



POLICY DOCUMENTS

- ❖ **CONSULTANCY POLICY**
- ❖ **INTELLECTUAL PROPERTY POLICY**
- ❖ **RESEARCH & DEVELOPMENT POLICY**



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2022

Approved by Board of Management in 2015 and Amended in 2022

VISION

To foster Human Development through Excellence in Quality Education, Research and Entrepreneurial Development

MISSION

- To provide quality education, creating Human Assets and intellectual capital
- To enhance research and development in different disciplines
- To develop a new generation of entrepreneurs who will be instrumental in fueling economic growth
- To create able Leaders, Managers and Technocrats.
- To foster an ethical environment in which both spirit and skill will thrive based on human values, to enrich the quality of life.

CORE VALUES

- Ethics and Integrity
- Imbibing Scientific temper
- Environmental Consciousness & Sustainable Development
- Promotion of Indian culture & heritage
- Active Citizenry
- Service to Society and Contribution towards National Development

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CONSULTANCY POLICY

1. INTRODUCTION

The consultancy and training assignments for industry and other organizations by the faculty members is an essential component of the work to be undertaken by faculty members of a University. This is also an important component in accreditation process by NIRF, NAAC and NBA etc. While this forms part of total semester/ annual load of a faculty member, this policy outlines the financial incentive to the faculty members and others involved in a consultancy and training.

1.1. OBJECTIVES OF CONSULTANCY POLICY

The objective of Consultancy Policy of Jain University is to promote academic, industry and research interaction and to encourage and facilitate its faculty to provide knowledge inputs sought by industry, government agencies or other research organizations.

The University provides the necessary facilitation conforming to the following tenets concerning consultancy program:

- JU shall attempt to provide an atmosphere conducive to undertake consultancy by all interested and motivated faculty members in their areas of competencies with the broader objective of sharing specialized knowledge and skills by faculty of the university to meet the needs of industry, government and other research organizations.
- JU shall endeavor to sensitize all concerned with responsibilities as well as benefits of the consultancy program and its outcomes within the overall framework of the university's mission.
- This policy shall apply to all JU faculty members involved in consultancy. This policy on consultancy is subject to review by the University Authorities. The university may announce details of implementing procedure on this policy from time to time.

- The Consultancy Policy will be implemented in complement of and in harmony with R&D Policy of the University.

2. FRAMEWORK FOR UNDERTAKING CONSULTANCY

- The consultancy work may be assigned by the university to faculty members in their area of competencies based on requests referred to the University through the departments or Research Centres with the concurrence of the Chancellor/ Vice Chancellor.
- The University may approve with the concurrence of the Chancellor the Consultancy Work proposed by a faculty who may be approached by an Industry/ Research Organization / Government Agency or any other.
- The consultancy work is taken up through suitable agreements entered into by the university or its Centres or Departments or Individual member of faculty with the recommendation of respective Head of School and approval of Registrar of the University with the concurrence of the Chancellor/ Vice Chancellor.

3. AGREEMENTS FOR CONSULTANCY

- The MOU or the consultancy agreement will normally be signed between the University and the client and includes consultancy charges and reimbursement of incidental expenses on actual basis.
- As a minimum, the agreement will address the scope of consultancy, deliverables, mutual responsibilities, time schedules and financial terms, communications, resolution of disputes, confidentiality, IPR issues and appropriate indemnities. In simpler cases, even letter form of agreement may be followed. Normally, consultancy assignments would not involve transfer/ licensing of IPR.

- The university may permit agreements between the consulting academic member and sponsoring organization, with prior approval of the Registrar of the university for terms of such agreement and subject to resolution of possible conflicts including dislocation to other responsibilities of the consulting academic member or dislocation to academic programmes. The grant of permission by the university to the individual faculty member to enter into consultancy agreement will be subject to concerned member's commitment to comply with the academic, business and ethical standards, priorities and discipline of the university.

4. RESPONSIBILITIES AND PRIVILEGES OF FACULTY MEMBERS

- JU faculty can engage in consultancy as long as the same is within the framework being labeled ethical and it does not involve any unresolved conflict of interest.
- JU faculty can spend any one day of the week for consultancy work without affecting the academic & research activities and subject to provisions specified herein. In case greater engagement than above is demanded, specific approval may be granted by the university based on merits of each case.
- JU faculty can engage in the establishment of a company with the permission of JU authorities.
- JU faculty having consultancy project are entirely responsible for the completion of the consulting work. He/she shall ensure that all requirements of sponsoring/ funding agency in respect of reports, financial statements and other deliverables are met in a timely manner.
- JU faculty having consultancy work are fully responsible for the staff working in the project.

- JU faculty having consultancy work / project will ensure payments for all the JU facilities used in the consultancy work as per norms decided by the University authorities from time to time.
- Wherever relevant and applicable, JU faculty shall provide copy of tax invoices and all other expenses incurred with respect to the research activity shall be maintained and made available as and when required.
- No Faculty member can take consultancy on individual basis till the employment with Jain University.
- It is recommended that selectively students may be involved to help faculty members wherever feasible and token stipend may be considered to be paid to them. This can be a powerful way to groom students for real life and make them industry ready

5. ADMINISTRATIVE AND OTHER SUPPORT

The university will facilitate appropriate administrative and other support as may be needed case by case basis that may include support for processing of proposals, use of technical facilities, provision or recruitment of support staff, documentation, financial administration or even procurement support as may be relevant in each case and for the scope of consultancy.

6. REPORTING PROGRESS

The faculty members who take up consultancy assignments shall periodically keep the Registrar of the university informed on the progress and submit report on satisfactorily completing the assignment along with copies of communication to this effect by the sponsoring agency

7. COSTING APPROACH AND PROCEEDS

- There is a typical cycle of research – consultancy – training – teaching in higher education. This means that the research undertaken by University faculty is utilized to help industry

and other organizations through research and consultancy assignments, which may lead to training and development interventions and the insights gained by faculty in the process enriches the teaching in the classrooms.

- For consultancies undertaken under this policy, fees to be recovered will include charges for use of professional human resources based on time to be spent, any out of pocket expenses like travel or outsourced services, charges for use of any technical facilities, consumables and institutional overheads of 15%. Necessary service charges too as applicable shall be recovered from the sponsoring organization.
- There are three broad areas of responsibility as concerns the complete life-cycle of any consultancy/ training assignment; viz. relationship development (lead generation, if needed) with industry and follow up, programme design and delivery by the faculty members and institutional support in terms of legal, accounts, other logistics and infrastructure.
- The sharing of consultancy proceeds between the university and consulting faculty will depend on the extent of expenditure elements in each case and time of engagement of working hours of the faculty and as mutually agreed.
- The profit made or after all expenditure the surplus can be share in ratio 60:40 to faculty and university respectively. This will be applicable when complete work i.e from writing the proposal to bringing the consultancy has been done by the faculty themselves.
- In case of involvement of third party or Marketing/HR or other department of university the share will be divided accordingly.
- 5-10% incidental expenses have to be included in the expenditure of the consultancy project.
- Consultancy projects should not take more than 52 days in a year (1 day/week).

8. CONFLICT OF INTEREST

JU policy with regard to conflict of interest rests on the premise of “trust & faith” and integrity of respective members to disclose any information that could lead to conflict thereby ensuring that any conflict of interest could be resolved in appropriate manner befitting all concerned.

9. MISCONDUCT

- No faculty member engaged in consultancy assignment shall indulge in fabrication/falsification of data in either recording or reporting, resort to plagiarism knowingly or intentionally and all other such acts normally not conducive of being considered ethical. University shall take suitable actions as applicable to such cases.



INTELLECTUAL PROPERTY POLICY

1. PREAMBLE

Jain University is dedicated to teaching, research and dissemination of knowledge to the public for its good. **The Jain University has been actively involved in basic and applied research and innovation since its inception.**

The University was established with the objectives ‘to facilitate and promote studies and research in emerging areas of higher education with focus on new frontiers of technology, pharmacy, environmental studies, non-conventional energy sources and management studies and also to achieve excellence in these and connected fields’.

In the responsibility of producing and disseminating knowledge there is inherent need to encourage innovation, creativity and scholarly works for the developments of new and useful materials, devices, processes and other intellectual property. In the University, faculty members, research scholars and the students are engaged in research and development work of considerable importance. Such innovative research works may lead to development of intellectual property know-how, patents, copy-rights, designs, instruments, devices, processes, specimen, software and other inventions having potential for commercialization with or without the registration under different Acts enacted by the Government for protection of intellectual properties. The conception of intellectual property not only contributes to the professional development of the individuals involved, but also enhances the reputation of the University, provides educational opportunities for students and promotes public welfare. Particularly, a commercial exploitation of the intellectual property can be of considerable socio-economic benefit to the country. The University, therefore, supports and encourages the efforts directed towards bringing the fruits of University research in diverse fields of knowledge to public use and benefit while protecting the interests of the scholars.

2. POLICY IS BINDING

Except to the extent that a contrary intention is expressed, this policy binds the University, Faculties, staff, researchers, affiliates and students.

3. STATEMENT OF INTENT

This policy:

- Enables the University to identify, protect, manage and (where appropriate) commercially develop its intellectual property, for the benefit of the University and the community;
- Sets out the entitlements and responsibilities of the University, faculties, staff, researchers, affiliates, students, and visitors in relation to intellectual property;
- Supports a research and innovation culture in which translational research, technology transfer and entrepreneurial endeavor are rewarded; and
- Provides for the appropriate distribution of the proceeds of successfully commercialized intellectual property.

4. APPLICATION

This policy applies to the University, faculties, researchers, staff, affiliates and students.

5. DEFINITIONS

Affiliate: Clinical title holders; adjunct, conjoint and honorary appointees; consultants and contractors to the University; holders of offices in University entities, members of Boards of University Foundations, members of University Committees; and any other persons appointed or engaged by the University to perform duties or functions on its behalf. An affiliate is not a visitor for the purposes of this policy.

Creative work: Means original material, including: • artistic works; • literary works; • dramatic works; • musical works; • films; • photographs; • sound recordings; • broadcasts; • published editions; • performances of performing artists; • phonograms; and • broadcasts, designs.

Head of School: Means an academic employee of the University who leads a school or equivalent budget or disciplinary unit.

Intellectual Property: Includes rights (including, without limitation, rights of registration or application for registration) relating to: • literary works (including computer programs), artistic, musical and scientific works; • multimedia subject matter; • performances of performing artists, phonograms and broadcasts; • inventions in all fields of human endeavor; • scientific discoveries; • industrial designs; • trademarks, service marks and commercial names and designations; • plant varieties; • circuit layouts. It does not include any moral right.

Moral Right: The meaning of moral right given in the Copyright Act 1957 and includes: • an author's right to be identified as the author of a work as the right of attribution) • an author's right to take action against false attribution (known as the right not to have authorship of a work falsely attributed) • an author's right to object to derogatory treatment of their work that affects their honor or reputation (known as the right of integrity of authorship).

Originator: Means a person who creates intellectual property which is subject to this policy, whether alone or jointly with another person.

Staff or staff member: Means an employee of the University.

Substantial contribution: Means, in relation to the creation of intellectual property, a contribution of 30% or more

Teaching Materials: Means anything created in any medium by a staff member in pursuance of their employment (regardless of whether or not this occurs under a specific direction to do so) as an aid or tool for instruction in a course. This includes, but is not limited to: • lecture notes and materials;

• syllabi; • handouts; • study guides; • course software; and • assessment materials.

University Resources: It includes, but is not limited to: • background intellectual property; • premises; • facilities; • funds; • services; • equipment; • paid leave; • staff time; and • support staff.

Visitor: Means • a person given access to University resources for the purpose of teaching, research or other scholarly activity, who is not a staff member, nor a student, and who is not the subject of an agreement with the University addressing intellectual property rights; or • a corporation given access to University resources for the purposes of undertaking research or development, whether or not in collaboration with the University. For the purposes of this policy, a person or corporation continues to be a visitor even if the period of their access to University resources has expired.

“Assignment” means the transfer of rights or title in the intellectual property in writing.

“Creator(s)” mean the faculty, staff, and other persons employed by the University whether full or part-time; visiting faculty and researchers; and any other persons, including students, who create intellectual property using University resources

“Invention Disclosure” means a written description of an invention that is confidentially made by the inventor to the University.

“Know how” means the knowledge, innovation, practices, expertise, process or procedures and secrets of individuals regarding the use of a material, product or resource, or the practice of a method, for a practical purpose.

“Publication” means a public enabling disclosure of an invention, and may be verbal or printed. Printed publication includes abstracts, student thesis, and in certain circumstances grant proposals.

“Patent and Patentable material” are as defined in Indian Patent Act 1970. These include invention of novel product and processes that have industrial applicability.

“Revenue” is any payment received as per an agreement by the University usually for legal use of an intellectual property through a license.

“Inventor” An individual or a group of individuals responsible for creating or inventing product or process (as an IP) in the University. In case, creation of IP is associated with more than one inventor, one of them, from CGC, would function as a Principle Inventor.

“Patent” is an exclusive right granted for an invention (technology), which is a product or a process that provides an innovative way of doing something, or offers a new technical solution to a problem.

“Copyright & Related Rights” is an exclusive right given to the author of the original literary, architectural, dramatic, musical and artistic works; cinematograph films; and sound recordings. Related rights means rights that protect the interests of certain groups of right holders, whose activities in most cases relate to the reproduction and dissemination of works.

“Trade/Service mark” means a mark/logo capable of being represented graphically and which is capable of distinguishing the goods or services of one person from those of others and may include shape of goods, their packaging, combination of colors, music, 3D& 2D shapes.

“Industrial Design” means only the features of shape, configuration, pattern, ornament or composition of lines or colors applied to any article/product whether in two dimensional or three dimensional or in both forms, by any industrial process or means, whether manual, mechanical or chemical, separate or combined, which in the finished article appeal to and are judged solely by the eye; but does not include any mode or principle of construction or anything which is in substance a mere mechanical device. Industrial design solely refers to the outer/physical appearance of the product.

“IC Layout Designs” means a layout of transistors and other circuitry elements and includes lead wires connecting such elements and expressed in any manner in a semiconductor integrated circuit.

“Faculty” means the professors, Associate professors, Assistant Professors, teachers and lecturers of CGC. Generally, the faculty is responsible for designing and disseminating the plans of study offered by the institution and subject knowledge to the students and research scholars. (Note this definition of faculty is meant only for the purposes of this document and is not intended to replace the definition of faculty in the statutes or other documents of CGC.)

“Student” means a person who has registered or enrolled as full-time or part - time student, or students through exchange from other universities/ colleges.

“New and useful scientific” and technical advancement in the form of innovations, inventions, products and processes, computer hardware and software, materials, biological varieties etc. which are patentable.

“IPR Committee” The committee constituted by the Director from time to time to evaluate and make recommendations regarding IP related issues.

6. INTELLECTUAL PROPERTY ORIGINATED BY STAFF OR AFFILIATES

- 6.1. Except as otherwise provided in this policy or in a separate agreement, the University owns all intellectual property originated by staff or affiliates:
- a) in the course of employment by the University;
 - b) using University resources;
 - c) at the specific request or direction of the University; or
 - d) as part of a project or program supported by funding obtained or provided by the University.
 - e) as part of project sponsored by external agency and subject to the terms of the grant.

- 6.2. In the absence of a specific agreement to the contrary, the originator of teaching materials has a non-exclusive, non-transferable, free licence to use such works for the purpose of their own teaching, education or research at other educational institutions, but may not:
 - a) sub-licence or assign such materials; or
 - b) use them to generate royalties or licence fees.
- 6.3. Except as otherwise provided in this policy or in a separate agreement, the University owns all intellectual property in scholarly works or creative works or any scientific / technological invention originated by a staff member or affiliate at the specific request or direction or approval of the University.
- 6.4. In all other cases, the originator of scholarly works or creative works owns all intellectual property rights in them, subject to a non-exclusive, free, irrevocable licence to the University to use such works and to sub-licence other parties to do so.
- 6.5. Any work which may be considered to be both:
 - a) teaching materials and scholarly work; or
 - b) teaching materials and creative work will be treated as teaching materials for the purposes of this policy.
- 6.6. If a staff member wishes to use intellectual property created by them but owned by the University for the purposes of further academic research or teaching other than through the University, they may apply to the VC/Director, IP cell for a license to do so.
 - a) The decision on whether or not to grant a license will be made by the Director, IP Cell.
 - b) No licence will be granted if, in the reasonable opinion of the VC/Director, IP Cell, it would be incompatible with the best interests of the University to do so.

- c) Any such licence granted must:
 - i) be granted free of charge;
 - ii) be recorded in writing;
 - iii) be limited to use for academic research or teaching, conducted in educational institutions; and
 - iv) provide no right to sub-license or assign
 - v) any IP created out of it will in part shared with University.
- 6.7. If a staff member wishes to use intellectual property which has been registered with IP cell of University in a proposal or application for external funding the staff member must:
 - a) obtain the approval of the Director, IP cell; and
 - b) if the intellectual property in question has multiple originators, inform all other originators the proposed use at least 15 days before using the intellectual property in that manner.
- 6.8. Any dispute arising as a result of notification given under clause 6.7(b) must be referred to the Director, IP Cell for resolution.

7. INTELLECTUAL PROPERTY ORIGINATED BY STUDENTS

- 7.1. Students own the copyright in their theses and scholarly works in the absence of any specific agreement to the contrary.
- 7.2. Students own all other intellectual property they create, except as provided in this policy.
- 7.3. The University owns intellectual property created by students where:
 - a) the student has entered into an agreement with the University which specifies University ownership of intellectual property related to or arising from their activities;

- b) the student's supervisor or any other staff member has made a substantial contribution to the creation of the intellectual property; or
- c) the intellectual property is created using University background intellectual property or resources or within their tenure of university.
- d) student part of Incubator startup/TBI of university doesn't cover under this policy.

7.4. If:

- a) a student wishes to participate in an activity that has, or may in future, create intellectual property; and
- b) funding for the activity has been provided by a third party under an agreement with the University pursuant to which the third party has, or may claim, rights over intellectual property; then:
- c) the student may be required, as a condition of participation, to enter into an agreement which:
 - i) assigns the student's intellectual property to the University; and
 - ii) provides consents in relation to any subsisting moral rights.

7.5. Where the University owns intellectual property originated by a student:

- a) the student will be entitled to share in the net development proceeds as if they were a staff member;
- b) university will assure the rights of Student as inventor for their invention and creativity.

8. INTELLECTUAL PROPERTY ORIGINATED BY VISITORS

- 8.1. Before commencing any teaching, research or other activity at the University, visitors must enter into an agreement with the University which addresses the ownership of intellectual property and protection of confidential information related to or arising from that activity.
- 8.2. IP cell is responsible for ensuring that such agreements are prepared, executed and recorded.
- 8.3. Staff members responsible for collaboration with, or supervision of, visitors must inform IP cell of the following before the visitor commences any activity.
 - a) If the visitor is a corporation:
 - i) its name;
 - ii) its registered address;
 - iii) its PAN/COI;
 - iv) contact details for the person responsible for the relationship;
 - v) the nature of the activity to be undertaken; and
 - vi) the name, qualifications and contact details of all individuals who will be undertaking the activity.
 - b) If the visitor is an individual:
 - i) their name;
 - ii) their address;
 - iii) their qualifications;
 - iv) their Contact Details;
 - v) the nature of the activity to be undertaken.

9. NOTIFYING THE UNIVERSITY INTELLECTUAL PROPERTY

- 9.1. Any Faculty, staff member, affiliate, student or visitor who originates intellectual property which:
- a) is owned by the University under this policy; and
 - b) they believe may be capable of either or both of protection or commercialisation must notify each of the following, in their capacity as agent for the University, as soon as possible after its creation;
 - c) their supervisor(s), if they are students;
 - d) the relevant Head of School; and
 - e) the Director, IP Cell.
- 9.2. Upon receiving such a notification, the Director, IP Cell may seek further information or clarification, including details of inventive or creative contributions made by any individual or organization outside the University.
- 9.3. Where notified intellectual property results from the use of aspects of indigenous spirituality or cultural property, the report must also include a full description of the material used and contact details for relevant individuals and communities.
- 9.4. The originator(s) of notified intellectual property must also provide the Director, IP cell with relevant further information (including new particulars, data, results, findings, commercial interactions and updates) as soon as possible after it becomes available.
- 9.5. Any staff member, visitor or student who owns background intellectual property to which the University has no claim, but which is relevant to their proposed activity at the University, must notify and provide details of it to each of the following as soon as possible after employment, enrolment or engagement:
(a) the relevant Head of School; and (b) the Director, IP Cell.

10. PROTECTING, DEVELOPING AND DEALING WITH INTELLECTUAL PROPERTY

- 10.1. IP Cell is responsible for protecting, commercializing and dealing with intellectual property at the University.
- 10.2. Unless otherwise provided in an agreement or approved by the Director, IP cell, all applications for registration of intellectual property (whether in India or not) will be made in the name of the University.
- 10.3. The Director, IP cell will decide whether or not the University wishes to protect intellectual property notified to it under clause 11 of this policy no later than 10 days from the later of:
 - a) the date of original notification; or
 - b) the latest date on which further information or clarification requested under sub clause 10(2) is received.
- 10.4. The 10 days period referred to in sub clause 11(3) may be extended with the consent of the originator(s).
- 10.5. Where intellectual property is jointly owned by the University and another institution/organization, the 10 days' time period will not apply. The decision about whether or not the University wishes to participate in protecting the intellectual property, and the extent of any such participation, will be made by the Director, IP cell in consultation with the other owner(s) as soon as is practicable.
- 10.6. Until a decision is made under sub clauses 12(3) or 12 (5), the originator(s) must take all reasonable steps to protect the reported intellectual property and should consult IP Cell on how best to do this.
- 10.7. If the Director, IP cell decides that the University wishes to protect the intellectual property, the originator must provide IP cell with all requested assistance, including but not limited to:

- a) providing on request information relevant to the protection or commercialization of the intellectual property; and
 - b) executing any agreements or other documents necessary for commercialization.
- 10.8. If the University agrees with a third party to develop intellectual property jointly owned by that third party, the University will charge an appropriate development fee, which will be deducted from each payment received at the time of receipt.
- 10.9. If a staff member wants the University to develop intellectual property which the University does not own and in which the staff member has a material interest, the staff member must submit a proposal to the Director, IP Cell and provide any further information or clarification that may be requested.
- 10.10. If the Director, IP Cell decides that the University should proceed with a proposal made under sub clause 11(9) the staff member must:
- a) Assign ownership of the intellectual property to the University; or
 - b) Enter into an agreement with the University and all other interested parties which specifies the terms on which the development is to be undertaken and appropriately manages any inherent conflicts of interests.
- 10.11. Except as provided in sub clauses 11(9) and 11(10), the University will not protect or develop intellectual property of which it has no ownership.

11. DISTRIBUTING THE PROCEEDS OF INTELLECTUAL PROPERTY DEVELOPMENT

- 11.1. Unless otherwise provided in this policy or in any agreement, the net development proceeds from intellectual property owned by, or developed by, the University will be distributed as follows:

- a) 50:50 (university: inventors).
- b) In case the inventor wants to develop the Product or Process for which IP has been filed or registered with the help of University fund in this particular case 60:40 (university: Inventor) sharing will apply
- c) In case of students to encourage **innovation** and entrepreneurship among students (where only student will be inventor) the revenue sharing will be 80:20 (student: university); if
 - i) Students starts his startup for the registered/filed IP product of process and wish to have the complete IP rights, following clause may be considered:
 - ii) University will enter in an agreement with the startups and transfer complete rights to the startup, and the startup has to return the complete expense incurred by university in IP registration process of that IP.
 - iii) If the students commercializes of the IP on their own, the student has to return the complete expense incurred by university in IP registration process of that IP and can have complete right over the IP within an agreement.
 - iv) If the student wants to develop the **Product** or Process for which IP has been filed or registered with the help of University fund in this particular case 60:40 (university: student) sharing will apply

11.2. Distributions payable to originator(s) by the University may be set off against debts owed by or on behalf of the originators in relation to the intellectual property, including development costs.

- 11.3. Any agreement which requires the distribution of net development proceeds in a manner inconsistent with the requirements of this policy must be approved in advance by the Vice-Chancellor.
- 11.4. Where there is more than one originator, all originators must enter into an agreement, in a form approved by IP Cell, which specifies the proportions in which the net development proceeds distributable to originators are to be distributed among them, provided that:
 - a) IP cell will not distribute any proceeds to originators in the absence of such an agreement;
 - b) Such an agreement should be entered into as soon as possible after a decision is made to develop the intellectual property; and
 - c) If no agreement is entered into within one year of the decision to proceed with development, the Director, IP cell, in consultation with the Vice Chancellor, will determine the proportions in which the originators' share of the proceeds will be distributed.
- 11.5. Where the University develops intellectual property as a result of accepting a proposal under sub clause 11(09), the University will distribute the net development proceeds as follows:
 - a) One half to the originator(s);
 - b) One third to the relevant faculty (or faculties);
 - c) The remainder to the university research and development fund
- 11.6. Where the commercial return on development of intellectual property is not in cash, the non-cash asset will be held in the name of the University until it is sold or converted into cash, at which time the proceeds will be distributed consistently with sub clause 12(1).

12. ON-GOING OBLIGATIONS OF ORIGINATORS/INVENTORS

- 12.1. Originators/Inventor must ensure that appropriate records and documentation relevant to the intellectual property are created and adequately maintained.
- 12.2. If required by the Director, IP cell, an originator/inventor of intellectual property which is being developed must execute any document or do anything reasonably necessary to demonstrate or prove ownership, secure intellectual property protection or assist the University to develop the intellectual property.
- 12.3. Originators/inventor who propose to leave the University or who are no longer subject to the terms of an agreement with the University in relation to intellectual property, must ensure that all records and documents relevant to University owned intellectual property are provided to IP cell as soon as is practicable, and consistently with any direction from the Director, IP Cell.
- 12.4. Originators of University owned intellectual property must not:
 - a) use or disclose intellectual property owned by the University in any manner which would:
 - i) prejudice its protection, enforcement, commercialization or other development; or
 - ii) contravene any legislative requirement; or
 - b) apply for any form of protection for, commercialize or otherwise deal with the intellectual property in any manner inconsistent with the University's rights.

13. MORAL RIGHTS AND ACKNOWLEDGEMENT OF ORIGINATORS

- 13.1. Where the University owns intellectual property (other than copyright) it will take all reasonable steps to ensure that the originator/inventor is acknowledged in any relevant documentation.

- 13.2. In the case of copyright material owned by the University, the University will use its best endeavors to:
- a) ensure that the originator/creator is acknowledged;
 - b) consult with the originator/creator before modifying or adapting, or authorizing modification or adaptation, of the work;
 - c) consult with and obtain the agreement of the originator/creator and adaptor as to the attribution provided in any adaptation or modification;
 - d) after consultation with the originator/creator, ensure that acknowledgement of the author or performer is a term of any assignment or license of the material; and
 - e) ensure that any wish on the part of the originator/creator not to be acknowledged is respected.

14. TRADEMARKS AND BUSINESS NAMES

- 14.1. IP cell is responsible for administering all trademarks and business names relating to University activities. All such trade mark or business name applications must be made by IP Cell, in the University's name.
- 14.2. Any business unit or staff member who wishes to obtain a trade mark or business name for a University product or activity must submit a request in writing to the Director, IP Cell and provide the following details:
- a) a full description of the proposed mark or name, including an image where appropriate; and
 - b) a full description of the proposed use of the trade mark or business name.
- 14.3. The Director, IP cell will consult the Director, Marketing and Communications and any other relevant stakeholder before approving a request.

- 14.4. In addition, any use of the University's name, logo or coat of arms must be approved by the relevant delegate before any application is made.
- 14.5. If the Director, IP cell approves a request, IP cell will:
 - a) inform the requester of the approval;
 - b) prepare and lodge the application;
 - c) record the outcome of the application;
 - d) inform:
 - i) the requester;
 - ii) the University's Marketing and Communications unit; and
 - iii) the Chancellor
- 14.6. IP Cell will establish and maintain a register of University trademarks and business names.
- 14.7. The costs of obtaining a trade mark or business name obtained as part of the development of other intellectual property will be attributed to the development of that intellectual property.
- 14.8. The costs of obtaining any other trade mark or business name will be charged to the requester's faculty or business unit.

15. CONFIDENTIALITY OF IP

Every inventor/creator in the research group as well as everyone involved in the protection process will not disclose the details of research/IP to any person / organization without written permission of the University.

In case of thesis and other such written documents containing details of patentable matter, all measures to prevent the public disclosure of IP shall be taken.

16. INFRINGEMENTS, DAMAGES, LIABILITY AND INDEMNITY

- 16.1. As a matter of policy, University shall, in any contract between the licensee and university, shall seek indemnity from any legal proceedings including this, but not limited to manufacturing defects, production problems, design guarantee, up- gradation and debugging obligation.
- 16.2. University shall also ensure that staff have an indemnity clause built into the agreements with licensee(s) while transferring technology or copyrighted material to licensees.
- 16.3. The university shall retain the right to engage in or desist from or not in any litigation concerning patent and license infringements.

17. CONFLICT OF INTEREST

- 17.1. The inventor(s) are required to disclose any conflict of interest or potential conflict of interest.
- 17.2. If the inventor(s) and/or their immediate family have a stake in a licensee-company, then they are required to disclose the stake they and /or their immediate family have in the company, and license or an assignment of rights for a patent to the licensee - company in such circumstances, shall be subject to the approval of the IP cell.

18. DISPUTE RESOLUTION

In case of any disputes between the University and the Inventor(s) regarding the implementation of the IP policy, the inventor(s) may appeal to the IP Cell of the University. Efforts shall be made to address the concerns of the inventor(s) by developing and instituting an arbitration mechanism and arrangement.

18A. ARBITRATION

As a policy, all agreements shall be construed in accordance with and governed by the laws of India subject to the exclusive jurisdiction of the courts of Bangalore and shall be governed by appropriate laws in India. Any dispute arising out of implementation or interpretation of this agreement shall be settled by mutual discussions and amicable settlement failing which the dispute shall be settled through the process of Board of Appeal as stipulated in Article 19, or if the parties fail to agree on the constitution of Board of Appeal, the matter shall be settled by arbitration proceedings conducted in accordance with the Arbitration and Conciliation Act, 1996. The arbitration shall be conducted by a sole arbitrator appointed mutually by the parties and the venue of such arbitral proceeding shall be in Bangalore.

19. BOARD OF APPEAL

In cases where the dispute between the University and the inventor is not resolved through a mutually agreeable solution within a period of 90 days after the date of appeal to the IP Cell of the University, Inventor may request a Board of Appeal to be constituted by the University (as per the arbitration mechanism referred in Article 18) which is chaired by an eminent external expert mutually agreed, a representative officer nominated by the Vice Chancellor and a member nominated by the inventor. The decision of the Board will be final and binding on the both the parties. The expenses will be shared equally by both the parties.

20. DISCLAIMER

The IP policy is intended solely as a guide. The language used in the handbook shall not be construed as creating a contract of employment between institute and any of its employees, students or any external funding agency/ collaborator. Institute expressly retains the right to unilaterally modify or amend this code cum policy on the recommendation of the IP cell.



RESEARCH & DEVELOPMENT POLICY

INTRODUCTION

1.1. PREAMBLE

Research and Development (R&D) is an important and integral component of the mission of JAIN University and R&D Policy is therefore a vital instrument for creating ecosystem of research in the University as it works towards realising its mission. Aim of Jain University is to see India on the top of Global Innovation Index through research and Innovation. This document provides an overview of research related policies at the University. JAIN University (hereafter referred to as JU or ‘University’) provides the necessary research framework with a commitment to conform to the following tenets concerning R&D activities:

- JU encourages everyone to have independent points of view, inquiry, thought and expressions free of ideology or coercions of any type for the benefit of mankind.
- JU members engaged in R&D have the choice to select topics/ domains in their area of competence or in collaboration with other faculty members, seek financial assistance from genuine sources with the approval of the university (as specified hereunder) and be solely responsible for the outcomes and conclusions of the research.
- JU shall attempt to provide an environment conducive for undertaking R&D activities to all interested and motivated faculty members and students in general and as per eligibility conditions wherever applicable as outlined in regulations, guidelines and policies in place and amended from time to time.
- JU shall sensitize all concerned to ensure authorship rights & responsibilities of students, co-investigators and others associated with the research outcome. JU shall conduct regular surveys to verify on academic authorship of any publication with regard to the research outcomes.

- JU is committed to provide research opportunities to all concerned without any bias for gender, caste, creed, religion and race.
- JU advocates the philosophy of shared ownership of Intellectual Property Rights (IPR) with regard to all scholarly pursuits.
- JU through its IP policy aims to maximise the positive, desirable and beneficial impacts of research and development activities by encouraging, facilitating and ensuring acquisition of intellectual property and their commercialization/ applications to the benefit of society, the university and the personnel involved.
- JU shall endeavour to promote new research centres and any proposal in this regard shall be placed before the University Research Committee (URC) for due diligence and approval. Such approval will be communicated by the Competent Authority with the concurrence of the Chancellor or Vice Chancellor of the University. The composition and the terms of reference of the University Research Committee will be set forth and communicated by the university from time to time. Please refer Annexure-I.

1.2. SCOPE/APPLICABILITY

This policy shall apply to all stakeholders including Faculties (fulltime and part-time and visiting), Staff, research scholar and students involved in Research and Development and be applicable to all research initiatives being undertaken at JU. This policy on R&D is subject to review by the University Research Committee in its meetings. The University may also devise or update any guidelines and policies related to its implementation from time to time. Any change/ revision in the policy shall be communicated publicly through the University website and /or other suitable means.

1.3. RATIONALES

- Research Outcome – Research should always aim at outcomes that benefit society and at JU this is given priority by considering the outcomes in three ways, a quality publication, patent or a startup. It is known that research helps in converting data and information into knowledge. However, it is the innovations that convert knowledge into social benefits or monetary gains. If research is linked to innovation, it can lead to the good of the society and help the University realize its vision and mission more effectively. Many of the innovative ideas can lead to start-ups and create entrepreneurship ecosystem in the University and contribute to National Development. This will truly help University in taking “Education at the Intersection of Research and Practice”.
- JU faculty members & research scholars have the right to freedom of choices in pursuit of research in their areas of specialisation, competence and interest. The University also encourages students to undertake research wherever feasible.
- JU members can engage in Research and Development as long as the same is within the framework of being labelled ethical and it does not involve any unresolved conflict of interests.
- JU members can undertake funded projects, present findings of research outcomes, subject to compliance with requirements of the funding agency or the University for protection of IP, journal publications or presentation at conferences, seminars and workshops, publication of books and chapters, case studies, research report for industry, market surveys etc., guidance of projects under project centric learning and supervision of Ph.D Scholars and Post-Doctoral Fellows.
- It is important to emphasize that all research reports and publication arising out of research should/must carry the correct affiliation of university and department “JAIN (Deemed-to-be

University) & Department” in the credit/address and taglines in the published version as research paper, article, books, books chapter and on-line & offline reports.

- University Research Policy is not to allow use of a research or survey methodology or technique that is in violation of professional/social ethics pertaining to the health, safety, privacy, and other personal rights of human subjects or to the infliction of injury or pain on animals and living organisms.

1.4. RESEARCH OBJECTIVE

JU also inspires its faculty to direct their research goals through commitment to engage in teaching, research, industry connect, and other support activities that are consonant with the values of the University. In further research and collaboration, it is also expected and desirable for faculty members to participate in both government-funded and private-funded activities beyond this campus by engaging in academic and professional activities including public service and consulting that may ultimately benefit them and the university. JU faculties are expected to conduct research with their regular activities like teaching and administrative responsibilities. All research activities should be in compliance with the research policy of the university. JU research objective should be as follows: -

- Research is an integral part of strategic university governance. University is viewed as an institution for perfecting human’s intellectual capabilities and focusing on societal problems to be solved;
- Quality of research and the outcome of the research are of high importance;
- Maximize funding support for research from university, government, industry and other organization;
- Create transparent, effective and efficient systems for maximizing research outputs;

- Integrate research activities at all the levels of university across all programs in alignment with the national thrust areas; Create, maintain and enhance infrastructure to enable conduct of state-of-the-art research;
- Provide a framework for conduct of research in a transparent, socially responsible and ethical manner;
- Ensure a facilitating environment for conduct of high-quality original research by all individuals affiliated with the University and provide continued and effective support for pursuit of research activities;
- Translate new knowledge, innovations, technologies and tools emerging out of research conducted at Jain University into products and processes for commercialization or for societal benefit;
- Create a rational and efficient system for management of all research processes;
- Encourage and facilitate research collaborations within different Institutes of the University along with reputed Institutes, Universities and Research Organizations both in India and abroad;
- Enhance the research profile of the University by effective dissemination of research activities and achievements of the University at all levels to maximize the impact and recognition of research done at Jain University at national and international levels.

2. RESPONSIBILITIES OF STAKEHOLDER

2.1. PROJECT PROPOSAL CREATION, PROJECT MANAGEMENT AND SUPPORT

Faculty members as PI/Co-PI need to route the project proposal to the sponsoring or funding agency through the HOD and Director duly signed by

the Registrar with prior concurrence of the Chancellor or Vice Chancellor. A copy of the proposal is to be sent to the office of Registrar, Joint Registrar and Director-CRTA (Centre for Researcher Training and Administration). If the proposal requires online submission, prior approval for the contents submitted shall be obtained by PI/Co-PI from above authorities.

The Principal Investigator (PI) shall be responsible for the overall management of the project and recruitment of project staff as per procedure that may be prescribed by sponsoring agency/ University. PI is also responsible for certification of salary paid to project staff.

PI's are to encourage and support other faculty members of the University to engage in research leading to upgradation of their qualifications and selectively involve students wherever feasible.

2.2. FISCAL CONTROL

PI shall ensure that all requirements of sponsoring/ funding agency in respect of reports, financial statements and other deliverables are met in a timely manner. These include keeping separate stock registers for each project with a detailed account of expenditure incurred (equipment, consumables of all types, chemicals, glassware, fabrication items, COTS (Commercially available off-the-shelf), travel, contingency etc).

Copy of Utilization certificate, Statement of accounts along with annual progress report, closure report shall be sent to the Registrar's Office (URO) in addition to the respective funding agencies. As far as practicable, (that is for all direct expenses other than for overheads) separate account for each project will be maintained and operated. Guidelines on institutional overheads are given in Annexure-II.

Copy of Tax invoices and other expenses incurred with respect to the research activity (includes other projects & consultancy) shall be maintained and made available as required.

Financial misdemeanour by whosoever of any kind should be brought to the notice of Registrar of the University immediately and the University shall take appropriate steps to curb the same.

2.3. SAFETY

PI shall endeavour to ensure the safety of all their team members and safety of environment during the discharge of their duties when undertaking any activity pertaining to the R&D activity in the laboratories or in the field.

2.4. EQUIPMENT AND CONSUMABLE CONTROL

PI should obtain prior approval for the purchase of capital equipment through the purchase committee duly constituted by the Registrar/ Director of the School. PI's will also take necessary steps for procurement of consumables under the guidance of the Director of the respective School. Any requirements to be fulfilled as per funding and/ or sponsoring agencies related to the procedures to be followed, shall be ensured by the PI's.

PI's are responsible for tagging of all equipment and getting them entered in the inventory.

A separate register is to be maintained for issue of chemicals and other consumables to all members engaged in R&D.

A register is to be maintained to account for obsolete, unserviceable and non-repairable equipment. Disposal of such equipment is subject to the discretion of the University authorities (namely, the Vice Chancellor or authority designated by him/her), in accordance with required policy/ guidelines (e.g. e-waste)

2.5. DATA MANAGEMENT

PI must maintain appropriate records of all research work and data generated. Records will include lab diary and any other material in either soft or hard copy format in sufficient details (for recording purposes) that are essential

for the reconstruction and verification of any research outcome, as and when required. The same shall be maintained for adequate periods of time, generally at least for three years subsequent to publication and in the case of students at least for two years after award of degree, or as required under any law/ regulation/ guideline in place from time to time. If the research involves a survey, the accepted standard protocols of a survey needs to be adhered to. The norms related to the first rights to the use of data would need to be clearly defined as per the norms as defined in the contract by the funding/ sponsoring agency. The PI's would have the exclusive rights to the data for a period of one year after its collection, or until such time as the norms of the project and funding agencies prescribed.

The procedure for recording and protecting data should be well documented and communicated to all group members prior to initiation of any research activity. The data pertaining to any IPR protection should be maintained for the entire life period of IPR.

2.6. ETHICS AND PROTOCOLS

The research and Innovation set-up at JAIN University consists of University Research Committee (URC), University Ethics Committee (UEC), Research Centres, University IPR Cell and Institutional Animal Ethics Committee (IAEC), Departmental Research Committee (DRC) at the level of a Department and Research Advisory Committee (RAC) for a scholar. Any research output from Departments and Research Centres, after being vetted by the IPR Cell and/or IAEC (for this we may refer to the GOI document on IAEC. Please refer Annexure III to this policy and the website of Ministry of Environment and Forests, Govt. of India), should be finally cleared by the University Ethics Committee. The scope of responsibility of the UEC will be defined by the University Research Committee. After filing for patent, an idea may be discussed with Jain University Incubation Centre (JUIC) or Chenraj Roychand Centre for Entrepreneurship (CRCE) as required.

A PI or the Principal Author should ensure that Co-PIs and Co-Authors have access to the manuscript prior to being submitted for patenting or for publication and give their acceptance to be the co-authors. All research staff should mandatorily ensure that the necessary approvals and protocols are followed in the process of research, particularly those involving human and animal subjects.

2.7. PUBLICATIONS INCLUDING TECHNICAL REPORTS

Faculty member/s (including research scholars, post docs and others including students) wanting to undertake publication of their research work or outcomes must mandatorily get the publication/ report cleared by the IPR Cell of the University to check for patentable material and plagiarism (including self-plagiarism) and then by the University Ethics Committee.

Faculty members are strongly encouraged and advised to publish research findings in journals of repute, both National and International. It is desirable that these journals are indexed in major databases and have an impact factor. Authors of books, book chapters, monographs too are encouraged to publish through publishers of repute. Recommended Database and Publishing House details are provided in Annexure-IV.

As a guideline it is preferred that the sequence of authors in publications should generally be in approximate order of contribution made but the final judgement is left to the concerned PI.

2.8. DISCIPLINE

The faculty members shall not accept gifts/ grants from unknown sources or anonymous donors.

To reduce the viral growth of publications in journals that are not of repute, reporting on not so significant research findings and in the rush to produce extremely large number of publications in short spans of time, it is advised that the faculty members refrain from doing so and senior members are requested to counsel the junior/ young members and students on the ill

effects of the same and ensure that they exercise due restraint and discipline.

Members are required to immediately inform the Registrar of University in case of any of the following:

An impending health hazard, possibility that an act/incident is likely to be made public, indication of likely unethical activity, damaging the reputation of the University, misappropriation of funds or damage to equipment.

2.9. TERMINATION / RESIGNATION / SUPERANNUATION

Members on resigning / termination / superannuation may have the right to take copies of their research outcomes after getting approval from the Registrar with the concurrence of the Chancellor/ Vice Chancellor. The originals will be retained by the University.

If a PI resigns and leaves to join another institution, Co-PI will take over the project responsibilities with the approval of the Registrar. However, JAIN University reserves the right to copies of research data. Wherever, there is no Co-PI, the PI shall complete the project before leaving the University.

3. CONFIDENTIALITY AND SECRECY

PI or the project leader will ensure confidentiality of all research work being carried out including information made available by outside agencies and any third party necessary for completion of the research work/project, and compliance with requirements on confidentiality of the funding/ sponsoring agencies.

Rights of individual to privacy shall be the modicum on research involving human subjects living or otherwise.

A research topic for award of degree shall be considered as one requiring secrecy, if the funding agency confirms that the outcome is not freely publishable. In such cases the final decision with regard to any outcome shall rest with the University Research Committee and the concerned funding agency.

4. INTELLECTUAL PROPERTY RIGHTS (IPR)

All individuals engaged in R&D must sign the JU IP Policy at the time of joining the University. As per the IP Policy, the PI and all other contributors (as decided by PI) shall be the inventors with JU being the assignee. Any pecuniary gains arising from either royalty earned from TOT or commercialization of the IPR shall be shared between the inventors and assignee (JU) in the ratio of 50:50. This is applicable to IP generated based on funding supported entirely by the JAIN University.

IP based on funding from Governmental agencies shall be as per their regulations and any pecuniary gains resulting from TOT/commercialization shall be shared between the funding agency, inventors and JU in the ratio 25:50:25 each and as amended from time to time.

PI should review the IPR, authorship, acknowledgements, report generation with all members working under their direction (Co-PI, research scholars, students, RA, PDRA etc.) and give due credit to all concerned.

5. CONFLICT OF INTEREST

JU policy with regard to conflict of interest rests on the premise of “trust & faith” and integrity of respective members to disclose any information that could lead to conflict thereby ensuring that any conflict of interest could be resolved in appropriate manner befitting all concerned.

6. MISCONDUCT

No faculty member/ researcher shall indulge in fabrication/ falsification of data in either recording or reporting, resort to plagiarism knowingly or intentionally and all other such acts normally not conducive of being considered ethical.

Failure to supervise leading to the above shall also be construed as acts of misconduct.

Faculty member/s having no contribution to a research outcome but present findings of the outcome of others involved in the research shall also be considered as an act of plagiarism.

Irrational behaviour to produce large amounts of publications annually to maintain one's status as a productive faculty, claiming author credit where not due, marginalizing contributions of co-researchers, scholars, attempts to exclude others from authorship where due, claiming credit under JU through publication for work carried out elsewhere shall all be considered as acts of misconduct.

All individuals are advised to report of any research misconduct to the Dean (Research & Practice) with copies to the office of VC, Pro VC and Registrar.

7. GRIEVANCE

Any faculty member/ Research scholar/ Post-Doctoral Fellows or other researchers feeling aggrieved by either a decision or on violation of any rules & regulations as per the research policy of the University has the right to make a representation to the University Research Committee.

8. SOLACE

The University upon receipt of any allegation relating to any of the above shall constitute a committee duly appointed by the Vice Chancellor in consultation with the Chancellor to inquire into the same and present the findings to the University within 30 days for necessary action.

9. SEED FUNDING AND RESEARCH SCHOLARSHIPS

A limited amount of seed funding shall be made available initially to new and qualified faculty to initiate their research. The same shall be based on the proposal submitted to the departmental research committee for due consideration. The funding shall be limited to a maximum of Rs.5.00 lakhs per member and limited to five per Faculty. The maximum budget for the same shall be limited to less than Rs. 200.00 Lakhs per annum. In case of non-

availability of requisite and qualified faculty in a particular discipline the same may be transferred to other faculties if the situation so warrants.

A limited amount of scholarships or fellowships from Jain University shall also be made available to research scholars wanting to pursue high end research. The value of the scholarship shall be limited to a maximum of Rs.10,000 PM per scholar and five scholarships per Faculty. Total support per year shall not exceed Rs.30 lakhs. In case of non-availability of requisite and qualified scholars in a particular Faculty, the same may be transferred to other Faculties if the situation so warrants. The award of such scholarship shall be through a selection process based on interviews conducted by the departmental research committee subsequent to the scholars being selected for pursuing Ph.D through the regular examination process conducted by the University.

Research funding from governmental funding agencies to support JRF/SRF/RA/PDF are restricted to scholars as per eligibility conditions. The funding from any other national and international agencies to scholars of Indian and foreign origins will also be as per eligibility conditions prescribed by the law/regulation in place and as amended from time to time.

10. RESEARCH INCENTIVES

To promote and encourage high quality research, incentives in different modes may be proposed by the University annually. Research work/ outcome published in indexed journals of repute, those indexed in major databases (Scopus, Web Of Science, Pubmed, ABDC) with impact factor, book chapters, books, conferences and monographs from prominent publishing houses only shall be considered. Members eligible for the same shall be intimated by the University Research Committee. The incentive can also be in the form of cash/ credits towards meeting the annual performance targets. The Incentives will be based on quality of publication with high impact factor (consideration will be given to Q1, Q2 and SCIE/SCI publication). Remuneration will be totally based on the quality and decision of the Management and this is amended time to time.

10.1. RESEARCH PAPER PUBLICATIONS

- Each faculty is expected to publish at least 2 research paper in an academic year . Faculty members can consult as well as co-author research papers with other faculty members from university or outside from other Universities/Institutions to improve collaboration and lend credibility to research.
- If a research paper is published based on his/her work in hard copy or in electronic form in a reputed /refereed international journal as recommended by the Research
- Research publications of faculty will be considered only if they are indexed in Web of Science, UGC Care List, Scopus and in any other referred journals with high impact factor. If the paper is contributed by more than one author, the credit points and incentive will be shared equally by all the authors. If more than one author contributes the paper, the credit points will be shared by all the authors equally.
- Faculty members are encouraged to publish papers only in reputed journals and avoid publications in paid journals. Faculty members should also submit a “Self Declaration” stating that publication fee was not paid to the Journal.
- Best Research Award will be conducted faculty wise.

10.2. COLLABORATIVE RESEARCH PROJECT WITH FOREIGN UNIVERSITY/ AGENCY

Any Collaborative research project undertaken by the faculty with a foreign University with tangible outcome, will be eligible for incentive of 20% of the project grant. The tangible outcome shall be assessed by the Research Committee.

If the project involves more than one faculty from the University, then incentive (20%) will be shared among the participating faculty members. The incentive will be disbursed proportionately, only when project grant is released by concerned Agency. Any publication arising out of this collaborative research will also be eligible for incentives as per the norms of the publication.

10.3. GENERATION OF RESEARCH GRANTS

Faculty members are expected to submit proposals for research grants from funding agencies. It is quite likely, that these projects may involve modernization of laboratories, acquiring of equipment specific to the research study or conducting of surveys etc. The incentive will be linked to the total amount of research grant sanctioned by the sponsoring agency. The incentive will be 20% of the research grant received from the funding agency. Since the amount will be released in phases, the incentive(s) paid will be proportional to the amount received by the University.

10.4. INCENTIVE TO BE PAID TO THE FACULTY MEMBER AS INDICATED BELOW:

- Publications in Journals with Impact factor/SNIP < 1.00 - 0.50 credit
- Publications in Journals with Impact factor/SNIP > 1.00 < 2.00 - 0.75 credit
- Publications in Journals with Impact factor/SNIP above 2.00 - 1.00 credit

Policy on incentives in respect of the dedicated Research Centers are notified separately.

11. TRAVEL SUPPORT

To be eligible for travel support, Faculty must be full time employees of the University having completed the Probation period.

Faculty are strongly encouraged to apply to various funding agencies to enlist for travel and registration support to attend International conferences. They can use part of research grant for the same, if so specifically included in the proposal for grant and sanctioned by the funding agency.

The University shall provide limited support for travel to International conferences provided the faculty member is chairing, presenting a paper and the conference is of International repute. Members desirous of availing the same should make a representation to the University Research Committee 3 months in advance. Members are eligible to apply for the same once in every three years. The support per member shall not exceed Rs.1.20 lakh. A maximum of five such support will be made available annually faculty-wise. Total support per year shall not exceed Rs.30.0 lakhs. While disbursing these grants, efforts will be made that fair representation is given to different Faculties in the University. Any faculty member provided financial support for an international conference, would need to sign a bond that they will continue with the institution for at least two year subsequent to availing the benefit. In the event of their leaving the institution prior to the completion of the bond period, they will reimburse the financial support provided for attending the conference. Before a faculty is awarded such a grant the second time, he/she would provide visible proof of research output based on the first such grant received.

In respect of National conferences/seminars/workshops within the state local travel allowance and registration fee will be borne by the University. The same is available for presenting a paper at the conference. In special cases, it can be permitted for participation in a conference. A maximum support of Rs.10,000 per member will be made available. A maximum of 10 such support will be made available annually faculty-wise. Total support per year shall not exceed Rs.5.0 lakhs. A faculty member can avail of this support only once in a year. In a subsequent year if a faculty member applies for financial support, he/she should have published a paper in a reputed research journal since award of previous financial support. In normal circumstances, the support will be for I-Class train fare (as per travel policy of the Jain University).

In case of outstation events the same shall be made available only for members presenting papers with a maximum support of Rs.20,000 per member. A maximum of 10 such support will be made available annually Faculty-wise. Total support per year shall not exceed Rs.10.0 lakhs. Members desirous of availing the same should make a representation to the University Research Committee 2 months in advance. In a subsequent year if a faculty member

applies for financial support, he/she should have published a paper in a reputed research journal since award of previous financial support.

12. ORGANIZING CONFERENCES/ WORKSHOPS/ SEMINARS/ EXHIBITIONS

Schools and Centres are encouraged to obtain support from funding agencies to organize conferences/ seminars/ workshops etc. The University, depending on the activity shall provide limited support for organizing such activities and proposals for the same shall be routed through the Departmental Research Committee for the approval by the Vice Chancellor.

13. CONSULTANCY AND TRAINING

Please refer to “POLICY ON CONSULTANCY”

14. CONCLUSION

The policy outlines the basic principles and University’s commitment to creating a conducive research environment. However, the individual members are expected to be fair, responsible and accountable in pursuing various research activities. They should continuously explore various sources of funding/ support nationally and internationally for research endeavors. They are also expected to be keeping abreast of various policies of the central and state governments and national and international funding/ sponsoring agencies. The University also encourages its members to constantly scout for vital linkages/ alliances with research community worldwide to gather financial and intellectual support for quality research activities to be undertaken in JAIN University. Also, conscious efforts are required to integrate JU student in R&D activities. This should find reflection in the Programme Outcomes and Course Outcomes, teaching methodologies and evaluation in various departments and schools leading to increased research output for the University and quality of education imparted. It is also desirable that to make research more meaningful and relevant, it should be linked to innovations and entrepreneurship development making University realize its vision and mission.



ANNEXURES

Annexure-I

UNIVERSITY RESEARCH COMMITTEE

As envisaged in the Jain University policy on Research and Development, the University Research Committee (URC) is constituted. The composition of the committee is as follows:

1. Vice Chancellor (Chairman)
2. Pro Vice Chancellors
3. Dean of Faculties
4. Director - Centre for Researcher Training and Administration
5. Director – Academics and Planning
6. Deputy Directors
7. Registrar (Convener)
8. Center Heads
9. Heads of Research Centers
10. Internal & External Experts

The terms of reference of the University Research Committee are listed below:

1. To consider the viability of any proposal to establish a new Centre for Research.
2. To review all project proposals of faculty members before submission to the Funding Agencies.
3. To review periodically the progress of the Research projects of the Departments / Research Centres.
4. To ensure ethical standards in all the Research and Development activities of the University.

5. To take appropriate steps to resolve any conflict of interest related to Research and Development activity.
6. To oversee proper utilization of any financial support / infrastructure facility extended to the R & D activities by the University.
7. To address the grievances of any faculty member / Research Scholars / Post-Doctoral fellow involved in R & D activities.
8. To oversee all similar issues related to Consultancy Projects.
9. The Research Committee shall meet once in six months or as and when necessary to promote a vibrant research ecosystem in University and to enable achievement of the objectives of University's Policy on R & D.
10. Act as an Apex body to regulate research degree programmes in the University with the approval of the Academic Council.

(Based on the above mentioned composition a separate functional list has been prepared and meetings are conducted)

Annexure II**OVERHEADS**

The following document deals with the methodology of calculating the overheads with respect to projects, consultancy and courses.

Part A: Methodology for calculation and deduction of overheads from sponsored projects, consultancy projects, and conferences / workshops / symposia.

I. Background:

- i) Project cost refers to the expense incurred by the PI for the duration of the project. It includes equipment, salaries, travel, consumables, and contingency.
- ii) Overheads refer to the payment due to the Institute from the grant approved by the funding agency-organization-industry
- iii) Sponsored project refers to one in which there is only R&D effort. Such projects, generally, do not have a provision for payment of honoraria to the PI or any other investigator.
- iv) Consultancy projects utilize prior skill and competence of the PI. They allow the PI to charge honoraria (including payments to employees of the University).
- v) Service tax is required to be paid for all consultancy and testing projects.

II. Calculation of overheads:

- i) **SPONSORED RESEARCH:** Proposals submitted for sponsored research must show overheads of 15% on the project cost. [Example: If the project requirement is X units, overheads would be 0.15X units and the total budget would be for 1.15X units]. When money is received from the funding agency, overheads as approved would be deducted. For funds received from private organizations the overheads can be negotiated.

- ii) **CONSULTANCY:** The overhead amount for consultancy and training is equal to 35% of the surplus after meeting all the expenses.
- iii) **COURSES:** For short-term courses, conferences, workshops, and symposia, 15% of the total receipts (registration as well as grants) will be transferred to the CRDP account of the University.
- a. For QIP, ISTE, and DST-type courses, prescribed norms would apply.
 - b. 15% overheads will be charged for courses conducted by the University.

Sl. No.	Nature of the Project	Overheads %
1	Sponsored	15%
2	Courses (within Jain University)	15%
3	Conferences/ workshops/ symposia	15%
4	Courses (outside Jain University)	15%
5	Testing Fee	25%

Annexure- III

UNIVERSITY ETHICS COMMITTEE (UEC)

The University will constitute an Ethics Committee which will screen all the research output of the University and ensure that it doesn't not involve any unfair and unethical practices. Its constitution will be as follows:

1. Director - Centre for Researcher Training and Administration (CRTA), Chairman
2. Director - Academics & Planning
3. Joint Registrar
4. Deputy Director, CRTA
5. Director, School of Sciences
6. Departmental Research Coordinators
7. Head of the Departments
8. External Members
9. Representation from Community
10. Research Scholars
11. Guides

For experiments involving animals, formation of an Institutional Animal Ethics Committee (IAEC) is a mandatory requirement under the Prevention of Cruelty to Animals (PCA) Act, 1960 of the Govt. of India. The Central Govt. has constituted a Committee for the Purpose of Control and Supervision of Experiments on Animals (CPCSEA) which is the main regulating body for monitoring experiments involving animals. The institutes interested in research involving the use of experimental animals or creation of an animal house facility have to strictly follow the guidelines given by CPCSEA, which is empowered to constitute a subcommittee IAEC, on the institution's request, having the following composition:

1. A biological scientist
2. Two scientists from different biological disciplines
3. A veterinarian involved in the care of the animals
4. Scientist-in-charge of the animal house facility of the concerned institute
5. A scientist from outside the institute
6. A non-scientific socially aware member
7. A nominee of CPCSEA

(Among the above categories, expert members will be invited as and when the research proposal demands)

The primary duty of UEC is to review and approve research proposals involving small experimental human beings or animals and monitor the research for compliance with all regulatory requirements

- Projects involving large animals have to be referred to CPCSEA for approval.
- Appointment of UEC members is for a period of 3 years only. New committee has to be formed after the expiry of the term of the members.
- The guidelines for formation and functioning of IAEC are available on the website of Ministry of Environment and Forests, Govt. of India.

LIST OF DATABASES

Option A

Science Direct, Scopus, Scirus, Thomson Reuters, Ebsco, IEEE, IET, Google Scholar, Reed Elsevier (Law), Royal Society of Chemistry, Index Copernicus, Wiley Interscience, Emerald, Sage, Mathscinet.

Option B

SCI, ProQuest, PubMed, PubChem, Science Accelerator, Journal Seek, Index Copernicus, Econlit (Economics), Eric (Education), Phil Papers, Indian Citation Index (ICI), World Wide Science, Compendex, Merck Index, International Directory of Philosophy.

List of Publishing Houses

Wiley, Macmillan, Oxford, Prentice Hall, Cambridge, Harvard, Elsevier, Penguin, Pearson, Academic, Kluwer, Sage, Routledge, McMillan, Orient Longmans, Blackwell Swan.



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