

**IIMT**  
**UNIVERSITY**  
**MEERUT**

Transforming Education System, Transforming Lives



**UGC Approved**

**Section 2(f) & 12B**

**RESEARCH  
PROMOTIONAL  
POLICY  
(REVISED)**

**Policy No.:- IIMTU/RO/IQAC/2023/32 (Revised)**

# Research Promotional Policy

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The following research policy of the university is issued to be in effect until further orders in accordance with its approval by the competent authority and in replacement of the earlier in force research policy of the university.

## Chapter 1 University Research and Development Initiatives

### 1.1. Introduction

IIMTU has launched a number of initiatives to support academic and research endeavors. This effort seeks to deliver advantages that are predictable and based on measured, quality-based results. The details are as follows:

1. Research Recognition Prizes
2. Awards include membership fees, matching funds, University multidisciplinary research project grants, conference grants, and seed grants.
3. Cash incentives, leave benefits, and research facilitation for university staff and faculty members registered for PhDs are among the incentives and benefits offered.

### 1.2. Research Awards

Research awards shall be presented to the achievers every year. The awards shall be based on the bonus points earned by the faculty/staff member through various activities mentioned in Annexure 1.1, subject to all terms and conditions mentioned in this policy. The awards are categorized as Research Excellence (A++), Research Appreciation Award (A+, A, B++ and B+) and Research Impact Award (Citations).

Faculty Category	Award Category	Other condition	Award
Research Intensive Faculty and Advanced Research Group members	A++	i) Revenue Generation of Rs. 20 lakhs ii) atleast 3 papers indexed in both Scopus and WoS (Excluding ESCI)	Research sponsorship worth Rs. 1 Lakh cash award
	A+	1. Revenue generation of Rs. Upto 5 lacs 2. Atleast 2 papers indexed in SCOPUS.	Cash Award of Rs 25,000
	A		Cash Award of Rs 20,000
	B++		Cash Award of Rs 15,000
Research Faculty	A++	i. Revenue Generation of Rs.5 lakhs ii. At least 3 papers indexed in both Scopus and WoS (Excluding ESCI)	Research sponsorship worth Rs. 25,000/- and Cash Award Rs. 25,000/- Cash award of Rs. 20,000/-
	A+	i. Revenue Generation of Rs.2 lakhs ii. At least 2 papers	Cash Award of Rs. 20,000/-
	A	i. Revenue Generation of Rs.2 lakhs	Cash Award of Rs. 15,000/-

		ii. At least 2 papers	
B++		i. Revenue Generation of Rs.2 lakhs ii. At least 1 paper	Cash Award of Rs. 10,000

Teaching Faculty	i) Revenue Generation of Rs. 2 lakhs	Maximum budget of 1 lakh and cash award of Rs. 20000 + Research sponsorship of Rs. 10,000
	i) Revenue Generation of Rs. 2 lakhs	

Note:

1. In case, if the award ceremony has to be preponed before the academic year, the cut off bonus points in each category of awards would be prorated based on the number of days.
2. Revenue generation can be done through consultancy, external funded project from govt. or non govt. sources, training and certification, IPR commercialization.
3. For project funding, if the project is sanctioned and funds are received in multiple years, faculty member will be given option for claiming the whole amount once at the time of Sanctioning or installment amount for each year.
4. Preference will be given to the faculty member having more publication points.
5. Surplus amount received by university shall only be considered for revenue generated from consultancy, training and certification and IPR commercialization.
6. Faculty members who qualify for any of the category but do not come under defined number of awards may be considered for consolation award of Rs. 10000 for maximum 30 top entries.

**Process:**

- Faculty members should submit their achievements to the University. It will be duly verified by RAC. Bonus points and benefits earned as per annexure 1.1
- The compiled list of faculty members eligible to receive the awards may be submitted through HoD, Department of Research facilitation to HR for remarks of any in disciplinary cases.
- The committee constituted by Competent Authority in consultation with Dean, Research shall approve the final list of awardees.

**1.3 Career Enhancement Leaves/Duty Leaves/Study Leaves for Faculty & Administrative Staff:**

In order to encourage teaching & administrative staff in research and academic activities, as a goodwill gesture University provides Career Enhancement Leaves as per Annexure 1.3.

## Terms and Conditions:

The leaves can be granted for

1. Examination, wherein the staff member pursuing
  - (a) Higher studies in recognized university
  - (b) Recognized degree programme (not diploma programs) as per approval.
  - (c) Provided obtained NOC from IIMTU prior to joining the programme. (NOC and date sheet should be uploaded as proofs while applying)
2. To attend training programmes as per approval of IIMTU.
3. Acting as Resource Person / subject expert for development of educational e-learning delivery process/material e.g audio-video lectures for institutions recognized by UGC / equivalent regulatory body. (Relevant document from hosting institution, speCIF/CILying visit schedule should be enclosed)
4. Cultural: Cultural events (National / International level) recognized by the concerned authority of India and as per approved list of IIMTU in the category of Music, dance, Theater, Fine Arts, Literary etc.  
To act as a Judge, Chief Guest, or Observer
5. Sports: Sports events (District, State, National, senior national, International level sports) recognized by concerned sports federation and as per approved list of IIMTU.  
To act as a Coach, or Manager
6. Research work in relation to attend conference, seminar, symposia and of similar nature, data collection, laboratory experiments, field survey, library study. Conduct of PhD viva voce examination. (Relevant document from hosting institution, speCIF/CILying visit schedule be required).
7. Practical examination conduction
8. To attend conference, workshops, seminar, symposium etc.

Leave should be applied at least one week in advance and to be availed after approve prior sanction.

## 1.4 Financial Support

### 1.4.1 Conference/Seminars/Workshops Grant

IIMT University (IIMTU) is committed to increase the exposure of its teacher, student and staff by encouraging them to attend & present papers in national and international conferences and to attend seminars/workshops for their professional growth, academic interaction and excellence in research. Financial support includes registration fees and travel grant for attending conferences, workshops and seminars as per Annexure 1.1. Dean/Head may also nominate teachers for conferences/ seminars/workshops for financial support to teachers.

### 1.4.2 Membership of Professional Bodies

Faculty members are encouraged to be a part of recognized professional bodies and academic societies under University/Institute Local Chapter. University provides a financial support for their membership fees.

## 1.5 Earned Monetary Benefits

Earned monetary benefits against research achievements can also be used to attend and present paper in national and international conferences, for carrying out collaborative research work, visiting laboratories, for visiting scientist in funding agencies, workshops, seminars, faculty development programmes, membership to professional bodies, purchase of consumables, purchasing software, books etc, paying fees for open access journals, MOOCscertification fees, career advancement.

## 1.6 Funding from External Sources for Travel Grant

Faculty members are encouraged to apply to funding agencies for travel grant. Suggested list of funding agencies is available in Annexure 1.4

## 1.7 Cash Incentives

Cash incentives would be awarded for various activities as shown in **Annexure 1.1**. All Cash incentives would be awarded at the end of Academic Year.

## 1.8 Research Facilitation to Staff / Faculty Members of the University Registered for PhD

University facilitates and encourages staff / faculty members to pursue for higher studies i.e. PhD degree. Two option are available to faculty member to opt any one of them.

### Objectives:

- To motivate faculty and staff to pursue Doctoral degree
- To create a research environment

Eligibility: All employees of the University who have registered for PhD degree are eligible for the benefit.

### Facilitation:

**Option A:** As a goodwill gesture of the University, staff members registered for PhD in IIMTU can meet their supervisors (staff of IIMTU) during official hours up to an extent of 2 hours per week. The time slot for the meeting will be clearly mentioned in his/her time table. However, it cannot be claimed as load relaxation or responsibility reduction along with relaxation in Fee.

**Option B:** Pay Proportionate Work (PPW) – as a phase-in to research initiation. The intent of this policy is to allow staff / faculty members to work at reduced pay in proportion to work reduction. The reduction in workload shall be up to 50% e.g. if a faculty member opts for 50% workload reduction, he can opt for either of the two options, subject to conditions.

a. Half day daily

b. Three days a week, along with fee rebate upto 50%.

For faculty members holding administrative responsibilities as head, the university may ask them to discontinue their headship for the duration of PPW. The monthly salary of the member on a reduced workload will be adjusted proportionally from the full-time base salary. Such staff

/ Faculty members are also eligible for annual increments based on points obtained by them in



the appraisal forms. PPW applies to proportionate reduction in teaching, research (scholarly activity), and administrative services, as defined for the individual staff / faculty member. PPW normally will be instituted at the staff / faculty member's request, and the staff / faculty member intending to exercise this option normally should request in writing give at least two months' in advance before the start of the semester to HR through HoD / Deans.

### Terms and Conditions for PPW:

- 1.8.1** It is advised that it is in the interest of the staff / faculty members to plan and apply for PPW well in advance as shown annexure 1.5 (At least two months before the start of the semester).
- 1.8.2** It cannot be less than one semester (i.e. 6 months) at one point of time and not more than one year and quarter as per academic session.
- 1.8.3** PPW cannot be claimed as a right. Acceptance or rejection of any PPW application shall be solely at the discretion of the University. Depending upon the exigencies of the University work, PPW may be refused or revoked by the authorities competent to sanction it. Under such a situation the faculty/staff member may be called back to join the duty immediately or otherwise as deemed appropriate.
- 1.8.4** A staff / faculty member on PPW is strictly prohibited to directly or indirectly engage either honorary or on remuneration in any other service or in any trade, business, consultation, vocation or occupation. Violation of the same shall be liable to disciplinary action.
- 1.8.5** A staff / faculty member shall be entitled to the CL/SL proportionately.
- 1.8.6** University holds the right to accept or reject the PPW application.

### 1.9 Seed Grant and Matching Funds

#### A. Seed Money for University Sponsored Projects/IP/Publication/FDP/STP/WS

The Seed money is provided to teachers for carrying out their preliminary research work or to establish a research facility. The proposal for seed money can be submitted by an individual faculty or a group of faculty members based on the research areas. To review and approve the proposals, a committee consisting of the (i) Dean Research (ii) Research area expert and (iii) Concerned Dean/Head will look into. The faculty member/group can utilize the seed money for the purposes of equipment, consumables, travel expenses (related to surveys), capacity building, software, research mentorship, databases, stationary and testing & analysis etc. The seed money cannot be utilized for manpower. The application format for seed money is given in Annexure 1.2.

IIMTU also encourage the faculty members/staff members for research activities, innovation ecosystem creation & strengthening, to protect and enhance the IP wealth of the University. The seed grant scheme & financial assistance for the promotion of;

1. Technology allowance to buy a portable technology device, which and aid in mobility and increase the research output.
2. To develop proof of concept or prototype for a novel research idea.
3. For capacity building (organizing training programs for research scholars, inviting prominent researchers to interact with the group etc.)
4. For pursuing Ph.D. from the home institution in the form of discount in the Ph.D. fee.
5. For filing patents
6. For publishing and getting rewarded in quality journals and conferences
7. For travel to disseminate research findings to the society.

8. For applying for paid certification programs.
9. For attending FDPs, training programs, refresher courses.
10. For publication processing fee (Book ISBN; journal ISSN).

#### **B. University Fund Matching Grant for Externally Funded Projects by GO/NGO**

In order to support the faculty members having externally funded projects, University provides matching funds to strengthen the research infrastructure and ensure successful completion of the funded projects. The matching grant can be up to an extent of 50% of the project amount received from the external funding agency for the purpose of equipment, manpower and overhead. The faculty member can apply for matching grant in the form of an application submitted to duly constituted research committee with recommendations of the HoD and Dean of respective school. The application should clearly justify the need for the matching grant along with the quantifiable output and details of the facility to be created. The committee will review final decision.

#### **1.10 University Interdisciplinary Research Project Grant:**

The policy for interdisciplinary project is prepared with the objective to extend the benefit of serendipity to more number of people keeping the focus of “MULTIDISCIPLINARY” intact and remembering the fact that one size does not fit all.

Scope: The scope of funding and benefits are limited to projects that are interdisciplinary in nature having potential of IPR or technology transfer or start-up or external grant.

#### **Eligibility:**

Category 1: Group of faculty members from different disciplines

Category 2: Group of faculty members from different disciplines along with other research institutes/labs

Category 3: Group of faculty members from different disciplines along with industry collaboration

(Note: Only regular faculty members are eligible)

Application: The application format as shown in Annexure 1.6 duly filled in and signed shall be submitted to Dean Research.

For Category 2 and 3 above, an MOU should also be signed with the collaborating organization clearly specifying the following;

- Sponsorship details
- Support mechanism
- Duration
- Expectation
- IPR generation and sharing
- Revenue sharing
- Conflict resolution
- Termination

It is mandatory that the MOU be vetted by Legal Cell of IIMTU.

Evaluation:

A panel consisting of

- Dean Research
- Dean/HoD concerned School
- Subject expert (01/02)
- Senior Faculty member (01- Professor/Associate Professor)

\*Subject Expert selection will be based on the following parameters.

1. Qualification (Preferable PhD)
2. Experience
3. Their Research work evidence through proof of publications, grant proposal submission/ Research Profile
4. Previous review reports shall also be considered.

Shall evaluate the proposal for necessary recommendation (Annexure 1.7) on the followings:

- Feasibility of the project
- Impact of the project on society
- Scope for IPR/startup/external funding
- Load relaxation to faculty members
- Funding required itemwise (OPAX & CAPAX).
- Space requirement
- Duty leave to students, if applicable
- Attendance benefit to students, if applicable
- Number of course credits to students, if applicable
- Stipend to student if applicable
- Duty leave to faculty member
- Duration of the project
- Working in labs after official hours and also to use sophisticated instruments.  
Refer annexure 1.7
- Following relaxations are applicable for interdisciplinary projects
  - Upto 30% of the project amount can be used for spot purchase.
  - 100% IPR filing expenses will be borne by the University.
  - Relaxation from invigilation duties to all faculty members involved in the project

### Project Monitoring:

Projects will be evaluated by a panel on half-yearly basis. Progress report (format in annexure 1.9) followed by presentation have to be made. Project evaluation Proforma is provided in annexure 1.8

### Outcome:

- IPR
- Publications in WoS/Scopus indexed Science journals
  - Technology transfer
  - Revenue generation / grants
  - Startup Ideas

### 1.11 Terms and Conditions

- Any grant/incentive/award/leaves cannot be claimed as a right and acceptance or rejection of any such request shall be solely at the discretion of the University.
- All the achievements claimed for awards/bonus points/leave points/Conference grant or any other benefit mentioned in this document, **should have affiliation of “IIMT University”**. The present address in the manuscript shall not be considered for claiming any benefits.
- University reserves the right to exclude any journal indexed in WoS or Scopus for Benefits/grants/awards
- University reserves the right to exclude any publisher for publication of Books/Book Chapters for Benefits/grants/awards
- University reserves the right to modify or amend this Policy in whole or in part, at any time, and with or without any notice.
- Where any doubt arises as to the interpretation of this policy, it shall be referred by the Division of Research and Development to higher authorities for a final decision.
- All benefits will lapse if the faculty/staff leave the organization.
- For all the achievements whose benefit and incentives are calculated on the basis of SJR or Impact Factor (IF), the SJR of the journal available at the time of paper acceptance shall be considered.
- All the benefits cannot be encashed.
- This policy supersedes all existing research awards, facilitation, incentives and all such research promotion policies.
- For papers being published through conferences in scopus/wos indexed journal, conference grant can be applied.
- For consideration under awards category, no major or serious disciplinary case executed against faculty/staff in the academic year.
- Wherever students are involved in the research work, authorship shall be given to the students also.
- In case any candidate is found guilty at any stage of any Malpractice or academic dishonesty or misconduct or plagiarism including self-plagiarism, copyright infringement also including but not limited to misuse of his / her authority or position, misrepresentation, suppression of facts etc. or contravention of the university policy, then any or all of the awards, benefits, entitlements etc. already awarded to such candidate may be withdrawn.

Research papers, Books/Book Chapters that are submitted to publication control room and Patents that are filled without following the proper procedure shall not fall under the purview of this policy.

## Annexure 1.1 Benefits & Bonus Points and Leave points Publications in Journals

Achievement and Activity	Journal type	Author Type	Benefits	Bonus Points					
				(points for each)					
				Sciences	Management				
Paper in Scopus indexed refereed journal without SJR (Also Hindi, any regional language journal listed in UGC List-2)	Free	Single Author		Earned Monetary benefits / Incentive Rs. 4,000	13	15			
		Two Authors			9.1	10.5			
		More than two Authors	First / Corresponding Author		9.1	10.5			
			Co- Authors		3.9	4.5			
	Paid	Single Author			6.5	7.5			
		Two Authors			4.55	5.25			
		More than two Authors	First / Corresponding Author		4.55	5.25			
			Co- Authors		1.95	2.25			
		Paper in refereed journal indexed in Scopus or WoS with Impact factor (IF) $\leq 1$ or $SJR \leq 0.13$	Free		Single Author		Earned Monetary benefits / Incentive Rs.5,000	18	20
					Two Authors			12.6	14
More than two Authors	First / Corresponding Author			12.6	14				
	Co- Authors			5.4	6				
Paid	Single Author			9	10				
	Two Authors			6.3	7				
	More than two Authors			First / Corresponding Author	6.3	7			
				Co-Authors	2.7	3			
	Paper in refereed journal indexed in Scopus or WoS with Impact factor $1 < IF \leq 2$ or $0.13 < SJR \leq 0.3$			Free	Single Author		Earned Monetary benefits / Incentive Rs. 6,000	23	25
					Two Authors			16.1	17.5
More than two Authors		First / Corresponding Author	16.1		17.5				
		Co- Authors	6.9		7.5				
Paid		Single Author			11.5	12.5			
		Two Authors			8.05	8.75			
		More than two Authors	First / Corresponding Author		8.05	8.75			
			Co-Authors		3.45	3.75			
		Paper in refereed journal indexed in	Free/Paid		Single Author	Earned	28	30	

Scopus or WoS with Impact factor $2 < IF \leq 5$ or $0.3 < SJR \leq 1.0$					
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		Two Authors		Monetary benefits / Incentive Rs. 8,000	19.6	21
		More than two Authors	First / Corresponding Author		19.6	21
			Co- Authors		8.4	9
Paper in refereed journal indexed in Scopus or WoS with Impact factor $5 < IF \leq 10$ or $1 < SJR \leq 2$	Free/Paid	Single Author		Earned Monetary benefits / Incentive Rs. 10,000	33	35
		Two Authors			23.1	24.5
		More than two Authors	First / Corresponding Author		23.1	24.5
			Co- Authors		9.9	10.5

Paper in refereed journal indexed in Scopus or WoS with Impact factor $10 < IF \leq 20$ or $2 < SJR \leq 4$ or Australian Business Deans Council (ABDC) (A rated) indexed in Scopus/WoS	Free/Paid	Single Author		Earned Monetary benefits / Incentive Rs. 12,000	38	40
		Two Authors			26.6	28
		More than two Authors	First / Corresponding Author		26.6	28
			Co- Authors		11.4	12
Paper in refereed journal indexed in Scopus or WoS with Impact factor $20 < IF \leq 40$ or $4 < SJR \leq 8$	Free/Paid	Single Author		Earned Monetary benefits / Incentive Rs. 15,000	43	45
		Two Authors			30.1	31.5
		More than two Authors	First / Corresponding Author		30.1	31.5
			Co- Authors		12.9	13.5
Paper in Financial Times (FT – 50), Australian Business Deans Council (ABDC) (A*)		Single Author			43	45
		Two Authors			30.1	31.5
			First / Corresponding Author		30.1	31.5

rated), Association of Business School (ABS)(4* and 4 rated), American Mathematical Society (AMS)(A* rated) listed journals indexed in Scopus/WoS,  IF > 40 or SJR >8	Free/Paid	More than two Authors	Co- Authors	Earned Monetary benefits / Incentive Rs. 20,000	12.9	13.5
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**Note: The Bonus points will contributed towards APIs for promoted/ appraisals.**

**Earned Monetary Benefits will be divided as Follows:**

Number of authors	Role	Incentive share
Single Author Publication (IIMTU affiliation only)	Overall	100%
Two Authors Publication (IIMTU affiliation only)	First Author/Corresponding author	50% each
	First and Corresponding Author	70%
	Co-Author	30%
More than Two Authors (IIMTU affiliation only)	First Author/Corresponding author	35% each
	First and Corresponding Author	70%
	Co-Author	30% divided by the internal co-authors
<b>Note:</b>		
1. If more than one first or corresponding author (internal) are there in a publication, the bonus points and incentives amount will be divided for the defined category.		
2. All that share belongs to external authors will considered lapse.		

Note:

- (i) If more than one first or corresponding authors (internal) are there in a publication, the bonus points, leave points and incentives amount will be divided defined for that category.
- (ii) ESCI publication will be given 5 bonus points for single author, 3.5 bonus points for two authors each and for more than two authors first and corresponding will get 3.5 each and rest 1.5 bonus point will be divided among all co-authors.
- (iii) This will not be counted towards target and this score will not be included in publication score with maximum 3 publications while calculating the award points.

## Citations

Achievement/Activity	Benefit	Bonus points	Remarks
Citation for papers published with IIMTU affiliation and cited in last 2 years will be considered.	NA	1	Scopus database citations only, Self-citations will not be considered.
For all citations of IIMTU affiliated papers received in year by the faculty members. Incentives will be given in next subsequent year as per budget	Cash incentive per paper as per budget approved	NA	Citation from Scopus database, IIMTU affiliated publications will only be considered excluding self-citations, If one citation is received in one paper, then the cash incentive will be shared among all internal authors of the same paper, I.e 1 Citation divided by number of internal authors.

## Intellectual Property Rights

Achievement/Activity	Benefit	Applicability for cash incentives	Bonus points	Remarks
Provisional patent filing	All cost will be borne by the University.	NA	10	Cash incentives, bonus points and leave points to be shared equally among Inventors.
Patent filing (with full specification)	All cost will be borne by the University.	NO	20	
Direct complete filing	All cost will be borne by the University.	NO	30	
Data compilation and reply submission for FER (National)	All cost will be borne by the University.	NO	10	
Patent granted (National)	Cash incentive of Rs. 20,000	Yes	40	
International patent filing (National phase entry) After filing in India	All cost will be borne by the University.	NO	40	
International patent filing (National phase entry)	All cost will be borne by the	NO	40	



goes directly filling	University.		
Data compilation and reply submission for FER (International)	All cost will be borne by the University.	NO	15
International patent granted	Cash incentive of Rs. 25,000/-	Yes	60

Commercialization of any IPR by faculty or staff members	20% of the licensing value	-	NIL	
Copyright filing	Copyright filing expenses will be borne by the University	-	-	
Copyright granted	Nil	-	5	
Design Registration filed	90% of the filing expenses shall be covered by the University	-	-	
Design Registration granted	NIL	-	6	
Income from IPR: - Upto 10 lakhs (Category A)	75% of income to Inventors	-	NIL	The share of inventor for upper category will take the base of maximum value for previous lower category.
Income from IPR: - 10 to 50 lakhs (Category B)	50% of income to Inventors	-	NIL	
Income from IPR: - 50 lakhs to 1 crore (Category C)	25% of income to Inventors	-	NIL	
Income from IPR: - Above 1 crore (Category D)	10% of income	-	NIL	

\* Expenditure will be borne by the University

\*\* In case of Patent granted (National), a cash incentive of Rs. 20,000/-

\*\*\* In case of International Patent granted, a cash award of Rs. 25,000/-

### Conferences/Seminars/Symposia/Workshop

Achievement/Activity	Level	Benefit	Remarks
Full paper in National Conference indexed in Scopus / WoS	National	Duty Leave and Registration Fee	Only the author who is presenting will be eligible for leave points. All the authors will get full bonus points. 0.5 leave points for Scopus-indexed conference in IIMTU.
Full International		IIMTU Conference	Faculty should apply for half day leave during their presentation. Faculty shall claim the earned

Conference paper indexed in Scopus/WoS (Subject to Publication)	National	Registration Fee (50%-100%) depends upon tenure of services	leaves after presenting paper in the conference. Duty leave shall be given for attending be given.  For students – duty leave for the conference dates and registration fee will be provided with a maximum cap of Rs. 10000/-. Asia 50,000/-, Africa: 60,000/-, Europe: 80,000/-, North America, South America and Australia: 1 Lakhs
	International	50% of registration fee.	

Conference best paper award (indexed in scopus)	NIL	NIL	Appreciation Award
Committee member/Expert/Reviewer for conferences	International	NIL	Appreciation Award
	National	NIL	Appreciation Award
Keynote speaker in conferences indexed in Scopus or WoS	International	DL+TA upto 50%	For top 500 ranked Universities as per THE and QS (world ranking) conference grant to the extent of Rs.60000 will be provided. For all other Universities, earned monetary
	National	DL+TA upto 50%	For top 500 ranked Universities as per THE and QS (world ranking) conference grant to the extent of Rs.20000 will be provided. For all other Universities, earned monetary.
Keynote speaker in Non-indexed International Conferences	International	NIL	For top 100 ranked Universities as per THE and QS (world ranking) conference grant to the extent of Rs.60000 will be provided. For all other Universities, earned monetary.
Session Chair in conferences indexed in Scopus or WoS	International	DL+TA upto 50%	Earned monetary benefits can be used
	National	DL+TA upto 50%	Earned monetary benefits can be used
Invited speaker /invited panel member in conferences	International	DL+TA upto 50%	Earned monetary benefits can be used
	National	NIL	Earned monetary benefits can be used
Invited speaker/ invited panel member in non- indexed International conferences	International	DL+TA upto 50%	Earned monetary benefits can be used
Chairman/ Chairperson/ Convenor/ Organizing secretary of a conference at IIMTU	National	DL+TA upto 50%	If more than one Chairman/ Chairperson/ Convenor Organising/Joint Organising secretary in the conference, then points will be divided equally
	International	NIL	
Joint Organizing secretary of a	National	NIL	
	International		

conference at IIMTU	International	NIL	
Committee coordinators of conferences held at IIMTU		NIL	If the organizing secretary or joint organizing secretary is committee coordinator, then benefits can be claimed only as Organizing/Joint organizing secretary.
Organizing Secretary for Seminar/Symposia in IIMTU		NIL	If more than one Organizing secretary in the conference, then points will be divided equally
Joint Organizing Secretary for Seminar/Symposia in IIMTU		NIL	If more than one Joint Organizing secretary in the conference, then points will be divided equally

## Books and Book Chapters

Achievement/ Activity	Level of Publisher	Benefit	Remarks
Book indexed in Scopus/ WoS	International	Added to API	List of publishers considered is mentioned in Annexure 1.10 and list will be updated time to time for including new publishers as updated by Scopus. For multiple authors in a book, the benefit, bonus points and leave points
	National	Added to API	
Book chapter indexed in scopus/wos	International	Added to API	Benefit, Bonus point and leave points can be claimed only once irrespective of the number of chapters contributed in a book. In case of multiple authors in a chapter, the benefit amount, bonus points and leave points will be divided among all internal authors.  Book chapters published through conferences will not be considered for benefits.
	National	Added to API	
Edited book in Scopus/wos	International/ National	Added to API	List of publishers considered is mentioned in Annexure 1.10
Edited book not indexed but has ISBN	International/ National	Added to API	NIL
Book review for books indexed in Scopus/WoS	International/ National	NIL	List of publishers considered is mentioned in Annexure 1.10
Books not indexed	International/ National	NIL	NIL
Book chapters not indexed	International/ National	NIL	NIL
Book chapter review	Indexed in Scopus/WoS	NIL	List of publishers considered is mentioned in Annexure 1.10 and list will updated time to time for including new publishers as updated by Scopus.
	Non-indexed		
Chapter		NIL	Per Chapter and maximum of 6 points will be given in one book

Note: Points shall be redeemed in the appraisal and in the calculation of API

## Editorial Work

Achievement/Activity	Benefit	Remarks
Chief Editor in Scopus/WoS indexed journal	NIL	Per academic year
Chief Editor in other Journals with ISSN/ISBN number		
Chief Editor in Scopus/WoS indexed Journal for more than 10 Years.		
Letter to Editor/ Correspondence in Scopus/WoS indexed journal	NIL	
Special issue editor/guest editor in Scopus/WoS of unpaid journal indexed journal	Cash incentives of Rs. 5,000	Ensure that atleast 50% papers should be from outside IIMTU. Not more than one paper from an author can be accepted. Undertaking should be attached. Special issue not published through conference will only be considered for benefits only.
Editorial board member in Scopus/WoS indexed journal	NIL	Per academic year
Editorial board member in other Journals with ISSN/ISBN number	NIL	
Reviewer in Scopus/WoS indexed Journal	NIL	Per academic year maximum two points for one Journal
Reviewer in other Journals with ISSN/ISBN number	NIL	Per academic year maximum one point for one Journal
Reviewer to external funding agency	NIL	Per project
Internal reviewer of grant proposal (Within deadline)	NIL	If funded, cash incentive of Rs. 2000 will be given to each reviewer
Internal reviewer of patent presentation	NIL	-
Professional Body membership, Institutional Chapter	-	Upto 10,000/-

## Grant Proposal

### Category A

#### Faculty of Sciences/Engineering/Agriculture/Medical/Veterinary Sciences

Achievement/ Activity		Benefit
Grant proposal (Amount Rs 1 Lakh to Rs.5 lakhs)	Submission	NIL
	Approved	50% of overhead charges or 5% of project cost (whichever is higher) + 3 hours load relaxation for PI
Grant proposal (Amount more than Rs.5 lakhs to 30 lakhs)	Submission	NIL
	Approved	50% of overhead charges or 5% of project cost (whichever is higher)+ 5 hours load relaxation for PI and 3 hours load relaxation for Co-PI
Grant proposal (Amount more than Rs.30 lakhs to 50 lakhs)	Submission	NIL
	Approved	50% of overhead charges or 5% of project cost (whichever is higher) + 6 hours load relaxation for PI and 4 hours load relaxation for Co-PI
Grant proposal (Amount more than Rs.50 lakhs to 1 crore)	Submission	NIL
	Approved	50% of overhead charges or 5% of project cost (whichever is higher)+ 8 hours load relaxation for PI and 5 hours load relaxation for Co-PI
Grant proposal (Amount more than Rs.1 crore to 2 crore)	Submission	NIL
	Approved	50% of overhead charges or 5% of project cost (whichever is higher)+ 10 hours load relaxation for PI and 6 hours load relaxation for Co-PI
Grant proposal (Amount > 2 crore)	Submission	NIL
	Approved	50% of overhead charges or 5% of project cost (whichever is higher) + 12 hours load relaxation for PI and 8 hours load relaxation for Co-PI

**Category B**  
**Faculty of Languages/Humanities/Arts/Social Sciences /Physical Education/Management**

Achievement/ Activity		Benefit
Grant proposal (Amount Rs 1 Lakh to Rs.3 lakhs)	Submission	NIL
	Approved	50% of overhead charges or 5% of project cost (whichever is higher)+ 3 hours load relaxation for PI
Grant proposal (Amount more than Rs.3 lakhs to 5 lakhs)	Submission	NIL
	Approved	50% of overhead charges or 5% of project cost (whichever is higher) + 5 hours load relaxation for PI and 3 hours load relaxation for Co-PI
Grant proposal (Amount more than Rs.5 lakhs to 20 lakhs)	Submission	NIL
	Approved	50% of overhead charges or 5% of project cost (whichever is higher) + 6 hours load relaxation for PI and 4 hours load relaxation for Co-PI
Grant proposal (Amount more than Rs.20 lakhs to 50 lakhs)	Submission	NIL
	Approved	50% of overhead charges or 5% of project cost (whichever is higher)+ 8 hours load relaxation for PI and 5 hours load relaxation for Co-PI
Grant proposal (Amount more than Rs.50 lakhs to 1 crore)	Submission	NIL
	Approved	50% of overhead charges or 5% of project cost (whichever is higher) + 10 hours load relaxation for PI and 6 hours load relaxation for Co-PI
Grant proposal	Submission	NIL

(Amount > 1 crore)	Approved	50% of overhead charges or 5% of project cost (whichever is higher) + 12 hours load relaxation for PI and 8 hours load relaxation for Co-PI
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### MISCELLANEOUS

Starting of New e- journal : Monthly Quarterly Half yearly Annual	Chief Editor load relaxation Monthly – 10 hours Quarterly – 8 hours Half yearly – 5 hours Annually – 3 hours Co-Chief Editor load relaxation Monthly – 5 hours Quarterly – 4 hours Half yearly – 3 hours Annually – 2 hours	50 30 25 20		Points for mentioned for Chief Editor 50% points for Co-Chief editor
Faculty invited overseas by an University/ organization for research work and fully funded by host institute	NA	3	NA	RAEL earned and CEL can be utilized for this purpose
Development of e-Content in 4 quadrants for a complete course/e-book	NA	12	NA	Quadrant-I (e-Text) Quadrant-II (Self-Learning) Quadrant-III (Learn More / Source for Further reading / Web Resources) Quadrant-IV (Self-Assessment / Evaluation)
e-Content (developed in 4 quadrants) per module	NA	5	NA	RAEL earned and CEL can be utilized for this purpose Quadrant-I (e-Text)

**Note:** The Bonus points shall be redeemed in annual appraisal/ CALCULATION OF API



## Annexure 1.2 Seed Money Application Form

Name: \_\_\_\_\_ Email: \_\_ EID: \_\_ Mobile No: \_\_ School:  
\_\_\_\_\_ Project Title: \_\_  
Name of Funding Agency: \_\_\_\_\_

### Financial Information

I apply for a total of Rs \_\_\_\_\_ as seed money, which I will use for:

- Equipment                       Consumables    Analysis & Testing    Software License  
 Field survey                       Mentorship    Travel & accommodation  
 Research Material               Personal Support

For equipment provide details with cost .....

Any other usage.....

This seed money will lead to one or more than one of the following outcomes:

- Publications in Scopus/SCI/WoS indexed Journal    Patent    Copyrights

Any Other Outcome :

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Dean/HOD Signature

PI Signature

### Annexure 1.3

#### Career Enhancement Leaves or Duty Leave for Faculty/Administrative Staff

Service Period (in IIMTU)	Duty Leave
Less than 02 Years	4 Leaves in an academic year
2 years to less than 5 years	8 Leaves in an academic year
5 years and above	8 Leaves in an academic year

### Annexure 1.4

#### Suggestive List of Funding Agencies (for Travel Grant)

- ACM India IARCS travel grant
- Microsoft Research India travel grants
- Council of Scientific and Industrial Research
- Department of Biotechnology, Govt. of India
- Department of Science and Technology, Govt. of India
- Indian Council of Medical Research
- Centre for International cooperation in sciences CICS
- International Brain research organization
- UP State Council for Science and Technology
- Indian Council of Agricultural Research
- Indian Council of Social Science Research (ICSSR)

## Annexure 1.5 Pay Proportionate Work Application Form for Ph.D. work

Date of Application:.....

School/Institute/Division: \_\_\_\_\_ Department: \_\_\_\_\_ Name: \_\_\_\_\_ Designation: \_\_\_\_\_  
 Unique ID: \_\_\_\_\_ Date of Joining: \_\_\_\_\_ Date of Confirmation: \_\_\_\_\_  
 PhD Registration (Date, University Name) : \_\_\_\_\_ (attach proof)  
 Number of working days opting for:

Total work days = 3		Please tick any one combination
3 Full Days	0 Half Day	
0 Full Days	6 Half Days	
2 Full Days	2 Half Days	
1 Full Day	4 Half Days	

OR

Total work days = 4		Please tick any one combination
4 Full Days	0 Half Day	
2 Full Days	4 Half Days	
3 Full Days	2 Half Days	

OR

Total work days = 5		Please tick any one combination
5 Full Days	0 Half Day	
4 Full Days	2 Half Days	

Duration: From \_\_\_\_\_ to \_\_\_\_\_ Date: \_\_\_\_\_ Signature of the Applicant: \_\_\_\_\_

Remarks and Signature:

Initiating Authority 1	Initiating Authority 2	Forwarding Authority 1	Forwarding Authority 2	Recommending Authority



b) Alternative production/user agencies

**1.11.18** Name of other organizations in India or Abroad jointly participating in this effort, extent of their involvement, speCIF/CILic division of responsibility, accountability etc.

**1.11.19** Requirements (other than financial) required from the university

**1.11.20** Total Budget Outlay

Head \_\_\_\_\_ 1<sup>st</sup> \_\_\_\_\_ 2<sup>nd</sup> \_\_\_\_\_ 3<sup>rd</sup> \_\_\_\_\_  
Total Capital Equipment Rs.

Consumable(s) Rs.

Duty on import  
(If any) Rs.

Manpower Rs.

Travel & Training Rs.

Contingencies Rs.

Grand Total

Grand Total : Rs. \_\_\_\_\_

21. a) Contribution of Project Implementing/ & other Organization in Total Budget Outlay	Rs.
b) IIMTU Contribution	Rs.

Signature of	Signature of	Signature of
Designation	Head of the School	Head of School
Date	Designation	Designation
	Date	Date

Signature of  
Dean

Date

Signature of  
Head of Department

Date

## Annexure 1.7

### Internal Guidelines for Evaluators

#### 1. Load relaxation to faculty members

Amount of Project budget	PI (from each discipline)	Co-PI
< 3 lakhs	3 hours	2 hours
3 lakhs – 5 lakhs	5 hours	3 hours
5 lakhs – 10 lakhs	7 hours	4 hours

\*If there are more than one Co-PI in a project, only one Co-PI will be given the load relaxation.

Load relaxation is applicable for the duration of the project.

#### 2. Funding can be recommended upto Rs. 10 lakhs. In case if the panel feels that more amount could be sanctioned, that can also be mentioned in the remarks column.

- a. Panel can recommend 5 to 20 duty leaves in a semester
- b. Panel can recommend 5 % to 10 % Attendance benefit in a semester
- c. Maximum of Rs.5000
- d. Duty leave to faculty members

Amount of Project budget	PI (from each discipline)	Co-PI
< 3 lakhs	3 leaves	1 leave
3 lakhs – 5 lakhs	4 leaves	1 leave
5 lakhs – 10 lakhs	5 leaves	1 leave

**Annexure 1.8**  
**Proforma for Project Progress Report Evaluation**

1. Name of the Project
2. Name of PI(s) and Co-PI(s)
3. Name of the presenter
4. Summary of work done

5. Suggestions or any other recommendation

6. Satisfactory / Not Satisfactory

7. Supporting document (If any)

**Annexure 1.9 (a)**  
**Project Progress Report Submission Format**

Project ID:  
Title of the project:  
Provide details of Work done:  
PI/ Co-PI Details:

Milestones achieved:

Achievements if any (attach proof):

**Annexure 1.9 (b)**

**UC**



## Annexure 1.10 Publisher List for Books

Africa Institute of South Africa	Pan Stanford Publishing
African Books Collective	Penn State University Press
African Heritage Press	Peter Lang AG
African Minds for Urban LandMark	Peter Lang Publishing
African Studies Centre	Pfeiffer
American Counseling Association	Policy Press
American Educational Research Association	Polska Akademia Nauk
American Geophysical Union	Presses de l'Universite du Quebec
American Society of Civil Engineers (ASCE)	Princeton University Press
Anderson	Project Muse
Anthem Press	Purdue University Press
A-Press	R. Oldenbourg Verlag GmbH
Architectural Press	Red Hen Press
Association for Scottish Literary Studies	Resources for the Future
Atrium	Ringtaw Books
B.T. Batsford Ltd	Rochester Institute of Technology Press
Baylor University Press	Royal Asiatic Society
Bentham Science Publishers	Royal College of Obstetricians and Gynaecologists
Berghahn Books	Royal College of Psychiatrists
Bohn Stafleu van Loghum	Russell Sage Foundation
Brandeis University Press	Russian Academy of Sciences
Brill	Rutgers University Press
Brookings Institution Press "Blue Rose"	Safari Books Ltd
Butler Center Books	SAGE
CABI International	School for Advanced Research press (SAR press)
CABI Publishing	School of Oriental and African Studies
Cambridge University Press	SCPG Publishing Corporation
Carl Hanser Verlag	Scuola Normale Superiore
Carnegie Endowment for International Peace	Sellier European Law Publishers GmbH
Catholic University of America Press	Sense Publishers
Center for Korea Studies, University of Washington	Slavica Publishers
Center for Literary Computing	Society for Historical Archaeology
Central European University Press	Society for Vascular Medicine and Biology
Chandos	Southern Illinois University Press
Channel View Publications	SPIE
ChemTec Publishing	Springer Nature
Chinese University of Hong Kong	Stanford University Press
Chinese University Press	State University of New York Press
Cistercian Publications/Liturgical Press	Syracuse University Press
Cork University Press	T.M.C. Asser Press
Cornell University Press	Tagus Press
Council for the Development of Social Science Research in Africa	Taylor & Francis
Croom Helm	Taylor and Francis
Dartmouth College Press	TCU Press
David Fulton	Temple University Press
Deutscher Universitats Verlag	Terrace Books
Dickinson	Texas A&M University Press
Duke University Press	Texas State Historical Association

Duquesne University Press	Texas Tech University Press
Earthscan	The Acorn Club
East Asia Program, Cornell University	The Feminist Press at the City University of New York
Edinburgh University Press	The International Institute for Strategic Studies
Edition Synapse	The Johns Hopkins University Press
Edward Elgar Publishing	The Kent State University Press
Elsevier	The Military Press
ELT Press	The University Libraries
Equinox Publishing Ltd	Transnational Publishers
Ernst und Sohn	Tufts University Press
Excerpta Medica	Twaweza Communications Limited
Feminist Press	Unam Press, University of Namibia
Focal Press	Universiteit Leiden
Fordham University Press	University of Adelaide Press
Fortress Press	University of Akron Press
Franciscan Institute Publications	University of Alabama Press
Future Medicine Ltd.	University of Alberta Press
Gallaudet University Press	University of Arizona Press
George Allen & Unwin Ltd	University of Arkansas Press
Georgetown University Press	University of British Columbia Press
Global Oriental Ltd	University of California Press
Greenwich Medical Media Ltd	University of Chicago Press
Gulf	University of Georgia Press
Hanser Gardner	University of Hawai'i Press
HarperCollinsAcademic	University of Hawaii Press
Harwood Academic Publishers	University of Illinois Press
Helena History Press	University of Iowa Press
Hong Kong University Press	University of Massachusetts Press
Hugo Heller	University of Michigan Press
IGI Global	University of Minnesota Press
Imperial College Press	University of Missouri Press
Indiana University Press	University of Nairobi, Faculty of Pharmacy
Institute of Southeast Asian Studies (ISEAS)	University of Nebraska Press
Institution of Engineering and Technology (IET)	University of Nevada Press
IOP Publishing	University of New Hampshire Press
IOS Press	University of New Mexico Press
ISEAS	University of North Carolina Press
Island Press-Center for Resource Economics	University of North Texas Press
J.B. Metzler'sche Verlagsbuchhandlung	University of Notre Dame Press
Jagiellonian University Press	University of Ottawa Press
Japan Library	University of Pennsylvania Press
Jewish Publication Society	University of Pittsburgh Press
John Benjamins Publishing Company	University of South Carolina
John Libbey Publishing	University of South Carolina Press
Johns Hopkins University Press	University of Tennessee Press
Karger Publishers	University of Texas Press
Karlsruher Institut für Technologie (KIT)	University of Toronto Press
Kent State University Press	University of Utah Press
Kogan Page	University of Vermont Press
Kyoto University	University of Virginia Press
Langaa Research and Publishing Common Initiative Group	University of Washington Press
Lawrence and Wishart	University of Wisconsin Press

Leuven University Press	University Press of Colorado
Liberty Fund, Inc.	University Press of Florida
Library of Arabic Literature	University Press of Kansas
Liturgical Press	University Press of Kentucky
Liverpool University Press	University Press of Mississippi
Louisiana State University Press	University Press of New England
Malaysian Branch of the Royal Asiatic Society	University Press of Virginia
Manchester University Press	Univocal
Mathematical Association of America	Unwin Hyman Ltd
McGill-Queen's University Press	Utah State University Press
Methuen & Co	Vanderbilt University Press
Michigan State University Press	Verlag Helvetica Chimica Acta
Millpress Science Publishers	Vieweg and Teubner Verlag
Minnesota Historical Society Press	VS Verlag fur Sozialwissenschaften
MIT Press	W.E. Upjohn Institute
Mkuki na Nyota Publishers Ltd.	W.E. Upjohn Institute for Employment Research
Morgan and Claypool Publishers	Wageningen Academic Publishers
Morgan Kaufmann	Walter de Gruyter
Mzuni Press	Wayne State University Press
National Academies Press	Weaver Press
National Bureau of Asian Research	Wesleyan University Press
National University of Singapore Press	West Virginia University Press
New York University Press	Western Michigan University
Newnes	Western Michigan University Press
NFER-NELSON	Whurr Publishers Ltd
NIAS Press	Wildlife Society
Northeastern University Press	Wiley-Blackwell
Northern Illinois University Press	Wilfrid Laurier University Press
Northwestern University Press	Willan Publishing
Nova Science Publishers	William Andrew
NUS Press	Wit Press
Ohio State University Press	Wits University Press
Omohundro Institute of Early American History and Culture	Woburn Press
Oregon State University Press	Wolters Kluwer Health
Organisation for Economic Cooperation and Development (OECD)	World Scientific Publishing
Oxford University Press	Yale University Press

## Chapter 2 Code of Ethics

IIMT University strives to achieve academic excellence by providing highest quality education and by contributing to original and impactful research to solve industrial and societal problems. Therefore, academic integrity and research ethics of the highest level are expected from each and every member of IIMTU community including students, faculty, and staff. Academic integrity implies adherence to certain values and moral conduct in academics. Research ethics are commonly developed practices for creating awareness among researchers related to principles ensuring the scrutiny of research projects and accountability of people as responsible members of academic community to serve the society well. This policy shall be applicable to all students, faculty and other staff of the IIMT University engaged in the research related activities.

This policy covers the followings:

1. Research Ethics
2. Anti-Plagiarism policy

### 2.1 Research Ethics – General Guidelines

- All faculty members are expected to adhere to core values like honesty, integrity and sincerity and conduct their research in such manner that the reliability and trust of the university should not be compromised or get affected.
- Researcher should keep and preserve raw data of research activity/project for a minimum period of five years with the university, unless requirement of longer period stipulated by the university or any concerned body for the purpose of speCIF/CILic work.
- The research aims of any study should benefit both society and industry and should cause no social harm.
- Researchers should make sure that an appropriate research method is selected on the basis of informed professional expertise.
- Researchers should endeavor to ensure factual accuracy and avoid falsification, fabrication, distortion, suppression or misinterpretation of data.
- Researchers should be able to extrapolate the consequences of research engagement for all participants and attempt to alleviate potential disadvantages of participation for any individual or category of person.
- Researchers should ensure that reporting and dissemination are carried out in a responsible manner.
- Researchers should ensure that methodology and findings are open for discussion and peer review.
- Researchers should ensure that any indebtedness to previous research as a source of knowledge, data, concepts and methodology should be fully acknowledged in all outputs.
- Due credit should be given to all the authors depending upon their contribution in the research work. If a student or a faculty/staff has worked in a project, and any publication of that project is published, then his/her name should be mentioned in the

authorship in the acknowledgement section of the manuscript depending on the

quantum of their contribution.

- Authorship order should be decided in the early stage of a work. All authors must read the completed papers and must be willing to take complete responsibility of the data, interpretations and conclusions presented in the paper.
- The most significant contributor will be the first author of the manuscript. For all papers coming out of Master's degree or a Ph.D. thesis, the first author should preferably be Masters or Ph.D. student and the corresponding author should be supervisor.
- Honorary authorship is not permitted.
- The guidelines of the concerned journal should be followed for including name of all contributors in the paper.
- Particulars of the affiliation of the university should be mentioned as follows in all publications..... (speCIF/CILy Name), (speCIF/CILy designation) at .....(speCIF/CILy the name of the University)
- Students should publish their approved thesis or dissertation work with the consent of the supervisor, unless otherwise stipulated by the university.
- All potentially patentable inventions shall be disclosed to the university.
- All faculty/staff members shall speCIF/CILy affiliation/association with the university in all their research activities.
- All faculty/staff members shall update the affiliation or association with this university on various research platforms like research gate, google scholar, publons etc.

To ensure academic integrity and research ethics, two panels one at School level and another at University level are formulated. The Panel Composition is given below.

### **School Academic Integrity Panel (SAIP)**

Chairman: Dean

Member Secretary: Research Coordinator

Member: Senior academician from outside the School, to be nominated by the head of School with minimum 10 publications in Scopus indexed journal (Q1, Q2 and Q3).

Member: A person well versed with anti-plagiarism tools

### **Institutional/University Academic Integrity Panel (IAIP/UAIP)**

Chairman: Dean, R&D

Co-Chairperson: HEAD, RAB

Member Secretary: RAB

nominee Member: Dean,

concerned School

Member: One Senior academician nominated by chairman of UAIP of University from

outside the University

Member: A person well versed with anti-plagiarism tools

The Chairman of SAIP and UAIP shall not be the same. The quorum for the meetings shall be 3/4 out of all panel members.

### **Creating awareness on academic integrity and research ethics**

IIMTU from time to time shall conduct training programs to create awareness as per notification by UGC on promotion of Academic Integrity and prevention of plagiarism in higher educational institutions Regulations 2018-19.

### **2.2 Anti-plagiarism Policy (as per UGC Anti-Plagiarism Policy notification F.1-18/2010/PPP-II) (Part- III, Sec. 4, Gazette of India):**

Plagiarism is one of the most serious violations of academic integrity and ethics. Anyone engaged in plagiarism threatens the values and beliefs of the academic integrity of the university and undermines his/her individual credibility in the community of research scholars. Plagiarism in any form is not permissible in the university and is a serious misconduct which is subject to strict disciplinary action against the person found guilty. The university has a zero tolerance policy on plagiarism.

Plagiarism is using, presenting or publishing work of another person as your own without proper citation or acknowledgement. Using words or ideas of others without proper reference or citation is plagiarism. It is very important to give credit, where it is due, to the other person by acknowledging the source of that information.

All published and unpublished material, materials downloaded from internet, copied from lecture handouts or any other source whether in manuscript, printed or electronic form, is covered by this definition. 'Collusion' is another form of plagiarism involving the unauthorized collaboration of students or other individuals in any piece of work. Following and such other acts as prescribed by the University from time to time shall be considered as the act of plagiarism:

- Writing someone else's work as your own.
- Paraphrasing or copying ideas from someone else's work without giving due credit
- Stealing unpublished raw data and publishing it without giving due credit.
- Failing to put the words/idea/ information within quotes "..."
- Giving incorrect information about the source of the quoted material.
- Changing words but copying the sentence structure of a source without giving credit.
- Copying many ideas or words from a source that it makes up the majority of your work irrespective of whether you have given credit or not.
- Writing or reusing one's own specific words, images etc. from previously published texts is known as self-plagiarism.
- Images are also a form of scientific data and ideally need to be presented as such. Manipulating an image related to your research and publishing the same, therefore, will

clearly fall under the ambit of research misconduct which comes under plagiarism.

- If a previously published image is included in the manuscript or any publication material, you need to get explicit permission from the copyright holder (which might be either a Person, a journal, or a publisher) and needs to be cited clearly. Some images come under the category of “creative commons.” Under the “creative commons,” the images can be used free of charge, but with proper attribution.
- In case of images/information of any person, the authors should certify that they have obtained all appropriate consent forms. In the form, the individual/legal guardian should give consent for images and other personal information to be reported. The individual/guardian should be informed that names and initials will not be published and due efforts will be made to conceal individuals identity, but anonymity cannot be guaranteed.
- The practice of presenting same research findings in more than one conferences (encore abstracts) except (i) the congress permits it; (ii) copyright requirements are respected;(iii) prior presentations are disclosed; and (iv) repeated presentation is to reach a different audience

## Scope

This policy applies to all the written/unwritten and published/unpublished works produced at and for IIMTU. The written works include academic and research publications / IPR (research papers, books, articles, assignments, project reports, thesis (Masters, and Ph.D.), research reports, patent, copyright, design registration etc. The unpublished works also include experimental data. The plagiarism policy applies to all IIMTU community including students, faculty and staff. The Dean/COS/HOD/COD/Research Coordinator shall also be responsible to disseminate the information about plagiarism.

## Reporting of cases of plagiarism

- It shall be the responsibility of the supervisor/corresponding author to check the paper/thesis etc. for plagiarism.
- The document should be subjected to appropriate plagiarism software prescribed by the university (e.g. Turnitin) and the supervisor should check the content manually too.
- If plagiarism is detected, the Head of the department will send his/her report based on software results and thorough study to School Academic Integrity Panel (SAIP), in the format prescribed in this policy as annexure 2.1

## Dealing with Cases of Plagiarism

- Cases of Plagiarism will be investigated and dealt with by the School academic integrity committee (SAIP).
- The SAIP shall also be responsible to monitor the quality of published and un-published work including thesis.
- Proceedings of the SAIP shall be recorded and submitted to University Academic Integrity Panel (UAIP) by the Member Secretary and one copy maintained in the office of the Division of Research and Development (DRD) after signed by the Members and the Chairperson.
- The SAIP will dispose the case of plagiarisms reported to it within 30 Days of the

reporting of the case to it and after affording reasonable opportunity to the concerned

student or faculty or staff as the case may be and shall submit its findings and recommends such disciplinary action as may be deemed fit in the specification case, to the UAIP.

- UAIP shall discuss the matter and final decision shall be communicated within next 30 days.

### For Penalties, SAIP and UAIP can Refer UGC Gazettee.

Level	Similarities	Penalties in case of plagiarism in submission of thesis and dissertations	Penalties in case of plagiarism in academic and research publications / IPR
Level 0	Upto 10%	Minor Similarities, no Penalty.	Minor Similarities, no Penalty.
Level 1	10% to 40%	Submit a revised thesis and dissertations within stipulated time period not Exceeding 6 months.	Leave points, bonus points and incentives will be withdrawn if Plagiarism is reported.
Level 2	40% to 60%	debarred from submitting a revised thesis and dissertations for a period of one year	withdraw manuscript, Shall be denied a right to one annual increment, Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a Period of two years.
Level 3	Above 60%	registration for that programme shall be cancelled	Withdraw manuscript, Shall be denied a right to two annual increments, Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a period of three years.

In case of repeated plagiarism, University shall take disciplinary action against faculty/staff/students including suspension or termination / withdrawal of degree.

### 2.3 Guidelines Related to Similarity Index for Availing Grant Benefits

- 10% is the maximum allowed value for similarity index for research publications, using Turnitin software for plagiarism detection. The publications having similarity index less than or equal to 10% are eligible for grant benefits as per URDI (University Research and Development Initiatives) policy.
- Publications having similarity index above 10% are not eligible for grant benefits.
- While performing the plagiarism check for similarity index, all quoted work reproduced with all necessary permission and/or attribution, all references, bibliography, table of content, preface and acknowledgements, all generic terms, laws, standard symbols and



standards equations should be followed as per UGC guidelines.

- Plagiarism check is to be performed for fourteen consecutive words and less than fourteen matching words will not be considered as plagiarism.

## 2.4 Appeal

In case of grievance, the accused shall appeal to School Academic Integrity Panel. Upon receipt of such a complaint or allegation the School Academic Integrity Panel shall investigate the matter and submit its recommendations to the University Academic Integrity Panel for final decision. Terms and Conditions: Where any doubt arises as to the interpretation of this policy, it shall be referred to the Division of Research and Development for its final decision.

**Annexure 2.1**  
**Format for Reporting Plagiarism Cases to SAIP and RAC, along with the Supporting Documents**

School Name:

Name of the accused:

Designation:

Paper/Thesis title:

Course Title (NA in case of research publication): Course code (NA in case of research publication): Similarity % using software:

(Mention the name of the software

used)Details of the case:

Detected by:

Remarks of the detector with signature: Remarks of the accused with signature:Remarks of the DEAN with signature: Remarks from SAIP panel:

---

## Chapter 3

### Hosting Conferences in the University

#### 3.1 Purpose

The University encourages faculty members to organize Conferences in collaboration with National and internationally recognized professional organizations/universities.

#### 3.2 Applicability

Proposal in the prescribed format for hosting conference should reach RAC at least 6 months prior to the conference date to get the approval of concerned authorities.

The University may provide a financial support as per the budget available.(or)

The University may sponsor Cost of Conference Publication if the publication takes place in scopus indexed journals / proceedings of \*relevant subject area of the discipline as per scopus database.

University may provide additional resources upon special request subject to approval of higher authorities.

University will also consider load relaxation for the convener and co-convener of the event for a speCIF/CILic semester decided by the Dean.

It is the responsibility of organizing secretary to accept quality papers after checking for plagiarism. Originality report of all accepted papers should be submitted to RAC.

Prior approval from higher authorities through RAC is also required for

- Conference material like brochure, banner, and conference kit
- Any kind of awards (except best paper award) to be given during the conference
- Seating arrangement plan at the main stage

#### Please refer:

- Performa for Sending Proposal including check list, details of Split-up Expenditure as per annexure [3.1].
- Performa for nominate Best Conference Award is also given in annexure [3.1]

\*For example if Computer Science is organizing a conference, it shall publish paper in conference proceeding or journal in the same subject area (Computer Science) as per scopus database.

### Annexure 3.1

## Format for Sending Proposal to Division of Research and Development for Conducting National/International Conferences

Name of School:

Date on which the proposal is sent to RAC:

1	Title of the Conference	
2	Broad Area of Conference	1. 2. 3. 4.
3	State the Objectives of Conference	
4	State the Outcomes expected from Conference	1. 2. 3.
5	Subject of the conference with list of various technical sessions and/or workshops	
6	Name of Organizing Secretary Name of Joint Organizing Secretary (if any)	
7	Names of faculty convener and co-convener for whom load relaxation required (3 hours) Names of committee members	
8	Organizing agencies, if any	1. 2. 3.
9	Sponsoring agencies and collaborating agencies	1. 2. 3.
10	Proceedings publication details	
11	Number of National and International delegates (separately) Expected to participate	1. 2. 3. 4.
12	Names (with complete address) of foreign delegates (Country-wise) proposed to be contacted/invited	1. 2. 3. 4.

13	Names of Keynote Speakers / Special Session Organizers		1. 2. 3. 4.
14	Names of Technical Committee members with their affiliation		1. 2. 3. 4.
15	Venue		1. 2. 3.
16	Scheduled dates (from and to)		1. PAPER SUBMISSION 2. PAPER ACCEPTANCE 3. CAMERA READY SUBMISSION 4. REGISTRATION 5. CONFERENCE DATE
17	Duration of Conference		
18	Target Audience (Expected Total Number of Participants)	a) Academic Institutions b) Industry c) International Participants d) Research Scholars	
		Total	
		a) Students / Postdocs b) Faculty / Scientists	

19	Registration Fee	c) International Participants d) Industry	
		Total	
20	Total anticipated expenditure with break-up under major heads as per table below		

**Details of Split-up Expenditure to conduct National/International Conferences**

Sl. No.	Particulars	Unit	Quantity	Rate	Amount (in Rs.)
1	Venue and Logistic Arrangements				
2	Hospitality to Guests and Participants (a) Refreshment (b) Lunch (c) Tea/Snacks (d) Dinner				
3	Guest Faculty/ Experts/ Technical Speakers	a) TA			
		b) DA			
		c) Lodging			
		d) Honorarium			
4	Replication of Printed Training Materials, Stationeries, conference kit etc.				
5	Publication of Proceedings				
6	Miscellaneous expenses				
Total					

(Total in words .....)

### Checklist

(Please complete the checklist with 'YES or NO' wherever applicable and attach the relevant document/certificates/papers along with the proposal)

Sl. No	Documents/Certificates/Papers Attached	YES/NO
1.	Performa	
2.	Programme Brochure	
3.	Website content	
4.	Daily schedule of activities to be covered in the Conference/Workshop/Seminar/Symposium	
5.	Split up of expected expenditure with supporting Documents	
6.	'Political Clearance or No Objection Certificate' from the Ministry of External Affairs, the Ministry of Home Affairs and other competent authorities of Government of India and State Government in respect of conduct of International conference and list of Foreign Delegates/Participants	
7.	List of invitees with mode of communication(Hard copy , Soft copy)	

Organizing Secretary

(Signature with Seal and Date)

HOS

(Signature with Seal & Date)

Recommendation of Dean:.....

Remarks of Head, RAC:.....

Submitted for approval of higher authorities.

## Best Conference Award

The conferences organized at IIMTU shall be evaluated on the following parameters and the highest scoring conference would be awarded as “THE BEST CONFERENCE OF THE YEAR”.

Parameters	Points
Publication in Indexing in Scopus/WoS In case of Journal	Points as per URDI annexure 1.1 (Publication in Journal) * Number of articles
In case of conference proceedings by IEEE/ACM/Elsevier/Springer	5 * Number of articles
Revenue generation	Surplus or Deficit/25000 (max cap of 30 points) Where surplus will give positive points and deficit will lead to negative points
Speakers International (Speakers with more than 5 years experience)	
- From top 20 Universities (from THE or QS world rankings only)	15
- From top 200 Universities (from THE or QS world rankings only)	12
- From other Universities	10
Industry (Speakers with more than 10 years experience)	7
- Category ZB	6
- Category A	5
- Category B	
IIT/NIT/IIM/IISC	7
- Professor	5
- Associate	
Professor Funding agency/Research labs	3
- Scientist D	4
- Scientist E	5
- Scientist F	6
- Scientist G	7
- Scientist H	8
- Distinguished Scientist/Director and above	
Acceptance ratio	
<50%	5
<25%	10
International authors	2 per publication in addition to publication category mentioned above
Participants from India	
- Within the state (excluding IIMTU)	0.2 per registered participant
- Outside the state	0.4 per registered participant
- Outside India	1.0 per registered participant



## Chapter 4

### Policy for International Fellowship

#### 4.1. Introduction

This policy aims to enhance existing research capabilities in IIMTU and introduce emerging areas of research. Research Fellowships, particularly, Postdoctoral Fellowship (PDF's) are important enabling steps in grooming young researchers. As researchers, they can make significant contributions to their chosen field under supreme guidance of top researchers in the world. In all disciplines, the principal objectives of any fellowships are to broaden/enhance their research expertise and to reinforce the background. In this context, this policy is divided into two parts.

*Short term fellowship* where faculty member can visit abroad to pursue research work in university of repute for 1 to 6 months. The letter of intent and support from host institute should be provided by the faculty member at the time of applying for short term fellowship.

*Long term fellowship* where the faculty member can visit abroad to pursue research work in form of postdoctoral fellow for 1 year may be extended up to 2 years in the same organization. In such cases where extension is required, the host institution shall write to the Registrar/Vice Chancellor of IIMTU and the final decision will be by the higher authorities of IIMTU.

#### 4.2. Support from IIMT University

IIMT University is committed to provide all type of support to its faculty member ranging from career advancements to cutting-edge facilities. The support that IIMTU will provide to faculty members is:

For short term fellowship university will provide leave with full pay for the maximum period of three months and half pay up to next 3 months subject to fulfilling the expectations. University will also ensure that faculty will be considered for regular appraisals at the time of joining back based on the research achievements.

The benefits shall be applicable for

- Top 1000 Universities by Times Higher Education World University ranking
- Top 1000 Universities by QS World ranking,
- Top 500 Universities ranked by Academic Ranking of World Universities
- Top 200 Universities ranked by QS BRICS
- Top 200 Universities ranked by QS Asia and
- Top 200 Universities ranked subject-wise by QS.

For long term fellowship, it is expected that the faculty receives financial support from the host institute and the faculty will be given leave without pay and their position in the University will be protected. University will also ensure that faculty will be considered for regular appraisals at the time of joining back based on the research achievements. As a special gesture even for long term fellowships university will provide pay to the extent as per the table given below:

University Rank*	Salary
Top 20	50% of Salary
21 to 50	40% of Salary
51 to 100	30% of Salary
100 to 200	20% of Salary
201 to 500	10% of Salary

World University rankings as per Times Higher Education or QS

Faculty Member can also avail IIMTU Sponsored Travel Grant and their Earned Travel Grant as per terms and condition .

#### 4.3. Process

Faculty member must fill the application form for availing Long/Short Term Fellowship in a prescribed format given in Annexure 4.1 for the review by the committee.

#### 4.4. Eligibility

- Should hold a Ph.D. degree
- Should be a regular employee
- Minimum one year experience at IIMTU.

#### 4.5. Expectations

- Expected to publish the results of the research they have conducted during the period with both affiliations i.e. IIMTU and host institute.
- For short term fellowships, faculty members are expected to come out with two research papers indexed both in WoS and Scopus within next one year.
- For long term fellowships, faculty members are expected to come out with three research papers indexed both in WoS and Scopus per year.
- Faculty must serve double the time in IIMTU he/she spent for fellowship. For example, if a faculty member has spent one year on fellowship, he must spend two years with IIMTU after joining back. If faculty member resigns from the services during the fellowship period or the period he/she supposed to serve in IIMTU after the term of fellowship, then he/she shall be liable to pay double the amount of compensation to the University as required normally.

**Annexure 4.1**  
**Application Form for Applying Short/Long Term Fellowship**

Name of The Faculty: .....

Department Name: \_\_ Faculty ID: \_\_ Designation: \_\_ Name of the Fellowship: \_\_\_\_\_

Funding Programme: \_\_\_\_\_ Country: \_\_\_\_\_

Application for: Short Term Fellowship Long Term Fellowship

Name of the host University offering fellowship: \_\_\_\_\_ Ranking status of the host University: \_\_\_\_\_ Period from: \_\_\_\_\_  
Period to: \_\_\_\_\_ Letter of Confirmation from host University

attached (Yes/No) \_\_\_\_\_

If No, please provide reason :

I will abide all the conditions mentioned in the fellowship policy. Additional Remarks by

Applicant:

Date and Signature of Applicant:

Remarks by Dean:

Date and Signature of Dean

Remarks by HoD:

Date and Signature of HoD

**Approval of Pertinent Authorities**

## Chapter 5

### Central Instrumentation Facility (CIF/CIL) Policy/ Central Instrumentation Lab (CIL)

#### 5.1 Introduction

Central Instrumentation Facility of IIMTU houses a wide range of high-end instruments for pushing the boundaries of research in science and technology to higher level. These instruments and facilities help the faculties, research scholars and students to carry out globally competitive research in basic, applied and medical sciences. The modern analytical instruments present in this facility offer a wide range of analytical methods/techniques for chemical/material testing and analysis. This consequently, will help researchers to publish their research findings in peer reviewed high impact factor journals. Ultimately, the concerted efforts of the centre will contribute to the upliftment of the society at large. The Centre also hopes for expansion of the facilities each year making it a core facility in the country. By realizing CIF/CIL we expect a prominent hub for pioneering and collaborative analytical research in our country. CIF/CIL runs under the purview of Division of Research and Development of the university and is expected to self-sustain by revenue generation for the upkeep and maintenance of the instruments. Hence, a nominal charge on sample testing and analysis will be collected from the users. The services of this facility are not limited only to the stakeholders of IIMTU but are extended to academic & research institutions, universities, industries and NGOs.

#### 5.2 Objectives

- To provide modern analytical instrumentation facilities to accelerate fundamental and advanced research.
- To analyze samples received from researchers of IIMTU and other organizations.
- To provide reliable analytical results that can be used for patenting as well as publishing in high impact factor journals.
- To provide guidance and training to personnel for acquisition of data, operation and maintenance of sophisticated instruments.
- To create centers of excellence with partnering companies of international repute.
- To sign memorandum of understanding (MoU) for collaborative analytical research.
- To organize hands on workshops, seminars, conferences and symposia along with industrial and government partners in speCIF/CILic instrumentation.
- To award certification programmes in advanced instrumentation techniques.
- To offer expert guidance in data interpretation (challenging data), funding options and instrumentation in consonance with industrial experts.
- To create networking between research organizations on speCIF/CILic instrumentation for synergetic growth.

#### 5.3 Sample Analysis

A list of instruments available at CIF/CIL and their scope is provided in Annexure-5.1. The details of analysis charges are listed in Annexure-5.2. Sample requisition forms for individual instruments are given in Annexure-5.3.

1. Samples will be analysed after the requisition is received by CIF/CIL from the user. If

emergency analysis is required, special approval by recommendation of HD-DRD is required and Head, CIF/CIL will make all necessary arrangements on priority basis.

2. Priority will be given to faculty members running external funding projects.
3. Unless otherwise instructed, all samples will be held for a maximum period of 15 days under room temperature (or refrigerated at 0-10°C if specified).
4. Users will be contacted by UMS/email / phone once the samples are analysed.
5. The users are also given chance to use the software that comes along with the instrument for data processing and interpretation. For this a separate data analysis lab is established where the computers are preinstalled with all the software of various high- end instrument. A maximum of 1-hour time slot will be given per user for a log request on first come first basis by lodging a log request. If due to unforeseen situations if a user misses the session he/she is advised to rebook the slot once again and wait for their turn.
6. CIF/CIL will be obliged to calibrate the instruments periodically in collaboration with the companies using their standards.

## 5.4 Reports

1. Raw data in the form of analysis reports will be sent by email or the user may pick them up at the reception of CIF/CIL.
  2. All the records will be stored for a maximum of one year following analysis.
  3. Specifications of instrumental conditions utilized in the analysis as well as calibration curves, calculated concentrations, matching library data may be provided.
  4. CIF/CIL will ensure to safeguard the data privacy and strictly preserve the IPR of the users.
- Note:** The format of the report is given in Annexure-5.4.

## 5.5 Timings

The facility is expected to run on all working days (from 9 am to 8 pm). However, users can deposit their samples from Monday to Friday (9am to 1pm) at the office of CIF/CIL. The facility will abide by the holidays of the University and remain closed on these days. Saturdays are reserved for maintenance of systems, meetings and events (workshops etc.). Users can collect their reports from 3-5pm (Monday to Friday) at the office of CIF/CIL.

## 5.6 Biosafety

Standard biosafety guidelines of governing bodies will be adopted for the running of the facility.

## 5.7 Waste Disposal

Standard waste disposal guidelines of the governing bodies will be categorically deployed for environmental safety.

## 5.8 Terms and Conditions

1. All publications of research work, where in the analytical services of the CIF/CIL, IIMTU have been made use of, shall be duly acknowledged (e.g., The services extended by the Central Instrumentation Facility (CIF/CIL), IIMT University Must be

acknowledged).

2. The content of our report should not be used for any advertisement, evidence, litigation or/and quote as certificate to a third party.
3. Separate samples should be submitted for different analysis.
4. Unstable (Easily reactive in atmosphere) materials are not accepted for analysis (unless specially requested. CIF/CIL will not take the responsibility of the results obtained by the analysis as the results are dependent on the stability of the material).
5. Explosive materials are not accepted for analysis.
6. Sample vials have to be sealed properly and labelled for reference purpose.
7. The users are also expected to label the standards wherever need to be analysed as one of the samples and give numbering accordingly.
8. Slots will be allotted to users on first come first serve basis. However, for multiple slot requests by any user, the slots will be allotted based on the discretion of CIF/CIL considering the availability of the instruments.

## Annexure 5.1 List of instruments available at CIF/CIL

S. No.	Name of the Instrument	Make & Model	Scope
--------	------------------------	--------------	-------

## Annexure 5.2 Analysis charges (in INR) for using instruments in CIF/CIL

S. No.	Instrument Name	Internal (per sample/per hour)	Academia/R&D (per sample/per hour)	Industry (per sample/per hour)
--------	-----------------	--------------------------------	------------------------------------	--------------------------------

## Annexure 5.3 Requisition Forms in CIF/CIL

### IIMT University

Date: \_\_\_\_\_ Name of the Instrument: \_\_\_\_\_  
 Name of User: \_\_\_\_\_ Designation of User: \_\_\_\_\_  
 Contact No.: \_\_\_\_\_ Email ID: \_\_\_\_\_  
 Purpose of analysis: \_\_\_\_\_ No. of Samples: \_\_\_\_\_  
 Name of Guide/Supervisor: \_\_\_\_\_ Department: \_\_\_\_\_  
 User: Internal/External (if internal please specify CIF/CIL registration no/UID)

### Payment Options:

#### Option 1: Demand Draft

The DD (in favour of IIMT University) should be submitted personally or by post at the following address:

#### Option 2: Online Transfer

Transfer cash in A/C no. \_\_\_\_\_, Bank name \_\_\_\_\_, IFSC code \_\_\_\_\_ Use \_\_\_\_\_ for PAYTM

**Samples should be sent to:** Central Instrumentation Facility (CIF/CIL),

### Information of Samples

3						
4						
5						

## Undertaking

- I/We undertake to abide by the safety, standard sample preparation guidelines and precautions during testing of samples. I/We do understand the possibility of samples getting damaged during handling and analysis. I/We shall not claim for any loss/damage to samples.
- CIF/CIL shall not take any responsibility about the analysis, interpretation and publication of data acquired by the end user.
- We agree to acknowledge CIF/CIL, IIMTU in our publications and thesis if the results from CIF/CIL instrumentation are incorporated/used in them.
- I/We hereby declare that the results of the analysis will not be used for the settlement of any legal issue.
- CIF/CIL, IIMTU reserves the rights to return the samples without performing analysis and will refund the analytical charges under special circumstances.
- If the user requests to return the samples without performing analysis then 50% of the analysis charges will be refunded (GST paid will not be refunded).

Name and signature of the user

Name and signature of the supervisor/PI

Signature of the HOD with stamp

## For office use only

Lab reference no:.....

No. of samples:.....

Invoice/Receipt no:.....

Samples received on:..... Samples analyzed on:.....

Results delivered on:.....

Name and signature of operator

Name and signature of laboratory in-charge



## Annexure 5.4 Analysis Report

### IIMT University Analysis Report

#### Customer address

---

Requisition form ID:.....

Report No:.....

Sample receipt date: .....

Analysis report.....

Date:.....

Sample description:

#### TOTAL ANALYSIS RESULTS:

Sample ID	Analysis type	Result (Units)	Method of analysis	Instrument used	Sample analysis date with time
1					
2					
3					
4					
5					

**Note: CIF/CIL will ensure to safeguard the data privacy and strictly preserve the IPR of the users.**

We certify that the above reported values were obtained by use of procedures appropriate for the sample as submitted.

All results are given in CD attached to this report

**Enclosures:** Raw data obtained from the instrument.

Name and signature of operator

Reviewed and Approved By (Name and signature of laboratory in-charge):

Date:

## Chapter 6

### Intellectual Property Rights (IPR) Policy

#### 6.1. Introduction

IIMT University (IIMTU) is committed to excellence in teaching and research. The IPR policy of IIMTU aims to provide a framework to make, promote, support and protect the inventions of and for IIMTU. Another prospect is to increase the awareness of the knowledge asset and to undertake and promote consultancy, research projects and commercialization of inventions, innovations and research findings for the benefit of the society.

#### 6.2. Applicability

This Intellectual Property Rights policy is applicable to all the faculty, staff, students and researchers of IIMTU and others related to IIMTU herein collectively referred as “IIMTU personnel” and their range of activities during their engagement/association with IIMTU including but not limited to teaching, research, study, consultancy, creating all kinds of work, also including documents, study material, prototypes, technology, innovations, software, websites, artistic work, designs etc.

#### 6.3. Coverage of IPR Policy:

This policy covers and extends to intellectual property (IP) inter alia the following:

- New, useful, scientific and technological advancements in the form of innovations, inventions, products and processes, computer hardware and software, materials, biological varieties etc. which are patentable.
- Industrial and architectural designs, models, drawings, creative, artistic and literary works, teaching resource materials, generated records of research including thesis and dissertation, software, websites etc. which are covered under copyrights and designs.
- Trademarks, service marks, logos, Integrated circuit layout designs etc.
- Any potential IPR generated through consultancy, live, capstone or dissertation projects.

#### 6.4. Objectives

The objectives of this policy are as follows:

- To foster, stimulate and encourage creative activities in the widest sense in all the areas including but not limited to areas of academics, research, consultancy and other activities of IIMTU.
- To protect the legitimate interest of all stakeholders of IIMTU and the society and to avoid conflict of opposing interests as far as possible.
- To provide transparent administrative system for the ownership, revenue distribution, control and transfer of IP.

#### 6.5. Definitions

- **Priority date:** The date of filing of first application of patent for the respective technology.
- **Inventor(s)** – A person or group of persons who created/invented the respective IP, process, product or design etc as the case may be.

- **Applicant:** The entity who has applied for the patent and owns the legal right for the patent.
- **Technology transfer** - Technology transfer is the process of transferring research results, scientific knowledge, discoveries, processes, methods, technologies etc. from one organization to the other for further development and commercialization or otherwise
- **Assignment** – An assignment of IP involves transfer of ownership and permanently to the assignee by the inventor.
- **Prior art:** State of the art or background art) is constituted by all information that has been made available to the public in any form, before a given patent application date that might be relevant to a patent's claims of originality.
- **Author (s):** A person or group of persons who is the originator of literary or dramatic or artistic work.
- **IIMTU Personnel (s):** For the purpose of this policy the term “IIMTU personnel” shall also include constituency affiliates sponsoring body etc of IIMTU whatever it may be called unless otherwise specifically prescribed by IIMTU.

## 6.6. Ownership of Intellectual Property:

IIMT University shall be the sole owner as application done as per general interpretation of IP and the concerned IIMTU Personnel who created the IP shall be the inventors.

- Any intellectual property that is made or designed or created by IIMTU personnel during their tenure of employment, research work or study or any other engagement/association at/with IIMTU and /or with use of IIMTU resources including but not limited to funds, time, facilities, equipment, manpower or any other resources.
- It has been developed under any contractor tie-up or arrangement or work for hire or adhoc, or outsourced by IIMTU.
- It has been developed with the use of external funds / facilities, including that of sponsored research or consultancy projects obtained in the name of or through IIMTU with or without any support or resource of IIMTU otherwise.
- It has been developed pursuant to an agreement/collaboration/arrangement where ownership has been specifically transferred to or vested with IIMTU.
- Any IP also including Software, technology, process etc. developed over a period of time with/through contribution of IIMTU personnel for IIMTU.

### IIMTU shall share the ownership as applicant

- If the IP is a result of funds sponsored by an organization, other than IIMTU, then the IP will be shared between IIMTU and the sponsoring agency on case to case basis, as per mutual agreement between IIMTU and the concerned organization.
- When the IP has emerged as a result of an institutional/Industrial/any other consultancy, given by IIMTU, then the concerned organization and IIMTU shall jointly own the IP as per mutual agreement.
- When the IP has emerged as a result of collaborative research work by IIMTU and other collaborating organization without external funding from third party, the concerned collaborating organization and IIMTU shall jointly own the IP as per mutual agreement.
- If the IP has emerged as a result of collaborative research work by IIMTU and

collaborating organization with support from external funding from third party, the concerned collaborating organization, sponsoring third party and IIMTU shall jointly own the IP as per mutual agreement.

- When the IP has emerged out of the work carried out by IIMTU personnel during their visit to a third party/Institution/organization then it will be owned according to the terms and conditions defined in mutual agreement.

For sharing of IP as detailed above, the following guidelines shall be followed:

- If the external funding agency allows IIMTU to own the IP, then IIMTU may share its rights with other third party(ies), subject to their respective contribution.
- If the funds provided by a Government organization, then the ownership shall be decided in compliance with the ownership clauses defined by the respective funding organization for approval of the speCIF/CILic activity/project.
- In case of funds provided by a non-government agency, the ownership may be shared between IIMTU and funding agency, taking into consideration of relative contributions of parties involved.

## 6.7. Waiver of IP Rights

IIMTU shall own or reserve the right at all times to discontinue or proceed with the IP at any stage with any including but not limited to stage of its generation / creation, submission to concerned IP authorities and even their after during IP processing or granting or it seems appropriate.

## 6.8. Disclosure of Intellectual Property

IIMTU personnel are required disclose the invention in the beginning i.e. at idea/development stage, IIMTU with preliminary information as per annexure 6.1a.

## 6.9. Internal Evaluation, Filing, Commercialization and Licensing of Patents

- Evaluation Intellectual Property Rights Cell, DRD at IIMTU will be the concerned office to coordinate the activities of evaluating, protecting, licensing and managing the activities.
- The concerned office may advise IIMTU personnel and the concerned regarding the management of intellectual property issues like ownership, confidentiality, seeking advice from experts, disclosure, patentability, transfer and allied matters.
- An invention will be patented only if it has commercial value and viability for production and marketing.
- A committee shall be constituted by the university which shall internally decide the feasibility, commercial value and related aspects on case to case basis. The committee shall also act to the best of its knowledge to avoid scientific misconduct related to research and developmental activities. The committee shall also give advice on any idea if rejected by IPR cell in internal search and shall give an opportunity to the inventor to present before the panel with the concerned idea.
- If invention / idea is not approved by that committee but the concerned inventor requests to allow to proceed with that idea/invention. The same will be sent for evaluation by concerned patent organisation as decided by the university which may

include State Council for Science & Technology or IP filing firm working with IIMTU.

- In the eventuality of rejection of an idea /invention after evaluating as per 8.3.2 the concerned inventor may be allowed to file respective invention/ idea in their names as applicant with prior approval of the competent authority of the university.

## 6.10. Process of Internal Evaluation for Patents:

### For provisional filing:

The University shall proceed as early as possible for provisional filing:

1. The inventor shall disclose the invention to IPR cell, DRD in the prescribed format(Annexure 6.1a for provisional and 6.1b for complete)
2. IPR cell will do the initial search through paid patent database and other free databases.
3. The faculty needs to submit details of budget and prototype making for the idea to the IPR cell in DRD.
4. If the idea is found completely novel in external patent search and working within budget, then it will be filed immediately.
5. The drafting and filing will be done by IPR cell in DRD.
6. Once the provisional filing is done the faculty incharge shall come up with the working prototype within 10 months from the date of provisional filing.
7. The cases studies after the analysis of external search received

**Case 1: Faculty Leaves the University after Provisional Filing:** If the concerned faculty leaves the University after provisional filing then the HOS of the concerned school shall allot the same project to some other faculty for prototype development. The benefits of commercialization shall not be given to the faculty who leaves the organization without prototype development. The benefits of commercialization shall be given to the faculty who has further developed the prototype with his name to be included in the complete patent filing (government fees to be paid as per the additional forms of patent office by the University).

**Case 2: Faculty Fails to Develop Working Prototype within Timeline:** If the faculty fails to develop the prototype within 6- 10 month timeline then the faculty shall produce reasons for not developing the working prototype. The inventor can request for post-dating the application for six months. In such cases the government fees for post-dating shall be borne by the inventors. Action shall be taken against the faculty member if they are still not making the prototype on time. The action shall be taken as per the discretion of the panel.

**Case 3: Internal Panel Rejects the Idea during Presentation:** If our internal panel rejects the idea during presentation and faculty still feels to move forward with the idea. The second panel will be constituted by HD DRD and the advice from external law firm will be taken and if second panel approves then filing complete will be done within stipulated timeline as per IPO. If law firm and second panel also rejects then patent may be assigned to the inventor and cost of filing and other expenses shall be reimbursed from the inventor.

### For Complete Filing:

The inventor/s shall disclose the invention to Intellectual Property Rights Cell, in the prescribed format (Annexure 6.1b)

1. Intellectual Property Rights Cell, IIMTU will do the initial search/forward the description for patent search to relevant office for complete patent filing.
2. The patent search report will be given to the inventor.

3. The inventor/s shall be required to go through the search report and give comparative statement with existing prior art.
4. Presentation by the Inventor in front of the committee regarding the IP idea.
5. The recommended IP by the committee will be submitted to competent authority for approval for further processing of IPR.
6. For the approved IPR the inventor/s shall submit the IPR filing request to the university.

## 6.11. Constitution of Committee for Internal Evaluation

- (a) The committee for internal evaluation in the end of invention/ idea from the academic department shall be constituted by the Senior Faculty, Head of Department, Dean Research of the university.
- (b) The Committee on Intellectual Property Rights (IPR) may be constituted with the following members.

i.	The Vice Chancellor / Nominee	.....	Chairman
ii.	Registrar of the University	.....	Member
iii.	*Head of IIMTU-SRAIIC cell	.....	Member
iv.	**Project Investigator (of sponsored project)	.....	Member
v.	***Member from the Sponsoring Agency.....		Member
vi.	Dean, Research.....		Member
vii.	Finance Officer.....		Member
viii.	A Member of the Faculty of Legal Studies /.....		Member
	A Legal Expert/ IPR agent		

\*,\*\*,\*\*\* presence is mandatory in case IPR is related to externally funded projects or consultancy related to industry/ academic institution.

- (c) The quorum of the committee shall be three-fourth members.

The committee experts shall give their remarks as per Annexure 6.2.

Note: The panel formed shall be above or at power of the cadre of the main inventor presenting. For example, if a Professor is presenting then panel members shall be Professor or above.

## 6.12. Filing National Filing

IPR Intellectual Property Rights Cell, IPR Cell will proceed with the filing of the IPR. IIMTU shall 100% charges of patent filing. For externally funded project 100% expenses will be borne from the project.

### International Filing:

The international filing will be done on special recommendation of the panel members and committee. .

IIMTU shall bear 100% of filing charges in case of national filing. The inventors share will be reimbursed after the grant of the international patent. For external funded project the entire cost will be borne from the external project itself.

## 6.13. Commercialization

After the filing or granting of the patent (IP), commercialization will be made through

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licensing or assignment or otherwise as seems appropriate by the university.

## 6.14. Distribution of Income

The distribution of net income earned by commercialization of IP shall be funded after adjustment of relevant expenditures as prescribed by the university.

(in Rupees) Net Income	Inventor/s (%)	IIMTU (%)
Upto 10 lakhs	75	25
10 to 50 lakhs	50	50
50 to 1 crore	25	75
above 1 crore	10	90

## 6.15. Copyright

### The Copyright shall be owned by the author(s) (Publication of Books):

The copyrights owned by the authors (faculty, researchers and students) for textbooks, research books, articles, monographs and other scholarly publications unless restricted by an agreement/understanding.

These may also include popular novels, poems, musical composition, and other works of artistic imagination, in-case any faculty or student prefers to work. The faculty or student or others concerned will keep IIMTU informed about such creations.

Revenue generated, if any, from such activities must be shared to IIMTU as per the prevailing rules of income from other professional activities/sources.

### Copyright Owned by IIMTU (Artwork, Lab manuals, Software etc)

- IIMTU shall be the owner of all copyright works including but not limited to software, teaching materials designed and developed by IIMTU personnel
- IIMTU will also be the owner of copyrights of works produced also other than including software teaching materials developed by person by utilising IIMTU resources, funds, time etc provide in the form of any of the resources or otherwise.
- No Objection Certificate in prescribed to Intellectual Property Rights Cell, DRD duly signed by all team members for the purpose of filing related to copyright by IIMTU (Annexure 6.3).
- The liability of infringement if found any shall lie on the inventor/author solely.
- In case of joint filing, letter of authorization has to be given to IIMTU for filing (Annexure 6.4)

## 6.16. Commercialization of Copyrights

The distribution of income in case of copyright owned by IIMTU shall be as per the terms and conditions of the agreement with the publisher.

IIMTU personnel shall give the due NOC for filing as per Annexure 6.3.

IIMTU shall be the owner of the copyright on all teaching materials, software, prototypes, paintings, sculptures etc as developed by the employees or students of the institute as a part of any of the academic programmes/activities. However, the author/s shall have the right to use the material in his/her professional work including their own books, articles, monographs,

speeches and other communications. The author/s shall have full rights to circulate the material as per the requirement with information being shared with the IPR cell, RAC.

A separate copyright agreement shall be signed with the author if required for commercialization as per advice from the legal department of IIMTU and further approval from the office of competent authority. The share of royalty for copyright and design registrations will be same as given in 6.15.

## 6.17. Other Copyrighted Material

IIMTU personnel

- (i) will respect protection offered by Indian Copyright Act of 1957 to all copyrighted material,
- (ii) would use copyrighted materials for only personal use, teaching and research purposes as permitted by Indian IP laws, and
- (iii) Would not use copyrighted material in their thesis, publications, reports and other professional documents without taking explicit prior permission of the copyright holder.
- (iv) Will be themselves responsible for reviewing and vetting their content for copyright compliance under the copyright act of India 1957.

In case of reproducing any pictures, diagrams etc. as such, the faculty/ researcher should be able to provide the copyright compliance. Also, if author/s find someone using their copyrighted material, they will inform the DRD with the evidence/s i.e. proof of usage for further action.

## 6.18. Trade and Service Marks

Trade and service marks related (examples such as logos, symbols, phrases etc) to goods and services specified/licensed as per Indian patent office involving IIMTU will be owned by IIMTU. In-case of joint project/s, the cost of trade mark registration fees will be shared as per the terms mentioned in the mutual agreement between IIMTU and other organizations. This activity will be done only in specified/licensed cases in which the technology/ product (patents) is fully developed and ready for commercialization/market launch. An infringement if found, the inventor/author shall be present in all court proceedings in case of infringement.

## 6.19. Violation of Policy

Any IIMTU personnel, if found guilty of non-adherence or violation or breach in respect of provisions of this policy, shall be subject to strict disciplinary action as decided by the university including but not limited to termination or expulsion as the case may be in addition to action as per relevant laws of land.

## 6.20. Power to Amend or Make Modifications

The university reserves the power to make modification(s) in respect of any provision of this policy as it deems appropriate from time to time. Where any doubt arises as to the interpretation of this policy, the decision of the competent authority of the University shall be



final and binding on all concerned.

### **6.21. Dispute Resolution**

In case of any dispute or matter concerning the IPR policy, the grieving party may appeal to IPR Cell shall constitute a committee and the verdict of the committee shall be final.

### **6.22. Legal Jurisdiction**

Dispute or any matter concerning this policy subject to the exclusive jurisdiction of courts of Meerut, Uttar Pradesh, India.

### **6.23 Infringements, Damages, Liability and Indemnity:**

As a matter of policy, University would, in any contract between the licensee and University, seek indemnity from any legal proceedings, but not limited to manufacturing defects, production problems, design guarantee, upgradation and debugging obligation. The University would also ensure that University personnel have an indemnity clause built into the agreements with licensee while transferring technology or copyrighted material to licensees. The University will retain the right to engage in or desist from or not in any litigation concerning patent and license infringements.

#### **Technology Transfer:**

The University shall strive to market the intellectual property (IP) and identify potential licensee(s) for the IP to which it has ownership. The creators are expected to assist in this process. The University may contract the IP to a Technology Management agency which manages the commercialization of the IP. For the Intellectual Property for which exclusive rights have not been already assigned to a third party, the creators may also contact potential licensee(s) on their initiative maintaining confidentiality and taking all necessary care so as not to affect the value of the IP through appropriate agreements such as Non-Disclosure Agreement (NDA) with the potential licensee(s) during technology marketing discussions.

The PIs shall not independently transfer technology either on exclusive or non-exclusive basis to any part without the consent of the IPR owners. The terms and conditions for each of such technology transfer shall be worked out on a case to case basis with approval of the Dean Research / Vice Chancellor.

## Annexure 6.1a Invention Disclosure Form for Provisional Filing Invention Disclosure Form

Details of Invention for better understanding:

1. **Title:** Tittle should be good and small enough to describe the invention.
2. **Inventor(S)/ Student(S):** All fields in this column are mandatory to be filled

A. Full name	
Mobile Number	
Email (personal)	
UID/Registration number	
Permanent Address	
B. Full name	
Mobile Number	
Email (personal)	
UID/Registration number	
Permanent Address	

(For Additional Inventors, Please Add Rows)

### 3. Description of the Invention

- A. **Problem Addressed by the Invention:** Please describe the basic problem which is being identified and addressed? (250 words)
  - B. **State of the Art/ Research Gap:** Describe how what is the research gap being fulfilled. (250 words)
  - C. **Detailed Description (Technical as well as non-Technical):** Provide detailed description about invention with drawings, pictures, sketches, circuit diagrams wherever necessary? (500 words)
  - D. **Advantages of The Invention:** Share the results and advantages and superiority over the existing prior art (150 words)
4. **Keywords:** Please provide right keywords for searching your invention.
  5. **Potential Claims:** Please provide potential novelty and uniqueness in points of the system so that the claims can be written.

Signature of Inventor

Name of Inventor  
with UID and  
Department

Date

## Annexure 6.1b

### Invention Disclosure Form Complete Filing

#### Invention Disclosure Form

Details of Invention for better understanding:

- TITLE:** Title should be good and small enough to describe the invention.
- INVENTOR(S)/ STUDENT(S):** All fields in this column are mandatory to be filled

A. Full name	
Mobile Number	
Email (personal)	
UID/Registration number	
Permanent Address	
B. Full name	
Mobile Number	
Email (personal)	
UID/Registration number	
Permanent Address	

(For additional inventors, please add rows)

#### 3. Description of the Invention

- Problem Addressed by the Invention:** Please describe the basic problem which is being identified and addressed? (250 words)
  - State of the Art/ Research Gap:** Describe how what is the research gap being fulfilled. (250 words)
  - Detailed Description:** Provide detailed description about invention with drawings, pictures, sketches, circuit diagrams wherever necessary? (500 words)
  - Results and Advantages:** Share the results and advantages and superiority over the existing prior art (150 words)
  - Alternatives/ Expansion:** Any variables which are necessary for your invention to be covered? (150 words)
  - Working Prototype/ Formulation/ Design/Composition:** Is your working prototype or other ready? If no, how much time is required for the same. Give details
  - Data:** Any clinical or comparative data necessary enough to support your invention
- 4. Use and Disclosure (Important):** Please answer the following questions:

A. Have you described or shown your invention/ design to anyone or in any conference?	YES ( )	NO ( )
B. Have you made any attempts to commercialize your invention (for example, have you approached any companies about purchasing or manufacturing your invention)?	YES ( )	NO ( )

C. Has your invention been described in any printed publication, or any other form of media, such as the Internet?	YES ( )	NO ( )
D. Do you have any collaboration with any other institute or organization on the same? Provide name and other details	YES ( )	NO ( )
E. Name of Regulatory body or any other approvals if required.	YES ( )	NO ( )

5. Provide links and dates of such activities if you have disclosed the information in public before sharing with us.
6. Provide the terms and conditions of the MOU also if the work is done in collaboration within or outside university.
7. Potential Chances of Commercialization
8. List of companies which can be contacted for commercialization along with the website link.
9. Market potential of the invention.
10. Any basic patent which has been used and we need to pay royalty to them.
11. **Filing Options:** Please indicate the level of your work which can be considered for provisional/ complete/ PCT filings
12. **Keywords:** Please provide right keywords for searching your invention.
13. **Log Books and Notebooks:** Please provide log books and note books with date when the idea was discussed with your team.

Signature of Inventor	Name of Inventor with UID and Department	Date
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## Annexure 6.2

### Evaluation Form for Patent/Copyright (Software/Design)

(To be completed by the HOF, HOS, HOD, COD, Dean DRD and the committee members)

**Name of Inventor/Inventors:**

**UIDs/Registration Numbers:**

**Designation of the Inventors:**

**Title of Patent/Idea/Design/Copyright:**

Sr. No	Evaluation parameter	Maximum Marks	Marks given	Remarks
1	Novelty of Idea/Design	20		
2	Non Obviousness- Superiority over existing	20		
3	Usefulness/Industrial scalability	20		
4	Research gap identified	20		
5	Chances of Success of Commercialization/Licensing	20		
6	Expected Outcome- Provisional/Complete/PCT/Sp eCIF/CILic country	-		Provisional/Complete/PCT/Sp eCIF/CILic country
7	Further study or data required	-		Yes/No
8	Expected Outcome- International filing	-		PCT/Country speCIF/CILic (Mention country)
9	International Collaboration if any	-		Yes/No (Provide details)
	Total	100		

(Minimum requirement: 60% in each and 75% aggregate)

Recommendations: .....

Reviewer name and ID .....

Date:

(Signature of Reviewer)

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**Annexure 6.3**  
**No Objection Certificate from Authors/ Team Leaders/Photographer**

To  
The Registrar of Copyrights  
Copyrights office,

Copyright Division  
Department of Industrial Policy & Promotion  
Ministry of Commerce and Industry  
Boudhik Sampada Bhawan  
Plot No 32, Sector 14, Dwarka  
New Delhi-110075

**Subject:** - Registration of Copyright for the Title

Dear Sir,

We have received a copy of the application for registration of copyrights of above cited works submitted by:

IIMT University, O POCKET MAWANA ROAD GANGA NAGAR MEERUT. The above work was created by us as Member of the Project Team for title:.....

We have no objection if the work is registered in the name of:- IIMT University

And I/We hereby confirm that IIMT University is the owner of all rights comprising copyright on the above work (s).

Thanking you,

Yours faithfully,

Place:

Date:

**Annexure 6.4**  
**Authorization Form**

Ref number:  
Date:

**To,**  
**The Registrar of Copyrights**  
**Copyrights office,**

Copyright Office, Copyright Division  
Department of Industrial Policy &  
Promotion Ministry of Commerce and  
Industry  
Boudhik Sampada Bhawan  
Plot No.32, Sector 14, Dwarka,  
New Delhi-110075

**Subject:** Authorization for registration, filings, renewal and maintenance of copyright

Thanking you.

Yours  
faithfully,

Ref. No. : IIMTU/V.CO/IPR/2022/07/01

Dated : 11/07/2022

## LETTER OF AUTHORIZATION

I, **Dr. Deepa Sharma**, the **VICE CHANCELLOR** of **IIMT UNIVERSITY**, on behalf of the **IIMT UNIVERSITY** hereby authorize **Dr. V.P. Rakesh** the Registrar of **IIMT UNIVERSITY** as an Authorized person on behalf of the **IIMT UNIVERSITY** to sign, submit, alter, modify, present, represent and authorize anybody to represent for all Copyright, Trademark, Design and Patent related documents and work.

Yours sincerely,

*Deepa Sharma*

**Dr. Deepa Sharma**  
Vice-Chancellor

Vice Chancellor  
IIMT University, Meerut, U.P.



## Chapter 7

### Dr. Abdul Kalam Fellowship (Research & Teaching) Fellowship Policy for Full Time PhD Students/JRF/SRF

#### 7.1 Objective of the Policy

The purpose of introducing teaching fellowships is to attract meritorious and research intensive scholars for pursuing Ph. D. at IIMTU. These fellowships are intended to produce quality scholars with relevant training for research and academic-related careers in teaching and research. We hereby, float research & teaching fellowships to engage scholars in quality research projects along with sharpening their teaching skills.

#### 7.2 Eligibility Criteria for Teaching Fellowship

The fellowship is available to full time Ph. D. scholars of IIMT University with good subject knowledge & good communication skills. Preference will be given to NET/GATE/GPAT /University Entrance qualified candidates, scholars from premier institutes and to those having previous teaching and research experience.

#### 7.3 Duration of Fellowship

Upto 01 year and extendable on yearly basis maximum of 2 years (subject to successful completion of yearly revived process)

#### 7.4 Details of Fellowship

1. The fellowship awardee will be paid an honorarium per month (consolidated) and one time contingency per year as per the approval of concerned committee and decision of competent authority thereafter.
2. The scholar is required to take teaching load of **minimum six credits** with the possibility of: 6 L or (3 L + 6 P) or (3 L + 6 T) or (6 P + 6 T) or (12P/ 12 T) subject to maximum of 9 hours.
3. If the research scholar is working on funded project then it will be considered as research fellowship.

#### 7.5 Terms & Conditions

Following terms and conditions are applicable on scholars availing fellowship:

1. The scholar will perform all the duties & responsibilities related to his/her class such as maintenance of attendance, evaluation of CA components or assignments, etc.
2. He /she will attend the course coordinator meetings only.
3. Classroom teaching evaluation by concerned HOD will be applicable for them.
4. During the non-teaching period, such scholars may be given summer classes/invigilation or admission duty equivalent to minimum 6 credits or being decided by the University.
5. No administrative responsibilities would be given to the scholars during the tenure of fellowship.
6. Fifteen days in a calendar year could be availed as casual leaves.
7. Morning biometric attendance is mandatory (morning & evening) on the day of classes.

8. The scholar is free to discontinue his/her fellowship not before 6 months from the date of receiving fellowship and also need to serve 01 month notice period in addition.

## 7.6 Research Targets during the Tenure of Fellowship

1. The scholar is availing teaching fellowship will be required to complete his/her Ph.D. course work within the first year of fellowship.
2. In second year of fellowship he/she has to publish minimum one paper in Scopus/WoS indexed Journal or have to present at least one paper in conferences /seminar (Scopus/ WoS indexed).
3. In the third year of fellowship, scholar has to publish another paper indexed in Scopus/WoS Journals and have to present at least one paper in conferences/seminar (Scopus/ WoS indexed).

## 7.7 Fellowship Selection Process

After completion of course work, scholar will submit application in prescribed format to Research & Development Cell with copy of his/her resume.

Upon all the applications, a screening process will be applicable. A screening committee consisting of following members will screen all the proposals;

1. Dean Research
2. Senior Faculty of the level of Professor
3. Senior Faculty of the level of Associate Professor
4. Member of Research Advisory Board
5. Head- Ph.D. Cell

## 7.8 Disbursement of Fellowship

The disbursement of fellowship will be processed by HR as per terms and conditions.

### **Important Note:**

All previous policies (Research Fellowship/Teaching Assistantship) related to Ph. D. scholars will be null & void and this policy only will be applicable to all batches of Ph. D. Full Time scholars.

Note:

1. Number of teaching fellowship should be 10% of existing faculty members in the disciplines (CSE, Management, Social Sciences, Arts and languages, Physiotherapy, English).
2. For other disciplines (not mentioned above) teaching fellowships shall be 5% of existing faculty members.
3. Variations can be made on special approval of higher authorities.

## 7.9. Selection Criteria for Research Teaching Fellowship

Name of Candidate	
Registration No	

Date of Admission					
Email ID					
Mobile Number					
Discipline & School					
S. No.	Parameters	Maximum Marks	Marks Obtained	% weightage	Actual marks
1.	<b>Teaching Skills</b>				
	Professional Knowledge	10		15	
	Personality	10		03	
	Attitude	10		03	
	Communication	10		03	
	Teaching Seminar	10		06	
2.	Research Publications <sup>(a)</sup> (Scopus/WoS indexed) from Masters thesis	15		20	
3.	Presentation skills and Query	15		20	
4.	NET / GATE / CSIR /GPAT Qualified	5		10	
5.	Gold Medalist/ Academic Honours/10 CGPA Holder in Masters	10		10	
6.	Master degree from premier institute <sup>(b)</sup>	5		10	
	<b>Total</b>	<b>100</b>		<b>100</b>	

**Remarks of the Panel Member:** -----  
-----  
-----

## Signature of the Panel Member:

Marking parameters for:	Criteria
<sup>a</sup> Research Publications	As per existing policy of RAC
<sup>b</sup> Premier Institute	As per HR criteria

## 7.10. Candidate's Progress and Review of Fellowship

The progress of fellowship holder will be reviewed on completion of his/her 1<sup>st</sup> year of fellowship followed by review after completion of 2<sup>nd</sup> year of fellowship.

Review after 1 <sup>st</sup> year of fellowship <sup>#</sup>	Review after completion of 2 <sup>nd</sup> year of fellowship			
Ph.D course work marks -20%	Classroom teaching feedback by concerned HOD - 30%			
Classroom teaching feedback by concerned HOD - 30%	Students Feedback- 30%			
	Publications (Scopus/WoS indexed) - 20%			
Students Feedback - 30%	Paper presented in conferences/seminars (Scopus/WoS indexed) - 20%			
SOTA clearance - 20%				
<b># Candidate is expected to score 65% and above to qualify for continuation of fellowship.</b>				
<b>Parameters to review candidate progress for continuation of fellowship</b>				
Parameters	Maximum Marks		Marks Obtained	
<b>Ph. D. course work % / CGPA</b>				
10	20			
9	15			
8	10			
7	05			
<b>Marks scored in classroom teaching in evaluation by HOD</b>				
	After 1 <sup>st</sup> year and onwards till completion of 2 <sup>nd</sup> year of fellowship	After completion of 2 <sup>nd</sup> year of fellowship	After 1 <sup>st</sup> year and onwards till completion of 2 <sup>nd</sup> year of fellowship	After completion of 2 <sup>nd</sup> year of fellowship
80 above	30	20		
Above 75-	25	16		
80				
Above 70-75	20	12		
Above 65-70	15	08		
Above 60-65	10	04		
<b>Average rating from students feedback (as per DAA policy)</b>				
	After 1 <sup>st</sup> year and onwards till completion of 2 <sup>nd</sup> year of fellowship	After completion of 2 <sup>nd</sup> year of fellowship	After 1 <sup>st</sup> year and onwards till completion of 2 <sup>nd</sup> year of fellowship	After completion of 2 <sup>nd</sup> year of fellowship
5	30	20		
4	25	15		
3	20	10		

Below 3	15	05		
<b>Publication (Scopus/WoS indexed)</b>				
Minimum one in one year	Marks as per existing policy of DRD			
<b>Paper presented in conference/seminar (Scopus/WoS indexed)</b>				
Minimum one in one year	Marks as per existing policy of DRD			

## Chapter 8

### Endowment Research Chair Policy

#### 8.1. Purpose

The purpose of Endowment Research Chair is to attract, recognize and retain scholars who are acknowledged by their peers as being eminent in their fields. It is a prestigious academic appointment in IIMT University to promote excellence in teaching and research and to extend the frontiers of knowledge by hosting men and women who have won national and global acclaim for their novel contributions. The disbursement of the fund to the endowment chair will be from endowment fund raised from industry /academia/trust/society/alumni etc. The research chair will be established as per the guidelines of UGC.

#### 8.2. Objectives

- To increase visibility in terms of recognition/ rankings/citations in research.
- To encourage world-renowned professionals to spend time at IIMT University as distinguished visiting faculty
- To retain quality faculty at IIMT University
- To help and mentor young faculty members in research and guide them to excellence.

#### 8.3. Qualifications to be Nominated for Endowment Chair

- Will be a faculty of IIMTU or from outside the university.
  - Should be a doctorate with proven track record of research
  - Should have an excellent grants/ publications/ innovation profile.
  - Should be able to take the academic activities to a higher level of excellence.
  - Should be a distinguished scientist of the Nobel class from abroad.
  - The primary requirement is that the Chair must be among the topmost in his/her field. The Chair will have enough academic freedom to pursue his/her research work, teaching and other innovative programs.

#### 8.4. Selection Procedure

- A Chair may be nominated by Schools/Departments/Centres from within IIMTU/outside by advertisement of the post.
- If self-nominated, the applicant must submit a statement of purpose indicating a clear vision for building a new academic/research initiative in IIMTU.
- The chair should be willing to transfer knowledge and technology
- Confidential evaluations of the work of the nominee/applicant will be sought from two or more external experts who are well known in the field.
- The application along with the evaluations of the work of the candidate by experts will be placed before a selection committee of IIMTU headed by the Vice Chancellor.
- The tenure of a Chair is normally for five years and can be renewed if so recommended by the review committee.
- The selection committee will also fix the quantum of financial incentive (up to Rs. 5lakhs per annum) to be paid to the Chair.

### 8.5. Expectations from the Endowment Chair

- The Chair is expected to increase the overall visibility of the IIMTU, both nationally and internationally.
- The Chair would attract partnerships with the best institutions from abroad.
- The Chair is expected to pursue high quality research and produce high quality work in the respective area of expertise.
- The Chair is expected to develop and sustain a mentoring system for junior faculty members by providing advice and feedback on research and publication and help them to network.
- To carry out multiple research work in collaboration with IIMTU faculty members and present at least one strategic research project leading to successful grant from external funding agencies.
- Authoring scientific research papers, books/book chapter with IIMTU faculty members and research scholars
- Co-supervision to Masters and PhD students of IIMTU
- To participate in setting up of research infrastructure / knowledge parks / business incubators at IIMTU
- To participate in improving the curriculum and introducing new courses
- Offering workshops and seminars benefitting students and faculty members
- To participate in establishing and creating mutual educational programs, which lead IIMTU students to join the corresponding university.
- Offering faculty exchange programmes and at least one IIMTU faculty member should be benefitted every year.

### 8.6. Evaluation of Endowment Chair

- Every endowment Chair will submit half yearly reports to the office of VC followed by annual report to the Registrar office to be appraised in the Academic Council & Executive Council.
- Every two years the Chair will be evaluated by a review committee at IIMTU chaired by the Vice Chancellor.
- The review committee will decide the continuation or discontinuation of the Chair.
- The performance of the Chair will be presented to the Academic Council, IIMTU and Executive Council, IIMTU.

### 8.7. Travel and Hospitality:

All travel expenses (Economy airfare) and local hospitality shall be borne by the University for visiting chairs.

## Chapter 9 Post-Doctoral Fellowship

### 9.1 Purpose

A foundation of the policy is to support the young talented researchers through extraordinary opportunity by offering funding for carrying out research at IIMT University. This policy addresses young scholars to deepen their expertise, to acquire new skills, to work with additional resources and to make connections with others in their field. The Postdoc fellow will work under a faculty mentor of IIMTU, to enhance their professional skills to launch an independent career.

### 9.2 Objectives

- To provide IIMTU researchers and academic departments the opportunity to host postdoctoral fellows to strengthen their research.
- To strengthen globalization at IIMT University and expand collaborative research networks internationally by hosting international Postdocs.
- To provide IIMT University the opportunity to expand its research area in cutting edge fields of current demand and to enhance its research productivity through high quality scientific publications and technology transfer.

### 9.3 Eligibility

- The applicant must have obtained Ph.D. degree from a recognized University. Those who have submitted their Ph.D. thesis and are awaiting award of the degree are also eligible to apply. However, such candidates, if selected, will be offered lower fellowship amount till they qualify the eligible degree.
- The upper age limit for the fellowship is 35 years at the time of the submission of application.

### 9.4 Nature and Duration of Support

- A Postdoc Fellow is an employee of the University and shall work under the direct supervision and mentorship of the Faculty Mentor.
- The fellowship is applicable for a maximum period of 2 years.
- The amount of Rs. 55,000 per month shall be given as fellowship and Rs. 35000 per month for those candidates who have submitted the thesis, but degree not awarded.
- Research Grant of Rs. 2,00,000 per annum shall be given to Postdoc to pursue research at IIMT University.
- The fellowship amount for international applicants will be given as per the following Table.

World Ranking (QS and Times Higher Education)	Amount
Top 100	\$2000/month
Top 101-250	\$1750/month
Top 251-500	\$1500/month
All other International Research Fellows	\$1000/month



\*Note: PhD degree will be considered for deciding fellowship amount based on QS and THE world university ranking

## 9.5 Selection Criteria

- The call for postdoc's fellow will be notified through the university website [www.iimtu.edu.in](http://www.iimtu.edu.in) and through advertisement in newspaper.
- The applicant must submit a research proposal highlighting the objectives of the research work along with application form through university website.
- The shortlisting of candidates shall be done by an Expert Committee that will be nominated by the Division of Research and Development.
- The shortlisted applicants will be called for personal/online interview.
- Final selection will be done by higher authorities.

## 9.6 Facilities and Benefits

- The Postdoc will be provided with adequate working space, equipment or regular access to required equipment present within different schools, Central Instrumentation Facilities, basic administrative facilities, including IT network access, printing, internet use, an institutional email address, library facilities and access.
- Postdoc fellow's performance shall be evaluated after successful completion of fellowship based on research outcomes and based on that regular appointment as Research Faculty will be given to him/her which may further be converted to Research Intensive Faculty.

## Important Points

- "Division for Research Development (DRD)" is the entity responsible for the administration of the postdoctoral research fellowships and ensuring that appointments, activities and terminations comply with the regulations of the University and that the terms of the policy
- Postdocs may or may not be involved in teaching and co-supervision of postgraduate students as per discretion of Faculty Mentor.
- A Faculty mentor shall not have more than two Postdoc fellows at any given time.
- The applicant can avail this fellowship only once in his/her entire career.

## 9.7 Termination of the Fellowship

- If any fellow wishes to terminate the fellowship, he/she shall submit the application through mentor to Division of Research and Development. The application shall further be submitted to Division of Human Resource.
- All the reports and data must be submitted to faculty mentor by the Postdoc Fellow.
- University and Faculty member holds exclusive right of publishing that data at any point of time.

## Chapter 10

### Research Intensive Faculty / Research Faculty / Teaching Faculty Recruitment, responsibilities and expected performance

#### 10.1 Research Intensive faculty (RIF):

RIF are members of IIMTU faculty whose primary responsibility is to conduct research rather than instruction. Only PhD degree holders would be eligible for RIF. In addition, the following steps and criterion will be used for the selection and recruitment of RIF at IIMTU.

##### 1. STEP 1 (Screening of applicants)

##### a) **Criteria 1: (should fulfil any of the following two below mentioned requirements)**

- a. At least 5 publications in Scopus/WoS indexed quality referred journals as a first author/corresponding author /supervisor of student thesis.
- b. Should have submitted two or more grant proposals for funding in last two years as a PI
- c. Have international exposure (either Ph.D. from an international university or Post Doctoral experience atleast one year at an overseas university of repute with significant number of refereed journal papers)

##### b) **Criteria 2:**

Faculty members who are having externally funded projects from DBT, DST etc as a PI and are running these research projects successfully at IIMTU.

##### 2. STEP 2 (Selection)

Interview with a panel appointed by the Head, DRD constituting members from Internal and external experts

During the interview faculty will be asked to make a small presentation on the proposed research work and work plan for next 3 years. Work plan should include an outline of proposed accomplishments for every 3 months increments including establishing a new lab, number of Masters/PhD students to be recruited, number of research grants to be written for funding, number of research papers published, national/international to be attended, list of collaborators etc. Faculty should also come up with budgetary requirements to establish their independent research labs and idea for funding the labs.

The selected faculty for RIF/RF will sign a position responsibility statement.

#### 10.1.1 Proposed benefits, exemption and relaxation to identified research intensive faculty:

- a. 50% subsidy on accommodation on the campus.
- b. Teaching load of one course of 3 credit hours.
- c. Lab space and independent office cabins will be provided
- d. Flexible office timing will be offered but faculty is expected to work for at least 8 hours per day in the University.

- e. All Examination duties will be exempted
- f. HRDC training (optional and not compulsory)
- g. Exemption from CDR activities and admission duties.
- h. Relaxation that RIF/RF are not appointed as CC or MCC coordinator and section Mentors. Relaxation from general faculty meetings
- i. University will give first priority for allocating masters and PhD students to research intensive faculty
- j. Generally, no administrative responsibility shall be given to research intensive faculty.

### 10.1.2 Expectations:

1. Research Intensive Faculty is expected to publish high quality research papers as first/Corresponding author.
2. Quality of publication:

Discipline	Quality of publication
Sciences	Cumulative expected impact factor* of 7.0 or Cumulative expected SJR of 2.0
Engineering and Computer Science	3 research papers with >1 Impact factor or >0.3 SJR
All others	Unpaid journals of highest quality indexed in Scopus/WoS

\*Impact factor as per Clarivate Analytics journal citation report.

3. Faculty is expected to present at least one paper in the National / International Conference indexed in Scopus/WoS. Travel grant as per policy would be given.
4. RIF faculty are expected to write 3 or more grant proposals a year each with an average budget amount of about Rs. 25 to 50 lakhs and have about one grant proposal, funded annually, definitely by year 2.
5. Engineering and Science faculty are expected to file patent for new technological advances. Patent filing with complete specification CIF/CIL will be considered in lieu of one publication equal to one Impact factor.
6. If technology transfer/licensing is successful, the revenue generated will be treated as an approved research grant.
7. Expected to guide Masters and PhD students.
8. RIF are expected to network with Industry, National/International research organizations/centers of excellence and overseas Universities for developing joint research projects and organize international conferences/visiting professorships.

### 10.1.3 Review of Performance:

There will be a quarterly review on the progress and performance of RIF faculty members and faculty should make themselves available for one-hour review meetings.

Parameters for evaluation – Number of Peer Reviewed Journal Publications, Quality of Peer Reviewed Journal Publications, Full Papers published in National/International Conference

proceedings, IPR, Progress on research grant proposal submission, research grants proposals funded and collaborations made.

If quarterly review progress/performance is not satisfactory in two consecutive reviews meetings, a management plan for performance improvement will be developed for the faculty.

Parameters evaluation for	Max points	Points	Remarks
<b>Category 1: Publications and IPR</b>	40		
Publications		Writing - 2 Under review - 5 Accepted / Published - 10	If publication is made in the journal with expected Impact factor or SJR, each publication carries 10 points
Full paper publication in conferences		Accepted / Published -3	Publication in Scopus/WoS indexed conference proceedings carries 3 points
IPR filing		Provisional – 3 Complete - 10	
Tech transfer or licensing		15	
<b>Category 2: Grants</b>	40		
Grant Proposal submission		5	For every project (amount as per expectation)
Grants approved		25	For every project (amount as per expectation)
<b>Category 3: Collaboration</b>	15		
MOU		National (Govt. Research org.) - 5 International (Universities/Research organizations) - 10	For every MOU to be signed, prior approval should be taken
Joint Research work		Maximum 5 points	For joint research work with International Universities
<b>Category 4: Others</b>	5		
Any other research contribution not mentioned above		Maximum 5 points	For Editorial work, research news, events etc.

**Note: These points shall be redeemed during appraisal/ API calculation.**

## Budget (Proposed):

Year	Research intensive faculty	Budget for research infrastructure (central and individual) *
Year 1	3% of total faculty strength	5 crores
Year 2	5% of total faculty strength	5 crores
Year 3	10% of total faculty strength	5 crores
Year 4	15% of total faculty strength	5 crores
Year 5	20% of total faculty strength	5 crores

\*After Year 1, all RIF faculty will be recruited only by using external experts.

\*for purchase of equipment's and 10% may be used for consumables.

\*this budget does not include furniture, salary and other incentives.

## 10.2 Research Faculty (RF):

Option given to faculty members for becoming Research Faculty within respective schools Research Faculty members will have 50% Teaching (maximum 2 courses with 6-8 credit hours load) and 50% Research responsibilities.

### 10.2.1 Proposed benefits, exemption and relaxation to identified research faculty:

1. Teaching Load relaxation – 50% (maximum teaching load of two courses 6-8 credit hours)
2. Examination duty exemption. But question paper setting and evaluation duty of two courses will be part of the responsibility.
3. HRDC training is optional.
4. Exemption from admission duties

### 10.2.2 Expectations:

1. Faculty is expected to publish high quality research papers as first/Corresponding author.
2. Quality of Publication

Discipline	Quality of publication
Sciences, Engineering and Computer Science	Cumulative expected impact factor* of 5.0 Or Cumulative expected SJR of 1.25
Engineering and Computer Science	2 research papers with >1 Impact factor or >0.3 SJR
All others	Unpaid journal indexed in Scopus/WoS

3. Research faculty are expected to write two or more grant proposals a year each with an average budget amount of about Rs 15 to 40 lakhs and have about one grant proposal; funded annually, definitely by year 2.
4. Guide MS and PhD students

5. Expected service for professional societies such as editorial boards.
6. Networking with industry/overseas universities for developing joint research projects.

### 10.2.3 Upgradation of RF to RIF:

Being a Research Faculty, if he/she shall fulfil the research expectations of RIF in a particular year, then they may be upgraded to RIF.

### 10.3 Teaching faculty (TF):

**Faculty members in School may opt for 100% teaching.**

Even if faculty member is opting for 100% teaching some minimum research outcome is expected as follows:

Category	Research Target
Faculty members in the rank of Professor or Associate Professor	Average of two papers in refereed journal per year in WoS/Scopus indexed journals
Faculty members in the rank of Assistant Professor	One conference full paper / Journal paper a year indexed in Scopus/WoS

### Calculation for one research paper target:

If a paper has more than one IIMTU faculty member, then the target for paper will be divided equally among all the authors. For example, if a paper is written by 2 IIMTU faculty members, then each faculty target completion will be 0.5 each.

Note: Patent filing can be considered in lieu of 1 publication.

### Terms and Conditions

- Any grant/incentive/award/leaves cannot be claimed as a right and acceptance or rejection of any such request shall be solely at the discretion of the University.
- All the achievements claimed for awards/bonus points/leave points/USCG/Conference grant or any other benefit mentioned in this document, should have affiliation of “IIMT University”
- University reserves the right to exclude any journal indexed in WoS or Scopus for Benefits/grants/awards
- University reserves the right to exclude any publisher for publication of Books/Book Chapters for Benefits/grants/awards
- University reserves the right to modify or amend this Policy in whole or in part, at any time, and with/without notice.
- Where any doubt arises as to the interpretation of this policy, it shall be referred by the Division of Research and Development to higher authorities for a final decision.
- Five leave point is equal to one leave. The unavailed leave points and benefits mentioned in annexure 1.1 shall be carried forward to the next academic year only without any loss.

- All benefits will lapse if the faculty/staff leave the organization.
- All the benefits cannot be encashed.
- This policy supersedes all existing research awards, facilitation, incentives and all such research promotion policies.
- For papers being published through conferences in Scopus/WoS indexed journal, conference grant can be applied.
- For awards, no major or serious disciplinary case executed against faculty/staff in the academic year.
- Wherever students are involved in the research work, authorship shall be given to the students also.
- In case any candidate is found guilty at any stage of any Mal-practice or academic dishonesty or misconduct or plagiarism including self-plagiarism, copyright infringement also including but not limited to misuse of his / her authority or position, misrepresentation, suppression of facts etc. or contravention of the university policy, then any or all of the awards, benefits, entitlements etc already awarded to such candidate may be withdrawn.



(Registrar)

**IIMT**  
**UNIVERSITY**  
**MEERUT**

Transforming Education System, Transforming Lives



UGC Approved

Section 2(f) & 12B

# RESEARCH PROMOTIONAL POLICY

Policy No.:- IIMTU/RO/IQAC/2020/20





**IIMT UNIVERSITY**

**MEERUT**

**RESEARCH PROMOTIONAL POLICY( Revised)**

( w.e.f: 01 Feb, 2021 )

Hon'ble chairman Sir  
for your kind Approval plz.

Deepa  
21/1/21

ole  
Y. J. S.

Hon'ble Sir,  
for kind approval plz.  
Suggested corrections  
are incorporated.

Deepa Sharma  
20/01/2021

## **Para-1: PURPOSE**

University has formulated this Policy for the management of intellectual property right to:

- a) provide a conducive environment leading to development of intellectual property;
- b) facilitate, encourage, promote and safeguard scientific investigation and research and the freedom of the scholars involved in R&D;
- c) establish an IPR management policy and procedural guidelines for making available to the public the inventions and discoveries made in the course of research carried out in the university;
- d) frame standards for do's and don'ts for the University, creators of intellectual property and their sponsors relating to inventions, discoveries and original works originating from the University;
- e) promote, facilitate and provide incentives to the members of the community of creators who take initiatives to transfer University intellectual property to the public under this Policy;
- f) enable the University to secure sponsored research funding at all levels of research;
- g) make the University a prime academic research institution pursuing the highest ideals of scholarship and teaching by dissemination of the benefits of Intellectual Property originated from the University to the community and society;
- h) make the creator of IPR aware of the applicable laws and rules for ensuring their compliance; and
- i) enable the University to make beneficial use of such developed IP for the maximum possible benefit of the creators, the University, and the nation at large.

## Para-2: OBJECTIVES

The objectives of the Policy are as follows, namely:

- a) Creation of research environment with focus on outcome based research.
- b) To Support and encouragement to faculty and students for realization and enhancement of research potential.
- c) To strengthen linkages through national and international collaborations and partnerships with key reputed institutions, industry, government, policy makers and funding agency of research.
- d) to promote academic freedom and safeguard in creation of intellectual property at the University;
- e) to provide a comprehensive single window reference system for all intellectual property rights issues relating to intellectual property generated at the University;
- f) to safeguard the interest of creator of intellectual property and provide fair distribution of returns accruing from the commercialization of IPR;
- g) to help in introducing prudent IP management practices within the University to promote an IPR culture;
- h) to provide legal support, wherever necessary, to defend and protect the intellectual property rights obtained by the University against any infringement/ unauthorized use;
- i) to create an environment for acquiring new knowledge through innovation and research, compatible with the educational mission of the University;
- j) to preserve the academic freedom to publish the research results and to make them aware that if they do decide on public release, the patent system cannot be brought into play thereafter;
- k) to ensure that once they decide to explore the prospects of commercialization of IP, they must disclose it to the University, while continuing to keep the information confidential until patent applications are being processed; and
- l) to ensure the release of university's rights relating to an IP, back to the researcher where University decides not to pursue the opportunity for

- m) commercialization.
- n) Organizing lectures/symposia/workshops on intellectual property rights (IPR), patent drafting and filing to aid researchers in better understanding of their rights and protection against unfair competition and plagiarism.
- o) To promote interdisciplinary and collaborative research.
- p) Encouragement in publishing research papers in quality journals like Scopus, web of science and UGC approved journals.

### **Para-3: Research Development Fund**

1. Disbursement of seed money to researchers for improving research quality and nurturing ideas at initial level.
2. To provide seed money to researchers who have demonstrated research capabilities as evidenced by publications, awards, projects, patents, consultancies etc. For a recently joined faculty the previous track record (of the same as above) will qualify for grant of seed money.
3. The maximum amount can be offered as seed money is minimum Rs. 50,000 for exceptional proposals as decided by research committee.
4. Additional research grants besides seed money can be extended to researchers on proving potential in form of above-mentioned outputs.

### **Para-4: Conference Grants**

1. Each faculty can be allowed DL and Registration per conference, with a maximum for three (3) conferences in a year defined from January to December. This is only valid for Scopus Indexed conferences.
2. Ph.D. scholars can avail the conference funding with the maximum amount of Rs. 10,000 in a year.
3. UG and PG students can avail the conference funding with the maximum amount of Rs. 5,000 in a year.
4. Funds will be awarded for conference/workshop organized in the campus in the capacity of organizing secretary or convener only.

### **Para-5: Research Facilities**

1. Every Research lab are to be equipped with network printer, good internet

connectivity with high bandwidth and wi-fi.

2. High performance computational facilities are provided to the faculty members/research scholars, if required.
3. Assistance for collaborating with other institutions/organizations for carrying out advance research. IF support facilities are not available.
4. Research Excellence Awards for Department/College faculty's members.
5. Establishment of Centers of Excellence in collaboration with Institutions/Agencies of National Relevance with a purpose of Collaborative Research.
6. Reduced teaching and other load are relaxed for faculty members actively involved in research as reflected by the research papers published / patents taken/projects applied in last five years.

#### **Para-6: Contingency**

1. Contingency grant of maximum Rs.25000/- per year is offered to faculty/research scholars for meeting expenses incurred on chemicals, glass wares, kits and other miscellaneous items (not available in laboratory) on submission of justification, duly verified by the supervisor and recommended by Dean Research and approved by Vice Chancellor.
2. Contingency money may also be used for travel for data collection and sampling as required by the research objectives.
3. Both the above points should be duly verified by supervisor, recommended by Dean Research and Development (R&D) and approved by Vice Chancellor.
4. Contingency grant can also be used for the procurement of professional bodies membership.

#### **Para-7: Anti-Plagiarism Policy**

The research work carried out by the scholar/faculty, shall be based on original ideas and free from plagiarism of either results or literature.

The following key policies on plagiarism as defined by UGC, should be abided strictly by all.

## **Anti-Plagiarism Policy for scholar ( PG and research) and faculty including paper and book publications and submission of thesis and dissertations:**

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

- **Level 0:** Similarities upto 10% - Minor similarities, no penalty
- **Level 1:** Similarities between 10% to 40% such scholars shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.
- **Level 2:** Similarities between 40% to 60% such scholars shall be debarred from submitting a revised script for a period of one year.
- **Level 3:** Similarities above 60%, scholar's registration for that programme shall be cancelled.

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

- I. **Level 0: Similarities up to 10%** - Minor similarities, no penalty.
- II. **Level 1: Similarities above 10% to 40%**
  - i) Shall be asked to withdraw manuscript.
- III. **Level 2: Similarities above 40% to 60%**
  - i) Shall be asked to withdraw manuscript.
  - ii) Shall be denied a right to one annual increment.
  - iii) Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a period of two years.
- IV. **Level 3: Similarities above 60%**
  - i) Shall be asked to withdraw manuscript.
  - ii) Shall be denied a right to two successive annual increments.
  - iii) Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a period of three years.

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

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

**Note 3:** IIMTU shall create a mechanism so as to ensure that each of the paper

publication/thesis/dissertation by the student, faculty, researcher or staff of the IIMTU is checked for plagiarism at the time of forwarding/submission.

**Note 4:** If there is any complaint of plagiarism, a suitable action, in line with these regulations, shall be taken by the Controlling Authority.

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

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

The same policy of plagiarism will be applicable for the publication of papers.

**Para-8: Research Fellowship**

- a. Fellowship criteria for full time research scholars is Rs. 10,000/- per month after the completion of coursework and submission of first progress report. The request for the same may be submitted by the scholar duly forwarded & recommended by the supervisor and the Head of department.
- b. To avail the fellowship the eligibility is; NET/CSIR/JRF; recommendations of Research committee keeping in view the novelty in the area of research supported by plagiarism check, recommended level o.
- c. The total fellowship period shall not exceed three (3) years from the date of registration (including course work tenure).
- d. Extension of research fellowship after 3 years: Based on the performance of the student fellowship can be extended for a period of six (6) months or one (1) year, at the request of the research scholar with the recommendation of the Supervisor & the HOD, and the approval of Vice Chancellor (VC).

**Para-9: Rules and Regulation for Research Scholars**

- a. The research scholar must be full time researcher and submit himself/herself to the disciplinary regulations of the University (in continuance with Rule a).
- b. Must be regular in performing the academic duties assigned by the Department. The Department must ensure regular attendance of the scholar by keeping a registered account.
- c. Every research scholar entitled for fellowship is expected to assist

- Department in teaching learning process by taking a nominal teaching load as prescribed by the Department.
- d. Every research scholar has to submit/present his/her progress report to the DRC once in every six months.
  - e. A full time research scholar availing fellowship cannot take up any assignment/job with any other Institution/Organization with salary/stipend till submission of thesis.
  - f. On disciplinary grounds fellowship may be terminated at any time without communicating to the research scholar and the University /Institution's decision in this regard shall be final and binding.
  - g. Research scholars are entitled to maximum 25 day's leave in an academic year in addition to public holidays. They are not entitled to semester breaks. It shall be the duty of the supervisor and the Department to ensure proper engagement of research scholars during semester breaks to productively utilize the said period for better research outcomes.
  - h. Women candidates are eligible for maternity leave as per University norms.
  - i. The University medical facilities may be availed by the research scholars, if required.
  - j. The fellowship is liable to cancellation, in case of:
    - ❖ Unsatisfactory progress of research work Failure in any of the examination related to Ph.D.
    - ❖ Candidate found ineligible at a later stage; this may lead to the refund of availed fellowship amount.

**Para-10: Recognition of Research Publication:**

1. Publication of book/Contribution of chapters.
2. Appreciation of faculty members/research scholars publishing quality research papers/articles in SCI/Scopus/web of science/springer and other UGC recognized journals.
3. Assistance in collaborating with other Institutions/Organizations for carrying out advance research or availing facilities not available in parent organization.



### **Para-11: Human Resource Development in Research**

Recruitment policy of new academic staff must give appropriate consideration to the quality of their research record or research potential commensurate with the requirements of the position. Head of institution/Dean/Principal will ensure that new appointments will improve research capabilities of the institution.

### **Para-12: Regulations in relations to Research:**

As applicable by respective statutory bodies (like Indian Nursing Council, All India Council of Technical education, Pharmacy Council of India, Department of Science & Technology, Bar Council of India and Regulations, Radiation Protection norms of BARC, Bio safety Committee norms of Department of Biotechnology etc.) and specific laws as applicable at that time. It will be responsibility of Principle Investigators (PI) to comply with all contemporary regulations applicable to research project initiated by him.

1. Dean will appoint Coordinator for the project and and/or Planning officer (research); Central Research unit if needed; interdepartmental broad based statistical team.
2. The committee will meet once in a month or earlier as per the need to deliberate various ongoing Research Activities in the faculty/institution.
3. To stimulate and encourage ideas for encouraging future research projects.
4. Evaluate the Research Proposals for the potential research.
5. Guide and encourage faculty members to conduct research in their departments, getting funds, screen presentations /publications sent to conferences/journals and help by reviewing and providing constructive criticism to improve the quality of work.
6. Ensure that requirements as per regulatory guidelines applicable to the project have been fulfilled.

### **Para-13: Assessment of Innovation for Protection**

To facilitate assessment, the Dean, Research shall form an IPR Cell consisting of a chairperson, IPR Coordinator, and at least three additional faculty members with domain expertise or familiarity/experience in areas related to the creative

work.

The creator(s) would be free to suggest names of faculty who are qualified to evaluate the creative work and who may be invited by the Dean Research to be a part of the IPR Cell.

Institute shall have the right to consult on a confidential basis with appropriate experts in the field of IPR in question in order to assist in the assessment of innovation and its commercial potential in India and abroad.

The IPR Cell will assess the disclosure in a timely manner and shall make recommendations to the Dean Research about the patentability of the invention,

The IPR Cell may make one of the following recommendations:

- That the Institute shall take the responsibility of protection of the IP, in which case, the Institute will initiate appropriate processes.
- That the Institute shall not take the responsibility of protection of the IP, in which case, the rights to the disclosed invention shall be promptly reassigned to the creator(s). The creator(s) may then choose to protect the creative work on their own.

**Para-14: Guidelines for intellectual property right protection, its licensing**

(These guidelines do not constitute legal advice. For help with a particular legal problem, advice from an intellectual property lawyer may be sought)

Guidelines for intellectual property protection and its licensing;

1. An IPR Chair IIMTU, an interface between the faculty and the Patent/copyright attorney shall guide and help the faculty and students of IIMT University in patentability assessment and to apply for patents / copyright/ trademark applications/ design patents/ other IPR.
2. The University faculty desirous of filing a patent or copyright or trademark application would be advised to contact the IP chair regarding these issues.
3. The paper formalities for filing IPR shall be done by the IPR chair with the sharing of draft / Invention disclosure of IPR with the applicant and inventors.
4. Invention disclosure/ Patent/Copyright/Trademark and similar documents are to be

treated as confidential and would be placed under special duty to maintain confidentiality by the signing of a Non- Disclosure Agreement at IPR cell along with a declaration for anti- plagiarism.

5. Since patenting is expensive, efforts should be made to get the patent filed through other funding agencies such as DBT, MSME, NRDC and DST (TIFAC), apart, to facilitate the patenting/ IPR, following policy is to taken into account;

Applicant, if it is IIMTU, will contribute the fee of filing complete patent/ trade marking / design patent / copyright. In the case, inventor /s shall not be entitled for any claim for the incentive based on IPR.

Applicant, if Inventors with place of work as address as IIMT University, shall contribute for official fee of filing complete patent/ trade marking / design patent / copyright and fee for early publications.

At the stage of commercialization of patents the sharing of profit will be as; applicant/ IIMTU will share 40% (20% will be shared by the parent department/school/institute which is a place of work and rest 20 % will be shared by the University) of the profit and inventors/ creators shall share 60% of the profit in either above case. **(Refer Para-19.6)**

Moreover in case of extraordinary novel idea with the scope of immediate commercialization, university can sponsor the complete funding for filing the patent/ IPR.

6. The IP chair shall help the inventor in drafting the patent specification / copyright or trademark application and filling of relevant forms.

7. The draft application along with the relevant forms shall then be forwarded to a patent attorney on the panel of the University.

8. The IPR Chair shall correspond with the attorney and the inventors on IP matters.

9. The committee for approval for patent filing would consist of: Inventor/s, Dean Research, The IP Chair and Finance Officer or his nominee in case where IIMTU funds are to be utilized.

10. The inventors would be required to cooperate with the IP chair to expedite furnishing of information for timely actions since delay would mean payment of extra fee to the patent office and the attorney, if the delay will be made by the inventor/s, the penalty will be borne by them only.

11. After filing of the application for IP protection, the inventors shall inform the IPR cell of any further development, if any, in the related R&D work.

12. The IPR Cell and inventors in collaboration with Research Council shall work together for dissemination of the Intellectual property to public and industry to aid in commercialization.

### **Para-15: INTELLECTUAL PROPERTY AND OWNERSHIP**

#### **Para-15.1: Copyrights**

The University will not own the rights in copyrightable works such as books, articles, monographs, lectures, speeches and other communications produced by the staff in the course of research and teaching using University resources. Ownership of copyright of all copyrightable work shall rest with the author(s) with the following exceptions:

- i. If the work is produced during the course of sponsored and/or collaborative activity, specific provisions related to IP, made in contracts governing such activity, shall determine the ownership of IP.
- ii. The University shall be the owner of the copyright of work, including software, created by the University personnel with significant use of University resources. The University may demand assignment of the copyright in whole or in part depending on the degree of University-supported resources used in producing the copyrightable work.
- iii. The University shall be the owner of the copyright on all teaching materials developed by the University personnel as a part of any of the academic programs at the University. However, the authors shall have the right to use the material in her/his professional capacity. As the traditional exception, the University shall not claim ownership of copyright on books and publications authored by the University personnel.

- iv. The University shall be the owner of the copyright of work produced by non- University personnel associated with any activity of the University with the intellectual contribution of the University personnel. However, the authors shall have the right to use the material in her/his professional capacity.
- v. The ownership rights in lecture videos or Massive Open Online Courses (MOOCs), films, plays, and musical works, institutional materials including, but not limited to, course syllabi, curricula, exam questions, exam instructions, and papers/ reports specifically commissioned by the academic institution, shall ordinarily be vested with the academic institution. The moral rights shall continue to vest with the author(s) wherever applicable.

The student and his/her supervisor(s) will jointly have the ownership of copyright in the thesis / dissertation / project report written by a student.

Where copyright has not been assigned to the University, the University will be entitled to a non-exclusive, non-transferable license to use the work within the University for non-commercial educational and research purposes, or to possess a limited number of copies for such purposes, whichever is relevant.

Any copyrightable work generated as a work for hire will belong to the University as per the terms of the original contract.

**Anti-Plagiarism Policy for scholar ( PG and research) and faculty including paper and book publications and submission of thesis and dissertations:**

**( reference para-7)**

Reference Para 15.1 of Research Promotional Policy of IIMT University and

The research work carried out by the scholar/faculty, shall be based on original ideas and free from plagiarism of either results or literature.

The following key policies on plagiarism as defined by UGC, should be abided strictly by all.

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

- **Level 0:** Similarities upto 10% - Minor similarities, no penalty
- **Level 1:** Similarities between 10% to 40% such scholars shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.
- **Level 2:** Similarities between 40% to 60% such scholars shall be debarred from submitting a revised script for a period of one year.
- **Level 3:** Similarities above 60%, scholar's registration for that programme shall be cancelled.

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

- v. **Level 0: Similarities up to 10%** - Minor similarities, no penalty.
- vi. **Level 1: Similarities above 10% to 40%**
- i) Shall be asked to withdraw manuscript.
- vii. **Level 2: Similarities above 40% to 60%**
- i) Shall be asked to withdraw manuscript.
  - ii) Shall be denied a right to one annual increment.
  - iii) Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a period of two years.
- viii. **Level 3: Similarities above 60%**
- i) Shall be asked to withdraw manuscript.
  - ii) Shall be denied a right to two successive annual increments.
  - iii) Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a period of three years.

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

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

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

**Note 4:** If there is any complaint of plagiarism, a suitable action, in line with these regulations, shall be taken by the Controlling Authority.

**Note 5:** If there is any complaint of plagiarism against the Head of Department/Authorities at the institutional level, a suitable action, in line with these

regulations, shall be recommended by the IAIP and approved by the Competent Authority.

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

**Para-15.2: Invention(s), Design(s), Integrated circuit layouts, and other creative work(s)**

Invention(s) including software, design, and integrated circuit layouts created by the University personnel without significant use of the University resources and not connected with the profession for which he/she is employed at the University shall be owned by the creator(s).

For invention(s) including software, design, and integrated circuit layouts produced during the course of sponsored and / or collaborative activity, specific provisions related to IP made in contracts governing the collaborative activities shall determine the ownership of IP.

The University shall be the owner of all invention(s) including software, design, and integrated circuit layouts, created by a team of the University and non-University personnel associated with any activity of the University. Non-University personnel, who create invention(s) including software, design, and integrated circuit layouts at the University without any intellectual contribution of the University personnel and significant use of the University resources, shall be the owner of such invention(s).

Except as stipulated above, the University shall be the owner of all invention(s) including software, design, and integrated circuit layouts, created at the University.

**Para-15.3: Patents**

This section refers to intellectual property that is patent-able or protect-able by confidentiality agreements.

- i. If the academic institution determines that an invention was made by an individual(s) on his/her own time and unrelated to his/her responsibilities towards the academic institution and was conceived or reduced to practice without the use of resources of the academic institution, then the invention shall

vest with the individual(s)/ inventor(s).

- ii. All inventions whether made by student/ researcher/ faculty (in furtherance of their responsibilities with the academic institution), developed by utilizing the resources of the academic institution, or with the mix of funds, resources and/or facilities of the academic institution, shall ordinarily be vested with the academic institution.

The University will require to be assigned to it such intellectual property as is created by the creators through the use of University-supported resources. In this case, the University will take steps to commercialize the property through patenting or agreements. Where a patent is applied for, the creator shall agree to maintain all relevant details of intellectual property secret and confidential until the patent application is filed. In the case of protection through confidentiality, the same information will be kept secret and confidential as long as the intellectual property has commercial value. The creator shall furnish such additional information and execute such documents from time to time as may be reasonably requested for effective protection and maintenance of proprietary rights of the University in the intellectual property.

- i. The intellectual property created through sponsored research where the sponsor does not claim intellectual property rights .
- ii. The creators of University-owned intellectual property shall retain their right to be identified as such unless they specifically waive off this right in writing.
- iii. Royalty accruing or any type of payment received from the commercialization of the University-owned intellectual property will be shared between the University and the creators as per decided policy ( **refer para 19.6**)

**Para-15.4: Trade mark(s)/ Service mark(s)**

The ownership rights in all trademarks involving the academic institution shall ordinarily be vested with the academic institution. The academic

institution may formulate necessary guidelines regarding the usage of the name of the



academic institution through their trade mark.

In cases of all IP produced at the University, the University shall retain a non-exclusive, free, irrevocable license to copy/ use IP for teaching and research activities, consistent with the confidentiality agreement(s), if any, entered into by the University.

The authorities responsible on behalf of the University and creators have the responsibility to ensure the following:

- Any association with the University implied by third parties is accurate.
- The activities with which the University is associated through third parties maintain standards consistent with the University's educational purpose.
- i. If the academic institution determines that the creator of the trade mark was created by an individual(s) on his/ her own time and unrelated to his/ her responsibilities [e.g. name of a company/ start-up venture by the student(s)], then the right to the same shall ordinarily be vested with the said individual(s).

**Para-15.5: INDUSTRIAL DESIGNS**

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

**Para-15.6: SEMICONDUCTOR INTEGRATED CIRCUITS AND PLANT VARIETY**

- i. The ownership rights over integrated circuits and plant varieties, with the utilization of resources of the academic institution, shall vest with the academic institution.
- ii. If the academic institution determines that the semiconductor integrated circuit layout

design or plant variety was created by an individual(s) on his/her own time and unrelated to his/her responsibilities towards the academic institution and was conceived or reduced to practice without the use of resources of the academic institution, then the semiconductor integrated circuit layout design or plant variety shall vest with the individual(s).

#### **Para-16: IPR ADMINISTRATION**

This policy shall be applicable to all the University personnel, as well as non-University personnel associated with any activity of the University such as, but not limited to outcomes of research, consultancy or Continuing Education Programmes, and covers different classes of Intellectual Property - Patents, Designs, Trade Marks/Service marks, Copyright, Integrated Circuits Layout, Trade Secret and undisclosed Information.

##### **Para-16.1: Legal status of IPR policy**

This policy shall be applicable from the date notified by the University. Any addition, insertion and / or deletion from the policy document, which curtails the rights of a researcher, will not operate retrospectively. Any alterations in this policy will not take effect until the University Intellectual Property Committee (UIPC) takes a unanimous decision, and such changes would be effective for inventions and other research results arising out in the future.

An employee is required to observe the university's policy on Intellectual Property Rights as may be decided by the UIPC from time to time.

##### **Para-16.2: Constitution of University Intellectual Property Committee**

An University Intellectual Property Committee (UIPC) shall comprise of the Dean, Research as Head, two faculty as Coordinators, two students coordinators IPR Cell, and three additional members nominated by the Chairperson of the committee. The nominees will serve a five years term.

UIPC shall be responsible to administer all decisive issues related to IP policy and such other relevant matters as shall be determined from time to time.

##### **Para-16.3: Scope of the Policy**

This policy covers all rights arising from intellectual property devised, created, or made by the staff in the course of their employment by the University irrespective of the

eligibility of these rights for registration. The IP arising from academic research includes patents, designs, trademarks, service marks, copyright, know-how and undisclosed information.

**Para-16.4: Disclosure**

When the creators believe that they have generated patent-able or commercialize-able intellectual property using University-supported resources, they shall report it promptly in writing along with relevant documents, data and information, to the University through the appropriate authority using the Invention Disclosure Form of the University. Disclosure is a critical part of the IP protection process for claiming the inventor-ship. The information shall constitute a full and complete disclosure of the nature, particulars and other details of the intellectual property, identification of all persons who constitute the creator(s) of the property, and a statement of whether the creator believes he or she owns the right to the intellectual property disclosed, or not, with reasons. Where there are different creators of components that make up a system, the individual creators and their contributions must be identified and treated separately. In case of the sponsored and/or collaborative work the provisions of the contract pertaining to disclosure of the creative work is applied. By disclosure the inventor(s) shall assign the rights of the disclosed invention to the university.

**Para-16.5: Confidentiality**

All University personnel and non-University personnel associated with any activity of the University shall treat all IP related information which has been disclosed to the IPR Cell and/or whose rights are assigned to the University, or whose rights rest with the University personnel, as confidential. Such confidentiality shall be maintained till such date as is demanded by the relevant contract, if any, between the concerned parties unless such knowledge is in the public domain or is generally available to the public. Having filled the Disclosure Form, the creator shall maintain confidentiality i.e. refrain from disclosing the details, unless authorized otherwise in writing by the University, until the University has assessed the possibility of commercialization of the intellectual property.

Subject to the right of academic freedom the University staff shall not directly, except in the proper course of their duties, either during or after a period of their appointment,

disclose to any third party or use for their own purposes or benefit or the purposes of any third party, any confidential information about the business of the University unless that information is public knowledge or he/she is required by law to disclose it.

The following guidelines should be followed when dealing with confidential information in the context of third parties such as commercial organizations:

- i. The amount of information given to prospective licensees before the signing of any confidentiality or secrecy agreement should in no case exceed or fall outside that which is set out in the Technology Profile Form for any particular intellectual property.
- ii. When a third party is interested in commercializing an item of intellectual property on offer after inspecting the relevant Technology Profile, they may apply on the prescribed form and with the deposition of the required fee for transfer of the technology. They will be required to demonstrate their capacity to commercialize the technology to the University's satisfaction. The University will then require the third party to sign contractual confidentiality or secrecy agreements undertaking to maintain the confidentiality of all information disclosed, before any further disclosure is made. The format of the Bilateral Secrecy Agreement should be followed.
- iii. Third parties must obtain express authorization writing from the University to commercialize/exploit the intellectual property. Confidentiality agreements will continue in force even if the commercialization process is aborted at any stage. However, it is recommended that no disclosure should be made if there is any doubt as to the outcome of the commercialization process.
- iv. If running royalties are to accrue to the University and the creator, the licensees must be bound by their contract to take adequate measures to protect that matter from becoming known to others through the licensee's practice, and thereby made available to others whose activities may adversely affect royalty returns.
- v. Access to areas where University-owned intellectual property including

confidential information is made available, seen or used, and to confidential documents, records, etc. is to be limited only to those who are creators or are bound by confidentiality agreements.

- vi. Creators and/ or University personnel must take care not to disclose confidential details of University-owned intellectual property in their publications, speeches, or other communications.

**Para-16.6: Evaluation and Exploitation Decisions**

The authorized/ designated office/ committee of the University will evaluate the disclosure made by the creator on the prescribed Invention Disclosure Form and determine whether there is a good prima facie case for believing that the intellectual property has economic value and it needs IPR protection. The University shall communicate to the creator within 90 days from the date of disclosure, its decision whether the

- i. University wishes to own and commercialize the intellectual property.
- ii. University is unwilling to commercialize the intellectual property.
- iii. The ownership of the intellectual property is in doubt.

**Para-17: Where the University wishes to own and commercialize the intellectual Property**

In this case, the University will take steps to commercialize the property through patenting or confidentiality. Where a patent is applied for, the creator shall agree to maintain all relevant details of intellectual property secret and confidential until the patent application is filed. In the case of protection through confidentiality the same information will be kept secret and confidential as long as the intellectual property has commercial value. The creator shall furnish such additional information and execute such documents from time to time as may be reasonably requested for effective protection and maintenance of proprietary rights of the University in the intellectual property.

**Para-18: Where the University is unwilling to commercialize the intellectual property**

It shall merely record the fact of the creation of the intellectual property without

prejudice to the rights of the creator and hold all information communicated in this regard by the creator, secret and confidential.

- The University will have no liability to keep the information secret and confidential if the intellectual property subsequently either comes into public domain or is commercialized otherwise.
- The University will be entitled to a non-exclusive, non-transferable license to use the work within the University for Non-commercial educational and research purposes.

**Para-19: Where the ownership of the intellectual property is in doubt**

In all such cases the issue of ownership shall be referred by the University Intellectual Property Committee to an Arbitration Committee constituted by the Executive Council of the University. The Arbitration Committee must communicate its decision on the matter to the creators within one month of the referral of the issue to the Committee. The decision of the Arbitration Committee will be final and binding on the creator(s) and the University.

**Para-20: Commercialization of University-owned IP**

**Commercialization through licensing of rights by the university**

All expenses for obtaining and maintaining statutory rights in University-owned intellectual property will be borne by the University. The University will take steps to commercialize all University-owned property according to the time schedule outlined below:

**Para-20.1:** Date zero: the creator discloses the nature and particulars of the intellectual property they have created to the University in the prescribed Disclosure Form.

**Para-20.2:** Zero plus one hundred eighty days (six months) or earlier: If the property is found to be assignable to the University and the University wishes to own the property, the University files the patent, or proceeds directly for commercialization through confidentiality agreements with third parties, whichever is practicable.

**Para-20.3:** The creator should provide all necessary data and documents for filing the patent within 15 days of the notice served by the University intimating its decision to patent. Should the University fail to inform the creator of its decision within the said deadline, the creator, without encumbrance, will hold the rights of the intellectual

property.

**Para-20.4:** Zero plus five years: the University reviews the situation if the intellectual property has been commercialized; the subsequent cost of maintaining statutory protection will be met through receipts from the licensee. If the property has not been commercialized, all rights and responsibilities in it will revert to stand a good chance of being commercialized within the next year, in which case the University opts to pay for another year of protection and retains the rights for that year.

**Para-20.5:** Zero plus six years: After the end of the sixth year, if the intellectual property is still not commercialized, all rights and responsibilities in the property will revert to the creator, subject to any contractual agreements with a sponsor, if any, and the University shall no more be liable to pay for statutory protection of the property.

**Para-20.6:** At any time during the above process, the University will have the right to revert the rights in the intellectual property to the creator at a mutually agreeable date with notice of three months of its intention to do so. If the property is commercialized subsequently, the creator may be required to pay a royalty to the University on first slab of the net profit in a proportion 60% for the creator/inventor, 20% to the department/centre of the creator/inventor and 20% to the University as per IPR Guidelines.

**Para-21: Commercialization through licensing of rights by third parties**

The University will license at its discretion the University-owned intellectual property for commercialization through third parties who may or may not be the creator through the grant of exclusive/ non-exclusive licenses, or assign its ownership rights to third parties/ creator safeguarding the interests, financial or otherwise, of the University.

- All such licensing agreements or assignments in particular where the third party is also the creator, would be carefully examined by the University to determine that no conflict of interest will occur as a result of their ratification. The third party when interested in any such transfer of rights must demonstrate technical and business capability to commercialize the intellectual property.
- The costs of transfer of interest/ right/ ownership and maintenance of rights in the University-owned property by way of license, assignment or

otherwise devolution of rights for such purposes will be borne exclusively by the licensee, assignee, and person acquiring such rights. The University may under special circumstances retain a non-exclusive royalty-free license to use the property for teaching and research.

- The assignment or license may be subject to additional terms and conditions, such as revenue sharing with the University or reimbursement of the cost of statutory protection, when justified by the circumstances of development of the intellectual property licensed. If the University finds that the third party has not taken steps to commercialize the property within one year of acceptance of the license, the University will be free to revoke the license.

**Para-22: Transparency of IP Administration**

The University will inform the creators of Intellectual Property of progress regarding filing of the patent, commercialization and/ or disposition of the intellectual property. The University and the creators shall maintain complete transparency in sharing information at all stages of the process. The creators shall keep the University informed of updates or development of the Intellectual property, which lead to tangible effects on the property.

**Para-23: University's Acceptance of Independently Owned Intellectual Property**

The University may accept assignment of intellectual property owned by other parties provided that such assignment is found to be consistent with the public interest and the University's academic mission. Intellectual property so accepted shall be administered in the same manner as other university-owned intellectual property.

**Para-24: University's Right to Update and Maintain Course Materials**

In all cases the author's special rights under section 57 of the Indian Copyright Act 1957 protect the creator of the original work.

**Para-26: Where University owns the Rights**

The University will be at liberty to update, revise, and/ or translate (hereinafter revise) course material in which it owns the right through assignment of copyright, provided that such revision does not damage the reputation or honour of the original creator. All such revision will be treated as work for hire. The creator will retain the



right to be identified as the creator of the original work, and the University must clearly state on the derived work and related documents that the derived work is adapted from the original work.

The question of whether the creator of the original work is to be paid a royalty, and if so how much, on receipts from the commercialization of the derived work, shall be determined on a case-by-case basis by the University

Intellectual Property Committee, on the criterion of how extensively the alteration has been carried out. The following guidelines may be followed by the University in this matter:

- i. If the revision, etc. is significant in terms of cost and extent but not such as to drastically alter the original work, the University may charge the cost of revision against the royalty receipts or other fees due to the creator of the original work.
- ii. If the revision is such that the new version is almost a new work, then the creator of the original work may be offered a financial compensation package significantly lower than that specified in the original agreement.

**Para-27: Where creator owns the Rights**

Regarding course materials in which the University has licensed rights from the creator, the University shall give first refusal to the creator of the original work in producing derived works including updates, translations and revisions, regardless of whether the creator continues to be employed by the University or not. In order to enable the University to contact creators for this purpose, creators would keep Dean Research informed of their current address at all times. It will be the responsibility of the creator(s) to inform the Dean Research for their consent or otherwise to undertake the revision proposed by the University within one month from the date of request by the University. The following cases will then apply:

- The creator of the original work is unable or unwilling to do the work required within the necessary time frame. (This time frame could be 3 months in the case of minor revision and/ or updating, 6 months for revision/ updating requiring moderate effort, and 12 months in the case of extensive changes):

- The University will have the right to extend these deadlines as it deems fit. In such a case, the University must inform the creator of the original work of its intention to contract with any other party to revise, update, or translate the work to the extent necessary to maintain the usefulness and quality of the course material as an instructional offering from the University. In such cases, the University shall state the name of the reviser on the derivative work and in all documentation relating to it, and it shall be clearly stated that the work is adapted from the original work.
- The original creator is willing to do the work required within the stipulated time frame:
- Since it is the duty of a copyright holder to revise and update the work from time to time, additional remuneration for such work may at best be nominal, if paid at all.
- For development of Educational Course Material in electronic form the comprehensive guidelines are to be followed.

**Para-28: Statement by Creators**

The creators of intellectual property under the terms of this policy shall be required to determine and to state that to the best of their knowledge the intellectual property does not infringe on any existing copyright or other intellectual property or other legal rights of third parties.

- If any part of the work is not the original work or creation of the creators, the creators must show that the necessary permission for use has been obtained from the owner, or state their reasons for believing that such permission is not necessary as the use constitutes fair use. They will further certify that the work contains no libelous material nor material that invades the privacy of others.
- In case a third party alleges infringement of their rights by a creator and the University IPR Cell finds that the creator may have made false claims, the University will take immediate steps to dissociate itself from the said intellectual property.
- All agreements with creators should indemnify the University against all

damages arising out of such litigation.

**Para-29: Consulting Agreements**

Since consultancy comes to academic staff through University channels and is administered centrally, any intellectual property arising from consultancy should be assigned to the University in the interests of transparency and fair negotiation with consulting firms. The University will offer a first refusal option on the licensing of such intellectual property rights to the consulting firm, as with sponsored research. However, in recognition of the fact that a percentage of the consultant's fee is paid to the University, the royalty arising from commercialization of intellectual property generated through consultancy will be distributed following the procedure as mentioned in IPR Guidelines. The creators who are engaged in consulting work or business should not be in conflict with University policy or with the University's prior contractual commitments. Such creators should make their University obligations known to outside parties before they make such agreements and should provide such parties with copies of all applicable University policies.

**Para-30: Responsibilities of Departments**

Each department will administer University policy as defined herein through its Departmental Faculty Board. In particular each creator must maintain in his or her department records detailing his or her activities in generating intellectual property. Such records must be made available on demand to the University IPR Cell.

**Para-31: Collaborative research**

The Collaborative R&D Projects constitute the projects wherein there are two or more agencies are the participants. These projects are partially funded by a private entity (client) and/or supplemented by the university and/or by a Government R&D funding agency.

If any research is conducted in collaboration with other organizations / industry then the any point in question will be answered on mutually agreed terms of MoU.

A committee must be constituted for approval of Technology Transfer and to take decisions on the following issues. It may consist of the inventors, the Head of the respective Department, Dean Research and/or the IPR Chair.

- a. Project costing/costing of technology/know-how,

- b. Permissions required by the PI for collaborative research with industry, other institutions and tech transfer.
- c. authorized signatories for the same,
- d. Modalities of IP protection and its maintenance,
- e. Source of the funds required for IP protection and maintenance,
- f. Modalities of IP protection (whom to approach, authorized department/officer/committee),
- g. The terms and conditions of MoA for collaborative R&D and authorized signatories,
- h. Evaluation of technology/know-how.
- i. Ownership of the patents, if any, generated out of the collaborative research
- j. Modalities of tech transfer/IP licensing from identification of private partner, negotiations, MoA finalization to finalization of terms and conditions etc.

**Following terms and conditions shall be followed for the collaborative research and IPR;**

1. Non-disclosure agreement may be signed with the private party prior to discussions and negotiations.
2. The responsibilities and deliverables expected from all the participating agencies should be clearly mentioned in the MoA for collaborative work.
3. Back ground Knowledge: The background knowledge is the know-how already developed by the university which is to be either further developed or validated by the company on implementation of the collaborative project. The background knowledge document/s is to be clearly mentioned in the MoA and appended as an annexure.
4. The exit and arbitration clauses for all the participating agencies should be well formulated in the MoA so as to avoid future legal disputes in case of premature project closure.
5. The IP rights for the IP generated out of the collaborative project shall be jointly shared among the participating agencies.
6. The intellectual property, product, prototype or process generated out of such

projects shall be co- owned among the participants on mutually decided terms.

7. Costs of IP protection and its maintenance to be equally shared among the participating agencies.

**Para-32: RESEARCH BASED INCENTIVE POLICY**

**Recognition of Research Publication:**

- Contribution of chapters / Publication of text or reference books by publishers of national and international repute, avoiding local publishers and substandard publishers, as approved by research committee.- Rs 2500 incentive.
- Appreciation of faculty members/research scholars publishing quality research papers/articles in SCI/Scopus/web of science/springer/ Elsevier and other UGC-CARE listed journals-Rs 2000 incentive.
- Assistance in collaborating with other Institutions/Organizations for carrying out advance research or availing facilities not available in parent organization – recommendation letter with Duty leave and TA.

**Incentive policy for Quality research:**

**For students / Research scholars:**

For outstanding research project, as reviewed and recommended by the Research committee (comprising of Dean Research, Dean of concern Department, Internal subject expert and external subject expert)/ IPAC,

**Research grant** : as recommended by research committee after the scrutiny of the proposed budget in three stages subject to the prior submission of progress report of each stage.

**Stipend to research scholars:** Rs. 5000-12000pm for the period of project, shall be given.

**Start-up:** Stake holding with seed funding

**For Faculty members:**

**IPR** : An incentive of Rs 5000 per patent, Rs 2000 for copy right and trademark.

If IIMTU contributes the fee of filing complete patent/ trade marking / design patent

/ copyright. In the case, inventor /s shall not be entitled for any claim for the incentive based on IPR or in the case of commercializable outstanding idea, based on the recommendation of research committee with due approval of the Vice Chancellor, the specific case be considered for the incentive claim.

**Start-up:** Stake holding with seed funding, as per IIMTU Innovation and Start-up policy.

**Publications** in SCI, SCOPUS, SPRINGER, ELSEVIER, UGC-CARE etc, - Rs 2000, as reviewed and recommended by the Research committee

( comprising of Dean Research, Dean of concern Department, Internal subject expert and external subject expert)/ IPAC, research grant and incentive shall be given .

**For research grant(s) greater than 20 Lacs,** 10% of institutional overhead will be given to Principal Investigator.

**For grants less then 2,lacs ;** 5% of institutional overhead will be awarded to PI. It will be the prerogative of the PI to distribute awarded money amongst Co-Principle Investigators.

### **Conference Grants**

1. Each faculty will be allowed DL and Registration fee per conference, with a maximum for three (3) conferences in a year defined from January to December held at India and /or one (1) International Conference held outside India ( funding limit upto Rs 15,000) for the purpose of paper presentation.

This is only valid for Scopus Indexed conferences.

2. Ph.D. scholars can avail the conference funding with the maximum amount of Rs. 5,000 as a registration fee in a year defined from January to December, for the purpose of paper presentation.

This is only valid for Scopus Indexed conferences.

3. UG and PG students can avail one conference (only Scopus and SCI). registration funding ( upto Rs. 4,000) in a year, if their paper is selected for presentation.
4. Funds will be given for conference/workshop organized in the campus

in the capacity of organizing secretary or convener only against the proposed budget on the recommendation of research committee and duly approved by the finance committee.

### **Research Facilities**

1. Every Research lab are to be equipped with network printer, good internet connectivity with high bandwidth and wi-fi.
2. High performance computational facilities are provided to the faculty members/research scholars, if required.
3. Assistance for collaborating with other institutions/organizations for carrying out advance research. IF support facilities are not available.
4. Research Excellence Awards for Department/College faculty's members.
5. Establishment of Centers of Excellence in collaboration with Institutions/Agencies of National Relevance with a purpose of Collaborative Research.
6. Reduced teaching and other load are relaxed for faculty members actively involved in research as reflected by the research papers published / patents taken/projects applied in last five years.

### **Professional Body Membership:**

Each department should be facilitated to open a chapter of A professional Body of their respective field with all faculty members as a member of the body.