

**CIRCULAR**

**Research and Development Policy**

The Governing Body of Marwadi University in its 2<sup>nd</sup> meeting held on 2<sup>nd</sup> July, 2016 vide captioned reference number has Accepted and Approved the proposal of introducing Research and Development policy for stakeholders of Marwadi University from Academic Year 2016-17.

The primary objective of the Research and Development policy is to provide administrative and technical support for Funded Projects, Sponsored Research, Research Publications, Intellectual Property Rights, and Institutional Support for carrying out research and development activities.

  
Registrar



To

- i. All staff members of MU
- ii. Office of Provost



**Marwadi**  
University

MARWADI UNIVERSITY  
RESEARCH AND DEVELOPMENT POLICY

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# MARWADI UNIVERSITY RESEARCH AND DEVELOPMENT POLICY





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## RESEARCH & DEVELOPMENT POLICY

### 1 RESEARCH AND DEVELOPMENT POLICY FRAMEWORK

The Research and Development policy is formed to provide administrative and technical support for Funded Projects, Sponsored Research, Institutional Support, and formation of Research & Development Laboratories.

Over the past few years, research has advanced from core research problems to an interdisciplinary approach which requires national, international, and inter-institutional support. The committee will facilitate communication with external funding agencies at national and international level. It will also promote institute-industry interaction for carrying out research and define the role of Project Investigator. The committee will also guide patentees in financial assistance, procedures for patent filing and Intellectual Property Rights.

### 2 RESEARCH AND DEVELOPMENT POLICIES

All the sections hereafter will be termed as 'Research and Development Policies' of Marwadi University.

### 3 INTER-INSTITUTE AND INDUSTRY COLLABORATIONS

The Marwadi University hereafter abbreviated as "MU" is actively involved in inter-institute and industrial collaborations to become forefront in scientific and industrial research. The focus of the university is to develop inter-institute relations for promoting core as well as interdisciplinary research in various fields. While carrying out such research, the faculty or researcher will observe IPR rights of the parent institute as well as collaborating Institute. In any case, no person will violate these rights.

In the case of inter-institute Research and Development Projects, the Principal Investigator or Co-Investigator will seek permission from competent authorities and intimate the same to the research advisory committee. Any income generated from the Project will be shared between collaborating institutes as per Institute wise sanctioned amount for the project.

MU lays a strong emphasis on industrial interaction. The university has not only given importance to the investigation of problems to understand the need of industry but has given attention to emerging areas over time. To promote industrial research collaborations, all faculties of the institute will be encouraged to visit one industry and work towards problem definition. The work carried out in this manner will be classified into following:





1. The problem definition is stated by industry and work is carried out by faculty/researcher in industry.
2. The problem definition is given by industry and the work is carried out by faculty/researcher in the Institute.
3. The problem definition is submitted by faculty/researcher to the industry and the work is carried out by industry.

For each case, the institute and industry will publish or file patents on a joint basis.

## 4 RESEARCH & DEVELOPMENT PROJECTS

The R & D activity of the university aims at taking up innovative work and challenges to address current and future need of industry and society. The Research and Development projects are not limited to students' thesis work but have a holistic approach. The Institute believes that R & D projects will not only help faculties and researchers in carrying out innovative projects and publishing; but will also boost manufacturing sector and solve critical issues faced by the society locally and globally.

The institute faculty, researcher or UG student will conduct research with various objectives ranging from addressing complex problems, developing products, investigation of critical issues or writing papers of high impact. The Institute believes that in this manner, it can contribute immensely and fulfill the zeal of young engineers who are the backbone of the MU.

The faculties can take up Research & Development project of regional, national or global emphasis and work towards finding an inimitable solution which works in an effective manner. For such R & D projects, the faculty himself/herself **will not charge** any consultation fees or honorarium to the sponsoring agency. The research & development project will be classified as follows:

1. Sponsored Projects
  - a. Major Research Projects – Amount => Rs. 10 lac
  - b. Minor Research Projects – Amount < Rs. 10 lac
2. University Funded Project – Seed grant < Rs. 20 lac

### 4.1 SPONSORED RESEARCH PROJECTS

For a sponsored research project, Principal Investigator and Co-Investigator will be the main channel between funding agency and the university. The role of PI will be to maintain necessary documents and produce them to funding agency as well as university from time to time within prescribed limit. The university will provide necessary support for the PI to carry out the work satisfactorily. To encourage faculties to write for such projects, the university will provide following support:

- In order to present the problem definition in front of the funding committee from time to time, The Principal Investigator and/or Co PI will be eligible for travel fares and accommodation as per the MU policy.





- The Principal Investigator will be eligible to apply for non-consumables or assets worth 1-2% of total project cost during project tenure. The PI and/or Co PI will propose such non-consumables to the research advisory committee. The research advisory committee will scrutinize the proposal and recommend it to the management.

The sponsored research project can be Minor Research Project or Major Research Project as per the definition of sponsoring agency. A faculty can take up the funded project as an individual or collaborative project.

In an individual project, both Principal Investigator and Co PI are full-time faculties of MEFGI. In a collaborative project, full-time Faculty/Research Scholar of MU will work jointly with Investigator of India or abroad. The Faculty/researcher must mention a separate budget for the university and statement of work to be carried out in the university premises.

At the time of application of sponsored project to the funding agency, one copy should be forwarded to the research advisory committee. Similarly, at the time of completion, one copy of the completion report should be submitted to the committee.

The money received through grants is deposited in the account “**Marwadi University**” and Institute will not earn any **interest** on the amount deposited in the account. The Institute will not charge any extra amount for **delay of funds** in either reimbursement or transfer of funds committed by the funding agency towards MU. In the case of a delay of funds, the institute will assist the PI and/or Co-PI for the smooth execution of the project. It is to be noted that during the execution of the project, the responsibility for non-consumables and consumables purchased lies with Project Investigator. Also, the responsibility of the operation of the project lies with PI and Co-PI.

#### 4.2 UNIVERSITY FUNDED PROJECT – SEED GRANT FOR FACULTY

The university believes in the *mantra* of Prosperity for each stakeholder. It is obvious that new faculty with reasonable experience and insufficient research to his/her credit may not necessarily get sufficient funds from funding agencies. The same faculty may submit a subsequent proposal to the funding agency after having exposure to the research environment. To encourage aptitude towards research, faculties are encouraged to write a project proposal.

The seed grant proposal will be of the duration of 1-2 Years. For such a project, the total amount of grant is limited to **Rs. 20 lac**. A faculty seeking the seed grant must submit a proposal to the research advisory committee. The committee will scrutinize the proposal in terms of technical outcomes, impact on society and effect on student community. The university reserves the right to decide on the total no. of seed grant approval for the given year.

It is expected that at least one seed grant proposal will be received from each department for each academic year. In the case of multiple proposals from the same department, university may seek review from a panel of external experts. The proposal with the highest merits will be approved.

The Principal Investigator and Co-PI will submit the proposal in proforma mentioned as per Appendix-A. The Principal Investigator and/or Co-PI will submit the review of project at the end of



every year to the research advisory committee. Based on the status of the project, subsequent amount will be disbursed for the next financial year. By the end of the project, the PI and Co-PI must publish at least one Paper/Patent related to the work carried out in the Journal of Repute or Patent Office. PI and Co-PI will receive a **completion certificate** only after **acceptance of the such article**.

Since the project will be carried out by faculty, no salaries or fellowship will be offered in the project.

#### 4.3 UNIVERSITY FUNDED PROJECT – INITIATION GRANT FOR STUDENT

To inculcate the research aptitude and promote excellent ideas of students, university is willing to fund projects of merit from each department in every academic year.

In the case of a student project, the project supervisor will act as Principal Investigator whereas the student(s) will act as Co-Investigator. All the guidelines mentioned in section 4.1 will be observed.

The Project Supervisor will ensure that one closure report of the project is submitted to the committee with the status of the project. However, the condition of publication is relaxed for the student project.

### 5 PATENT FILING AND INTELLECTUAL PROPERTY RIGHTS

It is expected that with the promotion of research and development, highly motivated ideas and innovations in the form of commercial designs, devices, processes, business models, copyrights, and industrial designs with significant outcomes and commercial value will be generated. In such a case, the rights of an intellectual must be maintained so that the idea cannot be commercially exploited without the consent of researcher or innovator. The institute will encourage such innovators and will help the innovator in the form of patents, copyrights, trademarks or trade secrets in the form of financial or in other ways possible. For the case where such an application is filed by the existing student, innovator or faculty of the institute, the innovation will be jointly registered by concerned individual and Institute. The institute will support such efforts which ultimately yield financial gains to support the research and development activities of the Institute. The financial gains will be shared between Institute and the innovator/faculty/student on the basis of their contributions.

#### 5.1 PATENT FILING PROCEDURE

- a. The prospective patentee will file the application for patent registration to the MU-IIR cell. The patentee shall have the right not disclose the sensitive matter. However, all relevant information must be mentioned in the application.
- b. The following should be mentioned in the application:
  - Name of Patentee(s) who have developed the innovative idea.
  - Detailed specification and possible area for which it is filed.
  - Detailed information if there will be commercial purpose.
  - List of industries, organization which is interested in commercial purpose.





- In the case of commercial purpose of the patent, type of agreement made between the patentee and beneficiary.
- The extent to which facilities of Institute are used.
- c. The duly signed application will be submitted with the above information for approval of MU-IIR from where it will be scrutinized and approved by the respective committee.
- d. The university will bear the patent fees for the first five years. In the case of financial gains, the university may extend support for the next five years. For no gains during the first five years, the institute will continue providing financial assistance for the next five years on a 50% basis.
- e. It will be the prime duty of MU-IIR members not to disclose any information related to the submitted patent details to any organization or individual which may violate intellectual property rights or result in financial losses.

All details and subsequent approval for the research advisory committee will be reported to the provost at the end of each academic year.

## 5.2 COPYRIGHTS AND TRADEMARKS

A copyright protects the expression of ideas. It is expected that a work to be copyrighted is an original expression of ideas and should be an expression in material form. The university understands the freedom of expression of ideas and thus in the work to be copyrighted, the author is principally independent for the decision related to copyrights. If copyrights are owned by researcher/faculty/student of the institute and it involves monetary benefits, the amount of revenue generated shall be divided based on the infrastructure or facility used by the intellectual. However, in no case, the revenue share of Institute shall go above 50% of the total net revenue generated. Similar guidelines will be observed for Trademarks in the university.

The application procedure for copyrights, trademarks and trade secrets will be similar to the application procedure for Patents as mentioned in 5.1. (a), (b) and (c). All intellectual property rights should abide by the Indian Patent Act, 1970, Design Act, 2000, Trade Mark Act, 1999 and The Copyright Act, 1957.

## 6 PUBLICATIONS

The university will promote high-quality work with significant outcomes. The university envisions the best place in the country for quality work with great impact on society. To achieve this, two areas will have prime focus in research advisory committee. The first being the level of technical writing by the researcher (faculty/student) of the Institute. It is the prime duty of committee to ensure that the research publication does not fall under no peer-review category or violates copyrights of the individual involved with the Institute or elsewhere in the world. At the same time, any delay in the submission due to the procedure associated with it can significantly affect the author's chance for timely publication. The following policies will be implemented by the Institute:







- The individual or group of authors who belong to the institute can submit their research article/ review article/ letter to any journal approval/intimation without the consent of the research advisory committee.
- In such a case, author(s) must submit a copy of the plagiarism check by Institute or journal within 15 days of submission. Authors can also get prior approval from the committee.
- The approval can be taken in any form such as printed or electronic media. As and when required, the approval must be submitted to members of the committee.
- In case violation of any copyrights or idea or work is brought to the notice of university, the researcher/faculty/student will be barred from any kind of further financial assistance for research related activity.
- The publication cost in the form of article processing charges or over-paging charges (journal charging only for over paging), shall be borne by Institute provided that the publication is recommended by the Committee and Internal Quality Assurance Cell. In case of open access articles, the prior approval must be taken by committees before paying article processing fees.
- The amount of financial assistance for publication charges will be Rs. 50,000/- per year per faculty provided that the provision is made in the departmental budget is made for the same. For amount above this, rest of the charges shall be borne by the author(s). This upper limit excludes conference and travel support of the faculty. In case the amount exceeds the upper limit, concerned authority reserves the right to fund the article.

In order to become eligible for financial assistance, the author(s) affiliation must be mentioned at a suitable place. In case the published paper is the outcome of the Minor/Major Research Project carried out by the researcher, it is mandatory that grant no. along with financial assistance provided by the researcher is suitably acknowledged.

## 7 CONFERENCE TRAVEL SUPPORT

To demonstrate the skills and share ideas among world community, the conference is considered to be a good platform. In addition to this, publication of the work in reputed conferences can increase the possibility of dissemination of work among larger fraternity through suitable journal or archives. All the permanent faculty members of MU are eligible for National as well as International conference travel support. The policy for conference travel support is mentioned below:

- In the case of a national conference, faculty will be entitled to receive reimbursement of conference fees in addition to traveling and lodging expenses as per traveling entitlement and reimbursement policy of the MU.
- In the case of an international conference, faculty will be entitled to receive conference registration fees and traveling expenditure for attending the conference. The maximum amount of travel support should not exceed Rs. 1,00,000/- for Assistant Professor, Rs. 1,25,000/- for Associate Professor/HODs and Rs. 1,50,000/- for Professor/Dean/Director.
- The total cumulative support for 3 years should not exceed Rs. 3.0 lac for all cadres. For research outcomes with excellent merit, the upper limit of the travel support can be increased



subject to decisions taken by the research advisory committee, the Provost and the Chairman of Marwadi University.

- In order to obtain the conference travel support, the work to be published must be approved by research advisory committee and IQAC cell. The faculty should also submit original manuscripts and review comments given by conference committee. The IQAC cell will decide the final amount of assistance based on the merit of the paper.
- For Internal Conference Travel Support, the application form along with all relevant documents must be submitted before 45 days of the conference dates. The 'traveling expenditure' will be considered as the amount for minimum fare applicable to direct flight between two terminals.

The faculty who has availed conference travel support must submit a brief report of the program attended within seven days of the last date of the conference.





**APPENDIX – A**

- Title of Project
- Project Description
- Total Amount of Project
- Technical Background of Project
- Research Statement
- Objectives of the Project
- Design of Project along with Pert Chart
- Relevance to Society
- Relevance to Student Community
- Possible Outcomes of Society

While proposing for the project following heads will be clearly mentioned in the Project Proposal.

**TABLE 1 BUDGET ESTIMATE SUMMARY**

ITEM	BUDGET			TOTAL AMOUNT
A. Non-Recurring				
Permanent Equipment	Year I	Year II		
Other				
B. Recurring				
Consumables	Year I	Year II		
Travel				
Contingency				

**TABLE 2 BUDGET FOR PERMANENT EQUIPMENT**

ITEM	BUDGET			TOTAL AMOUNT
	Year I	Year II		
Specification and description of item				

**TABLE 3 BUDGET FOR OTHER ITEMS**

ITEM	BUDGET			TOTAL AMOUNT
	Year I	Year II		
Description of item				





**TABLE 4 BUDGET FOR CONSUMABLES**

ITEM	BUDGET			TOTAL AMOUNT
	Year I	Year II		
Description of consumables				

**TABLE 5 DESCRIPTION OF TRAVEL**

ITEM	BUDGET			TOTAL AMOUNT
	Year I	Year II		
Travel*				

\*- Travel does not include conference/seminar/workshop travel grant

**TABLE 6 CONTINGENCY**

ITEM	BUDGET			TOTAL AMOUNT
	Year I	Year II		
Contingency description				

