

INVERTIS UNIVERSITY, BAREILLY

Research Promotion Policy

The University has a University Research Degree Committee (URDC) that facilitates and monitors research activities.

R&D activities are divided into five categories:

- I. Academic Research
- II. Sponsored Research
- III. Extension and Extramural
- IV. Excellence Centre
- V. Doctoral Research Policy

Each research area is monitored by Research Monitoring Committee (RMC) headed by a Dean who reports the progress and prospects to Chairman, URDC (Vice Chancellor). The URDC takes all strategic decisions, corrective actions, preparing, updating policies as per the UGC norms.

I. ACADEMIC RESEARCH POLICY:

- a. Faculty of each department shall conduct research in focused areas of research identified by central government in addition to research areas preferred by the faculty.
- b. Faculty publication in either WEB of science or SCOPUS indexed journals are appreciated with appropriate incentives.

PUBLICATIONS INCENTIVE:

To encourage and appreciate the contribution of teachers in spread of research work through recognized journals, the University may grant financial aid as follows:

- a) An incentive of Rs. 10,000/- be given on publication of research article in Indexed Foreign Journal, for a single author paper.
- b) An incentive of Rs. 8,000/- be given on publication of research article in Indexed Foreign Journal, if the teacher of the University is the first author.
- c) An incentive of Rs. 6,000/- be given on publication of research article in Indexed Foreign Journal, if the teacher of the University is the second author.
- d) An incentive of Rs. 5,000/- be given on publication of research article in Indexed Foreign Journal, for a multiple author paper.
- e) An incentive of Rs. 8,000/- be given on publication of research article in Indexed Indian Journal, for a single author paper.
- f) An incentive of Rs. 6,000/- be given on publication of research article in Indexed Indian Journal, if the teacher of the University is the first author.
- g) An incentive of Rs. 4,000/- be given on publication of research article in Indexed Indian Journal, if the teacher of the University is the second author.
- h) An incentive of Rs. 5,000/- be given on publication of research article in Indexed Indian Journal, for a multiple author paper.
- i) An incentive of Rs. 2,000/- will be given to review/ general/ case reports/

articles published in Indexed Foreign/ Indian Journals.

- j) Teachers shall apply for the above incentive to the Head of the Institution(s) with five hard copies and one soft copy of publication.
- k) Incentives will be granted on approval of Screening Committee.

- c. All publications and research papers of faculty have to go through plagi-check.
- d. As per the UGC approved API norms the university fixed the number of articles to be published by faculty of different cadres.
- e. Term papers of UG and PG projects shall be research focussed. Every project shall lead to at least one research publication in a journal indexed in SCOPUS or WEB of SCIENCE.
- f. Faculty are given the option to pursue research work leading to a PhD degree in reputed institutions.

II. SPONSORED AND INTERNAL RESEARCH RELATED POLICIES:

- a. Every doctorate shall apply for a minimum of one government funded project.
- b. Every faculty shall apply for internal project with an aim to apply for external funding. The required seed money for internal projects is provided by the University after approval of RMC.
- c. IU shall provide the basic infrastructure required to conduct either internal funded or external funded research.
- d. All departments shall strive for recognition by National / International agencies through schemes / funding such as ICMR, CSIR, DST-FIST, DBT, UGC, SAP, CAS etc.,
- e. Faculty are encouraged to identify inter-disciplinary research in their chosen field of research.
- f. The faculty of all the departments of the IU shall tie-up with industries and corporate bodies to undertake funded research in emerging areas and industry relevant areas.
- g. The university shall create special research groups to concentrate research in government listed areas.
- h. All innovative projects of faculty are earmarked for filing patents on successful completion, suitable recognition and remuneration is given to those faculty with patents.
- i. Norms are fixed to pay expenses towards procurement of equipment to those faculty working on funded projects.
- j. Meritorious research work by faculty is awarded with monetary incentives. (Annexure I)
- k. All research conducted shall be covered by IPR and copyright protected.

iii. EXTENSION AND EXTRAMURAL RESEARCH AND ACTIVITIES

- a. Eminent and enterprising professionals from the industry are invited to take up joint resource projects with the IU faculty.
- b. The faculty of the IU are encouraged to select society specific problems and conduct research and provide feasible solutions. Such research topics could include problems related to chronic diseases, women and child welfare and protection and health care etc.,
- c. The University shall organise educational programmes relevant to a community, society

outside IU.

- d. The university faculty shall visit at least one village in the neighbourhood, investigate the problems, find solutions and implement the same using technology expertise.
- e. Students are encouraged to participate in the extension and outreach programmes organised by the University.
- f. The university shall conduct outreach programmes related to aging, life course development that lead to national integration, intervention programmes that lead to reduction in social isolation of the people and elderly people, improving the quality of care provided by nurses in nursing homes, engaging elder persons in environmental volunteering. Outreach programmes in the field of chronic pain, child related abuse, neglect, preventive interventions, transactional research, stress and coping etc.,
- g. The university shall conduct programmes aimed at developing trade skills.
- h. The IU faculty are permitted to act as resource persons in the events such as workshops and conferences conducted outside IU premises.
- i. IU encourages its senior faculty to train industry personnel.
- j. The IU faculty are permitted to work in other educational institutions as part of faculty exchange programme as per signed MoU.

IV. EXCELLENCY CENTRES:

In addition to teaching, faculty are also involved in ongoing research projects, which provide new perspectives and understanding of the present scenario of current research in science and business. To focus on new and emerging areas of research and education, Centres of Excellence have been established within the university. These 'virtual' centres draw on resources from its stakeholders, and interact with them to enhance core competencies. The Centres at IU are as follows:

- a. Centre for management communication
- b. Centre for capital market and risk management
- c. Centre for Software and Information Technology
- d. Centre for Supply chain management
- e. Centre for teaching and learning
- f. Centre for instrument facilities for research
- g. Centre for realistic exposure in law

V. Doctoral Research Policy

Doctoral i.e. Ph.D. research policy was having all the details like types of research, eligibility of students as well as guide, award of degree, examination, cancellation policy etc in detail. This Doctoral Research Policy is entitled as Ph.D. ordinance which is as follows:

1. Categories of candidates for Admission to Ph.D. Programme:

1.1. Full-time candidates: A full-time candidate shall be required to remain present in the campus for a minimum period of 24 months and has to work for minimum 6 hours per week of academic work as assigned by the Faculty in which, candidate is admitted for their Ph.D. programme.

1.2. Off-Campus Candidates: An Off-Campus candidate can be from Public Sector Undertakings/Research and Development Organizations/Private Industries/Educational Institutions where adequate infrastructure exists for carrying out research work. Candidate can also be full time student. He/She shall spend minimum of one semester in the concerned Faculty for carrying out requisite course work as per the courses prescribed by URDC, if required.

2. Eligibility criteria for admission in Doctor of Philosophy (Ph.D.) programme:

2.1. 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% (50% for SC/ST/OBC/DA) marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) 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.

OR

2.2. Bachelor's Degree in Engineering with first division ($\geq 75\%$ aggregate marks) in appropriate field of Engineering/Technology/Architecture of the University or its equivalent.

OR

2.3. MCA Degree of a University or its equivalent with first division.

OR

2.4. Masters Degree in Law of a University with not less than 55%(50% for SC/ST/OBC/DA) in aggregate.

Notwithstanding anything contained in the above-mentioned rules 2.1 to 2.4, the eligibility criteria/guidelines prescribed and/or issued by UGC from time to time shall also be applicable for registration to Ph.D. Programme(s) of the University.

Note: University shall encourage inter-disciplinary research activity.

3. Duration of the Programme:

3.1. Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of five years.

3.2. The maximum time allowed for submission of the thesis shall be 5 years from the date of registration. This period can be extended by one year by the Vice-Chancellor under very special and genuine circumstances. No further extension shall be granted and the registration to Ph.D. shall automatically be cancelled after the expiry of 6 years from the date of registration. Provided that Vice-Chancellor may permit a candidate to get re-registered on the same topic on payment of a re-registration fee as decided by the University from time to time, for a further period of two years and regular attendance shall

not apply to such re-registered candidate. In such cases, candidates will apply to the University one month before the expiry of the last extension period. If the candidate is unable to submit his/ her thesis in the prescribed period of the re-registration, his/ her registration shall stand automatically cancelled, and the University would not be bound to inform the candidate about the cancellation.

3.2.1. Application for an extension shall be considered with the recommendations of the supervisor(s). Extension of period after five years is not automatic. Application for extension shall be considered if submitted to the office of the Dean of the concerned Faculty before 4-6 months from the date of expiry of five/six years, as the case may be.

3.2.2. This period of three years can at the most be reduced by 6 months by the Vice-Chancellor on the recommendations of the URDC if a candidate has published at least two research papers in National or International Journals of repute.

3.3. 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.

4. Procedure for admission:

4.1. Admission to the Ph.D. program would be through an entrance test followed by a personal interview. Candidates who have qualified UGC/CSIR (JRF) examination/ SLET/ GATE examination or have M. Phil. Degree will be exempted from the entrance examination. Exempted candidates are also required to be present in the personal interview.

4.2. Candidates appeared in the Entrance Test shall have to score a minimum of qualifying marks as 50%. The syllabus of the Entrance Test consist of 40% of research methodology and 60% shall be subject specific. The Entrance Test will be conducted at Invertis University, Bareilly.

4.3. In personal interview, discussion/questions will be based on the following: research interest/area, candidate possesses the competence for research, etc.

4.4. Candidates, who qualifies the Entrance Test, will have to register in the Ph.D. programme within one year after the declaration of the entrance test result.

5. Course Work: duration, syllabus, minimum standards for completion:

5.1. The credit assigned to the Ph.D. course work shall be a minimum of 08 credits and a maximum of 16 credits.

5.2. The course work shall be treated as prerequisite for Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could

cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for Ph.D. degree. The candidate has to undergo minimum of two courses as a pre-requisite for the Ph.D if he holds an M.Tech. or equivalent degree and three courses, if he holds a B.Tech. or Master degree. In both the cases one of the courses has to be on Research Methodology.

5.3. All courses prescribed for Ph.D. course work shall be in conformity with the credit hour instructional requirement and shall specify content, instructional and assessment methods. They shall be duly approved by the authorized academic bodies.

5.4. The Faculty/Department where the scholar pursues his/her research shall prescribe the course(s) to him/her based on the recommendations of the BOS.

5.5. All candidates admitted to the Ph.D. programme shall be required to complete the course work prescribed by the Faculty/Department during the initial one or two semesters.

5.6. Candidates already holding M.Phil. degree and admitted to the Ph.D. programme will be exempted by the Department from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work prescribed by the Department.

5.7. Candidate has to obtain a minimum of 55% of marks (in each paper) in the course work examination, in order to be eligible to continue in the programme.

6. Allocation of Research Supervisor: Eligibility criteria to be a Research Supervisor, Co-Supervisor, Number of Ph.D. scholars permissible per Supervisor, etc.

6.1. Any regular Professor of the University/faculty with at least five research publications in refereed journals and any regular Associate/Assistant Professor of the university/faculty with a Ph.D. degree and at least two research publications in refereed journals may be recognized as Research Supervisor.

6.2. Only a full time regular teacher of the concerned University/faculty can act as a supervisor. The external supervisors are not allowed. However, Co-Supervisor can be allowed in inter-disciplinary areas from other departments of the same institute or from other related institutions with the approval of the URDC.

6.3. The allocation of Research Supervisor for a selected research scholar shall be decided by the faculty concerned 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/viva voce.

6.4. In case of topics which are of inter-disciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from outside, the

Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Department/ Faculty on such terms and conditions as may be specified and agreed upon by the consenting faculties.

6.5. A Research Supervisor/Co-supervisor who is a Professor, at any given point of time, cannot guide more than eight (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to a maximum of four (4) Ph.D. scholars.

6.6. In case of relocation of a 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 supervisor and the institution for the part of research already done.

Note: Close relative of the candidate cannot be appointed as Supervisor/ Co-Supervisor.

6.7. Change of Supervisor(s)/Co-Supervisor: The Vice-Chancellor on the recommendations of URDC can permit the change of Supervisor(s)/Co-Supervisor. Vice-Chancellor, on the recommendations of the URDC may permit the Supervisor, who has left the University or retired, to continue as the supervisor. In case of the death or non-availability of the Supervisor for any reason, the Vice-Chancellor, on the recommendations of the URDC, can either permit another Supervisor or allow the candidate to work and submit the thesis under the Co-Supervisor alone, if already exists.

7. University Research Degree Committee and its functions:

7.1. The University Research Degree Committee shall consist of the following members: Vice Chancellor (Chairman), Deans of various faculties (Members), Two external Professors of eminence nominated by Vice Chancellor (Members), Registrar (Ex-officio Member), One Professor/Assoc. Professor (Secretary) and One Professor/Assoc. Professor (Joint Secretary).

7.2. Miscellaneous guidelines for the committee:

7.2.1. The quorum for the meeting to be organised is at least half strength of the committee.

7.2.2. Vice Chancellor and at least one external Professor must be available in the meeting.

7.2.3. The meeting should be held at least once in every semester.

7.3. This Committee shall have the following responsibilities:

7.3.1. To review the research proposal and finalize the topic of research;

7.3.2. 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 do.

7.3.4. To periodically review and assist in the progress of the research work of the research scholar.

8. Procedure for Registration:

8.1. Qualified candidate shall appear before the University Research Degree Committee (URDC) for a presentation based on the summary submitted by him/ her and shall explain the theme of his/ her proposed research and the expected outcome of the research. In case the URDC is satisfied with the eligibility, subject knowledge and research aptitude of the candidate, it will ask the candidate to deposit the prescribed fee and recommend the case for registration to Ph.D. programme. The candidate will be registered from the date of the meeting of URDC. In case, the URDC is not satisfied with the performance of the candidate, the candidate shall be given another chance to appear before the Committee but not earlier than a period of six months from the date of the previous URDC meeting. If the candidate again fails to satisfy URDC, he shall not be registered.

8.2. Registration: Candidate admitted to the Ph.D. in any faculty must apply to the University for registration on the prescribed application form. The application form shall be accompanied by:

8.2.1. Documents supporting his/her qualifications (Attested copies of the mark sheets of necessary for eligibility criteria from Higher Secondary (10). Migration certificates, Character certificate should be enclosed in original with the application form. Documents supporting his/ her previous work, if any.

8.2.2. Five copies of the research proposal i.e. Synopsis (approximately 1000 words) detailing the work to be carried out in the prescribed format. (Annexure I)

8.2.3. Certificate from the supervisor(s) stating his willingness to supervise the candidate. (Annexure II). The name(s) of the supervisor(s) shall be mentioned on the first page of the synopsis and shall be signed by the candidate and the supervisor(s) with date. The candidate shall sign all the pages.

8.2.4. Prescribed application fee, as applicable in the University from time to time.

8.2.5. Bio-data of the Supervisor/Co-supervisor clearly mentioning his/ her research contribution, list of Ph.D. thesis supervised (including topics) and the research Papers published. In case the URDC has already approved the Supervisor/Co-supervisor, the candidate is not required to submit the bio-data.

8.2.6. No Objection Certificate (NOC) from the employer, in case the candidate is employed.

8.3. No Registered research scholar shall join any other course of study or appear at any other examination conducted by any University leading to a degree .

9. Place of Work:

9.1. The department/faculty in the University shall be the place of work for the full-time candidate. Off Campus candidate has to spend one semester in the University for carrying out the course work.

9.2. In case of Co-supervisors, a research laboratory or a Centre where the co-supervisor works, and which has the required research facilities, the same can also be the place of work in addition to the University.

10. Progress Reports:

10.1. A research scholar shall submit the research progress in prescribed format (Annexure III) duly signed by the candidate and the Supervisor(s)/Co-supervisor and candidate will present the same in presence of Research Monitoring Committee, constituted by Vice Chancellor, after every six months (not later than 15 days of completing 6 months) to make a presentation of the progress of his/her work for evaluation and further guidance.

10.2. The constitution of Research Monitoring Committee shall be as follows:

- ✓The Vice Chancellor or Dean of the concerned faculty (Chairman)
- ✓Head of the Department (Member)
- ✓Subject expert from university (Member)
- ✓Supervisor/s (Member)

10.3. In case the progress of the research scholar is unsatisfactory, the Research Monitoring Committee shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the Committee may recommend to URDC with specific reasons for cancellation of the registration of the research scholar. The decision of URDC will be final in such cases.

10.4. In case the candidate is absent or gets unsatisfactory grade in progress report evaluation for consecutively three times, the Ph.D. registration of the candidate may be cancelled.

10.5. All the recommendations of Research Monitoring Committee are subject to the approval by URDC.

11. Cancellation of Registration: The registration of a candidate to Ph. D. shall be cancelled, if:

11.1. Automatically on the expiry of the period of extension granted by the Vice-Chancellor or the maximum time allowed under clause 3, 3.2. & 3.3. as the case may be, in case the extension has not been sought from the Vice-Chancellor.

11.2. As mentioned in clause 10.2. & 10.3.

11.3. If a candidate is found involved in an act of indiscipline, unlawful activity, involved in an act of ragging, plagiarism and any other such activity which may endanger the peace in the University.

12. Submission of Thesis:

12.1. Based upon the research work done and after minimum one research publications in National or International Journals of repute and make two paper presentations in conferences / seminars before the submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints, the candidate

shall submit the modified synopsis (if required) before three months from the submission of thesis and shall present it to the Research Monitoring Committee for approval. Candidate will make a presentation before the committee on the work carried out by him. Only after Committee approves the work, the candidate can submit the thesis to the University.

12.2. The candidate shall submit the five copies of softbound typed (on one side) Ph.D. thesis to the University in the prescribed format (Annexure IV). The thesis shall include:

- Declaration by the Candidate (Annexure V)
- Certificate from the Supervisor (Annexure VI)
- Appendix in the end of the thesis containing reprints of the research papers already published.
- Self-attested photocopies of the acceptance letters of the research papers accepted for publication.
- List of communicated research papers along with author(s) name(s), name of the Journal to which the paper(s) has been communicated and the date of communication.
- Bibliography at the end of the summary.

12.3. In addition to the thesis candidate will have to submit the following:

- Five copies of the Synopsis.
- Summary of the work done (in about 5000 words)
- Receipt of examination fee, as prescribed by the University.

13. Evaluation and Assessment Methods, minimum standards for award of the degree:

13.1. Upon satisfactory completion of course work, and obtaining the marks/grade prescribed in clause and sub-clauses of 3, 5 and 12, as the case may be, the Ph.D. scholar shall be required to undertake research work and produce a draft thesis within a reasonable time after the written consent of the supervisor.

13.2. Prior to the submission of the thesis, the scholar shall make a presentation in the Department/faculty before the Research Monitoring Committee which shall also be open to all faculty members and other research scholars. The feedback and comments obtained from them may be suitably incorporated into the draft dissertation/thesis in consultation with the supervisor.

13.3. Ph.D. scholars must publish at least two research paper in refereed journal and make one paper presentations in conferences/seminars before the submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates and/or reprints.

13.4. While submitting for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the Research Supervisor attesting to the originality of the work, a report of plagiarism check from University authorised personnel with permission of Vice Chancellor for acceptance of the report.

13.5. The Ph.D. thesis submitted by a research scholar shall be evaluated by at least three external examiners, who are not in employment of the university, of whom one examiner may be from outside the country. The viva-voce examination, based among other things, on the critiques given in the evaluation report, shall be conducted by the Research Supervisor and at least one of the three external examiners, and shall be open to be attended by Members of the Research Monitoring Committee, all faculty members of the Department, other research scholars and other interested experts/researchers.

13.6. The public viva-voce of the research scholar to defend the thesis shall be conducted only if the evaluation report(s) of the external examiner(s) on the thesis is/are satisfactory (Annexure VII) and include a specific recommendation for conducting the viva-voce examination. If any one of the examiners rejects the thesis with specific reasons, the Institution shall send the thesis to another external examiner out of the approved panel of examiners and the viva-voce examination shall be held only if the report of the latest examiner is satisfactory. If the report of the latest examiner is also unsatisfactory, the thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.

13.7. If any two of the examiners recommend and one examiner suggests modifications, or one examiner recommends and the other two suggest modifications, or all the three examiners suggest modifications, then the candidate shall be asked to re-submit the thesis after revising it in the light of modifications suggested by the examiner(s). Revised thesis will be sent to the examiner(s) who suggested modifications and accepted to re-evaluate the thesis, for his/ her/ their final opinion. Alternate examiner(s) may be substituted for the examiner(s) who have suggested major changes but not accepted to re-evaluate the thesis, for recommendations on the revised thesis. If any one of them still rejects the thesis, the thesis will stand rejected.

13.8. Examiners for thesis evaluation: Supervisor of the candidate will furnish the names of eight examiners, not below the rank of Assistant Professor, in the research area of the candidate. Note: Close relative of the candidate and also of the supervisors shall not be included in the panel of examiners.

13.8.1 From this panel, the Vice-Chancellor shall appoint three examiners for thesis evaluation. The Vice-Chancellor may include any new name.

13.8.2. Examiners would be requested to submit the evaluation report within three months of the receipt of thesis. In case of undue delay by any examiner, Vice-Chancellor may appoint alternate examiner(s) after due intimation to the existing examiner(s).

13.9. In case the thesis is approved, an open viva-voce examination of the candidate shall be held by the Board of Examiners (Viva-voce Board) comprising of one of the thesis examiners (nominated by the Vice-Chancellor), Dean of the concerned faculty, Supervisor(s), Head of the department, Subject Expert (nominated by the Vice-Chancellor). The date, time and place of viva-voce examination shall be notified by the Registrar on the University Notice Board at least a week in advance. At the time of viva-voce examination the Board of

Examiners shall be provided a copy of the reports of the examiners, which shall be returned along with the report of viva-voce examination to the Registrar. In case the Vice-Chancellor observes any anomaly in the reports of external examiners regarding the standard of the work, he or his nominee may be present in the viva-voce examination as the Chairman of the Board.

13.10. The candidate shall present the work embodied in the thesis before the Board of Examiners, members of faculty, research scholars and other interested persons. After the presentation of the research work, the Board shall ask questions together with those questions, which have been given along with examiner's reports. Others in the audience can also ask questions and the candidate shall reply only those questions which are permitted by the external examiner. The viva-voce Board shall give a final decision and a clear verdict whether the candidate be awarded Ph.D. degree or be asked to re-appear for viva-voce. In case of the second verdict, the candidate shall be required to re-appear for viva-voce preferably before the same Board, on a date to be decided by the University.

13.11. If the candidate is required to revise the thesis, the Research Monitoring Committee may permit the candidate to revise his/ her thesis in a period not earlier than six months and not later than one year from the date of communication to the candidate. The candidate shall have to pay an additional examination fee as prescribed by the University.

13.12. The thesis shall be published only with the permission of the University and such publication shall state on the title page itself that this was a thesis approved for the award of the Ph. D. degree of the University.

14. Award of Ph.D. Degree:

14.1. After successfully clearing the viva-voce examination and subsequent approval of URDC, the candidate shall be awarded Ph.D. degree after recommendation by the Academic Council to the Executive Council, on the basis of the reports of the examiners and the viva-voce Examination Board.

14.2. The award of Ph. D. degree can be withdrawn in case the thesis submitted by the candidate is found to be a duplication of an old work or pirated research work on recommendations by URDC to the Academic Council which further recommends its withdrawal to the Executive Council.

14.3. Provisional Degree: The candidate may be awarded a completion certificate after successfully defense in viva-voce examination and a Provisional Degree Certificate may be given to the student after the Vice-Chancellor approves the recommendation of the viva-voce Board.

15. Treatment of Ph.D. through Distance Mode/Part-time:

15.1. No faculty is allowed to conduct Ph.D. Programme through distance education mode.

15.2. Part-time Ph.D. will be allowed provided all the conditions mentioned to the extent Ph.D. Regulations are met.

16. Depository with INFLIBNET:

16.1. Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree(s), 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.

16.2. 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.

- 17.** Notwithstanding anything contained in the Ordinance, both categories of candidates/ research scholars will be governed by the rules and procedures framed/ approved by the Academic Council and in force from time to time. Notwithstanding anything stated in this Ordinance, for any unforeseen issues arising, and not covered by this Ordinance, or in the event of differences of interpretation, the Vice-Chancellor may take a decision, after obtaining if necessary the opinion/advice of Research Monitoring Committee. The decision of the Chairman URDC i.e. Vice-Chancellor will be final.

INVERTIS UNIVERSITY, BAREILLY

CONSULTANCY:

1. Introduction:

Consultancy is well recognized that it is an effective way for Universities to disseminate knowledge and make an early and direct impact on society. However, the balance between consultancy and the traditional roles of the academic staff needs to be managed and the interests of the University must be protected. This Policy provides provisions for conducting consultancy to ensure that consultancies undertaken by staff are consistent with the University's strategic and operational objectives and the costs are sustainable.

IU is committed to making its expertise available through service to industry, commerce, government, professions, arts and other educational and research organizations.

2. THE POLICY

All Research and Non-research consultancies as described here and are governed by the following guiding principles:

- (a) There should be demonstrable benefit to the IU from the consultancy through income, enhanced reputation, and/or expanding the expertise of the staff member.
- (b) The Consultancy must not be in conflict with University policies including those governing employment; such as the Code of Conduct Policy.
- (c) The Consultancy must not be in conflict with the functions, objectives or interests of the University or damage the University's reputation.
- (d) At a minimum, the salary and on-cost charges set by the University must be applied to all project budgets. All Consultancies are required to include overheads.
- (e) Staff members shall not undertake external research activities where no formal agreement has been authorised by the University unless they are on leave without pay, approved by the Dean concerned. Such faculty may not use their IU affiliation or academic title when providing research services that are not approved by the University.

2.1. University Research Consultancy

A Research Consultancy exists where an academic staff member provides research skills or expertise in return for remuneration from an external funder. A Research Consultancy may be the outcome of a tender or an individual negotiation.

2.2. University Non-research Consultancy

Non-research Consultancies include non-research activities performed under contract for a third party. Non-research Consultancy would include the provision of professional services to external agencies for a fee. This would include, but not be limited to, routine laboratory and other testing of materials, devices or products, analysis of data such as market surveys, opinion surveys etc., The provision of professional services such as designing, legal and

medical advice undertaken by members of faculty and staff.

2.3. Private Consultancy

In Principle a faculty or staff member is not supposed to undertake a Private Consultancy unless it is approved by URDC and the Registrar. However, the faculty or staff conducting private consultancy shall ensure that such work does not affect their allocated duties, obligations to the university. None of the benefits set out for University Consultancy are available to faculty and staff undertaking a Private Consultancy. It is the responsibility of the staff member undertaking a Private Consultancy to make clear to the person or body for which the Private Consultancy is undertaken that it is the staff member and not the University who is carrying out the work, and that the University has no responsibility or liability what so ever in the matter. A staff member conducting a Private Consultancy must ensure that the following criteria are met:

- a. The carrying out of tasks associated with the Private Consultancy will be accomplished without unduly affecting the duties of the position.
- b. The use of University trademarks such as letterheads, brands etc. or University intellectual property is strictly prohibited in Private Consultancies;
- c. No University facility (including library resources, power, space, equipment, consumables and telephone facilities) will be used to fulfil the requirements of the Private Consultancy.
- d. The Private Consultancy is not within an area in which the University might be contracting to provide a service on a commercial basis, possibly utilising the skills of the staff member involved;
- e. IU is not bound by any agreement (written or otherwise) relating to the Private Consultancy;
- f. The staff member agrees to indemnify IU and its representatives from and against all actions, claims, loss, damage, costs, charges, liabilities and demands arising directly or indirectly from or in respect of the Private Consultancy activity; and
- g. The staff member declares any real or potential conflict of interest to their manager.

3. STAFF ENTITLEMENTS

The University allows staff to engage in Research, Non-research and/or Private Consultancies provided they do not interfere with the discharge their duties. Consultancies shall be undertaken only with the approval of the URDC. No limit is placed on earnings. However there is a limit on the time spent on Consultancy.

3.1. Academic Staff may spend one day per week on approved Consultancies, with a maximum of 48 days per year. Variations to this time commitment require the approval by the RMC head; Dean concerned. A lesser time commitment may be approved when the proposed Consultancy interferes with the discharge of responsibilities.

3.2. Deans must obtain written permission from the Vice-Chancellor to undertake Consultancies.

3.3. Benefits of University Consultancy: The University provides the following benefits to staff undertaking University Research or Non-research Consultancies:

- a) Protection under the University's professional indemnity and public liability insurances, subject to the terms, conditions and exclusions within those policies.
- b) The faculty or staff member will be protected under the terms of the current Insurance Policy held by the University in the event of a claim against the faculty or staff member undertaking the Consultancy or Grant (provided that the claim is not as a result of fraudulent, dishonest, criminal, wilful or malicious acts by the staff member).
- c) Access to the University's financial management processes to support and enable invoices to external organisations for funding and expenditure of project costs.
- d) Access to the University's resources such as technical and administration staff equipment and telecommunications, subject to approval by the Faculty or Office.
- e) Entitlements to use the University's name and reputation, providing it is not brought into disrepute.
- f) Ability to make reference to their University position and title in connection with the work.

The University does not extend these benefits to Private Consultancies. Any Consultancy conducted by a faculty or staff member that accesses any of these benefits in the course of undertaking the work will be regarded as a Research or Non-research Consultancy and subject to the conditions of this Policy.

3.4. All Consultancies are required to include overheads.

3.5 the revenue generated from the consultancy project is shared by the member and the university in a 70:30 ratio after deducting the overheads and all other expenses met by the university.

3.6 If more than one member take up the consultancy project the 70% amount shall be shared equally.

4. APPROVAL

All University approved Consultancies are required to be approved and managed in accordance with this Policy, associated documents, and other University policies. Applications to conduct Consultancy are required to be approved through.

4.1. Exemptions and Variations

Exemptions to the above and variations to the standard overhead charge must be determined at the time of application, explicitly noted on the Research Funding/Consultancy Application coversheet, and approved by the relevant University Officer.

4.2. Transfers in from Other Institutions

In cases where a Research or Non-research Consultancy or grant is transferred to the University from another research organisation, the overhead will not be taken from the funds where the awarded budget did not include an overhead component. In cases where a grant is being transferred to IU from another research organisation and overheads are permissible in accordance with the funding schedule, the agreed overheads awarded will be withheld by the University.

5. CONFLICT OF INTEREST

Engagement in consultancies must not create a conflict of interest, perceived or actual. Any conflict of interest, actual or perceived must be reported to the relevant University Officer for resolution. A conflict of interest may arise where an employee engages in consultancies at the expense of the University's interests or the interests of other employees or students. An example of a potential conflict of interest includes, but is not limited to:

- a) financial or non-financial interests;
- b) teaching or course work for another institution;
- c) work performed for a supplier of goods or services to the University; or
- d) work undertaken with an organisation to which the University supplies goods or services.

5.1. Consultancies with Other Tertiary Institutions

Full-time members of the University staff should not accept regular Consultancies with other institutions without first obtaining the permission of the RMC Dean or URDC Chairman.

6. INTELLECTUAL PROPERTY

Any intellectual property arising from any Research and Non-research Consultancies will be governed by the Intellectual Property Policy.

VI. INNOVATIONS, INCUBATIONS, ENTREPRENEUR DEVELOPMENT, PATENTS, IPRS AND COPY RIGHTS:

- a) The university shall create an innovation culture by organising various kinds of programs such as ideation programs, collection of innovations from research undertaken in respect of academic, extension, extramural and outreach.
- b) Every major invention achieved out of conducting research shall be innovated and the same shall be incubated in the incubation centre which will be augmented from time to time.
- c) Students shall be allowed to select an incubated product and use the same to be developed in large scale through separately established start-up. All the training required for the students to become entrepreneurs shall be imparted
- d) The University shall incorporate an incubation centre that has all the facilities for incubating the innovations.
- e) Every innovation shall lead to filing a Patent

- f) The university shall provide support required for filing the patents and also for completing the ground work required to get the patents registered and licensed.
- g) The university shall provide required support to the faculty for filing IPRs and copyrights when it has been proved by the faculty that such a filing is necessary to protect the value of the research done.

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CODE OF ETHICS

The University has a policy on all sorts of Research Misconduct such as fabrication, falsification, plagiarism, and other serious deviations from accepted practices in proposing, carrying out, or reporting results from research.

Scholars / faculty should ensure that they have written and submitted only original works, and if they have used the work and/or words of others, that should have been appropriately cited. Publications that have been influential in determining the nature of the work reported in the thesis / research paper should also be cited. Plagiarism takes many forms, from "passing off" another's paper as the author's own, to copying or paraphrasing substantial parts of another's paper (without acknowledgement), for claiming results from research conducted by others. Plagiarism in all its forms constitutes unethical publishing practices and deserves condemnation.

The Research Monitoring Committee ensures that all submitted thesis / research papers being considered for award of degrees undergo through plagiarism detection software "Turnitin" and an Anti-Plagiarism certificate to be issued by the office of URDC Chairman for submission of thesis.

This is in accordance with the PhD ordinance of the university section 11.0 Cancellation of Registration and very specifically in subsection 11.3.