. Degree Awarding (Before Year 4)

- Upon successful completion of all coursework, reports, publications, and thesis submission, the PhD degree will be awarded before the commencement of the 4th academic year

## **GUIDELINES FOR Ph.D.**

To ensure a smooth progression in the research journey of Ph.D. scholars at Suresh Gyan Vihar University (SGVU), the following guidelines are hereby issued:

1. Supervisor Allotment within One Month: The respective Dean/Principal/ Director/ Head/Coordinator is requested to assign a supervisor to each research scholar as per given instructions in DRB, taking into account the scholar's research interests and aligning with

the expertise of a suitable supervisor, preferably within one month from the date of the scholar's admission.

2. Allotment by the Dean's Office: If a supervisor is not allotted within the stipulated time frame, the Office of the Dean (Research) will facilitate the assignment of a suitable supervisor. This allotment may be from within the scholar's department or from allied subjects, as mapped to the research area of the scholar.
3. Change of Supervisor: In the event that a supervisor leaves the institution or is otherwise unavailable, the research scholar may submit a consent form, duly signed by the supervisor, to the Office of the Dean (Research). Upon receipt, a new supervisor will be assigned by Office of the Dean (Research) itself.
4. Quarterly Progress Presentations: The Quarterly progress presentations will be an effective way to ensure that research scholars stay on track with their research methodology and objectives during the critical phases of the 2<sup>nd</sup> and 3<sup>rd</sup> semesters. This practice will help scholars refine their approach, receive feedback, and make necessary adjustments to align with their research goals. The presentation will be scheduled every day with a group of 10-12 students.
5. Mode of Research Presentation: The supervisor and research scholar have the flexibility to choose any mode (hybrid) of Research presentation throughout the research activities at SGVU. In case of any disagreement, the Office of the Dean (Research) will mediate for resolution.
6. Biannual Progress Report: Every six months, the research scholar and supervisor must ensure the presentation of a progress report and the submission of a signed progress report to the Office of the Dean (Research).
7. Minimum Criteria for Ph.D. Thesis Submission: To qualify for Ph.D. thesis submission at Suresh Gyan Vihar University after two and a half years from the date of admission (The date of admission is the date of commencement of coursework classes), research scholars must fulfill one of the following minimum criteria:
  - **Option A:** 01 SCI indexed paper (Q1/Q2) + 01 peer-reviewed/Scopus/Web of Science publication + 02 national/international conference certificates.
  - **Option B:** 02 Scopus/Web of Science publications reflected in Author ID + 02 national/international conference certificates.



- **Option C:** 02 Scopus-indexed conference papers or book chapters/books reflected in Scopus Author ID + 02 peer-reviewed/Scopus/Web of Science publications + 02 national/international conference certificates.
- **Option D:** 01 patent granted + 01 Scopus/Web of Science publications + 01 peer-reviewed/ Scopus/Web of Science publications + 02 national/international conference certificates.
- **Option E:** 01 project/consultancy (Minimum Rs. 5 lakhs) + 01 Scopus/Web of Science publications + 01 peer-reviewed/ Scopus/Web of Science publications + 02 national/international conference certificates.

#### **Important Notice:**

- Mixing or merging of criteria is not permitted.
  - All publications, patents, projects, **consultancy affiliation must be attributed to Suresh Gyan Vihar University only.**
  - The project or consultancy amount must be deposited only in the account of Suresh Gyan Vihar University.
  - The inventor or co-inventor must be **affiliated with Suresh Gyan Vihar University for patent.**
8. Pre-Submission and Final Viva Voce Presentation for Ph.D. Scholars: The pre-submission presentations and the subsequent final viva voce for the award of the Ph.D. degree will be held offline at the university campus. In the event of any grievance, the Office of the Dean (Research) will address and resolve the matter upon the request of the supervisor and the research scholar.
  9. Guidelines for External Expert Involvement in Research Meetings: The supervisor, in consultation with an external expert, has the discretion to conduct meetings for activities such as Research Advisory Committee (RAC) meetings, pre-submission presentations, and Ph.D. viva voce etc. in either offline or online mode.
  10. Plagiarism and Compliance Guidelines for Ph.D. Thesis Submission: Plagiarism Compliance: Ph.D. candidates must ensure that their thesis contains less than 1%

plagiarism in core sections and no more than 10% in non-core sections. Additionally, candidates must fulfill one of the submission criteria stated in Point 7.

All other rules and regulations as previously notified must be strictly adhered to. Any violation of UGC regulations is strictly prohibited.

All stakeholders are requested to adhere to these guidelines to support the timely and effective continuation of research for Ph.D. scholars. This process aims to ensure that each scholar receives guidance that best suits their academic and research needs.

## **Annexure A**

### **Financial Provisions**

#### **D. Financial Provisions for Patents**

- Each department/school is expected to submit at least 2 patents in a year.
- The expenses related to grant a patent up to a maximum limit of INR 50000/patent will be covered by the University.
- The patent idea and application will be reviewed by the IPR cell, and the cell will recommend the suitable applications for this reimbursement.
- IPR cell ensure the smooth processing of patent application.

#### **E. Financial Provisions for Seed Money**

- The total project cost will be limited to a maximum of INR 500000.
- A total 20 projects / semester will be considered for the funding.
- The project grant will be disbursed according to following protocol:
  - (i) An advance of 20% will be released with the sanction / approval by the competent authority.
  - (ii) Next 40% amount will be released on full utilization of previously released amount and quarterly review of the progress report.
  - (iii) The final 40% amount will be released on full utilization of previously released amount and half-yearly review of the progress report.
- In case, PI need an advance of more than the stipulated limit, he/she may request to the Research Department for the additional need with the justification. The fund may be disbursed on the approval of dedicated project scrutiny committee.
- The awardees need to ensure at least 1 patent / 1 paper / 1 facility as an outcome of the project.
- In case of non-execution of the research work related to project, the PI / Co-PI will be responsible to return all the money to university account with in the first quarter of the commencement of the project.

## **F. Financial Provisions for Consultancy**

- I. In general, the maximum total amount which can be paid to any individual for Indian consultancy & testing work in a Calendar year will be limited to an amount equivalent to the total salary of that individual in a calendar year. However, there will be no capping for international consultancies.
- II. All charges/ money paid for consultancy & testing work will be deposited centrally in the accounts office of the University and will be distributed from there itself.
- III. All the expenditure (travel, contingency etc.) related to the consultancy & testing work shall be first deducted from consultancy grant and the balance amount shall be distributed as indicated below.

Distribution of Consultancy Fee	% Share when university facilities like Labs, software, IPR etc. are used	% Share when university facilities are not used
Share of SGVU	20	10
Share of Faculty as Consultant	70	90
Share of Technical/support staff (if no support was taken then this share will be transferred to the consultant)	10	

## **G. Financial Provisions for the reimbursement of Conference Registration Fee / Membership Fee**

- The financial support offered to faculty members of SGVU under this head is INR 2000/- or the registration fee paid (whichever is minimum).
- In special circumstances a reimbursement can be made up to INR 3000 on prior approval.
- Expenses on travel, lodging and boarding etc., shall be borne by the faculty members.
- It is mandatory for each faculty to utilize this once each financial year.

## H. Financial Provisions for Research Award

The awards will be given in the following categories as tabulated:

S. No.	Category	Increment/Cash award/Medal with certificate
1.	Publications* Research paper/articles published in:	<b>(a) Web of Science indexed Journals:</b> <a href="https://mjl.clarivate.com/home">https://mjl.clarivate.com/home</a> Thomson Reuters Impact Factor (0.001 to 1.000) Rs. 4,000/- per paper Thomson Reuters Impact Factor (1.001 to 3.000) Rs. 5,000/- per paper Thomson Reuters Impact Factor (3.001 to 6.000) Rs. 7,000/- per paper Thomson Reuters Impact Factor (6.001 to 10.000) Rs. 10,000/- per paper Thomson Reuters Impact Factor (More than 10) Rs. 20,000/- per paper <b>(b) Scopus Indexed Journals</b> <a href="https://www.scopus.com/sources?zone=&amp;origin=NO%20ORIGIN%20DEFINED">https://www.scopus.com/sources?zone=&amp;origin=NO%20ORIGIN%20DEFINED</a> Rs. 3,000/- per paper <b>(c) Scopus Indexed Proceedings Papers</b> <a href="https://www.scopus.com/sources?zone=&amp;origin=NO%20ORIGIN%20DEFINED">https://www.scopus.com/sources?zone=&amp;origin=NO%20ORIGIN%20DEFINED</a> Rs. 2,000/- per paper
2.	Citations (5 to 25 in one year, excluding self-cited papers)	Rs. 1,500/-
3.	Citations (25 to 50 in one year, excluding self-cited papers)	Rs. 2,500/-
4.	Citations (51 and above in one year, excluding self-cited papers)	Rs. 4,000/-
5.	Citations (101 and above in one year, excluding self-cited papers)	Rs. 6,000/-
6.	Citations (501 and above in one year, excluding self-cited papers)	Rs. 10,000/-
7.	Externally funded R&D projects/ Seminars/Conferences/Symposia/Workshop	3% of per project cost (fund received).
8.	Externally funded Seminars/Conferences/Symposia/Workshop	2% of received grant (Convener will get 70% of the amount and the other major contributors i.e. Organizing secretary will receive 30% of the claimed amount (If there are more, the 30% amount will be equally divided).
9.	Book Chapter with ISBN No for Indian territory (Peer Reviewed Publisher)	Rs. 3,000/- per chapter
10.	Book Chapter with ISBN No. for International territory (Peer Reviewed Publisher)	Rs. 4,000/- per chapter
11.	Edited Book with ISBN No (National Peer Reviewed Publisher)	Rs. 5,000/- per book

12.	Edited Book with ISBN No (International Peer Reviewed Publisher)	Rs. 6,000/- per book
13.	Book with ISBN No (National Peer Reviewed Publisher)	Rs. 7,000/- per book
14.	Book with ISBN No (International Peer Reviewed Publisher)	Rs. 8,000/- per book
15.	Patent Granted	Rs. 10,000/- per grant
16.	Faculties awarded for National/International fellowship for advanced studies/research during the year	Rs. 5,000/-
17.	Faculties went as Resource Person / Invited Speaker in Government sponsored programs or Government organizations (within Country).	Rs. 3,000/- per event
18.	Faculties went as Resource Person / Invited Speaker Outside Country.	Rs. 5,000/- per event
19.	Any Other Award / Recognition / Achievement including best oral/poster award, SGVU Journal Editor, Ranking (Up to Top 10% in any renowned researcher Indexing service)	Rs. 2,000/- to Rs. 5,000/- depending on the weightage / prestige of the award, which will be decided by the committee members.
20.	Affiliation / Ranking / Accreditation related work (Including UGC, AICTE, NAAC, NIRF, PCI, ICAR, SIRO, Distance Education etc.)	Amount, contribution and claims will be verified and the final decisions will be made by Hon'ble Management.

**Notes:**

1. If there is more than one Contributor from SGVU, the amount for any category (Except Publications) will be equally divided among SGVU Faculty Members.
2. The first / corresponding author of Research Papers / Books / Book Chapters will receive 70% of total amount of the category and the other authors will receive 30% of total amount of the category. If there are 2 or more authors from SGVU in any of the category, the amount will be divided as follows:
  - (a) One is first author, and the other is corresponding author – The 70% of the amount will be equally divided in both or equally if there are more than 2 first / corresponding authors from SGVU.
  - (b) Both are Corresponding authors – The 70% of the amount will be equally divided in both or equally if there are more than 2 corresponding authors from SGVU.
  - (c) One is first / corresponding and other is co-author – The 70% of the amount will be given to first / corresponding author and 30% of the total amount of the category will be given to the other. If there are 2 or more than 2 authors from SGVU in any of the above-mentioned author categories (first/corresponding and co-author), the amount of respective category (70% and 30%) will be equally divided among the SGVU faculty members.
3. If there is only one author from SGVU, the corresponding/first author will get 100% of total amount of the category, whereas the co-author will get 50% of total amount.

## **I. Financial Provisions for Research Personals**

### **(a) JRF**

No. of Positions:	10
Fellowship Amount:	12000/- p.m.
Contingency grant:	10000 / year
Duration:	2 years on annual review basis

### **(b) SRF**

No. of Positions:	5
Fellowship Amount:	15000/- p.m.
Contingency grant:	10000 / year
Duration:	1 year after successful completion of JRF tenure

### **(c) SGVU Doctoral Fellow**

No. of Positions:	5
Fellowship Amount:	30000/- p.m.
Contingency grant:	20000 / year
Duration:	3 years on annual review basis

### **(d) Postdoctoral Fellow**

No. of Positions:	5
Fellowship Amount:	35000/- p.m.
Contingency grant:	50000 / year as seed money grant
Duration:	3 years on annual review basis

## **J. Financial Provisions for Research Professor**

### **Monthly Emoluments:**

Professor:	INR 60000/-
Associate Professor:	INR 50000/-