

Research & IPR Policy

Procedure and Forms



SARDAR PATEL UNIVERSITY, MANDI
HIMACHAL PRADESH -175001

Dean Research
Sardar Patel University
Mandi (H.P.)-175001

Dean Research
Sardar Patel University
Mandi (H.P.)-175001

Table of Content

Sr. No.	Description	Page No.
1.	Introduction	4
2.	Preamble	4-5
3.	Scope	5
4.	Vision	5
5.	Mission	5-6
6.	Constitution of Research Advisory Board	6
7.	Policy Component and Guidelines 7.1 Research Ethics and Integrity 7.2 Research Seed Money/Start –up Grant for Faculty 7.3 Conferences/ workshop/ seminar/ travel grant 7.4 Sabbatical Leave/ Distinguished fellowships/ Visiting Researcher 7.5 Intellectual Property Rights (IPR) 7.5.1 Objectives 7.5.2 Definitions 7.5.3 Scope of IPR policy 7.5.4 Types of IPRs subject to suitability and applicability to the SPU Mandi 7.5.5 Administration and Evaluation of IP 7.5.6 Ownership and Licensing of IPRs 7.5.7 Types of IP 7.5.8 Licensing of IPRs 7.5.9 Revenue sharing 7.5.10 Technology Transfer 7.5.11 Legal Issues 7.5.12 Capacity Building on IPRs 7.5.13 Filing of Patents in foreign countries 7.5.14 IPR fund 7.6 Memorandum of Understandings (MoUs)	6-15
8.	Research Incentives	16

	8.1 Research Excellence award for students/ scholars/ faculties 8.2 Research grant 8.2.1. Research project 8.2.2. Infrastructure development project 8.2.3. Project transfer	
9.	Ph.D. regulations 9.1 Admission 9.2 Assessment of Ph.D. progress 9.3 Thesis submission and evaluation	17
10.	Research Publications/ Patents (For faculty)	18
11.	Academic Industry Collaboration	18
12.	Provision of Post-Doctoral Fellowship	18
13.	Ordinance Regulations and Obligations	18
14.	Management of Research	18
15.	Centralized research facility	18
16.	Custodian of the Policy	19
17.	Amendments	19
18.	Annexure A, B,C,D, E, F	20-32



Dean Research
Sardar Patel University
Mandi (H.P.)-175001

Dean Research
Sardar Patel University
Mandi (H.P.)-175001

1. Introduction

Sardar Patel University Mandi, is nestled in the lap of the Himalayan ranges in the heartland district of Himachal Pradesh Mandi and is situated on the banks of the mighty Beas River. Sardar Patel University, Mandi, is a residential-cum-affiliating University. It came into existence on April 1, 2022, as a State Government University, vide H.P. State Government Notification No. EDN-A-Ka(1)-17/2021, dated February 28, 2022. Sardar Patel University, Mandi, has the 2 (f) status of U.G.C. and has jurisdiction over the colleges of Mandi, Kullu (partial) and Lahaul and Spiti districts of Himachal Pradesh. The U.G., P.G., and Research programs are being offered in the University Campus. Besides the regular courses, the University plans to introduce some regionally relevant courses that are of greatest significance for the mountainous region.

This second-State University in Himachal Pradesh was a long-cherished dream of the people of this region. This University symbolizes the hopes and aspirations of the masses of this region for their social and economic development through higher education. Sardar Patel University is committed to regional and community development, which is inherent in its teaching courses, research agendas, and other outreach activities.

It is an earnest attempt at Sardar Patel University to make learning an enriching, fulfilling, and enjoyable experience by offering a range of courses keeping in mind the aspirations of the students and the contemporary job market. The University has entered into a memorandum of understanding with many Higher Education Institutions to facilitate and collaborate in Teaching and Research. A dedicated team of qualified and committed faculty ensures excellence in academics.

Sardar Patel University Mandi, aspires to excel as a University of Excellence in the coming years by combining value-based ethical holistic education with modern scientific education and marching ahead in the path of academic progress, contributing to the social, economic, political, and cultural development of the region in general and the state in particular.

2. Preamble

Sardar Patel University Mandi envisages the promotion of quality research in all spheres of education. The SPU research policy intends to establish a strong and vibrant higher education

system with an emphasis on research, innovation, technology development and their



integration, which will be part of foundation of Atam-Nirbhar Bharat or Viksit Bharat. In order to achieve this goal, the University seeks to strengthen research and innovation activities by motivating faculty members and students for quality research. This policy shall pay particular attention to provide financial assistance for encouraging budding Research. Therefore, policy intends to have Seed money for Research in unexplored areas. The University intends to recognize the extra ordinary contribution in R&D by establishing research awards.

3. Scope

The scope of the policy covers all dimensions of research, development, innovation and patenting at the University.

4. Vision

The vision of SPU Research Policy is to put in place a robust mechanism for developing and strengthening the research ecosystem within Sardar Patel University Mandi aligned with the policy of HP Govt. and Govt. of India.

5. Mission

- To strengthen the institutional capacity for research and encourage its faculty, researchers and students to achieve excellence in research.
- To strengthen the commitment of faculty, researchers and students towards research, industry connect, collaboration with other universities and scientific institutions of repute, both within and outside the country.
- To integrate research of the university with the local, regional, national, and international needs, and to align with sustainable development goals (SDGs).
- To facilitate greater access to research through mobilization of external resources and funding.
- To create an enabling environment within university to foster intensive research culture to provide required support through research framework and guidelines for solving community problems.
- To translate new knowledge, technology, innovations emerging out of the research at university into processes, products, patents, and services for benefit of the society.

- To ensure effective dissemination of research outcomes in the form of research publications in peer reviewed journals.
- To protect Intellectual Property Right (IPR) in the form of patent, copyright etc., arising out of the research conducted by the University.
- To encourage and support faculty members for raising external funds from various funding agencies.
- To augment and inspire the faculty members for sponsored consultancy projects

6. Constitution of Research Advisory Board

- The University shall constitute Research Advisory Board chaired to facilitate and promote research activities in different Departments and Centres of the University.
- Research board will have established researchers from top 150 NIRF institutions only.

7. Policy Component and Guidelines

7.1 Research Ethics and Integrity

Sardar Patel University Mandi is committed to excellence and integrity in teaching and research. Every researcher shall follow research ethics as framed by the University from time to time and University plagiarism policy as per UGC norms 2018.

7.2 Research Seed Money/Start –up Grant for Faculty

In order to enable the newly recruited faculty to purchase research equipment, encouraged for taking up minor research projects. The University shall support the new faculty with Seed Money. There shall be once in a year announcement for submission of proposals for seed money projects. The quality of the research projects will be accessed by domain experts and will be evaluated by them. Seed grant application should be forwarded through Head of the departments to the Dean Research office in the attached format (**Annexure A**) only

7.3 Conferences/ workshop/ seminar/ travel grant

(a) Sardar Patel University Mandi shall encourage its student/scholar/faculty member to participate and present their Research findings in the conference/seminar/ symposia /workshop etc., within and outside the country for disseminating their scholarly academic and research work through the scheme of travel grant support as per University rules and registration fees as decided from time to time.



Procedure for participation:

1. All requests for conference/seminar participation in a national/international conference/seminar with paper presentation will be submitted through Dean Research well in advance (15 days for Nationals and 1 month for International Event) and in the attached format (**Annexure B**) only.
2. Copies of the abstract and acceptance letter for the paper, and official registration information specifying conference/seminar dates and fees are to be included with the request.
3. University may reimburse the full/part expenditures for registration, travel, daily allowance, lodging costs and local conveyance associated with the conference/seminar as per UGC rules on travel entitlements subject to the condition that any part of the expenses/costs are not paid for by any other agency. The number of days for travel entitlements will include the number of days of the conference/seminar actually attended and additional day(s) as necessary to reach the conference/seminar venue.
4. SCL have to be availed for the visit to attend the event.
5. In case attending a conference/seminar does not require any financial support from the University such as, through external funding or drawn from an individual's research/faculty development schemes, the same may be permitted. Based on merit of event and merit of contributors.

(b) Organizing Courses/ Seminars/ Symposia/ Conferences/Workshops

Courses/Conferences/Seminars/symposia/workshops are an important part of academic and research world, and academicians across the world voluntarily put effort in conference organization. The University provides partial support for organizing Courses/Seminars/Symposia/ Conferences/Workshops which help in building the brand image of the University.

Procedure for organizing:

1. For organizing any Courses/ Seminars/ Symposia/ Conferences/Workshops request has to be routed through Dean Research who may obtain necessary approval of the Vice Chancellor.
2. Vice Chancellor may permit opening of a separate bank account in the name of the conference event, which will be jointly operated by the organiser(s) and one from the accounts. The cheques can be signed by any two.
3. The savings if any can be carry forward and may be utilized in other similar events with the prior approval of the Vice Chancellor.

4. The application for organizing such events should be submitted through Dean Research office in the attached format (**Annexure C**) only. Such applications should be submitted at least one month before for in house workshops and at least six months before for the National/International events.

7.4 Sabbatical Leave/ Distinguished fellowships/ Visiting Researcher

Sardar Patel University Mandi shall permit faculty to take up Overseas as well as National Sabbatical assignments with academic institution or industries as per rules of the University. This is to promote global exposure to faculty and to enhance their research and teaching capabilities.

A faculty member can apply for sabbatical leave as per Ordinance of the University. The faculty members are also encouraged to apply for Distinguished fellowships/ visiting Researcher for a period of up to one year. Such proposals will be finalized as per the merit of proposal and rules of the University. All such request will be evaluated on merit of the event and merit of contribution made.

7.5 Intellectual Property Rights (IPR)

The research output in the form of innovation, creativity and patents shall be encouraged by the University by reimbursing partial or full expenditure in filing such patents. A maximum amount of Rs. 20000/- will be provided for filing a patent from the side of University. Patent filing application should be submitted through IPR cell in the attached format (**Annexure D**) only.

7.5.1 Objectives

The objectives of the policy documents are:

- (1) Generation of IPRs in all fields of Science, Technology, Humanities and Architecture to strengthen and catalyze the R&D base.
- (2) Seek protection for Intellectual Creations under appropriate IPRs to provide an atmosphere of intellectual creativity.
- (3) Commercialization of University's IPRs for revenue generation.
- (4) Equitable sharing of benefits between the University and the Inventor arising out of commercialization of IP.

7.5.2 Definitions

“IP” refers to the creation of human mind such as inventions, literary and artistic works, designs and symbols. It is protected through copyrights, patented and patentable inventions,

tangible research results, trademarks, service marks and trade secrets.

“Author” means faculty members, students, staff or visiting faculty who has/have written or created a creative work.

“Copyright” means the exclusive right granted by the Government for a limited period of time to an author to reproduce, print, publish and sell copies of his or her creative work.

“Patent” means the exclusive right granted by the Government for making, using or selling an invention.

“Trade Mark/Service Mark” is a distinctive word, symbol or a combination of these, which is used by a business entity to differentiate its products and services from those of other business entities dealing in similar trade.

“Creators or Personnel” are persons (faculty members, students or project staff or team) involved in IP Creation.

“Invention” includes but is not limited to any new and useful process, formula or machine conceived or first reduced to practice in whole or in part, defined within the purview of the Patent Act.

“Inventor(s)” is (are) person(s) who produce(s) an invention.

“Licensing” is the practice of renting the IP to a third party.

“Revenue” includes any payment received by the University on account of commercialization or licensing of IPRs.

7.5.3 The Scope of the IPR Policy

The IPR policy, and subsequent amendments, if any, shall be included as a condition of employment for every employee and student getting employment/enrolment in the University (**Annexure-E**). All R&D activities performed at SPU, Mandi would be governed under IP Policy of the University. It would cover IP emanating from R&D activities funded by the University or externally or jointly funded projects. All IPRs applications resulting from the R&D activities performed at the University would be routed through the IPR Cell of the University. The Head/Chairperson of each Department/Centre of the University would forward IPR applications to the IPR Cell of the SPU. The Creators/ Inventors would enter a confidentiality agreement with the University.

The IPR Cell of the SPU would organize capacity building programs for the inventors/researchers/faculty members/students in drafting of IPR applications. The IPR Cell would process the approvals of the Vice Chancellor of the University for filing of IPR applications with appropriate offices in the GoI.

As far as the funding of IPR filing applications is concerned, the SPU could fund of its own (or from specific research project resulting in the creation of IP) or it could explore the possibility of filing through Patent Facilitation Centre (PFC), Technology Information, Forecasting & Assessment Council (TIFAC), Department of Science & Technology (DST), GoI, New Delhi or any other funding agency. The IPR committee constituted by the SPU would take necessary appropriate action for the above purpose.



Once the IPRs are acquired, the IPR Cell and the concerned inventors/researchers/scientists etc., would take up the matter for commercialization of IP through PFC, TIFAC, DST or through any other agency. The IPR Cell of the SPU would also be responsible for licensing and assignment of rights/agreements with third parties as per mutually agreed terms and conditions ((**Annexure-F**)).

As far as the issue of revenue sharing is concerned, generally it would be shared between the SPU (applicant) and the inventors, as mentioned in Section 6.3. However, in specific cases, where the investment costs are higher, SPU, applicant, inventors and the IPR Cell together would decide the sharing of revenue. The revenue so earned by the SPU would be utilized by the University for capacity building, in the field of IPRs, of the faculty and students of the University. Besides, any litigation with regard to the IPRs would be dealt by the University.

7.5.4 Types of IPRs subject to suitability and applicability to the SPU

The Government has provided certain exclusive monopoly rights to the owners of IPR. These IPRs could be a variety of intangible assets such as literary, artistic, inventions, words, phrases, designs, e-designs etc. If it is an invention in any field of technology, the SPU would patent it. If it is concerned with branding or marketing of a product or service, a trademark is preferred. If the idea is of external shape or feature of the product, it is subject matter of the Design. If the idea is for protection of particular geography specific product, it would come under Geographical Indications (GI) Act. Different forms of IP are protected under different IPR laws in India. Hence a different approach is required to manage the IPRs and to exploit them in a profitable manner by the SPU.

The Statutes governing 7 different types of IPRs are as defined in:

Patents Act, 1970; Trade Marks Act, 1999; Copyrights Act, 1957; Designs Act, 2000; Geographical Indications Act, 1999; Semiconductor Integrated Circuits Layout Design Act, 2000 and Biological Diversity Act, 2002.

7.5.5 Administration and Evaluation of IP

The IPR committee shall be the core administrating body, which will be responsible for evolving detailed procedures to facilitate implementation and execution of the IPR policy of SPU, Mandi. It would also arbitrate on any clarifications sought. The IPR committee involves following active members:

Dean (Research)	Chairperson
Faculty nominated by the Competent Authority	Member1
Faculty nominated by the Competent Authority	Member2
Faculty Incharge IPRCell	Member cum Convener

The University would constitute an IPR committee under Dean Research for evaluating the

potential of inventions/intellectual creations and processing the necessary financial and administrative approvals for filing of IPR applications with appropriate IPR Offices in India. Besides, the University may nominate two additional faculty members with expertise or familiarity/experience in areas related to the IP to the above committee.

The IPR committee would evaluate and recommend the Intellectual Creations from the view point of innovativeness and potential for commercialization of the IP to the competent authority of SPU, Mandi for the approval. In cases where the committee has decided to obtain IPRs, the creators/inventors would be asked to disclose all facets of the invention/creation. Also it would be the responsibility of the creators to provide all such documents to the committee. The committee, after assessing the revenue earned through commercialization of IP, would also decide whether to file the annuities for renewal or not. If, after the evaluation, certain invention/creation are not found suitable for filing of IPR application, then the SPU can assign all rights to the inventors.

The Type of IPR to be obtained for specific kind of IP would be decided by the Committee. In cases where a patent is applied, it would be a binding on the inventor(s)/creator(s) for non-disclosure of the IP applied for till it is filed with the appropriate Office. The cases, where the ownership of IP is under dispute, would be referred to the Committee for recommendation. The decision of the Competent Authority would be final.

7.5.6 Ownership and Licensing of IPRs

The ownership and benefit sharing of the all types of IP(as mentioned above),created at the University, subject to the agreements/MoUs with the funding agency (unless or otherwise specifically quoted by the funding agency), for in-house, sponsored, collaborative and grant-in- aid projects, would be owned as below:

S.N.	Activity leading to IP Generation	Owner of IP	Creator/Inventor	Revenue sharing
1.	R&D activity funded by SPU	SPU	SPU personnel (Faculty and Students) involved in the specific R&D activity	SPU & Inventors involved in the specific R&D activity
2.	R&D activity without any specific funding	SPU	SPU personnel (Faculty and Students) involved in the specific R&D activity	SPU & Inventors involved in the specific R&D activity
3.	R&D activity funded by Autonomous bodies/Agency/Non-Government Agencies	Jointly by the SPU and the Funding Agency*	SPU personnel (Faculty and Students) involved in the specific R&D activity	Funding Agency, University & Faculty and Students (Researchers, scientists) involved in the specific R&D activity

*Not applicable in case funding agency has not claimed the IPRs in the Agreement/MoU.

7.5.7 Types of IP

Patent: The ownership would be in the name of University and revenue earned through commercialization would be distributed among the University and the inventors as per the IPR policy. In cases where the funding agency does not claim IPRs would also be owned by the University.

Copyright: Ownership of copyright of all copyrightable work shall rest with the author(s) with the following exceptions:

1. In case of sponsored and/or collaborative activity, specific provisions provided in the agreement/MoU shall determine the ownership of IP. If MoU/agreement not specifically mentioned, the ownership would be owned by the University.
2. SPU, Mandi would be the owner of the copyright of work, including computer invention, program, architectural designs etc. developed by University personnel with significant utilization of University resources.
3. SPU, Mandi would be the owner of the copyright on all teaching material developed by the University personnel as a portion of any of the academic programs at SPU, Mandi. In any case, the creators would have the right to utilize the material in her/his proficient capacity. As the conventional exemption, University would not claim ownership of copyright on books and publications authored by University personnel.
4. SPU, Mandi would be the owner of copyright of work delivered by non-SPU personnel. However, the creators should have the right to utilize the material in her/his proficient capacity.
5. All thesis, dissertations and project reports shall be the copyright of SPU, Mandi. The books and research publications shall be the copyright of SPU, Mandi personnel.

Trade Mark/Service Mark: Trade Mark/Service Mark for any trade or service being provided by the University in the field of Education or Research would be obtained in the name of University. The ownership and revenue generated would be owned by the University.

Industrial Designs: The outer shape, feature of apparatus, machines and products could be protected under Industrial Designs Act.

Layout Design of Semiconductor Integrated Circuits: The Ownership and revenue would be governed similar to that as in case of Patents.

Trade Secret: If it appears to the committee and inventors/creators that they can exploit their intellectual creations/inventions to a much longer period than that of Patent or other form of IPR, the committee can recommend for seeking protection under Trade Secret. The creation/invention would be kept a secret through a contract governed by the Contract Act. The Trade Secret would be valid till the validity of the contract.

7.5.8 Licensing of IPRs



In all cases where the ownership of IP is with the SPU, the licensing rights would also rest with the SPU. If IP is the result of fully externally funded project, the licensing rights would also rest with the funding agency. If it is the result of jointly funded project, then the licensing rights would be decided on terms and conditions of the agreement/MoU. The SPU reserves the right to issue license to a single or multiple parties depending on the demand of the specific IP. For licensing of IPRs the SPU would decide the charges/fee. The charges could be in lump-sum or recurring. However, in case of copyright, where the author is the owner of IP, he would be fully authorized to issue licensing rights related to the copyrighted work.

7.5.9 Revenue sharing

The income generated through the commercialization of SPU owned IP would be shared between the SPU and the creator(s). It would be shared as per following.

Share	Revenue generated [#] through commercialization and licensing of IP	Distribution	
		SPU	30%
		University's Administration	10%
Creator(s) of IP*	70%		

[#]SPU, Mandi reserves the right to decide final sharing percentage of the different stakeholders involved in IP creation and dissemination from time to time, keeping in view the actual investment of the SPU and the inputs of the inventors/ creators.

*The Creator(s) of the IP would remain getting their due share as mentioned above even after they leave the SPU.

The pattern of IP creator(s) share of revenue in the aforementioned SPU owned IP would be as follows:

S. N.	Share holders	Share
1.	Principal Investigator/Contributor	45%
2.	Project Staff/Team involved in IP creation	45%
3.	Share of specific Department of the University- where the IPis created**	10%



**Dean Research
Sardar Patel University
Mandi (H.P.)-175001**



Sardar Patel University, Mandi

(A State Government University)



**The department would use this amount for up-gradation of invention and further promotion for commercialization of the IP. The Department can utilize the remaining amount for up gradation of labs, equipment, etc.

7.5.10 Technology Transfer

The SPU and the Inventors would identify the potential markets for commercialization of its IPRs. The SPU would explore the possibility of having a contract with agencies like GoI and National Research and Development Corporation (NRDC) and other similar agencies for transfer of IPR protected technology so as to have optimum benefit out of the IPRs.

In cases where the SPU is not able to work out the invention to the fullest extent, it could decide for transfer of technology to third parties as well. If the SPU is not able to commercialize the IPRs in a reasonable time frame, the inventors could file a request for assignment of the rights in the invention.

7.5.11 Legal Issues

1. Infringement of SPU's IPRs

In cases where the SPU has issued a license, for working and using the invention/IP to a licensee, the costs of any litigation, with regard to infringement, damages (or any other related issue) of such invention/IP would be dealt by the Licensee. However, the litigations cost in SPU owned IPRs would be dealt by the SPU itself.

2. Conflict of Interest

The SPU and Inventors/Creators of IP would ensure that there should not be any conflict of interest between the Inventor and Licensee. It is the responsibility of the inventor/creator of IP if he or any of his family members is related or employed with the Licensee/Licensee Company. In such cases, the inventor/creator of IP would ensure that the working of SPU would not be affected in any manner.

3. Dispute resolution

If there is any dispute between the SPU and the inventor/creator of the IP with regard to the IPR Policy of the SPU, the aggrieved party may appeal to the Competent Authority, Vice Chancellor, SPU, Mandi. Efforts shall be made to address the concerns of the aggrieved party. The decision of the Competent Authority in this regard would be final and binding.

4. Jurisdiction

All agreements and Licenses issued by the SPU, Mandi would have the jurisdiction of courts at Mandi and would be governed as per law of the land.



Sardar Patel University, Mandi

(A State Government University)



7.5.12 Capacity Building on IPRs

A continuous flow of knowledge is crucial for sustaining the R&D infrastructure of the SPU. The creators of the knowledge and hence the Intellectual property are needed to be awarded and their creations are required to be protected from infringement. The Government agencies like PFC, Technology Information, TIFAC, DST and Department of Scientific & Industrial Research are supporting the inventors/scientists in filing SPU applications with appropriate offices and later on providing them platforms for commercialization of their IPRs. These Government Organizations/Departments are also providing platform for technology transfer applications. The SPU should fund the appropriate Patenting and other IPR applications emanating from the R&D being carried out at the SPU.

7.5.13 Filing of Patents in Foreign Countries

The SPU could file the patent applications in foreign countries of interest. For the purpose the SPU could file separately in selected countries or through a single Patent Cooperation Treaty (PCT) application. SPU has to inform the Government about such filings as per section 8 of Indian Patent Act 1970.

7.5.14 IPR Fund

A percentage of revenue generated through licensing and commercialization of SPU owned IPRs would be deposited as SPU's IPR fund which would be utilized by the Department/University for capacity building of faculty, students and researchers. SPU, Mandi would also invest corpus amount as decided by the Competent Authority every year to encourage filing and registering of IPR(s). The IPR fund will be managed by R&C Section of SPU, Mandi.

7.6 Memorandum of Understandings (MoUs)

In case of joint projects with other institutions or industries, University researcher shall be governed by Memorandum of Understandings (MoUs) /Agreement for Project/Research Collaborations.

Dean Research
Sardar Patel University
Mandi (H.P.)-175001

Dean Research
Sardar Patel University
Mandi (H.P.)-175001



Sardar Patel University, Mandi

(A State Government University)



8. Research Incentives

8.1 Research Excellence Award for Students/Scholars/Faculty

Sardar Patel University Mandi shall encourage and promote the culture of research and innovation amongst the faculties through acknowledgement of their achievement in university newsletter, website and by awarding certificate of appreciation/memento.

8.2 Research Grant

8.2.1 Research Projects

For external research funded projects all rules governing the grant will be adhered to by the PI and/or Co-PI of the project.

8.2.2. Infrastructure Developmental Projects

Institutional overhead charges will be deposit to the University corpus fund.

8.2.3 Project Transfer

If a Project Invigilator (PI) leaves the university, and a project funded by an external agency is only six to eight months old then the project can be transferred provided

- (1) There is provision of Co-PI, then the project will be allotted Co-PI and PI will work as Co-PI.
- (2) If Co-PI moves he can be allowed to continue.
- (3) If PI moves and nothing much have been carried out at University, the project may be allowed to move with approval of competent authority.
- (4) For completed projects the equipment and other facilities generated at the university utilizing the project fund shall not be transferred.
- (5) All researchers shall be aware that utilization of fund shall be as per the General Financial Rules 2017 (GFR-2017) and subsequent amendments thereby GFR of the Government of India and the standard financial practices including accounting procedures which are applicable from time to time.

Overall, the project transfer will be carried out as per the rules of the funding agency.


Dean Research
Sardar Patel University
Mandi (H.P.)-175001

Dean Research
Sardar Patel University
Mandi (H.P.)-175001



Sardar Patel University, Mandi

(A State Government University)



9. Ph.D. regulations

9.1. Admission

The admission in the Ph.D. program shall be governed as per the UGC norms (https://www.ugc.gov.in/pdfnews/6669193_Letter-NET-for-Admission-to-PhD.pdf) dually adopted by SPU Mandi in academic council (AC).

9.2. Assessment of Ph.D. progress

The course work (teaching of the courses) should be complete within one year after the enrollment of Ph.D. student. Each department should have a subject specific Research Degree Committees (RDCs) which will monitor the research progress of the student once in a six month period. The RDC will be chaired by the Dean Research and the members will be Dean Faculty, HOD of the concerned department, supervisor, internal senior faculty member and one external senior faculty member to be nominated by Chairman AC.

9.3. Thesis submission and evaluation

Various measures will be taken to ensure the quality of research. The Plagiarism policy issued by UGC has been adopted as such and all research scholars and faculty members must follow the norms of plagiarism policy as notified by UGC. No thesis will have more than 10% plagiarism.

The synopsis should be submitted and finalized six months before the thesis submission. The further extension for the thesis submission will be granted by the Chairman AC of the Sardar Patel University Mandi.

The minimum time period for the PhD program shall be for a minimum duration of three years including course work and maximum period of 5 years. Further extension may be granted by the Chairman AC of the Sardar Patel University Mandi.

The thesis will be evaluated by two external examiners at the minimum rank of Professor followed by viva-voce examination.

10. Research Publications/ Patents (For faculty)

It will be mandatory for each faculty to publish minimum of 2 publications including research articles/ review articles/ books/ chapters every year with reputed/ accredited journals and publishers (scopus indexed/ UGC care list). The Faculty Members are encouraged to seek



Sardar Patel University, Mandi

(A State Government University)



grant for research from various agencies including DST, DBT, ICSSR, ICMR, MoE, CSIR, UGC, State Government, etc. every year. The Faculty Members also encouraged to file patents with the financial support provided by Sardar Patel University Mandi.

11. Academic Industry Collaboration

University Industry interaction program shall be carried out to contribute to the socio-economic development of the country through collaborations and partnerships with industry.

This program may promote interaction between academics and industry through mutual co-operation amongst teachers, scientists, researchers and the practicing industrialists to fill the gaps between knowledge creation and its application. It may define thrust areas of collaboration, promote university-industry linkages and create a database of collaborating industries. It is important to identify priority areas which are sector specific and aligned with Government initiatives in consultation with industries.

12. Provision of Post-Doctoral Fellowship

University shall welcome the post doctoral fellows with their own funding.

13. Ordinance Regulations and Obligations

All research activities shall be carried out as per University ordinances and regulations.

14. Management of Research

Working/Functioning/Governing of various research committees constituted at departmental level as per University Ordinance and norms.

15. Centralized research facility

Sardar Patel Advanced Research Center (SPARC) may be established with the addition of major equipments to promote the research culture. This Centre will provide the research facilities to the scholars and faculty in different areas of research.

Dean Research
Sardar Patel University
Mandi (H.P.)-175001



Sardar Patel University, Mandi

(A State Government University)



16. Custodian of the Policy

The implementation, monitoring and reviewing of Research Policy shall be pursued by the Dean Research office. The University shall have a Research Advisory Board to advise and supervise research related matters of the university. The research output at the University level shall be assessed by time to time.

17. Amendments

Sardar Patel University Mandi shall have supporting policy frameworks for promotion of research in conjunction with this policy such as Ordinance on research (Ph.D.), and other research advisory bodies, research regulations and guidelines which are applicable from time to time. This policy will be reviewed periodically to rectify anomalies, if any, and to incorporate feedback received from the stakeholders, impact analysis and deliberations of the focus group constituted by the Vice Chancellor.

Dean Research
Sardar Patel University
Mandi (H.P.)-175001



Annexure A

FORMAT OF APPLICATION FOR SEED MONEY/START-UP GRANT

Section A : Personal Information

1. Name of the Teacher :
2. Department :
3. Date of Joining in the University : (in Regular Post)
4. Sex :
5. Mobile No. :
6. E-mail Address :
7. Present Residential Address :
8. Professional Achievements (Briefly) :
9. Publications :

Section B: General Information

1. Project Title (Should be focused not exceeding 15 words):
2. Name of the Teacher/Teachers in case of
joint proposal (i)

(ii)

(iii)

(iv)
3. Whether project activities require any clearance form relevant authorities in respect of any environmental/legal/ethical issues? Yes / No



Sardar Patel University, Mandi

(A State Government University)



4. Duration (months) :

5. Budget :

(a) Non-Recurring Expenditure

Sl.No.	Name of the item	Tentative Cost ()

(b) Recurring

Sl.No.	Item/ Head of Expenditure	Tentative Cost ()

Total = ` (Non-Recurring + Recurring)

Section C : Technical Details

1. Title (not exceeding 15 words) :

2. I. **Statement of the problem** (Max.100 words)

- i. State the main problem you seek to address:
- ii. Why is it important to solve it?

II. **Suggested solution** (Max.150 words):

(Describe how the proposal will lead to a novel and effective solution, **based on a scientifically and technically sound concept** and keeping in view of the necessity and local availability of resources, Outline your idea or solution you plan to develop.)

3. **Review of Status** – (Max.100 words):

4. **References** :

5. **Proposed Objectives** (Max. 3 focused objectives be included):

i.	
ii.	
iii.	

6. **Methodology** (Max.100 words):

(Describe how the project will address the societal challenges in a sustainable way. Also explain how and in what way, the project will contribute to the advancement of knowledge in the subject/topic. Support with defined steps/relevant process details, e.g.



Sardar Patel University, Mandi

(A State Government University)



flow chart, model, survey procedure, protocols, engineering design/schematic/layout plan - as applicable to achieve the stated objectives)

7. **Work Plan** (Max.150 words):

i. **Phase wise work plan of action with time line and deliverables in tabular form.**

ii. **Technology Development/Adoption/Modification, if applicable**

Information should be provided on the scale of operation, minimum economic viable scale, estimated cost and likely benefits of the proposed technological intervention):

iii. Institutions / place where detailed lab/field testing or experiments will be carried out:

iv. **Expected outcome** (Max.100 words):

8. **Environmental, Legal and Ethical Issues:**

(Explain any environmental, legal and ethical compliance issues. Please mention how these will be addressed & enclose clearance certificate from concerned authorities, if required)



Sardar Patel University, Mandi

(A State Government University)



ENDORSEMENT FROM THE CHAIRPERSON OF THE DEPARTMENT

Project title : _____

-
1. Certified that the Department welcomes participation of Dr./Shri/Smt./Km. _____
_____ for the project.
 2. Certified that the equipment, other basic facilities and such other administrative facilities as per terms and conditions of the grant, will be extended to investigator(s) throughout the duration of the project.

Name and signature of
Chairperson. Department

Date & Seal



CERTIFICATE FROM THE APPLICANT

Project title : _____

1. I/We agree to abide by the terms and conditions of the guidelines.
2. I/We did not submit this or a similar project proposal elsewhere for financial support.
3. I/We have explored and ensured that equipment and basic facilities will be available as and when required for the purpose of the project. We shall not request financial support under this project, for procurement of these items.
4. We have enclosed the following materials:

ITEMS	NUMBER OF COPIES
(a) Endorsement from the Chairperson, Department	1 (One)
(b) Copies of the Proposals	3 (Three)

Name & Signature of PI

Name & Signature of Co-PI



Sardar Patel University, Mandi

(A State Government University)



Annexure B

Sardar Patel University, Paddal, Mandi

Request for Attending Conference/Seminar/FDP/Workshop

- A. Name of the Faculty:
- B. Name of the Department:
- C. Area/Domain:.....
- D. Total Service in SPU.....
- E. Details of Conference /Seminar/FDP/Work shop planning to attend:
 - i. Title of the conference/Seminar/FDP/Workshop:

.....

.....
 - ii. Name of the conference/Seminar/FDP/Workshop organizer:

.....

.....
 - iii. Venue of the conference/Seminar/FDP/Workshop (City/Country):

.....

.....
 - iv. Dates & Duration of the Conference /Seminar/FDP/Workshop.....
 - v. Rating of the conference.....
 - vi. Boarding /Lodging provided: Yes/No No of Days

.....
 - vii. Registration fee/boarding/lodging/travel cost

.....

I will submit the Abstract/Full paper before leaving for the conference/Seminar/FDP /Workshop, if not done earlier. Relevant Acceptance letter is enclosed.

Date:

Signature of the Faculty



Sardar Patel University, Mandi
(A State Government University)



Dean Research Records

a) Signature of Dean Research:

Your request for attending the above National/International Conference /Seminar/ FDP/Workshop is approved /disapproved.

Signature of Hon'ble Vice Chancellor:



Sardar Patel University, Mandi

(A State Government University)



Annexure C

SEEKING APPROVAL OF A CONDUCT/SUPPORT TO EVENT

1. (a) Title / Name of the **Event**:

(b) Major discipline in which it falls:

(c) Period:

(d) Coordinator(s) and School:

2. List of various sessions planned and attached : Yes () / NO ()

3. (a) Objective and Scope in organizing the Workshop in the context of the present day national needs :

Objectives (Max. 250 words):

4. Target Audience:

5. Funding from other sources:

S.No	Name of the Agency	Amount Requested/Sanctioned
1		
2		
3		

6. (a) Total delegates expected to participate

a. Delegates from India:

b. Delegates from abroad:

c. From SPU Mandi:

(b) Likely speaker(s) delivering invited talks and sessions

S.No.	Names of speakers
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	



Sardar Patel University, Mandi
(A State Government University)



7. Total anticipated expenditure under the following heads:

- (a) TA/DA:
- (b) Pre-Conference printing (announcements, abstracts etc.):
- (c) Stationery:
- (d) Secretarial Assistance:
- (e) Publication of proceedings:
 - (i) No. of pages:
 - (ii) No. of copies to be printed:
 - (iii) Estimated expenditure :
- (f) Boarding and Lodging of delegates:
- (g) TOTAL of (a) to (f) :

8. Total anticipated income out of the following:

- (a) Registration fee of the delegates:
- (b) Sale of proceedings to be published:
- (c) Any other income / grant:
- (d) TOTAL of (a) to (c) :

9. Grant requested from SPU Mandi (if any):

10. Any other information which you may like to add:

Sincerely

Coordinators:

Head, Department of:

Dean Research:

Signature of Hon'ble Vice Chancellor:



Sardar Patel University, Mandi

(A State Government University)



Annexure D

INVENTION DISCLOSURE FORM

1. **Topic of invention:** (Restricted to max.20 words)
2. **Image or photograph of the said invention:** (It should represent best the invention, which may be uploaded on the Institute website under patents section).
3. **Abstract of the invention:**

(Detailing the core of the invention, focusing the novelty/ invention/IP, not more than 200 words)
4. **Key Words:**(using which, 'prior art search 'is or can be done)
5. **Area/field of patent able technology:**
6. **Background of Invention:**
(It comprises the technologies existing presently in the field of your creative work and drawbacks or limitations of all those)
7. **Capability of your invention to overcome the above-said limitations of existing technologies.**
8. **Prior Art Search:** (Dictating the databases/references used, the brief description of the search results under two topics-Literature and Patents)
9. **Brief explanation of the creative work/invention along with practical examples: (It shall comprise):** Detailed description of every aspect of creative work (product and/or process), schematics, photographs, reports, charts, papers etc. aid in description of inventors creative work, flow charts in support of software based inventions, in order to reduce time of filing patent application, as it shall support the attorneys better understand your invention quickly.
10. **Claims or technical aspects need to monopolize:**
11. **Does your invention being reduced to actual practice?**

(If yes, please provide details)
12. **Details of any firm/organization/agency contacted for commercialization of the**



Sardar Patel University, Mandi
(A State Government University)



invention-

13. **Details of funding agency along with terms and conditions of funding pertaining to IPR. (please provide the copy of agreements made)**

14. **Name of Department/Centre/Section:**

15. **Names of the Inventors (permanent address, current address, email and phone numbers)**

(Please note that inventors can only be those who have contributed towards conceiving the idea(s) behind the invention.)

16. **Any remarks:**

Name of the applicant:

Head, Department of:

IPR Cell:

Dean Research:

Signature of Hon'ble Vice Chancellor:



Sardar Patel University, Mandi

(A State Government University)



Annexure-E

Agreement to be signed by all academic staff/students (seeking admission) entering the employment of SPU, Mandi, indicating their acceptance of the terms and conditions of the IPR Policy

I declare that I have carefully read and gone through the IPR policy of the SPU with respect to IPRs and I agree to be bound by it and follow its provisions during my employment period/study at SPU.

That in so far as I am involved in the:

1. Creation/invention/literary works subject matter of IPRs created/generated through the SPU's resources or using outsiders resources (with SPU's permission) would be reported to the SPU immediately after the creation of such works.
2. I consent to report to the SPU upon inventing any patentable or other IPR material as per provision of IPR Policy.
3. I further consent to allocate/provide SPU the rights endowed in protected IPRs created/generated using SPU owned resources as per the IPR Policy.
4. Strike out which ever is in applicable:
 - I certify that I am at present under no contractual obligations which are in conflict with the Policy.
 - I am at present under the contractual obligation detailed below:-
----- (or attach a separate sheet)
5. I would not entering to any agreement/contract with any party which is in contradiction/conflict to IPR Policy of the SPU.
6. This document and its provisions shall be binding upon me and my beneficiaries, assigns and estate from the date of my entering the employment/study at SPU.

Name:

Designation:

Employee Code/ Student Enrolment No.:

(Signature):

Date:



Sardar Patel University, Mandi

(A State Government University)



Annexure-F

Annexure-II: Mutual Confidentiality Agreement

MUTUAL CONFIDENTIALITY AGREEMENT	
Parties to the agreement	INVENTOR (NAME) and
Objective	<ul style="list-style-type: none">• Protection of confidential information disclosed by either party to the other.• Protection of the confidential information generated in the form of test data or research data owing to outsourcing of work by _____ to INVENTOR
Roles and Responsibilities	Both parties to guarantee that they will ensure the confidential data of the other party as they will secure their very own classified data.
Period of protection of Confidential information under the agreement	<ul style="list-style-type: none">- Five years after disclosure for existing information regarded as confidential by either party- Indefinite for the new data generated as a result of out sourcing of work by _____ to other party. Such information will be the select property of _____ and other party is bound not to uncover it to some other party, without any time frame.
Confidential information	The only information in a tangible form, duly marked as 'confidential' covered under the agreement. Oral information is considered to be confidential, to be duly reduced to writing with in a period of 15 days.
Conflict resolution	The decision of Competent Authority, SPU Mandi is Final

Name: _____

Designation: _____

Date: _____

Student Enrolment No.: _____

Employee Code/ _____

(Signature): _____