

SHARDA UNIVERSITY

32, 34, Knowledge Park-III, Greater Noida-201310 (U.P.)

OFFICE OF THE REGISTRAR

SU/Reg./Notification/2021/88

July 9, 2021

Notification

Comprehensive Research Policy of Sharda University is hereby notified to all concerned.

 9.7.21
(Ashok Kumar Singh)
Registrar

Enclosure: Comprehensive Research Policy of Sharda University

To,

- The Dean
(SET, SBS, SBSR, SAP, SMFE, SHSS, SOL, SOE, SOP, SAS, SMSR, SNSR, SDS and SAHS)

Copy to: (for kind information),

1. Chancellor/ Pro-Chancellor/ ED
2. Vice-Chancellor
3. All Deans/ Dean, Academic Affairs/ Dean, Research/ Dean, Students' Welfare
4. Advisor Policy/ Directors / Director-PR/ GM (Project)
5. Finance Officer/ Controller of Examination/ Chief Proctor
6. Medial Superintendent, Sharda Hospital
7. Sr. Legal Officer/ PIO
8. All OSDs/ Jt. Registrars/ Dy. Registrars/ Asst. Registrars/ AOs
9. Notification file



**COMPREHENSIVE
RESEARCH POLICY
OF
SHARDA UNIVERSITY**

(as amended on 09 July 2021)

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CHAPTER – 1: OVERVIEW

Soon after its establishment in 2009, the University started Research and Technology Development Centre (RTDC) as a nodal agency dedicated to promoting research, technology development and extension activities. Apart from anchoring the Ph.D. programme of the University, it sought to nurture R&D activities in the frontier areas of science, cutting edge technologies and publication of research journals. The Centre also sowed the seeds interdisciplinary research and collaboration with various institutions of repute and industry as well.

1.1. Research Policy Statement

Over a period of time, in tune with its Vision and Mission, the University has sought to develop research in a big way, to support disruptive innovation and to give impetus to accelerated entrepreneurship. The Policy in this regard is geared towards creating and strengthening an ecosystem that inspires, motivates and promotes faculty and students to undertake research projects, generate knowledge, protect intellectual rights, and publish findings for the larger good of the mankind.

1.2. Purpose

The purpose of this Research Policy is to create a vibrant and conducive atmosphere of research for faculty and students in order to have an overall framework within which the relevant research activities are undertaken with expected outcomes.

1.3. Scope

The Policy applies to all the faculty/staff, research scholars and students of the University, who are engaged in any form of research activity which includes:

- Creation of conducive atmosphere to foster a research culture for promotion of quality research.
- Extending research base by increasing intake of Ph.D. Scholars' and assigning them research topics on selected thematic areas.
- Providing required support through research framework and guidelines for research and facilitation of faculty and students for research promotion.
- Development of infrastructural facility and Human resource to establish a strong R&D base.
- Protection of generated IPR by facilitating the faculty to file a large number of patents, copy rights, etc.
- Incentivizing faculty/ Staff and students for patents, research publications, process, product development, attending conferences/ seminars, membership of professional societies.

1.4. Approach

- Creating an enabling environment for capability and capacity building for cutting edge research and development.
- Formulation of short term and long term R&D roadmap with time bound milestones by respective Schools.
- Undertaking interdisciplinary and multidisciplinary research; and developing national and global collaborations and partnerships.
- Providing seed fund to young faculty for promoting their innovative ideas which on maturity should lead to external funding.
- Encouraging the faculty to formulate projects for external funds, both from national and international agencies.
- Enhancing Industry – Academia interaction for translating research into products, processes and recommendations for industrial and societal cause.
- Motivating the faculty, scholars, staff and students for filing patents in order to protect IPRs and facilitate them to get the patents commercialized.
- Encouraging and incentivizing the faculty for research publications in SCI and Scopus indexed or other equivalent peer-reviewed / reputed indexed journals.
- Organizing conferences, seminars, workshops, etc. for research promotion.
- Organizing the brainstorming session, invited open talks of eminent personalities from Academia, R&D organizations, and Industries.
- Supporting faculty for high end research training and outsourcing testing facility.

CHAPTER – 2: STATUTORY FRAMEWORK

2.1. Dean, Research and Development

In accordance with Statute 18 of the University Statutes, the University shall have a Dean, Research and Development, who shall be overall in-charge of the Ph.D. programme. He shall also ensure quality research, formulation of research projects by faculty, and submission of research proposals for grant by government/ industry.

The Dean, Research and Development shall be the Member Secretary of the Research Advisory Board.

2.2. Research Advisory Board

According to Statute 24 of the University Statutes, the Research Advisory Board (RAB) is the principal statutory research body providing a larger holistic vision for research and innovation to be undertaken by the University.

2.2.1. The RAB shall comprise of:

- a. The Vice-Chancellor- *Chairman*
- b. The Pro-Vice-Chancellor(s);
- c. All the Deans of Schools;
- d. Dean, Academic Affairs;
- e. Out-side experts, not exceeding five, nominated by the Chancellor;
- f. The Vice-Chancellor may co-opt a distinguished Scientists/ Professors from within or outside to any meeting of the Research Advisory Board; and
- g. Dean, Research & Development - *Member Secretary*.

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

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

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

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

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

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

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

- 2.2.8.** The Board shall advise the Deans of Schools in matters relating to industry sponsored research and consultancy, as also in facilitating the faculty in procuring equipment necessary to conduct research / consultancy work, recruitment of project staff.
- 2.2.9.** The Board shall suggest necessary steps to improve the quality benchmark in the matter of research; as also filing of research patents and registration of designs. It will also work towards protection of IPRs and its awareness.
- 2.2.10.** The Board shall monitor the quality of research publications as also shall provide guidance for submission of research proposals for funding by external agencies.
- 2.2.11.** The Board shall oversee all the issues related to bio-safety and ethics and help the Deans develop necessary safeguards against scientific misconduct and plagiarism.
- 2.2.12.** The Deans shall report every matter relating to plagiarism and scientific misconduct to the Board which will, after due consideration, make necessary recommendations to the competent authorities for appropriate penal action.
- 2.2.13.** The recommendations made by the Research Advisory Board shall be reported to the Executive Council.

2.3. Ph.D. Ordinances

In pursuance of the UGC (Minimum standards and procedure for the awards of M.Phil./Ph.D. degree) Regulation, 2009, as amended from time to time, the University has framed Ph.D. Ordinance to govern award of degree of Doctor of Philosophy (Ph.D.) in the diverse disciplines of knowledge, as approved by its Academic Council from time to time.

The existing Ph.D. Ordinance, 2021 is as under:

2.3.1. Short Title, Application and Commencement

- 2.3.1.1. This ordinance shall be called the Doctor of Philosophy (Ph.D.) Ordinance, 2021.
- 2.3.1.2. This Ordinance shall come into effect from the date of its approval by the Executive Council of the University.
- 2.3.1.3. Ph.D. shall be treated as one programme. The University shall award degree of Doctor of Philosophy (Ph.D.) in the disciplines of Agricultural Sciences, Architecture, Allied Health Sciences, Arts, Communication, Dental Sciences, Design, Education, Engineering, Health Sciences, Humanities, Law, Management, Mass Journalism, Medicine, Nursing, Pharmacy, Planning, Science, Social Sciences, and

other related/ allied disciplines as approved by the Academic Council from time-to-time.

- 2.3.1.4. Persons with Ph.D. degree will be associated with conduct of Ph.D.programme. However, in case of Medical and Dental Schools the guidelines prescribed by the NMC/DCI will follow.
- 2.3.1.5. Vice-Chancellor shall appoint a Professor with proven background to the position of Dean, Research and Development, and Associate Dean, Research for a period of three years as per the statutory provisions. Both will be eligible for reappointment for a maximum of one more term.
- 2.3.1.6. Dean, Research and Development will be the overall in-charge of the Ph.D.programme.
- 2.3.1.7. Members of Research and Development Cell (RDC) will assist the Dean, Research and Development in smooth conduct of Ph.D.Programme.

2.3.2. Composition of Advisory Committees

- 2.3.2.1. There shall be following committees for smooth conduct of Ph.D.Programme.
 - i. Research Degree Committee (RDC)
 - ii. School Research Committee (SRC)
 - iii. Doctoral Research Committee (DRC)
- 2.3.2.2. The term of members of the committees referred in clause 2.2.1 (i) and (ii) shall be for three years, excluding ex-officio members. However, the term of members of the committee referred in clause 2.2.2 (iii) shall be for the duration of the studentship of the concerned Ph.D. student.

2.3.3. Research Degree Committee (RDC)

Vice-Chancellor	:	Chairperson
Pro Vice Chancellor(s)	:	Member(s)
Dean Academic Affairs	:	Member
Deans of Schools	:	Member
Associate Dean Research	:	Member
Dean Research and Development	:	Convener
Two Eminent Academicians*	:	Members

*The eminent academicians will be nominated by the Vice-Chancellor

2.3.4. School Research Committee (SRC)

Dean of the concerned School	:	Chairperson
Concerned HoD	:	Member
Professor/ Associate Professor	:	Member
Supervisor* & Co-supervisor	:	Convener*
Ph.D. Coordinator of School**	:	Member

*Concerned supervisor will work as Convener for SRC of his/her Ph.D. student.

** Ph.D. Coordinator for each school will be appointed by Dean of concerned School on the recommendations of Dean Research and Development, and approval of the Vice Chancellor

2.3.5. Doctoral Research Committee (DRC) for student

Dean of the School shall constitute DRC through concerned head of the department consisting of the following for each student preferably within one month from the date of admission.

- | | | |
|------|---|-----------|
| i. | Supervisor | :Convener |
| ii. | One faculty member from the Department | :Member |
| iii. | One faculty member from related Department/School | :Member |

2.3.6. Functions of Advisory Committees

2.3.6.1. Research Degree Committee (RDC)

Research Degree Committee shall deal with policy matters and make recommendations regarding conferment of award of Ph.D. degree.

2.3.6.2. School Research Committee (SRC):

- Allotment of Supervisor/ Co-supervisor considering the preference of the candidate
- Formation of DRC and Research Area Identification through supervisor
- Semester wise registration of continuing students
- Conduct of Comprehensive Examination
- Review of Research Plan of the candidate
- Half yearly monitoring of progress of research work
- Evaluation of Pre Ph.D. Research Work for thesis submission

2.3.6.3. Doctoral Research Committee (DRC)

- Selecting Research Area
- Recommendation for Course Work
- Course Work Registration

- Facilitating the student for Research Plan Formulation and its presentation to SRC for approval
- Regular monitoring of the progress of research work and submission of six-monthly progress report to SRC
- Publication of quality research papers
- Facilitating the student for Pre Ph.D. Research Work Presentation, pre requisite for thesis submission
- Preparing student for thesis viva voce/ defence before external examiner
- Facilitating the student for submission of thesis to the office of Dean Research and Development as per check list

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

2.3.7. Eligibility for Admission

Student fulfilling the following criteria shall be eligible for admission.

- 2.3.7.1. Students for admission to the Ph.D. programme shall have a Master's degree in concerned discipline or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency, which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
- 2.3.7.2. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed to the students belonging to SC/ST/OBC (non-creamy layer)/differently abled and other categories of candidates as per the Government notification, adopted by the University, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55 % (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned

above is permissible based only on the qualifying marks without including the grace mark procedures.

- 2.3.7.3. In case of medical and dental sciences, where percentage of marks is not given/ not mentioned in MD/MDS degree certificate, students possessing such degree certificate will also be considered for admission to Ph.D.programme on the approval of the Vice Chancellor.

2.3.8. Duration of the Ph.D.Programme

- 2.3.8.1. Ph.D.programme shall be for a minimum duration of three years, including course work and a maximum of six years from the date of admission.
- 2.3.8.2. Extension beyond the maximum limit can be given up to a maximum of two years for recorded reasons by the Vice Chancellor on the recommendations of SRC and Dean Research and Development.
- 2.3.8.3. The female candidates and persons with disability (more than 40 %) may be allowed an additional relaxation of maximum two years' duration. In addition, the female candidates may be provided up to 240 days' relaxation for maternity /child care once in the entire duration of Ph.D.programme.

2.3.9. Procedure of Admission

- 2.3.9.1. Entrance Test followed by an interview shall be conducted by the University twice a year, normally in January and July. The weightage for entrance test and interview shall be 70% and 30% respectively. Only those students securing at least 50% marks in written examination and 50% marks in interview separately shall be considered for admission.
- 2.3.9.2. Students with MPhil Degree or equivalent degree from any Institute/University recognized by the UGC or qualified with fellowship/ scholarship offered by the University, National and International Agency / NET/ GATE score shall be exempted from entrance test. However, such students will have to appear for the interview, along with the students who have qualified the entrance test.
- 2.3.9.3. Foreign students who fulfil eligibility criteria will be admitted after an online test / interview.

- 2.3.9.4. Persons who are in regular employment in Academic Institutions, Research Institute/ Corporate/ Industry / Public Undertaking / Government Sector, at a level not less than the level equivalent to Assistant Professor, and having five years of experience will be eligible for admission through specially conducted entrance test followed by interview.
- 2.3.9.5. The University shall decide on biannual basis a manageable number of Ph.D. students to be admitted in different Departments/ Schools based on the number of available eligible supervisors and academic / research facilities, keeping in mind the norms regarding the scholar-teacher ratio, laboratory, library and other facilities.
- 2.3.9.6. The admission shall be based on the criteria notified by the University, keeping in view the guidelines/ norms prescribed by the UGC and other discipline specific statutory bodies.
- 2.3.9.7. The university shall admit students by a two stage process (i) an entrance test conducted by Controller of Examination (CoE) and (ii) an interview in the subject area of the candidate to be conducted by a committee constituted by Dean Research and Development.
- 2.3.9.8. The entrance test shall have two sections for a total of 70 Marks.
 - i. Core subject (50 MCQs)
 - ii. Research aptitude (20 MCQs)

2.3.10. Allocation of Research Supervisor

- 2.3.10.1. A supervisor to a student shall be allocated by SRC after admission to the programme from amongst the regular faculty members belonging to any department of the University, holding a doctoral degree and having domain expertise in the broader area of research interest of the student. Student's preference for a supervisor shall be taken into account while allotment is made.
- 2.3.10.2. Any regular full-time faculty of the University with a Ph.D. degree will be eligible as Research Supervisor/Co-supervisor. However, in case of Medical and Dental Schools the guidelines prescribed by the NMC/DCI will follow.
- 2.3.10.3. A co-supervisor from the University may also be allocated by SRC. Normally both supervisor and co- supervisor shall be from different departments. However, in exceptional cases SRC may decide to allot co-supervisor from the same department on the recommendation of

Dean Research and Development, and approval of the Vice Chancellor.

- 2.3.10.4. A co-supervisor from any other recognized institution may be appointed by SRC on the recommendations of Dean Research and Development, and approval of the Vice Chancellor, if eligible otherwise for appointment as a supervisor.
- 2.3.10.5. Retired faculty working in the University with a Ph.D. degree may also be appointed as co-supervisor by SRC on the recommendation of Dean Research and Development, and approval of the Vice Chancellor.
- 2.3.10.6. In case of interdisciplinary research, considering the administrative aspect, eligible faculty of any department of the University can be appointed as supervisor
- 2.3.10.7. A research supervisor/co-supervisor, who is a Professor at any given point of time, cannot guide more than eight (8) Ph.D. students. An Associate Professor as research supervisor can guide a maximum of six (6) Ph.D. students and an Assistant Professor as research supervisor can guide up to a maximum of four (4) Ph.D. students at a given point of time. Professors, Associate Professors, and Assistant Professors, acting as a supervisor must have published at least 5, 3 and 2 research papers respectively in refereed Journals prior to appointment as Supervisor.
- 2.3.10.8. In case a supervisor of a Ph.D. student retires and or leaves the University or is unable to supervise for any other reason, SRC on the recommendations of Dean Research and Development, and approval of the Vice chancellor shall appoint another faculty as a supervisor of the student concerned.
- 2.3.10.9. If a Ph.D. student is expected to submit his thesis within six months or has submitted, and there is no supervisor, Dean of the School can appoint an administrative supervisor on the recommendations of Dean Research and Development, and approval of the Vice Chancellor.

2.3.11. Course Work

- 2.3.11.1. Each student admitted with a Master's degree shall complete a minimum of 16 credits of course work for his/her Ph.D. programme. This would include courses on Research Methodology (04 credits), Research and Publication Ethics (02 credits), and Pedagogy (02

Credits) as compulsory courses. In addition, the student will take, with the approval of the DRC and SRC, eight (8) credits course (02 courses each of 4 credits) on core courses or the Advanced Independent Study (AIS of 08 credits), which involves studying, understanding and submission of a review of 16 recently published quality research papers from reputed Journals in the concerned subject area comprising of at least 20 A4 sheets of content in consultation with the supervisor. The student has to make a presentation for its evaluation as per the guidelines given by the SRC. Based on AIS, publication of one review article is expected.

- 2.3.11.2. All courses of study shall be of post-Master's degree level, and will need the approval of DRC and SRC for course registration.
- 2.3.11.3. All students admitted to the Ph.D. programme shall be required to complete the course work during the initial one or two semesters.
- 2.3.11.4. A Ph.D. student has to obtain a minimum CGPA of 6.0 in the course work in order to be eligible to Register for Ph.D. and continue in the programme. However, each student is required to get a minimum of 50% marks each in CA and ETE/AIS separately.
- 2.3.11.5. Student holding MPhil degree and admitted to the Ph.D. programme may be exempted from the Ph.D. course work if he has already done the same, but have to do Research and Publication Ethics and Pedagogy courses of 2 credits each.
- 2.3.11.6. Respective school shall be responsible for teaching of core papers/AIS, while Research Development Cell shall conduct Research Methodology, Research and Publication Ethics, and Pedagogy.

2.3.12. Comprehensive Examination

- 2.3.12.1. Each Ph.D. student needs to qualify a comprehensive examination as per guidelines. The comprehensive examination will be conducted by the SRC.
- 2.3.12.2. After conducting the comprehensive examination, SRC will make one of the following recommendations:
 - I. Qualified
 - II. Repeat
- 2.3.12.3. A student will normally have only two attempts for qualifying in the comprehensive examination. However, the Vice Chancellor on the recommendations of SRC and Dean Research and Development can

relax this norm. If the student fails to clear comprehensive examination in four attempts, admission to Ph.D.programme will stand cancelled.

2.3.13. Research Plan

- 2.3.13.1. Students qualified based on the comprehensive examination shall submit a research plan in the prescribed format to SRC through research supervisor.
- 2.3.13.2. The supervisor shall prepare the student to present the research plan before SRC in the presence of an External Expert, Vice Chancellor's Nominee, and Dean Research & Development or his /her Nominee. Approval of the research plan shall be accorded by Dean Research and Development. External Expert shall be nominated by the Vice Chancellor on the recommendations of Dean Research and Development.
- 2.3.13.3. Dean of Concerned School shall provide a list of at least 5 Experts having domain knowledge of the subject to Dean Research and Development for approval of the Vice Chancellor. Ph.D. Coordinator(s) shall coordinate with supervisors for presentation of 4-5 research plans, to the extent possible, in a slot with the same External Expert.
- 2.3.13.4. Research Plan approval should generally be completed within 12 months of admission. However, the Vice Chancellor may relax the time duration based on the recommendations of SRC and Dean Research and Development.
- 2.3.13.5. It is mandatory to obtain clearance of Institutional Ethical Committee (IEC), Institutional Animal Ethical Committee (IAEC) as per the requirement for clinical studies before submission of research plan. Such studies should also be registered with Clinical Trial Registry on India (CTRI), if necessary.

2.3.14. Registration

- 2.3.14.1. The date of approval of research plan by Dean Research and Development shall be taken as the date of registration to Ph.D.Programme.
- 2.3.14.2. The University shall maintain a list of all the registered Ph.D. students on its website on yearly basis. The list shall include the name of the registered candidate, title of his/her research plan, name of supervisor/co-supervisor, date of admission.

2.3.15. Review of the Progress

- 2.3.15.1. Each student will submit a progress report at the end of each semester in the prescribed format to SRC through DRC for review.
- 2.3.15.2. In case the progress of student is not found satisfactory, the DRC shall record the reasons for the same and suggest corrective measures. If the student fails to implement these corrective measures for two consecutive reporting periods, the DRC through SRC may recommend to Dean Research and Development for cancellation of registration of the student.

2.3.16. Transfer of Credits

- 2.3.16.1. Dean Research and Development may consider transfer of credits for course work done as an admitted candidate elsewhere subject to (i) earning required credits and passing the course and (ii) selection to Ph.D. programme through UGC approved norms. However, in all cases, a candidate shall present a research plan to SRC for approval by Dean Research and Development.
- 2.3.16.2. Dean Research and Development with the approval of the Vice Chancellor may allow up to one-year relaxation in the time required for submission of thesis based on the time spent in other institution.

2.3.17. Pre Requisite for Thesis Submission

- 2.3.17.1. A student can submit Ph.D. thesis only after 36 months of his admission and 24 months of his registration i.e. the date of approval of the Research Plan by Dean Research and Development.
- 2.3.17.2. Publication/acceptance of three (3) research papers out of which two are in Scopus / SCI / WoS/ Pub Med for students of SBSR, SET, SMSR, SDS, SNSR SAHS, SAS, SOP, whereas students from other streams viz., SBS, SAP, SOL, SOE, SMFE, SHSS may publish in UGC care list indexed journal post admission and the other paper in any journal.
- 2.3.17.3. Presentation of two research papers in national/ international conferences / symposia post admission.

2.3.18. Pre Ph.D. Thesis Submission Presentation

- 2.3.18.1. On completion of the research work, the student shall submit through DRC and SRC a copy of synopsis to Dean Research and Development, who in turn, will advise SRC to conduct a pre-submission open presentation in the presence of Dean Research and Development and or his Nominee, and External Expert. The External

Expert, to the extent possible, should be the same as appointed by Vice Chancellor for Research Plan evaluation. However, in case the same External Expert is not available, Dean Research and Development may appoint any other suitable expert with the approval of the Vice Chancellor.

2.3.18.2. Ph.D. Coordinator(s) shall coordinate with supervisors for presentation of 4-5 pre Ph.D. research work, to the extent possible, in a slot with the same External Expert.

2.3.18.3. SRC will make one of the following recommendations:

- i. Satisfactory for submission
- ii. Modification or more work required in the light of suggestions

In case the committee recommends some more work, the student shall give another presentation. If the student fails in the second presentation, the committee may recommend to Dean Research and development for cancellation of registration. Based on the performance of the student, the thesis submission presentation will be approved by the Dean Research and Development.

2.3.19. Panel of Examiners

The supervisor will submit a panel of the examiners with their brief bio-data drawn from premier Institutes / Universities / Organizations (other than Sharda University and Sharda Group of Institutions) to the Dean Research and Development. The panel will have minimum of four examiners, working in related areas, each from India and abroad. The Vice Chancellor may accept, reject or partially accept the panel. He may in turn also modify the panel as he deems fit. Out of the accepted panel, the Vice Chancellor may approve the names of two examiners, one each from India and abroad. Supervisor of the Ph.D. student shall be the third examiner.

2.3.20. Submission of Thesis

2.3.20.1. Normally, a student should submit the thesis along with requisite documents to the office of Dean Research and Development within 90 days of pre Ph.D. thesis presentation approval, failing which he/she has to present the thesis work again for evaluation.

2.3.20.2. After satisfactory check of the thesis for plagiarism / similarity, the Controller of Examination (CoE) will send the synopsis of the thesis to the examiners for their consent for evaluation. On receipt of the consent, the thesis would be sent to them for evaluation.

- 2.3.20.3. If the consent of the examiners is not received within one month, the synopsis of the thesis may be sent to the next examiner as approved by the Vice-Chancellor.

2.3.21. Thesis Report

- 2.3.21.1. The examiners will be required to submit the evaluation report within a maximum period of two (02) months from the date of dispatch of the thesis. The CoE will give a reminder once in 15 days, if the examiner does not respond within a month. In case the examiner does not respond after two reminders, the CoE may send the thesis to an alternate examiner.

- 2.3.21.2. The examiners will recommend either of the following:

- i. The thesis be accepted after successful completion of viva-voce examination.
- ii. The thesis be revised incorporating the comments of examiners and verified before Viva-voce.
- iii. The thesis be revised incorporating the comments of examiners and be resubmitted.
- iv. The thesis be not accepted.

- 2.3.21.3. Final Viva Voce of Ph.D. Thesis:

- i. If all the three examiners recommend the award of degree, open defence (viva voce) examination be conducted in the office of Dean Research and Development/ online as the case may be.
- ii. If one of the examiner's report is unsatisfactory, thesis be send to fourth examiner.
- iii. If more than one examiner's report is unsatisfactory, thesis be rejected for award of degree and registration be cancelled.

- 2.3.21.4. The University shall develop appropriate process so as to complete the entire process of evaluation of Ph.D. thesis preferably within a period of six months from the date of submission of the thesis.

2.3.22. Viva Voce

- 2.3.22.1. The public Viva Voce examination of the student to defend the thesis shall be conducted only if the evaluation report(s) of the examiner(s) on the thesis is / are satisfactory and include specific recommendations for conducting the viva-voce examination. The supervisor will initiate the process of viva-voce examination. The viva voce examination will be conducted by the office of Dean Research

and Development with one external thesis examiner, nominated by the Vice Chancellor, and supervisor as the coordinator, Concerned Dean / HoD.

2.3.22.2. If the performance of the student in the viva-voce examination is unsatisfactory, he / she will be asked to reappear after a month but not later than six months. If unsatisfactory on second attempt, the student will not be awarded degree and registration will get cancelled.

2.3.23. Award of Degree

2.3.23.1. On successful completion of viva-voce examination, CoE and Dean Research and Development, with the approval of Vice Chancellor, will issue a letter mentioning that the student has completed all the requirements and shall receive the Ph.D. degree in the forthcoming convocation.

2.3.23.2. Research Degree Committee on receiving the proposal will recommend the same to the Academic Council for final Approval.

2.3.24. Controller of Examination (CoE)

The Controller of Examination shall be responsible for all the matters related to examinations.

2.3.25. Plagiarism

Maximum permissible similarity limit in Ph.D. thesis shall be 10%, as prescribed by the UGC vide notification dated 23rd July, 2018 (Self similarity out of publication of Ph.D. work will, however, not be counted) In case of any plagiarism reported against any student at any stage, even after the award of degree, necessary action will be taken by the University as per guidelines of UGC, which could include cancellation of registration / withdrawal of degree.

2.3.26. Depository with Inflibnet

Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree, CoE shall submit an electronic copy of the Ph.D. thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions.

2.3.27. Award of Degrees to the Students Admitted to the Ph.D.Programme Prior to Implementation of this Ordinance

Award of degrees to students admitted to the Ph.D.programme before the implementation of this ordinance shall be governed by the provisions of the Ph.D. Ordinances of the University notified from time to time.

2.3.28. Power to Relax

Vice Chancellor, the Chairperson of the Academic Council, in exceptional circumstances, may relax any of the provisions of the said ordinances to remove any difficulty.*In case of any dispute, the decision of the Vice Chancellor shall be final.*

CHAPTER – 3: STUDENTS RESEARCH SUPPORT

3.1. Guidelines for award of Fellowship cum Assistantship to Ph.D. Students

In order to encourage research activities and attract meritorious students in Ph.D. programme, the University Awards Fellowship cum Teaching Assistantship for full time Ph.D. students. Following are the guidelines:

- 3.1.1.** Fellowship-cum-Assistantship shall be awarded only to full-time Ph.D. students, admitted through entrance test.
- 3.1.2.** Those who are NET/GATE qualified will get a fellowship worth Rs. 15000.00 per month and other full-time students will get a fellowship worth Rs. 8000.00 per month from the date of joining to the Ph.D. programme and reporting to the Sharda University.
- 3.1.3.** In addition to fellowship, students may get teaching assistantship, depending on the availability of workload of 12 hours per week in the School/Department. For this Rs. 10000.00 per month will be paid extra.
- 3.1.4.** Teaching Assistantship will be offered only to those Ph.D. Scholars who have successfully completed their coursework with minimum 7.0 CGPA and on the basis of selection test for assistantship.
- 3.1.5.** Fellowship-Cum-Assistantship will be awarded for a period up to 3 years.
- 3.1.6.** If the workload in any month is less than 12 hours/week, the Teaching Assistantship amount will be paid on pro-rata basis.
- 3.1.7.** Payment to the Ph.D. scholar for a month will be released only on receipt of details of research and teaching activities carried out by him/her, duly verified by supervisor(s) and Head of the Department.
- 3.1.8.** Progress of the work of the Ph.D. scholar will be monitored by SRC every six months and the Fellowship-cum-Assistantship will be renewed based on satisfactory progress.
- 3.1.9.** If the research plan of the student is not approved within a year from the date of admission, fellowship may be terminated.

3.2. Incentivizing Research amongst Under Graduate and Post Graduate students

- 3.2.1.** For creating a vibrant research ambiance, the University considers it necessary to incorporate certain research components, along with a sound academic foundation, at the UG and PG levels of teaching and learning. This will encourage not only independent critical thinking and improve communication skills, preparing the students

for their professional careers, but will also benefit the faculty to keep pace with the productive research agenda in today's rapidly changing canvas for quality academic research. Another spin off benefit would be that it will enhance their teaching and learning experiences of both faculty and students. The University in turn will benefit from presentations and publications, increasing its visibility in the scientific community.

3.2.2. In the aforesaid context, for developing a research culture amongst students at UG and PG levels, the University has decided to introduce following methodology for adoption in all the non-council-based Schools of Studies.

3.2.3. Process:

- Motivation of students by faculty members
- Training of students on research methodology
- Students will be oriented in writing focused research papers.

3.2.4. Incentive to the students:

- Appreciation letter from the Vice Chancellor / Certificate by the Dean of the School concerned Photographs with Hon'ble Vice Chancellor and its publication in News Letters / Magazines and Annual Report of the University.
- Uploading of the quality work done on the Sharda University Website/ What's Happening
- Cash reward of Rs. 1,000/- per research papers published in the biannual research journals published by the University.
- Cash reward of Rs. 5,000/- per research papers published in journals cited in SCOPUS / SCI similar to the policy for faculty members.
- Recommendation for better placements in companies by the Training and Placement Department.

3.2.5. Target:

- 20-40 papers will be published in the first year
- After a year target would be 30
- After 2 years 100 research papers shall be the target

3.2.6. Outcome:

- Enhancement in the quality of project works
- Better placement
- Substantial increases in research publications by the University
- University may show case the initiatives as Best Practice for accreditation by NAAC.
- It would be small step towards research University status, under National Education Policy-2019.

To pilot the above scheme for research publications by under-graduate and post-graduate students, there shall be a 'Nodal Officer' who will, in addition to his present assignments, orient the faculty in each School with the salient features of the scheme so that they are able to explain and encourage the students. The implementation of the Scheme shall be reviewed by the Vice-Chancellor with each School Dean and Head of Departments (HODs) after the end of each semester.

CHAPTER – 4: PROMOTING RESEARCH

4.1. Policy for Incentives, Awards and Recognitions

4.1.1. Preamble

Sharda University is an academic institution of higher learning, dedicated to excellence in teaching and research. In addition to offering a number of academic programmes at Undergraduate, Post-graduate and Ph.D. levels, the University encourages its faculty, scholars, and students towards making contribution for larger good of the society.

In this document, the generic guidelines and the processes for Incentivizing the faculty and students, who receive State, National and International Recognitions /Awards, have been outlined for general information, guidance and compliance.

4.1.2. Introduction

Faculty plays a valuable and vital role in the performance of any University; therefore, the University is committed to recognizing and rewarding faculty members who have exceptionally contributed to the society and the nation through their research, innovation and extension/ outreach programme. The Incentive Scheme for State, National and International Awards and Recognitions is an important channel to promote motivation at the workplace and to build up a culture that is favourable for accomplishing organizational objective and to make faculty feel respected and appreciated for the good work done. Such an initiative will also contribute to generate knowledge, enhance social and economic impact of the university on communities, support enterprising and innovative spirit of the faculty, etc. Essentially, the University encourages its faculty to get involved in various research, innovation and extension activities that may benefit the society and the country at large.

The Incentive Policy seeks to:

- encourage its faculty for research, innovation, and outreach activities;
- acknowledge the individual and team contributions for the good work done at State, National and International level; and
- nurture a sense of ownership and leadership for notable performance.

4.1.3. Scope

This policy is applicable to all the faculty and students of the University. The policy aims to provide incentives to a faculty and student who receive State, National and International awards/recognitions in addition to the awards/ recognition schemes available for research promotion of the University.

The awards received should be of high merit. To ensure fairness, the awards/recognitions received by the faculty and students from any organization, which is run or recognized by the State, National and International agencies shall only be considered. Awards which are routine in nature or are given out on financial consideration are out of the scope of this policy and will not be considered under this scheme.

4.1.4. Categories of Awards and Incentives therefor

In addition to the existing research promotional schemes for research and outreach activities, the University provides incentives to the faculty and students for their notable academic, research & development, innovation and extension accomplishments, meritorious contributions leading to the awards/recognitions at the state, Institutional, national and international level. The following categories are included for the purpose:

- **International Awards/ Recognitions**
Commendation certificate + Medal and/or Monetary incentive (Rs. 10000-25000 based on the level/merit of award/ recognition)
- **National Awards/ Recognitions**
Commendation certificate and/or Monetary incentive (Rs. 5000- 15000 based on the level/merit of award/ recognition)
- **State Awards/ Recognitions**
Certificate of Honour and/or Monetary incentive (Rs.3000-10000 based on the level/merit of award/ recognition)
- **University Awards/ Recognitions (Other than SU)**
Certificate of Honour and/or Monetary incentive (Rs.2000-5000 based on the level/merit of award/ recognition)

Announcement of such recognitions in Department/School News Letter and University website should also be done for a wider publicity

The committee constituted as under shall assess the level/ merit of these awards/ recognitions and recommend to the Vice Chancellor for suitably incentivizing the faculty and students

- | | | | |
|------|-----------------------|---|-------------|
| i. | Dean Research | : | Chairperson |
| ii. | Dean Academic Affairs | : | Member |
| iii. | Director IQAC | : | Member |
| iv. | One Senior Professor | : | Member |
| | nominated by VC | | |

The Dean of the respective School will initiate the award recognition process and send the proposal to the Director, IQAC for further processing, on case to case basis, depending on the merit of award/ recognition as assessed by the committee.

The award/recognition should comply with University policies and procedures, and should be commensurate with the achievement made in research, innovation and extension activities/ outreach programme.

The recognition should be bestowed on a faculty and student in University functions like Convocation, Teachers Day, Orientation Day, Award Function etc.

In all cases the decision of the vice-chancellor shall be final.

4.2. Research Projects: Policy for Seed Money

4.2.1. Introduction

Research and Development is a systematic activity of basic and applied research to discover solution for problems faced by society or creating new products and knowledge.

Seed Money Scheme has been initiated by the University in the year 2017 to provide seed research grant to the faculty members under different areas of research with an intent to:

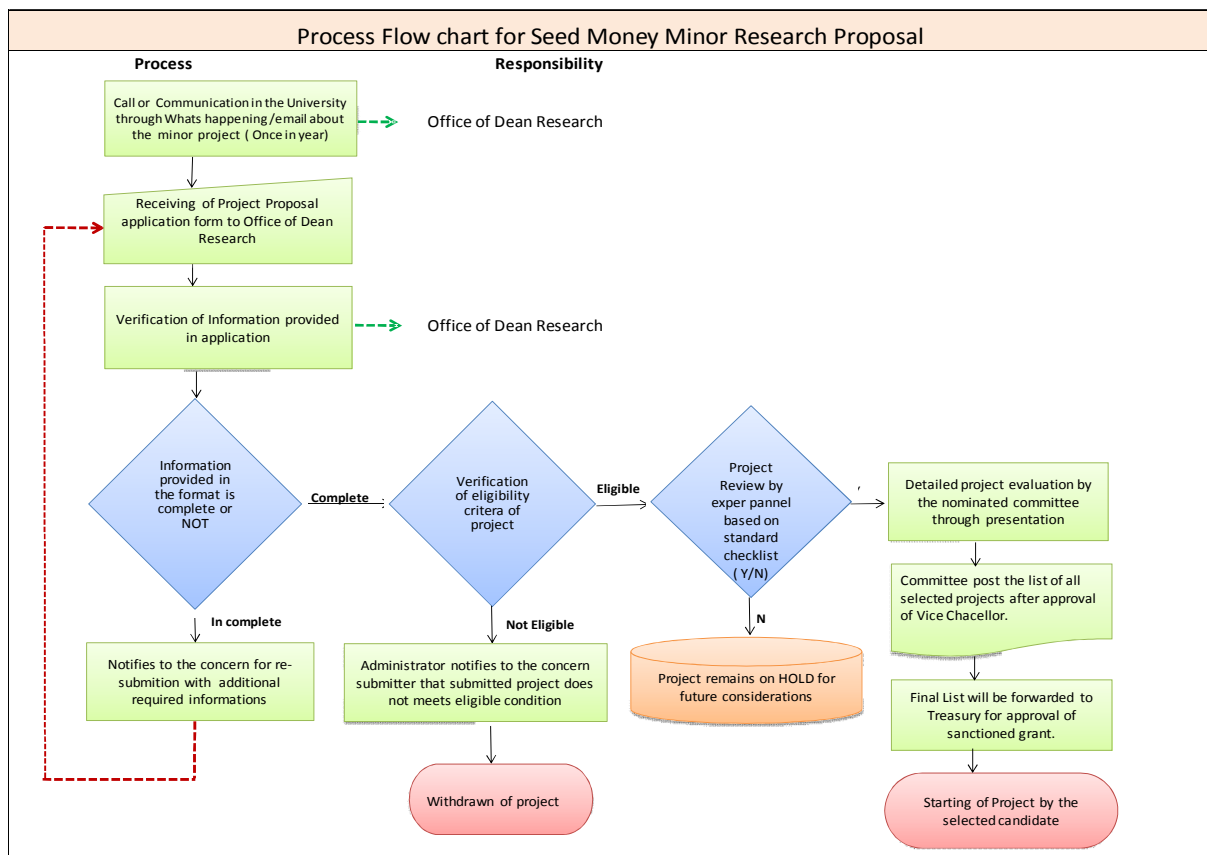
- To support and enhance the research capabilities of the faculty for the generation of proposal to apply for Government /Private funded research projects.
- To motivate the faculty members and enhance their research activities.

It may result in the form of IP - research, publications, patents and copyright etc. The broader objective of the scheme is to prepare a platform to accelerate the possibility for applying high value projects with financial support from external agencies. The applicant must clearly and convincingly demonstrate that the proposed project represents a new research direction in an area likely to attract external funding.

4.2.2. Scope of the Policy

- 4.2.2.1. This policy is to encourage the faculty members to propagate their innovative ideas through Seed Research Proposals, which can be further translated in to major research projects and submitted to the external agencies for funding.
- 4.2.2.2. Faculty members (Assistant and Associate Professor only), who have completed their probation period and having a Ph.D. degree or MD/MS/DNB/MDS are eligible to apply for the same.
- 4.2.2.3. The faculty should be rewarded the seed project financial support once only during the tenure at Sharda University as Principal Investigator (PI). Co-PI can also be there in an inter-disciplinary project.

- 4.2.2.4. Normally, one faculty member only from the same Department should be considered as PI or Co-PI.
- 4.2.2.5. The provision of seed money grant is for a maximum period of two years. In case of any delay in the projects, it is expected from PIs/Co-PI to take extension of the project from Dean Research and update the Internal Quality Assurance Cell (IQAC) accordingly.
- 4.2.2.6. Normally, a grant up to Rs. 2 Lakh may be rewarded, based on the merit of the proposal and decision of the committee constituted by Vice Chancellor. However, there should be no such ceiling for cutting edge research & development work, based on assessment of the need in this regard and availability of funds.
- 4.2.2.7. The expert guidance of Professors, Professor Emeritus, Distinguished Professors, Visiting Professors, as per their expertise, are expected to be Mentor in these projects.
- 4.2.2.8. It is expected from PI/Co-PI to timely submit the utilization certificate to the Office of Dean, Research and Development as also to the IQAC.
- 4.2.2.9. Dean Research shall review and monitor the progress of the sanctioned project periodically and submit his report to the Vice Chancellor and IQAC.
- 4.2.2.10. After completion of the Seed Money Project, the final report must be prepared as per the prescribed format and submitted to the office of Dean Research and IQAC for record purpose.
- 4.2.2.11. The process Flow Chart for Seed Money Minor Research Proposal shall be as under:



4.2.2.12. The applicant shall submit proposal for grant of Seed Money Project and the Project Completion Report on the prescribed format as **enclosed** hereunder:

FORMAT FOR SUBMISSION OF SEED FUND PROJECT

Sharda University, Greater Noida

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

14. Timeline linked activity chart

S No	Activity	0-3 M		4-6 M	7-9 M	9-12M	Remarks
1							
2							
3							
4							

15. Break up of Cost

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

16. Expected Outcome

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

18. Selected References

(Name & Signatures of PI)

Dated:

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

Dated:

Forwarding of Head of Department

Recommendation of Dean of the School

SEED MONEY
PROJECT COMPLETIONREPORT

PROJECT TITLE

SUBMITTEDBY

(NameofPrincipallInvestigator)

Details of the Department and School

DateofSanction

DateofCompletion

ProjectTitle:		
Durationof Project:	From:	To:
PrincipallInvestigator	Name	
	Email ID	
	Mob No	
	Department and School	
Co-PrincipallInvestigator	Name	
	Email ID	
	Mob No	
	Department and School	

PartA- SummaryReport

1. ProjectObjectives

Objectiveasperthe approvedProject	FullyAchieved/PartiallyAchieved(indicateshortfall)	ReasonforPartialAchievement

2. Deliverables

DeliverablesaspertheapprovedProject	Fully/Partially/NotAchieved	ReasonforPartial/NonAchievement

3. Specific Outcome *(Please give details)*

- i) Patent, if any
- ii) Product/Process developed/technology transferred
- iii) List of Publications arising from the Project
(attach Copies of the Papers)
- iv) Linkages established

4. Project Budget *(Final)*

6. Suggestions for Utilization of Project Outcome *(Give a tangible roadmap, names of specific Industrial Units)*

Part B – Comprehensive Report

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

1. Project Title:

2. Product/Process as an outcome of the Project, identify beneficiaries

3. Scientific Description (Give Specifications/Standards for the same)

4. Methodology adopted *(State briefly in 300 words, paste picture if any)*

5. Scientific/Industrial Invention giving underlying Basis *(Provide sufficient details)*

6. Further Effort required, if any, to get full Benefits or enhance Utilization.

7. Recommendations for Utilization of the Product/Process. Give details.

8. Output of the Project:

- Research papers/publications/posters:
- Patent filings:

- Participation in conference/training workshops attended:
- Status of the submission of the project to any External Funding Agencies (Y/N), If yes give the detail.

Signatures and Name of PI

Signatures and Name of Co-PI

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

4.3.1. To motivate of the faculty members and enhance their Research and Development (R&D) activities in the University, the following financial support and reward scheme has been worked out:

S.No.	Item	Amount	Remark
1.	Seed money for Minor Research Projects (Two Years)	Up to ₹ 2.0 lacs per project to be given @ ₹ 1 lac per year	<ul style="list-style-type: none">• Expendables/Materials,• Minor equipment including repair/ maintenance
2.	Reward for research publications in SCOPUS/SCI Journals	*SCOPUS /SCI: ₹ 5,000/-	For first as well as for the subsequent publication(s). Professors, excluding Distinguished Professor, will be given Rs. 2500/- only for 3rd publication onward in the same academic year.
3.	Financial Support to Regular faculty members for Travel/ Registration for attending National and International Conferences	National: up to ₹ 10,000/- or actual whichever is lower International: up to 50 % of the actual or 30,000/- maximum whichever is lower	Travel (up to ₹ 6,000/- per year)
4.	Minor equipment grant For strengthening infrastructure of Research Laboratories	₹ 1 lac per laboratory per year	
5.	Charges for using experimental facilities available at other Universities/ Institutes	Up to ₹ 20,000/- per year based on actual bills	Charges for using experimental facilities available at other Universities/ Institutes
6.	Additional Grant for enhancing the e-resources	₹ 10.0 lacs per year	Additional Grant for enhancing the e- resources
7.	Filing and processing fee of patent applications	The University will bear entire expenditure involved	Filing and processing fee of patent applications

4.3.2. Reward for Publication and Grant of Patents

To motivate the Faculty Members for their innovative research leading to publication and grant of patents, the University has decided to give the following rewards to faculty members for their published and granted patents:

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

CHAPTER 5: PROTECTING INTELLECTUAL PROPERTY RIGHTS

5.1. Preamble

Sharda University always recognises the importance of strong and vibrant IPR (Intellectual Property Rights) culture, permeating entire research and academic community. The University has created an ecosystem of protecting intellectual property rights of its academic community, incentivising the researchers and academic community to come up with quality publications as well as innovative solutions.

A paradigm shift is happening at the national policy level in the framework of innovations and innovation culture with ushering in of National IPR Policy, 2016, National Innovation and Start up Policy, 2019 for Students and Faculty as well as with the contours of new Science, Technology and Innovation Policy, taking shape under the aegis of DST. It has therefore, become necessary for the University to re-fashion its Policy on Intellectual Property Rights, in tune with these major policy frameworks and for keeping pace with the changing times and paradigms.

5.2. Objectives

- To protect Intellectual Property (IP) Rights generated by faculty, students, and staff of the University, by translating their creative and innovative work into IP rights;
- To formulate an efficient, fair, and transparent administrative process for ownership control and assignment of IP rights and sharing of revenues generated by IP, created and owned by the University;
- To promote collaborations between academia and industry through better clarity on IP ownership and IP licensing;
- To provide a framework to foster innovation and creativity in the domains of technology, sciences, and humanities by nurturing new ideas and research, in an ethical environment through a balanced IP management approach;
- To create mechanism for knowledge generation and its commercial exploitation so as to augment the financial self-sustenance goals of the University and to reward faculty and researchers; and
- To create a better eco-system for innovation and entrepreneurship.

5.3. Scope of IPR Policy

- The Policy shall apply to all Intellectual Property created at the University, as well as, all IP rights associated therewith.
- This Policy shall apply to all Researchers of the University including
 - a. academic and non-academic staff;

- b. undergraduate, postgraduate, doctoral and post-doctoral students;
- c. visiting scientists; who use the resources of the University or otherwise participate in any research project(s) administered by the University.

5.4. Publications

Researchers should be aware that premature public disclosure in any form may result in loss of potential IP rights. As such, they should make all reasonable efforts to identify any protectable IP as early as possible. Further, Researchers shall keep appropriate records of their research work and make reasonable efforts to ensure that only those individuals within University who have a need to have access to such records for the performance of their duties are granted such access.

Researchers are duty bound to identify any potential IPRs resulting from their research work and provide full, complete and accurate information to IPR Cell so as to enable it to sufficiently assess the technical and related features, ownership, commercial potential and IP protection that might be applicable to such IP.

5.5. Ownership of IP Rights

5.5.1. Patents

- (i) The ownership rights over all inventions whether made by Researcher (in furtherance of his responsibilities with University), developed by utilising the resources of University, or with the mix of funds, resources and/or facilities of University, shall ordinarily be vested with University.
- (ii) In case the University determines that an invention was made by a Researcher on his own time and unrelated to his responsibilities towards the University, and was conceived or reduced to practice without the use of resources of the University, then the ownership rights over such invention shall vest with the Researcher.

5.5.2. Copyright

- (i) The University recognizes that globally Researchers prefer to publish their research outcomes or creative works in the form of journal articles, papers presented in conferences, newspaper articles, or as books. The ownership rights in such scholarly and academic works, generated utilising resources of University, including books, articles, student projects/ dissertations/ theses, lecture notes, audio or visual aids for giving lectures shall ordinarily be vested with the Author(s). However, the University shall have non-exclusive, perpetual, royalty free license, on world-wide basis, to use such scholarly and academic works for academic and teaching purposes.

- (ii) Copyright to thesis/ dissertation work shall be owned by the student and research guide jointly. However, such copyright shall only pertain to thesis document itself or to the form in which the research findings or creative work are documented, whereas ownership of invention/ development described in the thesis will be owned by the University. Notwithstanding any copyright, University shall have non-exclusive, perpetual, royalty free license, on world-wide basis, to use such created thesis/ dissertation work for teaching and academic purposes.
- (iii) 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 University, shall vest with the University. The moral rights shall continue to vest with the author(s) wherever applicable.

5.5.3. Trade Marks

The ownership rights in all trademarks involving University shall vest with University. University may allow use of its name and trademarks by Third party only under a signed agreement. Third Party shall take prior approval of University about the manner in which the name of University and its trademark(s) are to be used in any media including print and electronic media.

5.5.4. Industrial Designs

- (i) The ownership rights over all industrial designs, whether made by Researcher, utilising the resources of University, or with the mix of funds, resources and/or facilities of University, shall vest with the University.
- (ii) In case, the University determines that the industrial design was created by Researcher on his/ her own time and unrelated to his/ her responsibilities towards University and was conceived or reduced to practice without the use of resources of University, then the ownership rights over such industrial design shall vest with the Researcher.

5.5.5. Semiconductor Integrated Circuits and Plant Variety

- (i) The ownership rights over integrated circuits and plant varieties, created with the utilization of resources of the University, shall vest with University.
- (ii) In case the semiconductor integrated circuit layout design or plant variety was created by Researcher on his/ her own time and unrelated to his/ her responsibilities towards the University and was conceived or reduced to

practice without the use of resources of University, then the ownership rights over such semiconductor integrated circuit layout design or plant variety shall vest with the Researcher.

5.6. Financial Support

- (i) All IPR applications generated by Researchers shall be filed in the name of the University.
- (ii) The Researcher(s), before filing of IPR applications, shall sign an IPR Assignment and Royalty Sharing Agreement with the University having following provisions:
 - (a) Researcher(s) shall be provided a copy of the license agreement in case the concerned IPR is licensed to third party(ies) by the University for the purposes of commercialization.
 - (b) Researcher(s) shall be provided their share of royalty as per the provisions provided the IPR Policy and his/their share shall be continued to be paid, irrespective of their continuance with the University as a Researcher.
 - (c) University shall ensure timely payment of their due at their last known address.
 - (d) University shall have right to abandon the concerned IPR, in case University fails to license the concerned IPR within 10 years of its grant.
- (iii) IPR Cell working under the administrative control of the University shall be the nodal agency for handling filing, prosecution, grant, maintenance etc. of IPR applications. Dean, Research and Development shall be the signing authority on behalf of the Vice Chancellor/ University.
- (iv) All expenditure on filing, prosecution, grant, maintenance etc. of such IPR applications in the name of the University shall be borne by the University.
- (v) Decision on expenditure related to filing, prosecution, grant, maintenance etc. of all IPR applications, filed jointly in the name of the University and any third party, shall be taken on case-to-case basis by the Dean, Research and Development, taking into account the terms and conditions of agreement signed with such third party, if any.

5.7. IP Generated from Research Conducted in Collaboration with External partners

Ownership of IP, generated during research conducted in collaboration with external partners, shall be determined as per the terms and conditions in the agreement signed between the concerned parties. However, unless agreed otherwise, the University, shall normally retain perpetual, royalty free license, on world-wide basis, to use such generated IP for research and educational purposes.

5.8. Encouraging Entrepreneurship and Start-ups

To promote and encourage entrepreneurial activities, the University may reassign, under an agreement, its ownership of an intellectual property to Researcher, who opt to market, protect and license it on his own with minimal involvement of University. The fees to be paid to University by such assignee(s) shall comprise all expenditure related to filing, prosecution, grant and maintenance of protected IP and licensing expenses and appropriate amount of royalties, equity or other values.

5.9. IP Generated by Contractors, Consultants and Vendors

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

5.10. Trade-Secrets and Know-how Information

University may designate certain confidential information as a Trade Secret. In that event, all Researchers will be obligated to maintain secrecy of the Trade Secret. Researchers and faculty, in order to protect the information exchanged or being exchanged with Third party must sign Non-Disclosure Agreement (NDA) with such third party. Trade secrets and know-how information should only be exchanged with Third party in writing after getting written clearance from IPR Cell.

5.11. Incentive Scheme for IPR Filing

In order to promote innovation culture among the faculty and researcher community, the University shall implement incentive scheme which shall be notified by the University from time to time.

5.12. Monitoring and Responding to Infringement of IPR

In case of any IP the University owns, or co-owns with a collaborator, the university will evolve mechanisms to monitor infringement of IPR by another organization, and suitably respond to any infringement. The university will make every effort to ensure that its own Researchers, faculty and students do not infringe upon IP rights owned by third parties.

5.13. Licensing and Commercialization

- (i) University shall make best possible efforts to license out the IP generated with creative efforts of its Researchers. The University may sign a MOU with any facilitating agency to encourage the inventors to commercialize their intellectual property by organizing specific industry interactions for showcasing the University inventions.

- (ii) University will encourage the inventors to facilitate commercialize their IP through their own professional networks. However, any formal arrangement for technology transfer shall be carried out only by IPR Cell.
- (iii) When a third party is interested in commercializing an IP after inspecting its relevant technology profile, they may apply to IPR Cell for the same. A license fee will be decided by the IPR Cell in consultation with the inventor. The University will require the third party to sign a confidentiality agreement undertaking to maintain the confidentiality of all information disclosed.
- (iv) Protection of IP among other things is meant to provide incentive to all those associated with University with a potential for pursuing research leading to marketable product or processes and as a consequence generate revenue for University. The policy provides for sharing the revenue from monetization of IP among stakeholders. These stakeholders besides University will include inventors, associated academic entities of University and the administrative entities engaged in IP management and commercialization. The University, however, reserves the right to determine the share of the different stakeholders involved in IP creation and dissemination from time to time
- (v) In order to ensure early commercialisation and encourage the researcher to take active initiative for this purpose, the sharing of revenue sharing will be 90:10 by the Researcher and University respectively from the date of signing of any technology transfer agreement. However, the sharing of revenue beyond Rs 50 Lakh shall be guided by the following table, in case total revenue reaches Rs 50 lakh in any particular financial year

Revenue per year	Share of Researcher	Share of University
Less than Rs 50 Lakh	90	10
More than Rs 50 Lakh	70	30
But less than Rs 100 Lakh		
More than Rs 100 Lakh	50	50

- (vi) Total earnings for any single individual Researcher for any particular financial year, in any case shall always be capped at Rs 150 Lakh and any remaining amount shall be shared by the University.
- (vii) The Researcher's share shall continue to be paid, irrespective of whether or not the individual continues as a Researcher at the university. If more than one Researcher is involved in the generation of IP, all the Researchers would qualify for benefit sharing in that IP with equal share

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

5.14. Commercialization through Spinoff and Start up

- (i) University generated IP can be licensed out to a third party or even to a spin-off company or start-up company being set up by the Researcher(s) himself/ themselves. All such licensing agreements, in particular, where the third party is also the Inventor, would be carefully examined by the University to determine that no conflict of interest occurs as a result of their execution. The third party, when interested in any such transfer of rights, must demonstrate, in advance, the technical and business capability to commercialize such licensed IP.
- (ii) The license may be subject to additional terms and conditions, such as revenue sharing with the University or reimbursement of the cost of statutory protection. If the University finds that the third party has not taken steps to commercialize the IP within two years of acceptance of the license, the University will be free to revoke such license.
- (iii) University shall have a perpetual, non-exclusive royalty-free license, on world-wide basis, to use such licensed IP for its own teaching and academic work.

5.15. Liability of the University for Infringement of IPR

The University will not be liable or responsible in any manner for the violation of the IP rights of third party (ies) by its Researchers, faculty, students or collaborator in the event of any claim or criminal or civil action or suits or proceedings initiated by third parties for infringement of their IP rights.

5.16. Term

Term of the IPR Policy shall be five (05) years initially from the effective date and shall be automatically renewed thereafter every year.

5.17. Disputes and Appeals

University may appoint a committee of experts to address the concerns of the aggrieved person(s) or Researcher(s) regarding the implementation of the Policy, or the validity or breach thereof, and all disputes there under shall be dealt with by this committee. The decision taken by this committee should be within a prescribed time period from submission of said concern. Any dispute remaining shall be decided by the Vice Chancellor, whose decision shall be final.

5.18. Applicable Law

Settlement of any remaining legal issue, if any, pertaining to interpretation of the Policy shall be done under The Arbitration and Reconciliation Act, 1996, as amended time to time, with place of settlement being in Gautam Budh Nagar, Uttar Pradesh.

5.19. Amendments

Any amendment/ modification in this IPR Policy shall be applicable only when approved in writing by Statutory Authority of the University.

5.20. Implementing Agency

The implementing agency for the Policy shall be the IPR Cell, working under the administrative control of Dean, Research and Development.

Definitions

Author:	An author is as defined under Section 2(d) of the Copyright Act, 1957.
Collaborative Activity:	means research undertaken by faculty/ researcher/ student in the University, in cooperation with industry and/or another researcher(s), who are not from the University.
Creator:	means the Researcher who contributed to the creation of the Intellectual Property (IP) (essentially copyrights and designs etc.)
Design:	means is as defined under Section 2 (d) of the Designs Act, 2000
External Partners:	includes Government of India, State Government(s), Local Government, Government Departments, Foreign Governments, International Organizations, Public Sector Undertakings (PSUs), all types of Private Sector Organizations, Multinational Corporations, Non-Governmental Organizations, and/or other institutions that provide research projects or consultancy assignments to Researcher(s) of the University on regular or irregular basis; or any combination(s) of the above.
Moral Rights:	means moral rights as enshrined under section 57 of the Copyright Act, 1957, which include the right to paternity and the right to integrity.
Intellectual Property (IP):	means Intellectual Property, as provided under Article I of the Agreement on Trade Related Aspects of Intellectual Property Rights (TRIPS), refers to all categories of intellectual property that are subject of Sections 1 to 7 of Part II of the TRIPS Agreement.
Intellectual Property Rights:	means ownership and associated rights relating to aforementioned Intellectual Property, either registered or unregistered, and including applications or rights to apply for them and together with all extensions and renewals of them, and in each and every case, all rights or forms of protection having equivalent or similar effect anywhere in the world.
Inventor:	means the Researcher who contributed to the creation of the Intellectual Property (essentially patents)
Patents:	means is as defined under section 2 (1) (m) of The Patents Act, 1970 ("patent" means a patent for any invention granted under this Act)
Plant Variety:	means as defined under section 2(zap) of The Protection of Plant Varieties and Farmers' Rights Act, 2001

Researcher:	means; (a) academic and non-academic staff; (b) undergraduate, postgraduate, doctoral and post-doctoral students; (c) visiting scientists; who use the resources of the University or otherwise participate in any research project(s) administered by the University.
Research Agreement:	means Research Service Agreement, Cooperative Research and Development Agreement, Material Transfer Agreement, Confidentiality Agreement, Consultancy Agreement and any other type of agreement concerning research pursued by Researchers and/or IP created at the academic institution.
Royalty:	means payment made to Researcher/Inventor/Author of the University for legal use of a patented invention or any Intellectual Property when licensed or assigned.
Semiconductor Integrated Circuit:	means is as defined under Section 2(r) of the Semiconductor Integrated Circuits Layout Design Act, 2000.
Sufficient Disclosure:	means detailed description of features essential for carrying out the invention so as to meet the statutory requirements.
Trade Mark:	means as defined under Section 2(zb) of the Trade Marks Act, 1999.
University:	means Sharda University.

Standard Operating Procedure (SOP) on Intellectual Property Rights

Filing Patent Application

Patent is always about a solution to an existing technical/ industrial problem. As such, draft patent document (IDF) should be crafted in a manner so as to distinctly highlight the existing technical problem, the technical advancement proposed by the inventor(s), and the manner in which the proposed advancement solves the existing technical problem. Any Researcher, desirous of filing a patent application in connection with the inventive work done by him, should follow the procedure outlined below:

- a. Disclose the best method of performing the invention in the standard template (IDF) outlining the industrial/technical problem being solved by the proposed invention, the methodology/functional features of his invention and the manner in which it is solving the identified technical/industrial problem. The IDF should be duly forwarded by the Dean of the School, verifying the inventors' details.
- b. The application will be initially examined by the IPR Cell for the sufficiency of disclosure and patentability criteria. If satisfied, the IDF shall be forwarded to a patent attorney on the panel of the University. The patent attorney will carry out patentability search for determining novelty and non-obviousness of the invention as well as patentability and sufficiency of disclosure. If satisfied, the patent document shall be prepared by the patent attorney in consultation with Researcher and IPR Cell. Once the final patent document is ready, it shall be filed by patent attorney with Patent Office after getting approval from Researcher and IPR Cell in writing.
- c. Researchers are duty bound to render all technical help to IPR Cell/ patent attorney during the examination of such filed patent application so as to ensure smooth and early grant.
- d. The University will normally maintain an Indian patent for a maximum period of 10 years. Sincere efforts on the part of the inventor must be initiated during this time span to commercialize the invention. The University shall decide about maintenance of granted patents beyond 10 years only in case of proven commercialization as well as earning of adequate royalty.

Filing International Patent Application

Any Inventor, within 12 months of filing his/her Indian patent application, may submit a request with IPR Cell for filing international patent application, through respective Dean of School. However, as taking out patents in foreign countries is extremely costly, the interested Inventor must justify the reason for filing of patent application in specific countries based on

potential commercial application in those very specific countries. IPR Cell, after studying the specific justification for filing patent application in foreign countries, shall file such foreign patent applications only after taking written approval from Vice Chancellor of the University.

Filing Copyright Application

Copyright subsists in any original literary work, including scientific publications, popular articles, and other published material; computer programme/ software database irrespective of whether the copyright has been registered under the copyright law or not. Copyright also subsists in translations, abridgements or compilations of other works, which are also considered to be literary works. Ownership of copyright on any work may be claimed by putting the symbol ©. For example, Copyright © 2021, the University

Any Creator, desirous of filing copyright application, may fill the standard Disclosure Form applicable for copyright application and attach PDF version of Work and forward to IPR Cell. IPR Cell, after duly checking the Disclosure Form as well as PDF version of the Work shall forward it to one of the patent attorney firms on its panel.

Filing Design Application

Any Creator, desirous of filing Design application may fill the standard Disclosure Form applicable for Design application and attach PDF version of drawings/ representation of articles of subject matter and forward to IPR Cell. IPR Cell, after duly checking the Disclosure Form as well as PDF version of the drawings/ representations, shall forward it to one of the patent attorney firm on its panel.

General

- (i) All IPR Applications shall be filed with the University as Applicant.
- (ii) Researcher(s), before filing of IPR applications, shall sign an IPR Assignment and Royalty Sharing Agreement with the University, as provided in the IPR Policy
- (ii) In case any IPR Application is to be filed jointly with any Applicant, along with the University, it will be filed only with prior written approval from Dean, Research and Development.
- (iv) Under no circumstances, any IPR Application is to be filed in the name of any individual, unless approved in writing from the concerned Dean of the School as well as Dean, Research and Development.
- (v) All IPR Applications are to be filed by specific Power of Attorney, to be prepared for each IPR Application by the concerned patent attorney.

- (vi) Each specific Power of Attorney should be prepared only in the name of Dean Research and Development, who would be acting as authorized signatory on behalf of the University.
- (vii) All IPR Applications, once forwarded to any patent attorney firm, shall be prepared in consultation with relevant inventors/ authors as well as IPR Cell. Any communication to inventors/ authors shall be copied to IPR Cell for better coordination as well as monitoring the progress of IPR Filing efficiently and effectively.
- (viii) Final filing of IPR Applications shall be done only after receiving written consent from IPR Cell, subsequent to written consent from Inventors/Authors.

CHAPTER 6: ETHICS IN ACADEMIC RESEARCH

The University, while ensuring a free academic environment for research and development, is committed to promote and maintain ethical principles in the process of academic research, and to entrench and recognize the transparency of the culture of honesty in all institutional activities. The University expects the highest possible standards of integrity during the conduction of academic research and/or in case of supporting any academic research activities. For example, a Ph.D. thesis/ PG dissertation submission requires a plagiarism check by the competent authority before it is accepted for evaluation. In this direction, the University has subscribed and used software meant for plagiarism check.

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

6.1. Academic Autonomy, Integrity and Accountability

- **Academic autonomy:** Academic autonomy is the liberty to pursue the knowledge and conduct research without any difficult intervention. Violation of the recognized academic research norms degrades the institution reputation and is considered as a severe offense.
- **Academic integrity:** Academic integrity is the commitment to trustworthiness, objectivity, admiration, accountability, and acceptability. Academic integrity involves academic research to follow an amplified proficient level, comprising applicable research scheme and structure, adhere to high-level research ethics, and comply with the requirements of professional and regulatory research guidelines and research ethics frameworks issued in appropriate fields. It is intellectual honesty in proposing, performing and reporting any activity, which leads to the creation of intellectual property.
- **Academic Honesty:** Academia must have the pursuit of truth, awareness, and thoughtful by needful knowledge and trustworthiness in education, training, and research.
- **Trust:** Academia should create an atmosphere of mutual trust to encourage the free exchange of ideas and enable everyone to realize their full potential.
- **Fairness:** Academia should strive to ensure fairness in institutional standards, practices and procedures, and fairness in interactions among community members.
- **Respect:** An academic community should promote respect for mutual respect.

- **Responsibility:** An academic community should maintain excellent values in learning, teaching and research.
- **Communication:** The academic community should wide spread its original research findings.

6.1.1. Institutional Responsibilities

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

6.1.2. Publication Practice and the University Central Repository

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

- **Acknowledgement:** Reporting authors must acknowledge the Sharda University in case of the use of University facilities like Infrastructural/laboratory/other resource specially for the research purpose. This applies to all research outputs, including those published in Ph.D., PG and UG thesis /dissertations.
- **Affiliation:** Reporting authors must follow format for indicating affiliation (Name of Department, Name of School, Sharda University, Greater Noida, India). Example: Department of Physics, School of Basic Sciences and Research, Sharda University, Greater Noida, India.
- **University Central Repository i.e. e-Zone:** The details of the published research papers (Scopus, WoS, PubMed/ UGC CARE) must be uploaded on the University's Central Repository. Contribution in terms of publications of books/ book chapters in edited volumes and papers in National/International conference-proceedings also to be uploaded on the University central repository. Similarly, a copy of the thesis/ dissertation of PG/ UG students is to be submitted to the INFLIBNET to make it accessible to all Institutions

6.1.3. Misconduct in Academic Research

6.1.3.1. Research Misconduct

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

- **Plagiarism:** Intentionally copying idea/thoughts, text, data or other works (or any combination thereof) without consent and acknowledgement.
- **Piracy:** Intentionally exploiting the thoughts of others without proper recognition.
- **Misinterpretation:** Unfairly signifying the thoughts or work of others, whether for personal or self-interest.
- **Fabrication and falsification of data:** Alteration of information related to research and consultancy/training, wrong information or citations in any formal academic activity.
- **Professorial misconduct:** Arbitrary, prejudiced or exploitative teaching behaviour.

6.1.3.2. Procedures for Investigation of Research Misconduct

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

The Ethics Committee may carry out:

- A preliminary investigation to determine whether the allegations have sufficient content and warrant a more thorough investigation;
- Formal inquiries may include consultation or participation of external experts when necessary.

- (ii) **Investigation:** Where possible, the scrutiny will include inspection of all applicable records, comprising, but not limited to associated research data; computer files; publications and related correspondence. For fair judgment, the external member may be invited. All individuals interviewed during the investigation will be required to respect the personal nature of the investigation.

- (iii) **Investigation report and recommendations:** The Ethics Committee will prepare a report based on the formal investigation and findings and submit to the Vice Chancellor.

Based on the investigation report and the recommendations of the Ethics Committee, the University, may take an appropriate decision, this may include (but is not limited to):

- Resubmit assignments or academic works
- Fail the exam or designated exercises; or the failing grade of the whole course
- Depending on the importance of the work to the grade of the whole course
 - A letter of condemnation issued by the University on the recommendation of Ethics Committee, which may or may not be recorded in the scholar's file
 - Suspend the program
 - Suspension of award/contract
 - Revocation of degree or certificate

6.1.3.3. Constitution of Ethics Committee

The Ethics Committee will have the following composition:

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

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

6.1.3.4. Responsibilities of the Ethics Committee

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

- Make recommendations regarding the measures (if any) that should be taken on the results of the investigation.

6.2. Plagiarism and Similarity Check

6.2.1. Plagiarism is the practice of taking someone else's work or idea and passing them as one's own. It is an academic offence and scientific misconduct, which includes copying someone's text without citation, improper or inadequate citation, paraphrasing without citation, paraphrasing with different meaning, self-plagiarism (own previous publications) etc.

Similarity with copied text (%) from other sources with proper citation. Similarity is not plagiarism, if credit is given where it is due.

6.2.2. Permissible Similarity Limit: Maximum permissible similarity limit shall be 10% for Ph.D./ PG & 15% for UG students. In case of any plagiarism reported against any student at any stage, even after the award of degree, necessary action will be taken by the University as per guidelines of UGC, which could include cancellation of registration / withdrawal of degree.

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

- (i) Plagiarism prevention norms shall be applicable to all students, research scholars and faculty members of the University.
- (ii) Research publications (conference paper, research paper, review article), research proposal, Ph.D.synopsis, Ph.D. thesis, UG/PG project work shall be submitted to the University along with a self-declaration statement about its plagiarism & similarity check.
- (iii) The submitted work will be thoroughly checked for plagiarism and similarity using Turnitin software by concerned faculty/ respective supervisor/ mentor. However, the quoted text, bibliography, matching up to 14 words should be set as the exclusion criteria. If similarity exceeds the permissible limit, the manuscript should be modified suitably to fit in the admissible range.
- (iv) Documents to undergo plagiarism check include research papers, theses, dissertations, books, chapter(s) in books, opinions, assignments where teacher specifically prescribes the limits, publications in print or electronic media. It shall exclude material written in mid- term and end – term examination answer scripts, where the author has taken specific permission before reproduction, references, bibliography, table of contents, preface generic terms, laws, standard equations and acknowledgements.

6.2.4. Carrying out plagiarism check

- Concerned stakeholder is primarily responsible for plagiarism check before submission to competent authority.
- A faculty member nominated by the HoD/ Dean of the School shall do plagiarism check for UG /PG Projects. Maximum similarity limit allowed is 10% for Ph.D./ PG & 15% for UG students publication work with 14 consecutive words.
- Dean, research or nominee shall do plagiarism check for Ph.D. thesis and any other material submitted to Research Development Cell (RDC) with the limits prescribed by the University.
- Dean or nominee shall do plagiarism check for publications – print or electronic of the faculty / scholars / students that emanate from the School.

6.2.5. Penalties

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

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

6.3. Ethical Committees for Bio-medical Research

6.3.1. Institutional Animal Ethics Committee (IAEC): *(Registered and Approved with Government of India; No. 1173/PO/Re/S/08/CPCSEA)* Institutional Animal Ethics Committee (IAEC) is approved by the Committee for the Purpose of Control and Supervision of Experiments on Animals (CPCSEA), Government of India, since 2008

(1173/PO/Re/S/08/CPCSEA). It empowers the animal house facility to permit experiments on small animals as per the rules for Breeding and Experiments on Animals (Control and Supervision).

The IAEC is a mandatory requirement as per the Committee for the Purpose of Control and Supervision of Experiments on Animals (CPCSEA, Government. of India) with the prime objective of consistent ethical review procedures to maintain quality and ethics in biomedical research on animals

The IAEC reviews and approves all types of research proposals involving small animal experimentation before the start of the study. It also monitors the research throughout the study and after completion of study, through periodic reports and visits to animal house and laboratory where the experiments are conducted. The committee ensures compliance with all regulatory requirements, applicable rules, guidelines and laws.

Composition of IAEC: As per the CPCSEA guidelines, the IAEC of SMSR consists of eight members

1. A biological scientist as chairperson
2. Two scientists from different biological disciplines (one of them being Member Secretary)
3. A veterinarian involved in care of animals
4. Scientist-in-charge of animal facility of the establishment concerned
5. A scientist from, outside the institute, nominated by CPCSEA
6. A non-scientific socially aware member, nominated by CPCSEA
7. A main nominee of CPCSEA
8. A link nominee (who may represent the Main Nominee in case of the latter's sudden unavailability)

Duration of IAEC

- CPCSEA constitutes the IAEC on the receipt of five names against serial number 1 to 4 from the institute.
- The duration of IAEC is for the period of 3 years and is reconstituted at the time of renewal of registration

Role of IAEC

To approve research project proposals that involve experiments on small animals.

- a. IAEC provides advice to the researchers on all aspects of welfare and safety of research animals after ensuring the scientific soundness of the projects/ study.
- b. It reviews the projects with the dual objective of minimizing the cruelty on animals by minimizing the number of animals required for the study after scientifically reviewing the project and at the same time encouraging scientific research.

Responsibilities of IEAC

- a. To supervise that all the experiments will be performed in every case by or under the supervision of a person qualified degree holders in Veterinary Science or Medical or laboratory Animal Science or an institution recognized by the government for the purpose and under the responsibility of the person performing the experiment.
- b. The experiments should be performed with due care and humanity, as far as possible. The experiments conducted involving operations should be performed under the aesthetic as per CPCSEA guidelines to prevent pain to the animals
- c. The animals which are sufficiently injured during the course of experimentation should be given euthanasia and sacrificed as per CPCSEA guidelines, while still in unconscious state.
- d. The experiments on animals are avoided as far as possible and use of books, animal models, films etc., is encouraged, which may equally suffice.
- e. The experiments on larger animals should be avoided, when same results can be achieved through small animals e.g.: - mice, rats, guinea pigs, etc.

Record Keeping:

The following records are maintained by the IEAC

- a. CV of all the IEAC members, including the training programs in animal ethics attended
- b. Copy of study protocols with enclosed documents, progress reports.
- c. Minutes of all the meetings duly signed by chairperson and all the members.
- d. Copy of all the relevant national and international guidelines on animal ethics and laws, along with amendments
- e. Copy of correspondence with members, researchers and other regulatory bodies.
- f. Final report of approved projects
- g. Record of all the research conducted

Review Procedure

- The meetings of IAEC are held on scheduled interval as prescribed in the concerned SOP of the IAEC and additionally, when there are reasons to do expedited review.
- The proposals are to be sent to members 15 days in advance
- Decisions are taken collectively and negative review points are recorded in minutes of the meetings. In case the consensus is not made the case is referred to CPCSEA
- Researchers are invited to give clarification when required

Conduct of meetings

- The chairperson convenes the meetings of IAEC. If the chairperson is not present a chairperson is elected from the members, by the members present, who will conduct the meeting.
- The member secretary is responsible for organizing the meetings and maintaining records. He/she prepares the minutes of the meetings and gets it approved by the chairperson before communicating to the researchers with approval of the appropriate authority.

6.3.2. Institutional Ethics Committee (IEC)

It is mandatory to constitute Institutional Ethics Committee (IEC) and seek its approval for bio-medical research involving human subjects. In Sharda University, the IEC was constituted under the aegis of the Dean SMSR, ever since the inception of the Medical School as per the mandatory requirement of NMC (erstwhile Medical Council of India) and CDSCO, Schedule Y Amendment 2005 & NDCT rules 2019.

Composition of IEC

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

- Member Secretary

Membership Requirements

- Duration of appointment is initially for a period of 3 years
- At the end of 3 years' committee is reconstituted, and 50% of the members are replaced by a defined procedure
- A member can be replaced in the event of death or long-term non-availability or for any action not commensurate with the responsibilities laid down in the guidelines deemed unfit for a member
- A member can tender resignation from the committee with proper reasons
- All members should maintain absolute confidentiality of all discussions

Role of IEC

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

Responsibilities of IEC

- To protect the dignity, rights and well – being of the potential research participants
- To ensure that universal ethical values and international scientific standards are expressed in terms of local community values and customs
- To assist in the development and the education of a research community responsive to local health care requirements (ICMR)

IEC has some additional responsibilities like reviewing a proposed / study within a reasonable time and documents its views in writing for the following:

- Approval / favourable opinion
- Modifications required prior to its approval / favourable opinion
- Disapproval / negative opinion
- Termination / suspension of any prior approval / favourable opinion (as per ICH –GCP Guidelines)

Record Keeping

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

- i. Constitution and composition of the IEC
- ii. CV of all IEC members
- iii. SOPs of the IEC
- iv. National and International guidelines
- v. Copies of the Protocol, data collection formats, investigators regarding application, decision and follow up
- vi. All correspondence with IEC members and investigators regarding application, decision and follow up
- vii. Agenda of all IEC meetings
- viii. Minutes of all ICE meetings with signature of the Member Secretary
- ix. The decisions are communicated to the applicants
- x. Record of all notifications issued for premature termination of a study with a summary of the reasons, if any

Records are safely maintained after termination of the study for at least a period of 5 years as per (CDSCO) and (3 years-ICMR, ICH) Guidelines

Review Process

- PERIODIC REVIEW – at regular intervals of six months to one year as may be specified in the SOP
- CONTINUING REVIEW – approved projects for continuation, new information, adverse event monitoring, follow – up
- INTERIM REVIEW- can be resorted – to instead of waiting for the scheduled time of the meeting.

However, decisions taken should be brought to the notice of the main committee for Reasons:

- To re-examine a proposal
- Research study of a minor nature such as examination of case records etc.
- An urgent proposal of national interest

Administration and Management

- A full time secretariat and space for keeping records be made available
- The external members are given a reasonable compensation for reviewing the proposals
- A reasonable fee is charged to industry based companies for project proposals to cover the expenses related to review and administrative processes (ICMR) as per guideline.
