



PES UNIVERISTY, Bengaluru

100 ft Ring Road, BSK III Stage, Bengaluru 560085, INDIA

Research Policy

PES University research policy plan outlines the way in which the university wishes to realize its ambitions in the field of Research. This Research Policy is a guideline for priorities in research, the use of research funds, the faculty members research plans and initiatives. Research at PES University aims to lead high quality and impactful research academically and socially. PES University continues to invest in a wide range of research areas, in a pleasant working environment and in a fruitful symbiosis with many stakeholders in research.

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.

- 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 the ethical practices and principles.
- 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.
- 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.
- Researchers are accountable to conduct research that benefits university and society at large and should be responsible to make it available to public / public organisations.
- In terms of transparency, researchers are entitled to transparency in policy priorities, in quality and selection criteria and in promotion procedures.
- 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.
- If research involves data of a confidential nature, confidentiality must be maintained.
- The university research plan encourages inter-disciplinary research in various academic fields.
- 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.
- The University expects that those engaged in research activity are committed to high standards of professional conduct, integrity and ethics.
- 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 PES University.
- 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.

- The admission of research students and appointment of supervisor will be in accordance with rules and regulations of the University.

PES University's ambitions for research policies and initiatives can be grouped into six 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 in two categories: Seed level and Growth level. In addition, competitive external funding plays an important role in meeting the objectives of the research plans of the university. Seed level and Growth 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 any anomalies, it has to be brought to the notice of Dean of Research, who will escalate it to Vice Chancellor appropriately. The decision of the Vice Chancellor is final and binding upon all involved.

The details regarding funds is given in Appendix A.

2. The organisational structure is an education-based organisational chart. The duties of Dean of Research, Research Council and Academic council 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, organise and share the available infrastructure efficiently.
3. The research policy plan at PES 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. Also to facilitate recruitment of highly motivated researchers with international exposure and admitting research students with good academic background.
4. University encourages promoting research findings at appropriate platforms. The allowances to travel for reputed conferences within India and outside India is 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 will be considered to be interpreted as research misconduct. All concerns about the misconduct of research must be reported to Dean of Research. According to the stipulated protocol of Research misconduct, a preliminary investigation will be carried out by Dean of Research and report will be submitted to 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. The responsible conduct of research requires to disclose 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 Dean of Research who will refer the matter to 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 to the University regardless of the source of funding. 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. (Appendix – C)
9. A copy of the proposals for external mural funding must be submitted to the office of Dean of Research. The Principle 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 in accordance with the university policy.
10. All the Full-time PhD. Students will receive a scholarship from the PES University upon which they have to abide by the rules and regulations governing such scholarships. Also to encourage researchers which would like to hire a research assistant to carry on few unfinished/ to start a new project, a stipend from University for a limited period of time can be availed. The Research Assistants have to abide by the rules and regulations governing such stipend payments. (Appendix-B)

APPENDIX – A

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Research @ PES University

Scheme for Initiating Research (IR):

A faculty member with PhD (newly recruited or initiating research activity) in a niche area at PESU.

Aim:

- Enable the beginning of research and related activities for a newly recruited faculty member or who has significant potential to attract external funding.
 - To attract high quality faculty in the present scenario.
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Grants:

Grant of Rs. 2 Lakhs shall be awarded based on the merit of the idea. The amount should be spent within 24 months after granted.

(Based on requirement and progress an additional amount of Rs. 1 Lakh may be considered after an year.)

Criteria:

- New faculty member appointed with Ph.D or faculty member starting research in a niche area.
 - The faculty should commit to do research and to seek external funding for R & D projects.
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Procedure:

Faculty members should apply for IR 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:

- Research plan should describe research that is sustainable and has potential to help community.
 - Itemized budget should be consistent with research plan.
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Evaluation Process:

The application/proposal will be reviewed by a Research Committee appointed by Vice Chancellor and headed by Dean of Research. On recommendation of the committee, VC will consider, approve and sanction the fund.

Dean of Research will play a key role in monitoring the expenditure of funds.

Expenditure:

- The grant can be used to purchase research equipment like software, databases, storage, network equipment and laboratory supplies. But purchasing Desktops, Laptops, printers and peripherals are not allowed. The grant also can not be used for hiring external consultancy or assistance.
 - Record of purchase will be maintained by the respective department and sent to Dean Research office whenever required.
 - All purchases/expenses should be processed in accordance with PESU policies and procedures.
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Expected Outcomes:

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



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Research @ PES University

Scheme for CoE Research Project Grants (CRP):

This grant is to stimulate active collaborative research which promotes PESU to have a competitive edge in strategic areas of National and International importance.

Aim:

- To aid a long term project strategy in interdisciplinary emerging areas. The project(s) must have substantial goal of helping the centre to generate high quality publications/ patents / innovative products.
 - To promote inter-faculty collaboration.
 - To help good thesis work to be done by scholars, graduate and under graduate students.
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Grants

- Grants shall be awarded with a maximum value of Rs. 60 Lakhs.
 - The duration of the Grant will be 3 years. It could be extended by another year after a complete review of the outcomes.
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Criteria:

- Any group of faculty members of PESU with each member having PhD degree and proven track record of quality research.
 - Can seek collaborations from other reputed institutes or industry with whom proposal for external mural funding can be submitted during the grant period or at the end of the period, with clarity about commitment and contributions.
 - The group may consist of PESU faculty members, PhD scholars, Master's students and undergraduates belonging to PESU.
 - For this grant proposal the Principle Investigator(PI) and Co-investigators must be from PESU.
 - At any time, a PI can submit only one application. However, he/she can be a co- investigator in more than one proposal.
 - At the time of submission for this grant PI must not have a funded project or any other research grants from the university, in which he or she is a PI.
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Application Process:

- The call for proposals may limit research funding to a few strategic areas.
 - Preference is given to projects in Inter-disciplinary areas with inter-disciplinary faculty members as PI and Co-PI
 - Short proposals have to be submitted for initial screening. Short listed applicants have to submit a full proposal in prescribed format.
 - The proposals will be reviewed by a selection committee. The PI will be invited to make a presentation before the selection committee.
 - Decision on the grant award will be announced.
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Selection :

- Preference is given to Innovative interdisciplinary research.
 - Team must comprise of inter-faculty members whose expertise is complimentary.
 - Promise to generate IPRs, good publications and/or innovative products and linked to high quality PhD program of students.
 - Selection committee will be constituted by VC with Dean of Research as head and members will be constituted from internal as well as external experts.
 - The proposal may have more than one project aligned to a theme and within the budget specified for the grant.
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Outcomes:

- The PI will be responsible for the deliverables.
 - The funding will be on yearly basis.
 - Six monthly progress report has to be submitted. PI is required to report outcomes at the end of one year for yearly evaluation before releasing the funds for next year.
 - Purchase of research equipment like servers, storage, network equipment, databases, software and laboratory equipment will be in accordance with PESU procurement policy.
 - Part of Grant can be used as scholarship for PhD research scholars and part time work done by graduate and under-graduate students.
 - The funds have to be utilized within the stipulated period.
 - In any research communication, contribution of the institute funding should be duly acknowledged.
 - In case PI leaves the institute before the completion of project, one of the co-investigators from PESU will assume responsibility as PI.
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Deliverable:

- Quality publications/IPRs/Innovative products or processes at the end of the grant period.
 - IPRs thus generated will be treated according to the university IPR policy.
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APPENDIX – B

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Research @ PES University

Student Scholarship/Research Stipend:

The following categories of candidates are eligible for student scholarship/research stipend instituted by PES University or national and international agencies under schemes approved by the university through procedure laid down by the university, provided they fulfil the eligibility conditions.

- a) Students who are admitted for Full-time Ph.D. programme are eligible for a monthly fellowship/scholarship of Rs. 27,000/- onwards from PES University. In case of deserving candidates, the starting scholarship can be higher.
- b) Students who are employed as Research Assistant for a project will get a monthly stipend of Rs. 15,000 onwards from PES University. In case of deserving candidates, the starting scholarship can be higher and not exceeding Rs. 27,000/-
- c) For UG and PG students interested in being part of an on-going research work. a Junior Research Fellowship with monthly stipend of Rs.6000/- onwards not exceeding Rs. 12,000/- will be awarded for a period of maximum one year.
- d) Full-time Ph.D. students will be eligible for a yearly increment of 10% provided they achieve the milestones set by the university and on recommendation of Doctoral committee considering the satisfactory progress by the student during the year under review.
- e) Full-time Ph.D. candidates who have exhibited exemplary research capabilities with publications in reputed conference(s)/Journal(s) may be considered for starting with a higher monthly scholarship.
- f) The scholarship for Ph.D. students will be for a period of maximum 4 years.
- g) The stipend for Research Assistants will be for a period of maximum 1 year after which can be extended by six months on need basis.
- h) In case of the student/research assistant receiving any other scholarship/stipend by the university or national and international agencies, will have to forgo the scholarship or stipend by the university.
- i) In case of external funded projects, the student or research assistant should be funded by JRF assistantship of the fund by Principal Investigator of the project. In case the funds are not sufficient to include student assistantship, an appeal can be made to Dean of Research for stipend. The decision of any assistantship required will be taken in consultation with Vice Chancellor and Management.
- j) Full-time Ph.D students will be supported to present their research findings in reputed conferences held in India and they will also be supported by registration fee and of travel to present their findings in a reputed conference held outside India once a year. Such students are encouraged to explore external funding available for attending conferences held outside India.

- k) All students and research assistants having scholarship / stipend instituted by PES University shall assist the concerned department upto 6 hours of work on a weekly basis as decided by the chairperson of the department and will assist the PhD Supervisor / Principal Investigator 4 hours of work on a weekly basis as assigned by the Supervisor/Principal Investigator. The candidate has to submit the work carried out in the prescribed form to the Dean of Research duly signed by Chairperson/HoD of the department and the Supervisor/Principal Investigator. If the student/research assistant fails to submit the same, his/her scholarship/stipend will be withheld or terminated as the case maybe.
- l) The student/research assistant will be eligible to avail leave according to the university norms.
- m) The student can avail On-Duty leave to attend relevant research workshops recommended by his/her supervisor and present his/her research findings in conferences.
- n) The student / research assistant can be deputed to work in reputed research labs in India or outside India by the university with required approvals from the Supervisor/Principal Investigator, concerned authorities and management. In such cases, student / research assistant will not be given scholarship or assistant ship if any scholarship / assistantship is provided by the host organisation.
- o) The Ph.D. student receiving scholarship has to achieve the following milestones:
 - a. Within first year of admission the student has to complete the coursework.
 - b. During second year, the student must complete the proposal defense and clearly state objectives of his/her research.
 - c. Starting from second year of admission the student has to publish atleast one research article in reputed conference/journal indexed in Scopus/Web of Science.
 - d. Student has to have atleast 2 journal articles accepted/published in reputed journals/ atleast 1 journal article accepted /published in reputed journal along with patent(s) filed/granted before submission of thesis.
 - e. Minimum publications required should be with supervisor as one of the authors and student being the first author.
- p) The extent of reservations and the eligibility criteria of the students admitted to doctoral programme / research assistants for a project will be governed by the guidelines issued by the University in accordance with statutory provisions.
- q) Any issues concerning procedure or interpretation of the provisions contained in this shall be referred to the Vice-Chancellor whose decision shall be final. All such cases shall be reported to the Research Council and Academic Council.

Office of Dean of Research

APPENDIX – C

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Intellectual Property and Copyright Policy

It is the policy of the University to encourage the development of inventions, and where its resources permit, to reduce these inventions to practice and develop their full potential to the point of practical application. The University is an educational institution devoted to teaching, research, and other scholarly activities in the public interest. The University's faculty, staff, and students, as part of their normally assigned duties and scholarly activities, carry on research which may be supported in part, or in whole, by the University from its own resources, or by grants or contracts with outside sponsors. The respective rights and obligations of the University, its sponsors, and its inventors relative to inventions resulting from research at the University are defined by this policy.

The IPC policy outlined herein is the policy of the Management of PES University ("the University").

1. Patent Policy

This policy shall apply to all employees of the University (including members of the faculty or staff) and for all persons who are not employed by the University but who participate or intend to participate in research projects and use University Resources (including students, visiting faculty, industrial personnel, fellow) and shall apply to each discovery and invention conceived, made or reduced to practice in the course of work at the University, on University funded (whether in whole or in part) projects, or with incidental use of University Resources such as University's facilities, equipment, or materials, and/or grants or contract funds furnished through the University. This policy shall apply to all Inventions conceived, made or reduced to practice since the inception of the University. Title of such inventions shall be assigned to the University, regardless of the source of funding, if any.

Waivers of any provision of this policy shall be effective against the University only if the waiver is in writing, signed by the University Registrar with the seal of the University.

2. Administrative Procedures:

The University's Registrar Office will have the exclusive right to conduct, manage, or delegate the evaluation, marketing, negotiations and licensing of Inventions.

(i) Royalties. The University shall share royalties from inventions assigned to the University with the inventor(s). Following the assignment of the Invention and associated IPC rights, any

royalty payable to the inventors of such Invention, shall be based on the royalty rate approved in writing by the Vice Chancellor of the University in consultation with the Chancellor and administrative head of the particular Campus/Faculty/Center/Department of the University that is primarily responsible for the project associated with such Invention. Royalties payable to the inventors of the Invention, shall be determined based upon relevant circumstances such as grants, contracts, or other agreements with third party organizations, relating to the Invention. When there are two or more inventors, each inventor shall share equally in the inventors' share of royalties, unless all inventors previously have agreed in writing to a different distribution of such share. If there is any suit, litigation, or other proceeding to challenge or protect patent rights, whether actual or imminent, the University may, in its sole discretion, withhold distribution and impound royalties until resolution of the matter. A deduction of 10% to cover the administrative overhead is taken from gross royalty income, followed by a deduction for any direct expenses of patent filing fees.

(ii) Equity. Equity received by the University as part of the license issue fee for patent rights related to the Invention, whether in the form of stock or any other instrument conveying ownership interest in a corporation shall, subject to applicable law, be distributed in a manner similar to royalties, after deduction of the Costs.

3. Invention Disclosure

An Invention disclosure is a document which provides information about inventor(s), what was invented, circumstances leading to invention, and facts concerning subsequent activities. It provides the basis for the determination of patentability and the technical information for drafting a patent application. Inventor(s) shall on a timely basis prepare and submit the University's Invention Disclosure Form for each potentially patentable invention conceived or first actually reduced to practice in whole or in part in the course of their University responsibilities or with use of University resources.

The Inventor(s) is free to place inventions in the public domain if that would be in the best interest of technology transfer and if doing so is not in violation of the terms of any agreements that support or governed the work. The University will not assert intellectual property rights when inventor(s) have placed their inventions in the public domain.

All decisions regarding Inventions, their commercial development, donation to the public domain, and/or assignment shall be at the sole discretion of the Vice Chancellor in consultation with the Chancellor.

4. Board of Governors Review

Any disputes that arise under this policy that are not resolved by the Vice Chancellor, shall be referred to the Chancellor of the University, who shall recommend final action to the Board of Governors. The decision of the Board of Governors shall be final with respect to all disputes.

5. IPC Agreement

All inventors hereunder shall be required to sign the University Intellectual Property and Copyrights Agreement that shall provide for express acceptance of the terms of this policy. In addition, non-employees who participate or intend to participate in research projects at PES University must also sign the University Intellectual Property and Copyrights Agreement.



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University Intellectual Property and Copyright Agreement (UIPCA)

The PES University, hereinafter referred to as the University, has certain responsibilities to see that inventions made and copyrightable materials (including software) developed at the University be used for the public benefit, be administered in such a way as to avoid cause for criticism of the University, and meet the University's contractual obligations to others. In consideration of my employment /appointment/association, and in view of the Intellectual Property and copyright policies of the University in force at this date and as may from time to time be amended, and as consideration for my use of and access to University resources, facilities and equipment, I hereby agree as follows:

I will notify the University promptly of all inventions or copyrightable materials that I have developed in the course of my duties at or for the University, with any use of facilities owned or managed by the University.

I will submit invention disclosures to the University promptly following the completion of conception or the first reduction to practice of any IP.

I agree to assign, and hereby do assign, to the University all such inventions and copyrightable material, and all copyrightable materials, inventions, copyrights, patent applications and patents relating thereto; and to execute all papers required to apply for, obtain, maintain, issue and enforce such copyright registrations, patents and applications therefor; and to provide reasonable assistance regarding such copyrights, patents and patent applications, including testifying in any interference proceeding or litigation relating thereto.

Expenses for the copyrights and patent applications, and for the assistance set forth, shall be borne entirely by the University.

I agree to notify the University of any funding from an agency of the Government of India or Industry that may have supported an invention. This is to ensure the compliance of the University with the provisions of the Government of India rules and regulations.

I understand that if the University receives funds from the licensing of copyrightable materials or patents assigned to it by me pursuant to this agreement, in excess of unreimbursed expenses associated with obtaining, maintaining and enforcing such copyrights and patents, I shall share in these funds according to the established University policy, procedures and practice in effect on the date that the patent application is filed or the copyrightable materials are completed.

This agreement supersedes and replaces any Intellectual Property and copyright agreement (or other similar agreement concerning the subject matter of this agreement) with the University heretofore executed by the undersigned.

Signature _____

Date _____

Name _____

Dept _____

PESU Emp. ID/No. _____



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Invention Disclosure Form (Internal Document)

All Inventors must sign the Invention Disclosure form before it is submitted					
1. TITLE OF INVENTION:					
2. PLEASE ATTACH A DESCRIPTION OF THE INVENTION					
3. INVENTOR(S):					
Principal Inventor:					
Name	Designation	Campus	Department	Mobile Number	Email Id
Others:					
Name	Designation	Campus	Department	Mobile Number	Email Id
4. Details of any external funding received which lead to this invention: (Please attach any MoU signed with external agency, if any. This information is to comply with all requirements under sponsored research agreement and applicable law(s))					
5. Dates of Idea Conception & Public Disclosure: (This information is crucial as prior public disclosure may affect the possibility of obtaining patent rights)					
Ideation	Date	Details			
Date of invention, if recorded and documented					
Public Disclosure in writing, if any					
Oral Public Disclosure, if any					
If unpublished & undisclosed, any plans to publish or commercialise later					
6. Is Prototype working model available and tested? If yes, give details.					

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7. Details of commercialisation, if applicable. List of potential agencies who may be interested in commercialisation of this idea.

8. I hereby confirm that this invention is not plagiarised or part of anybody else patented or published work. I agree that all rights and royalties will be distributed as per PES University Intellectual Properties Policies.

Inventor's Name & Signature with date

Home Address:

Inventor's Name & Signature with date

Home Address:

Inventor's Name & Signature with date

Home Address:

Inventor's Name & Signature with date

Home Address:

Comments of Dean of Research:

Signature of Dean of Research

Date:
Place:

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