



**Ganpat  
University**

॥ विद्यया समाजोत्कर्षः ॥

**Centre for  
Advanced  
Research Studies**

# *Research* **Manual**

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# About the Ganpat University

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Ganpat University and the township of Ganpat Vidyanagar, a high-tech education campus is a joint initiative, purely philanthropic in nature, by a large number of industrialists and technocrats, noble farmers and affluent businessmen for the mission of "Social Upliftment through Education". The University is established by the State Government by the enactment of Act No.19/2005 on 12th April 2005. It is approved under section 2(f) by the University Grants Commission (UGC). In consideration of its contribution to the Education in a short period of time, the University has been given Permanent Membership in renowned Academic & Industry Associations, such as the Association of Indian Universities (AIU), Association of Commonwealth Universities (ACU), Federation of Indian Chambers of Commerce and Industry(FICCI), All India Management Association (AIMA), Confederation of Indian Industry(CII), International Association of Universities (IAU), Associated Chambers of Commerce and Industry of India (ASSOCHAM), Association of the Universities of Asia and the Pacific (AUAP), Recognized by Department of Scientific and Industrial Research (DSIR), Govt. of Gujarat appointed Start-up Nodal Institute, Centre for Entrepreneurship Development (CED), Student Start-up & Innovation Policy (SSIP), National Centre for Management of Agricultural Extension (MANAGE).

Ganpat University offers various unique, quality, industry-linked and sector-focused Diploma, Undergraduate, Postgraduate and Research level programs (Professional and Non-professional) in the field of Engineering, Management, Computer Applications, Pharmacy, Sciences, Commerce & Social Science, Architecture, Design & Planning, Maritime Studies, Nursing, Agriculture, Physiotherapy & Optometry etc.

## Vision

It shall be the constant endeavor of Ganpat University to meet the educational needs of the youth in the areas of professional studies and provide state-of the art learning opportunities along with inculcation of values of commitment and uprightness.

## Mission

Seek, search and offer programs that lead to symbiotic emergence of 'Academic Excellence' and 'industrial relevance' in education and research.

## Quality Statement

It shall be the constant endeavor of the University to deliver global standards of excellence in all its core and allied operations and remaining accountable for national values and objectives of establishment through process of self-evaluation and continuous improvement.



# Establishment of Centre for Advanced Research Studies (CARS)

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## About Centre for Advanced Research Studies (CARS)

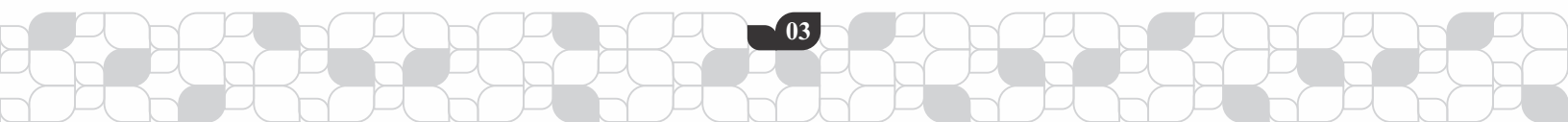
Centre for Advanced Research Studies (CARS) is a multidisciplinary research center set up for the promotion of excellence in higher education and research for academic excellence under Ganpat University.

Promotes excellence in research in higher education.

Gives financial support for attending national and international conferences / seminars / workshops, etc;

Organizes short term training programs and workshops and promotes the publication of research outcomes in good quality research journals;

Motivates faculty members and students to apply for funding from government and non-government organizations.



## 3. Scheme of Major Research Project

### 3.1 Preamble

To pursue and promote world-class research and training at the frontiers of various areas like Engineering, Pharmacy, Healthcare, agriculture, Management studies, Computer Applications, Science, Social Sciences and Humanities, Architecture Design and Planning, Center for Advanced Research Studies (CARS) has been set up at Ganpat University (GUNI).

### 3.2 The Scheme

The scheme will be known as Major Research Project(MRP) sponsored by Ganpat University – Center for Advanced Research Studies. All activities related to this will be carried out under Center for Advanced Research Studies (CARS), GUNI.

To promote excellence in multidisciplinary research in higher education, the financial assistance in form of Major Research Project will be provided to the faculties of various disciplines.

### 3.3 Nature of Project Support

- Science & Technological Studies and Surveys
- Location Specific Research and Technology Development
- Pilot Scale Demonstration Projects
- Joint Programming
- Information Exchange and Experience Sharing
- Industrial Problem

### 3.4 Eligible Institutions

All Constituent Institutions/Colleges of Ganpat University.

### 3.5 Quantum of Financial Assistance

Financial Assistance for research work will be sanctioned in the form of grant for necessary expenditure incurred towards such activities subject to maximum of Rs. 3 lakhs per project for a maximum of 3 Years.

### 3.6 Selection Procedure

- Every Constituent Institute/College will inform their faculty members of different departments to submit the research proposal.
- After initial level scrutinization, every Institute/College can submit maximum 04 Research Proposals to the GUNI-CARS. Out of these, after evaluation, 01 research project will be granted in each faculty (Pharmacy, Management Studies, etc.) of Ganpat University.
- The proposals (Online and downloaded) received duly forwarded by Principal of the concerned Institutes/Colleges will be assessed with the help of Project Evaluation Committee (PEC) constituted by the Hon. Director General. The Principal Investigator/s and Co-Investigator/s whose proposals found complete in all respect will be invited for making presentations before the Committee.
- Final Approval of project will be given by Executive Committee of GUNI-CARS.

### 3.7 Guidelines for Financial Assistance to the Research Proposal

GUNI-CARS shall provide financial assistance to the Major time bound research proposals/projects usually for priority areas identified by various Faculties of Ganpat University.

- a) Faculty members from Constituent Institute/College having some essential basic facilities for carrying out projects shall be eligible to apply for getting financial assistance for research proposals.
- b) The principal investigator should have reasonable research experience including publication and presentation to his credit.
- c) Research work shall have to be carried out under respective institution/college. Assistance shall be provided through CARS only.

- d) GNU-CARS shall monitor the progress of the project.
- e) Principal investigator shall provide a half yearly progress report and Project Completion Report to the GUNI-CARS.
- f) All proposals shall be in a prescribed Performa enclosed.
- g) Principal investigator can submit application round the year.
- h) The Principal Investigator must be required to publish at least two papers in the National or International Journal / Ganpat University Research Journal (UJR) with good impact factor and Present in national or international conference before the completion of the project.
- i) The candidate will be eligible for financial assistance for Patent Application under GUNI-IPR Policy
- j) Maximum project cost not more than Rs. 03 lakhs and 03 years duration.
- k) The research work undertaken must not be part of PhD work of the PI or Co-PI.
- l) If a Principal Investigator fails to complete the project, he/she has to refund the entire amount sanctioned with interest.

### **3.8 Mode of Selection**

The selection of the Project may be made by an open selection through a duly constituted Project Evaluation Committee (PEC). The constitution of the PEC will be as under:

- a) Pro Chancellor and Director General / his nominee
- b) Director – Research & Development
- c) Executive Registrar (Administration)
- d) One Subject Expert (External)
- e) One Subject Expert (Internal)
- f) Executive Dean / Dean of the Faculty Concerned
- g) The Associate Dean- Research (respective faculty) – Member Secretary

The Head of the Institute/College should certify that all norms have been followed while selecting the Project as per the prescribed proforma.

The University will disburse project amount from the date of joining out of first installment (30% of project cost) and second and third installments (30% each of project cost) or as per recommendation of PEC after successful evaluation and completion of half yearly progress reports.

### **3.9 Guidelines for Formulating Research Proposals**

- a) Please orient your proposal objective to a few specific outputs, which could be possible in duration of 3 years (max).
- b) While writing the proposal, please ensure that scientific and technical details are clearly spelt out.
- c) Proposals should have specific, concrete, quantifiable objective. The proposals should be based on innovative technologies/ideas.
- d) Results of ongoing and completed projects of the organization must be reflected in the formulation of new proposals.
- e) Proposal must be submitted in the prescribed proforma in softcopy (PDF in CD) as well as in hard copy (05 copies).

All correspondence, including proposals may be sent to the following address

The Director- Research & Deevlopment,  
Ganpat University- Center for Advanced Research Studies (CARS)  
University Central Office, Ganpat University  
Telephone No: (02762)286080, 0932-734-9209  
E-mail : cars@ganpatuniversity.ac.in, director.research@ganpatuniversity.ac.in  
Website: <http://www.cars.gnu.ac.in>

### **3.10 Guideline for utilization of funds and documentation required for the Major Research Project**

- The PI/Co-PI has to follow the university policy for procurement of equipment's and other assets under the non-recurring budget head as approved by GUNI-CARS. All the items purchased from CARS funds will be the property of the Institute / University. Other researchers may also use the assets purchased out of this project during the idle time for maximum capacity utilization.
- The PI/Co-PI should purchase the materials and spend the funds for various heads from recurring budget as per purchase policy.
- The funds will be utilized for the purpose only they are sanctioned by GUNI-CARS. Prior approval of GUNI-CARS will be required before transferring any amount from one head to another.
- The PI/Co-PI should ensure that any expense made from the project funds needs to be properly accounted in the project account.
- All the bills / invoices / quotations of the item should be in the Institute's name.
- The PI/Co-PI needs to get the separate bills for all the items purchased from the GUNI-CARS project and should not be mixed with non-project items (or for other project) which may be procured by the institute.
- The funding granted by GUNI – CARS is for initial execution of the project. PI & Co- PI shall seek the funding from external agencies & present the outcome in next review meeting of the project evaluation committee.
- The PI/Co-PI should forward all the bills to accounts department with a voucher mentioning the Project title, CARS project no., PI Name, Institute name and date of initiation of project along with the details of the bills. The above details should also be mentioned on the bills for accounting in GUNI-CARS project cost centre.
- All the bills should be signed by the PI and Co-PI and endorsed by the Principal / Executive Dean/ Dean of the Institute before forwarding them to GUNI-CARS.
- While sending the statement of expenditure and utilization certificates to GUNI-CARS, the copy of bills should be attached and forwarded to GUNI-CARS.
- GUNI-CARS may verify such expenses through its expert committee.
- All such project bills and documents need to be kept in separate file and separate account should be maintained.
- After completion of project work the closure report comprise of research output, statement of utilization of fund, publication/patents and all photo copy bills/vouchers to be submitted to the Director, GUNI – CARS.

### **3.11 Copyright and Plagiarism**

- The Principal Investigator will ensure that the final research report does not violate Copyrights / Intellectual Property Rights (IPR) of others and upholds academic integrity.
- Plagiarism is strictly prohibited as per the University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018.
- The researcher(s) will retain the Copyright of the works coming out of the project.



- However, the researcher(s) agree to release the research reports and works coming out of the project in Creative Commons Attribution-Share Alike (CC BY-SA) license.
- Researcher(s) shall be encouraged to publish papers out of the project in open access journals. When a paper is published in subscription-based journals, a pre-print will be shared online at Ganpat University.
- The researcher/s will acknowledge the financial contribution of Ganpat University in all the publications coming out of the research project. And, submit copies to Ganpat University after publication.
- All accepted research reports shall be made available online in the OER Repository of Ganpat University under the Creative Commons Attribution-Share A like (CC BY-SA) license.

### 3.12 Transfer and Extension of Project

The project is not transferable. However, in case of transfer of the Principal Investigator from his / her original place of work to another institution / university the following process should be followed:

- A request letter for project transfer is to be submitted by the Principal Investigator.
- No Objection Certificate (NOC) should be furnished for the transfer of the project from both the institutions stating that necessary facilities will be provided by the Institution in which the awardee is transferred for the smooth functioning of the project.
- In case of any expenditure, an audited statement of accounts and utilization certificate is to be submitted by the Principal Investigator and should be forwarded by the competent authorities of the university / college / institution.
- In case of no expenditure, the whole amount is to be refunded back to Ganpat University.
- A fresh letter of affiliation (in the given format) from the competent authorities of the university/college/institution of the (new organization) is to be furnished.
- If the Principal Investigator fails to complete the project, he/she has to refund the entire amount released with interest rate applicable at the time of refund.
- No extension in tenure is permissible in any circumstances.

### 3.13 Documents / Enclosures Required with The Proposal

- Details of the proposals
- Endorsement from the Head of the Institutions (on letter head)
- Certificate from Investigator(s)
- Biodata of Principle Investigator and Co-investigator in prescribed format
- Name, address, email and contact details of 3 external experts who may be interested in the subject/outcome of the projects.
- All above mentioned in sequence should be submitted in 2 copies in spiral bound form & 1 softcopy in CD in Word/PDF format.

### 3.14 Instruction For Filling Up the Proforma

#### A. IDENTIFICATION

Sr.No.	Particular	Details
1	Project title	
2	Key words	
3	Broad area	
4	Duration	

5	Total Project Cost	
6	Name, Designation, Department and Institute of Principal Investigator (PI)	
7	Name, Designation, Department and Institute of Co-investigator	
8	Capability of the Organization	
	Expertise Available	
	List of on-going and completed projects	
9	Name of the authority in whose name Cheque / Demand Draft should be Drawn.	

## B. TECHNICAL DETAILS

Sr.No.	Particular	Details
1	Background	
A	Description of Problem	
B	Review of Work Already Done	
C	Rationale for Taking Up the Project	
D	Relevance to National or International Priorities	
2	Challenges & Constraints Please identify strength and weaknesses of the implementers vis-à-vis current project in terms of technical expertise, team building, past records etc., Also list the perceived opportunities and threats and describe how PI/ organization proposes to capitalize on them or avert them.	
3	Description of Proposal	
	Objectives of The Project	
	Preliminary Investigations done by PI	
	S & T Component in The Project	
	Other Researchers/Organizations Working in This Area	
4	Work Plan Phase-wise plan of action upto post project activities detailing time schedule milestones may clearly be indicated. PERT/GANTT chart may be attached.	
5	Expected Output of Research Project	
6	Likely Impact	
7	Parameters for Monitoring Effectiveness of Project	
8	Suggested Post Project Activities	

**C. BUDGET ESTIMATES SUMMARY (IN RUPEES)**

Sr. No.	Type of expenses	Particulars	BUDGET (in Rs.)	
			1 <sup>st</sup> Phase of the project (Initial Six months) (Not more than 50,000)	2 <sup>nd</sup> Phase of the project (Remaining Six months) (Not more than 50,000)
A	Recurring	Chemicals and Consumables		
		Contingency		
		Travel and Field Work		
		Special Needs		
		Other miscellaneous		
B	Non-Recurring	Equipment		
		Books and Journals		
	Total (In Rs.)			
	Grand Total (Total C+D) (In Rs)			

**Type of Expenses:****A. Recurring Grants**

- Contingency**

The admissible contingency grant may be utilized on spares for apparatus, photo-stat copies and microfilms, typing, stationary, postage, telephone calls, internet, fax, computation and printing needed for the project. Expenditure towards the audit fee may also be claimed under contingency head.

The expenses for specialized technical work, such as sample analysis, for which the Institution/College either has no infrastructure or such services are available on payment basis will also be covered under this head.

- Special Needs**

Assistance may be provided for any other special requirement in connection with the project which is not covered under any other 'Head' of assistance under the scheme.

- Chemicals and Consumables**

To meet expenditure on chemicals, glassware and other consumable items.

- Travel and Field Work**

The amount allocated under the head travel/field work is to be utilized for data collection and collection of other information such as documents and visit to libraries within the general scope and sphere of the ongoing project. This should also be used for attending conferences, seminars, workshops and training courses etc. PI may entitle to get registration, traveling expenses and special casual leave as per GUNI norms.

**B. Non-Recurring Grants**

- Equipment's**

- Books and Journals**

The equipment as well as books & journals grants may be utilized to procure the essential equipment's and books & journals needed for the proposed research work.

The escalation, if any, in the cost of approved equipment may be met out of savings/re-appropriation from non-recurring head only with the approval of CARS, GUNI.

The equipment's and books & journals acquired by the Principal Investigator under a Research Project must be deposited to College/Institution or in the departmental library or the central library after the completion of the project which will be the institutional property. The colleges/Institution should make every effort to put all the equipment available in the laboratories in effective use.

## **Annexure I**

### **Format for Endorsement from the Head of the Institutions (on letter head)**

#### **Endorsement from the Head of Institution**

##### **Project Title:**

1. Certified that the Institute welcomes participation of \_\_\_\_\_ as the Principal Investigator and \_\_\_\_\_ as the Principal Co-Investigator for the project and that in the unforeseen event of discontinuance by the Principal Investigator, the Principal Co-Investigator will assume the responsibility of the fruitful completion of the project (with due information to CARS, GUNI).
2. Certified that the equipment and other basic facilities as enumerated in research proposals and such other administrative facilities as per terms and conditions of the grant, will be extended to the investigator(s) throughout the duration of the project.
3. Certified that this project proposal is not submitted or under consideration elsewhere for financial support.

Date:

Name and Signature of Head of Institution

Place:

## **Annexure II**

### **Format for Certificate from Principal Investigator(s)**

#### **Certificate from the Principal Investigator**

##### **Project Title:**

1. I/We agree to abide by the terms and conditions of the CARS, GU research grant.
2. I/ We did not submit the project proposal elsewhere for financial support.
3. I/ We have explored and ensured that equipment and basic facilities will actually be available as and when required for the purpose of the projects. We shall not request financial support under this project, for procurement of these items.
4. I/ We undertake that spare time on permanent equipment will be made available to other users.
5. I/We have enclosed the following materials:

Items	No. of copies
Endorsement from the Head of Institution (on letter head)	01
Certificate from Investigator(s)	01
Details of the research proposal (Spiral bound) + one soft copy in CD, preferably in MS Word/PDF format	02
Name and address of Three experts/ institution interested in the subject/outcome of the project.	01
Biodata of Principle Investigator and Co-investigator	01

Date:

Name and signature of  
Principal Investigator

Name and signature of  
Co-investigator

Place:

### Annexure III

#### Format for Biodata of Principle Investigator and Co-investigator

1. Principal Investigator:

- i Name:
- ii Designation:
- iii Department:
- iv Address:
- v Institute Name:
- vi Telephone:
- vii E-mail:
- viii Web:
- ix Date of Birth:
- x Qualifications:

2. Name(s) of the Co-Investigator(s):

- i Name:
- ii Designation:
- iii Department:
- iv Address:
- v Institute Name:
- vi Telephone:
- vii E-mail:
- viii Web:
- ix Date of Birth:
- x Qualifications:

3. Research/Training Experience:

4. Research specialization (Major scientific fields of interest)

5. Important recent publications (last 5 years only, with titles and References), including papers In press, papers in conference proceedings.

Sr. No	Title	Name of journal	Year	Vol. Issue, Page Number	Impact factor

6. Financial support received

7. Patents filed/granted with details

8. Books published /Chapters contributed

9. Completed / Ongoing Sponsored Research/ Consultancy Projects

Sr. No	Title	Sponsoring Agency	Period	Amount (Rupees in lakhs)	Achievements

10. Sponsored Research/Consultancy Projects Submitted for Funding

Sr. No	Title	Agency to whom submitted	Duration	Date of Submission	Amount (Rupees in Lakhs)

**3.15 Agreement (On Rs. 300/- non-judicial stamp paper)**

**Agreement**

**(On Rs. 300/- non-judicial stamp paper)**

- I, Prof./Dr.\_\_\_\_\_hereby agree to undertake the project entitled " \_\_\_\_\_ " sanctioned to me by Ganpat University vide letter No. \_\_\_\_\_dated\_\_\_\_\_.
- I have read and fully understood all the rules and regulations governing the minor research project scheme of the university.
- I hereby agree to follow all these rules and regulations and such other rules framed by Ganpat University.
- I agree to attend the appraisal to be conducted by Ganpat University after half the project work is completed and shall make presentation on the progress of the research project.
- I agree to submit two copies of the final report to be prepared by me to the Odisha State Open University within one month of the date of expiry of the period of the project.
- I agree to submit the raw data in the form of schedules or notes or processed on electronic devices such as CDs, floppies, tapes etc. to the Ganpat University at the end of the project, if so required.
- I agree that all the assets created out of the project funds shall be the property of Ganpat University and after completion of the project, the same will be donated to the affiliating institute/university.
- I agree to submit two copies of all research papers/articles/, which may be brought out from the project data and to acknowledge in such papers/articles, the financial support provided to me by Ganpat University.
- I agree to refund the money released to me by Ganpat University if I fail to complete the project within the time allowed to me or any of the terms of this agreement are contravened by me except for any unforeseen/extraordinary circumstances brought to the notice of Ganpat University in writing.

Name and Signature of the Principal Investigator

## 4. Scheme for Minor Research Project

### 4.1 Preamble

To pursue and promote world-class research and training at the frontiers of various areas like Engineering, Pharmacy, Healthcare, Agriculture, Management studies, Computer Applications, Science, Nursing, Agriculture, Physiotherapy, Optometry, Education and Humanity, Center for Advanced Research Studies (CARS) has been set up at Ganpat University.

### 4.2 The Scheme

The scheme will be known as Ganpat University (GUNI) Sponsored Research Project. All activities related to this will be carried out under Center for Advanced Research Studies (CARS) of Ganpat University.

To promote excellence in research in higher education by supporting research programmes of College Faculty members in various disciplines.

### 4.3 Nature of Project Support

- Science & Technological Studies and Surveys
- Location Specific Research and Technology Development
- Pilot Scale Demonstration Projects
- Joint Programming
- Information Exchange and Experience Sharing
- Industrial Problem

### 4.4 Eligible Institutions

All Constituent Institutions/Colleges of Ganpat University.

### 4.5 Quantum of Assistance

Assistance for research work from R&D Institution/College will be in the form of grant for necessary expenditure incurred towards such activities subject to maximum of Rs. 1,00,000/- (One Lac) per project for maximum of 1 Year.

### 4.6 Selection Procedure

- Every Constituent Institute/College will inform their faculty members of different departments to submit the research project.
- After initial level scrutinization, every Institute/College can submit maximum 4 research proposals to CARS. Out of these, after evaluation every Institute/College will be granted 1 research project.
- Final Approval of project will be given by Project Evaluation Committee (PEC) constituted by Center for Advanced Research Studies (CARS), Ganpat University.
- The proposals (Online and downloaded) received duly forwarded by the concerned Universities/Colleges will be assessed with the help of a subject expert committee constituted by the CARS. The Principal Investigators whose proposals found complete in all respect will be invited for making presentations before the Committee constituted by CARS. The final decision will be taken by the CARS on the basis of recommendations made by the Committee.

### 4.7 Criteria for Evaluation of Research Proposals

Parameter for Evaluation	Weightage (in Marks)
Objective and Rational of the Research Proposal	15
Cost of the Project	15
Research Methodology	20
Outcome of the Project	15

Importance and Relevance of the Project to current need	15
Novelty of the Project	20
<b>Total</b>	<b>100</b>

#### 4.8 Guidelines for Financial Assistance to the Research Proposal

Faculty members from Constituent Institute/College having some essential basic facilities for carrying out projects shall be eligible to apply for getting financial assistance for research proposals.

- The principal investigator should have reasonable research experience including publication and presentation to his credit.
- Research work shall have to be carried out under respective institution/college. Assistance shall be provided through CARS only.
- CARS, GUNI shall be monitoring the progress of the project.
- Principal investigator shall provide a six-monthly progress report to the CARS, GUNI
- All proposals shall be in a prescribed Performa enclosed.
- The Principal Investigator must be required to publish the Paper in the National or International Journal with good impact factor and Present in national or international conference before the release of Second /Third Instalment of the Grant. The special leaves for maximum of 4 days will be given to Principal investigator for attending and presenting the outcomes in conference.
- Maximum project cost not more than Rs. 1 lakh and 1 year duration.
- The research work undertaken must not be part of PhD work of the PI or Co-PI.
- If a Principal Investigator fails to complete the project, he/she has to refund the entire amount sanctioned with interest.
- No extension in tenure is permissible in any circumstances.
- If a Principal Investigator fails to complete the project, he/she has to refund the entire amount sanctioned with interest.

#### 4.9 Mode of Selection

The selection of the Project may be made by an open selection through a duly constituted Project Evaluation Committee (PEC). The constitution of the Selection Committee will be as under:

- a) Director General or his nominee of GUNI
- b) Head of CARS, GUNI
- c) Dean of Concern Faculty
- d) One Subject Expert (External) (from the institute other than the Institute where the project is undertaken)
- e) One Subject Expert (Internal) (from the institute)
- f) Head of Institution
- g) Associate Dean, Research (Concerned Faculty) -Member Secretary

#### 4.10 Guideline for utilization of funds and documentation required for the Minor Research Project

- The PI/Co-PI has to follow the university policy for procurement of Instruments and other assets under the non-recurring budget head as approved by GUNI-CARS. All the items purchased from CARS funds will be the property of the Institute / University. Other researchers may also use the assets purchased out of this project during the idle time for maximum capacity utilization.
- The PI/Co-PI should purchase the materials and spend the funds for various heads from recurring budget as per purchase policy.
- The funds will be utilized for the purpose only they are sanctioned by GUNI-CARS. Prior approval of GUNI-



CARS will be required before transferring any amount from one head to another.

- The PI/Co-PI should ensure that any expense made from the project funds needs to be properly accounted in the project account.
- All the bills / invoices / quotations of the item should be in the Institute's name.
- The PI/Co-PI needs to get the separate bills for all the items purchased from the GUNI-CARS project and should not be mixed with non-project items (or for other project) which may be procured by the institute.
- The funding granted by GUNI – CARS is for initial execution of the project. PI & Co- PI shall seek the funding from external agencies & present the outcome in next review meeting of the project evaluation committee.
- The PI/Co-PI should forward all the bills to accounts department with a voucher mentioning the Project title, CARS project no., PI Name, Institute name and date of initiation of project along with the details of the bills. The above details should also be mentioned on the bills for accounting in GUNI-CARS project cost centre.
- All the bills should be signed by the PI and Co-PI and endorsed by the Principal / Executive Dean/ Dean of the Institute before forwarding them to GUNI-CARS.
- While sending the statement of expenditure and utilization certificates to GUNI-CARS, the copy of bills should be attached and forwarded to GUNI-CARS.
- GUNI-CARS may verify such expenses through its expert committee.
- All such project bills and documents need to be kept in separate file and separate account should be maintained.
- After completion of project work the closure report comprise of research output, statement of utilization of fund, publication/patents and all photo copy bills/vouchers to be submitted to the Director, GUNI – CARS.
- All correspondence, including proposals may be sent to the following address  
Director (Research & Development),  
Center for Advanced Research Studies (CARS)  
Ganpat University  
Telephone No: 09327349203  
E-mail:cars@ganpatuniversity.ac.in, director.research@ganpatuniversity.ac.in

#### **4.11 Copyright and Plagiarism**

- The Principal Investigator will ensure that the final research report does not violate Copyrights / Intellectual Property Rights (IPR) of others and upholds academic integrity.
- Plagiarism is strictly prohibited as per the University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018.
- The researcher(s) will retain the Copyright of the works coming out of the project.
- However, the researcher(s) agree to release the research reports and works coming out of 5 the project in Creative Commons Attribution-Share Alike (CC BY-SA) license.
- Researcher(s) shall be encouraged to publish papers out of the project in open access journals. When a paper is published in subscription-based journals, a pre-print will be shared online at Ganpat University.
- The researcher/s will acknowledge the financial contribution of Ganpat University in all the publications coming out of the research project. And, submit copies to Ganpat University after publication.
- All accepted research reports shall be made available online in the OER Repository of Ganpat University under the Creative Commons Attribution-Share A like (CC BY-SA) license.

#### **4.12 Transfer and Extension of Project**

- The project is not transferable. However, in case of transfer of the Principal Investigator from his / her original place of work to another institution / university the following process should be followed:
- A request letter for project transfer is to be submitted by the Principal Investigator.

- No Objection Certificate (NOC) should be furnished for the transfer of the project from both the institutions stating that necessary facilities will be provided by the Institution in which the awardee is transferred for the smooth functioning of the project.
- In case of any expenditure, an audited statement of accounts and utilization certificate is to be submitted by the Principal Investigator and should be forwarded by the competent authorities of the university / college / institution.
- In case of no expenditure, the whole amount is to be refunded back to Ganpat University.
- A fresh letter of affiliation (in the given format) from the competent authorities of the university/college/institution of the (new organization) is to be furnished.
- If the Principal Investigator fails to complete the project, he/she has to refund the entire amount released with interest rate applicable at the time of refund.
- No extension in tenure is permissible in any circumstances.

#### 4.13 Documents / Enclosures Required with The Proposal

- Details of the proposals
- Endorsement from the Head of the Institutions (on letter head)
- Certificate from Investigator(s)
- Biodata of Principle Investigator and Co-investigator in prescribed format
- Name, address, email and contact details of 3 external experts who may be interested in the subject/outcome of the projects.
- All above mentioned in sequence should be submitted in 2 copies in spiral bound form & 1 softcopy in CD in Word/PDF format.
- Details of the proposals

#### 4.14 Format for Submission of Proposal

##### A. IDENTIFICATION

Sr.No.	Particular	Details
1	Project title	
2	Key words	
3	Broad area	
4	Duration	
5	Total Project Cost	
6	Name, Designation, Department and Institute of Principal Investigator (PI)	
7	Name, Designation, Department and Institute of Co-investigator	
8	Capability of the Organization	
	Expertise Available	
	List of on-going and completed projects	
9	Name of the authority in whose name Cheque / Demand Draft should be Drawn.	

**B. TECHNICAL DETAILS**

Sr.No.	Particular	Details
1	Background	
A	Description of Problem	
B	Review of Work Already Done	
C	Rationale for Taking Up the Project	
D	Relevance to National or International Priorities	
2	Challenges & Constraints Please identify strength and weaknesses of the implementers vis-à-vis current project in terms of technical expertise, team building, past records etc., Also list the perceived opportunities and threats and describe how PI/ organization proposes to capitalize on them or avert them.	
3	Description of Proposal	
	Objectives of The Project	
	Preliminary Investigations done by PI	
	S & T Component in The Project	
	Other Researchers/Organizations Working in This Area	
4	Work Plan Phase-wise plan of action upto post project activities detailing time schedule milestones may clearly be indicated. PERT/GANTT chart may be attached.	
5	Expected Output of Research Project	
6	Likely Impact	
7	Parameters for Monitoring Effectiveness of Project	
8	Suggested Post Project Activities	

**C. BUDGET ESTIMATES SUMMARY (IN RUPEES)**

Sr. No.	Type of expenses	Particulars	BUDGET (in Rs.)	
			1 <sup>st</sup> Phase of the project (Initial Six months) (Not more than 50,000)	2 <sup>nd</sup> Phase of the project (Remaining Six months) (Not more than 50,000)
A	Recurring	Chemicals and Consumables		
		Contingency		
		Travel and Field Work		
		Special Needs		
		Other miscellaneous		

B	Non-Recurring	Equipment	
		Books and Journals	
	Total (In Rs.)		
	Grand Total (Total C+D) (In Rs)		

### Type of Expenses:

#### A. Recurring Grants

- **Contingency**

The admissible contingency grant may be utilized on spares for apparatus, photo-stat copies and microfilms, typing, stationary, postage, telephone calls, internet, fax, computation and printing needed for the project. Expenditure towards the audit fee may also be claimed under contingency head.

The expenses for specialized technical work, such as sample analysis, for which the Institution/College either has no infrastructure or such services are available on payment basis will also be covered under this head.

- **Special Needs**

Assistance may be provided for any other special requirement in connection with the project which is not covered under any other 'Head' of assistance under the scheme.

- **Chemicals and Consumables**

To meet expenditure on chemicals, glassware and other consumable items.

- **Travel and Field Work**

The amount allocated under the head travel/field work is to be utilized for data collection and collection of other information such as documents and visit to libraries within the general scope and sphere of the ongoing project. This should also be used for attending conferences, seminars, workshops and training courses etc. PI may entitle to get registration, travelling expenses and special casual leave as per GUNI norms.

#### B. Non-Recurring Grants

- **Equipment's**

- **Books and Journals**

The equipment as well as books & journals grants may be utilized to procure the essential equipment's and books & journals needed for the proposed research work.

The escalation, if any, in the cost of approved equipment may be met out of savings/re-appropriation from non-recurring head only with the approval of CARS, GUNI.

The equipment's and books & journals acquired by the Principal Investigator under a Research Project must be deposited to College/Institution or in the departmental library or the central library after the completion of the project which will be the institutional property. The colleges/Institution should make every effort to put all the equipment available in the laboratories in effective use.

### Annexure I

#### Format for Endorsement from the Head of the Institutions (on letter head)

##### Endorsement from the Head of Institution

##### Project Title:

1. Certified that the Institute welcomes participation of \_\_\_\_\_ as the Principal Investigator and \_\_\_\_\_ as the Principal Co-Investigator for the project and that in the unforeseen event of discontinuance by the Principal Investigator, the Principal Co-Investigator will assume the responsibility of the fruitful completion of the project (with due information to CARS, GUNI).

2. Certified that the equipment and other basic facilities as enumerated in research proposals and such other administrative facilities as per terms and conditions of the grant, will be extended to the investigator(s) throughout the duration of the project.
3. Certified that this project proposal is not submitted or under consideration elsewhere for financial support.

Date:  
Place:

Name and Signature of Head of Institution

## **Annexure II**

### **Format for Certificate from Principal Investigator(s)**

#### **Certificate from the Principal Investigator**

##### **Project Title:**

1. I/We agree to abide by the terms and conditions of the CARS, GU research grant.
2. I/ We did not submit the project proposal elsewhere for financial support.
3. I/ We have explored and ensured that equipment and basic facilities will actually be available as and when required for the purpose of the projects. We shall not request financial support under this project, for procurement of these items.
4. I/ We undertake that spare time on permanent equipment will be made available to other users.
5. I/We have enclosed the following materials:

Items	No. of copies
Endorsement from the Head of Institution (on letter head)	01
Certificate from Investigator(s)	01
Details of the research proposal (Spiral bound) + one soft copy in CD, preferably in MS Word/PDF format	02
Name and address of Three experts/ institution interested in the subject/outcome of the project.	01
Biodata of Principle Investigator and Co-investigator	01

Date:  
Place:

Name and signature of  
Principal Investigator

Name and signature of  
Co-investigator

## **Annexure III**

### **Format for Biodata of Principle Investigator and Co-investigator**

1. Principal Investigator:
  - A Name:
  - B Designation:
  - C Department:
  - D Address:
  - E Institute Name:
  - F Telephone:
  - G E-mail:
  - H Web:

I Date of Birth:

J Qualifications:

2. Name(s) of the Co-Investigator(s):

A Name:

B Designation:

C Department:

D Address:

E Institute Name:

F Telephone:

G E-mail:

H Web:

I Date of Birth:

J Qualifications:

3. Research/Training Experience:

4. Research specialization (Major scientific fields of interest)

5. Important recent publications (last 5 years only, with titles and References), including papers in press, papers in conference proceedings.

Sr. No	Title	Name of journal	Year	Vol. Issue, Page No.	Impact factor

6. Financial support received

7. Patents filed/granted with details

8. Books published /Chapters contributed

9. Completed / ongoing Sponsored Research/ Consultancy Projects

Sr. No	Title	Sponsoring Agency	Period	Amount (Rupees in lakhs)	Achievements

10. Sponsored Research/Consultancy Projects Submitted for Funding

Sr. No	Title	Agency to whom submitted	Duration	Date of Submission	Amount (Rupees in Lakhs)

#### 4.15 Agreement (On Rs. 300/- non-judicial stamp paper)

##### Agreement

##### (On Rs. 300/- non-judicial stamp paper)

1. I, Prof./Dr.\_\_\_\_\_hereby agree to undertake the project entitled " \_\_\_\_\_ " sanctioned to me by Ganpat University vide letter No. \_\_\_\_\_ dated \_\_\_\_\_.
2. I have read and fully understood all the rules and regulations governing the minor research project scheme of the university.
3. I hereby agree to follow all these rules and regulations and such other rules framed by Ganpat University.
4. I agree to attend the appraisal to be conducted by Ganpat University after half the project work is completed and shall make presentation on the progress of the research project.
5. I agree to submit two copies of the final report to be prepared by me to the Odisha State Open University within one month of the date of expiry of the period of the project.
6. I agree to submit the raw data in the form of schedules or notes or processed on electronic devices such as CDs, floppies, tapes etc. to the Ganpat University at the end of the project, if so required.
7. I agree that all the assets created out of the project funds shall be the property of Ganpat University and after completion of the project, the same will be donated to the affiliating institute/university.
8. I agree to submit two copies of all research papers/articles/, which may be brought out from the project data and to acknowledge in such papers/articles, the financial support provided to me by Ganpat University.
9. I agree to refund the money released to me by Ganpat University if I fail to complete the project within the time allowed to me or any of the terms of this agreement are contravened by me except for any unforeseen/extraordinary circumstances brought to the notice of Ganpat University in writing.

Name and Signature of the Principal Investigator

## 5. Guidelines And Provisions for Selection Of Employee/Students And Financial Assistance For Attending National & International Conference/ Workshop/ Symposia/ Seminar;Provisions For Publication incentives For Published Research Paper/Book/ Monograph/patent and Externally Funded Research Projects

The Ganpat University will provide financial assistance to the employees of the University and Its constituent Colleges /Department/Institutions/Centers for attending National & International conference/ workshop/ symposia/seminar and other similar events and publication grant for published research paper/book/monograph subject to the fulfilling the conditions prescribed under following guidelines.

### 5.1 Guidelines For Attending National and International Conference/ Workshop/ Symposia/Seminar and Similar Events Held in India and Availing Financial Assistance

5.1.1 The Ganpat University will provide financial assistance to the employees of the University and Its constituent Colleges / Department / Institutions / Centers for attending National & International conference / workshop / symposia / seminar and other similar events subject to the fulfilling the conditions prescribed under following guidelines.

#### ELIGIBILITY AND GUIDELINES:

1. For an employee, to be eligible for financial assistance for participation in the event, the event should have been organized by reputed Institutions i.e. Institute of National Importance, NAAC A+ / NBA Accredited or NIRF Top 50 listed etc.
2. Any employee with one year experience at GNU will be eligible for presenting his / her original research work in the above-mentioned events.
3. Employee in a cadre not below the rank of Associate Professor and above who is invited for plenary lecture will be given preference for the participation in the events.
4. Eligible teacher will participate and present his work in one event in one semester and maximum two events in a year.
5. Head of the department in a cadre not below the rank of Associate Professor even if not presenting the research paper will also be eligible for the participation in above mentioned events once in a year.

#### 5.1.2 Selection Procedure / Selection Committee / Submission Of Documents

1. The eligible candidate should intimate well in advance along with the details of the event, title of the research paper, abstract of the work / summary of talk to the selection committee of the college/ department constituted as mentioned below.
2. The selection committee will scrutinize the applications submitted by the applicants and ensure the originality of the work, eligibility criteria, substitution of teaching load of concerned faculty and non-violence of examination duty and any other important task.

#### SELECTION COMMITTEE:

1. Executive Dean of concerned faculty
2. Head of the Institute
3. Head of Department of concerned applicant
4. One faculty of concerned subject nominated by the head of the institute

#### SUBMISSION OF DOCUMENTS:

1. Copy Invitation / acceptance letter / selection letter from the organizer
2. Photocopy of the Certificate of presentation / participation from the organizer
3. Photocopy of Abstract / copy of CD / Proceedings of the event



4. Photocopy of the receipt of registration fees paid (Late / on the spot registration charges will not be sanctioned)
5. Copy of the approval of selection committee
6. Certificate from head of department and principal confirming the same has been presented in the department/college among the faculty/students.
7. Photocopy of tickets of the journey

#### 5.1.3 Sanction Of Expenditure for Employee

1. The Fulltime Employee of GUNI (Individual or as Team Member) who is presenting his / her original research work / Case Study / Idea / Project / Model, the Registration Fees (of First due date) upto Rs. 15000/- and Travel Expense as prescribed shall be reimbursed.
2. If the Employee wins the award or Prize for their presentation, he / she shall be entitled for the reimbursement of full Registration Fees.
  1. The Fulltime Employee of GUNI has to attend at least one workshop / Seminar / FDP / Orientation Program / Refresher Course/ Training / MDP / STTP / SDP in a year. The event should have been organized by reputed Institutions i.e. Institute of National Importance, NAAC A+ / NBA Accredited or NIRF Top 50 listed etc. The registration fees upto Rs. 5000/- shall be reimbursed for the same.
  2. The employee in a cadre of Assistant Professor shall be entitled to avail the travel expense of three tier AC railway fair on producing travel proof.
  3. The employee in a cadre of Associate Professor or above shall be entitled to avail the travel expense of two tier AC railway fair on producing travel proof.
  4. He / She shall be entitled to avail 100 % TA as per above.
  5. If travelled by own car (with possible sharing) than eligible railway fair for equivalent Km as TA will be sanctioned or as per GUNI norms (per KM).
  6. GUNI-CARS will take the final decision regarding changes in any eligibility as given above.

#### 5.1.4 SANCTION OF EXPENDITURE FOR STUDENTS:

1. For a student, to be eligible for financial assistance for participation in the event, the event should have been organized by reputed Institutions i.e. Institute of National Importance, NAAC A+ / NBA Accredited or NIRF Top 50 listed etc.
2. The students who are on roll of GUNI (Individual or as Team Member) who is presenting his / her original research work / Case Study / Idea / Project / Model at state / national / international level event, the Registration Fees (of First due date) upto Rs. 3000/- and Travel Expense as prescribed shall be reimbursed.
3. If the student wins the award or Prize for their presentation he / she shall be entitled for the reimbursement of full Registration Fees.
4. Students of the university shall be entitled to avail 100 % TA by second class railway or bus fair or actual fair whichever is less on producing travel proof.
5. GUNI-CARS will take the final decision regarding changes in any eligibility as given above.

#### 5.1.5 Forwarding Letter format

To

Date :-

The Principal/Head,

\_\_\_\_\_

Sub: Request to permit for Participation in Conference/Symposium/Seminar to present Research Paper

Dear Sir,  
Greetings of the Day!!!

With reference to the above subject, the application is hereby submitted for your approval to permit for the Book Chapter/Book publication /Research Paper publication "in \_\_\_\_\_under GUNI – CARS.

You are also requested to allow for the financial support towards expenditure as per annexure II (registration fees and TA/DA expenses) under GUNI – CARS.

I will submit a brief report about the publication outcome along with proof of publication to the office and submit TA/DA claim immediately after the same.

Forwarded by: Head of the Department Name & Sign

a. Sectioned / Not Sectioned: \_\_\_\_\_

b. Remarks : \_\_\_\_\_

Principal/Head

a. Sectioned / Not Sectioned: \_\_\_\_\_

b. Remarks : \_\_\_\_\_

Encl:-

1. Copy of Book Chapter/Book Publication /Research Paper
2. Registration Fee Challan
3. Copy of Schedule.
4. Travelling Proof
5. CD/ Copy of Presentation

## **5.2 GUIDELINES FOR PROVIDING FINANCIAL INCENTIVES TO GUNI EMPLOYEES**

- A. RESEARCH PAPER PUBLICATION IN JOURNAL AND CONFERENCE PROCEEDINGS
- B. BOOK / BOOK CHAPTER / MONOGRAPH PUBLICATION
- C. INTELLECTUAL PROPERTY (E.G. PATENTS) FILING
- D. EXTERNALLY FUNDED RESEARCH PROJECTS OR GRANT FOR UPGRADATION OF RESEARCH INFRASTRUCTURE

### **5.2.1 Research Paper Publication in Journal and Conference Proceedings**

1. Any GUNI employee is eligible to claim the financial assistance for publication of research paper / review articles / book / book chapter / monograph of certain merits decided by the Ganpat University.
2. Applicant must be the corresponding author or first / primary or co-author / secondary author of the journal article or publication.
3. Only journal articles and publications that mention the author(s) affiliation as Ganpat University (or along with constituent institutions of Ganpat University) are eligible to apply for incentives.
4. The application should be submitted to GUNI-CARS for making the claim through the principal / Head of the institute/ department within the period of one month after the date of paper publication.
5. The claim application should be submitted with necessary proof of publication in duplicate. Proof of

publication will include a copy of the front page of the publication and the pages containing information such as author, affiliation, title of publication, year, name of university, name of publisher etc.

6. Following supporting documents are required to be submitted along with the claim application (as applicable):
  - a. Copy of reprints of the paper published / Proof-of Publication as mentioned above
  - b. Weblink for the published article at journal homepage
  - c. Journal impact factor / Cite score details
  - d. Journal Indexing / listing details e.g. Scopus, WoS or UGC-CARE etc.
  - e. Journal's ISSN number
7. GUNI-CARS will not process applications for research publication incentives if the employee fails to meet the above criteria.
8. When a research publication has multiple authors from GUNI, the claiming author (i.e. corresponding author or first author) may consider dividing the cash incentive equally among the other co-authors. Only authors from GUNI shall qualify for the incentive.

#### INCENTIVE PAYMENT RATES:

1. For an original research article published in reputed peer reviewed journals / conference proceedings with an impact factor and indexed in Web of Science or Scopus, the financial assistance of Rs. 7,000/- (Rupees Seven Thousand only) will be given to the corresponding author or first author (any one).
2. For an original research article published in peer reviewed national / international journals or conference proceeding which are considered of merit and published by CSIR, Pubmed, Indian citation Index, Thomson & Reuter, Science Direct, Elsevier, Emerald, Proquest, Tailor and Francis, the financial assistance of Rs. 5,000 (Rupees Five Thousand only) will be given to the corresponding author or first author (any one). However, the Dean of the faculty through a committee comprised of all Principals/heads of department may also suggest the publisher of merit for inclusion.
3. For an original research publication in the peer reviewed national/ international journals or conference proceeding notified in the UGC-CARE (group – II) website, the financial assistance of Rs. 3,000 (Rupees Three Thousand only) will be given to the corresponding author or first author (any one).
4. GUNI- Employee who has published as co-author with author(s) from other Institute(s), the 50% of amount as per eligibility as defined above will be paid as incentive.

#### 5.2.2 BOOK / BOOK CHAPTER / MONOGRAPH PUBLICATION

1. Author who has published the Book / Book Chapter / Monograph are also entitled to financial incentives as reward for the publication. Eligibility criteria and other guidelines as applicable for payment of incentive for Research Paper Publication in Journal and Conference Proceedings will also be applicable to Publication of Book / Book Chapter / Monograph.
2. Co-author in the book / book chapter shall not be rewarded individually but they are entitled to share the above amount in agreement with the author of the book / book chapter.
3. From the royalty of the book/ book chapter, the author has to submit the 10 % of his share to the university/college.
4. For making the claim for publication of a book / book chapter(s), the employee should include pages that shows information such as title, author, publisher, year of publication, front page, contents, preface, ISBN, copyright and first page for book chapter(s).
5. The book must be a first edition.

6. The book must be refereed before being published.
7. Books published through fast print or self-publishing are not eligible.

#### **NCENTIVE PAYMENT RATES:**

<b>Sr. No.</b>	<b>Publication Details</b>	<b>Incentive payment</b>
1.	Reference / textbook is published by an international publishers like McGraw Hill, Prentice Hall, Oxford University Press or other internationally reputed publishers.	INR 50,000/-
2.	Reference / textbook is published by a national publisher like Tata McGraw Hill, Prentice Hall of India, MacMillan India, SAGE etc.	INR 30,000/-
3.	Reference / textbook is published by Regional / Local publishers	INR 15,000/-
4.	Book Chapter is published by an international publisher	INR 10,000/-
5.	Book Chapter is published by a national publisher	INR 5,000/-

#### **5.2.3 INCENTIVE & REIMBURSEMENT OF EXPENSES FOR FILLING THE PATENT / INTELLECTUAL PROPERTY RIGHTS (IPR)**

Faculty members / employee are encouraged to apply for patents for their original contributions and inventions leading to newer products and technology to national and international patent offices. The university will bear the costs for filing such IPRs and provide incentives to the eligible employees. If more than one employees are listed as inventors, they will share the incentive in a mutually agreed terms.

#### **ELIGIBILITY AND GUIDELINES:**

1. Inventor who has filed / published / granted the intellectual property / Patents are also entitled to financial assistance / reimbursements. Eligibility criteria and other guidelines as applicable for payment of incentive for Research Paper Publication in Journal and Conference Proceedings will also be applicable for Filling the Patent / Intellectual Property Rights (IPR).
2. Only IPRs that mention the Inventor(s) affiliation as Ganpat University under either inventor details or applicant/assignee details will be considered for incentives.
3. In case of inventors / applicants from other organization are also listed, the reimbursement / incentive will be paid on the basis of the share of the University / GUNI employee(s) in said IPR.
4. Wherever applicable, the applicant / patentee must ensure that Ganpat University is the joint applicant / partner in the complete process of IPR filing and granting.
5. A separate agreement may be jointly signed between the applicant/ patentee from GUNI and other applicant/ patentee from other organizations before initiating the application process for each application.
6. Any patent that demonstrates application of know-how leading to the enhanced functionality of an existing product alone or the development of a novel / innovative product, process, software, design or technology shall be considered under this policy.
7. The employee / inventor will be able to claim the incentives for filing the IPR in the research domain of his/her expertise only.
8. The incentive can be claimed by the principal applicant / assignee / patentee only.
9. Employee claiming incentive under the above scheme shall submit the following documents:
  - i. Details of Patent / IPR with date of filing, publication date and grant date
  - ii. Copy of the Patent / IPR
  - iii. Details of inventor(s) with address
  - iv. Applicant details with Address

- v. Copy of documents filed for claim of patent/IPR
- vi. Statement giving details about the invention, its novelty and industrial applicability.

#### INCENTIVE PAYMENT RATES:

1. 100% patent filing / examination and prosecution fee including Patent attorney charges (as prescribed) will be borne by the university.
2. Rs. 50,000/- if the Patent is granted at international level (Rs. 20,000/- on Patent publication).
3. Rs. 30,000/- if the Patent is granted at national level (Rs. 10,000/- on Patent publication).
4. In the case when patent is commercialized, its revenue shall be shared among the inventors and GUNI in the ratio 80:20.

#### 5.2.4 INCENTIVE FOR EXTERNALLY FUNDED RESEARCH PROJECTS OR GRANT FOR UPGRADATION OF RESEARCH INFRASTRUCTURE

Faculty members are required to submit research project proposals for research grants to external agencies e.g. government or non-governmental funding agencies for carrying out the research projects or upgradation of research infrastructure. These projects may involve modernization of laboratories, acquiring of equipment for scientific research, proof-of-concept or hypothesis, development of prototype / model / software, market research or conducting of surveys etc.

#### ELIGIBILITY AND GUIDELINES:

1. Research projects sponsored by government and non-government agencies such as industry, corporate houses, international bodies, endowments, chairs in the institution are eligible under this policy. Research projects and other funding made available under other schemes of Ganpat University or GUNI-CARS will not be eligible under this scheme.
2. Employee should have obtained the endorsement letter / forwarding letter signed by the Head of the Institution / Principal office while submitting the project proposal and submit a copy of the proposal submitted along with a copy of Acknowledgement of the final submission of the project to GUNI – CARS.
  1. Payment of cash incentive amount will be equally divided among all the Faculty members associated with the Project.
  2. Since the amount is usually released in phases by the funding agency, the incentive(s) paid will also be proportional to the amount received by the Institution / University.

#### INCENTIVE PAYMENT RATES:

1. The Institute shall pay the research team of PI and Co-PI(s) an incentive equivalent to 10% of the research grants received from external funding agencies into the University account.
2. In case of a team, the amount shall be shared equally among team members.

## 6. Guideline for Grant to Organize Seminar/ Symposium/ Conference/Workshop/Training Program.

## 6.1 Objective

The scheme provides financial assistance to institutions for organizing Symposium / Conference/ Seminar Workshop at National and International level in various fields of Engineering, Pharmacy, and Management studies, Computer Applications, Science, education Humanity, Agriculture, Nursing, Physiotherapy. The Scheme intends to promote high standards in Education by way of extending opportunities to the faculty members and students of Ganpat university by providing a forum to sharing their knowledge, experiences, innovations and inventions. Preference shall be given to topics of interdisciplinary nature, emerging and thrust areas in multidisciplinary Research and Education.

## 6.2 Conditions

1. Funds once released/sanctioned for organizing the particular Seminar Conference Symposium / Workshop cannot be utilized for any other program.
2. In case the event is cancelled, the funds will be returned back to CARS, GU immediately.
3. Prior permission of CARS, GU is required in case date(s) for the seminar is changed.
4. Proposals received under this scheme are evaluated by duly constituted Expert Committee. The meetings take place generally in the months of January and July. The proposal should reach the CARS, GU at least 3 months in advance of the event as well as the CARS meeting.
5. The funds under the scheme are released in two installments. (a) the first installment (fifty percent of the total amount sanctioned) is released before the event on the receipt of acceptance letter, (b)) the second installment is released after the receipt of the following documents.
  - i. Feedback form as per Annexure-I.
  - ii. Utilization Certificate for the full amount sanctioned and Statement of (i) Expenditure, signed by Head of institution convener and financial head/ officer as per Annexure- I & II
  - iii. Copies of proceedings (1 printed spiral bound copy + 1 soft copy in (ii) CD in PDF/word format)
6. The College/ Institution should submit the documents necessary for release of 1<sup>st</sup> installment within 15 days of receipt of the offer letter and documents necessary for release of 2<sup>nd</sup> installment within 1 month of the conduct of the event.
7. Application formats complete in all respects should be sent to GUNI-CARS.
8. The application formats should be properly bound to avoid any loose paper CARS shall not be responsible for loss of any documents.
9. Incomplete applications or applications not in prescribed format shall not be entertained.

### 6.3 Proposal Details

1. Name of the Institution:
2. Address of the Institution:
3. Title of the Seminar /Symposium/Conference
4. Date: From \_\_\_\_\_ to \_\_\_\_\_  
No. of day:
5. Venue
6. No. of participants expected to attend:
7. Discipline \_\_\_\_\_ Major: \_\_\_\_\_ Ancillary \_\_\_\_\_
8. Nature of Seminar (Please √) \_\_\_\_\_ National/Regional
9. Number of participants expected to attend:

Local	Outstation	Total

10. Total proposed expenditure

11. Details of total grant received from other organizations for the conduct of the seminar / conference

Sr.No.	Name of Agency	Grant Received

12. Total grant request from GUNI- CARS

13.

- a) Objectives and importance of the Event.
- b) Topics to be Discussed.
- c) Future outcome

14. Details of Proposal Event

- a) Details of proposed sessions
- b) Name, address of resource persons delivering
- c) Keynote/Plenary/Invited Lectures with theme.

15. Name and designation of Chairperson and Members of the organizing committee.

16. Whether any other such events were organized by the organization/institution earlier during the last three years?

(If yes then provide the details like title of conference, name of coordinator, amount sanctioned, dates of events, etc. in tabular form)

17. Details of Expenditure

Head	Anticipated Expenditure	Assistance required from CARS (In. Rs)
Food expenses (Breakfast, Lunch, dinner, Tea, etc.)		
Travel Allowance		
Honorarium to resource persons		
Memento for resource person Stationary, pad, folder, pen, etc.		
publications of Proceedings, Certificates, etc.		
Any other (specify)		
<b>Total</b>		

18. Technical Programme of the seminar (Please attach the conference announcement brochure).

\_\_\_\_\_  
Name and Signature of Convener/  
Organizing Secretary / Co-Ordinator

\_\_\_\_\_  
Name and Signature of  
Head of Institution with Seal

#### 6.4 Bio-Data of Co-Ordinator

1. a). Name of the Applicant: -  
b). Designation  
c). Address of the applicant (Institution)  
d). Date of Birth: -  
e). Age:-  
f). Sex (M/F)
2. Field of specialization                      Major  
   Ancillary
3. Educational Qualification: M.E Computer  
b). Details of Experience

Experience	Name of the Organization	Duration	Nature of Work
i). Teaching			
ii). Research			
iii) Industry			
iv). Any other			

- c). Publications (Mention only Number of publications during the last five years with proof).

	Number				
	2014	2013	2012	2011	2010
i). Referred Journals					
ii) Proceedings					
iii) Books					
iv) Patents					
v) Any other					

- d). Awards / Prizes received, if any (attach Proof)

Name of awards / prizes	Year	Awards / prizes received from

4. Highlights of major contributions (within 300 words) in last 5 years.
5. Research Projects Coordinated and the name of the sponsoring body (attach Proof)

S.NO.	Name of the Project	Sponsoring Authority (UNIV./UGC/AICTE etc.)



6. Masters degree (M.Tech./M.E. etc.)Candidates guided.
  - a). Total Number of students guided
  - b). Number of Masters degree theses during the last five years
8. Doctoral (Ph.D.) candidates guided.
  - a). Total Number of students guided
  - b). Number of Doctoral theses during the last five years
9. Any other relevant information.

(Signature of Applicant)

#### **Annexure :01**

#### **CERTIFICATE FROM THE HEAD OF THE INSTITUTION**

This is to certify that

1. Institution has no objection if the Seminar/Symposium/Conference on \_\_\_\_\_ is organized in the Institute's premises from \_\_\_\_\_ to \_\_\_\_\_.
2. Space and other infrastructural facilities would be extended for organizing the aforesaid Seminar / Symposium /Conference / Workshop / Training program.
3. The funds shall be utilized for the purpose for which they are sanctioned.

Signature of the Head of the Institution

Name :-

Address :-

Date :-

Official seal

#### **Annexure :02**

#### **ACCEPTANCE LETTER (on Letter head)**

#### **SCHEME – SEMINAR GRANT**

To

The Head,

Center for Advanced Research Studies (CARS),

Ganpat University.

Sub: Acceptance of grant offered in response to the proposal applied under the scheme of Seminar Grant for the year \_\_\_\_\_-

CARS, GUNI File No. :

Name of Co-Ordinator :

Duration of the Programme :  
Venue :  
Authority in whose favor :  
Draft/Cheque is to be issued

Title of the Programme :

Sir,

With reference to the Offer Letter No. \_\_\_\_\_ Dated \_\_\_\_\_ of CARS, GUNI with regard to the above proposal, we agree to the terms & conditions as mentioned in the said letter.

Further, we also undertake that the funds receivable shall be utilized for the purpose for which they are sanctioned.

\_\_\_\_\_  
Name and Signature of Convener /  
Organizing Secretary / Co-Ordinator

\_\_\_\_\_  
Name and Signature of  
Head of Institution with Seal

### **Annexure :03**

### **SCHEME – SEMINAR GRANT**

### **Feedback Form**

1. CARS, GU File No. & Date of Offer Letter
2. Name of the Convener / Organizing Secretary / Co-ordinator :-
3. Name and Address of the Institution :-
4. Title of the conference :-
5. Dates
6. Venue :-
7. Total no. of participants proposed and actually attended  
Proposed                      Attended
8. No. and date of the offer letter

Letter No.	Date

9. Total amount sanctioned : Rs.
10. No. and date of sanction letter

Letter No.	Date	Grant Released

11. Total expenditure incurred in conducting the conference / seminar
12. Grant received from various agencies other than CARS, GUNI for this conference/seminar

Sl. No.	Name of Agency	Grant Received
	<b>Total</b>	

13. Details of internal funds if any generated by the Institution / Department on account of this seminar / conference.
14. Briefly mention about the technological / academic / or any other benefit generated by conducting this seminar / conference / symposium with respect to
- the institution, New Subject upgrade in new Bos
  - the faculty; Faculty can up degree with latest technology and also familiar with Subject which will introduced in Bos of Higher Semester
  - students; Students can get benefited of knowledgeable staff members
  - industry / society.
15. The soft as well as hard copy of the detailed proceedings of the Programme must be furnished to the CARS, GUNI

\_\_\_\_\_  
Name and Signature of Convener /  
Organizing Secretary / Co-Ordinator

\_\_\_\_\_  
Name and Signature of  
Head of Institution with Seal

#### Annexure :04

#### SEMINAR GRANT

#### FORMAT FOR UTILIZATION CERTIFICATE UNDER THE SCHEME SEMINAR GRANT

(FINANCIAL YEAR 200....200....)

CARS, GU File No. :  
Name of Convener :  
Dates of Conference : From to  
Title of Conference :

S.NO.	Letter No. and date	Amount	
1 (a)	Date of Offer Letter.....	AA	Certified that out of Rs....AA.. of grants-in-aid sanctioned during the year.....in favour of .....under this Institution Letter No..... given in the margin a sum Rs..... (BB+CC).... has been utilized for the purpose of .....for which it was sanctioned and that the balce of Rs.....AA-(BB+CC) .....remaining un utilized at the end of the year has been surrendered to the CARS, GU (Vide No..... dated.....).
(b)	Grant received	BB	
I	Balance to be Released by CARS, GU	CC	

Certified that I have satisfied myself that the conditions on which the grants-in-aid was sanctioned have been duly fulfilled/ are being fulfilled and that I have exercised the following checks to see that the money was actually utilized for the purpose for which it was sanctioned.

- 1.
- 2.
- 3.

\_\_\_\_\_  
Name and Signature of Convener /  
Organizing Secretary / Co-Ordinator

\_\_\_\_\_  
Name and Signature of  
Head of Institution with Seal

Signature (with seal) of the Finance Officer /

Auditor / Accounts Officer/ Certified by CA with her/his Membership No. & Full Postal Address.

AA.... Total amount offered by CARS as per offer letter

BB... Total amount released by CARS as 1st installment

CC... Balance amount requested to be released by CARS (not to exceed BB)

#### **Annexure :05**

#### **SEMINAR GRANT**

#### **FORMAT FOR STATEMENT OF EXPENDITURE**

CARS, GU file No : \_\_\_\_\_

Title of the Conference : \_\_\_\_\_

Name of the Convener : \_\_\_\_\_

<b>Sanction No. and Date</b>	<b>Grant Sanctioned</b>	<b>Details of expenditure Incurred Item wise</b>	<b>No. of Participants</b>	<b>Duration of the seminar (with dates)</b>
<b>Grant Received</b>				
<b>Balance to be received</b>				

\_\_\_\_\_  
Name and Signature of Convener /  
Organizing Secretary / Co-Ordinator

\_\_\_\_\_  
Name and Signature of  
Head of Institution with Seal

Signature (with Seal) of the Finance Officer/  
Auditor/Accounts Officer

## 7. Policy For President Awards for Staff Excellence

### 7.1 Purpose of Policy

The purpose of this policy is to set the norms under which the President of the Ganpat University recognizes and rewards exceptional staff (i.e. Teaching and Non-Teaching) performance and achievements through Awards for Excellence

### 7.2 Application of Policy

This policy applies to all eligible staff of the Ganpat University (GUNI) and its sister organizations.

### 7.3 Purposes of the President's Awards for Staff Excellence

1. The University's Strategic Plan is ambitious and reaching the goals requires commitment from all employees of the Ganpat University and its sister organizations. The principle purpose of the President's Awards for Staff Excellence is to recognize and reward exceptional performance and achievements that contribute towards achievement of the University's Strategic Plan and goals.
2. The Awards also aim to:
  - Foster the engagement and commitment of staff and encourage staff to take pride in their work.
  - Encourage staff to take initiative and consciously contribute to institutional capacity and capability.
  - Ensure staff are clear about what the University values in relation to academic and professional work.
  - Provide an opportunity to celebrate exceptional staff performance and achievements.

### 7.4 The Awards for Excellence

The President's Awards for Staff Excellence provide opportunities to recognize and reward exceptional performance and achievements in the following categories:

1. Learning and Teaching
2. Research
3. Research – Early Career Researcher (Below the age of 35 yrs)
4. Support Services & Engagement
5. Institutional Capacity Building
6. Special Recognition

#### 7.4.1 Awards for excellence in Learning and Teaching

1. The President's Awards for Excellence in Learning and Teaching recognizes and rewards significant contributions to the delivery of high quality teaching, learning and graduate outcomes.
2. For the President's Award for Excellence in Learning and Teaching, key areas are:

Innovative teaching practice that impacts students' engagement with learning and/or graduate outcomes; Leadership within and perhaps beyond the University that inspires staff engagement and advancement of teaching shapes students' learning outcomes.
3. The President Award for Excellence in Learning and Teaching recognizes excellence teachers:

An Excellence teacher demonstrates mastery of the following: command of the subject, an analytical approach to the material, interpretations of the data where appropriate, consideration of current work in the field, and ability to show the relationship between the particular subject and other areas of knowledge. The excellence teacher also clearly explains expectations and subject matter, recognizes the students' level of comprehensive, defines the objectives; summarizes major points, organizes the material logically, and emphasizes crucial ideas; encourages student participation, welcomes interaction with students, and is sensitive to the response of the class; deals ethically with students, and seeks rapport with them; motivates and challenges students, is dedicated to the subject and teaching profession, displays self-confidence, and communicates a sense of excitement for the pursuit of knowledge

#### 7.4.2 Awards for excellence in Research

1. Two Awards for Excellence in Research are available– an Award for Excellence in Research and an Award for Excellence in Research – Early Career Researcher.
2. The President Awards for Excellence in Research recognizes and rewards excellence in performance, achievement and leadership in the area of Research.
3. Research outputs and outcomes, for example: publications in quality peer-reviewed journals i.e. Scopus, Web of Science, IEEE etc and significant grant received for consultancy, research projects & development of research facilities;
4. Research leadership and research collaborations that strengthen research capability, influence research practices and/or advance a productive research culture within the University, such that others are guided and supported to achieve significant research outcomes;
5. Impact of research within the discipline/field and beyond the University, for example overall contribution to the knowledge body of particular domain;
6. The establishment and maintenance of productive relationships with strategic partners, including international universities through MOUs to enhance the footfalls of research activities.

#### 7.4.3 Award for excellence in Support Services & Engagement

1. The President's Award for Excellence in Support Services & Engagement recognizes and rewards excellence work in Supports Service & Engagement.
2. The establishment and maintenance of strategic and productive partnerships, connections and relationships with people, groups and organizations through which social, civic and professional functions are performed;
3. Community engagement capabilities by working collaboratively with community groups and organizations on projects as well as creation of opportunities for discussion of intellectual, social, economic, Environment and cultural issues of importance that build capacity, improve nature, wellbeing, happiness and produce just and sustainable outcomes in the interests of individuals, communities, society and the University.
4. Achievement in Support Services means exceptionally originating / improving processes, procedures, policies, guidelines and performance of support services of the University such as Student support, academic activities, examination, administrative services, admission activities, marketing & promotional activities, physical infrastructure, IT & ITES Services, placement support / training & development activities / HR services / incubation & start-up activities, cultural & sports activities, nature & environment protection, library & laboratory development, NSS activities, Extension services, hospitality, housekeeping etc.

#### 7.4.4 Award for excellence in Institutional Capacity Building

1. An award for Institutional Capacity Building shall bring role model for others to follow and replicate his/her efforts for better performance of the constituent Institute / College / Department / Centre of the University.
2. Such recognize and rewarding brings enabling environment and suitable culture befitting to the goals and strategies of the constituent Institute of Ganpat University.
3. Award for Excellence in Institutional Capacity building shall be given for excellence work on under mentioned criteria:
  - A. Have achieved higher standards of institutional capacity building by
    - i. Have participated in improving the quality of staff by the ways of Have imparted or arranged proper training/s suitable to the role of teaching and/or non-teaching staff members invited extra ordinary expert/s for the guidance of the staff have personally mentor staff members or established mentor-mentee mechanism at Institute level;
    - ii. Ventured new arena/s through association with external world;

- iii. Have played extra ordinary role in establishing relevant infrastructure at Laboratory, Library etc.
- iv. Played role in creating enabling culture and environment for best place for teaching-learning happening;
- v. Motivated staff to set higher goal & actual achievement;
- B. Excellence in Admission – have played crucial role in enrollment of meritorious students.
- C. Excellence in Placement – have brought reputed industries / agencies for placement and helped in placing of good number of students on good positions with high salary & perks.
- D. Excellence in Program – Have played good role in designing and successfully implementation of futuristic program/s through which improves financial sustainability of the Institute.
- E. Have done innovative initiatives which has benefited the Institute.
- F. Have fetched consultancy, research projects from reputed agency / industry / Govt and successfully completed / completing.
- G. Has played crucial role in bridging association with good industries / private agencies / government in the form of establishing Centre of Excellence, Certificate Course, Full-time Program, establishing Laboratory, and in any other forms which provides monetary and/or non-monetary benefits to the Institute.
- 4. Award for excellence in Institutional Capacity Building is recognition for extraordinary contribution towards Institutional Capacity Building that adds Sustainability, Academic & Teaching Learning, Growth, Venturing in new operations/areas, Image building, Admission & Revenue generation, Fetching good projects, Infrastructure development, Enhancement of culture & eco-system of Institute, Association with reputed industries and developing Centre of Excellence, Training, Executive Education, Student Support Services, Continuous 2nd line guidance & mentoring to other staff members etc.

## **7.5 Eligibility**

- 1. An employee who have been continuously working on full-time employment for at least 2 years by the end of the year in which the Award is to be presented shall be eligible to participate.
- 2. In addition to above, for the category of Early Career Researcher, an employee must be below 35 years old.
- 3. Members of University Executives and the University Senior Staff (i.e. Executive Deans, Deans, Principals and above cadres) are not eligible for Awards for Excellence. Neither are staff acting in any of these positions shall be eligible for nomination for their performance and achievements while acting in the position.
- 4. Staff who have received an Award for Excellence are not eligible to receive another Award in the same category within two years of receipt of the last Award.

## **7.6 Awards**

- 1. Prize money of Rs. 1,00,000/- shall be granted for awardees' professional pursuits along with a certificate signed by Hon. President of the Ganpat University as token of appreciation for their excellence achievement and contribution.
- 2. Prize money for the category of Institutional Capacity Building shall be Rs. 1,50,000/-.
- 3. A team of staff can receive an Award for Excellence where all members of the team have contributed equitably to the success of the team and the achievements for which the Award is presented. If there is more than one winner of any Award, the Award amount shall be shared between the recipients or all members of the team agree on how the Award amount are to be expended.
- 4. The Prize Money for President Award for Staff Excellence for professional pursuits shall be granted for following purpose only.
  - A. To meet the cost incur in attending workshop / conference / symposium / FDP and other training programs of national and international repute.

- B. To undergo short-term programs / courses for knowledge / skill upgradation.
  - C. To work upon minor research projects.
  - D. To purchase substances / chemicals / machines / tools etc. which are actually necessitate for conducting research.
  - E. To meet financial requirement in getting research paper, book / chapter/s published in hard and e-format.
  - F. To purchase specific software needed for professional growth.
  - G. To purchase books / materials related to role and responsibility through that knowledge / skill can be elevated.
  - H. To subscribe magazine / e-magazine and other online contents which are worthy to upgrade knowledge.
  - I. To avail the membership for professional body.
  - K. To meet expenditure to prepare MOOC courses or virtual courses.
5. To upgrade knowledge & skill by attending MOOC courses.
  6. The Prize Money for President Award for Staff Excellence for professional pursuits shall be utilized with one-year timeline from the date of receipt of award.
  7. The awardee shall have to forward an application to the University with relevant documents through the office of concern Principal to avail awarded prize money.
  8. Any equipment purchased with the Prize money shall be the property of the University.

#### **7.7 Call for Nominations for the Award in all the categories**

1. On behalf of the President, the Human Resources Department invites the nomination for the Award for Excellence under all categories after consultation with the Director General from the office of concerned Executive Dean / Dean after completion of academic year.
2. Self-filled nomination under all categories shall be submitted to the office of either Executive Dean or Dean. The office of Executive Dean / Dean shall screen all the received filled in self-nomination forms through a Recommending Committee of concerned constituent faculty consist of Executive Dean, Dean and Principal of concerned Faculty.
3. The Recommending Committee of concerned constituent faculty can submit confidential nominations in writing for Award to the Human Resources Department. Each nomination outlines the reasons how the nominees' contributions to and achievements have advanced the quality and contributed toward the university strategic plan and are exceptional such that they are deemed worthy of recommendation for the President's Awards for Excellence under particular category.
4. The received recommendation from concerned Faculty Recommending Committee shall be placed before The Advisory Committee for recommending the Awards for Excellence.
5. The Advisory Committee shall have under mentioned members
  1. The Pro Chancellor and the Director General (Chair)
  2. Pro Vice Chancellor – Member
  3. Pro Vice Chancellor & Executive Registrar – Member
  4. One Executive Dean nominated by the President – Member
  5. Jt. Registrar – Member
  6. Dy. Registrar – HR – Member Secretary

The Chair can invite other suitably qualified staff to join the Committee.
6. To determine recommendations, the Advisory Committee considers nominations received. If the Advisory Committee comes to the conclusion that more information is required to determine the recommendations to the President, the Chair of the Advisory Committee can meet with the Executive Dean/s to seek further



information on behalf of the Committee.

7. The Advisory Committee may also invite nomination directly, if feel appropriate.

## **7.8 Recommendations to the President**

1. An Advisory Committee is established to determine the recommendation to the President for Award for Excellence under each category. For the Awards for Excellence the recommendations are made by the chair of the Advisory Committee.
2. The President, on receipt of recommendation on Awards from the Chair of the Advisory Committee, shall determine the recipients of the Awards and can approve or not approve any recommendation for an Award.
3. The President can choose not to present an Award in any category or categories.
4. The recipients receive an award presented by the President on special occasion of the University.
5. The President's decision shall be final

## **7.9 Confidentiality**

All documents, materials and deliberations relating to the President's Awards for Excellence are to be treated with the strictest confidence by all participants of the process. Members of Advisory Committees shall not to discuss nominations, advice, recommendations or deliberations outside of Committee meeting.

## **7.10 Notification of the President's Awards for Excellence**

1. The recipients receive an award presented by the President on special occasion of the University.
2. The President announces the Awards for Excellence to the University BoG.

## **7.11 Privacy Notice**

1. By nominating for an Award or providing information in support of a nominee's application, you acknowledge and consent to the University disclosing your personal information to the following persons and organizations: the nominee's institution.
  - The University
  - Persons assessing the nominations
  - The peer oversight group
2. The University may also publish successful nominees' information (excluding details) in media releases, presentations, conference programs, booklets about the Award recipients and on the University's website.

## **7.12 Publicity Notice**

1. Upon receiving awards, awardee, whether individual or team, shall provide consent, authorize and agree (as appropriate) to the following:
  - A. The use and disclosure by the University / concerned institute of any photographs, footage, words, images, quotes or other comments which identify awardee (individually or team) and any other personal information about awardee (individual or team), collected in connection with the nomination.
  - B. The information being made publically available including publishing it as part of a book, newspaper, article, television program, radio program, and including on the world wide web (which by its nature may involve disclosure to overseas recipients in any country) and any other media at any time. Once the information is published it will be in the public domain and the University is limited in their ability to prevent subsequent use and dissemination of the information even if information has ceased to be true or is otherwise misleading at the time of its use. To the extent (if any) awardee (individual or team) own intellectual property rights in the information or any part of the information, awardee (individual or team) license the University to copy and disseminate them in accordance with this consent.
  - C. Awardee (individual or team) shall not be entitled to any remuneration or any other payment in respect of the use of information by the University and/or its constituent institute/s. The University and/or its constituent institute/s shall not be responsible for any royalties or license fees payable with regard to above mentioned information.

## 8. Policy For Director General Awards for Student Achievements

### 8.1 Purpose of procedures

These procedures outline the selection criteria and basis for the awarding of DG's Medals, which recognize outstanding achievement by students of GNU who have:

made a distinguished contribution to the local or wider community, and/or brought exemplary recognition to Institute/University, and achieved a high level of academic performance and scholarly work, as well as significant contributions to the profession, discipline, Institute and/or University and service to the community

### 8.2 Eligibility Criteria

1. DG's Medals are awarded in recognition of academic excellence together with exceptional achievements (Research, Sports, Innovation, Start-Ups etc) and Community Service.
2. Nominations for the DG's Medal may be made by any staff member of the University, by another student or by a member of GNU Alumni. A student cannot self-nominate.
3. Nominations need to meet the following criteria:
  - A. The nominee clearly demonstrates a distinguished contribution to the University and / or the community which is above and beyond any requirements of their award of degree.
  - B. The nominee has achieved a high level of academic performance. The student would generally need to achieve a cumulative grade point average (CGPA) of no less than 6.5 to be considered.
  - C. The nominee has completed at least half of their graduating program of study at GUNI.
  - D. The nominee has not previously been awarded a DG's Medal.
4. A recipient of the DG's Medal is also eligible for the award of a University or Faculty Medal.

### 8.3 Nomination

1. At the end of each Study Period, after results have been finalized, the Registrar will call for nominations for the award of a DG's Medal.
2. A list of all graduating students will be forwarded to the Deans. This list will consist of graduates with: a CGPA of at least 6.5, or Research Degree
3. The Deans are responsible for ensuring that strong nominees for this award are identified and appropriate nominations made within the timeframe.
4. Nominations for the DG's Medal may be made by any staff member of the University, by another student or by a member of the University Alumni. A student cannot self-nominate.
5. Nominations will require information to be provided by the nominator and by the nominee. It will be the nominator's responsibility to ensure that sufficient detail is provided for the selection panel to make an informed decision.

### 8.4 Determination

1. Once all nominations have been received an initial check will be made to ensure all eligibility criteria have been met. If any nominations do not meet the academic criteria, but exceptional circumstances have been indicated, they will be brought to the attention of the Registrar for confirmation of their inclusion in the selection process.
2. The recipients of the DG's Medal will be determined by a selection panel consisting of
  - A. Pro Vice Chancellor – Chairman of the Committee
  - B. Pro Vice Chancellor and Executive Registrar – Member
  - C. Two Executive Deans nominated by the Director General – Members
  - D. Jt. Registrar – Member
  - E. Associate Dean (Student Services) – Member
  - F. Dy. Registrar – HR - Member Secretary

3. A meeting of the Selection Panel will be called promptly following the end of the Study Period, allowing enough time to enable a nominee to be identified and advised of their award prior to the next scheduled Foundation Day or Convocation Ceremony.
4. The Award will consist of Certificate (signed by DG) and cash amount of Rs. 10,000/-.

#### **8.5 Notification**

A letter will be prepared on behalf of the DG advising the nominee/s of their successful selection.

## 9. Ganpat University Research Scholarship (Tuition Fees Waiver) Scheme

### 9.1 Objective

The GUNI Research Scholarship Scheme aims to provide opportunities to the GUNI employees as well as Gold Medalist candidates from GUNI and other reputed Institutions to undertake advanced studies and research leading to Ph.D. degree at the Ganpat University.

### 9.2 Eligibility

Regular/Permanent and Adhoc/Contractual employees who wish to join part-time Ph.D. at GUNI shall be given the benefit of Research Scholarship (Tuition Fee Waiver) Scheme.

### 9.3 Nature of Scholarship and Terms & Conditions

- i. Regular/Permanent employees who wish to join part-time Ph.D. at GUNI shall be given Ph.D. tuition fee waiver.
- ii. In case of Adhoc/Contractual employee, the yearly tuition fee in monthly equal amount shall be kept as retention amount till the completion of the Bond Period under the scheme. After completion of bond period, the retention amount shall be refunded (without any interest) OR they shall be given option of no retention amount for those who are willing to undertake the service bond of minimum 3 years after the award of Ph.D. Degree.
- iii. If such employees discontinue from his/her service and/Ph.D. Program at GUNI due to any reason, the fee waived shall be recovered from the Employee.

### 9.4 Research Scholarship Scheme for Gold Medalists

#### A For full time Ph.D. Scholars (Gold Medalists)

- i. Eligibility
  - Qualifying degree with Gold Medal from GUNI or Universities having NAAC Grade A and/or above;
  - Qualifying degree with Gold Medal from Institution of National Importance i.e. IITS/NIITS/IIITS/IIMs etc.
- ii. Nature of Scholarship and Terms & Conditions
  - Ph.D. Tuition Fee Waiver for minimum duration of the Ph.D. Program then after he/she has to pay the tuition fee as applicable.
  - Additionally, Full time Ph. D. Candidates will be eligible for the Research Associateship of Ganpat University (Subject to compliance of Research Associate Policy).

#### B For Gold Medalists Employees of GUNI

- i. Eligibility
  - GUNI Employees pursuing part time Ph.D. at Ganpat University and securing Gold Medal at qualifying degree from GUNI or universities having NAAC Grade A and/or above or from Institution of National Importances shall also be considered.
- ii. Nature of Scholarship and Terms & Conditions :
  - Ph.D. Tuition Fee Waiver for the minimum duration for the completion of Ph.D. Program only then after he/she has to pay the tuition fee as applicable.
  - He/She has to fulfill the Performance Appraisal Criteria of service as applicable.
  - He/she has to undertake the bond requirements under the Scheme.

### 9.5 Other Terms & Conditions

- i. The Fee waiver will be applicable for the minimum duration of Ph.D. Program only then after he/she has to pay the tuition fee as applicable.
- ii. The Ph.D. Admission will be based on fulfillment of the Ganpat University Ph.D. Admission Process.

- iii. Only tuition fees will be waived, other fees as per Ganpat University regulation have to pay by the scholar.
- iv. He/She has to sign the bond agreement as per the requirement of Scheme.
- v. If the Candidate who is availing the benefit of Research Scholarship scheme and discontinues their Ph. D. study for whatsoever reason, the amount waived/to be retained be recovered fully.

**9.6** However, employees who do not opt for Ph. D. Scholarship (Tuition fees waiver) Scheme as mentioned above shall be extended the support by relaxing the terms and conditions of payment of tuition fees as under;

- The tuition fees shall be charged Semester wise. OR
- The tuition fees shall be deducted from the salary on a monthly EMI basis.

# 10. Policy For Junior Research Fellowship (JRF) / Senior Research Fellowship (SRF)

## 10.1 Objectives

- 10.1.1 To provide research support to bright young candidates for pursuing full time advanced studies and research leading to Ph.D. Degree in the field of Engineering and Technology, Pharmacy, Management, Computer Applications, Sciences, Social Sciences and Humanities, Architecture Design & Planning, Law etc
- 10.1.2 To attract highly qualified and motivated candidates to pursue full time doctoral degree and offer themselves for teaching position in the concerned faculty of Ganpat University.

## 10.2 Eligibility

- 10.2.1 A candidate who is registered for the full time Ph. D. degree at Ganpat University.
- 10.2.2 Applicants only in the notified areas and faculty by the University shall be eligible.
- 10.2.3 The candidate should not be engaged in any part-time or full-time employment of any nature during the entire tenure of Fellowship.

## 10.3 Duration

- 10.3.1 The tenure of the JRF shall be initially for a period of 24 months based on satisfactory progress review at every 6 months by Research Advisory Committee based on Research Performance i.e. Publication in Journal/Conference, Sponsored Research Project from any agency etc.
- 10.3.2 The Tenure of SRF shall be for a period of 12 months commencing from satisfactorily completion of the JRF.
- 10.3.3 Extension of 12 months shall be permitted under special circumstances as may be specified with the approval of Director General.

## 10.4 Nature of Assistance available under the Scheme

- 7.4.1 For Junior Research Fellowship (JRF) – Rs 40,000/- p.m. (25,000/- Research Fund and 15,000/- Stipend) shall be granted by the Institute as per the terms and conditions.  
For Senior Research Fellowship (SRF) – Rs 45,000/- p.m. (30,000/- Research Fund and 15,000/- Stipend) shall be granted by the Institute as per the terms and conditions mentioned in the policy.

## 10.5 Procedure for Monitoring the Progress of the Candidate

- 10.5.1 The PhD Scholars who are recipients of the Fellowship under this Scheme (hereinafter referred to as Doctoral Fellow) shall be absolutely governed by the PhD Regulations of the University for All Matters including presentation of periodic Progress Reports like any other PhD Scholars in the matter of accountability and adherence to the instruction of the guiding Supervisor/s. The Executive Dean of concerned faculty and Research Supervisor shall oversee the Scholar for performance and research progress including for administrative compliances of the requirements specified.
- 10.5.2 The Doctoral Fellow is expected to publish at least one research paper per year in a peer- reviewed journal, which is indexed in Scopus, web of science etc. during JRF. There shall be at least one research paper per year or one Patent during the tenure of SRF.

## 10.6 Code of Conduct/Obligations of Junior/Senior Research Fellow

- 10.6.1 The Doctoral Fellow in this scheme will be bound by the General Code of Conduct applicable to all Staff of the University and must uphold the Vision, Mission and Core Values of the University in their work ethics. Any breach of this obligation shall be deemed as misconduct.
- 10.6.2 The Doctoral Fellow must be a full time researcher and must subscribe to the regulations of the University with regular attendance. Doctoral fellow will be allotted a dedicated personal email id by the University which should be the principal contact for all official communications. The attendance norms

for the fellow will be as applicable to the full time faculty members of the University and it will be monitored by the Office of Executive Dean of Concerned Faculty.

10.6.3 The Doctoral Fellow shall not be permitted to take any paid or unpaid assignment within or outside the University without written permission of the University. Permission may be granted only in exceptional circumstances of adding value to the approved research programme and shall be on such terms and conditions as may be specified.

10.6.4 The Doctoral Fellow shall be entitled for leave as applicable for faculty of the Ganpat University. Unauthorized absence from work will not be permitted as leave and will be a deemed misconduct. All leave details shall be pre-informed to the Research Supervisor and Executive Dean of Concerned Faculty. The doctoral fellow shall not be entitled for any vacation as applicable to Ganpat University faculties.

10.6.5 The Doctoral Fellow at the direction of the Executive Dean, shall assist the Institute/ University in its academic work, including tutorials, evaluation of the test papers, laboratory demonstration, supervision of fieldwork, library activities like group seminars and symposia, without hindering the progress of research being pursued. The total amount of time to be spent on such academic activities shall not exceed twelve hours of teaching/ practicals/ tutorial/teaching assistance/research assistance per week.

## **10.7 Cancellation of the Fellowship**

10.7.1 The Doctoral Fellow directly or indirectly commits or becomes a party to any misconduct or is in breach of any of the obligations under this Regulation.

10.7.2 Non submission of periodic progress reports as specified

10.7.3 Failure to comply with the regulations stipulated for the conduct of doctoral research in the University.

10.7.4 The Doctoral Fellow is involved in any Criminal Proceedings.

10.7.5 The Doctoral Fellow has secured the Fellowship by mis-representation of any of the material information and/or by fraudulent act.

10.7.6 The Doctoral Fellow avails or signs any contract for availing Fellowship/Financial Assistance or Grant from any third-party sources.

10.7.7 The Doctoral Fellow engages in any paid or unpaid assignment without express consent of the University.

10.7.8 Willful and continuing neglect of Research work or unsatisfactory progress in Research or unauthorized and/or prolonged absence from work.

10.7.9 Willful disobedience of or indifference to the Supervisor.

## **10.8 Selection Process**

10.8.1 It shall be carried out by the Selection Committee Constituted by the Director General, Ganpat University.

# 11. Guidelines for Recruitment of Research Associates and Teaching Assistant at Ganpat University

## 11.1 Objective

1. To attract highly qualified and motivated candidates to pursue full time doctoral degree and offer themselves for teaching position in the concerned faculty of Ganpat University.
2. To provide research support to bright young candidates for pursuing exciting and innovative research in the field of Engineering and Technology, Pharmacy, Management, Computer Applications, Sciences, Social Sciences and Humanities, Architecture Design & Planning etc.

## 11.2 Eligibility

1. A candidate who is registered for the full time Ph. D. degree in the Faculty of Ganpat University.
2. Applicants only in the declared areas and faculty by the University shall be eligible.

## 11.3 Duration

1. The Duration of the research associateship shall be on time-bound and contractual engagement of non-regular nature for specified duration i.e. initially for the period of one year and if required it can be extended for another year after review of the performance in the area of research, publication and assigned project/work. Research Associates are not automatically entitled to any regular appointment/absorption
  - Satisfactory progress review by RAC of Ph. D. Program.
  - Recommendation of the Guide, Principal (wherein the posts are separately held) and Executive Dean through Ganpat University Review committee as per laid regulation.
2. PhD Regulations of the University for All Matters including presentation of periodic Progress Reports like any other PhD Scholars in the matter of accountability and adherence to the instruction of the guiding Supervisor/s. The Executive Dean of concerned faculty and Research Supervisor shall oversee the Scholar for performance and research progress including for administrative compliances of the requirements specified.

## 11.4 Financial Assistance & Other Benefits

1. The Financial Assistance of Rs. 15000 to 20000 per month is granted by the Institute as per the terms and conditions mentioned in this policy.
2. The incentive schemes for promotion of research work i.e. Publication, attending the conference/seminar etc. be applicable for the Research Associates and Teaching Assistants.
3. The Leave as applicable to contractual faculty be also given to Research Associate and teaching assistant.
4. The Annual Increment of 5% in gross remuneration be also given to Research Associate and teaching assistant.

## 11.5 Terms & Conditions

1. The candidate has to undertake 10 to 14 hours (per week) of work related to teaching/teaching assistance along with research activities as assigned to him/her by the Institute. This could include tutorials, laboratory classes, development and maintenance of laboratories, assistance in research and development activities undertaken by faculty members, maintenance and operation of Computers and other Central facilities and assistance in library, etc.
2. The Financial Assistance may be discontinued at any time for any kind of Professional misconduct by the candidate.
3. The mode and procedure of payment of Assistance to the candidates shall be governed by the policy decision of the Ganpat University as may be notified from time to time.
4. The University may impose any other conditions as deemed necessary from time to time and the decision of the Ganpat University shall be final and binding upon the recipient.



### **11.6 Selection Process**

1. It shall be carried out by the Executive Dean during the Doctoral Committee of respective faculty in the presence of representative from the HR Section of University.

## 12. Policy for Project Consultancy

### 12.1 Preamble

The employees of the Ganpat University shall be permitted to engage themselves in Consultancy practice to such extent, which does not interfere with the discharge of their duties. The reasons being. In many Constituent Institutions of Ganpat University offers expertise and a host of specialized facilities which can be used by academia and industry and is of mutual benefit. In addition it gives recognition to Ganpat University. Consultancy/Sponsored Research projects provide enrichment of the experience and knowledge through interacting in the professional sphere. The Academics also get a chance of experimenting under actual service conditions. Consultancy also provides an Opportunity to students to see the sphere of their chosen profession. It provides financial return (small or large) to Ganpat University, the faculty and the staff in general.

### 12.2 Rules

- a) All Consultancies, whether carried out by an individual or a group of faculty consultants including external experts and irrespective of the quantum of facilities of Ganpat University availed, shall be considered as University Consultancy, not of any individual. However, the consultancy Projects can be categorized as,
  - i. Routine Consultancy
  - ii. Research Consultancy
- b) The Consultancy could be requested to the University or particular individual of the University. In the former case the University will identify the Department to carry out the work and with the consent of the Head of the Department, the job shall be assigned to an individual competent to undertake the work.
- c) A detailed project proposal will be needed with the due consideration of anticipated costing of the project.
- d) No ceiling limit is laid down with regards to the total amount of the Consultancy charge. However, such practice should not interfere with the regular duties of the individual persons. The administrative staff has to work in addition to their duties.
- e) The Consultant / Principal Investigator/ H.O.D. will directly deal with the client in all matters regarding the Consultancy job.
- f) A certificate from the client that the work has been completed satisfactorily is not required except in controversial case. In case the client is not satisfied, it lies on the Consultant to satisfy the client or ask the University to refund the charges to the client as per the agreement. An agreement shall have the clause of refund, on mutual agreement basis, in case of unsatisfactory report.
- g) In case of Research Consultancy, all the rules are the same except that the work will be considered University's work and the Consultant undertaking a visit outside will be considered on duty.
- h) Unspent balance if any except for the budget head shall be credited to the Faculty Development fund (FDF) of the College/Department. A detailed account of such expenses will be needed to be submitted to Accounts for audit.
- i) The Consultant will be required to obtain prior permission of University for undertaking Consultancy with detailed project costs and the request needs to be routed through Principal/Head.
- j) At the end of every financial year the Consultant must submit Utilization Report of the Consultancy fund made in the year and after Completion a Consolidated Budget Statement needs to be submitted to the University Account.

### 13.3 Cost of Equipment, Material, Books, and Other Services

- A The estimated cost of equipment, materials, expert's service and/or books to be procured for the project is needed to be given explicitly. The purchase will be regulated in accordance with the purchase rules and the items purchased will be the property of the Department/college after completion of the project.
  - a) The cost has to be given under following heads:
    - i. Equipment/spares/accessories
    - ii. Consumables

- iii. Books
  - iv. Experts service, if any required
  - v. Any other
- b) The travel expenses are to be borne by the Client directly. If no rates are settled then in the project proposal travel costs needs to be included and estimated costs need be given for actual national/International travel. The payment will be made as per university rules under the head TA/DA.
  - c) An estimated cost for Contingent expenses postal expenses, fax, telephone, stationery etc.) is also to be included in the total project cost.
  - d) If needed fee can be charged by external experts not exceeding 10% of the total Consultancy charge and such expenses shall be borne from the consultancy remuneration charge.
- B The total cost should be limited to 20% of the total value of the Consultancy/ Project in above cases all put together.

#### **12.4 Remuneration**

- A Remuneration is to be paid either as honoraria or as charges for working on project to Principal Investigator and his/her team including administrative staff as mentioned below of the total Consultancy charges.
- a) The Remuneration estimate has to be given under following heads
    - i. Principal Investigator
    - ii. Other faculty Members
    - iii. Technical staff directly involved
    - iv. Students, if involved
    - v. Administrative staff
    - vi. Any other person suggested by Principal Investigator through Head of the Institute.
  - b) Whenever Ganpat University Infrastructure and resources to be utilized for the project/consultancy work the remuneration shall be 50% of the total project/consultancy value.
  - c) Whenever none of the Ganpat University Infrastructure and resources utilized for the project/consultancy work the remuneration shall be 70% of the total project/consultancy value.

#### **12.5 Guidelines for Sponsored Research**

The members of the academic and technical staff of the University should not only be permitted but encouraged to engage themselves in sponsored research activities to such extent which does not interfere with the discharge of their regular duties. The sponsored research projects undertaken could be financed by Industry or any Central/State Government funding agencies such as DST, DOE, CSIR, AICTE, NCTE, PCI, etc. Such projects ordinarily have the time-frame, budget, deliverables etc. clearly spelt out.

#### **12.6 Guidelines for Industry Collaboration**

The Institute shall actively seek collaboration with major Industry players. All Such proposals will require approval of the Director, in consultation with Dean/Principal, based on whether the proposed collaboration would be in the interest of the Institute/University in the long run.

#### **12.7 Guidelines for Consultancy**

- a) All Consultancies, whether carried out by an individual or a group of faculty consultants and irrespective of the quantum of facilities of Ganpat University availed, shall be considered as University's Consultancy, not of any individual.
- b) The Consultancy could be requested to the Ganpat University or particular individual of the University. In the former case the Director, Ganpat University will identify the Department who is competent to undertake the work, and to whom the job shall be assigned.

- c) The total Consultancy remuneration shall be as mentioned in clause No. 3 (B) and 3 (C).
- d) Infrastructure and resources include use of laboratory space. Electricity, water, computing facilities (if needed) and manpower etc. This cost also includes any infrastructural built up if needed.
- e) In case a detailed budget for the project is carefully prepared the expenditure will be incurred as per the budget. The Budget will broadly have to conform to the above break-up. The budget will ordinarily be stated under the following heads:
  - i. Remuneration/Honorarium
  - ii. Equipment, material & books
  - iii. Travel
  - iv. Contingency
- f) No ceiling limit is laid down with regards to the total amount of the consultancy charge. However, such practice should not interfere with the regular duties of the individual persons. The administrative staff has to work in addition to their regular duties.
- g) The Consultant/Principal Investigator will directly deal with the client in all matters regarding the Consultancy assignment.
- h) The Principal/Head of the Institute in consultation with Hon. Director of the University would examine each request for permitting a member of the faculty to accept a consultative or similar assignment keeping in mind that the proposed assignment would be in the interest of the Institute in the long run and will not adversely affect the faculty members work at the University.

# 13. Intellectual Property Rights Policy (IPR Policy)

## 13.1 Title and Commencement

- 15.1.1 This Regulation may be called the “Intellectual Property Rights Policy” of Ganpat University.
- 15.1.2 These Regulations shall come into force from the date of approval by Board of Governance of Ganpat University.
- 15.1.3 The previous Regulation/Policy pertaining to Intellectual Property Rights will be superseded by this Regulation.

## 13.2 Preface

Intellectual property plays an important role in providing a competitive edge to an organization. Over the last decade, appreciation of the commercial value of intellectual property has grown both within the academic community and in the society at large. Concerns related to confidentiality, publication, and ownership of intellectual property are now commonplace. The intellectual property rights are now not only being used as a tool to protect the creativity and generate revenue but also to build strategic alliances for the socioeconomic and technological growth.

Keeping in view the importance of higher education in spawning societal changes and transforming the economic fortunes of a country by emphasizing innovations, Ganpat University has taken several measures for promotion of innovative research by providing the grant through Major Research Projects, Minor Research Projects under the Center for Advanced Research Studies.

Keeping in mind, the intellectual strength of Ganpat University, growing awareness about the innovative research of commercial value and the need for the protection of intellectual property, an IPR policy document has been formulated to provide guidance to the researchers of Ganpat University, comprising academic and non-academic staff, students, research scholars, and outside agencies involved in the collaborative work. This document highlights the practices and the rules of Ganpat University regarding intellectual property rights (IPR) and obligations depending upon the nature of intellectual property (IP), requirements of its ownership, its confidentiality, licensing, technology transfer and revenue sharing.

## 13.3 Objectives

The principal objectives of the Intellectual Property Rights Policy of Ganpat University set forth herein are

- 13.3.1 Facilitate, encourage, promote and safeguard scientific investigation, research & innovation among the stakeholders at Ganpat University;
- 13.3.2 Put in place a transparent administrative system for the ownership control and assignment of intellectual properties and sharing of the revenues generated by the intellectual properties developed and owned by the University;
- 13.3.3 The IPR policy provides the mechanism for preservation and use of intellectual property and procedures through which invention and discoveries made in the course of university research are disseminated to the public through the transfer of technology;
- 13.3.4 To recognize and reward the stakeholders by extending the financial benefits from commercialization of IPR & Innovations.

## 13.4 Definitions

- 13.4.1 Assignment transfer of rights or title in the intellectual property in writing.
- 13.4.2 “Copyright”: The exclusive right to reproduce, distribute to the public (by sale, rental, or other method), publicly display, revise, prepare a derivative work from the product of artistic or intellectual effort, or to authorize another to perform any of these actions; also, as a verb, to carry out the procedure by which one legally secures this right.
- 13.4.3 Copyright license. Written permission to use copyrighted material; it is usually limited to a particular period of time or a specific use.
- 13.4.4 Copyrightable material. Anything which under the Copyright Act, may be copyrighted, including (but not necessarily limited to) written work; lectures and other works prepared for oral delivery; musical

and dramatic works; motion pictures, photographs, drawings, and other pictorial representations; sound recordings; computer programs, instructions, and other software. Copyright protection does not extend to ideas, procedures, processes, systems, methods of operations, concepts, principles or discoveries, even if presented in a copyrightable form.

- 13.4.5 Commercialization: Agreements that grant to third parties the rights to commercially develop university owned copyrighted intellectual property including software and electronic courses are encouraged. The office of research and sponsored program is responsible for negotiating licenses and other appropriate contractual arrangements on behalf of the university and in coordination with the Inventor.
- 13.4.6 Confidential disclosure means an agreement between disclosing and recipient parties or a term in a research contract or license agreement.
- 13.4.7 Consulting agreements means any member of the faculty and staff involving consulting works or other outside activity should determine that patent clauses in the agreements are not in conflict with obligations to the university. In cases of conflict of interest, the university reserves the right to determine the final disposition of the patent rights involved. Each member of the faculty and staff should be certain that the outside agency is provided with a current of university policy.
- 13.4.8 Employee means a person employed or otherwise compensated by the University, including faculty members, staff members.
- 13.4.9 Fair use means the use of copyrighted material for purposes of criticism, comment, news reporting, teaching (including multiple copies for classroom use), scholarship, or research, which is not an infringement of copyright. Demonstration of such purpose is not sufficient to sustain a claim that the use is "fair" the specific facts of the case must be considered in items of the following: (1) the purpose and character of the use, including whether or not it is of a commercial nature or is for nonprofit educational purposes; (2) the nature of the copyrighted work. (3) the amount and substantiality of the portion used in relation to the work as a whole and (4) the effect of the use upon the potential market for or value of the work.
- 13.4.10 Inventor(s) include any employee of the university whether employed full time or part time or on probation or temporary basis either in the university and/or in projects and those who are research workers, research scholars or students or project fellows who are responsible for the creation of an intellectual property using the facilities of the University.
- 13.4.11 Invention disclosure means a written description of an invention that is confidentially made by the inventor to the university.
- 13.4.12 Intellectual Property shall include any property generated out of intellectual effort of the Inventor (s). It includes but not limited to
  - a) New and useful scientific and technical advancement in the form of innovations, inventions, products and processes, computer hardware and software, materials, biological varieties which are patentable.
  - b) Industrial and architectural designs, models, drawings software, creative, artistic and literary works, teaching resource materials generated, records of research etc., which are copy-rightable.
  - c) trademarks, service marks, logos etc.
- 13.4.13 "Net Income" means the gross monetary payments the University receives as a result of transferring rights in the intellectual property less the University's out-of-pocket expenditures (Including legal fees) directly attributable to protecting developing and transferring that intellectual property.
- 13.4.14 Publication. The public distribution of copies of a work (including the original) by sale or other transfer of ownership, or by rental, lease or lending. Although public performance or display of a work does not of itself constitute publication, the offer to distribute copies to a group of people for purposes of further distribution, public performance or public display does constitute publication.
- 13.4.15 Regular Academic Work Product means any copyrightable work product which is an artistic creation

or which constitutes, or is intended to disseminate the results of, academic research or scholarly study. Regular academic work product includes, but is not limited to, books, class notes, theses and dissertations, course materials designed for the web, distance education and other technology-oriented educational materials, articles, poems, musical works, dramatic works, pantomimes and choreographic works, pictorial, graphic and sculptural works, or other of artistic imagination. Software specifically needed to support a regular academic work product or which is designed to disseminate the results of academic research and scholarly study is also considered a regular academic work product.

- 13.4.16 Revenue means any payment received as per an agreement by the university, usually for legal use of an intellectual property of the university through a license.
- 13.4.17 Sponsor means any external agency, party or parties with whom university representatives/ faculty/ staff / students have an agreement for funding / compensated labor.
- 13.4.18 Student: the terms “student” refers to any person enrolled for any course offered by the university, or who is in a research program for academic degree.
- 13.4.19 Sponsored agreement means a grant, a contract, a subcontract, or another agreement between a sponsor and university for the purpose of the conducting research, instruction, training and other activities at the University for Compensation.
- 15.4.20 University resources: university-controlled funds, staff equipment, laboratory, library, internet and facilities-especially those of technical production units, such as university publications, radio, television, recording facilities, computing services, audiovisual photocopying and media services.

### **13.5 Coverage**

This Policy shall be applicable to all university employees and students. This policy should be deemed a part of the conditions of employment for every employee of the University and a part of the conditions of enrollment of students at the university and to all existing staff and students. Further, the University reserves the right to amend the IPR Policy as and when such need arises.

All potential inventors who participate in a sponsored research project and/ or make use of University-sponsored resources should abide by this policy and should accept the principles of ownership of Intellectual Property (IP) as stated in this policy unless an exception is approved in writing by the University.

Upon prior written agreement between persons and the university, this policy may be applied to persons not associated with the university who make their inventions and original works available to the university under circumstances where the further development and refinement of the inventions are compatible with the research programs of the institution.

### **13.6 Ownership of Intellectual Property**

- 13.6.1 The University shall be the owner of all intellectual properties including inventions, softwares, designs and integrated circuits, specimens, created by Inventors as a result of research or created by substantial use of university facilities.
- 13.6.2 Specific provisions in contracts governing the collaborative /sponsored activity shall determine the ownership of IP. Usually where there has been external corporate, foundation, trust, Government or industrial funding of any project, the intellectual property generated from such a project shall be owned by the University or otherwise specified under a specific agreement with the University.
- 13.6.3 An IPR in this University shall be managed by the IPR Cell of the University.
- 13.6.4 Exceptions to the ownership
  - The Inventor of the intellectual property may opt to retain the ownership of the following:
  - 13.6.4.1 All intellectual properties developed without substantial use of University.
  - 13.6.4.2 All rights in artistic, literary and scholarly intellectual property such as scholarly books articles and other publications including those in electronic mode, works of art, literature and music recordings shall belong to the Inventors despite the use of University resources



so long as such works are not the projects of University research, neither created under the direction and control of the University, nor developed in the performance of a sponsored research or third party agreement.

13.6.4.3 All copyrights in papers, thesis and dissertations written as a student to earn credit in university courses or otherwise to specify university degree requirements.

13.6.4.4 The University faculty and students may freely published research of their result provided such research does not to leave copyrightable/patentable intellectual property.

### **13.7 Creation of Intellectual Property:**

The IP consisting of patentable or copyrightable material can be created by the University in the following ways:

13.7.1 The University will create an invention when it appears such development will be of economic benefit to the University, or if the University is required to do so under the terms of a sponsored agreement with an agency in these cases, the University will retain a patent attorney to prepare and process the patent application and will manage the promotion and licensing of the resulting patent.

13.7.2 When some external funding agencies such as Government, foundation, trust commercial / corporate undertaking may enter into a specific agreement with the university and research team of researchers to develop some specific copyrightable or patentable materials.

13.7.3 If the University determines that it has no interest in an invention or decides to forego the patenting of an invention, it may formally waive its rights to the invention.

If the invention was made under a research agreement, this waiver will not be granted until it was been approved by the sponsoring agency.

If there are conditions attached to the waiver by the sponsor such conditions shall be passed to the inventor with the waiver.

Upon the receipt of a written waiver from the University, and other parties if necessary, inventors will be free to develop the inventions at their own expense. Inventors will be required to furnish a Revenue Fee and non-transferable license to the University and the sponsoring agency, as a condition of the Waiver agreement.

### **13.8 Managing And Evaluating The Intellectual Property**

IPR Cell of the University will coordinate the activity of evaluating, protecting, licensing and managing the IPR generated at the University. The Inventors of the IPR shall provide all the necessary information to the cell for the management of the IPR. The IPR Cell will get it evaluated by co-opting the patent attorney/legal external experts whenever and wherever needed. An invention will be patented if it has some commercial use, motivation and viability at some point of time in the future. The evaluation of Intellectual Property will be carried out by Intellectual Property Rights Cell as per constitution as under;

13.8.1 Intellectual Property Rights Cell (IPR Cell) is as follows:

- The Director General or his/her Nominee - Chairman
- Dean of concerned Faculty – Member
- Principal of concerned Institute – Member
- The Registrar, Ganpat University – Member
- One Subject Expert (External) to be nominated by the Director General - Members
- One Subject Expert (Internal) to be nominated by the Director General - Member
- One Expert from Legal to be nominated by the Director General - Member
- One Expert from Finance to be nominated by the Director General - Member
- The Assoc. Dean, Research - Member Secretary

13.8.2 Evaluation of IP means



- i. Assigning ownership of IP
  - ii. Determining whether an IP is innovative and fit for filing in India and foreign countries
- Determining whether the IP has a reasonable chance for commercialization

### **13.9 Registration of Patents / copyrights**

#### **13.9.1 Filing of Application in India**

The Inventors of know-how / designs / instruments / devices / processes / specimens and other such IPs who want to get patents for the patentable IPs and / or transfer thereof for commercial exploitation will be required to make an application for the purpose to the University as per the procedure laid out by the IPR Cell and approved by the Director General, Ganpat University.

If any Inventor(s) consider its necessary to obtain immediate protection for safeguarding interest of the Inventor(s), a provisional patent may be directly applied by the Inventor(s) after obtaining the permission from the University and simultaneously apply for the evaluation of the IP by the University as per the prescribed procedure. In case the University decides to take the patent in the name of the University (jointly with Inventor or Team), the expenses incurred by the Inventor(s) for obtaining the provisional patent protection will be reimbursed to the Inventor(s) by the University.

The University employees associated with any activity of the University shall treat all IPR related information as confidential. Such confidentiality shall be maintained till the date as demanded by the University or the relevant contract between the concerned parties, unless such knowledge is in the public domain or in generally available to the public.

#### **13.9.2 Filling of Application in Foreign Countries**

The University may consider requests for registration of Patents in foreign countries based on the merit of the IP. If the University decides not to file such a patent in any foreign country, the University shall assign the rights of IP in that country to the Inventor(s) for the purpose of such protection, if the Inventor so desires.

### **13.10 Renewal of Patents**

The University will pay the Patent Fees for the first five years in all cases where patent is taken by the University (jointly with Inventor/s). If it is a joint patent with a sponsoring agency, the patenting costs may be equally shared. If the patent has been commercially exploited within the first five years, the University shall pay the Patent

Fees for the remaining period of the life of the patent. If the patent has not been commercially exploited within the first five years, the University and the Inventor(s) shall share the subsequent installments of renewal fees on 50:50 basis. If the Inventor, does not show interest in such renewals, the University can either continue the patent by paying the fees for its full term or withdraw application for the patent protection at its discretion.

### **13.11 Transfer of IP**

13.11.1 The Inventor shall make a confidential disclosure to the IPR Cell in writing as soon as possible, if the University has an ownership interest and if the intellectual property/technology may be patentable, copyrightable or has potential for commercialization and licensing.

The Inventor may consult IPR Cell with respect to his duties to disclose inventions and the manner and timeliness with which such disclosures should be made to the IPR Cell.

The disclosure should contain sufficient detail to convey a clear understanding to the extent known at the time of the disclosure, nature, purpose, operation and technical characteristics of the invention. The Inventor(s) should also be responsible to update the IPR Cell in a timely manner of any developments involving publications, sale or use of which S/he becomes aware after the confidential disclosure.

13.11.2 If the Inventor claims an ownership interest in intellectual property or has a question about whether an assignment must be made to the University, the University, through the IPR Cell, will provide a determination of rights within a reasonable time following submission, generally not to exceed 90

days. The determination may be appealed to the Director General for a final adjudication.

- 13.11.3 The IPR Cell will evaluate inventions and other intellectual property disclosed and suggest the form of intellectual property protection, if any, that should be considered and also the potential for commercial exploitation. There upon it shall either assign the task of securing patent/copyright in the intellectual property and of managing its subsequent economic use to the specialist agency or do so itself in a timely and efficient manner.

Direct expenses associated with obtaining protection for intellectual property in which University has stake/share shall be borne by the University if such intellectual property is being managed by the IPR Cell.

- 13.11.4 The University or its agents or the Inventor after obtaining approval through IPR Cell may approach external agencies for commercial exploitations.
- 13.11.5 In case of IP involving more than one Inventor, a coordinator from among the Inventors shall be identified by the Inventors, for IP protection purposes. At this stage all members of the group of Inventors shall sign a revenue sharing agreement for the IP, as and when they accrue. This revenue sharing agreement may be modified at any time on mutual consent among the Inventors and intimated to the IPR Cell. Any conflict with regard to revenue sharing among the Inventors will be resolved by the University and the same will be binding on all the Inventors of the IP.

### 13.12 Revenue Sharing

Unless otherwise agreed in writing by the University and inventor, in the event that the University receives income from intellectual property that is derived from academic research or scholarly study, that is disclosed to and licensed or otherwise transferred by the University, and that is not agreed in writing to be a specially commissioned work, any net income will be divided as follows:

13.12.1	Case	Net earnings	Inventor(s)	University	Service Account*
	1	Up to 10 lakhs	70%	20%	10%
	2	For the more than 10 lakhs	60%	30%	10%

- 13.12.2 \*Money may be used for the promotion and up gradation of the invention. Unused funds from the service account will be used for promotion of commercialization, IP protection and any other related activities.
- 13.12.3 The shares as mentioned above shall be determined after deducting the direct expenses if any from the total income received by the University.
- 13.12.4 The Inventor(s) share would be declared annually and disbursement will be made to the Inventor(s) or their legal heir, whether or not the Inventors are associated with the University at the time disbursement.
- 13.12.5 Co-Inventors that is research team members of IP shall sign at the time of disclosure a Distribution of IP earnings agreement, which shall specify the percentage distribution of earnings from IP to each co-inventor. The co-owners of intellectual property may at any time by mutual consent revise the distribution of IP Earnings.

### 13.13 Responsibilities of the University

- 13.13.1 Provide oversight of intellectual property management and technology transfer.
- 13.13.2 Establish effective procedure for licensing and patenting intellectual property.
- 13.13.3 Promote effective distribution and marketing of intellectual property.
- 15.13.4 To make aware the faculty members, staff, students and other scholars regarding University's intellectual property.

### 13.14 Responsibilities of the Inventor(s)

- 13.14.1 Adhere to the principles embodied in this policy.

- 13.14.2 Sign when requested by the university, the university's Intellectual property policy Acknowledgement.
- 13.14.3 Create, retain, and use intellectual property according to the applicable local state, federal and international laws and University policies.
- 13.14.4 Disclose promptly in writing Intellectual property owned by the University Pursuant to this policy or created pursuant to this policy or created pursuant to Sponsored research or other contractual agreement with external parties that are governed and assign title to such intellectual property to the university or its designee to enable the university to satisfy the terms of any applicable funding or contractual agreement and,
- 13.14.5 Co-operate with the university in securing and protecting the university's intellectual property including co-operation in obtaining patent, copyright , or other suitable protection for such intellectual property and the legal actions taken in response to infringement.

### **13.15 Infringements, Damages, Liability and Indemnity/Insurance**

- 13.15.1 As a matter of policy, University shall, in any contract between the licensee and University, seek indemnity from any legal proceedings including without limitation manufacturing defects, production problems, design guarantee, up gradation and debugging obligation.
- 13.15.2 University shall also ensure that University agreements with licensee(s) while licensees.

### **13.16 Conflict of Interest**

The inventor(s) are required to disclose any conflict of interest. If the inventor(s) and/or their immediate family have a stake in a licensee or potential licensee company then they are required to disclose the stake they and/or their immediate family have in the company. Under these circumstances, it must be ensured by the inventor(s) that their entrepreneurial activities do not have an adverse impact on inventor(s) teaching, research and any other institutional responsibilities.

### **13.17 Dispute Resolution**

In case of any disputes between University and the inventor(s) regarding the implementation of the IP policy, the aggrieved party may appeal to the Director General of Ganpat University. Efforts shall be made to address the concerns of the aggrieved party. The Director General's decision in this regard would be final and binding.

### **13.18 Jurisdiction**

As a policy, all agreements to be signed by University will have the jurisdiction of the courts in Mehsana and shall be governed by appropriate laws in India.

University will retain the right to engage or not in any litigation concerning patents and license infringements.

Note: Inventor should keep a laboratory notebook in which they keep records of their work. Descriptions of discoveries should be signed, dated, and if possible witnessed.

I have read and understood this "Intellectual Property Rights Policy" of Ganpat University. I understand that the provisions of the policy apply to all faculty members, staff, Students and any other persons employed by the University, to all persons receiving funding administered by the University or receiving other compensation from the university, and to all graduate students and post-doctoral fellows at the university. I agree to abide by its provisions.

Name: \_\_\_\_\_

University Employee ID/Enrolment No. \_\_\_\_\_

Signature-\_\_\_\_\_ Date-\_\_\_\_\_

# 14. Regulations For Award of Ph.D. Degree

## 14.1 Title and Commencement

- i. These Regulations may be called the “Ganpat University Regulations for the Award of the degree of Doctor of Philosophy (Ph.D.)”. These Regulations have been framed in accordance with the UGC (Minimum Standards and Procedure for Awards of Ph.D. Degree) Regulation, 2016.
- ii. These Regulations shall come into force from the date of approval by Board of Governance of Ganpat University.

## 14.2 Preface

Unless the context otherwise requires, the following words and expressions shall have the following meanings;

- i. Candidate/Scholar” means any person who satisfies the prescribed eligibility criteria as stated in RP.2 & RP.4 and who gets registered for the Ph.D. Degree Programme.
- ii. “Co-Supervisor” means the recognized supervisor, who supervises the Ph.D. work of a candidate jointly with the Supervisor as stated in RP. 10.
- iii. “Coursework” means the compulsory study to be undertaken by the candidate as stated in RP.11.
- iv. “Degree” means the degree of Doctor of Philosophy (Ph.D.).
- v. “Doctoral Committee” means the Committee constituted by the Director General for the purpose of regulating the Ph.D. Programme as stated in RP.6.
- vi. “Faculty” means the discipline in which the candidate has been registered i.e. Management, Engineering and Technology, Pharmacy, Computer Applications, Science, Social Sciences and Humanities, Architecture, Design and Planning, Skill Development, etc.
- vii. “Inter-disciplinary Research” means research that draws from two or more disciplines/faculty in order to gain a well-developed perspective, or discover something new.
- viii. “Research Advisory Committee” means the Committee constituted by the Doctoral Committee for monitoring the progress of the research work as stated in RP.7.
- ix. “Research Supervisor” means the recognized Ph.D. guide as stated in Regulation 8.
- x. “University” means the Ganpat University

## 14.3 Eligibility

### 14.3.1.

14.3.1.1 Candidates for admission to the Ph.D. programme shall have a Master’s degree 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.

14.3.1.2 Relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/Differently-Abled and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their Master’s degree prior to 19th September, 1991. The eligibility marks of 55% or an equivalent grade and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures

14.3.2 A candidate who wishes to pursue inter-disciplinary research shall also be considered

14.3.3 If there is an applicant with;

- 14.3.3.1 B. Tech/B.E./B.Sc. Engg. Or equivalent having a minimum 60% marks (55% marks in case of SC/ST candidates) or an equivalent grade and having evidence of published research with a minimum FIVE years of professional experience after obtaining his/her Bachelor's degree, the Director General on the recommendation of the Doctoral Committee may be considered for admission to the Ph. D. Programme.
- 14.3.3.2 Bachelor's Degree in Architecture or equivalent in First Class or an equivalent grade with ten years' experience in teaching/research/professional practice may also be considered for admission to the Ph. D. Programme.
- 14.3.4 Candidates who have cleared the M.Phil. Course work with at least 55% marks in aggregate or its equivalent grade and successfully completing the M.Phil. Degree shall be eligible to proceed to do research work leading to the Ph. D. Degree in the same Institution in an integrated programme. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/differently-abled and other categories of candidates as per the decision of the Commission from time to time.
- 14.3.5 A person whose M.Phil. Dissertation has been evaluated and the Viva voce is pending may be admitted to the Ph.D. programme of the same Institution.
- 14.3.6 Institution, 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, shall be eligible for admission to Ph.D. programme.

#### **14.4 Duration of Program**

- 14.4.1 Every candidate shall work for a minimum period of three years, including course work and a maximum of six years
- 14.4.2 The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

#### **14.5 Categories of Scholars**

There shall be three categories of Ph. D. scholars.

- 14.5.1 Regular (Full Time) Scholars:  
Registered student who wish to pursue full time work for their Ph. D. may be permitted to work in the Centre/Department/Institution of University on full time basis. Full-time candidates will sign the attendance register maintained in the concerned Institution. Full time Research Scholar shall be eligible for application for scheme of Research Associateship of University.
- 14.5.2 Part Time Scholars:  
A scholar who wishes to pursue Ph.D. on Part time basis shall have to produce "No Objection Certificate" from his/her employer or his/her undertaking shows that he/she has sufficient time for research.
- 14.5.3 Part Time (Independent) Scholar:  
With the prior permission of the University on recommendation of the Doctoral Committee of concerned faculty, if a scholar fulfilling the eligibility condition stated in Ph. D. Regulation and having at least 10 years of teaching/research/professional experience with at least 05 publications in referred journals may consider for pursuing his/her Ph. D. programme independently. A candidate registered once under a research supervisor shall not be permitted to submit his thesis independently.

## **14.6 Procedure for Admission to Ph. D. Programme**

- 14.6.1 Admission to the Ph.D. programme shall be given on the basis of Entrance Test and Interview. Applications shall be invited from candidates by publishing advertisement in the institutional website and through advertisement in at least two national newspapers, of which at least one shall be in the regional language. The number of seats for admission, subject/discipline-wise distribution of available seats, criteria for admission, procedure for admission, examination center(s) where Entrance Test(s) shall be conducted and all other relevant information shall be published on university website.
- 14.6.2 The Entrance Test will be conducted by the University. The syllabus of the Entrance Test shall consist of 50% of Research Methodology and 50% shall be subject specific. An Entrance Test shall be qualifying with qualifying marks as 50%.
- 14.6.3 Applicant who has qualified with prescribed validity in UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/GPAT/teacher fellowship holder, the additional 5% Marks shall be given in Entrance Test
- 14.6.4 The candidates who qualify the Entrance Test shall have to appear for Interview in which they have to discuss their research interest/area in front of the duly constituted Doctoral Committee of concerned faculty.
- 14.6.5 Candidate who wishes to peruse Inter-disciplinary Research are encouraged. Candidate has to discuss interdisciplinary subject at the time of Interview.

## **14.7 Doctoral Committee**

- 14.7.1 The composition of the Doctoral Committee is as follows:
- Dean of the Faculty concerned – Chairman
  - Two subject experts to be nominated by the Director General – Members
  - Two Research Supervisors to be nominated by the Director General – Member
  - Any teacher of concerned faculty to be nominated by Dean- Member Secretary
- 14.7.2 Functions of the Doctoral Committee
- i. To recommend to the Director General the eligible candidates for admission in Ph.D. programs by conducting Interview.
  - ii. To allocate the Research Supervisor.
  - iii. To recommend to the Director General to permit change of research
  - iv. supervisor specifying the reasons of the change.
  - v. To recommend to the Director General for the recognition of Research Supervisor.
  - vi. To permit change in the title of the thesis as recommended by Research Advisory Committee.
  - vii. To recommend to the Director General the panel of examiners for adjudication of the research work/thesis.
  - viii. To carry out such other duties as the University may entrust the Committee from time to time in connection with the Ph.D. Program.

## **14.8 Research Advisory Committee (RAC):**

- 14.8.1 The RAC is the committee comprises of experts from relevant field of research including Research Supervisor for advising and monitoring the Research Progress of each candidate.
- 14.8.2 The RAC shall be constituted by Doctoral Committee at the time of Interview during Ph.D. Admission process.
- 14.8.3 The composition is as follows;
- Research Supervisor – Convener
  - One subject expert within the University – Member



- One subject expert outside the University – Member
  - Research Co-supervisor, if any – Member
- 14.8.4 A candidate shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of his/her work for evaluation and further guidance.
- 14.8.5 The six monthly progress reports shall be submitted by the RAC to Dean of Concerned faculty who shall forward to the Registrar of the University through the Dean of with a copy to the research scholar.
- 14.8.6 Functions of the RAC
- i. To review the research proposal and finalize the topic of research.
  - ii. To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to peruse.
  - iii. To review and assist in the progress of the research work at each semester end throughout his/her research duration and suggest the modification or comment in the prescribed form.
  - iv. In case the progress of the research scholar is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Research Advisory Committee may recommend to the University with specific reasons for cancellation of the registration of the research scholar.
  - v. To recommend the research work for submission of Ph.D. synopsis

#### **14.9 Recognition of Research Supervisor**

- 14.9.1 The Director General shall approve the following applicants as recognized Research Supervisor on recommendation of Doctoral Committee.
- i. The fulltime regular Professor working in this University/Institution/College/ Department/Center having Ph. D degree with at least five research publications in refereed journals.
  - ii. The fulltime regular Associate Professor and Assistant Professor working in this University/Institution/College/Department/Center fulfilling the following conditions;
    - a) Ph.D. Degree of a recognized University
    - b) Total 10 years of experience in teaching/research/professional or Three years of experience after obtaining the Ph.D. degree
    - c) Five research publications in refereed journals.
- 14.9.2 A Research Supervisor/Co-supervisor who is a professor, at any given point of time, cannot guide more than 03 (three) M.Phil. and 08 (Eight) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of 2 (two) M.Phil. and 06 (six) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of 01 (one) M.Phil. and 04 (four) Ph.D. scholar. Maximum two students may be registered in the first year after recognition and thereafter three each in subsequent years subject to maximum limit prescribed.

#### **14.10 Functions of Research Supervisor**

- 14.10.1 Assessment of the suitability and aptitude of the applicant for the proposed research work and reporting on the same to the appropriate Authority
- 14.10.2 Critical evaluation of the proposed research work of the applicant with a view to ensure that it would be a piece of original work, it would positively contribute to enhance the knowledge in the respective field.
- 14.10.3 Guidance and supervision of the research work of the scholars after the approval and registration.

#### **14.11 Allocation of Research Supervisor**

- 14.11.1 The allocation of Research Supervisor for a selected Research Scholar shall be decided by the

Doctoral committee depending on the number of scholars per Research Supervisor, the available specialization among the Supervisors and research interests of the scholars as indicated by them at the time of Interview during Ph.D. Admission process.

- 14.11.2 No external supervisor is allowed. However, a Co-Supervisor can be allowed in interdisciplinary areas from the same/other department(s) of the same institute or from any other related institution, with the approval of the Doctoral Committee.
- 14.11.3 In the case of the topics which are of inter-disciplinary nature, where the Doctoral Committee of concerned faculty feels that the expertise has to be supplemented from outside, the Doctoral Committee may appoint a Research Supervisor from the faculty itself, who shall be known as the Research Supervisor, and a Co-Supervisor within the Faculty of the University or outside the University.
- 14.11.4 In case of relocation of an Ph.D. woman scholar due to marriage or otherwise, the research data shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions in these regulations are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/ supervisor from any funding agency. The scholar will however give due credit to the parent guide and the institution for the part of research already done.

#### **14.12 Course Work**

- 14.12.1 The course work shall be treated as prerequisite for Ph.D. preparation. All candidates admitted to the Ph.D. programme shall be required to complete the course work during the first two semesters failing which the admission of the candidate shall stand canceled.

- 14.12.2 The course work comprises total credit of 10. Students are required to earn these 10 credits within two semesters. The courses are as follow;

Name of Course	Credits
Research Methodology	04
Faculty Specific Topics	04
Seminar	02
Total	10

- 14.12.3 In case of inter disciplinary research; the candidate shall have to earn additional minimum 10 credits which shall be decided by Doctoral Committee of concerned faculty.

- 14.12.4 End-Semester Examination (ESE) for Course Work

- i. The Dean of concerned faculty shall coordinate the course work End-Semester Examination.
- ii. There shall be 60% and 40% weightage for Continuous Evaluation and End-semester Examinations, respectively.
- iii. The Award of Grade for the course work assessment and calculation of SGPA and CGPA shall be as per Regulation for Choice Based Credit System of University.
- iv. The minimum qualifying grade for each course shall be not below C+. However, qualifying the entire course work, the minimum SGPA/CGPA shall be not below 6.0.

#### **14.13 Ph.D. Synopsis Seminar**

- 14.13.1 The candidate may submit the Synopsis on recommendation of the Research Advisory Committee provided that the candidate has published one research paper in a refereed journal and shall have to make two paper presentations in conferences/seminars on the basis of his Ph.D. work. The candidate shall produce evidence of same in the form of reprint and certification in case of publication and conference presentation, respectively.
- 14.13.2 There shall be an open seminar of the research work done by the candidate in front of the Doctoral Committee.



- 14.13.3 The Doctoral Committee may recommend to submit the thesis with suggestions/modification if any or may give extension or revision of the work and ask the candidate to re-submit the synopsis with incorporation of suggested changes subject to fulfilling the condition as stated in RP. 3 regarding the duration of programme.
- 14.13.4 The Doctoral Committee shall constitute a panel of at least Six examiners out of which three must be out of Gujarat/Country for adjudication of the thesis.

#### **14.14 Submission of The Thesis**

- 14.14.1 The candidate shall have to submit the thesis in 06 (six) copies within a period of six months from date of Ph.D. synopsis seminar, if successfully completed.
- 14.14.2 If a candidate fails to submit the thesis within a period of six months from the date of Ph.D. synopsis seminar, he shall have to pay a fresh term fee for all subsequent semester until submission of thesis.
- 14.14.3 Along with the thesis, the candidate shall also produce a "No Due Certificate" from Principal/Head of the concerned institution/Dean of the Concerned Faculty.

#### **14.15 Appointment of Examiners for Adjudication of Ph. D. Thesis**

- 14.15.1 On the recommendation of the Doctoral Committee, the Director General of the University shall appoint a panel of three examiners, one of them is Research Supervisor as internal examiner who is guiding the candidate for his research work and other two must be external out of which at least one from outside Gujarat /Country.
- 14.15.2 In case of Independent Research Scholar, the Director General shall appoint an examiner in place of internal examiner from the recommended panel.
- 14.15.3 Provided further that the Director General, if necessary, may also appoint the examiner(s) from outside the panel.

#### **14.16 Evaluation of Ph. D. Thesis**

Every thesis shall be examined by three examiners to be appointed by the Director General as stated in RP.14. The examiners are expected to evaluate the thesis in the manner as prescribed below;

- 14.16.1 The Registrar is to take such steps as deemed necessary to enable the reports of the examiners to be received in timely manner, so as to complete the entire process of evaluation of Ph.D. thesis within a period of six months from the date of submission of the thesis.
- 14.16.2 The examiners are expected to send their reports in the prescribed form within 02 months from the date of receipt of the thesis. In the case of undue delay in receiving the report from any examiner, the Registrar shall refer the thesis to the another examiner appointed by the Director General after waiting for 3 months.
- 14.16.3 The examiner shall include in his report an overall assessment and recommend the research work for any of the category;
  - i. Recommended for the award of the degree of Doctor of Philosophy commended /highly commended.
  - ii. Recommended for the award of the degree of Doctor of Philosophy with minor Revision required
  - iii. Re-submission of thesis after Revision required
  - iv. Rejected

The examiner shall enclose a report of 200 to 300 words, indicating the standard attained in case (a), the nature of revision in case (b & c) and the reasons in case (d).
- 14.16.4 If all the examiners recommend the award of the degree, the thesis shall be provisionally accepted. Any minor revision, modification etc. suggested by the examiners shall be carried out before Viva-Voce Examination
- 14.16.5 If all the examiners recommend rejection, the thesis shall be rejected and the registration of the candidate shall be treated as cancelled.

- 14.16.6 If the thesis is recommended for resubmission after revision by any examiner/s, the scholar will be allowed to re-submit the thesis after revision in the light of the comments of the examiner within a period of maximum six months from date of communication in this regard with due consultation from the Dean of concerned faculty on payment of prescribed Examination fees. The revised thesis will be sent to only that examiner/s who has suggested revision. If the revised thesis is recommended, the reports and the recommendation will be considered along with the other reports already received and will be processed accordingly.
- 14.16.7 If the thesis is recommended for the Ph. D. degree by any two examiners and rejected by the third examiner, the thesis will be referred to another external examiner (i.e. 4th examiner) from the panel recommended by DC for the said purpose. The recommendation of the 4th examiner shall be final.
- 14.16.8 If the 4th examiner suggests re-submission after revision, then the scholar will be allowed to resubmit the thesis after necessary revision in the light of the comments of the examiners within six month on payment of prescribed Examination fees and the revised thesis, duly certified by guide, shall be sent only to those examiners who suggested revision. If the 4th examiner recommended the thesis, the reports of the recommendations will be considered along with the other reports already received and will be processed accordingly. However total duration shall be subject to as prescribed in RP.3.

#### **14.17 Viva Voce AND/OR Practical Examination**

- 14.17.1 There shall be a Viva voce Examination of a candidate for whose research work all examiners have recommended positively. It shall be held at the University on the date to be decided by the referees concerned by mutual consent.
- 14.17.2 Out of the two external examiners, the first examiner and failing him the next one shall hold the Viva voce examination of the candidate jointly with the Research Supervisor. The Director General shall appoint any one examiner. In case of Independent Research, the Director General shall appoint two examiners.
- 14.17.3 If a candidate does not satisfy the examiners at the viva-voce examination, he shall be reexamined after a period of not less than three months. In such case, the examiners have to prepare the detail report mentioning the reason of unsatisfactory performance along with suggestions.
- 14.17.4 The candidate shall not be declared eligible for the degree unless both the examiners unanimously declare him eligible for the degree.

#### **14.18 Cancellation Of Registration**

The Ph.D. registration of a student is liable to be cancelled for any of the following reasons:

- 14.18.1 Inconsistent progress in research
- 14.18.2 Violation of discipline and conduct rules of the Institute/Department/University
- 14.18.3 Non-submission of progress report in time
- 14.18.4 Non-submission of the thesis within the stipulated period subject to RP. 13
- 14.18.5 Non-conformity with the regulations of the Programme
- 14.18.6 Copying a dissertation/thesis/book for Ph.D. degree
- 14.18.7 Giving false information at the time of application/admission

#### **14.19 Award of the Doctoral (Ph.D.) Degree**

If the research work is recommended by examiners through a written joint report for award of the Ph. D. degree after the Viva-Voce and/or practical examination, the Registrar with the approval of the Director General shall declare the result. In the case of interdisciplinary candidates, the Degree shall be awarded in the name of the interdisciplinary subject and also the word "Interdisciplinary in (Name of Subject)" should be mentioned in the Degree Certificate

#### 14.20 Publication of Thesis

The thesis submitted becomes the property of the University. The candidate may publish papers arising out of the thesis. However, the candidate without the specific approval of the University shall not publish the thesis as a whole.

#### 14.21 The Act of Plagiarism

- a) In the case of a candidate who has copied a dissertation/thesis/book/research work for Ph.D. degree, his/her thesis shall be forfeited and his/her Ph.D. Registration shall be terminated and also he shall be debarred to register for any other programme in the university.
- b) For the abetment of above action the recognition of his/her supervisor shall be withdrawn for a period of 05 years and his guide disqualifies for guiding the research scholars for any other research programme in this university in that period.

#### 14.22 Depositories With UGC

- 14.22.1 Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree, the Institution concerned 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/Colleges.
- 14.22.2 Prior to the actual award of the degree, the degree-awarding Institution shall issue a provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions of these UGC Regulations, 2016

#### 14.23 Fees

A Ph. D. student shall have to pay the prescribed fees within the stipulated time to be fixed by the University from time to time. No application for extension of the period of registration or submission of thesis shall be entertained unless the student has produced the proof of having paid all the dues.

#### 14.24 Treatment of Ph.D. Through Distance Mode/Part-Time:

- 14.24.1 Notwithstanding anything contained in these Regulations or any other Rule or Regulation, for the time being in force, there is no provision through distance education mode.
- 14.24.2 Part-time Ph. D. will be allowed provided all the conditions mentioned in the extant Ph.D. Regulations are met.

**14.25** Award of degrees to candidates registered for the Ph.D. Program on or after July 11, 2009 and before July 5, 2016 shall be governed by the provisions of the UGC (Minimum Standards and procedure for Awards of Ph. D. Degree) Regulation, 2009.

**14.26** For all other matters not covered above the decision of the Director General shall be final and binding.

#### Annexure-I

##### **Application for admission to Doctoral Programme in Engineering/Pharmacy/ Management/Computer/Education /Sciences/ Social Science**

(Note: To be submitted on or before 31st August / 31st January)

Demand Draft :

Date :

Amount Rs.

Instruction:

- Application should be submitted along with a synopsis of the on proposed research work.
- Xerox attested copies of educational qualification
- This form should be endorsed by proposed guide and Principal Head of the concerned college / Institutes/Department.

Passport size  
photograph to be  
affixed with attesting

- All blanks except signature, should be typewriter/written in capitals only.
- Strike out whichever is no applicable.
- Please refer the rules for any information desired.

Part A						
1	<b>Name of the candidates in full (As per qualifying examination marksheet)</b>					
2	<b>Address of applicant (with pin code)</b>					<b>Present:</b> <b>Permanent:</b> <b>Phone : M)</b> <b>Email :</b>
3	<b>Date of Birth</b>					
4	<b>Marital Status</b>					Married / Unmarried
5	<b>Category / Cast</b>					
6	<b>Academic Record (Starting from qualifying examination)</b>					
	Sr. No.	Name of Examination Passed	Year of passing	Name of the University	Division/ percentage of Marks Obtain	
7	<b>Year of passing the GATE &amp; Percentile Score</b>					Year: Percentile Score:
8	<b>Details of practical training under gone, if any Attach extra sheet if necessary.</b>					
9	<b>Employment Details</b>					
	Sr. No.	Name of the Employer with Address	Designation / post held	Nature of duties	Period of employment	
10	<b>Details of research experience if any</b>					
11	<b>Have you registered for any other course(s) at other institute / university? If so, give details.</b>					Year: Percentile Score:
12	<b>References (Give the names and addresses of two persons well acquainted with your work)</b>					1. 2.
Part B						
13	<b>Title of the proposed research work a. Name of Guide &amp; Department/College/Institute b. Name of Co-Guide and Department / College / Institute</b>					

## **Annexure :2**

### **To be filled by Employer**

The organization has No objection if Mr./Mrs.\_\_\_\_\_ pursue the research work proposed in this application at Ganpat University for the award of Ph.D. Degree.

This is further assured that the local facilities will be extended to the candidate for carrying out his/her research work.

Date :

Signature of the Employer

Official Seal:

### **Declaration by the Candidate**

I hereby declare that the information submitted in this application is correct If selected, I promise to abide by rules and regulations of the university.

Date :

Signature of the Candidate

Place:

### **Endorsement by the Guide**

I/we give my consent to guide the research work of Mr./Mrs.\_\_\_\_\_ for his Ph.D. degree.

Sign. & Name of Guide

Sign. & Name of Co-Guide

### **Forwarded by Principal/Had of the College Department**

**(For Office use only)**

#### **Endorsement by the Doctoral Committee**

Mr./Mrs.\_\_\_\_\_ has satisfactorily delivered the preregistration seminar on topic mentioned at Part B of this form on date\_\_\_\_\_. The doctoral committee recommended the above candidate's name for registration of Ph.D. under the guidance of Prof./Dr.\_\_\_\_\_. Additional Remarks suggestions, if any of Doctoral committee\_\_\_\_\_

Sign. & Name of Guide

Sign. & Name of Co-Guide

Sign. & Name of DC member

Sign. & Name of DC member

# 15. Guideline for plagiarism check for Ph.D./M.Phil. Thesis and P.G. Project/Dissertation work.

## 15.1 Location of Software

### Distribution of software access rights:

We have received 10 admin and 100 users (Faculty/Students) rights. These can be distributed as follow:

- Admin rights
- Faculty wise: 8
- CARS: 1
- University Central Library: 1
- Users rights

As per strength and institute need, we may allocate user rights. Each institute can have common user access points at computer lab and institute library in addition to access at specific department level. Other access points in the institutes will be decided by the Head of respective institutes.

## 15.2 Procedure for Plagiarism Check

- The PG/Ph.D. thesis submitted to Ganpat University must undergo a Plagiarism Check using Turnitin software.
- All students and faculty members of GNU have access to Turnitin software throughout year for Plagiarism check for their academic and research work.
- The thesis will be evaluated in following mentioned parts (irrespective of submitted chapters) with their compliance criteria
- Introduction /Review of literature: 25%
- Materials and Methods: 25%
- Result/ Discussion/Summary/Conclusion: 10%
- Rejection criteria: Any thesis which do not meet above mentioned compliance criteria must be rejected and resubmitted with revision.

## 15.3 Certificate Approval for Plagiarism Check

- Final certificate of similarity index and anti-plagiarism report must be signed by Guide and/or co-guide, followed by PG co-ordinator of department/Head of Institute and this original certificate and report must be included in all the copies off line thesis.
- There is no need for approving this certificate from University for PG thesis.
- For PhD dissertation approval of anti-plagiarism report by Guide and/or co-guide and Dean of respective faculty followed by final approval of anti-plagiarism report from the office of Registrar must be needed.

## 15.4 Exclusion criteria

- Name of Institutions, Departments etc.
- Index, Bibliography, References
- Title Page, Certificate, Declaration, and Abbreviation.
- Name of equipment's and instruments, name of reagents and
- consumables, mathematical equation, Name of algorithms and methods'
- Small matches up to 5 words for PG thesis and 3 words for PhD thesis

### 15.5 Certificate On Plagiarism Check (Ph.D.)

1	Name of the Research Scholar			
2	Title of thesis			
3	Name of the Guide			
4	Department/institution			
5	Similar content (%) identified	Introduction/ Review of literature	Materials and Methods	Result/ Discussion/ Summary Conclusion
	Acceptable maximum limit (%)			
6	Software used			
7	Date of verification			

\*Report on plagiarism check' specifying included/excluded items without/of similarity to be attached.

Checked by  
(with name,  
designation & signature)

Name &  
Signature of  
the Researcher

Name &  
Signature of  
the Guide

Name & Signature of  
the Dean (Chairperson of  
the Doctoral Committee)

### 15.6 Certificate On Plagiarism Check (PG)

1	Name of the Research Scholar			
2	Title of thesis			
3	Name of the Guide			
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5	Similar content (%) identified	Introduction/ Review of literature	Materials and Methods	Result/ Discussion/ Summary Conclusion
	Acceptable maximum limit (%)			
6	Software used			
7	Date of verification			

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Signature of  
the Researcher

Name &  
Signature of  
the Guide/Co-Guide

Name &  
Signature of  
the HoD

Name &  
Signature of  
the Principal