



**UNIVERSITY**  
GWALIOR • MP • INDIA

“CELEBRATING DREAMS”

# PROMOTION OF RESEARCH POLICY

## Message from Vice Chancellor

### **Dear Students, Faculty, and Staff,**

At ITM University, Gwalior, we are committed to not only imparting knowledge but also pushing the boundaries of that knowledge through groundbreaking research. In line with this vision, I am excited to announce the implementation of a Research Promotion Policy. This policy serves as a catalyst for fostering a vibrant research culture within our university community.

The Research Promotion Policy establishes a comprehensive framework to support faculty and student researchers. This includes initiatives such as dedicated research funding, streamlined grant application procedures, and faculty development programs focused on research methodologies and scholarly writing. We aim to empower our researchers by providing them with the resources and guidance they need to pursue innovative and impactful research endeavors. The policy also emphasizes interdisciplinary collaboration, recognizing the power of diverse perspectives in driving groundbreaking discoveries.

By fostering a culture of research excellence, ITM University aspires to become a hub for innovation and discovery. This focus on supporting research not only contributes to the advancement of knowledge but also equips our students with valuable research skills that will benefit them throughout their careers. We are confident that this new Research Promotion Policy will propel ITM University to the forefront of research activity, shaping a brighter future through groundbreaking discoveries.

### **Vice Chancellor**

ITM University Gwalior

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# **PROMOTION OF RESEARCH**

## 1. PROMOTION OF RESEARCH

ITM University prioritises teaching and research to serve the entire student community. The institution's R&D division aims to promote innovation and technological progress. The organisation aims to collaborate with universities, government agencies, and enterprises to address current societal and industry demands. The University prioritises long-term research to drive future development. The ITM University Gwalior provides all necessary infrastructural facilities and a conducive environment to promote research activity in the campus.

### Objective

- To enhance faculty research awareness by organising discussions with eminent researchers and hosting national and international conferences, seminars, symposia, faculty development programmes, and workshops on research methodology, intellectual property rights, and patenting.
- To motivate faculty to pursue doctoral and post-doctoral assignments at various national and international universities and reputable organisations.
- To motivate faculty members to work on research projects in the most recent areas of science and engineering that are supported by numerous national and international organisations
- To explore new boundaries of knowledge and assure its practical application through collaborative efforts and high-quality research activity.
- To provide a creative environment, supported by suitable facilities and resources, in which higher education and research thrive among faculty and students.
- To establish centres of excellence in essential fields.
- To establish Centers of Excellence in thrust areas.
- To set up the Incubation Centers to motivate innovations and startups.
- To adopt Collaborative Research with IIT, NIT, premier research laboratories and industries.
- To mentor the academic and industry based research projects.
- To publish the research works in renowned journals.
- To motivate and mentor students to participate in various Hackathons and International contests. To develop products and file IPR.

### Strengthening of Labs

University providing support for strengthening research labs, our university demonstrates its commitment to fostering a culture of research excellence, innovation, and collaboration among its faculty, researchers, and students.

Research Centers are established in various departments of the University with subscription of necessary software and computing facilities for carrying out research activities. PC Ray Research centres are recognized by ITM University Gwalior and full-time research scholars are allotted by the University to pursue their research work in this center under the guidance of the concerned faculty.

## Seed Money and JRF/SRF in ITMU-RFS

Faculty are encouraged to apply for various funding agencies and pursue their research. However, the University is ready to provide seed funding or partial funding based on the merit of proposals submitted by faculty or students. The faculty and students are encouraged to present their ideas / project proposals before the research committee for getting the sanction of seed funding in accordance with university guidelines.

The faculty and students are given freedom to choose the research area of their choice and guidance is given to seek funding from various funding agencies and industries.

The University gives a free hand to report research results and findings. However, a thorough review is done for all research proposals seeking funding from various funding agencies by consulting the research committee comprising the Dean R& D, Head of respective department and subject expert(s) of the department. This committee also monitors the impact of research and consultancy and ensures non-violation of research & consultancy ethics, professional ethics, privacy of the people, human rights, causing problems to health & safety of human beings and damage to property

In a ITMU-research fellowship scheme (ITMU-RFS), both JRF and SRF positions play crucial roles in advancing research activities, building research capacity, and fostering a culture of innovation and excellence. These fellowships provide valuable opportunities for early-career and mid-career researchers to gain research experience, contribute to cutting-edge projects, and further their academic and professional development. Additionally, they help universities attract and retain talented researchers, enhance their research output, and strengthen their position in the global research community.

## Research Incentives

The University encourages the faculty by providing incentives for peer reviewed publications, writing books and filing patents. The University takes care of the patent filing process, which is governed by the Research policy of the University.

## Subscription of Research Facility

University provides access to large number of research articles through Clarivate analytics (WOS) where any researcher can access articles from Conference Proceedings Citation Index (CPCI) , Science Citation Index Expanded (SCIE), Emerging Sources Citation Index(ESCI),

Social Sciences Citation Index (SSCI). Database offers broad coverage of new ideas and emerging developments in fast-moving areas of research across 256 disciplines:

- Global coverage of over 191,000
- Two editions: Science; Social Sciences and Humanities
- Nearly 400,000 proceedings records added each year
- Direct links to the full text of proceedings papers
- Global coverage including conferences from India, South East Asia, Africa, and Australia
- Clarivate Analytics gives priority to important serialized conferences sponsored by prestigious scholarly societies.

Research cell of the University ensures the uniqueness in every research by ensuring the

plagiarism free articles submitted for publication. University facilitates this through Turnitin Similarity Index software for checking the plagiarism of any article/thesis.

### **Weightage of Research in Performance Appraisal**

By giving high weightage to research within its performance appraisal policies, the university signals a commitment to fostering a vibrant research culture. This can encourage faculty, researchers, and students to engage in innovative and impactful research activities.

## **GUIDELINES FOR ITMU**

**JUNIOR RESEARCH FELLOWSHIP (ITMU – JRF)**

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**ITMU – SENIOR RESEARCH FELLOWSHIP (ITMU – SRF)**

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**ITMU – RESEARCH ASSOCIATE (ITMU – RA)**

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**IN SCIENCES, HUMANITIES, SOCIAL SCIENCES  
AND ENGINEERING**



## **2. GUIDELINES FOR ITMU - JUNIOR RESEARCH FELLOWSHIP (ITMU - JRF)/ ITMU - SENIOR RESEARCH FELLOWSHIP (ITMU - SRF)/ITMU - RESEARCH ASSOCIATE (ITMU - RA) IN SCIENCES, HUMANITIES, SOCIAL SCIENCES, ENGINEERING**

### **Introduction**

The ITMU - Junior Research Fellowship (ITMU - JRF)/ ITMU - Senior Research Fellowship (ITMU - SRF)/ ITMU - Research Associate (ITMU - RA) scheme of ITM University, Gwalior is open to candidates who qualify in the National Education Testing (NET) of the UGC and the UGC-Council of Scientific and Industrial Research (CSIR) joint test or Entrance Exam Conducted by ITM University. However, please note that these are qualifying tests only and do not bestow a fellowship upon the candidate. All research scholars will be admitted as JRF.

### **Objective**

The objective of the scheme is to provide opportunities to qualified candidates to undertake advanced studies and research leading to M.Phil./Ph.D. degrees in humanities and social sciences, including languages and sciences.

### **Target Group/Eligibility**

#### **Target Group:**

Candidates who have qualified in NET or the UGC-CSIR joint tests or the Ph.D. Entrance test conducted by ITM University.

#### **Eligibility:**

Candidates who have qualified in NET or the UGC-CSIR joint test or the Ph.D. Entrance test conducted by ITM University. However, the selection for the ITMU - JRF/ITMU - SRF/ ITMU - RA is made by the schools/ departments.

### **Nature of Assistance Available Under the Scheme**

The tenure of fellowship is initially for 1 year under the JRF scheme. Upon expiry of this period, the work of the Fellow will be evaluated by experts. If the research work is found satisfactory, his/her tenure will be extended further. The process will repeat for a period of maximum duration of the Program. In case the work for the first years is not found satisfactory, an additional year will be given to him/her for improvement. In such cases work will be evaluated again after 1 year, and if improvement is found, the Fellowship will continue else will be discontinued. The total period of fellowship is the maximum duration of the program.

### **Fellowship**

Minimum fellowship Rs. 31,000/- (Thirty one thousand only) according to ITM-Research Fellowship Scheme.

## Contingency

- Annual Contingency amount of 20,000/- (Rupees Twenty thousand only)

## Medical:

No separate/fixed medical assistance is provided. However, the Fellow may avail of the medical facilities available in the institution/university.

## Leave:

Research Fellow are entitled for a maximum period of 30 days of leave in a year in addition to public holidays. They are not entitled to any other vacations. Women candidates are eligible for maternity leave of 135 days at full rates of fellowship once during the tenure of their award.

## Procedure For Applying For The Scheme

Only NET/UGC-CSIR joint tests or ITM University Entrance test qualified candidates are eligible to apply (for fellowship) under the scheme. The qualified candidates have to apply against the advertisements given by the universities/institutions recognized under Sec. 2(f) and 12(B) of the UGC Act. The selection is made on the basis of Interview conducted by the University

## Procedure For Approval By The University

The award of Fellowship is made to candidates by the university on the basis of UGC-CSIR/NET/University Entrance examinations for admissions to Ph.D., including M.Phil.

The candidate must get himself/herself registered for M.Phil./Ph.D. within a period of one year from the declaration of NET/UGC-CSIR/University entrance examination results. This period is not extendable.

The fellowship is made available to the candidate from the date of issue of the Fellowship award letter from the University. On completion of the above formalities, the Joining Report of the candidate duly signed by the supervisor/head of department is to be sent to the Research cell.

## Procedure For Release Of Grants

On receipt of the Joining Report in the prescribed pro forma (Annexure II) and eligibility certificate from the school/Department, the Research cell will accept the candidature of the Fellow and will release initiate the release of first instalment of admissible grants to the Research fellow on a financial year basis, that is, April to March each calendar year, post review of the progress of the research work done by the fellow and found satisfactory.

## Procedure For Monitoring The Progress Of The Scheme

The performance of the ITMU - Junior or ITMU - Senior Research Fellow is monitored by their respective supervisor/guide and reflected in the yearly progress report submitted to the Research Cell. On completion of first two years of the award, the Fellow may apply to the department/university concerned for revision to ITMU - Senior Research Fellowship (ITMU - SRF). For this a three-member committee consisting of a supervisor, head of department

and one outside expert of the concerned subject will be constituted by the institution to evaluate the research work done by the Fellow. On recommendations/comments of the committee, the Fellow will be upgraded to the level of SRF and his fellowship amount accordingly enhanced. The concerned departments are expected to monitor the work of the Fellow continuously. He/she shall not accept or hold any position, paid or otherwise, or receive emoluments, salary, stipend, etc. from other sources during the tenure of the award. The fellowship may be terminated at any time during the tenure and the decision of the Commission will be final and binding. The tenure of the fellowship is for 6 years from the date of joining, subject to satisfactory progress report of the Fellow or submission of Ph.D. thesis, whichever is earlier. No extension is permissible beyond the total tenure of 6 years and the awardee ceases to be a ITMU - JRF/ITMU – SRF/ ITMU-RA immediately after expiry of the due date. Any claim/reference to this effect will be illegal and the individual may have to face disciplinary action for such an act.

### **Other Conditions**

The Fellow, with the consent of the guide/head of department, may assist the university/institution in its academic work, including tutorials, evaluation of the test papers, laboratory demonstration, supervision of fieldwork, library activities like group seminars and symposia, provided such work is not likely to hinder the research programmes on hand. The total amount of time to be spent on such activities should not exceed ten hours a week.

### **Cancellation of Award**

The fellowship is liable to cancellation in case of:

- misconduct;
- unsatisfactory progress of research work/failure in any examination related to M.Phil./Ph.D.; or he/she is found ineligible later

**GUIDELINES ON  
INTELLECTUAL PROPERTY  
RIGHTS**

### 3. GUIDELINE ON INTELLECTUAL PROPERTY RIGHTS

ITM University, Gwalior, over the past three decades, has consistently endeavored to train high-quality scientific and technical manpower and provide solutions to challenging technological problems through its well-qualified faculty and highly skilled supporting staff. The university aims to be a leading center of teaching, research, and extension in Engineering and Technology, committed to excellence in all its activities. ITM University fosters scholarship, research, academic excellence, and innovation.

Recognizing the value of intangible assets like inventions, copyrights, designs, and creative products generated during the scientific and intellectual pursuits of its faculty and students, ITM University has formulated its intellectual property policy. This policy provides guidance to faculty, staff, students, research scholars, and external agencies on the practices and rules regarding intellectual property rights (IPR), including ownership, commercial exploitation, technology transfer, and confidentiality. The policy promotes a conducive environment for curiosity-driven and market-driven research and development activities at the University.

This IPR policy serves as a guideline rather than a strict legal rule, considering the evolving nature of national IPR policies, and is subject to change as needed. This document, along with the addendum (Operating Guidelines) and services provided by the IPR Cell, offers a comprehensive overview of Intellectual Property (IP) management at ITM University, Gwalior.

#### **Purpose of the IPR Policy**

The purpose of the IPR policy of ITM University, Gwalior, is to:

- Facilitate, encourage, promote, and safeguard scientific inquiry, research pursuits, and the academic freedom of its faculty, researchers, and students.
- Create an innovative culture fostering the creation and development of IP at the University.
- Provide a clear understanding of the rights and responsibilities of faculty, staff, and students while protecting the interests of the University.
- Establish an IPR management policy and procedural guidelines for converting knowledge generated in the Institute into wealth.
- Enable the University to benefit from IP, maximizing advantages for inventors, the University, and society.
- Shape the University as a prime academic research institution practicing the highest ideals of scholarship and teaching, disseminating the benefits of IP generated at the Institute to the community and society.

#### **Objectives**

The IPR policy of ITM University aims to:

- Facilitate the protection and valorization of intellectual properties generated by its faculty, staff, and students as a result of their intellectual and scientific pursuits at the university during their employment or engagement, offering scope for wealth generation, alleviation of human suffering, and the betterment of human life.

- Promote prudent IP management practices within the University, fostering IPR awareness and culture among its faculty, staff, and students.
- Provide a comprehensive single-window reference system for all IPR-related issues.
- Create an environment for generating new knowledge through research and innovations compatible with the educational mission of the University.

## **Policy Statement**

The University is committed to promoting, protecting, managing, and commercializing Intellectual Property in line with its primary objectives of teaching, research, and addressing community and societal needs. It supports the commercialization and exploitation of IP, providing an additional revenue source to the University while benefiting staff and students. The University recognizes traditional academic values and expectations.

## **Ownership of Intellectual Property**

### **I. Patents**

The University will list individuals who have directly contributed intellectual inputs as inventors or creators in all applications for intellectual property rights.

### **II. Copyrights**

- a) The University owns the copyright on all teaching and instructional materials developed by employees as part of academic programs at the University. Authors retain the right to use the material in their professional work.
- b) Books, articles, monographs, speeches, and other communications produced by staff members during research and teaching using University resources are excluded from this clause. The University recognizes faculty ownership of copyright in such traditional works of authorship.
- c) For copyrightable works, including software, created with significant use of University resources, the University may demand assignment of the copyright, either in full or in part, depending on the extent of resource utilization.
- d) The University owns the copyright of works produced by non-institute personnel associated with or engaged in any University activity, with or without intellectual contribution from University personnel.

### **III. Institute-Supported Research**

All intellectual property rights generated from investigations using University resources belong to the University, except in cases of joint investigations with other institutions/agencies or under external sponsorship.

## **Technology Transfer**

- I. The University will take necessary steps for the commercial exploitation of IPR obtained in its name or jointly with other agencies, aiming for the fullest practical extent without undue delay. Marketing of IPR will involve agreements on technology transfer, licensing (exclusive or non-exclusive), and revenue-sharing models.

- II. The University will identify potential licensee(s) for commercial exploitation of IP with absolute ownership. In cases of joint ownership, the University offers the first right to commercially exploit the joint IP, whether or not it is formally protected by patents. Licensing involves a lump sum technology transfer fee and royalty payments from the first commercial exploitation date for a mutually agreed period. If the collaborator declines, the University will commercialize the IP as it sees fit.
- III. If the collaborating organization/industry does not commercialize the IP within two years from the first development date, the University reserves the right to license the IP to a third party.
- IV. To encourage entrepreneurial activities by staff, the University may reassign its IP ownership to inventors/creators under an agreement, allowing them to market, protect, and license it independently with minimal University involvement.
- V. The University charges assignees all patenting and licensing expenses and an appropriate share of royalties, equity, or other value received by inventors/creators.
- VI. The University may exploit IP independently or commission a Technology Management Agency to bring the IP to fruition. Inventors/creators may request the University to assign rights after a specific holding period.

### **Revenue Sharing**

Revenue from commercial exploitation of IP (technology transfer fees and royalties) is shared between inventors and the University, currently at a 60:40 ratio. If the University reassigns IP rights to inventors/creators, they must reimburse all University-incurred costs, including protection, maintenance, marketing, and associated expenses.

### **Application of Policy**

This policy is part of employment conditions for University employees and enrolment conditions for students. The University reserves the right to amend the IPR Policy as needed. All potential creators involved in sponsored research or using University resources must comply with this policy and accept the ownership principles stated, unless an exception is approved in writing.

### **Right to Regulate Policy**

The IPR Cell is responsible for interpreting the policy, resolving disputes, applying the policy, and recommending changes to the Chancellor through the Registrar and Vice-Chancellor. The Chancellor will consider recommendations and decide accordingly. The IPR policy may be reviewed after three years or sooner if significant national changes occur.

### **Legal Jurisdiction**

All agreements signed by the University and related disputes are subject to the legal jurisdiction of the Court of Adjudication at Gwalior and governed by appropriate Indian laws.

## Intellectual Property Rights Cell (IPR Cell)

The IPR Cell formulates guidelines and policies for adoption by ITM University, Gwalior, and executes actions for their implementation. The cell ensures the speedy processing and filing of patent applications and effectively implements the University's IPR policy and guidelines.

### Structure of the IPR Cell:

- I. Convener: Nominated by the Chancellor from senior professors.
- II. **Associate Professor:** Nominated by the Chancellor (02)
- III. **IPR Legal Advisor/Consultant:** Appointed by the University, a well-known practicing attorney providing necessary advice on patent rules, regulations, MOUs, and filing of patent/copyright applications.

### Responsibilities of the IPR Cell:

- **IP Counseling:** Interacting with inventors to identify IPR potentials.
- **IP Management:** Filing, maintaining, monitoring patents, and coordinating between attorneys, inventors, and University authorities.
- **IP Transactions:** Advising, drafting, and monitoring all IP-related MOUs.
- **IP Policy Formulation:** Framing and amending IP policy for University consideration.
- **Promoting IP Awareness:** Undertaking measures to develop an IP culture within the University.
- **Capitalization of IP Assets:** Recommending patentable technologies to licensing agencies, CII, and financial institutions, and marketing in-house technologies through various media.
- **Assistance in Technology Transfer:** Handling technology transfers developed at the University.
- **Reporting on IP Assets and IPR Management:** Periodically reporting to the Registrar, Vice-Chancellor, and Board of Management in the format appended towards last against its periodicity.

### The IPR Cell will also:

- Appoint a panel of attorneys for processing patent applications.
- Conduct periodic patent/intellectual audits through professional experts.
- Recommend terms of payment for annuity retention fees for professional services.
- Advise on measures promoting commercialization of patents, including exhibitions and industry meetings.
- Secure protection and management of IPs in the national interest, University, and inventors.
- Seek expert advice from financial/business institutions like FICCI, CII, and IDBI.

The IPR Cell reports to the Vice-Chancellor and seeks guidance from the Registrar and Vice-Chancellor in its responsibilities.



## Procedure for IP Protection

All patent and copyright applications must be forwarded to the Convener, IPR Cell, through the Dean of the School/Director of the Centre, regardless of whether the inventions result from in-house or sponsored projects.

## Evaluation of Patent/Copyright Applications

Disclosure Form or Copyright Disclosure Form along with an IPR facilitation request, will be received and scrutinized by the IPR Cell. The Cell may seek assistance from other professors as domain experts to preliminarily evaluate the proposals for their prima-facie patentability. These domain experts will enter into a Non-Disclosure Agreement and sign a No Conflict of Interest Form before accessing the proposal. Inventors may be requested to present their case before the IPR Cell. If the Cell recommends filing patents, the Convener, IPR Cell, will process the application through one of the approved attorneys from the panel maintained at the IPR Cell.

## Can a Published or Disclosed Invention Be Patented?

No. Publication or disclosure of the invention by the inventor before filing a patent application disqualifies the invention from being patentable. Inventors should not disclose their inventions before filing a patent application. If published after filing the patent application, the number and date of the patent application should be provided to inform the public.

## Exceptions for Patent

Inventions claiming substances intended for use as food or as medicine or drug or relating to substances prepared or produced by chemical processes (including alloys, optical glass, semiconductors, and inter-metallic compounds) are not patentable.

## IP Counseling

The IPR Cell will counsel and interact with inventors of potential intellectual products, assisting the Institute in identifying IPR potentials. If the Cell recommends filing patents, the Convener, IPR Cell, will process the application through an approved attorney from the panel maintained at the IPR Cell. If any copyrightable work is produced during a sponsored or collaborative activity, the ownership of the copyright will be determined according to the terms and conditions specified in the contract or through mutual consultations and agreement with the sponsoring/collaborating agency.

## Services from the Cell

Services can be availed by all faculty members, staff, students, research scholars (internal and external), visiting scientists, professors, and other professionals hired on a full-time or part-time basis. ITM University has established systems and mechanisms to structure the process of commercial exploitation of knowledge generated at the University under the provisions of the IPR regime in the country.

## Services Provided by the IPR Cell

The IPR Cell will:

- Respond quickly and accurately to queries during the patent application process to expedite and save money.
- Periodically recommend patentable technologies to potential licensing agencies, CII, and financial institutions for venture capital investment.
- Promote IP awareness and develop an IP culture within the University.
- Provide IP counseling and assist in technology transfer.
- Submit periodic reports on IP assets and IPR management to the Registrar, Vice-Chancellor, and Board of Management.
- Appoint a panel of attorneys for processing patent applications.
- Conduct periodic patent/intellectual audits through professional experts.
- Recommend terms of payment for annuity retention fees for professional services.
- Advise on proactive measures promoting patent commercialization, including exhibitions and industry meetings.
- Secure protection and management of IPs in the interest of the country, University, and inventors.
- Seek expert advice from financial consultants and institutions such as FICCI, CII, and IDBI.
- **Time-Bound Application Processing:** The IPR Cell will adhere to a strict timeline for processing patent and copyright applications. Initial evaluation of applications will be completed within 30 days of submission. Upon recommendation for filing, patent applications will be processed and filed within an additional 30 days. Copyright applications will follow a similar timeline.

The IPR Cell will interact with faculty members, patent attorneys, financial institutions, and industries and follow up on royalty payments from industries.

**Table: Reporting Progress of Intellectual Property Rights (IPR)**

Sl. No.	Report Section	Details	Frequency	Responsible Party
1	Overview of IP Portfolio	Summary of all IP assets including patents, copyrights, and trademarks.	Quarterly	IPR Cell Coordinator
2	New IP Applications	Number and status of new IP applications submitted.	Monthly	IPR Cell
3	IP Application Status	Detailed status of ongoing IP applications, including those under review, approved, or rejected.	Monthly	IPR Cell
4	4. IP Commercialization	Progress on commercialization efforts including licensing deals, partnerships, and technology transfers.	Quarterly	Technology Transfer Office
5	Revenue and Royalties	Summary of revenue generated from IP commercialization and royalty payments.	Quarterly	Finance Department
6	IP Management Activities	Activities related to IP management, including renewals, audits, and compliance checks.	Semi-Annually	IPR Cell Coordinator
7	IP Awareness and Training	Summary of workshops, training sessions, and awareness programs conducted.	Annually	IPR Cell Coordinator
8	Issues and Resolutions	Documentation of any issues encountered in IP management and their resolutions.	As Occurs	IPR Cell Coordinator
9	Strategic Recommendations	Recommendations for enhancing IP management and commercialization strategies.	Annually	IPR Cell and Advisory Board
10	Legal and Policy Updates	Information on any changes in IP laws and policies affecting the University.	Annually	IPR Legal Advisor

**Notes:**

- **Frequency:** Specifies how often the report should be generated.
- **Responsible Party:** Indicates who is responsible for compiling and reporting each section.

This table provides a comprehensive overview of IPR activities and progress, ensuring effective monitoring and management of intellectual property at the University.

This revised and refined document provides a comprehensive guide to ITM University's Intellectual Property Rights policy and procedures, ensuring clarity and support for faculty, staff, and students in their intellectual pursuits.

# **RESOURCE MOBILIZATION FOR RESEARCH**

## 4. INSTITUTIONAL VISION

To be a leading Global Multidisciplinary University that will have transformative impact on society through excellence in teaching, research, creativity, outreach and entrepreneurship and remain firm in pursuit of students' dreams aligned with the motto of ITM University Gwalior 'Celebrating Dreams. Excellence in Education and Healthcare to continuously upgrade exemplary standards in the quality education and teaching, training, research and extension.

## INSTITUTIONAL MISSION

- To develop a transformative learning experience for students focused on in-depth disciplinary learning; problem solving; leadership, communication, and interpersonal skills focussed on developing socially and ethically correct citizens.
- To develop conducive environment encouraging (a) free exchange of ideas, where research, creativity, innovation, and entrepreneurship can flourish (b) attracting and retaining best talent.
- To impact society through regional, national, and global collaborations by engaging with partners outside the university campus.
- To develop multidisciplinary culture through collaborative multidisciplinary projects.

## Preliminary Information

1. Short Title, Applicability and Commencement-
2. This Policy may be called, "ITM UNIVERSITY" RESOURCE MOBILIZATION POLICY"
3. The Policy shall apply to all across the schools of university and to every full-time faculty, research scholars, fellows, staff member and student of ITM University, Gwalior
4. The Policy shall come into force from the date of approval of the document by the Board of Management of ITM UNIVERSITY, GWALIOR.

## Preamble

ITM University, Gwalior started in 2011 by a noted philanthropist, Mr. Rama Shanker Singh has been the pillar of support for successfully managing ITM University under its ambit. Since its inception, the trust has grown to the current status of being recognized as one of the premier private university under Section 3 of the UGC Act of 1956. The trust along with the office bearers have been working tirelessly for the upliftment of the society by its three-pronged approach of imparting high-quality education, delivering affordable health services and supporting cutting-edge research. The task of managing 12 schools that accommodate over 500 teaching faculty and over 5,000 students is resource-demanding. Careful and responsible use of resources is essential for ITM University, Gwalior to consolidate the growth achieved in the field of education and service so far and also to sustain it for realizing its vision. This need calls for drafting a Resource Mobilization Policy by the Finance Committee approved by the Board of Management and shall serve as a guiding statement in matters pertaining to resource mobilization. Resource mobilization is the process by which the appropriate resource is made available to the concerned person/institute to achieve a pre-specified aim. Resources that need to be mobilized in a

timely and cost-effective manner include financial resources, materialistic resources, and human resources.

### **Purpose**

The purpose of this Resource Mobilization Policy is to provide guidance, overall framework, rules and regulations within which the activities pertaining to resource mobilization shall have to be performed by the management of this institution.

### **Scope**

This is ITM University resource mobilization policy and implementable across university.

### **Objectives**

- Diversification of the avenues of resource mobilisation in ITM UNIVERSITY, GWALIOR as an aid to be self-sustained in the field of health care, education, research and development, the welfare of teachers, students and administrative/support staff.
- Formation of a systematic and transparent algorithm for resource mobilisation by maximal utilization of the potential of the teachers, students, researchers, healthcare professionals and administrative staffs.
- Identification of all sources of funding from internal and external sources.
- Building industrial academia collaborations in academics, R&D and healthcare sectors for effective resource mobilisation via international business models.
- To formulate effective strategies for development and maximum utilisation of the infrastructure, laboratory resources and instructional facilities of ITM UNIVERSITY for brand building of ITM.
- Prevent unnecessary exploitation, wastage or corruption in the management of the institution

### **Sources of Funds**

While management of ITM University continues to remain as the lifeline of university, for providing the required funds, mechanisms should be identified to tap other sources of resources as well. For instance, all constituent schools are encouraged to apply for Government funds wherever applicable for research purposes, human development purposes as well as for advancing infrastructure in ITM UNIVERSITY. The funds received shall be religiously dedicated for the particular purpose for which it was obtained in the first place. Additionally, the members of the staff are encouraged to mobilize funds by providing consultancy services to genuine projects flagged by various entrepreneurs and enterprises. However, an invitation for such services should be brought to the notice of the head of the concerned school/faculty before initiating any relationship.

The financial aspects of such consultancy projects shall be in line with the ITM University policy on Consultancy. Resources can also be mobilized from noted philanthropists and alumni. Such resources shall be utilized for the specific purpose for which they have been sponsored. Human and material resources for a particular project shall be identified internally among the constituent schools of ITM UNIVERSITY, GWALIOR and preference will

be given for utilization of the same. This includes use of research labs, identifying resource persons for various scientific deliberations and so forth. In the event of non-availability, an appropriate resource will be identified and used with the due approval of the head of the concerned school. In such a case, preference will be given to those agencies with which ITM UNIVERSITY has signed a Memorandum of Understanding. The cost incurred for utilization of external resources will be settled on a case-to-case basis by the concerned department or individual.

### **a) Resource mobilization through Government Funding agencies**

Funding for university resource mobilization can come from various sources, including government agencies, private foundations, corporations, and international organizations. Teachers will be motivated and incentivized to write research proposals and projects to secure funding. The list of such organizations is given below:

1. National Science Foundation (NSF): Provides funding for research and education in science, engineering, and mathematics.
2. National Institutes of Health (NIH): Offers funding for biomedical and health-related research.
3. Department of Education (ED): Provides grants and funding for educational programs and research.
4. National Endowment for the Humanities (NEH): Offers funding for research and projects in the humanities.
5. National Endowment for the Arts (NEA): Provides funding for arts projects and programs.
6. Department of Defense (DoD): Offers various funding opportunities for research and development, particularly in areas relevant to defense.
7. Department of Energy (DOE): Provides funding for research in energy-related fields.
8. National Science Foundation (NSF): Provides funding for research and education in science, engineering, and mathematics.
9. National Institutes of Health (NIH): Offers funding for biomedical and health-related research.
10. Department of Education (ED): Provides grants and funding for educational programs and research.
11. National Endowment for the Humanities (NEH): Offers funding for research and projects in the humanities.
12. National Endowment for the Arts (NEA): Provides funding for arts projects and programs.
13. Department of Defense (DoD): Offers various funding opportunities for research and development, particularly in areas relevant to defense.
14. Department of Energy (DOE): Provides funding for research in energy-related fields.
15. Department of Science and Technology (DST): DST offers various funding schemes to support scientific research and innovation across different disciplines.
16. Department of Biotechnology (DBT): DBT provides funding for research in biotechnology and related fields, including healthcare, agriculture, and environmental sciences.

17. Indian Council of Medical Research (ICMR): ICMR supports medical and health research initiatives, including epidemiology, public health, and biomedical sciences.
18. University Grants Commission (UGC): UGC offers grants and funding schemes to universities and colleges for research and development activities in various disciplines.
19. Council of Scientific and Industrial Research (CSIR): CSIR supports scientific research and technological development in areas such as chemistry, biology, engineering, and materials science.
20. Indian Council of Social Science Research (ICSSR): ICSSR provides funding for social science research projects, including economics, sociology, political science, and anthropology.
21. Ministry of Electronics and Information Technology (MeitY): MeitY funds research and development initiatives in the field of information technology, electronics, and telecommunications.
22. Department of Atomic Energy (DAE): DAE supports research in nuclear science and technology, including nuclear physics, nuclear engineering, and radiation biology.
23. Department of Earth Sciences (DST-DESM): DST-DESM funds research in earth sciences, including geology, geophysics, and climate science.
24. Indian Space Research Organisation (ISRO): ISRO provides funding for research projects related to space science, satellite technology, and space exploration.
25. Indian Council of Agricultural Research (ICAR): ICAR supports agricultural research and education initiatives, including crop science, animal husbandry, and agricultural engineering.
26. Ministry of Environment, Forest and Climate Change (MoEFCC): MoEFCC funds research projects in environmental science, ecology, and conservation biology.
27. Science and Engineering Research Board (SERB): SERB offers funding opportunities for basic and applied research in science and engineering disciplines.
28. DST-Nanomission: DST-Nanomission supports research projects in the field of nanoscience and nanotechnology.
29. Biotechnology Industry Research Assistance Council (BIRAC): BIRAC provides funding and support to startups, entrepreneurs, and researchers in the biotechnology sector.
30. Indian National Science Academy (INSA): INSA offers research grants and fellowships to scientists and researchers in various scientific disciplines.

## **b) Resource mobilization through consultancy**

Resource mobilization as a consultancy service for companies typically involves helping businesses effectively allocate and utilize their resources to achieve their strategic objectives and improve their overall performance.

Resource mobilization consultancy services aim to empower companies to make informed decisions about how to best leverage their resources to achieve sustainable growth and competitive advantage. By offering expert guidance and support across various aspects of resource management, these consultancies help companies unlock their full potential and maximize value creation.



### **c) Resource mobilization through Corporate Social Responsibility (CSR)**

Resource mobilization through Corporate Social Responsibility (CSR) involves engaging companies to support social and community development initiatives undertaken by the universities.

By mobilizing resources from companies for CSR initiatives, ITM University ,Gwalior will leverage external support to address social challenges, enhance community welfare, and foster sustainable development in alignment with their institutional values and societal responsibilities

### **d) Resource mobilization through medals**

Utilizing medal holders, such as alumni or individuals with significant achievements, for resource mobilization in ITM University, Gwalior can be an effective strategy. By strategically engaging with medal holders, our university will tap into their networks, expertise, and resources to advance institutional goals, foster a culture of philanthropy, and strengthen alumni relations. Building and sustaining meaningful relationships with medal holders can yield long-term benefits for the university growth and development

### **e) Resource mobilization through sponsorships of chairs**

Securing sponsorships for endowed chairs is a valuable resource mobilization strategy for universities. Endowed chairs are prestigious academic positions funded by donors or sponsors, typically with the goal of advancing research, education, and innovation in a specific field. By effectively mobilizing resources through sponsorships of endowed chairs, universities will advance their academic mission, attract and retain top faculty talent, support innovative research initiatives, and enhance their reputation as centers of excellence in higher education.

### **f) Resource mobilization through philanthropist**

Mobilizing resources through philanthropists is a significant avenue for universities to secure funding and support for various initiatives. ITM University, Gwalior can engage philanthropists to mobilize resources effectively:

1. **Identify Potential Philanthropists:** University can identify potential philanthropists by researching individuals, families, foundations, and trusts known for their philanthropic activities and interests in supporting higher education. This may involve leveraging existing donor databases, conducting prospect research, and networking within philanthropic circles.
2. **Develop Meaningful Relationships:** Building meaningful relationships with potential philanthropists is essential for resource mobilization.
3. **Understand Donor Motivations:** University should strive to understand the motivations and priorities of potential philanthropists to tailor fundraising approaches effectively. This may involve conducting prospect interviews, surveys, or focus groups to gain insights into donor preferences, values, and desired outcomes.
4. **Articulate Impactful Opportunities:** University should articulate compelling opportunities for philanthropic investment that align with the donor's interests and philanthropic goals. This may include funding priorities such as scholarships, research grants, faculty positions, capital projects, programmatic initiatives, or student support services

5. **Stewardship and Recognition:** University should prioritize stewardship and recognition of philanthropic contributions to foster donor loyalty and engagement. This includes expressing gratitude, providing regular updates on the impact of donor support, and acknowledging donors publicly through naming opportunities, plaques, and donor recognition events.

By effectively engaging philanthropists, ITM University, Gwalior can mobilize resources to support their mission, enhance academic excellence, and create positive societal impact. Building strong relationships with philanthropic partners is essential for cultivating a culture of philanthropy and securing sustainable funding for institutional priorities.

### **g) Resource mobilization through Agricultural fields**

Resource mobilization for agricultural initiatives in ITM University, Gwalior involves securing funding, partnerships, and resources to support research, education, and outreach activities aimed at advancing agricultural development. Here's a framework for resource mobilization from agricultural field farms in ITM University, Gwalior:

1. **Government Funding:** ITM University, Gwalior can seek funding from various government agencies in India that support agricultural research and development. This includes organizations such as the Indian Council of Agricultural Research (ICAR), Department of Agriculture and Cooperation, and State Agricultural Departments. Universities can apply for grants, fellowships, and project funding to support research projects, capacity building programs, and infrastructure development.
2. **International Funding Agencies:** Many international organizations and development agencies provide funding for agricultural projects in India. University can explore partnerships with agencies such as the Food and Agriculture Organization (FAO), World Bank, United Nations Development Programme (UNDP), and bilateral aid organizations. These agencies often fund research, capacity building, and technology transfer initiatives aimed at improving agricultural productivity, sustainability, and resilience.
3. **Corporate Partnerships:** ITM University, Gwalior can collaborate with agricultural companies, agribusinesses, and corporate foundations to mobilize resources for research and development initiatives. These partnerships can involve funding for specific research projects, technology transfer agreements, joint ventures, and sponsorship of academic programs. Corporations may be interested in supporting research that addresses specific challenges in agriculture, such as crop improvement, pest management, soil health, and sustainable farming practices.
4. **Philanthropic Foundations:** ITM University, Gwalior can seek support from philanthropic foundations and trusts that focus on agricultural development and rural empowerment. Foundations such as the Tata Trusts, Bill & Melinda Gates Foundation, and Sir Dorabji Tata Trust have supported various agricultural initiatives in India, including research, education, and community development programs. Universities can approach these foundations for grants, endowments, and partnership opportunities to support their agricultural activities.
5. **Public-Private Partnerships (PPPs):** ITM University, Gwalior can establish public-private partnerships to leverage resources and expertise from both the public and private sectors. PPPs can involve joint research projects, technology commercialization initiatives, and collaborative extension programs aimed at transferring knowledge and innovation to farmers. By partnering with industry stakeholders, universities

can access funding, infrastructure, and market linkages to support agricultural development efforts.

6. **Technology Transfer and Commercialization:** ITM University, Gwalior can commercialize agricultural technologies and innovations developed through research activities to generate revenue and mobilize resources. This can involve licensing agreements, spin-off companies, and technology transfer partnerships with private sector firms. Universities can establish technology incubators, business development centers, and innovation hubs to support entrepreneurship and technology commercialization in the agriculture sector.
7. **Grants and Awards:** ITM University, Gwalior can encourage faculty members, researchers, and students to apply for competitive grants, fellowships, and awards offered by government agencies, industry associations, and academic institutions. These grants can support research projects, capacity building programs, conference participation, and publication activities related to agriculture. University can provide support for grant writing, proposal development, and project management to increase the success rate of grant applications.

By adopting a multi-dimensional approach to resource mobilization, ITM University, Gwalior can effectively support agricultural research, education, and extension activities to address key challenges facing the agriculture sector and contribute to sustainable rural development and food security initiatives.

### **Transparency In Resource Utilization**

- All government funds will be used for the specified purpose only and the report compiled along with the Certificate/Statement of Utilization should be submitted for scrutiny in the appropriate office.
- As far as internal funds are concerned, internal audit will be conducted by the Finance Officer of the ITM UNIVERSITY, GWALIOR which shall be verified and approved by the Finance committee of ITM UNIVERSITY, GWALIOR. The report of the internal audit will be produced before the Finance Committee.
- Effective utilization of the human resources should be ensured by the heads of the concerned school. Similarly, the proper use of research infrastructure shall be monitored by the Dean Research ITM UNIVERSITY, GWALIOR

### **Acknowledgement For Resource Generation**

Any member of staffs of ITM UNIVERSITY, GWALIOR, be it teaching or non-teaching, or any Department which attracts a resource funding whose monetary value is at least Rs 1,00,000/- from any source other than SAMTA LOK SANSTHAN, trust such as Government projects, philanthropists donations, endowment chairs shall be acknowledged and shall be honoured with a certificate Plaque along with a Letter of Appreciation.

## **Policy Governance**

The policy is updated and revised as and when required after discussion with the Board of Management of ITM UNIVERSITY, GWALIOR.

The Policy shall apply to all across the Institution and its constituent colleges and to every full-time faculty, research scholars, fellows, staff member and student of the ITM UNIVERSITY, GWALIOR.

The Policy shall come into force from the date of approval of the document by the Board of Management of ITM UNIVERSITY, GWALIOR on 18.09.2018

# **CODE OF RESEARCH ETHICS**

## 5. CODE OF RESEARCH ETHICS

The goal of this set of guidelines is to provide a positive, doable list of suggestions for maintaining research integrity. By adhering to these guidelines, an investigator can help them stay within the parameters of recognized ethical research practice and avoid the most egregious mistakes that constitute research misconduct. "Research misconduct" includes the creation, falsification, or plagiarism of research projects, evaluations, reports, or proposals, in addition to the falsification of credentials.

### Plagiarism

#### No Plagiarism Policy

Authors who publish other people's words, facts, or ideas with the suggestion that they are their own without properly attributing them in a way that fits the medium of presentation run the risk of being found guilty of plagiarism and research misconduct in addition to stealing intellectual property. This claim holds true for reviews, methodological, background, and historical aspects of research papers as well as unique study findings or interpretations. When someone copies a passage of another person's writing that is exactly longer than a sentence or six or seven words, it should be indented or enclosed in quote marks, and the original source should be cited at the location in the text where the copied material is located. The same rules apply to grant applications and proposals, clinical

Others' work should be cited or credited, whether published or unpublished, whether written, oral, or on a website. Each journal or publisher may establish the suitable citation format. Citations are not required for well-established notions contained in mainstream textbooks or statements describing a widely utilized methodology. Special regulations were devised for citing electronic information.

#### Use and Misuse of Data

Accurate documentation of all pertinent observations is necessary for research integrity, as is the foundation of all findings. Research integrity is violated when data are purposefully withheld, especially those that show confounding factors, or when data simply do not support the results that have been stated. If there is a reason why certain data should be ignored—a rationale supported by an authorized statistical test for ignoring outliers—that explanation should be included in the published reports. A significant history of unfavorable outcomes needs to be disclosed. A deliberate or careless misregard for accuracy when reporting observations could be regarded as research misconduct.

#### Ownership of and Access to Data

The lead investigator of the research group, nor the researcher who created or saw the research data, are not the owners of the data collected from studies carried out at the institution by University personnel. Even if the researchers depart the University, they remain property of the University, which is still liable for the accuracy of the data. The institution, and not the individual researcher, is the recipient of funded research awards, which is another justification for the organization's ownership claim over research data. However, no member of the research team that collected the data should typically be denied reasonable access to the data. In the unlikely event that the group produces a copyright or patent application

A principal investigator who leaves the University is entitled to make a copy of data to take to another institution so as to be able to continue the research or, in some cases, to take the original data, with a written agreement to make them available to the University on request within a stated time period. A formal Agreement on Disposition of Research Data should be negotiated in such cases through the Office of Research. Each student, postdoctoral fellow, or other investigators in a group project should come to an understanding with the research director or principal investigator, preferably in writing, about which parts of the project he or she might continue to explore after leaving the research group. Such an understanding should specify the extent to which a copy of research data may be taken. Co-investigators at another institution are entitled to access the data which they helped to obtain.

### **Authorship and Other Publication Issues**

Publishing research findings is crucial as a way to inform the academic community so that readers can learn about the findings and further investigate the topics covered. In actuality, an investigator at the University has an ethical duty to disseminate research findings in a way that complies with applicable publication criteria. It should be possible for other researchers to try to duplicate the results if the supplied data and procedures are sufficiently thorough. Publication should occur on schedule, but it shouldn't be rushed if doing so runs the danger of not giving the results enough internal validation or of failing to sufficiently take into account all potential interpretations. A research project's business sponsor might not have the power to reject

### **Criteria for Authorship**

Academic work is influenced by a wide range of sources that provide concepts and information, so proper acknowledgment must be stressed when presenting ideas and publishing manuscripts. Only those who have made an original and noteworthy contribution to the conception, design, execution, and interpretation of the published work should be granted authorship.

Others who have supported the research in various ways or who have made modest contributions—such as offering counsel, doing analyses, or supplying subject matter—should also be recognized. Whether or not these people should be listed as writers should be decided by the main author. There are instances when acknowledgment in a published work requires formal consent, and the entity requesting it may even specify the format.

Concerns of co-authorship include the order of the list of authors, the criteria for inclusion as an author, and each author's capacity to assess every facet of the research. Before starting a co-author project, authors should schedule an appointment and have an honest conversation about these issues. The primary author, or the one submitting the work, is in charge of organizing its completion and submission as well as making sure that each and every collaborator and contribution is properly acknowledged. The final draft of the text should be approved by each contributor, and they should all be willing to take accountability for their contributions in public.

It is the responsibility of each author or co-author to compile, edit, and double-check those sections of the text.

## Order of Authors

Different disciplines have different conventions on the order in which co-authors' names should appear. Regardless of the field, it is crucial that all collaborators comprehend the rationale behind determining a naming sequence and provide their prior consent before beginning work.

Every paper should designate a corresponding, or senior, author (usually the first or last listed name in a multi-authored manuscript). This person will be in charge of corresponding with the publisher or editor, keeping all co-authors informed about the manuscript's status during review and publication, and making sure that all listed authors have approved the submitted version of the work.

## Self-citations

It is important for authors to avoid implying that a paper is unpublished when they cite their own unpublished work. A paper should not be marked as submitted before it is expected to be submitted. Unless the author receives a galley or page proof, or a letter from an editor or publisher confirming approval for publishing, maybe with copy-editing still pending, the paper shouldn't be listed as accepted for publication or in the press.

## Duplicate Publication

Unless there is a compelling need to do so, researchers shouldn't publish the same work twice unless they have given the editor express notice and included the proper citation in the latter publication. This also holds true for abstracts. An inexplicable repetition of publishing without citation—also known as self-plagiarism—may lead a reader to believe that there is more original research material than there actually is.

In most fields, having the same manuscript pending review by multiple journals at the same time is incorrect. Journals sometimes stipulate that a work submitted should not have been published or submitted for publication elsewhere, and some even demand that a statement to that effect be included with a submitted paper.

## Conflict of Interest

Academic staff members are not permitted to let their focus be diverted from their primary duties to the University by other professional or extracurricular activities. Every semester they are on active duty, they should continue to have a noticeable and respectable presence on campus. Vacation time and leave policies should follow the University's guidelines.

In order to foster an environment of academic freedom, they should encourage the timely and open disclosure of the findings of their research, make sure that their recommendations to students and postdoctoral fellows are free from bias, and reveal any outside endeavors that might impede the free exchange of knowledge between themselves, their students, and their peers.

As long as the University receives payment in accordance with the guidelines in the Rules for Contract Work of the University, researchers are permitted to use University resources, such as buildings, personnel, equipment, data, and sensitive information, as part of contract work. According to University regulations, researchers are not allowed to utilize University resources for any purpose other than those associated with tuition, research, or



services supplied by the University without first obtaining authorization from the dean or head of the department.

## **Obligation to Report**

### **Reporting Suspected Misconduct**

All members of the academic community have a significant and shared responsibility to report any suspicions of research misconduct. Anybody who has reason to believe that there has been research misconduct has a duty to notify the Dean of Academic Research or the Head of the department where the alleged misconduct took place. The University's policy outlines the procedures that are followed when handling allegations. To the greatest extent feasible, all reports are handled in confidence, and anyone who makes an honest accusation of this kind won't face any negative consequences for it.

## **Correction of Errors**

In the event that an intentional or inadvertent error or instance of plagiarism is discovered after the work has been published, the investigator is required to submit a retraction or correction in the format that the editor or publisher specifies.

## **Responsibilities of a Research Investigator**

When it comes to the research that group members conduct, an investigator in charge of the group has both leadership and supervisory duties. In addition to organizing the research team, a principle investigator is responsible for setting up a sufficient administrative and financial framework to support the study. A supervisor is ultimately in charge of ensuring the scientific integrity of the entire research endeavour in addition to offering direction and counsel to individual group members on how to perform the study responsibly.

## **Responsibilities to Funding Agencies**

An investigator should be aware that publications submitted for publication must meet the same accuracy and integrity criteria as applications and funding proposals. Even if the proposal is eventually rejected or withdrawn before the entire funding process is completed, reporting the results of unfinished experiments as evidence to support the proposed research funding, for example, is considered a fabrication and may result in a finding of research misconduct. The same principles of plagiarism apply to applications and proposals as they do to publications, including background information and methodological components.

## **Resources in support of Research**

### **(a) University Research and Development Fund**

The principle of administering the allocation of all Research funding in the university is that it is an investment to create intellectual resources.

It will help economic upliftment and intended to maximise the scientific outcomes that the University expects to result from staff and student Research.

### **(b) Seed money**

However, the University is willing to grant seed cash or partial financing based on the quality of proposals submitted by academics or students. Faculty and students are encouraged to pitch their ideas / project proposals to the research committee for the sanction of seed financing in accordance with University norms.

The University allocates research funds for all departments to spend on consumables, non-consumables, and research and development.

Provisions and obligations related to external contracts/external research

In order to promote advanced technology in different frontier areas, the University has signed MOUs with national and international organizations

### **Research Planning**

Faculty members are expected to create and implement their own research plans in accordance with the University's Research Strategy and Strategic Plan.

### **Performance Evaluation and Monitoring**

Employees must give their managers complete, accurate reports on the results of their research. The list of staff and student publications will be published by the Research Office in the categories specified by the publication standards.

### **Centralized Common Research Facility**

- Excellent, competitive research that, in the case of interdisciplinary studies, may involve scholars who are recognized both internationally and in India
- Consistent with the objectives of the University. Anticipated to provide results that are original, unknown and patented.
- Aligned to the priorities given by Research funders and organizations.
- For major research outcomes, substantial financing must be raised, and resources must be used sparingly.

# **CODE OF RESEARCH ETHICS**

## 6. REGULATION ON PROMOTION OF ACADEMIC INTEGRITY AND PREVENTION OF PLAGIARISM AT AT ITM UNIVERSITY, GWALIOR

- a. These regulations shall be known as the ITMU (Promotion of Academic Integrity and Prevention of Plagiarism in ITMU) Regulations.
- b. They shall be applicable to all students, faculty, researchers, and staff members of ITMU.
- c. These regulations shall become effective from the date of their notification.

### Definitions

In these regulations, unless the context otherwise requires—

- a. “Academic Integrity” denotes the intellectual honesty involved in proposing, executing, and reporting any activity that contributes to the creation of intellectual property;
- b. “Author” encompasses a student, faculty member, researcher, or staff of ITMU who asserts to be the creator of the work under consideration;
- c. “Commission” denotes the University Grants Commission as defined in the University Grants Commission Act, 1956;
- d. “Common Knowledge” signifies a well-known fact, quote, figure, or information widely recognized by the majority;
- e. “Degree” encompasses any degree specified by ITMU;
- f. “Departmental Academic Integrity Panel” refers to the body established at the departmental level to investigate allegations of plagiarism;
- g. “Faculty” pertains to an individual engaged in teaching and/or guiding students enrolled in ITMU in any capacity, including regular, ad-hoc, guest, temporary, or visiting roles;
- h. “Information” includes data, messages, text, images, sound, voice, codes, computer programs, software, databases, microfilm, or computer-generated microfiche;
- i. “Institutional Academic Integrity Panel” denotes the body constituted at the institutional level to deliberate on recommendations of the departmental academic integrity panel and make appropriate decisions regarding allegations of plagiarism, along with determining penalties to be imposed. In exceptional cases, it is authorized to investigate allegations of plagiarism at the institutional level;
- j. “Notification” refers to a notification along with its associated meanings and grammatical variations, to be interpreted accordingly;
- k. “Plagiarism” denotes the act of appropriating someone else’s work or idea and presenting it as one’s own;
- l. “Programme” signifies a program of study leading to the award of a master’s and research-level degree;
- m. “Researcher” refers to an individual conducting academic or scientific research in ITMU;
- n. “Script” encompasses a research paper, thesis, dissertation, chapters in books, full-fledged books, or any similar work submitted for assessment or opinion leading to the award of master’s and research-level degrees, or for publication in print or electronic media by students, faculty, researchers, or staff of ITMU. However, this

excludes assignments, term papers, project reports, coursework, essays, and answer scripts;

- o. "Source" denotes the published primary and secondary material from any source, encompassing written information and opinions obtained directly from other individuals, including eminent scholars, public figures, and practitioners, in any form, including audio, video, image, or text. The term "Information" carries the same meaning as defined under Section 2(1)(v) of the Information Technology Act, 2000, as reproduced in Regulation 2(I);
- p. "Staff" refers to all non-teaching staff working in ITMU in any capacity, whether regular, temporary, contractual, or outsourced;
- q. "Student" signifies an individual duly admitted and pursuing a program of study, including a research program, in any mode of study, whether full-time, part-time, or distance mode;
- r. "Year" denotes the academic session in which a proven offense has been committed.

### **Objectives**

- 8.1 To foster awareness regarding the ethical conduct of research, thesis, dissertation, and the promotion of academic integrity, including the prevention of misconduct such as plagiarism, among students, faculty, researchers, and staff.
- 8.2 To institute an institutional mechanism through education and training aimed at facilitating the responsible conduct of research, thesis, dissertation, and the promotion of academic integrity, while deterring plagiarism.
- 8.3 To devise systems for detecting plagiarism and establishing mechanisms to prevent it, along with implementing measures to penalize any student, faculty member, researcher, or staff of ITMU found guilty of committing plagiarism.

### **Duties of ITMU**

ITMU has implemented the mechanisms outlined in these regulations to bolster awareness regarding the responsible conduct of research and academic activities, to advocate for academic integrity, and to mitigate instances of plagiarism.

### **Awareness Programs and Trainings:**

- (a) ITMU will provide guidance to students, faculty, researchers, and staff on proper attribution, including seeking permission from authors when necessary, and acknowledging sources in a manner that aligns with the requirements and specificities of their disciplines, as well as with rules, international conventions, and regulations governing sources.
- (b) ITMU will organize sensitization seminars and awareness programs each semester, focusing on the responsible conduct of research, thesis, dissertation, promotion of academic integrity, and ethics in education. These programs will target students, faculty, researchers, and staff.
- (c) ITMU will:
  - i. Incorporate fundamental principles of academic integrity into the curricula of undergraduate, postgraduate, and master's degree programs as mandatory coursework.

- ii. Integrate elements of responsible research conduct and publication ethics into mandatory coursework for master's and research scholars.
- iii. Include aspects of responsible research conduct and publication ethics in orientation and refresher courses for faculty and staff.
- iv. Provide training to students, faculty, researchers, and staff on the use of plagiarism detection tools and reference management tools.
- v. Establish facilities equipped with modern technologies for the detection of plagiarism.
- vi. Encourage students, faculty, researchers, and staff to register on international researcher registries.

### Curbing Plagiarism

- a) ITMU will implement a technology-based mechanism using suitable software to ensure that documents such as thesis, dissertations, publications, or any similar works are free from plagiarism at the time of submission.
- b) This mechanism, as described in (a) above, will be accessible to all individuals engaged in research work, including students, faculty, researchers, and staff.
- c) Each student submitting a thesis, dissertation, or similar document to ITMU must provide a declaration stating that the document is their original work and is free from plagiarism.
- d) This declaration must also confirm that the document has been checked using a plagiarism detection tool approved by ITMU.
- e) ITMU will develop a plagiarism policy and obtain approval from relevant statutory bodies or authorities. The approved policy will be published on the homepage of the ITMU website.
- f) Supervisors will be required to submit a certificate confirming that the work conducted by their respective researchers is free from plagiarism.
- g) Within one month after the award of degrees, ITMU will submit soft copies of all master's and research program dissertations and thesis to INFLIBNET for hosting in the digital repository known as "Shodh Ganga e-repository."
- h) ITMU will establish an Institutional Repository on its website, which will include dissertations, thesis, papers, publications, and other in-house publications.

### Similarity checks for exclusion from Plagiarism

The plagiarism similarity checks shall not include the following:

- i. All quoted work that is reproduced with appropriate permission and attribution.
- ii. All references, bibliography entries, table of contents, prefaces, and acknowledgements.
- iii. All generic terms, laws, standard symbols, and standard equations.

#### Note:

Research conducted by students, faculty, researchers, and staff must be based on original ideas, including abstracts, summaries, hypothesis, observations, results, conclusions, and recommendations. It should not contain any similarities, except for common knowledge or coincidental terms, of up to fourteen (14) consecutive words.

## Levels of Plagiarism

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

- i. Level 0: Similarities upto 10% - Minor similarities, no penalty
- ii. Level 1: Similarities above 10% to 40%
- iii. Level 2: Similarities above 40% to 60%
- iv. Level 3: Similarities above 60%

## Detection/Reporting/Handling of Plagiarism

If any member of the academic community has credible evidence indicating plagiarism in any document, they are required to report it to the Departmental Academic Integrity Panel (DAIP). Upon receiving such a complaint or allegation, the DAIP will conduct an investigation and present its recommendations to the Institutional Academic Integrity Panel (IAIP) of ITMU.

Authorities at ITMU are also empowered to initiate action on their own accord upon discovering an act of plagiarism, in accordance with these regulations. Likewise, proceedings may be initiated by ITMU based on the findings of an examiner. All such cases will be thoroughly investigated by the IAIP.

## Departmental Academic Integrity Panel (DAIP)

- i. All Departments in ITMU shall notify a DAIP whose composition shall be as given below:
  - a. **Chairman** - Head of the Department
  - b. **Member** - Senior academician from outside the department, to be nominated by the head of ITMU.
  - c. **Member** - A person well versed with anti plagiarism tools, to be nominated by the Head of the Department.

The tenure of the members in respect of points 'b' and 'c' shall be two years. The quorum for the meetings shall be 2 out of 3 members (including Chairman).

- ii. The DAIP will adhere to the principles of natural justice when adjudicating allegations of plagiarism against students, faculty, researchers, and staff.
- iii. The DAIP is authorized to evaluate the extent of plagiarism and propose appropriate penalties.
- iv. Following its investigation, the DAIP will present its findings and recommended penalties to the IAIP within 45 days from the date of receiving the complaint or initiating the proceedings.

## Institutional Academic Integrity Panel (IAIP)

- i. ITMU shall notify a IAIP whose composition shall be as given below:
  - a. **Chairman** - Pro-VC/Dean/Senior Academician of the ITMU.
  - b. **Member** - Senior Academician other than Chairman, to be nominated by the Head of ITMU.

- c. **Member** – One member nominated by the Head of ITMU from outside the ITMU
- d. **Member** – A person well versed with anti-plagiarism tools, to be nominated by the Head of the ITMU.

The Chairman of DAIP and IAIP must not hold the same position concurrently. Committee members, including the Chairman, will serve a three-year term. A quorum for meetings shall consist of three out of four members, including the Chairman.

- ii. The IAIP will review the recommendations put forth by the DAIP.
- iii. The IAIP is also responsible for investigating cases of plagiarism in accordance with the regulations outlined herein.
- iv. The IAIP will adhere to the principles of natural justice when adjudicating allegations of plagiarism involving students, faculty, researchers, and staff of ITMU.
- v. The IAIP is empowered to review the recommendations made by the DAIP, including any proposed penalties, providing justifications as needed.
- vi. Within 45 days of receiving the recommendations from the DAIP, a complaint, or the initiation of proceedings, the IAIP will submit a report on its investigation and recommended penalties to the Head of ITMU.
- vii. The IAIP will furnish a copy of the investigation report to the individual(s) named in the inquiry report.

## Penalties

Sanctions for plagiarism will only be imposed on students enrolled in Masters and Research programs, as well as on researchers, faculty, and staff of ITMU, after conclusive evidence of academic misconduct has been established, all avenues of appeal have been pursued, and the accused individual has been afforded ample opportunity to present a defense in a fair and transparent manner

### 17.1 Penalties in case of plagiarism in submission of thesis and dissertations

Institutional Academic Integrity Panel (IAIP) shall impose penalty considering the severity of the Plagiarism.

- i. Level 0: Similarities up to 10% – Minor Similarities, no penalty.
- ii. Level 1: Similarities above 10% to 40% – Such student shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.
- iii. Level 2: Similarities above 40% to 60% – Such student shall be debarred from submitting a revised script for a period of one year.
- iv. Level 3: Similarities above 60% – Such student registration for that programme shall be cancelled.

**Note 1:** Regarding repeated instances of plagiarism, the penalty will escalate to the next level compared to the previous offense committed by the student. If the highest level of plagiarism is reached, the corresponding punishment will be applied.

**Note 2:** In cases where plagiarism is proven after the degree or credit has been conferred, the degree or credit will be suspended for a duration determined by the IAIP and ratified by the Head of the Institution. Penalties in case of plagiarism in academic and research publications

- I. Level 0: Similarities up to 10% – Minor similarities, no penalty.



II. Level 1: Similarities above 10% to 40%

- i) Shall be asked to withdraw manuscript.

III. Level 2: Similarities above 40% to 60%

- i) Shall be asked to withdraw manuscript.
- ii) Shall be denied a right to one annual increment.
- iii) Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a period of two years.

IV. Level 3: Similarities above 60%

- i) Shall be asked to withdraw manuscript.
- ii) Shall be denied a right to two successive annual increments.
- iii) Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. Student/scholar for a period of three years.

**Note 1:** Regarding repeated instances of plagiarism, the individual shall be required to withdraw the manuscript and face a penalty one level higher than the previous offense. If the highest level of plagiarism is reached, the corresponding punishment will be applied. In the event of a repeat offense at level 3, disciplinary action including suspension or termination as per service rules will be taken by the ITMU.

**Note 2:** In cases where the benefit or credit has already been obtained, if plagiarism is proven after the date of benefit or credit has been received, it will be suspended for a period recommended by the IAIP and approved by the Head of the Institution.

**Note 3:** ITMU shall establish a mechanism to ensure that every paper publication, thesis, or dissertation by students, faculty, researchers, or staff of the ITMU is checked for plagiarism at the time of submission.

**Note 4:** If there is a complaint of plagiarism against the Head of an ITMU, appropriate action in accordance with these regulations shall be taken by the Controlling Authority of the ITMU.

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

**Note 6:** In case of a complaint of plagiarism against any member of DAIP or IAIP, the concerned member shall excuse himself or herself from the meetings where their case is being discussed or investigated.

**ANNEXURE-1**

**GUIDELINES FOR  
SUBMISSION OF RESEARCH  
PROJECT PROPOSAL**

## **GUIDELINES FOR SUBMISSION OF RESEARCH PROJECT PROPOSAL**

Under the research promotion scheme, ITM University Gwalior provides financial assistance to all faculty members of various schools of University.

The faculty members from ITM University are encouraged to submit proposals relating to following disciplines: -

1. Physical Sciences: (Mathematics, Physics, Chemistry, Nano-Technology).
2. Biosciences: (Zoology, Botany, Environment Science, Microbiology, Bio-Informatics, Food Sciences).
3. Medical Science: (Medical Sciences, Pharmacology, Pharmacy & Veterinary Sciences)
4. Engineering: (Computer Science & Applications, Mechanical Engineering, Electrical Engineering, Electronics and Communication Engineering, Civil Engineering)
5. Agriculture: (Soil Science, Agronomy & Horticulture)
6. Nursing
7. Physical Education
8. Law
9. Architecture

### **Thrust Areas**

- a. Data Computing & Security
- b. Health Care and Nutrition Science
- c. Sustainable Energy and Environmental Conservation Technologies
- d. Agriculture under climate change scenario and smart agriculture for livelihood
- e. Rural Transformation around Gwalior area with focus on leveraging Artificial Intelligence and Data Analysis

### **Objective of the Scheme**

- To encourage faculty members to get actively involved in research activities.
- To motivate the faculty members to apply for research activities.
- To support research scholars and under graduate/post graduate (UG/PG) final year students to complete their project work successfully with publication.
- To enhance the number of research publications in the Scopus/Web of Science indexed.

### **Grant Amount**

- Professor – Maximum up to 15 Lakhs
- Associate Professor- Maximum up to 12 Lakhs
- Assistant Professor- Maximum up to 10 Lakhs

## Eligibility

- Faculty members of ITM University Gwalior with Ph.D. Degree
- Full time research scholars and final year UG/PG students are eligible to apply through their supervisors.
- The applicant should not possess any other research grant funded by government/non-government agencies.
- Applicant should submit only one proposal against each call.

The proposals will be evaluated by in-house along with National level Domain Experts. The candidates are encouraged to publish the outcome of their research in SCI and Scopus listed Journals. The ITM University encourages inter as well as multi disciplinary research.

## (B) Investigators

### (i) The Principal Investigator:-

- Must have Doctorate Degree and experience in the field of the proposed research. The PI is required to have minimum 3 research publications in SCI/Scopus listed Journals in last 5 years.
- The PI with less than 3 research publications are also encouraged to apply and may be considered depending upon the quality of the publications.
- The Co-Investigator may be considered with PG degree and at least 2 research publications in SCI/Scopus listed Journals and patents
- Importance will be given to the projects where preliminary work has been done on the topic substantiated by the publications and in the interest of ITM University.
- Faculty members with external funded Research projects are requested not to apply.

## (C). Modus Operandi

1. The applicant will submit the project proposal on prescribed format prepared as per the guidelines of ITM University. The project will have a Principal Investigator who would be responsible for its formulation and implementation.
2. The objectives of the project must be well defined and indicating the likely deliverables.
3. The technical program of the proposal has to be as comprehensive as possible, outlining allocation of works scheduling, quarterly action plan etc.
4. All projects proposals have to route through the Dean/HOD and must be supported with all relevant documents.
5. The proposals received will be screened and evaluated by the committee constituted for the purpose.
6. Duration of project is one year with an extension of 6 months.
7. The review of project will be done every three months.

### **(D). Release of Funds**

The total sanctioned amount and will be released as per the requirement of the Project. Quarterly review and the satisfactory progress to be submitted in the prescribed format as mentioned below.

1. Quarterly progress report.
2. Audited Statement of Expenditures and Utilization Certificate.
3. Quarterly appraisal by Review Committee or Experts after presentation by the Principal Investigator.

### **(F) Monitoring**

1. The Principal Investigator shall submit quarterly reports in prescribed format timely to the Research Cell of ITM University. The report must contain details about the work done achievements, results and duly audited accounts.
2. The University may inspect the proposed research at any point of time and the Dean/HOD and Principal Investigator must ensure the progress during inspection, failing to provide the same, strict action will be taken against the PI.
3. Release of funds will be withheld in the event of non-receipt of Utilization Certificate and Progress Reports in time or unsatisfactory progress of research work.
4. The Principal Investigator cannot leave the project in the middle of the research.
5. The description of complete problem and subdivision of problem as mentioned in section 1.1 and 1.1.1 of research proposal format and any future submission of research proposal related to part 1-4 to other funding agencies including that particular idea/problem, its related publications, communications, products, technology and all type of intellectual property will be the property of ITM University.
6. On completion of the project, the Project Investigator shall submit it to the Dean (R&D) ITM University a final report in the prescribed format, which shall be examined by the experts committee, for identifying project results, their significance, and follow up required therein.