



SHRI  
DHARMASTHALA  
MANJUNATHESHWARA  
UNIVERSITY



# RESEARCH POLICY

REVISED-2025

|| Om Shree Manjunathaya Namaha ||



Edition Year : 2019-20

**Published by**

**Registrar**

**Shri Dharmasthala Manjunatheshwara University**

(A State Private University established under the Shri Dharmasthala Manjunatheshwara University  
Act No 19 of 2018 of Government of Karnataka and Notification No. ED 261 URC 2018 dated 19<sup>th</sup> December 2018)

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## THE LOGO

Poojya Dr D. Veerendra Heggade, Hon'ble Chancellor of the University, while searching for an appropriate Logo for the University, saw a photograph picked from Temple Architecture showing Wings of a Bird, sculpted in Indian style and wanted it to be incorporated in the logo for the University, as the Wings symbolize 'Spreading of Knowledge beyond Boundaries'. Further it was felt that the Central theme of the logo should be 'Rudra' (The Linga) with wings on each side. In this way, the logo of the University was conceptualized.

Hence:

1. The central part represents Rudra who Demolishes Darkness.
2. The Three horizontal lines on The Linga stand for Samyak Darshan (Right Belief), Samyak Gyan (Right Knowledge) and Samyak Charitra (Right Conduct).
3. The Wings symbolize spreading of Knowledge across the boundaries.
4. Base line "Truth Liberates" highlights the Purpose of Education: to liberate oneself unconditionally. It shows that it is not discipline, nor knowledge nor the efforts to freedom that liberate but Truth is what liberates you from all your conditioning and ignorance.

The overall significance of Shri Dharmasthala Manjunatheshwara University's Logo is:

Darkness of ignorance is destroyed by the flow of knowledge to bring Liberty to everyone, by realizing the truth. And, it should spread globally without the boundaries as hindrance.





**SHRI  
DHARMASTHALA  
MANJUNATHESHWARA  
UNIVERSITY**

## **VISION**

Shri Dharmasthala Manjunatheshwara University will set the highest standards of teaching and learning, awakening the intelligence of the students and nurturing the creativity hidden in them by creating an environment where the ancient wisdom blends with modern science, to transform them into whole human beings to face the challenges.

## **MISSION**

- To ensure that the journey of education is inspiring, pleasant and enjoyable.
- Attract the best of teachers and students.
- Achieve high principles of trust, love and spirituality in the students.
- Create a collaborative, diverse and exclusive community.
- Transform the student of today to be a leader of tomorrow and a better human being.
- Produce passionate teachers.
- Evolve innovative teaching techniques.
- Create a peaceful environment.
- Prepare the student to face the social challenges.
- Create a University of which the Nation is proud of.
- Be an effective partner in Nation Building.
- Create an Eco-friendly University.
- Create a University based on the principles of beauty, love and justice.

**|| Om Shanti! Om Shanti! Om Shanti ||**



SHRI  
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SDMU/Notif-451/F-90/683/2025

Date: 23-08-2025

## NOTIFICATION

### Revised Research Policy of Shri Dharmasthala Manjunatheshwara University

- Ref:
1. Minutes of the 17<sup>th</sup> Meeting of Board of Governors held on 14<sup>th</sup> August 2024
  2. Minutes of the 17<sup>th</sup> Meeting of Board of Management held on 17<sup>th</sup> July 2024
  3. Minutes of the 9<sup>th</sup> Meeting of Academic Council held on 26<sup>th</sup> June 2024

In exercise of the powers under Section 23 Subsection 6 (ii & ix) of the Shri Dharmasthala Manjunatheshwara Act 2018 and the Statute 1.1 (Powers and Functions - section ii, xii & xiii) of Shri Dharmasthala Manjunatheshwara University, the Board of Governors of Shri Dharmasthala Manjunatheshwara University has accorded the approval recommended by the Board of Management for the **Revised Research Policy of Shri Dharmasthala Manjunatheshwara University**, with effect from the date of notification.



REGISTRAR  
REGISTRAR

Shri Dharmasthala Manjunatheshwara  
University, Dharwad

- To:
1. Heads of The Constituent Institutes of the University
  2. Director Research, Shri Dharmasthala Manjunatheshwara University

Copy for kind information to:

1. Hon'ble Chancellor, Shri Dharmasthala Manjunatheshwara University, Dharwad
2. Vice Chancellor - Shri Dharmasthala Manjunatheshwara University.
3. Pro Vice-Chancellor - Shri Dharmasthala Manjunatheshwara University.
4. Controller of Examinations, Shri Dharmasthala Manjunatheshwara University.
5. University Records





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## **RESEARCH POLICY PART - A**

## **Research Policy**

### **Preamble**

Shri Dharmasthala Manjunatheshwara University, Dharwad, has been established under the **SHRI DHARMASTHALA MANJUNATHESHWARA UNIVERSITY ACT 2018** (Karnataka Act No. 19 of 2018), and has come into effect from 19<sup>th</sup> December 2018 as a State Private University of the State of Karnataka, of unitary nature, at Sattur, Dharwad.

**1. Importance of research at University/in educational University/institutes** Research and development are not only an integral part of education system but also the part of day-to-day life of every living organism on the earth. In a globalized world, the research and development play a significant role in sustainability and development of an educational University/institution. It is imperative to have knowledge-driven growth based on innovation, since discoveries and inventions are the major cause of change in the world as they transform the way people live, work, eat, connect, etc. The quest for knowledge and enthusiasm in life-long-learning, are the basic principles behind research. The quality of research work has direct impact on the quality of teaching and learning in the classroom, thereby benefiting the students, the society and the country thereby the humankind. Further, a quality research culture in the University will greatly influence the students through up-to-date knowledge, and close proximity of their subject matters. In addition to their routine classroom exercises, the students also get an opportunity to interact with researchers (Scientists, Physician scientists, Post-doctoral research fellows, & Post-graduate researchers, Scholars, etc.) and exposure to state-of-the-art facilities such as research environment, sophisticated/specialist research equipment and bigger libraries etc.

### **Research is an integral part of educational University**

Research must be an integral part of educational University to promote:

- i) Research-based teaching (teaching will improve if the staff engages in research)
- ii). Research-based learning (students will learn more if they come into contact with research)
- iii). Research-based practice (professional practice will improve by learning how to base their work on research-based knowledge)
- iv). Research-based knowledge production (professional programs can improve the knowledge basis of professional work through research)



Health is a fundamental right of every living organism/human being. Improving the well-being of citizens is a primary mandate of any/every country for its sustainable development. In order to maintain a healthy society, the country must have an appropriate developmental policy including promotion of research and development to improve the existing knowledge and technology. Every new technology, health management strategies—preventive, therapeutic, promotive, rehabilitative and implementing methodologies should be based on evidence-based research in the respective discipline. Hence investment in research should not be looked as non-productive and non-profitable but should be envisioned as a responsible long-term investment in improving health of the society and building the nation.

Systematic research requires cooperation of multidisciplinary expertise and use of wide variety of research equipment, materials and other infrastructure. Accordingly, Shri Dharmasthala Manjunatheshwara University (hereafter "**University**"), Dharwad has developed the state-of-the-art infrastructure facilities and pool of expertise/researchers with multidisciplinary research background to ensure that research activities are conducted with integrity, and with due regard for the health and safety of an individual and the environment. The University is committed to promote need-based research to alleviate human sufferings, well-being of the society and sustainable development of the country. This research policy frame-work aims to help the University to promote faculty and students participation in research, publish their work in high impact journals and attend national and international conferences to present their research data and generate new concepts in the emerging areas through research collaboration with other national and international universities to achieve excellence in research and contribute to societal upliftment and nation building.

## **2. Purpose of this policy**

This policy not only establishes the research environment but also provides an overarching framework for the development and implementation of research management strategies at the University. This policy applies to all those conducting research/involved in research & development activities under the purview/umbrella of the University irrespective of:

- i) Whether they are regular OR part time employees, scientists/researchers, research scholars, students or visiting faculty/researchers, collaborators and third-party contractors at the University
- ii) The source of their research funding
- iii) The field in which they conduct their research
- iv) The site at which they conduct their research

### **3. Scope of the research policy**

The University expects highest standards of integrity to be adhered by its academic staff/students/faculty/researchers/collaborators/contactors/visitors and all persons conduct research. University aims to promote and promulgate good research practices, emphasizing integrity and diligence in research, and to create a favorable environment and research culture in the campus. This policy extends to all academic staff/students/ researchers/ collaborators/ contactors/visitors and all persons conduct and/or involved in the research and development process of the organisation directly or indirectly.

This policy supports the development and implementation of research in the University where the staff can carry out research in the areas of their interest with local, regional and national obligation, in which students and other academic staff can be engaged and be supported in their research.

### **4. The objectives of policy are as follows:**

- a) To promote faculty participation in research
- b) To promote research and innovation
- c) To ensure integrity, quality, ethics and responsible conduct of research
- d) To ensure strategic management and monitoring of research performance
- e) To identify thrust areas of research/prioritized research areas with national/ regional/ local importance
- f) To incentivize the enhancement of intellectual capital
- g) To facilitate national and international research collaborations and partnerships
- h) To encourage consultancy and industry-academic collaboration
- i) To promote graduate research by facilitating research and travel grants
- j) To facilitate activities related to Intellectual Property Rights
- k) To Provide essential infrastructure and expertise support for the research work
- l) The Faculties/ and the constituent institutes are required to develop and implement their own Research plans that are consistent with and delivers to the University Research Strategy and the University Strategic Plan.

### **5. The University expects that**

- a) a research will be carried out according to the guidelines of UGC/DSIR/ICMR and other statutory bodies and the principles laid out by the University

- b) primary responsibility for research data management during any research project or programme lies with the Principal Investigator (PI)
- c) the PI will be responsible for clarifying responsibilities where data ownership may be ambiguous (e.g., in a multi-partner collaboration).
- d) if a PI leaves the University their head of the department/institute should ensure that appropriate provision has been made for data access.
- e) if a PI leaves the University their head of the department/institute should ensure that the equipment/instruments and consumables are placed at right position/condition and remained with the department/institute.
- f) every member of the research team should be familiar with data requirements of the funding agency and of the University policy.
- g) each project will have a separate data management plan that is submitted during funding application stage or at the beginning of the project. *Note that some funding agencies will have more strenuous conditions than those described here.*
- h) it is mandatory/compulsory to maintain the raw data of the research work conducted by students/faculty/researchers/collaborators/contractors in the **University's Research Notebook** for at least for 5 years from the completion. *Research Notebooks will be supplied by the University through Head of the Institute and Research Supervisor.* **University reserves all the rights with respect to Research Notebooks—research data, protocols, methodology and other research information.**
- i) as a minimum, research raw data and research data directly associated with research publications should be archived.
- j) all research data to be archived must be associated with metadata which meets minimum standards. The metadata should be sufficient to enable other researchers to understand how it was created or acquired, and if it is to be made openly available to experiment/investigate its reproducibility, repeatability, consistency and assess its reuse/applications potential.
- k) all research data, both raw data and metadata will be stored in both paper and electronic form for a minimum of 10 years after the end of a project, unless ethical considerations, participant confidentiality, demand otherwise.
- l) it is suggested to store the research data locally in addition to the research data deposited to national/international data services and repositories where available or required by either funders or publishers.

- m) executive rights to reuse/publish research data should not be handed over to commercial publishers or agents without retaining the rights to make the data openly available for reuse unless this is a condition of the funding agencies.
- n) despite the fact that the researchers of the University have the freedom to choose their own areas of research (preferably within the purview of thrust areas of research of the respective institutes), it is highly desirable to make research socially relevant with local and regional importance. The University strongly recommends the different departments/institutes to have a thrust area of research, with a view to be focused in their efforts. The University expects inter-departmental, inter-institutional and external collaborations as well as research consortium for maximum utilization of the resources and expertise to reduce the cost and time to achieve the set goals.

## **6. Research**

### **6.1 Definition of Research**

Research is original, independent investigation undertaken to contribute to knowledge and understanding. Research typically involves inquiry of an experimental or critical nature driven by hypothesis or intellectual positions capable of rigorous assessment by experts in a given discipline.

The definition of *research and experimental development*, abbreviated as R&D, in the Shri Dharmasthala Manjunatheshwara University is consistent with the OECD definition of research and experimental development set out in the 2015 Frascati Manual (OECD, *Frascati Manual 2015*).

Research and experimental development (R&D) comprise creative and systematic work undertaken in order to increase the stock of knowledge – including knowledge of humankind, culture and society – and to devise new applications of available knowledge. A set of common features identifies R&D activities, even if these are carried out by different performers. R&D activities may be aimed at achieving either specific or general objectives. R&D is always aimed at new findings, based on original concepts (and their interpretation) or hypotheses. It is largely uncertain about its final outcome (or at least about the quantity of time and resources needed to achieve it), it is planned for and budgeted (even when carried out by individuals), and it is aimed at producing results that could be either freely transferred or traded in a marketplace. For an activity to be an R&D activity, it must satisfy five core criteria.

- 1) To be aimed at new findings (novel)
- 2) To be based on original, not obvious, concepts and hypotheses (creative)
- 3) To be uncertain about the final outcomes (uncertain)
- 4) To be planned and budgeted (systematic) and
- 5) To lead to results that could be possibly reproduced (transferable and/or reproducible)

The term R&D covers three types of activity: basic research, applied research and experimental development. Basic research is experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any particular application or use in view. Applied research is original investigation undertaken in order to acquire new knowledge, directed primarily towards a specific, practical aim or objective. Experimental development is systematic work, drawing on knowledge gained from research and practical experience and producing additional knowledge, which is directed towards producing new products or processes or to improve existing products or processes.

## **6.2 Activities that do not meet the definition of R&D include:**

- a) Scientific and technical information services. The specialized activities of:
  - Collecting
  - Coding
  - Recording
  - Classifying
  - Disseminating
  - Translating
  - Analyzing
  - Evaluating
  - Scientific and technical personnel
  - Bibliographic services
  - Patent services
  - Scientific and technical information, extension and advisory services
  - Scientific conferences are to be excluded, except when conducted solely or primarily for the purpose of R&D support (e.g., the preparation of the original report of R&D findings should be included in R&D) or in the context of R&D projects).



- b) Testing and standardization
- c) Feasibility studies
- d) Specialized health care
- e) Policy-related studies
- f) Programmatic evaluations (Literature reviews that are predominantly a summary of the current knowledge and findings of a particular R&D field or topic and do not include any critical assessment or report any new findings or original experimental work)
- g) Purely R&D-financing activities
- h) Indirect supporting activities
  - Commercial, legal and administrative aspects of patenting, copyright, material transfer agreements or intellectual property licensing, option and assignment activities, and royalties
  - Routine computer programming, systems work or software maintenance
- i) Stages of product development that do not meet the five R&D criteria mentioned above (clause 6.1)
- j) Pre-production development
- k) Market survey/research
- l) Construction of fully tested prototypes for marketing purposes
- m) After sales service and trouble-shooting
- n) Industrial engineering and design for production purposes
- o) Artistic performance or expression

Ref: OECD (2015), Frascati Manual 2015: *Guidelines for Collecting and Reporting Data on Research and Experimental Development*, The Measurement of Scientific, Technological and Innovation Activities

## **7. Institutional objectives and research priorities**

University wishes to raise the research profile of the constituent institutes by focusing on the prioritized and need based research and attracting external funding and collaborations, so that it will be beneficial in promoting University's areas of research excellence and build the research reputation of the University. It also helps to develop and facilitate interdisciplinary

and multidisciplinary research collaborations and engage with other research institutions and industries. The research should be consistent with the strategic interests of the University. However, research can also be aligned to the priorities of the research funders and competitive with other applicants for the fund. It should be of high quality, substantial and approved by all committees/research council.

### **7.1 Thrust areas of research (institution wise)/University prioritized research area**

The undertaken research should be under the thrust area of the University/institute. Other research area can be taken for research with special permission from the Head of the Institute and RAIC of the University. The thrust areas of all the constituent institutions are enclosed in Annexure – I.

## **8. Research guidelines**

Research is one of the most distinguished and competitive strengths of all educational Universities, worldwide. Through comprehensive research, students, trainees and researchers develop critical and effective analytical thinking, as well as communication skills that are globally desirable and incredibly beneficial. The experiences and expertise gained during the course of research are invaluable and no doubt boost personality development and employability long after graduation, thereby benefitting the society and the country.

### **Further, research also helps to,**

- a) Enhance the knowledge
- b) Clarify confusion
- c) Have a proper understanding of the subject
- d) Learn about the methods and issues
- e) Understand the published work
- f) Learn to create a balance between collaborative and individual work
- g) Know the interest
- h) Know how the original study originated
- i) Understand the rationale

However, research in the educational University play a significant role in its sustainability and development, and it is imperative to have knowledge and skill driven growth based on innovation and inventions. Though Shri Dharmasthala Manjunatheshwara University is actually much younger than any other universities in the country, it's educational and research objectives are

highly competitive and global standards. The University has a clear vision to promote collaborations between education, research, the business community, and society at local, regional, national and international level.

### **8.1 Requirement to undertake research**

- a) University will foster an environment of open inquiry and academic freedom to every scholar in which individuals can pursue independent research, scholarship and/or creative activities that are appropriate to their discipline and area of specialization. In doing so they will, individually or in collaboration with colleagues, external experts from academia and industry:
  - (i) Supervise research students.
  - (ii) Broadly disseminate research results (i.e., through more than one medium or one audience) including through their teaching practices and, where appropriate, protect the results of their research.
  - (iii) Be active within appropriate professional and discipline communities and external stakeholders.
  - (iv) Contribute to the research environment and culture of the University through activities such as mentoring, engagement in new research initiatives, strengthening the research infrastructure and collaborations.
  - (v) Participate in initiatives designed to secure financial support for research activities from external sources (including for example, government funding, industry partnerships and contracts, philanthropic gifts/donations, sponsors through corporate social responsibility, research translation and commercialization opportunities).
- b) The requirement to undertake research is a career expectation and will be balanced with the other obligations of academic staff including teaching and administrative responsibilities.
- c) Nothing in this policy is to be construed so as to prevent Heads of Institutes from allocating teaching and other responsibilities in light of the research record of academic staff (teaching and research staff).
- d) Research activities should be conducted through prior approval from the ethical committees—functioning as per the guidelines of regulatory bodies under the Government of India, constituted at institutional/University level.

## **8.2 Statutory and Ethics Obligations**

- a) Academic staff/students/researchers/collaborators/contactors/visitors, etc., are required to carry out their research in compliance with the University's obligations under legislation and any ethical and contractual obligations.
- b) Research projects that involve human or animal subjects, including those undertaken as part of a teaching programme, must be approved in advance by the relevant ethical committees—functioning as per the guidelines of regulatory bodies under the Government of India, constituted at institutional/University level.
- c) All academic staff/students/researchers/collaborators/contactors and visitors of the University are required to make themselves aware and follow the contents of the University Health and Safety Policy.
- d) Academic staff/students/researchers/collaborators/contactors and visitors are required to comply with the University's approach to Risk and Risk Management (policy).

## **8.3 Format and procedure for conducting research**

- a) Researchers should be honest in respect of their own actions in research and in their responses to the action of other researchers. This applies to the whole range of research work, including experimental design, experimentation, generating and analyzing data, applying for funding, publishing results, properly acknowledging the direct and indirect contribution of colleagues, research students, collaborators and others.
- b) All researchers must refrain from plagiarism, deception or the fabrication or falsification of results or any other action that could be interpreted as research misconduct.
- c) Researchers are encouraged to report cases of suspected misconduct and to do so in a responsible and appropriate manner, in line with the University's procedures for the investigation of allegation of research misconduct.
- d) Researcher should identify, declare and manage any real or potential conflict of interest whether legal, ethical, moral, financial, personal, or of any other nature, so, that it does not become a complicating or actionable issue.

#### **8.4 Research planning and execution**

Each institute should develop and implement its, long term and short-term research plans. These plans have to be developed by the head of the institutes after Vice-Chancellor's consultation.

The research plan should be reviewed annually in consultations with the heads of Institutes. This plan should include research objectives, timetables, and expected outputs and achievements. It should also reflect any special agreements reached regarding the apportioning of teaching, administration, and research duties and research training and /or development of opportunities for research according to the career stage of the staff member. All research plans are required to be developed to make opportunities for collaborations, innovation and invention.

- a) Researcher/team should identify the subject/area of research and prepare research concept–review of literature, formulation of hypothesis, formulation of variables and study design. Research proposal should be initiated only after approval by the HOI and regulatory authorities/committees at institutional and government level.
- b) Initiation of research proposal to the University if approved by the HOI/HOD.
- c) Presentation by the researcher/team to the HOI, the faculty of the institute/department and University.
- d) Approval/modification and resubmission /rejection by the University.

#### **8.5 Integration of research in other activities of the institute**

Research is required to be conducted in conjunction with the academic activities and should not be taken as independent activity. Students of medical, dental, physiotherapy, nursing and biomedical research should be co-opted in the research activities right from inception. A joint team of students and faculty may undertake research without any institutional boundaries. Contribution made by each member must be acknowledged by the team member wherever applicable. Ethical standards should be maintained by all the participants.

#### **9. Publications**

- a) Researchers shall be expected to publish their research in refereed national and international journals, listed in the UGC-CARE as per regulations time to time.
- b) In order to improve quality of research publications, University shall provide incentive



for all such publications that appear in the journals with impact factor 5 and above.

*Impact factors are listed in Journal Citation Reports (JCR), Scimago, Scopus etc., which may be accessed.*

- c) Research findings must be open to scrutiny or formal evaluation by experts within the field. This may be achieved through various forms of dissemination including, but not limited to, publication, manufacture, construction, public presentation, or provision of confidential reports.
- d) Once results have been published, the University expects researchers to make available relevant data and materials to other researchers, on request, provided that this is consistent with any ethical approval and consent which cover the data and materials and any intellectual property rights in them.
- e) Researchers should make all reasonable efforts to disseminate their research results as widely as possible to the academic community.
- f) The University recognizes that publication of the results or research may need to be delayed for a reasonable period pending protection of intellectual property arising from the research or the due process that may be required by a sponsoring or funding organisation. However, any such periods of delay in publication should be kept to a minimum and duration should be agreed in advance with a sponsor or the funder. Such consideration also includes the need to observe any contractual, confidentiality, or privacy obligations entered into in respect of the research or the need to ensure the protection of any intellectual property arising out of the research.
- g) The agreements of all co-authors /contributors must be sought as to the convention of authorship and the order of names to appear on publications resulting from work prior to submission for publication.

*The International Committee of Medical Journal Editors (ICMJE) recommends that authorship be based on the following 4 criteria:*

- *Substantial contributions to the conception or design of the work; or the acquisition, analysis, or interpretation of data for the work; AND*
- *Drafting the work or revising it critically for important intellectual content; AND*
- *Final approval of the version to be published; AND*
- *Agreement to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately*

*investigated and resolved.*

- h) The lead author on any paper must ensure that all co-authors are familiar with, and approve of, the contents of the paper and can identify their contributions prior to submission for peer review.
- i) Anyone listed as an author on a paper should accept responsibility for ensuring that he/she is familiar with the contents of the paper and can identify his/her contribution on it.
- j) The practice of honorary authorship is unacceptable.
- k) The contributions of formal collaborations and all others who directly assist or indirectly support the research should be properly acknowledged.
- l) A researcher, while in the University or not in the University, must include the name of the University as one of the co-authors and acknowledge the University in all the publications and presentations of research work done/research data/method/protocol generated/developed completely or partially using the physical facility and/or guidance of faculty of the University.
- m) If a researcher wishes to publish or present research data/method/protocol generated/developed during his/her tenure at University, he/she must i) obtain approval from the head of the respective institution ii) include address of the laboratory, institution and the University and iii) include the names of researchers who have contributed directly or indirectly.
- n) A copy of the publication must be submitted to the University library and the office the Dean/Director of Research of the University.

#### **10. Intellectual property rights and patents issues**

- a) The University encourages its researchers to file for patents arising out of their research for which a separate statute is already available. The application for filing patent will have to be submitted to University's Intellectual Property Assessment Committee for a scrutiny.
- b) Expenses for filing patent, sharing of revenue in case a patent is commercialized shall be done as per statutory provisions.
- c) The University shall create awareness about intellectual property rights and patents among research community from time to time.
- d) While recognizing the need for researchers to protect their own research interests, and

to seek protection for any intellectual property identified during the course of the research, the University encourages its researchers to maintain the confidentiality of new idea, research work or data while discussing with other researchers and with the public.

- e) Intellectual property includes patents, registered designs, copyright, design rights, and know-how. Creative work, including research and development, can lead to intellectual property rights (IPR) and some of these can be protected under one or more headings.
- f) In patent law, the intellectual property created during an employee's normal or specifically assigned activities belongs to the employer. Where work is being carried out under contract with an outside agency, specific provisions about IPR may apply.
- g) Researcher who identifies IPR should follow the University code of practice on intellectual property rights.
- h) Any intellectual property arising out of sponsored research will be owned jointly by the University and the Sponsor.
- i) Net revenue received by the University through sale / license or technology transfer of intellectual property of such inventions or creative works, the royalty shall be distributed as follows, unless otherwise specified in arrangements for commissioned works.

	<b>Royalty Sharing Percentage</b>
Inventor	50%
University*	50%
<b>Total</b>	<b>100*</b>

\* 50% share of the University shall be distributed as:

- (a) To the Inventor(s) department (10%)
  - (b) To the Inventor(s) Institution (10%) and
  - (c) To SDM University (30%)
- j) In case of an Intellectual Property jointly held by the constituent institutions of SDM University, the distribution of share to the department and to the respective institution that inventor is affiliated to, has to be communicated by the lead investigator to the University. In no case such share should cumulatively exceed 20% of the allotted share.
  - k) In an event when more than one inventor contributes to the generation of the Intellectual Property then the percentage of royalty shall be equal among the inventors unless otherwise specified, contingent upon such invention being sold, licensed, or transferred under a technology transfer agreement with third party/parties. No royalty shall be

claimed by the inventor(s) for Intellectual Property which fail to generate interest for sale, licensing or technology transfer.

- l) SDM University reserves the right to initiate and commercially leverage the intellectual property of the University or jointly owned with other institute / University / industry under the agreements dealing with technology transfer, licensing and revenue sharing models in consultation with the named inventors.
- m) In case of sponsored activity, the sponsored industry / organization will have the first right to commercially leverage the Intellectual Property or products originating from the collaboration activity, whether or not the same have been formally protected by patent(s).
- n) In the case of sponsored activity, if the sponsored industry / organization fails to commercially leverage the intellectual property or products within **ONE** year from the first date of development of the technology, then SDM University shall reserve the right to transfer the said know-how to a third party for its commercial advantage. However, SDM University shall share the net revenues derived henceforth with the sponsored organization / industry as per the **Agreement regarding Technology Transfer**.

## **11. Legal framework and ethics**

### **11.1 Ethics in Research**

The basic responsibility of an ethics committee (EC) is to ensure a competent review of all ethical aspects of the project proposals received and execute the same free from any bias and influence that could affect their objectivity. EC should provide advice to the researchers on all aspects of welfare and safety of the research participants after ensuring the scientific soundness of the proposed research through appropriate Scientific Review Committees.

### **11.2 Research involving human subjects**

- i) Researchers are expected to observe the standards of research practice set out in guidelines by scientific societies in their disciplines and in compliance with all other relevant professional bodies, statutory, ethical and contractual obligations. All researchers must familiarize themselves with legal requirements which regulate their work.
- ii) Researchers are expected to take steps stay informed of governmental, institutional

and any other regulations, standards, or policies in proposing, conducting, and reporting research.

- iii) All research projects and teaching programmes that involve human or animal subjects must secure the prior approval of the relevant ethics committee/s.

### **11.3 Research involving human samples**

Approval from the appropriate research ethics committee (s) must be sought for all research involving human participants, samples or data in accordance with the University's policies and procedures. Approvals from other regulatory bodies are necessary. Research which requires ethical approval must not commence until approval has been obtained, and not deviate from the approved protocol without new ethical approval. Researchers shall carry out investigations or interventions only with the valid informed consent of participants, having taken all reasonable steps to ensure that they have adequately understood the nature of the investigation or intervention and its anticipated consequences. Researchers should ensure the confidentiality of personal information relating to the participants in research, and the research fulfills any legal requirements.

### **11.4 Research involving animals**

Research involving animals require approval under *The Prevention of Cruelty to Animals Act, 1960 (59 OF 1960); as Amended by Central Act 26 Of 1982*. Researchers must ensure that appropriate personal and project licenses are in place. Stringent safeguards on animal pain and suffering and legal requirements to ensure the care and welfare of animals must be in place and observed. At any early stage in the research design researchers should consider opportunities for the reduction, replacement and refinement of animal involvement. Prior to conduct of research involving animals, approval from appropriate authority must be sought for all research.

## **12. Roles and responsibilities of Researcher/s**

- a) A research community free of discrimination should be promoted and encouraged in line with legislation and the University's policies on equality. Senior academic and research staff should ensure that a research climate of mutual co-operation is created in which all members of a research team are encouraged to develop their skills and in



which the open exchange of ideas is fostered. Research conduct, good practice should include mentoring of young, less senior and inexperienced researchers as a mechanism for the development of research activity.

- b) The supervision of research must be carried out as described in the appropriate regulations and associated guidance by the University's ordinances.
- c) It is expected that supervisors of research students will supervise all stages of the research process, including hypothesis, protocol design, data recording, data analysis, preparation of manuscripts, reading drafts and commenting on these in detail both in writing and verbally and the presentation of research output.
- d) Experienced members of staff must ensure that those who are less experienced have an opportunity to gain supervisory practice and that their contribution to supervision is formally acknowledge.
- e) Where there is a conflict of interest between a student and his/her supervisor, the code of practice in the **research ordinance of the University** should be followed.
- f) Supervisors of research students are expected to undertake training appropriate to their role, in line with the requirements of the University.
- g) Where an individual's record of supervision is poor or where their students have regularly failed to submit or complete, the University will consider barring that individual from further supervision.
- h) Research students must provide their supervisors with all files of raw data, appropriately labeled, before submission of the thesis.

### **13. Research management**

- a) Researchers should take all reasonable measures to ensure they meet sponsor, institutional, legal, ethical, and moral obligations in managing and carrying our projects.
- b) Researchers are expected to familiarize themselves with the terms and conditions of any research contract or agreement entered into by the University on their behalf.
- c) Researchers should follow established University financial procedures for expenditure.
- d) The principal or chief investigator with overall responsibility for an individual research programme should ensure that it runs within its allocated budget and no penalties are incurred by failure to meet the funder or sponsor's requirements.

- e) The person with overall responsibility for the research programme must ensure that the full agreement has been obtained in accordance with their current research governance obligations.
- f) Advice and policy in research matters is coordinated through University research committee, (allocations and investment, staff development, intellectual property and scholarships committee), faculty research committees and institutional research committees (graduate and post graduate).
- g) Vice chancellor chairs the University research committee and is the University's senior research management body. It advises the academic board on research strategies to be pursued, develops policy and reviews the function. Faculty level research committees by Dean have to advise the University research committee and their own faculties. It should also establish research activities for their staff and students. The Research Office manages and administers all research projects, both internal and external research—research funds from the University, external and research staff. The coordination of subcommittees (allocations and investment, staff development, intellectual property and scholarships committee) of the University research committee and information to staff and students are to be provided by the Research Office (Office of the Dean Research/Director R&D). It should assist the University research committee and monitor developments in research policy. The Research Office will monitor the private sector research contracts, consultancy services, intellectual property management and commercialization. The Finance Office will manage funds for research and scholarship at the University.

Responsibilities for good research practices lies with all members of the research community, but particularly with Principals/Directors/Heads of Institutes, research group leaders, grant holders, supervisors, and principal or chief investigators. It is expected that the principal or chief investigator will be the line manager of staff employed under a grant and will have overall responsibility for design, conduct, and reporting of the study to the funder and/or sponsor. All researchers must undertake appropriate training.

#### **14. Research collaborations**

University encourages researchers to work in collaboration with local, regional, national and international organizations from academia and industry. University expects investigators/co-investigators to compulsorily submit a copy of the mutually agreed documents—MoU or e-mail exchanges with collaborators at inter- departmental, inter-institutional, inter-University,

with academia and industry of domestic and international level, to conduct research in the line of University's interest.

- a. The Head of the Institute holds the authority to approve short-term projects/ collaborations (Duration <6 months) initiated by the faculty of constituent institutes. The same is required to be intimated to the Research Director.
- b. Short-term projects involving collaboration with premium institutes (National Institutes, IITs, CSIR, ICMR, Central Universities, etc.), commercial entities are required to be submitted for approval to the Research Director through the recommendation of the respective Head of the Institutes.

## **15. Dissemination of research results**

- a) Researchers should clarify, at the outset of the programme, issues regarding the ownership of the data and samples used or created in the course of the research and also the results of the work.
- b) Any issues regarding ownership should be resolved and appropriate material transfer agreements or similar contracts put in place before the research commences.
- c) Researchers must keep clear and accurate records of the procedures followed and the approvals granted during the research process, including records of interim results obtained as well as of the final research outcomes. This is necessary not only as a means of demonstrating proper research practice, but also in case questions are subsequently asked about the conduct of the research.
- d) Consent form and data generated in the course of research should be kept securely in paper or electronic format, as appropriate
- e) Personal identification/contact information and codes to access anonymous data should be kept separately from the raw data.
- f) Updated back-up records of irreplaceable data must always be kept on a University – based personal computer or secure server accessible to all members of the research team.
- g) Library notebooks should be kept, where appropriate, and each key document and any changes should be signed and dated. Pages should not be torn from the notebooks and writing should not be in pencil.
- h) Data should be stored in such a way as to allow a complete retrospective audit and records should be monitored regularly to ensure their completeness and accuracy.

- i) The University expects such data to be held securely for a minimum period of 6 years from the completion of the work; however, research based on clinical samples or relating to public health might require longer storage to allow for long-term follow-up to occur.
- j) Data or samples should be retained for more than 6 years if stipulated by the funder of the research.
- k) All stored data and samples should be clearly marked with a “do not dispose of before” date.
- l) Storage of human samples must comply with the University’s license under the Human Tissue Act/corresponding regulatory guidelines.
- m) All data and research materials generated in the course of research are important to the University as they might contain intellectual property of significant value or be relevant to ongoing or future studies.
- n) Originals of all data must be transferred to the researcher’s line manager or supervisor at the end of the period of employment or study, and the whereabouts of all other materials or samples must be clearly indicated.

## **16. Resources for support of research/grants**

### **16.1 University Research Grant**

The University research fund is administered and managed by the Vice-Chancellor under his responsibility. It supports research which is aligned closely with University’s thrust and priority areas and on the basis of research performance. The University will expect maximum range of outcomes/results from staff and student research. A portion of the fund supports career researchers and is allowed by the University research committee. The grant is considered annually by the University research committee on the basis of the University’s strategic priorities. The Committee is responsible for the detailed criterion for the allocation of research grants. The grants for this fund are developed in consultation with SDM Educational Society.

University is proactive to promote innovation and inventions through high impact research by adopting following special norms;

- i) Travel grant to present research data/papers in national and international conferences; decision will be taken based on the quality of the research data, the reputation of conference/symposium and relevance of the field of research.
- ii) Best researcher of the year award for high impact research/publishing in high impact

journals with the highest cumulative impact factors.

## **16.2 Promotion and funding of research activities**

University also encourages undertaking of research projects funded by various national and international funding agencies. Researchers can submit a research project to any government or non-government agency. The research proposals/projects with prior approval of ethical and research committee will be highly encouraged. Every research proposal has to be submitted for University's approval through the dean/director of research which will maintain an up-to-date record of all submitted as well as sanctioned research projects. The University may monitor the progress, maintain its accounts and submit the utilization certificate in time to the funding agency for all funded research projects. The University shall also provide administrative and financial assistance to submit and defend research projects funded by external agencies.

**Internal projects:** University offers start-up funds to young and early career faculty members to conduct feasibility and/or initial investigations to aid in the development of extramural grants. University extends the financial assistance (seed money) to the mini projects which are not funded externally, if found suitable and appropriate at University level, for internal project as seed money upto ₹ 50,000 /- per project (Yearly maximum 7 projects). The research grant for the feasible projects may be enhanced as and when required as per acceptability and scope of research. The internal project proposals are to be submitted with clearance/approval of review committee(s) of concerned institute, through Head of the Institute.

## **16.3 Regulations for financial aids towards research project funded by the University**

- i) To encourage research activities, consolidated amount may be granted as per requirement and rational of research projects if approved by research committee/ethical committee.
- ii) Quantum of grant shall be based on the requirement of individual project.
- iii) The head of the institutions after approval of research/ ethics committees will forward the project to the University for consideration of financial assistance.
- iv) Research will be under IPR Policy of the University. Research scholar shall seek prior written permission for presentation/publication of the research works in part or full and acknowledge duly.



- v) If the work is not completed within stipulated time research committee may consider extending the time, if required.
- vi) Acknowledgements to the University shall be necessary while publishing research work.

#### **16.4 External contracts/external research**

All applications for external funding are to be submitted through Research Office/office of the Director of Research/Dean of research of the University, depending on the characteristics of the contract. The office has to liaise with the applicant/s, Heads of Institute, Director, and the funder. Academic leaves are allocated at faculty level and staffs are eligible to apply for leave in support of their research.

#### **16.5 Evaluation and monitoring of performance**

The Vice-Chancellor will monitor the performance against their research plans and the staff should participate in the assessment of the performance of internal and external research. The research performance of individual staff should be monitored and evaluated. Staffs are required to supply full and accurate details of their research outputs on an annual basis to their Head of the Institute who will supply the information to the Research Office. The Research Office will publish an annual list of staff and student publication.

#### **16.6 Recruitment and staff development**

When new academic staffs are recruited, their research record or potential must have a high priority during the appointments process. Responsibility for oversight of this relies with the Vice-Chancellor. Heads of Institutes are required to consider work load issues in the distribution of supervisory responsibilities. Heads of institute should ensure that newly appointed staff are familiar with research evaluations, research training and funding opportunities and the importance of publishing in suitable venues, both when the University and external to it.

#### **16.7 Student research**

Student researches make a vital contribution to the research environment and output of the University. Heads of institute are responsible for ensuring that the management of research degree complies with University policy and are required to provide an annual report on

compliance to the Vice Chancellor through office of the Dean / Director R&D. The office of the Vice Chancellor and Heads of Institute are responsible for ensuring that faculty and institutes make appropriate budgetary provision for the support of student research. University encourages students and researchers to report findings from a research project either as a publication or patent.

#### **16.8 Implementation, evaluation and review (and revision) of the policy**

To ensure that they are in compliance with all legal, regulatory, procedural and other requirements, studies may be subject to review or audit at any time. A committee may be formed by the University to carry out amendments, modifications, and additions to the existing research policy from time to time depending upon the requirements. Notwithstanding the above, the policy will be reviewed every two years.

#### **16.9 Other reference documents (other research related documents)**

Documents of other work approved by the University, whether financed by it or not, shall be the property of the University and shall have the copyrights. All provisions of copyright Act shall be applicable to the research work.

#### **16.10 Handling complaints in research and conflicts of interest in research**

When research is planned to be conducted by the individual/ group of researchers, proper documentations shall be carried out by the team leader and approved by the HOI. Issues pertaining to distribution of work, credits, recognition, awards, publications, role of supporting organisation and sponsoring organisation, and any other issues that is not covered by this policy shall be well defined. Issue of misunderstanding, conflict shall be resolved at HOI level and documented. In case the issue is not resolved at HOI level, the same will be forwarded to the University along with recommendations of the HOI for further action. University will be the final authority and the decision of the University shall be binding on all the parties to the issue.

#### **16.11 Legislative compliance**

- a) There is no specific legislation directing this policy.
- b) In case of public grievance, University shall take appropriate action. They may hire legal expert in this regard. All expenditure shall be borne by the University.

## **16.12 University support to research**

Promotion of research, academic excellence and innovations will be the top priority of the University. The general principle governing the allocation of all research funding in the University is that it is an investment intended to maximize the range of outcomes that the University expects result from staff and student Research. The faculties are reliable for consideration of various incentives and recognition for publication of research papers, undertaking of research projects and initiating work of advance studies, leading to innovation in their respective fields.

The University will fund publication cost only if the publication has the good impact factor (IF 5 and above with considerations such as cite score etc.), where the University is acknowledged properly and have pre-permission. Fund will be granted only after publication of the paper and submission of documents related to publications cost paid. Reimbursement will be only if the person attends symposium/conference/workshop/seminar with prior permission for reimbursement as per the University norms. A copy of particulars is to be submitted to the University and prior permission is to be taken. All the financial assistance will be given to those faculty members only who have completed one- year service in an Institution of the University. The guidelines to promote research- academic achievements and innovations can be reviewed yearly.

## **17. University research fund**

It must be understood that money spent on research and development of the faculty is an investment for the organisation.

**Approval authority:** Vice Chancellor

**Approval date:** All projects shall be considered for approval twice a year. The months shall be June and December. The dates shall be decided by the Registrar of the University and informed to all the institutes.

**Contact person:** Registrar/Dy. Registrar/Director R&D/Person nominated by the Vice Chancellor.

### **17.1 Research grant management**

- a) University/Institution will maintain separate accounts for each research scheme on ledger type system, for all the grants receiving from governmental and non- governmental agencies.

- b) The investigator should certify that the expenditure claimed under different heads has actually been incurred and utilized properly during the period for which the payment was claimed and further that the grant has been exclusively utilized for the purpose for which it was sanctioned.
- c) This utilization certificate should be submitted by the investigator to the Executive Authority of the University/Institution who maintains the Accounts of Research Grants.
- d) The statement of accounts and utilization certificate should be certified by the Accounts Officer and countersigned by the Finance Officer, Registrar / Administrator of the University / Institute.
- e) An audited statement of accounts and utilization certificate duly certified by the statutory audit authority of the Institution will be issued to PI on completion of the research scheme.
- f) All equipment, books, etc. purchased out of the grant will have to be entered into the Stock Register maintained by the University/Institution and also in a separate Register maintained by the Investigator and certified by the Head of the Department/Institute.
- g) The University/Institution is responsible for the safe custody of the equipment purchased out of the grant.
- h) The Stock Register should be checked by the Auditor of the Host Institution.

#### **17.2 In Summary the University shall,**

- a) Ensure and promote the highest standards of scholarly practice, ethical and responsible conduct of research
- b) Ensure that human research participants are treated safely and with respect and dignity.
- c) Ensure that teaching and research activities involving animals are performed with full respect for animal welfare.
- d) Ensure that principles of stewardship are applied to research records, protecting the integrity of the assets.
- e) Support and develop research and scholarship through careful resource management and the securing of external funding.

#### **17.3 Norms and Standards for Submission of Research Proposals**

- a. The Principal Investigator shall be responsible for all academic activities and he/she shall be expected to complete the project within the stipulated period.

- b. The funds earmarked for the particular heads shall be utilized for that purpose only.
- c. On receipt of approval letter, the Principal Investigator should inform the University of his/her consent to undertake the project and send an Acceptance Letter. The Principal Investigator shall send the Acceptance Letter within two weeks from the date of issue of approval letter, failing which the approval shall liable to be cancelled.
- d. All the assets generated out of the fund for the project including equipment, books and journals shall be the property of the host institution, but will be in charge of the Principal Investigator till the completion of the project. It may be retained in the laboratory of the investigator, but must be handed over to the college/institution in case of his/her leaving the college/institute.
- e. The results of the study on the project supported by the University may be published by the Investigator/s. In all such cases, the investigator/s shall acknowledge the support received from the University.
- f. A spiral bound copy of the final report of work done on the project, in book form, along with a USB, shall be submitted to the University on completion of the research project.
- g. A copy of the final report of the work done may be kept in the Library of the respective department and/or of the College/Institute.
- h. The Principal Investigator shall submit six-monthly progress reports along with the statement of accounts and utilization certificate at the end of financial year for the release of the subsequent grant.

**RESEARCH POLICY INTERNATIONAL COLLABORATIONS PART-B:**

## **I. International Research & Global Collaboration/Partnership**

For international research collaborations/partnerships, researchers from all the constituent institutions should strictly follow the guidelines mentioned below in addition to the guidelines of UGC/DSIR/ICMR and other statutory bodies and the principles laid out by University, *Shri Dharmasthala Manjunatheshwara University, Research Policy 2020-21*.

Without doubt, international collaboration in health research is a valuable mechanism for advancing knowledge and strengthening research capacity. It makes modern research tools available to institutions and countries that would not normally be able to provide them from their own resources. Cross-border multicentric studies have proved valuable for identifying risk factors, testing hypotheses generated in one locality at other sites, and developing and testing appropriate, cost-effective technologies. Such projects should be carefully monitored to ensure compliance with ethical standards and maintenance of a proper balance in the influence of the cooperating partners.

(Ref: <https://www.who.int/bulletin/volumes/83/7/editorial10705html/en/>).

### **a. Principles of partnership/collaboration**

Although there is no single strategy for success, all partnerships need to adhere to a few basic principles based on mutual trust and shared decision making; national ownership; emphasis on getting research findings into policy and practice; and development of national research capacity (Costello & Zumla, 2000).

The eleven principles of research partnership (Ref: KFPE, 1998, p-8)

1. Decide on the objectives together
2. Build up mutual trust
3. Share information; develop networks
4. Share responsibility
5. Create transparency
6. Monitor and evaluate the collaboration
7. Disseminate the results
8. Apply the results
9. Share profits equitably
10. Increase research capacity
11. Build on the achievement

**b. General terms and conditions of research collaboration/partnership** Research can involve a wide range of collaborations/partnership between institutions/universities/industry internationally. In actual fact, the research practices differ between countries, but researchers shall comply with the law/guidelines of the country/ies and University policies even when conducting research outside the country. Furthermore, the collaboration for research projects with other organizations/researchers of other countries, always subject to certain terms and conditions, such as

1. The mutual agreement should be in writing regarding source, utilization, sharing of research funds before a project begins.
2. The mutual agreement should be in writing and follow the general principles such as integrity, honesty and a commitment to excellence.
3. The general principles include financial management, sharing intellectual property & financial returns, confidentiality, authorship and publications, consultancies, secondments, ethics approval, and ownership of equipment and research data, indemnity arrangements, obligations and reporting to relevant agencies as applicable etc.
4. Standard operating procedure should address the protocols to be followed by the partners when disseminating the research outcomes, and the management of primary research materials and research data.
5. The collaborating researchers should each identify a person to be involved in the management of research data, primary materials and other items to be retained at the end of the project.
6. Researchers involved in collaborative research should aware of, and comply with, all policies and written agreements affecting the project, particularly the: Conflict of Interest Procedures, Research Data and Primary Materials Policy, Authorship, Peer Review and Publication of Research Outputs Policy, Authorship, Peer Review and Publication of Research Outputs Procedure, Intellectual Property Policy; and Intellectual Property Procedures.

**c. Important factors to be considered for international research collaboration by researchers of all constituent Units of the University**

1. Country of origin of researcher/s
2. Country of present employment of the researcher/s



3. Country/ies to involve in the research project
4. International or inter-governmental relationship with India
5. Intended period of proposed research project
6. Intended duration of the proposed grant period
7. Annual research budget of the grant and the source of funding
8. Any "local" funds to be used in the conduct of the project
9. Nature of collaboration between the researchers/institutions/ universities/industry
10. Role of each researcher/s or collaborators
11. Do projects include (a) hiring local employees in the project, (b) opening local bank accounts or (c) enter into leases or other contracts for goods and services
12. Status of IRB approval for the project involving human subjects or recipients of services  
If so, how will they be used or what services will be provided? Are there any vulnerable populations impacted
13. Have you had any previous projects with the proposed researcher or any researcher from the country of origin of the research proposal/collaboration
14. What are the principal risks relating to the project, if any, that should be addressed in detail as per the guidelines/policy/laws/acts/accord of the Govt. of India

## **II. Approvals and Support for international research collaborations**

- a) All information related to international research collaborations whether at PI level, Institute level or University level is required to be disclosed to the University by the researcher.
- b) In case of any already ongoing collaborations, researchers should submit all the related documents, progress reports and other information to the office of the Dean/Director Research of the University, and further recommended to update the University office, regarding the same.
- c) All international academic/research collaborations require approvals taken from the respective authority and/or apex bodies. Statutory and ethics obligations are to be followed, wherever appropriate as per the clause 8.2 of 'Research Policy of Shri Dharmasthala Manjunatheshwara University, 2020-21.
- d) In case of international collaborations at the PI level, the PI should obtain the prior permission from the University by submitting details of the proposed research project, nature of collaboration, role of each collaborator and affiliated institutions/universities/industry to the office of the University. The formal approval of

the Head of the Institute is required only if the University resources (physical facility, manpower and/or guidance from the faculty) are being utilized for the projects under such collaborations.

- e) The support for establishing research collaborations, such as official communication with collaborators, exchange of required information/documents, negotiations, preparation of MoU documents, invitations, visiting arrangements etc., will be made/provided by the office of the Dean/Director Research of the University. The office of the Dean/Director Research of the University will serve as a central point of contact for any funded research projects involving international collaboration/partnership.
- f) The University will extend the support in the form of utilization of equipment, other basic facilities and administrative facilities as per terms and conditions of the grant throughout the duration of the project.
- g) The University will extend support to undertake the financial and other management responsibilities of the research project.
- h) Upon disclosure of the details of ongoing international collaboration, it is up to the discretion of the University regarding delegation of the management of funded research projects.

### **III. Hosting International Visitors**

- a) Referring to the points made on research objectives in the research policy of Shri Dharmasthala Manjunatheshwara University, Dharwad 2020-21 (1.1 & 4), the University fully supports the hosting of foreign visitors which may include students, researchers, officials and other individuals who may help achieve research goals of the University.
- b) The office of the Dean/Director Research of the University will serve as a central point of contact and make all the necessary arrangements for successful and hassle-free functioning of international research collaborations, including bureaucratic support for international research collaborators, research trainees, research students and research faculty to visit the University site, conduct research, disseminate the research data, interact with faculty and researcher at

the University etc. in compliance with the existing guidelines/laws/act of the Govt. of India and the policies of the University.

- c) University will extend the support to identify or provide accommodation and transportation facilities during the official visit and/or stay of international collaborators/research trainees/research students to the University site.
- d) In the case of international research collaborators/researchers, hosts should contact the office of the Dean/Director Research of the University early in the process to assist with permission from the University and obtaining the appropriate Visa.
- e) It is important to ensure that visiting collaborators, researchers and research students understand and accept the University policies and guidelines with respect to limitations on their use of University owned resources, dos and don'ts inside and/or outside the University campus, ethical issues, and intellectual property rights etc.
- f) All visiting faculty and researchers undertaking significant research activities at SDMU should have a formal appointment and visiting scientist agreement at the University
- g) University office will extend the support to make necessary arrangements to for short-term visits of foreign students, researchers, faculty, international officials or other individuals who intend to visit the lab/facility, to attend conferences and/or workshops as a participant or as a speaker up on taking approval from the Head of the University in compliance with the guidelines of the Government of India.

All other guidelines remain same as outlined in the PART-A of Shri Dharmasthala Manjunatheshwara University Research Policy 2020-21.

**ANNEXURE - I**  
**THRUST AREAS OF RESEARCH (INSTITUTION WISE) /**  
**UNIVERSITY PRIORITIZED RESEARCH AREA**

**I. SDM College of Medical Sciences and Hospital, Dharwad**

1. Microbiology
  - a. Bacteriology
    - i. Tuberculosis - drug resistance
    - ii. Diphtheria - Toxigenicity testing
    - iii. Non-typeable Shigella
    - iv. Exploring antibiotic combinations against multi drug resistant bacteria
    - v. Molecular typing of multi drug resistant bacteria
  - b. Virology
    - vi. Establishing Virology laboratory
  - c. Mycology
    - vii. Antifungal sensitivity testing
  - d. Parasitology
    - viii. Malaria - molecular diagnosis
    - ix. Malaria - drug resistance
2. Community Medicine
  - a. Communicable disease
  - b. Non - Communicable disease
  - c. Reproductive and child health
  - d. Nutrition
  - e. Health information and health management
  - f. Traditional Medicine
3. Pharmacology
  - a. Adverse drug reactions and Pharmacovigilance
  - b. Clinical Trials
  - c. Animal experimentation for novel molecule screening

4. Physiology
  - a. Breast Cancer Research
  - b. Preeclampsia Research
  - c. Medical Education
  - d. Autonomic Function Test and cognition in metabolic syndrome
5. Forensic Medicine
  - a. Forensic Pathology
  - b. Histo Pathological manifestation of poisoning
  - c. Analytical study of Plant / Animal poisons
6. Biochemistry
  - a. Metabolic syndrome
  - b. Cancer biology
  - c. Rheumatology
  - d. Inborn errors of metabolism etc.
7. Pathology
  - a. Oncopathology
  - b. Renal pathology
  - c. Gastro Intestinal pathology
  - d. Cytopathology
  - e. Immunohistochemistry
  - f. Foetal autopsy
8. Anatomy
9. CRL

## **2. SDM College of Dental Sciences and Hospital, Dharwad**

1. Dental Material Science
2. Oral Mucosa & Health
3. Drug Delivery Systems in Oral Cavity
4. Surgical / Implant Bioscience
5. Oral Cancer Research
6. Forensic Odontology –new perspectives
7. Biology of Periodontal Tissues & Pathogenesis of Periodontal Diseases
8. Repair and Regeneration of Periodontal Tissues including Osseo integration

9. Biomechanics of Temporomandibular joint, occlusion and orofacial pain
10. Digitization in Dentistry
11. Oral Health and Systemic Health Axis
12. Oral Microbiology in Health and Disease
13. Advanced Biological Research in Accelerated Orthodontic Tooth Movement
14. Cleft lip & palate and other developmental Anomalies of the Craniofacial Complex
15. Early childhood dental caries and its prevention

### **3. SDM College of Physiotherapy, Dharwad**

1. Orthopaedics Physiotherapy Unit
  - a. Non-Pharmacological treatment for pain
  - b. Exercise in Rehabilitation
  - c. Post-Operative Rehabilitation
  - d. Sports Assessment & Rehabilitation
2. Paediatric Physiotherapy Unit
  - a. Intervention in Paediatric Physiotherapy
  - b. Technology Based Intervention in Paediatric Physiotherapy
  - c. Aquatic Intervention
  - d. Autism – CDC
3. Neuro Physiotherapy Unit
  - a. Gait Rehabilitation in Neurological Conditions
4. Cardiorespiratory Physiotherapy Unit
  - a. Oxygen cylinder with vital monitor
5. Community Physiotherapy Unit
  - a. Improving Accessibility to Medical / Physiotherapy services for persons with disabilities of Hubli / Dharwad
  - b. Physical therapy roles in Community Based Rehabilitation
  - c. Guidelines / Exercises Prescription for Cancer Rehabilitation
  - d. Occupational Health Physiotherapy and return to work
  - e. Women's Health
  - f. Antenatal Exercise Prescription
  - g. Post-natal Rehabilitation Protocol
  - h. Pelvic floor training

**4. SDM Institute of Nursing Sciences, Dharwad**

1. Community Health Nursing
2. Adult Nursing
3. Child Health Nursing
4. Maternal Health (General Women's Health, Antenatal Care & Postnatal Care)

**5. SDM Research Institute for Biomedical Sciences, Dharwad**

1. Gut-Liver Axis
2. Gut-Pancreas Axis
3. Gut-Brain Axis
4. Glycobiology
5. Regenerative Medicine (Cells & Cell-based models & therapeutics)

**6. SDM Centre of Cellular and Molecular Sciences, Dharwad**

1. Cancer Biology
2. Host-pathogen interactions
3. Pharmacogenomics
4. Ageing and Regeneration
5. Traditional Medicine
6. Molecular and cellular diagnosis of diseases

**7. SDM College of Pharmaceutical Sciences, Dharwad**

1. Pharmaceutics
2. Pharmaceutical chemistry
3. Pharmacology
4. Pharmacognosy
5. Clinical Pharmacy

## **POLICIES ON INTELLECTUAL PROPERTY AND COMMERCIALIZATION**

The contemporary and stated Intellectual Property Policy of Shri Dharmasthala Manjunatheshwara (SDM) University endeavours to facilitate the protection and upliftment of Intellectual Properties (IP) generated during the scientific pursuit (of knowledge/resource) in the University and offer scope for ingenuity and commercialization. It targets the provision of unbiased intercession between the various interests involved.

In order to lessen the possibility of adopting a specification or other technology which might infringe on a patent or other IPR and to carry out its program of work in accordance with policies and procedures of the University, SDM University may place issue calls to its staff and faculty from time to time to disclose patents or other IPR ("patent calls") which are owned by them, or of which they might be aware, which might be infringed by the implementation of a specification proposed for adoption. Following guidelines will be adopted at the time of such a patent call.

### **OBJECTIVE**

The objective of this policy document is to lay down the policy to:

1. Promote, stimulate and encourage creative activities among the stakeholders of Shri Dharmasthala Manjunatheshwara University leading to generation of intellectual assets. The University encourages its researchers to file for patents arising out of their research for which a separate statute is already available.
2. Foster, stimulate and encourage creative activities in the widest sense in the areas of Medicine, Dentistry, Pharmacy, Biomedical & Allied Health Sciences, Public Health, Clinical Research, Physiotherapy, and Nursing.
3. Protect the legitimate interests of faculty/scholars/students of SDMU and the society and to avoid as far as possible conflict of opposing interests.
4. Lay down a transparent administration system for the ownership control and assignment of intellectual properties and sharing of the revenues generated by the intellectual properties generated and owned by SDMU.

### **DEFINITIONS**

The meaning of terms in these rules is as given below, unless the context otherwise requires.

1. "Copyright" means the exclusive right granted by law for a certain period of time to an author to reproduce, print, publish and sell copies of his or her creative work.
2. "Inventor/Creator" means any employee of SDMU, Dharwad and includes those who are on



probation, those who are employed on temporary basis either in SDMU and/or in projects and those who are research workers, research scholars or students who are responsible for the creation of an Intellectual Property, using the facilities of SDMU.

3. "Director" means the Director (Research) of SDMU, Dharwad who coordinates all research activities of SDM University, Dharwad.
4. "Intellectual Property" broadly includes any property generated out of intellectual effort of the Inventor(s), creator(s). It includes but not limited to
  - a. New and useful scientific and technical advancement in the form of innovations, inventions, products and processes, diagnostic kits, medical devices, drug candidates, materials, biological varieties etc. which are Patentable.
  - b. Teaching resource materials generated, records of research, manuals, innovative SOPs, surgical techniques, etc., which are copy rightable
  - c. Trademarks, service marks, logos etc.,
5. "IPR Committee" The committee constituted by the Vice Chancellor / Director (Research) from time to time to evaluate and make recommendations regarding IP related issues.
6. "Patent" means a patent granted under the provisions of the Indian Patents Act, 1970
7. "Patentee" means the person for the time being entered on the Register of Patents kept under the Indian Patents Act, 2002 as the generator or proprietor of the patent.
8. "Revenue" is any payment received as per an agreement by SDMU usually for legal use of an Intellectual Property through a license.

#### **APPLICABILITY:**

The Policy on Intellectual Property (IP) applies to the following personnel:

1. Employees (faculty members and staff) including permanent and temporary, visiting scholars, fellows, research scholars, and students associated with SDM University and include, but is not limited to, those who are directly under the University payroll and/or receive assistance in the form of fellowships, scholarships, honorarium, either from SDM University or from outside agencies (government and private institutions).
2. Employees, faculty, staff, research scholars, visiting scholars, fellows, or students who are making use of SDM University facility and resources, and include financial support to generate, file, and prosecute any form of intellectual property and invention-related issues.

3. Various forms of intellectual property under this policy include, but does not limit to, Patent, Copyright, Trademark / Service Mark, Design, Registration, Trade Secret, Confidential Information, Integrated Circuit Layout, and Plant Varieties.

### **OWNERSHIP OF INTELLECTUAL PROPERTY (IP):**

An invention for which an intellectual property application is filed wherein the University resources such as space, equipment, facilities are utilized and when the applicant(s) receive financial support towards professional and statutory fees for acquiring such intellectual property, such intellectual property will be assigned to SDM University.

Individuals, who obtain a patent or any other form of intellectual property or introduces an invention into the public domain without use of resources from the University or outside their regular assigned duties during official hours under terms of their appointment with the University, and without substantial involvement by the University personnel, shall retain full IP rights. These shall be brought to the notice of management before filing the same.

### **COPYRIGHTS**

Any original work of intellectual nature can be protected under copyright law. Ideas per se are not copyrightable but only in their expressed form. When the copyrightable pedagogical, scholarly, computer software, integrated circuit layouts, designs, films, cassettes, and other such literacy and artistic works, specified as copyrightable works under relevant Copyrights Act as amended from time to time by the government, which are created for SDM University, the author shall retain ownership of their original work, while at the same time granting SDM University and all implementers of its specifications full rights to revise, modify and create derivative works based on that original work, under the SDM University's own copyright.

If the University foresees a gainful return from copyrights, it may initiate steps to file and protect such copyrights and share the financial rewards with the inventor on terms and conditions of the University as specified from time to time.

When the copyrightable work is generated for an external Sponsor/University/Company of a foreign country / India then ownership will be jointly shared according to the agreement and MOU

between the external sponsor and the University. In case of copyrightable work created by other than SDM University personnel without the absolute intellectual contribution of SDM University personnel and SDM University resources, the respective author shall retain his / her ownership. Copyrights on books and publications authored by SDM University personnel shall be in the name of the respective authors.

In case of thesis and other such written document containing details of patentable IP, all measure to avoid attracting the public disclosure clause leading to denial of patent may be taken by Creator(s)/Inventor(s). It is best if the creator makes provisional patent filings before documenting the details of IP in thesis, paper and other document in concern with Directorate of Research.

All Ph.D./ M.D./M.S./M. Pharm/M.Sc. thesis can be copyrighted with a copyright note: © SHRI DHARMASTHALA MANJUNATHESHWARA UNIVERSITY (year).

All rights reserved. The Books, Technical reports, Review works, etc., may also be copyrighted, if the author wishes to copyright. Policy reports, Manuals, Programme specific curricula, Standard Operating Procedures (SOPs), novel e- resources etc., can also be submitted for copyright.

The author of a report may also request to copyright on behalf of SDMU any other material which he / she considers it as novel and unique contribution to teaching, healthcare and research.

While copyrighting the thesis, it is the responsibility of the Creator/Inventor to ensure that the contents do not violate any copyright rules. If diagrams, tables and text are reproduced from any other copyrighted work, prior permission is to be obtained by the Creators from the owner of the copyright document from where the material is taken.

If information from some other sources is included, appropriate acknowledgement has to be given to this source, as per copyright law and cleared through the software-based plagiarism check.

## **TRADE SECRETS**

SDM University employees are expected not to reveal Trade Secret information of the University to commercial entities or any third party, nor shall they sign nondisclosure agreements.

SDM University shall take relevant measures to ensure that the Trade Secret of the University is protected. If outside entities or third party asks employees of SDM University to sign a non-disclosure agreement, employees/staff/research scholars and students shall communicate all such requests to the Patent office, Dept. of Innovation, Research Director, and Personnel and Legal department for discussion and legal approval before signing these agreements.

## **INVENTIONS AND PATENTS**

An idea when manifested in tangible form is patentable provided it fulfils the below criteria for patentability:

1. Non-obviousness (the invention should be non-obvious to the person skilled in the art)
2. Utility (it should be commercially applicable) and
3. Novelty (invention may relate to a new product or an improvement of an existing one or a new process of manufacturing an existing or a new product)

If such a patentable invention is developed at SDM University and qualifies for protection under the relevant Acts of government related to patents, then the patent belongs to SDM University. It can be in the form of know-how, solutions, processes, genetically engineered microorganisms, scientific or technological developments, business models, and other forms as the need arises. The filing of a patent application shall be with the researcher as a named inventor.

In such instance or instances where the patent is owned by the University, the inventor or inventors have the right on such form of the intellectual property till the time protection of such intellectual property is agreed upon by the University and inventor(s) or the life of such intellectual property according to relevant act/agreement has expired. The University also reserves the right to initiate discussions on sale/license or technology transfer, the revenue sharing from either sale/license or transfer of technology shall be as specified in the royalty sharing clause mentioned below.

Whenever there is any patentable invention obtained under research or a related activity between an external sponsor and the University, it is subject to agreement between the involved parties and the stake of investor shall be subjected to the approval of the Directorate of Research and Vice-Chancellor.

Party shall grant to each of the other parties and their respective affiliates, a nonexclusive worldwide, perpetual, irrevocable, non-sub licensable license under any of such party's claims in its contributions, solely to make, have made, use, import, offer to sell, sell and otherwise distribute and dispose of complaint portions as agreed upon; provided that such license need not extend to any part or function of a product in which a complaint portion is incorporated that is not itself part of the compliant portion. Such license shall be granted on a royalty-free basis or will be subject to otherwise reasonable and non-discriminatory terms.

## **ROYALTY SHARING**

Net revenue received by the University through sale/license or technology transfer of intellectual property of such inventions or creative works, the royalty shall be distributed as follows, unless otherwise specified in arrangements for commissioned works or as per the MOU.

	<b>Royalty Sharing Percentage</b>
Inventor	50%
University*	50%
<b>Total</b>	100*

\*50% share of the University shall be distributed as:

- a. To the Inventor(s) department (10%)
- b. To the Inventor(s) Institution (10%) and
- c. To SDM University (30%) (Overhead)

In the case of an intellectual property jointly held by the constituent institutions of SDM University, the distribution of share to the department and to the respective institution that the inventor is affiliated to has to be communicated by the lead investigator to the University. In no case, such a share should cumulatively exceed 20% of the allotted share.

In an event when more than one inventor contributes to the generation of the intellectual property then the percentage of royalty shall be equal among the inventors unless otherwise specified, contingent upon such invention being sold, licensed, or transferred under a technology transfer agreement with third party/parties. No royalty shall be claimed by the inventor(s) for patents that fail to generate interest for sale, licensing, or technology transfer.

## **TECHNOLOGY TRANSFER**

In consonant with the laws of the land and regulation of SDMU, the SDM University reserves the right to initiate and commercially leverage the intellectual property of the University or jointly owned with other institutes/universities/industries under the agreements dealing with technology transfer, licensing and revenue sharing models in consultation with the named inventors.

In the case of sponsored activity, the sponsored industry/organization will have the first right to commercially leverage the intellectual property or products originating from the collaboration activity, whether or not the same have been formally protected by patent(s).

In the case of sponsored activity, if the sponsored industry/organization fails to commercially leverage the intellectual property or products within ONE year from the first date of development of the technology, then SDM University shall reserve the right to transfer the said know-how to a third party for its commercial advantage. However, the SDM University shall share the net revenues derived henceforth with the sponsored organization/industry as per the agreement regarding Technology Transfer.

## **CONFLICT OF COMMITMENT AND INTERESTS:**

To manage and minimize conflict over intellectual property rights, all potentially patentable inventions created or discovered by faculty in the course of their University activities, or with use of University resources, must be disclosed to the SDM University on a timely basis ("Patent calls"). The inventor(s), to the respective Heads of Institutions, should disclose any conflict of interest or any potential conflict of interest.

SDM University discourages its employees, faculty members, staff (permanent and temporary), visiting scholars, fellows, research scholars, and students against any legal recourse. In case of any disputes regarding the implementation of intellectual property policy, efforts shall be made to address the concerns of the inventor(s) by developing and incorporating an arbitration mechanism and arrangement, or any other suitable mechanism as agreed upon by the parties and arriving at an amicable solution. The decision taken in this regard by the Vice-Chancellor of SDM University shall be final and binding to all the parties under dispute.

## **INFRINGEMENT**

SDM University shall retain the right to engage in or abstain from any lawsuit concerning patent and license infringements.

SDM University shall ensure that University personnel have an insurance clause built into the agreement with the licensee(s) while transferring technology or copyrighted material to licensees.

## **MODUS OPERANDI**

All applications for patents should be dispatched to the respective Head of Institution, irrespective of whether the inventions have resulted from in-house research/project or projects under sponsored activity. The Head of Institution must ensure that the foreseeable intellectual property under discussion is not revealed in the public domain or discussed with people not connected with the research pertaining to intellectual property.

The application for patent or any other form of intellectual property shall be analysed/inspected by the Intellectual Property Advisory Board (IPAB) of SDM University comprising the following:

<b>Sl. No.</b>	<b>Members</b>	<b>Designation</b>
1	Vice-Chancellor Shri Dharmasthala Manjunatheshwara University	Chairman
2	Director Administration Shri Dharmasthala Manjunatheshwara University	Vice-Chairman
3	Registrar/Dy. Registrar Shri Dharmasthala Manjunatheshwara University	Member
4	Research Director Shri Dharmasthala Manjunatheshwara University	Convenor
5	Medical Superintendent SDM College of Medical Sciences and Hospital	Member
6	Head of Inventor (optional)	Member
7	Head of the Institution Concerned	Member
8	Representative from Patent Office	Member
9	Representative of Personnel, Finance & Legal Department	Member

The inventor(s) are required to make a brief presentation of their invention to the

Intellectual Property Advisory Board of the University. Based on the outcome reached through discussion by the Board members with the research team, further processing of the application shall commence through the approved attorney or agency by the University.

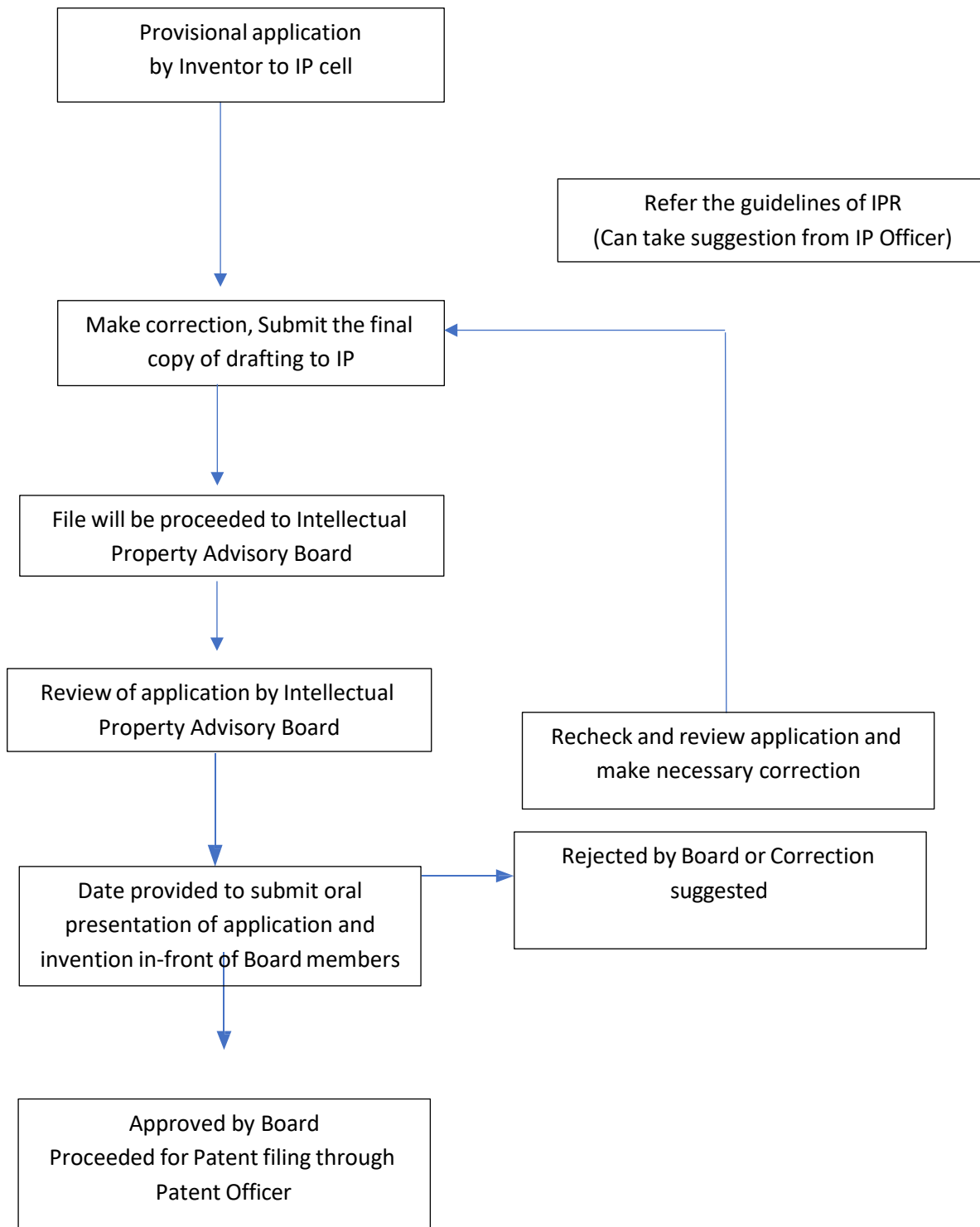
If the inventor(s) decide to abandon or withdraw the application for a patent at any stage after the filing of applications, prior approval of the Intellectual Property Advisory Board is mandatory.

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### **FLOW CHART FOR PATENT APPLICATION**



## PATENT CALL FORM

Technology	
Name of the Inventor, Designation, Affiliation	
Co-Inventor	
Collaboration if any (non-affiliated to SDM University)	
Type of patent	
Patent application (Individual/In association with the University)	
Status of the complete patentability search	
<b>Technology Details</b>	
Type	
Summary of technology (Approx. 250 words)	
Features	
USP-Unique Selling Point	
Areas of Application (Technology Edge)	
Stage of Technology	
Validation (Internal/3 <sup>rd</sup> Party)	
Prototype	
Issues (If any)	

**(Institutional letter head) Undertaking by the Inventor/Investigator**

I, \_\_\_\_\_ hereby declare that all the information provided above is true to the best of my knowledge. I declare that, as a result of my investigation and innovation, I have invented a process/product/design and it is not disclosed and published by me or any of the co-inventors. I also undertake that I will not disclose the process or product information to any other parties. I will abide by the Intellectual Property and Commercialization policies and guidelines of the SDM University (attached with the form). I will be bound by the SDM University guidelines for the reimbursement of any incentive, seed money, expenses for filling the patent or invention, design, copyright, etc.

**Signature of Investigator/Inventor**

## **POLICIES ON PUBLICATIONS**

Scientific and scholarly publications provide the main vehicle to disseminate findings, thoughts, and analysis to the scientific, academic, and lay communities. For academic activities to contribute to the advancement of knowledge, they must be published in sufficient detail and accuracy to enable others to understand and elaborate the results. For the authors of such work, successful publication improves opportunities for academic funding and promotion while enhancing scientific and scholarly achievement and reputation. At the same time, the benefits of authorship are accompanied by a number of responsibilities for the proper planning, conducting, analysis, and reporting of research, and the content and conclusions of other scholarly work. As a respected member of the academic community, it is the responsibility of Shri Dharmasthala Manjunatheshwara University (SDMU) to protect these fundamental elements of the scientific and scholarly process. This policy provides an educational resource describing the essential considerations and requirements in responsible authorship and publication at Shri Dharmasthala Manjunatheshwara University.

### **Policy on Authorship**

The following principles define Shri Dharmasthala Manjunatheshwara University's policy on authorship of publications.

#### ***1. Defining Authorship***

An author is generally considered to be an individual who has made substantial intellectual contributions to a scientific investigation. All authors should meet the following three criteria, and all those who meet the criteria should be authors:

- a. **Scholarship:** Contribute significantly to the conception, design, execution, and/or analysis and interpretation of data.
- b. **Authorship:** Participate in drafting, reviewing, and/or revising the manuscript for intellectual content.
- c. **Approval:** Approve the manuscript to be published.

#### ***2. Lead Author***

As a practical matter in the case of publications with multiple authors, one author should be designated as the lead author. The lead author assumes overall responsibility for the manuscript, and also often serves as the managerial and corresponding author, as well as providing a

significant contribution to the research effort. A lead author is not necessarily the principal investigator or project leader. The lead author is responsible for:

- a. Authorship: Including as coauthor, all and only those individuals who meet the authorship criteria set forth in this policy.
- b. Approval: Providing the draft of the manuscript to each individual contributing author for review and consent for authorship. The lead author should obtain from all coauthors their agreement to be designated as such and their approval of the manuscript. A journal may have specific requirements governing author review and consent, which must be followed.
- c. Integrity: The lead author is responsible for the integrity of the work as a whole, and ensuring that reasonable care and effort has been taken to determine that all the data are complete, accurate, and reasonably interpreted.

### **Coauthors**

All co-authors of a publication are responsible for:

- a. Authorship: By providing consent to authorship to the lead author, coauthor acknowledge that they meet the authorship criteria set forth in section 1 of this policy. A coauthor should have participated sufficiently in the work to take responsibility for appropriate portions of the content.
- b. Approval: By providing consent to authorship to the lead author, co-authors are acknowledging that they have reviewed and approved the manuscript.
- c. Integrity: Each co-author is responsible for the content of all appropriate portions of the manuscript, including the integrity of any applicable research. An individual retains the right to refuse co-authorship of a manuscript if she does not satisfy the criteria for authorship.

### **4. Authorship Order**

The order of authors is a collective decision of the authors or study group. This policy does not address questions or disputes regarding the order of authorship on publications. It is not possible for the University to define the order of authorship. In conjunction with the lead author, co-authors should discuss authorship order at the onset of the project and revise their decision as needed. All authors must work together to make these informed judgments. Duplication submission and duplicate publication are not permitted. Plagiarism check should be strictly followed.

## **5. Research Funding**

All authors, in manuscripts submitted for review and publication, must acknowledge/disclose the source(s) of support for the work. Support includes research and educational grants, funding bodies, salary or other support, contracts, gifts, and departmental, institutional and hospital support.

## **6. Financial Conflicts of Interest**

Authors shall fully disclose, in all manuscripts to journals, all relevant financial interests that could be viewed as a potential conflict of interest or as required by the University and/or journal. All such financial interests must also be reported internally as required by the University's conflict of interest policies.

## **University Publications Committee**

The University shall establish a University Publications Committee to formulate procedures and guidance within the scope of this policy and to take decisions on approval of series titles and other strategic issues related to publications.

## **Administrative Procedures**

The University Research Cell shall be responsible for the management of this policy.

## **Dispute Resolution**

If a dispute or concern arises with regard to the application, efforts should be made to resolve it through informal discussion. If the dispute persists, the aggrieved party may refer the dispute for resolution to the Chair, University Research Advisory Committee, through their Departmental Head.

## **INNOVATION AND ENTREPRENEURSHIP POLICY**

### **Preamble**

The global economy is emerging at an increasing pace with knowledge-based innovations, smart technology and disruptive business models. Accordingly, Govt. of India introduced Startup India policy in 2016. To develop the culture of Innovation and Entrepreneurship (InE) in Higher Education Institutions (HEIs), Ministry of Education (MoE) introduced National Innovation and Startup Policy (NISP) 2019 for Students and Faculty: A Guiding Framework for Higher Education Institutions. Therefore, to have a robust Innovation ecosystem at SDMU, it is proposed to have a comprehensive policy addressing multidisciplinary applied research, innovation, technology development, incubation, with the involvement of students, faculty, alumni, society and industry.

### **1. Objectives**

1. Develop platforms, facilities, resources and services to promote Innovation and Entrepreneurship amongst all SDMU Institutions.
2. Handhold and address all needs and challenges of our innovators and entrepreneurs with highest ethical standards in the implementation of these policies.
3. Develop a culture of co-creation and to translate research beyond Intellectual Property (IP) and Technology development, to technology commercialization through venture creation.
4. Supporting enterprises meeting societal needs at regional, national and global level.

### **2. Strategies and Governance**

A SDMU level committee headed by the Vice Chancellor will oversee the progress/development from time to time. Directorate of Research, Innovation Center, BIs (Bioincubator), Technology Transfer Office, Alumni Relations, Corporate Relations (as applicable) will facilitate to develop a robust Innovation ecosystem at SDMU. Each constituent Unit, Department and various Centers of SDMU are required to encourage their faculty/staff, students to work towards innovation, technology development, entrepreneurship journey. The policy will be reviewed by SDMU, as and when required. Conflicts, disputes, if any, will be resolved by a committee formed by the Vice Chancellor.

### 3. Policy

The policy objectives are designed to promote innovation and entrepreneurship among its stakeholders to transform innovative ideas, fused with business/social acumen to create a potential impact on socio-economic transformation locally and globally. The policy will cover faculty, staff, students and alumni of all constitutive units of Shri Dharmasthala Manjunatheshwara University (SDMU), Dharwad. Specific policy details are covered by this guidance document along with respective Intellectual Property Rights (IPR), Faculty Entrepreneurship, Student's Innovation & Entrepreneurship policy, and Technology Business Incubator policy.

1. The Innovation ecosystem is available to any SDMU student, faculty or staff who has an innovative, technically viable, financially feasible and scalable idea addressing the needs by creating competitive solutions and willing to establish ventures.
2. Innovation & Entrepreneurship Cells to be created at institute level with one faculty coordinator to promote student/faculty entrepreneurship through awareness programs, boot camps, hackathons, pitch sessions at all constitutive units of SDMU.
3. Faculty/staff can work as a Mentor/Consultant/Advisor or pursue part-time employment for any company. Such activities must be outside their regular working hours and must not conflict with University related activities. Terms of engagement should be documented to avoid conflict of interest.
4. It is the responsibility of the startups to obtain all approvals and clearances from appropriate regulatory bodies wherever necessary, before the commencement of business activities.
5. **IPR Policy:** Intellectual property generated during the incubation at Bio Incubator (BI) using the facility of BI by faculty/ staff/ student/alumni will be wholly owned by them. Intellectual property generated using external funding or resources of SDMU or BI will be as per their guidelines. Eligible faculty/staff of SDMU and its constituent institutions would be facilitated to start companies for further commercialization of IP created by them at SDMU. In such cases, SDMU will transfer IP/ Technology to the startup based on mutually agreed consideration. For all, innovation and technology development work carried out within SDMU, IPR policy of SDMU is applicable.



6. **Faculty Entrepreneurship Policy:** Faculty must clearly separate and distinguish ongoing research at the institute from the work conducted at the startup. SDMU faculty are encouraged to create their own ventures and are governed by SDMU Faculty Entrepreneurship policy.
7. **Student's Innovation and Entrepreneurship Policy:** All full time Undergraduate, Post graduate and Research scholars are governed by SDMU Student's Innovation and Entrepreneurship policy.
8. **Bio Incubator Policy:** SDMU students, faculty and alumni are encouraged to have their startup incubated at Bioincubator. Startups incubated at SDMU BI are governed by the BI policy.
9. Necessary approval from the ethics committee is required, before the commencement of any testing or trials conducted with human subjects.
10. It is advised that aspiring entrepreneurs clearly understand the purpose and also carryout sufficient homework with their team, before taking a call on entrepreneurial journey.

#### **4. Impact Assessment**

Impact assessment for measuring success is in terms of sustainable social, financial and technological impact in the market. Innovation Center/BIs would be facilitating for measuring the progress/impact of innovations at various units/centers of SDMU. However, commercial success would be the focus in future.

#### **5. Way Forward**

Various units and Centers of SDMU are required to work with Innovation Center and BIs by involving their faculty, staff, alumni and students to develop a globally recognized Innovation ecosystem at SDMU.

## **SDMU Intellectual Property Policy**

The contemporary and stated Intellectual Property Policy Shri Dharmasthala Manjunatheshara University (SDMU) endeavors to facilitate the protection and upliftment of intellectual properties generated during the scientific pursuit (of knowledge/resource) in the University and offer scope for ingenuity and commercialization. It targets the provision of unbiased intercession between the various interests involved.

In order to lessen the possibility of adopting a specification or other technology which might infringe on a patent or other IPR, SDMU will, in the course of carrying out its program of work, and in accordance with such Policies and Procedures of the University as may be in place from time to time, issue calls to its staff and faculty to disclose patents or other IPR ("patent calls") which are owned by them, or of which they might be aware, which might be infringed by the implementation of a specification proposed for adoption. Such a patent call shall be made at such times as the SDMU's policies and procedures shall provide.

### **Applicability**

The Policy on Intellectual Property (IP) is applicable to following personnel:

1. Employees, faculty members, staff (permanent and temporary), visiting scholars, fellows, research scholars and students associated with SDMU and include, but is not limited to, those who are directly under the University payroll and/or receive assistance in the form of fellowships, scholarships, honorarium, either from SDMU or from outside government and private institutions/agencies.
2. Employees, faculty, staff, research scholars, visiting scholars, fellows or students who are making use of SDMU facility and resources, and include financial support to generate, file and prosecute any form of intellectual property and invention related issues.
3. Various forms of intellectual property under this policy include, but does not limit to, Patent, Copyright, Trademark / Service Mark, Design Registration, Trade Secret, Confidential Information, Integrated Circuit Layout and Plant Varieties.

## **Ownership of IP**

An invention for which an intellectual property application is filed where in the University resources like space, equipment, facilities, are utilized and when the applicant(s) receive financial support towards professional and statutory fees for acquiring such intellectual property, the assignee of such intellectual property will be SDMU.

Individual(s), who obtains a patent or any other form of intellectual property or introduces an invention into public domain without use of resources from the University or outside their regular assigned duties during official hours under terms of their appointment with the University, and without substantial involvement by University personnel, shall retain full IP rights.

## **Copyrights**

Any original work of intellectual nature can be protected under copyright law. Ideas per se are not copyrightable but only in their expressed form.

When the copyrightable pedagogical, scholarly, computer software, integrated circuit layouts, designs, films, cassettes and other such literary and artistic works, specified as copyrightable works under relevant Copyrights Act as amended from time to time by the government, are created for SDMU, the author shall retain ownership of their original work, while at the same time granting SDMU and all implementers of its specifications full rights to revise, modify, and create derivative works based on that original work, under the SDMU's own copyright.

If the University foresees a gainful return from copyrights, it may initiate steps to file and protect such copyrights and share the financial rewards with the inventor on terms and conditions of the University as specified from time to time.

When the copyrightable work is generated for an external sponsor/University/company of foreign country/India then ownership will be jointly shared according to the agreement between external sponsor and the University.

In case of copyrightable work created by non-SDMU personnel without absolute intellectual contribution of SDMU personnel and SDMU resources the respective author shall retain his/her ownership.

Copyrights on books and publications authored by SDMU personnel shall be in the name of the respective authors.

### **Trade Secrets**

SDMU employees are expected not to reveal Trade secret information of the University to commercial entities or any third party, nor shall they sign non-disclosure agreements. SDMU shall take relevant measures to ensure that the Trade secret of the University is protected. If outside entities or third party asks employees of SDMU to sign non-disclosure agreement, employees/staff/ research scholars and students shall communicate all such requests to Technology Transfer Office, Directorate of Research, and Personnel and Legal department for discussion and legal approval before signing these agreements.

### **Inventions and Patents**

An idea when manifested in tangible form is patentable provided it fulfills the below criteria for patentability:

- Non-obviousness (the invention should be non-obvious to the person skilled in the art)
- Utility (it should be commercially applicable) and
- Novelty (invention may relate to a new product or an improvement of an existing one or a new process of manufacturing an existing or a new product)

If such a patentable invention is developed at SDMU and qualifies for protection under the relevant Acts of government related to patents, then patent belongs to SDMU. It can be in the form of know-how, solutions, processes, genetically engineered microorganisms, scientific or technological developments, business models and other forms as the need arises. The filing of a patent application shall be with the researcher as named inventor.

In such instance or instances where the patent is owned by the University, the inventor or inventors have the right on such form of intellectual property till the time protection of such intellectual property is agreed upon by the University and inventor(s) or the life of such intellectual property according to relevant Acts have expired. The University also reserves the right to initiate discussions on sale/license or technology transfer of patents or other forms of intellectual property and which are deemed suitable for such activity. In the event of successful outcome through sale/license or technology transfer, the revenue sharing from either sale/license or transfer of technology shall be as specified in the royalty sharing clause mentioned below.

Whenever any patentable invention is obtained under research or a related activity between an external sponsor and the University then it is subject to agreement between the involved parties.

Party shall grant to each of the other parties and their respective affiliates, a nonexclusive, worldwide, perpetual, irrevocable, non-sub licensable license under any (if any) of such party's claims in its contributions, solely to make, have made, use, import, offer to sell, sell and otherwise distribute and dispose of compliant portions as agreed upon; provided that such license need not extend to any part or function of a product in which a compliant portion is incorporated that is not itself part of the compliant portion. Such a license shall be granted on a royalty-free basis or will be subject to otherwise reasonable and nondiscriminatory terms.

### **Royalty Sharing**

Net revenue received by the University through sale/license or technology transfer of intellectual property of such inventions or creative works, royalty shall be distributed as follows, unless otherwise specified in arrangements for commissioned works.

	<b>Royalty sharing percentage</b>
Inventor	50%
University*	50%
Total	100%

\*50% share of the University shall be distributed as: (a) to the inventor(s) department (10%), (b) to the inventor(s) Institution (10%) and (c) to SDMU (30%). In case of an Intellectual Property jointly held by the constituent institutions of SDMU, the distribution of share to inventor(s) department and inventor(s) institution have to be communicated by the lead investigator to the University. In no case such share should cumulatively exceed 20% of the allotted share.

In an event when more than one inventor contributes for the generation of the intellectual property, the percentage of royalty shall be equally shared among the inventors, contingent upon such invention being sold, licensed or transferred under technology transfer agreement with third party(ies). No royalty shall be claimed by the inventor(s) for patents which fail to generate interest for sale, licensing or technology transfer.

### **Technology Transfer**

SDMU reserves the right to initiate and commercially leverage intellectual property of the University or jointly owned with other institute/University/industry under the agreements dealing with technology transfer, licensing and revenue sharing models in consultation with the named inventors.

In the case of sponsored activity, the sponsored industry/organization will have the first right to commercially leverage the intellectual property or products originating from the collaboration activity, whether or not the same have been formally protected by patent(s).

Commercially leverage the intellectual property or products within **one** year from the first date of development of the technology, then SDMU shall reserve the right to transfer the said know-how to a third party for its commercial advantage. However, SDMU shall share the net revenues derived henceforth with the sponsored organization/industry as per the **agreement regarding technology transfer/consultancy**

### **Conflict of Commitment and Interests**

To manage and minimize conflict over intellectual property rights, all potentially patentable inventions created or discovered by faculty in the course of their University activities, or with use of

University resources, it must be disclosed to the University on a timely basis ("Patent calls").

The inventor(s), to the respective Heads of Institutions, should disclose any conflict of interest or any potential conflict of interest.

SDMU discourages its employees, faculty members, staff (permanent and temporary), visiting scholars, fellows, research scholars and students against any legal recourse. In case of any disputes regarding the implementation of intellectual property policy efforts shall be made to address to the concerns of the inventor(s) by developing and incorporating an arbitration mechanism and arrangement, or any other suitable mechanism as agreed upon by the parties and arrive at an amicable solution. The decision taken in this regard by the competent authority of SDMU or through arbitration shall be final and binding to all the parties under dispute.

### **Infringement**

SDMU shall retain the right to engage in or abstain from any lawsuit concerning patent and license infringements.

SDMU shall ensure that SDMU personnel have an insurance clause built into the agreement with the licensee(s) while transferring technology or copyrighted material to licensees.

### **Modus Operandi**

All applications for patents should be dispatched to respective Head of Institution, irrespective of whether the inventions have resulted from the in-house research/project, or projects under sponsored activity. The Head of Institutions of SDMU ensure that the foreseeable intellectual property under discussion is not revealed in public domain or discussed with people not connected with the research pertaining to intellectual property.

The application for patent or any other form of intellectual property shall be analyzed/inspected by the Intellectual Property Advisory Board of SDMU comprising the following:

<b>SL #</b>	<b>Names of persons</b>	<b>Designation</b>
1	Vice Chancellor SDMU	Chairman
2	Registrar, SDMU	Member
3	Director of Research SDMU	Member
4	Head of Institution of the concerned Institute SDMU	Member
5	Coordinator – IPO officer	Convener
6	Representatives of Finance, Legal Department and Human Resources Department may be consulted on case to case basis	

The inventor(s) are required to make a brief presentation of their invention to the Intellectual Property Advisory Board of the University. Based on the outcome reached through discussion by the Board members with the research team further processing of the application shall commence through the approved attorney or agency by the University.

If the inventor(s) decides to abandon or withdraw the application for a patent at any stage after filing of application, prior approval of the Intellectual Property Advisory Board is mandatory.



## **SDMU Faculty Entrepreneurship Policy**

### **Preamble:**

The global economy is fast becoming a knowledge- and innovation-based economy. While Shri Dharmasthala Manjunatheshwara University (SDMU) is one of the country's leaders in disseminating knowledge, its wide range of colleges and its dynamic and enterprising faculty, staff and students, make SDMU ideally positioned to excel in innovation and entrepreneurship. This will have a profound, transformative effect on the innovators, SDMU, local region and the country. It is with this intent that SDMU encourages faculty, staff and students of all constituent institutions, to actively engage in Innovation and Entrepreneurship.

### **Objective:**

To encourage SDMU faculty, staff and students to actively engage in Innovation and Entrepreneurship.

- Fostering innovative ideas, fused with business acumen has the potential to drive the economy engine locally and globally.
- SDMU is committed to avoiding perceived, potential or actual conflicts of interest issues that are bound to arise with faculty startups and to uphold the highest ethical standards in the implementation of these policies.

### **Policy:**

These policies are designed to enable entrepreneurs to assist in translating faculty, staff and student technologies into meaningful commercial use without jeopardizing the educational mission of SDMU and will be constantly evolving.

1. Eligible faculty of SDMU and its constituent institutions would be encouraged and facilitated to start companies based on innovative ideas and business opportunities or intellectual property (IP) created by them at SDMU or IP transferred with the approval of SDMU.
2. Company be registered as per the Indian Companies Act. The faculty/staff can be one of the promoters, executives in the management team, or a board member of the company.
3. SDMU faculty/staff cannot be salaried employees of the startup.

4. Faculty aspiring to become entrepreneurs are encouraged to register their startup at SDMU BI. SDMU BI incubated startup will provide 3% equity to incubator. The admission to SDMU BI will be as per the BI policy. If Faculty, wishes his/her startup not to be incubated at incubator, they need to obtain No objection certificate from SDMU.
5. Intellectual property rights generated using SDMU facilities will be shared between the company and SDMU in the ratio of 60:40. The cost of patent filing and maintenance will be borne by the company.
6. The faculty/staff or the company can choose to file the IP through SDMU. In which case, it will come under the "SDMU Intellectual Property Policy" and the Inventors: University ratio is 50:50. In this case SDMU bears all patent filing and maintenance costs.
7. For IP assigned to SDMU, faculty/staff inventors will be eligible for rights of first refusal in any licensing.
8. It is the responsibility of the startups to obtain all approvals and clearances by appropriate regulatory bodies wherever necessary, before the commencement of business activities.
9. If a faculty startup wants to offer internship or part-time employment to SDMU students, then prior approval needs to be obtained from the respective institution head. We strongly recommend student interns to sign non-compete/non-disclosure agreements.
10. Faculty/staff can work as a Mentor/Consultant/Advisor, or pursue part-time employment for any company. Such activities must be outside their regular working hours and must not conflict with University related activities.
11. Startup related work is generally limited to approximately 8 hours or 1 day per week, as long as this does not infringe upon their regular employment duties at SDMU. In extenuating circumstances, if a faculty needs to devote additional time to their startup, they can approach the University with prior approval from their Head of Institute and the SDMU BI.
12. Before initiating any ventures or consulting agreements covered by this policy, faculty/staff must inform their respective institutional heads followed by final approval from Registrar, SDMU.
13. If perceived, potential or actual conflicts of interest are not resolved at the institutional level, then the SDMU advisory committee will review them and provide recommendations. The committee membership comprises the following or their nominees. Recommendations of the committee shall be final and binding to all parties.

- Vice-Chancellor, SDMU
- Registrar, SDMU
- Concerned Head of the institution of SDMU
- Director - Research
- HR, Legal, Finance representative of SDMU (as needed)

## **SDMU Student's Innovation and Entrepreneurship policy**

### **Goals**

- To create a culture of Innovation and Entrepreneurship amongst all SDMU students.
- To increase the number and quality of innovation concepts and startups in SDMU. The following objectives are made to achieve these goals:
  1. Institutes will provide curricula training in innovation and entrepreneurship.
  2. Support student innovators and entrepreneurs through their journey by providing access to facilities and resources needed to develop concepts, prototypes and facilitate their start-ups.
  3. Create an interdisciplinary network of students and mentors across all SDMU institutions.

**What is Innovation:** Developing and implementing novel solutions for intractable problems. Students need to work within multidisciplinary teams to identify and assess needs in the community, follow design-thinking principles to understand the users, brainstorm novel solutions, develop prototypes and prepare for commercialization. Innovation projects can be registered in the online database at the Innovation Center.

**Students** refer to all undergraduate and post-graduate students, as well as Research Scholars at all SDMU institutions on all campuses.

### **Policy**

#### **1. Curricula Training in Innovation & Entrepreneurship (Academic Credit):**

Various SDMU Institutes can offer a variety of courses in Innovation and Entrepreneurship to their students and as Open Electives for students of other institutes. These include:

- a. **One Course Credit for completing an innovation project:** SDMU institutes can consider giving students a one-time, three-hour course credit for driving an innovation project from concept to a fully functioning prototype.
- b. **Undergraduate Thesis Project:** Student Teams can consider their Innovation and Entrepreneurship project, conducted at the Innovation Center or at SDMU BI for their final year thesis or project requirement towards a degree at their institute. Instead of a final report, students can prepare a comprehensive technology development and business plan.

- c. **Courses in Innovation and Entrepreneurship:** All SDMU institutes will offer seminars, workshops, short courses and credit courses on Innovation and Entrepreneurship to their students.
2. **Encourage Student Innovation Projects and Startups:** Students are encouraged to work on their innovation projects at various Innovation and Entrepreneurship facilities across SDMU.
- a. Students can apply to Innovation center or BI to take their innovation projects to the next stage with access to Makerspace, co-working space and other facilities, if selected they can receive SDMU seed-funding.
  - b. Students are encouraged to form inter-disciplinary teams for their projects. Team members can be from other SDMU institutes, or other institutions.
  - c. Students can work on their Innovation and Entrepreneurship projects during the academic year, as well as during between-semester breaks.
  - d. Students are permitted to take their projects developed at SDMU to other institutes or incubators, with due permission and agreement from their founding team members and SDMU Tech Transfer Office.
  - e. The Innovation Center will organize an Advisory Council with members representing various SDMU institutions and develop SOPs for providing seed funding for innovation projects. In case of higher funding requirement, the proposal will be referred to SDMU committee for advancement as per SOPs.
3. **Commercialization potential for students'/researchers' project/thesis work:** We will improve the student's participation in Innovation and Entrepreneurship type of project/thesis work via the following:
- a. Conduct Innovation/Entrepreneurship awareness lectures as part of the Research Methodology Course for all post-graduate students.
  - b. Thesis advisors, Project guides and mentors will evaluate project proposals of undergraduate and post graduate students, for commercialization potential and recommend for Institutional IPR. These evaluations will be performed at the Dept/Institute level for UG/PG project.

- c. Commercial potential of the Ph.D. work of researcher scholars will also be evaluated at the early stage by RAC/Research Director considering the inputs from experts.
- 4. **Student Teams own Intellectual Property Rights (IPR) for their Innovations:** Students can file their Intellectual Property Rights independently through their own lawyers or go through the SDMU patent office. In both cases, student innovators are listed as Inventors.
- 5. **Faculty Mentors:** Students can receive guidance from faculty Mentors for all their innovation and entrepreneurship projects in the areas of idea development, business model development, accounting assistance, technology development, etc.
- 6. **Using Research Facilities:** Students innovators have permission to use SDMU research facilities across all SDMU institutions for their innovation and entrepreneurship projects.
- 7. **Innovation and Entrepreneurship Cell:** SDMU Institutes will organize student innovation and entrepreneurship cells with a faculty coordinator, to promote student-driven innovation and entrepreneurship through awareness programs, boot camps, ideation competitions and hackathons as per the interests of the students. The Innovation Center/SDMU Business Incubator can guide, facilitate and support such activities at individual institutes.

### **SDMU Bio Incubator (BI) Policy**

1. Students, researchers, faculty, alumni, employees of SDMU and others can avail themselves of facilities and resources of BIs.
2. Students, researchers, faculty, alumni and employees of SDMU (during their studies or work tenure) can incorporate a private limited company/LLP/Sec8 company under the Indian Companies Act at SDMU BIs.
3. Students, alumni and researchers can undertake live projects at BI as part of their academic degree utilizing the facilities of BIs.
4. Students, researchers, faculty, alumni and employees of SDMU need to follow admission procedures of the BI and qualify through the screening process to get admitted for different programs according to the technology readiness level from time to time (Pre-incubation & Incubation)
5. BIs provides a common pool of hard and soft infrastructure to be shared by all incubated companies. Infrastructure and Services are provided to incubatee at a subsidized rate
6. Intellectual Property generated during the incubation at BI by faculty/ staff/ student/alumni will be wholly owned by them.
7. Students, researchers, faculties, and current employees of SDMU are eligible to apply for SDMU Seed Funding and can work at BIs for their Innovation and Entrepreneurship.
8. BIs will place mechanisms for periodic assessment of incubatee and evaluate the performance every 3 months.
9. BIs will execute agreements with incubatees and shall follow rules and regulations of BI
10. Incubatees of BIs can explore the availability of various funds/ grants/ schemes meant for this purpose as per the eligibility, terms and conditions of grants/funding agency.
11. Researchers, faculty, alumni and employees of SDMU can be associated with incubatees of SDMU BIs in capacities of mentor, advisor, consultant and service provider.
12. SDMU shall share the available facilities, necessary resources and support through various committees for the incubatees of SDMU BI for technology development and commercialization, subject to mutual understanding and necessary approvals for their innovation and entrepreneurship activities.

## **POLICIES ON CONSULTANCY ACTIVITIES**

### **POLICY STATEMENT**

Shri Dharmasthala Manjunatheshwara University (SDMU), Dharwad encourages faculty and staff members to actively engage in consultancy. The University is committed to supporting external engagements that facilitate knowledge and technology transfer, contributing to economic and social impact with anticipated profound and transformative effect in industry and society. The Policy described here provides the guidelines where a faculty/staff of Shri Dharmasthala Manjunatheshwara University Dharwad is engaged by a third party on a personal fee-for-service basis for the primary purpose of obtaining the benefit of professional knowledge, skills and/or expertise. We are committed to avoiding issues of conflicts of interest and to uphold the highest ethical standards in the implementation of the policy.

### **DEFINITION**

Consultancy is defined as the time bound specific problem solving projects (include all advisory, technical and R&D activities) undertaken by faculty/staff for clients from government/non-government agencies, industries, Start-ups/Incubatees and needy individuals from all the above said area, which draws upon and applies the expertise and knowledge of University staff/faculties and is sponsored by funding agencies with payment of consultancy fee/honorarium to the Investigator(s)/University in addition to all other expenses. Consultants are the faculty/staff members of all the constituent institutes of SDM University.

### **GOVERNANCE**

The consultancy programs of SDM University shall be operated through the office of the Directorate of Research. The consultancy program is administratively coordinated by the Directorate of Research. The Registrar SDMU is the authorized signatory for approvals, in coordination with the Directorate of Research, Finance department and Vice-Chancellor. The program shall be advised by the Research and Innovation Committee (RAIC) of SDMU, and the annual report need to be presented before the RAC and BOM.



## **OBJECTIVES**

1. Fostering innovative ideas, fused with business acumen to drive the economic engine locally and globally.
2. Increasing the expertise and experience of University staff by involving them in 'real world' problems, thus enriching their teaching and research.
3. Enhancing staff training and career development.
4. Building links between the University and outside bodies which may subsequently help the University gain research contracts, place students for project work, recruit students for advanced or continuing professional education and many other similar benefits.
5. Generating additional funds for the staff involved, for their Faculty and the University.

## **ENTITLEMENT**

Shri Dharmasthala Manjunatheshwara University Dharwad allows Faculty/Staff to engage in University (research, non-research) and Private Consultancies provided they do not interfere with the discharge of their duties. Consultancies shall be undertaken only with prior approval from Director (Research).

1. Faculty/staff member can work as a Consultant/Advisor for clients from government/non-government agencies, industries, Start-ups/Incubatees and needy individuals from all the above said area.
2. Principal Investigator/Co-Investigator need to take all the required approvals from IEC/IBSC/ICSCR/IAEC and any other related to undertaking project.
3. Principal investigator/Co-Investigators are directly responsible for all the study related documentation. They also ensure all the adverse events/serious adverse events reporting to be done as per the University norms to the Office of Directorate of Research.
4. All faculty/staff members must disclose their activities if they undertake any consultancy, and such activities must be conducted outside of the University related activities and their respective authority can disapprove if there is a conflict of interest.
5. Academic/Professional staff must engage in research or non-research consultancies beyond the office hours. Variations to this time commitment require the approval of the concerned Head. A signed agreement for such a commitment is to be forwarded to the Head of Human Resources. A lesser time commitment may be approved if the proposed

Consultancy interferes with the discharge of responsibilities.

6. Retiring/Contractual employee of SDMU are not allowed to submit a fresh consultancy project proposal as a consultant, if the duration of the project is beyond her/his date of retirement.
7. Outstation travel on Consultancy assignments will be undertaken with the prior approval of the respective Dean, under intimation to the Head of the Department / Office concerned.
8. TA-DA, expenses towards boarding and lodging, etc. as per entitlement of the consultant shall be admissible as per University rules. All these expenses will be met out of the concerned consultancy project funds.

## **TYPES**

Faculty/Staff wishing to undertake consultancy projects can do so by one of the following means and are subject to certain contractual safeguards. Failure to use these procedures may result in disciplinary action.

- **University Consultancy**

University Consultancy must be carried out using the services of SDMU, where the contractual relationship is between the client and SDMU, not the individual consultant. Only University consultancy provides a direct financial return to the University in addition to the fees paid to the consultant.

The consultancy sources can be Government and private agencies both from within and outside India.

- **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 result from a tender or individual negotiation. Such consultancy services may further be categorized

Consultancy that does not involve the use of any institutional facilities and is solely based on the expertise of the Consultant/s.

Consultancy that involves the use of University infrastructure / facilities such as equipment, instrument, laboratory staff, etc.

- **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, products or produce; analysis of data; surveys, including market and opinion surveys; the provision of professional services such as design, legal, medical and allied health, participation in fee- paying non-award courses etc.

- **Clinical Trial studies**

1. All Outpatient-based and In-Patient clinical trials are to be conducted at constituent hospitals of SDM University shall be coordinated both administratively and financially by the MS office and report need to submit to office of Directorate of Research through office of Medical superintendent.
2. All the Clinical Trial Documents should be submitted by the PI/Clinical Trial Department to Institutional Ethics Committee (IEC) for approval before the start of any clinical trial.
3. The Objective of facilitating the Clinical Trial at University is to create a professionally managed and long-term revenue model for SDMU and Principal Investigators by creating and utilizing institutional competencies for clinical trials/clinical research.
4. Clinical Trials may get sanctioned either by established Principal Investigators or through the marketing efforts of Clinical Trial Department of University.
5. Clinical Trials are envisaged to be conducted in true partnership with the Principal Investigators and the Institution as per the approved ethical standards laid down by the Regulatory bodies (DCGI/ICMR/CDSCO/CTRI etc.,) through the IEC.
6. Clinical Trial undertaking Department will take the legal, administrative, financial, accounting, personnel, documentation, internal reporting and archiving responsibilities of

the conduct of Clinical trials consultancy projects in coordination with Medical Superintendent and Director (Research).

7. The PI will be responsible for feasibility assessment, planning the study, recruitment of patients, conduct of the study, presentation before the Institutional Ethics Committee for its approval and other statutory bodies, as and when required, besides participation in and leading the meetings with the Sponsors or the CROs.
8. Once a clinical trial inquiry is received by the Clinical trial division and/or Central Research Facility, the following process will be initiated:
  - a. Designated personnel from the Clinical Trial executing Department will interface with the PI and assist in developing the feasibility.
  - b. The Protocols will be evaluated for inclusion/exclusion criteria, informed consent formats and a set of benchmarks that are to be created as per the Standard Operating Procedures (SOPs) to facilitate approvals, monitoring and management of the study.
  - c. The PI may have to sign Confidential disclosure agreement (CDA) with the Sponsor/CRO in the process of protocol development and feasibility assessment.
  - d. The draft Clinical Trial Agreement (CTA) will be evaluated by the medical superintendent, Director (Research), legal expert and requisite modifications, if necessary, will be recommended to either the sponsor or the CRO. All the CTAs will have mandatory clauses of Indemnity. Insurance and Compensation as per the Regulatory requirements. The CTA will have the study budget with complete list of budget heads and there will be a 30% Institutional Overhead Charges added on the overall budget worked out.
  - e. All CTAs will be signed by the Medical Superintendent and Vice-Chancellor on behalf of the University as the approved signatory of SDMU along with the PI and Sponsor in a four-party CTA. In a five-party agreement, the CRO also would be a signatory.
9. Requisite personnel will be planned for assignment to the study & charged as per the study budget.
10. Should there be a limitation in recruitment of patients within SDM hospitals, the Clinical Trial Department of University will make arrangements for induction of external co-investigators (if required) who can recruit additional patients and support the Principal

Investigator, costs if any will be booked into the account of the Principal Investigator

11. The Clinical Trial Department will, in collaboration with the Principal Investigators, create and maintain databases of patients and potential recruits for various areas.
12. Once the CTA is signed, Clinical Trial Department will facilitate the management and administrative matters of the study including coordination, documentation, accounting, finance and archival, while the PI will look after the technical aspects of the study.
13. The Clinical Trial Department will circulate periodic progress and accounting updates to the PI and the administrators. The Clinical Trial Department will also facilitate internal review meetings at regular intervals.
14. Once the study is completed, closed and all financial parameters met, then a post-study costing will be conducted to enable clear understanding of surpluses/deficits, if any.
15. The Clinical Trial Department will continue to interact with the Sponsor/ CRO for any post-study dissonance.
16. Principal Investigator/ Co-Investigators are directly responsible for all the study related documentation. They also have to ensure all the Adverse Events (AE)/Serious Adverse Events (SAE) reporting to be done to the signatory authority immediately and required action to be taken.
17. In cases of any adverse events requiring financial support/compensation, Clinical Trial Department & P.I. will interface with the sponsor / CRO and arrange for support/compensation to the affected study-subject / their families. (refer Compensation in the case of injury or death during clinical trial as per Rule 122 - DAB)
18. All pre and post study legal issues will be managed by MS office and PI in guidance with legal cell and office of Directorate of Research.
19. The financial methodology to be followed in the MS office -PI Partnership is the following:
  - a. Once the CTA is signed and Clinical Trial feasibility is established, sponsors will be requested to pay a minimum of 25% advance to meet initial expenses.
  - b. It is envisaged that the Clinical trial expenditures will be met as per the head of the budget allocation agreed upon in the CTA.
  - c. The balance revenues will be shared between the PI and the team after deducting all the expenses of the clinical trial including the institutional overheads of 30% on the entire clinical trial budget and any admissible taxes.

- d. The investigators' payment will be shared in the formula of Principal Investigator – 50%, Co-Investigator – 30% and Sub-Investigator – 20%. The Study Coordinator / Nurse / Technician / Social Worker payment will be disbursed to the individual as per the allocations provided in the clinical trial budget.
20. Once the trial is completed and the accounts are finalized and audited internally, final payments will be made to P.I. subject to the prerequisite of the applicable I.T., TDS, GST etc., rules.
21. Clinical Research Facility will maintain absolute transparency in the accounting of each project and share this data with the PI on a regular basis.
22. The left-over amount, if any, in the clinical trial after closing out will be transferred to the SDM University account.
23. All clinical trial accounts will be audited, and Utilization Certificate/Statement of Accounts shall be issued by the finance department based on the details provided by the MS office.

### **Private Consultancy**

In principle, a faculty or staff member is not supposed to undertake a Private Consultancy unless it is approved by Vice-Chancellor, SDM University. Besides, the faculty or staff conducting private consultancy shall ensure that such work does not affect their allocated duties and obligations to SDMU. In conducting a Private Consultancy, a staff member must not establish a real or potential conflict with their obligations to the University or undertake activities that which are contrary to the interests of the University. While providing a Private Consultancy, the following criteria must be met:

1. No responsibility for Private Consultancy undertaken by a staff member shall attach to the University.
2. Use of University trademarks such as letterheads, brands etc. or University intellectual property shall be strictly prohibited in Private Consultancies.
3. None of the benefits set out in the following section are available to staff undertaking a Private Consultancy.
4. No University facility (including library resources, power, space, equipment consumables, telephone facilities) shall be used to fulfill the requirements of the Private Consultancy, or Cost of the use of any such facility shall have to be reimbursed by the staff member under the terms of a written agreement between the staff member and the University, approved by the Registrar.

5. 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 in the matter.
6. Shri Dharmasthala Manjunatheshwara University is not bound by any agreement (written or otherwise) relating to the Private Consultancy while protecting its legal status.

### **BENEFITS OF UNIVERSITY CONSULTANCY**

1. The University provides the following benefits to staff undertaking University Research or Non- Research Consultancies:
2. Access to the University's resources such as technical and administration staff, equipment and telecommunications, subject to approval.
3. Entitlements to use the University's name and reputation, provided they are not brought into disrepute.
4. Ability to make reference to their University position and title in connection with the work.
5. Access to the University's financial management processes to support and enable invoices to external organizations for funding and expenditure of project costs.
6. Contribute to the staff member's research activity, and research active status.

### **CONFLICT OF INTEREST**

Engagement in consultancies must not be in conflict with the functions, objectives or interests of the University or damage SDMU reputation. Example of such conflict of interest include but not to teaching or course work for another institution.

Any conflict of interest, actual or perceived, must be reported to the relevant Dean 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.

If potential conflicts of interest are not resolved at the respective Dean's level, then it would be reviewed by the advisory committee of SDMU for recommendations. The committee comprises the following or their nominees.

- Vice Chancellor
- Director Administration
- Pro-Vice Chancellor

- Registrar
- Medical Superintendent
- Concerned Dean of the Faculty
- Director (Research)
- CFO

Any intellectual property arising from any Research and Non-research Consultancies will be governed by the Intellectual Property Policy of Shri Dharmasthala Manjunatheshwara University

## **REVENUE SHARING**

There should be demonstrable benefit to the University from the Consultancy through income, enhanced reputation, and/or expanding the expertise of the staff member.

The minimum total charges for consultancy jobs must be ₹. 20,000/- (excluding service taxes). The total annual income of an individual Consultant from the Consultancy work shall not exceed her/his Gross Salary for 6 months in a financial year.

The funds from the consultancy project are to be shared by the members (40%) and the University (60%) after deducting the overheads and all other expenses met by the University.

If more than one member takes up the consultancy project, the amount shall be shared equally, unless otherwise specified in arrangements for commissioned works.

All consultancies are required to include overheads. Service Tax as applicable should be paid by the client or consultant and should include in the total cost.

The client shall be required to pay an advance of 30 % of the total project cost, or the cost of material whichever is higher. All payment shall be made by D.D. drawn in favor of Sri Dharmasthala Manjunatheshwara University, Sattur, Dharwad or by RTGS Bank transfer on the specified account of SDM University.

## **MAINTENANCE OF ACCOUNTS**

The accounts of all the consultancies will be maintained by the University and will be subjected to audit. All the assets/equipment acquired for the consultancy will be accounted as the assets of the University.

**Note:** This policy is designed to enable Faculty/Staff to conduct consultancy and to ensure that consultancies undertaken by them are consistent with the Shri Dharmasthala Manjunatheshwara University, Dharwad.



## **POLICY ON INTERNATIONAL FACULTY APPOINTMENT**

### **Definition of International Faculty**

Faculty members of SDMU may recommend international faculties with proven track records. A recommendation of the applicant(s) should fulfil the following criteria to be considered as an Adjunct International Faculty and Visiting International Faculty

- A foreign citizen (with a foreign passport)
- A foreign citizen with Overseas Citizen of India (OCI) Card
- Residing as Permanent Citizen in a foreign country

### **Eligibility**

- As per SDMU norms, candidate(s) may need to fulfil the prescribed eligibility criteria for holding faculty positions in the respective discipline
- Be physically present in the SDMU campus between the entry and exit to India, for a minimum continuous duration of two days to continuous 60 days continuously (excluding the travel dates).

### **Mode and Types of Appointment**

SDMU appointment of International Faculty Members can be under the following categories:

1. Short-term international faculty
2. Joint International Faculty
3. Visiting International Faculty

### **Short Term International Faculty**

This engagement includes recognition of international faculty for a short-term duration of minimum 2 days upto 7 days in a given year. This mode of engagements will be useful for the faculty members of International Universities to visit SDMU, Dharwad, and to be part of the collaborative academic and research activities of SDMU. SDMU will provide free local transport, boarding and lodging.

### **Joint International Faculty**

This engagement facilitates faculty members of an international University (partner or non-partner universities) to visit SDMU, to teach and conduct research on short / long- term mode while holding an employment in their own country in an international University/industry. The proposed outcome is to foster collaboration in teaching and research between SDMU and other foreign universities.

SDMU will facilitate local (within India) two-way economy class air/train/road travel tickets from the port of entry within India, free local transport, boarding and lodging.

### **Visiting International Faculty**

It is envisaged to facilitate the engagement(s) of the faculty members and other professionals visiting SDMU from the International partner or non-partner Universities; wherein, when the visiting faculty member continues to receive the salary from the overseas University, SDMU will facilitate local two-way economy class air/train/road travel tickets within India from the port of entry, free local transport, accommodation and will provide a fixed amount towards the living expenses.

### **Salary and benefits**

Salary for visiting international faculty positions at all disciplines will start at an equivalent of USD 2,000/month.

### **Benefits**

An International Faculty member is entitled for benefits as detailed below. All allowances will be made in Indian currency.

<b>Sl. No</b>	<b>Mode of Engagement</b>	<b>Entitlement</b>	<b>Applicability</b>
1	Short Term International Faculty	<ul style="list-style-type: none"> <li>SDMU will provide nearest airport transport, local transport, accommodation, and food. (minimum 2 days)</li> </ul>	For self only
2	Joint International Faculty	<ul style="list-style-type: none"> <li>SDMU will facilitate local two-way economy class Air/train/road travel tickets within India from port of entry, free local, transport, boarding and lodging.</li> </ul>	For self and spouse
		(minimum duration is 2 to 7 days)	

3	Visiting International Faculty	<ul style="list-style-type: none"> <li>SDMU will facilitate local two-way economy class Air/train/road travel tickets within India from port of entry, free local transport, accommodation and will provide a fixed amount towards the living expenses. (For applicable duration of one month or more). A relocation expense could be considered.</li> <li>SDMU will provide expenses to attend professional development activities such as conferences and workshops with the stated affiliation to SDMU.</li> </ul>	For self and spouse
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### **Accommodation**

- Free furnished accommodation within or outside the campus will be arranged as available.
- Accommodation in SDMU Dharwad campus will be restricted to rentals as decided by the SDMU from time to time.
- International Faculty to pay applicable maintenance, electricity, and water charges during the stay.

### **Medical Insurance:**

International faculty members will be covered under the Medical and Dental Insurance coverage applicable for faculty members in the SDMU campus for self, spouse, and dependent children on payment of subsidized premium.

### **Research Incentives and Provisions to engage in Professional Consultancies:**

International faculty Members are eligible for Research Incentives as per the SDMU policies in place from time to time. They are also permitted to engage in professional consultancy services through the host institution under SDMU. Earnings from the professional consultancies shall be shared between the faculty member and the Institute in a ratio of 60 (faculty): 40 (Institute) respectively.

### **Recreational Facilities:**

International faculty members can utilize the Sports and Gymnasium on payment of subsidized monthly charges.

**Visa and Related Formalities:**

All such faculty members are expected to follow the VISA regulations prescribed by the Government of India from time to time. Following are the summary of the visa and immigration requirement:

**Foreign Nationals with Foreign Passport:**

1. Foreign nationals with a Foreign Passport must obtain an 'Employment Visa' from the respective Indian Consulates in their home country
2. SDMU will provide the following supporting documents to the prospective faculty members to apply for the employment visa:
  - a. Letter of appointment
  - b. Recommendation letter to the Consulate General or Visa Officer
  - c. Certificate on non-availability of talent in India
  - d. Details of incorporation / establishment of SDMU as an employer
  - e. Any other specific documents as and when required.
3. A foreign national must register with the local Foreign Registration Office (FRRO) within 7 days from the date of arrival to India
4. Extensions of employment visa can be processed from India on submission of relevant supporting documents.

**Foreign Nationals with Overseas Citizen of India (OCI) card**

1. A foreign national with possession of the Overseas Citizen of India (OCI) Card is permitted to work in India without an employment visa.
2. Such candidates can take up employment in India based on the Letter of Appointment.
3. Registration with FRRO is also not necessary in such cases.

**Notes:**

1. Higher package will be considered for eligible candidates based on the designation, credentials, previous experience, academic and research output, and financial exchange rates of the currency of the home country with INR etc.
2. International faculty members are liable to pay Income Tax in India as per the provisions of the Income Tax Act.

3. Salary will be paid in equivalent INR based on the exchange rate applicable at the time of issue of appointment order.
4. On arrival to the campus, international faculty members:
  - a) MUST open a Bank account with any of the Indian banks within 7 days. SDMU HR office will facilitate all the necessary documents.
  - b) International Faculty members other than those with the Indian OCI Card MUST complete registration with the nearest FRRO within 7 days. SDMU HR Department will facilitate the same.
5. As per the statute, all international faculty members below 58 years of age will be covered under the Provident Fund (PF) Scheme. Contribution to the PF will be as follows:
  - a) 12% of the Gross Salary will be deducted from the salary and paid to the Provident Fund (PF) as employee contribution.
  - b) SDMU will also contribute an amount equivalent to 12% of the gross salary to the PF Fund.

## **RESEARCH PROMOTION POLICIES**

The pursuit of quality, the impact of research and the general research environment are achieved by the following objectives as part of research policy plan.

1. University offers academic freedom wherein the researchers enjoy freedom of thought and expression, and have freedom in the choice of their research subjects and identifying methods of solving problems in accordance to ethical practices and principles.
2. Young and experienced researchers are encouraged to shift boundaries in accordance to quality criteria in their field of research. The University provides the best support to their efforts with suitable infrastructure and facilities.
3. The University offers a stimulating environment providing researchers opportunities to grow and collaborate with other reputed universities through faculty exchange programme or exploring to work in reputed research labs or work environments for a brief period of time.
4. Researchers are accountable to conduct research that benefits University and society at large and should be responsible to make it available to public / public organizations.
5. Researchers are entitled to transparency in policy priorities, in quality and selection criteria and in promotion procedures.
6. The research data generated or obtained must be properly documented, stored safely, retrievable, accessible and must be available for other researchers wherever possible subject to certain rules and conditions for legal reasons.
7. If research involves data of a confidential nature, confidentiality must be maintained.
8. The University research plan encourages inter-disciplinary and multi-disciplinary research in various academic fields
9. University researchers, faculty members and students who undertake research must adhere to the highest principles of honesty and accuracy so that the knowledge is represented without distortion of the truth.
10. The University expects that those engaged in research activity are committed to high standards of professional conduct, integrity and ethics.
11. Research results should be open to scrutiny and review by colleagues within the University under appropriate regulations of the University. All the publications must have suitable affiliation of the Shri Dharmasthala Manjunatheshwara University.

12. The research equipment and software thus obtained either through internal funds or external grants must be available for any researcher within the University, subject to availability.
13. The admission of research students and appointment of supervisor shall be in accordance with the rules and regulations of the University.

Shri Dharmasthala Manjunatheshwara University's ambitions for research policies and initiatives can be grouped into following objectives:

1. **Special Research Funds:** Special research funds are earmarked by the University to meet the objectives of the Research Policy Plan. The funds are available at Seed level in addition, competitive external funding plays an important role in meeting the objectives of the research plans of the University. Seed level funding should be a good beginning for acquiring external research funds. The University calls for proposals to fund the researchers competently through a transparent process. The researchers have to ensure to complete all research projects in time and achieve the set goals. In case of anomalies, if any, shall be brought to the notice of Chairperson of Research Advisory Committee, who will escalate it to the Vice Chancellor appropriately. The decision of the Vice Chancellor is final and binding upon all involved.
2. The organizational structure is an education-based organizational chart. The duties of the Director, Research are transparent. In addition, initiatives are taken to strengthen and encourage inter- and multidisciplinary cooperation and to use available infrastructure of various disciplines efficiently. The University will invest on up-to-date research infrastructure on a need basis and will remain a priority. The University pledges to inventorize, organize and share the available infrastructure efficiently.
3. The research policy plan at University will comprise of focus on gaining National and International reputation and having collaboration with reputed institutes around the world. Research policy, therefore aims to back such research ambitions by encouraging and supporting researchers in doing quality research. This will be facilitated by expanding research curriculum to include study on new evolutions at all levels of education, recruiting of highly motivated researchers with international exposure and admitting research students with good academic background.
4. University encourages promoting research findings on appropriate platforms. The

allowances to travel for reputed conferences within India and outside India are governed by the travel grants policy specified by the University. The University encourages faculty members to publish or patent the findings in accordance with the University Publication Policy.

5. Faculty members must be aware of their obligations to staff and students working as part of the research team. It is particularly important that domain/center head, updates staff, students, postdocs and visiting scholars in their research group about the research activities, sponsorships, intellectual property rights and responsibilities of the team members. Faculty members and students also need to ensure that approved research protocols are followed while carrying out research work.
6. Research misconduct is a failure to adhere to high standards of professional conduct and integrity and to the principles contained in this policy. All researchers must comply with the relevant laws, guidelines of regulatory agencies and University research policy. Failure to comply with this policy shall be considered/interpreted as research misconduct. All concerns about the misconduct of research must be reported to the Director, Research. According to the stipulated protocol of Research misconduct, a preliminary investigation will be carried out by the Director, Research and report will be submitted to the Vice Chancellor. If allegation and instance of misconduct is found apparent, Vice Chancellor will constitute a committee to further investigate and report. The action to be taken based on the report submitted by the investigating committee lies with Vice Chancellor. The decision of Vice Chancellor will be final and binding upon all the members involved.
7. Responsible conduct of research requires disclosing any real or perceived conflict of interest. Researchers, faculty members must disclose any affiliation or financial involvement with any organisation or entity with direct or indirect interest in the research work or resources used for research work. Researchers have to report any conflict of interest which has potential to influence research findings, publication, media reports, grant application, commercial products and finances. Disclosure must be made to Chairperson (RAC) who will refer the matter to the Vice Chancellor for further advice.
8. All potentially patentable inventions, created and invented by faculty members of the University using University resources, must be disclosed to the University. If Intellectual Property rights have to be claimed, ownership of these inventions is assigned as per the



IPR norms of the University. Commercialization of technologies developed using University resources will guarantee the contractual obligations of sponsors. Sharing royalty of such commercialization with University is part of such contracts and will be in accordance with IPR policy of the University.

9. A copy of the proposals for extra mural funding must be submitted to the office of Chairperson (RAIC). The Principal Investigator has overall responsibility for the technical and fiscal management of a sponsored project. This includes the management of the project within funding limitations, adherence to reporting requirements and compliance to application regulations. The sharing of University resources for such sponsored projects will be in accordance with the University research policy.
10. University may consider providing an incentive up to 2% to the externally funded research projects.

## **Research @ Shri Dharmasthala Manjunatheshwara University**

### **Scheme for Initiating Research (IR):**

A faculty member with Ph.D./MD/MS in a niche area at Shri Dharmasthala Manjunatheshwara University.

### **Aim:**

1. To enable the beginning of research and related activities for the faculty/staff members or who has significant potential to advance the scope of research and attract external funding.
2. To attract high quality faculty in the present scenario with scope in the field of research.

### **Grants:**

1. Seed money of Rs. 50,000 /- per project (maximum 6 per year) shall be awarded for the startups, based on the merit of the idea and innovation. The amount should be spent within 24 months.
2. The faculty members are encouraged to take Ph.D. Students (maximum per year 2 students) with the fellowship provided through University under the scheme.

### **Criteria:**

1. Faculty member appointed with Ph.D./MD/MS or faculty member with innovative idea in a niche area.
2. The faculty should commit to do research and to seek external funding for R & D projects.
3. Faculty members with University guide ship and cutting edge research proposal in their respective areas are eligible to take up the students, the allocation shall be after the recommendation of RAC and Ph.D. committees.

### **Procedure:**

Faculty members should apply for a seed money grant, to his/her Head of the Department, providing details of the research to be carried out in the prescribed form. Total budget should not exceed the prescribed limit.

**Constituents**

1. Research plan should describe research that is sustainable and has potential to help community.
2. Itemized budget should be consistent with research plan.

**Evaluation Process:**

1. The application/proposal will be reviewed by a Research Advisory Committee appointed by the Vice Chancellor and headed by the Research Director. On the recommendation of the committee, VC will consider, approve and sanction the fund.
2. Chairperson (RAIC) will play a key role in monitoring the expenditure of funds.

**Expenditure:**

1. The grant can be used to purchase of chemicals/consumables, research equipment, etc. But purchasing Desktops, Laptops, printers and peripherals are not allowed. The grant also cannot be used for hiring external consultancy or assistance.
2. All record of purchase will be maintained by the respective department and sent to office of Directorate of Research, whenever required.
3. All purchases/expenses should be processed in accordance with the policies and procedures of the Finance department, of Shri Dharmasthala Manjunatheshwara University.

**Expected Outcomes:**

The faculty member is expected to seek external mural funding by the end of this project and also is expected to enhance the research performance. The report submitted as part of this project will also be used for faculty appraisal.

### **Formulation of Research Project:**

All faculty/students are expected to conceptualize and formulate research project, in consultation with their HODs from their respective departments or Director Research. The format of preparing a detailed proposal is available with the Research Secretariat of Research Advisory Committee. In brief, the proposal should include or provide:

- ❖ Outline the proposed research topics in the context of previous work.
- ❖ Highlight the awareness of current information in the field and area of study.
- ❖ Identify the research questions (Objectives) that have not been addressed (suitable gaps in knowledge) and the rationale for proposing the study.
- ❖ Propose a hypothesis which the study would address.
- ❖ Identify the research methodology, study design to help answer the research questions.
- ❖ Nature of the data to be collected.
- ❖ Discussion on expected outcome and usefulness of information expected to emerge.
- ❖ Systematic compilation and organization of bibliography of literature on the topic considered for research.
- ❖ Source of funding for research. The proposal should be submitted to the Research Secretariat, RAC.

**Approval of Research Project by Research and Innovation Council:**

Research and Innovation council (RAIC) which comprises of highly accomplished, experienced research faculty from both within and outside Shri Dharmasthala Manjunatheshwara University, reviews all the new research proposals.

The research scholar/faculty, makes a detailed presentation of the research proposal with emphasis on rational, objectives, expected outcomes and usefulness of study.

Approval from RAC is mandatory prior to start of research work. The approval can be either with or without modification of the proposal. RAC may even reject the proposal and suggest working on some other related project. It may suggest resubmission of the proposal incorporating changes suggested by the Committee. Recommendations of RAC are final and research scholar/faculty has to comply with the same.

Meetings of RAC, is to be held depending upon the research proposals available in an academic year. Research scholar/faculty has to submit project proposal to Research Secretariat at least 20 days prior to the meeting.

**Approval of Research Project by Ethics Committee:**

Shri Dharmasthala Manjunatheshwara University has institutional and central ethics committees for reviewing all research proposal pertaining to clinical trial/biomedical research/stem cell research/animal and human studies, registered with the Drug Controller General of India. The projects necessitating the above said research will have to be cleared by the ethics committee before initiating research work.

The research scholar/faculty whose projects have been approved by the RAC will submit research proposal in the desired format (available with ethic committee Secretariat) for the consideration of Ethics Committee. The research Scholar/faculty will be invited to this meeting. Meetings of Ethics Committee are held after the RAC meeting.

## **POLICIES ON PUBLICATION AND RESEARCH INCENTIVE**

### **OBJECTIVE:**

1. To inculcate research consciousness among the students & faculty of SDM University
2. To promote research activities among the students & faculty of SDM University
3. To improve the quality and citations of student & faculty research publications
4. To encourage students & faculty to publish their research works in reputed journals which are indexed in Scopus or listed in Journal Citation Reports (JCR)
5. To institute additional reward incentives for student & faculty research publications

### **APPLICABILITY:**

1. The incentive policy is only applicable to students & faculty who carry out research projects approved by the constituent institutions of SDM University.

### **ELIGIBILITY:**

1. Full-time Ph.D. scholars of SDM University are eligible after fulfilling their mandatory requirements of two publications in Scopus indexed / JCR listed journals.
2. Students enrolled for Post Graduation (MD, MS, MDS) and Super-Specialty courses (DM, M.Ch.) of SDM University are eligible after fulfilling their mandatory requirement of one publication in Scopus indexed / JCR listed journals.
3. All the other PG / M.Phil. / Medical PG Diploma students, where the publication is desirable are eligible from the second research publication onwards in Scopus indexed / JCR listed journals.
4. Full-time faculty members of SDM University.

### **RESPONSIBILITY:**

1. The corresponding author shall take the responsibility to screen the paper for plagiarism, ethics approval, and background checks about the potential, or probable predatory/ scholarly open access journals before communicating the research publication. Papers published in discontinued Scopus journals at the time of communication shall not be considered for incentive points.

2. The Research Director shall intimate the institution about the faculty who are recipients of the award for further processing of the award.
3. To avoid issues related to plagiarism, all the publications submitted to the Research Director, shall be screened by plagiarism check software.
4. The University reserves the rights to revise the incentive policy periodically.

#### **INCENTIVE FOR PUBLISHED PAPERS AND BOOKS:**

Original research articles, review articles and full-length papers (Published in PubMed/Scopus indexed / JCR listed journals only) qualify for the incentive.

The Original articles published Indexed journals, Scopus indexed books and book chapters only will be eligible for incentive points.

The following points will be awarded to “First Author” and “Corresponding Author”.

- Original full paper published in indexed national and international journals with impact factor 3 or above. 12 points
- Original full paper published in indexed national and international journals with impact factor above 1.0 but below 2.9. 06 points
- Review articles in indexed national and international journals 06 points
- Short articles/ Case reports/Letters to Editor in national and international indexed journals. 04 points
- All other authors will receive half the points awarded to “First Author” and “Corresponding Author”.
- Points to be awarded for each granted patent (Indian or granted in any other country) 12 points
- For Book Published 09 Points
- For book chapters published in the First/corresponding will be awarded 03 Points

## **AWARDS**

1. Rs. 6,000 for 24 points for faculty members in a teaching/clinical/research Department as per the management and policy from time to time.

## **PLAGIARISM AND RELATED ISSUES:**

Research Director shall not be responsible for authors violating the anti- plagiarism policy adopted by the SDM University.

It is recommended that Department/Institution Committee scrutinizes /screens manuscript before communication to journal in order to avoid issue of plagiarism.

In case of event of complaint of plagiarism committed by an author of constituent institutes of SDM University, a committee may be constituted to establish facts. If committee finds that the act of plagiarism is committed by an author of constituent institutes of SDM University, the article will be withdrawn from repository and action will be taken as per the decision by research advisory committee headed by Director (Research).



**ANNEXURE - I**  
**EVALUATION FORM OF FACULTY RESEARCHER FOR PUBLICATION**  
**(Separate form need to be attached for all the publications)**

\* **PUBLICATION ID** : \_\_\_\_\_  
 \* **Title of the Paper** : \_\_\_\_\_  
 \_\_\_\_\_

Sl. No.	Names of Authors	Types of Author	Department	Emp Code	Corresponding Author (Yes / No)
1					
2					
3					
4					
5					

\* **Name of the Journal** : \_\_\_\_\_  
 \* **Volume:** \_\_\_\_\_ **Issue:** \_\_\_\_\_ **Month & Year:** \_\_\_\_\_  
 \* **Pages: From** \_\_\_\_\_ **To** \_\_\_\_\_  
 \* **Category of article:** \_\_\_\_\_  
 \* **Journal Articles: Indexed in:** \_\_\_\_\_  
 \* **Declaration by the submitting Author:**

I / We certify that I / We have published article which is devoid of plagiarism. I / We have taken due care to ensure that my / our published paper does not contain plagiarized material.

Name : \_\_\_\_\_  
 Department : \_\_\_\_\_  
 Institution : \_\_\_\_\_  
 Email ID : \_\_\_\_\_  
 Signature & Date : \_\_\_\_\_

**Attach:** First page of the publication

**For the use of forwarding office only**

**Name & Signature of the HOD**

**Head of the Institution**

\*\*\*\*\*

**\*\*\*\*\* For the use of Research Director only**

**Total Number of Points:**

**Research Director  
SDM University**

**ANNEXURE II**  
**EVALUATION FORM TO CLAIM INCENTIVES FOR PATENT**

\* **PATENT NUMBER** : \_\_\_\_\_  
\* **Title of the Patent / IPR Granted** : \_\_\_\_\_  
\_\_\_\_\_

\* **Granted in** : \_\_\_\_\_  
(Mention the country/ countries in which field)

Sl. No.	Names of Inventors	Types of Inventors	Department	Institution	Emp Code / Registration No. of student
1					
2					
3					
4					
5					

\* **Declaration by the submitting Inventor:**

The patent / IPR grant is an outcome of my / our innovative work. The work described is Novel. I / We have taken due care to ensure that the patent does not infringe upon the existing patent and / or is not a part of existing literature or prior art.

Name : \_\_\_\_\_  
Designation : \_\_\_\_\_  
Department : \_\_\_\_\_  
Institution : \_\_\_\_\_  
Email ID : \_\_\_\_\_  
Signature & Date : \_\_\_\_\_

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**For the use of forwarding office only**

**Name & Signature  
of the Guide / HOD / HOI**

**Name & Signature  
of Head of the Institution**

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**For the use of forwarding office only**

**Coordinator - TTO  
SDM University**

**Research Director  
SDM University**

**ANNEXURE - III**

**BANK ACCOUNT DETAILS OF THE CLAIMER**

**Details of Account Holder :**

**Name of Account Holder :** \_\_\_\_\_

**Account Number :** \_\_\_\_\_

**Bank Name :** \_\_\_\_\_

**Branch Name & IFSC Code :** \_\_\_\_\_

**Branch Address :** \_\_\_\_\_

**MICR Code :** \_\_\_\_\_

**Address of the Applicant :** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Contact Number :** \_\_\_\_\_

**E-mail ID :** \_\_\_\_\_

**Signature of the applicant**

