

॥ सा विद्या या विमुक्तये ॥



Gujarat Vidyapith

(Deemed to be University)

Research Policy

(As approved by the Board of Management in its meeting held on 22nd July, 2023)

Nr. Income Tax Office, Ashram Road,

Ahmedabad - 380 009

Gujarat State, India.

Phone: 079-27541148, 079-27540746, 079-40016200

Fax: 079-27542547

URL: www.gujaratvidyapith.org, www.gujaratvidyapith.ac.in, www.gujaratvidyapith.edu.in

INDEX

Sr. No.	Particulars	Page No.
1.	Objectives of Research Policy	1
2.	Academic Research Guidelines	1
3.	Research Funding and Resources	2
4.	Research Governance and Ethics	2
5.	Research Publications and Scholarly Outputs	3
6.	Research Collaborations and Partnerships	3
7.	Research Capacity Building and Training	3
8.	Sponsored Research	3
8.1.	Recruitment of JRF's for the Sponsored Projects	4
8.2.	Consultancy Projects (National/ International)	4
8.3.	Research projects: National/ International	6
8.4.	Responsibilities of the Principal Investigator (PI) and Co-PI	7
8.5.	Demise or transfer of PI	8
8.6.	Collaborative and Multi-Institutional Projects	8
9.	Promotion of Research Activity	9
10.	Funding Agency Sponsored Lab	9
11.	Institute Research Grant	9
12.	Instrumentation Facilities	10
13.	Planning the Research Project	10
14.	Conducting the Research	11
15.	Data and samples used or created in the course of research	11
16.	Openness	12
17.	Professional Guidance and Legislation	13
18.	Leadership And Cooperation	13
19.	Supervision	13
20.	Training	13

21.	Primary Data/Samples/Equipment	14
22.	Intellectual Property	14
23.	Dissemination and Publication of Results	15
24.	Integrity	16
25.	Conflict Of Interest	17
26.	Misconduct	17
	26.1. Research misconduct or fraud	17
	26.2. Reporting Cases of Research Misconduct	18
	26.3. Evaluation of the Complaint	18
	26.4. Full Investigation	20
	26.5. Process of Enquiry	20
	26.6. Outcome of the Investigation	21
	26.7. Safeguard against False Allegations	21

Research Policy of Gujarat Vidyapith

Brief Statement

The Research and Development Policy of Gujarat Vidyapith (R&DP-GV) combines the vision, mission, and objectives of the Institute with the New Education Policy (NEP) 2020 as well as the Higher Education (HE) research policy framework of the University Grant Commission (UGC). Each department at GV has the liberty to prioritize its research agenda based on the specific needs of its discipline in consultation with the Board of Studies. This research policy provides a framework to guide and support research activities at GV at UG, PG, Ph.D., Funded/Non Funded Research and Consultancy project levels.

1. Objectives of Research Policy:

The key objectives of the research policy at GV are:

- 1.1 To promote a research ecosystem that encourages interdisciplinary, collaborative, and impactful research across various disciplines and domains.
- 1.2 To foster a culture of research excellence, integrity, and ethical conduct among faculty member, researchers, and students.
- 1.3 To provide support and resources for research activities, including funding, infrastructure, and administrative assistance.
- 1.4 To encourage and recognize research publications, patents, and other scholarly outputs.
- 1.5 To promote research collaborations and partnerships with local, national, and global institutions.
- 1.6 To enhance the capacity of faculty member, researchers, and students in activities of research (research methodology, proposal writing, and research management).
- 1.7 To establish mechanisms for research governance, monitoring, and evaluation.

2. Academic Research Guidelines:

- 2.1 GV shall adhere to UGC regulations for the award of Ph.D. in toto with amendments as and when declared. These regulations are applicable to research scholars, supervisors and administration at GV.

- 2.2 The Research and Development Council will ensure the implementation of Ph.D. regulations after taking approvals from the Academic Council.
- 2.3 The Committee will discuss relevant issues for research and development, and provide suggestions, and opinions, for the implementation of Ph.D. rules and regulations.
- 2.4 The Research and Development Council will look over and guide the research activities at UG and PG levels in consultation with Board of Study.

3. Research Funding and Resources:

- 3.1 Research and Development Council will guide the researchers for preparing project proposals and applications to funding agencies, funding schemes, collaborations with funding individuals/agencies, and industry partnerships.
- 3.2 In consultation with the R&D Council, the university will establish mechanisms to facilitate the acquisition of research equipment, infrastructure, and other necessary resources for research activities.
- 3.3 The R&D Council will conduct workshops and training for Researchers to encourage them to actively participate in research grant proposals and seek external funding for their research projects.
- 3.4 The R&D Council will facilitate the screening and approvals of GV-funded Research Projects.
- 3.5 The R&D Council will facilitate/look over the Research and Consultancy projects, MoU, and related documentation.

4. Research Governance and Ethics:

- 4.1 R&D Council will ensure the conduct of research with the highest ethical standards, following the principles of integrity, rigor, transparency, and accountability.
- 4.2 Research ethical committee of the R&D Council will review and monitor research projects involving human subjects, animals, or sensitive data.
- 4.3 The R&D Council will ensure the implementation of relevant laws, regulations, and guidelines related to research ethics, data protection, intellectual property, and other relevant areas.
- 4.4 The R&D Council in consultation with the Academic Council will develop mechanisms to ensure the responsible conduct of research and address issues related to research integrity, plagiarism, and misconduct.

5. Research Publications and Scholarly Outputs:

- 5.1** R&D Council will ensure that researchers disseminate their research findings through high-quality publications in reputable journals, conferences, and other scholarly outlets. (As described in UGC minimum Qualifications for Promotion under CAS and Direct Recruitment).
- 5.2** This R&D Policy will encourage researchers to make their research outputs openly accessible, subject to relevant laws, regulations, and policies.
- 5.3** R&D Council will establish mechanisms to support and facilitate the process of research publication, including the provision of adequate resources, training, and support for manuscript writing, submission, and peer review.

6. Research Collaborations and Partnerships:

- 6.1** R&D Council will mediate to establish collaborations and partnerships with national and international institutions to promote interdisciplinary and collaborative research.
- 6.2** R&D Council of the university will facilitate and support research collaborations and partnerships, including joint research projects, exchange programs, and collaborative funding proposals.
- 6.3** R&D Council will mediate and facilitate the formation of national and international research networks, consortia, and collaborations to enhance research capabilities and visibility.

7. Research Capacity Building and Training:

- 7.1** R&D Council will facilitate training and capacity-building programs for faculty member, researchers, and students in research methodologies, proposal writing, research management, and other relevant areas.

8. Sponsored Research

Research work is supported by funding bodies, external to GV which may arise from sources inclusive of, but not limited to state, national or international governments, industrial collaborations, consultancy projects, shared consultancy projects, and joint ventures of two institutional organizations. The R&D Council will ensure the following for smooth conduct of Research Projects:

8.1 Recruitment of JRF's for the Sponsored Projects

- 8.1.1 An advertisement may be released calling for eligible Research Fellows following which suitable candidates will be shortlisted.
- 8.1.2 Interview will be conducted for the shortlisted candidates and Minutes of the Meeting will be prepared for the same. The enclosure for the Minutes of Meeting must include a list of the students that were shortlisted but were not selected.
- 8.1.3 The expert committee for interviews will be constituted by the Principal Investigator (PI) of the sponsored project keeping the aim and deliverables in focus.
- 8.1.4 The selected candidate has to join within 2 weeks and a joining report is to be submitted to the concerned authorities at the Directorate of Research.
- 8.1.5 In case a selected candidate cannot join within 2 weeks, he needs to take late joining permission from the PI. The PI can also decide to select the next most suitable candidate from the waiting list (i.e., shortlisted but not selected).
- 8.1.6 In cases where the RF leaves within the first 6 months of selection, the students in the waiting list may be called upon in order to take their place. However, if more than 6 months have passed since the RF left then the procedure needs to be redone from the beginning.
- 8.1.7 The RFs who have been appointed to carry out the work under a sponsored project are encouraged to register for Ph.D. at the earliest from the submission of his/her joining report but only after getting due permission from the Principal Investigator of the sponsored project.

8.2 Consultancy Projects (National/ International):

The Institute has expertise in various research areas to provide knowledge and intellectual inputs which are of interest to the industry and socioeconomic sector. It encourages its faculty member to undertake consultancy work which is an important tool for the Institutional, industrial, and social growth.

All consultancy projects funded/honorary shall be routed through proper channel only. It is obligatory for the Faculty Member/Department to obtain necessary approvals from R&D Council and generate a MoU document stating the roles and responsibilities of the Faculty Member/Department and the sponsor. In case of funded consultancy projects, the funding should be obtained in the name of Registrar of GV.

Guiding notes:

- 8.2.1 A consultancy project/task/work is one, where faculty members and research staff provide knowledge and intellectual knowledge to industry and socioeconomic sectors (within India/outside India), primarily for their purposes. This is effectively a contract work in which all outputs belong to the sponsor.
- 8.2.2 It is obligatory that payments for consultancy be routed through the Institute. This means that whenever payments are made, they should come in the name of the Institute, so as to comply with the statutory laws and then give the honorarium to the faculty member/staff/JRF/students, as the case may be.
- 8.2.3 Distribution of earned consultancy fee amount by the faculty member would be distributed in the ratio of 30% and 70% between GV and participants (faculty member/staff/JRF/students, if any), respectively.
- 8.2.4 The requirement originates from the industry concerned. The faculty member is expected to estimate the time and cost required to accomplish the task.
- 8.2.5 Preparation and submission of the proposal in case of a consultancy project, should normally be based on the requirement of the sponsoring agency, which shall be prepared by the concerned faculty member/department. It should include specific mention of the task to be undertaken/objectives, timeline, break up of funds, and consultancy fee as the primary components. It may also have a budget for supporting manpower, equipment, travel contingency, overhead(if the funding/sponsoring agency has no fixed policy for overhead charges the project PI should ask for 7.5% for total cost as overhead charges), and other such costs to execute the consultancy project. If the funds are received in foreign currency, it requires to adhere to the norms stipulated by the Government of India then and there. In case, the equipment is to be returned to the funding agency/organization after the completion of the project, either the sanction letter or the MoU/proposal should clearly spell out the treatment of equipment purchased for the project.
- 8.2.6 While taking up consultancy projects faculty member has to give an undertaking that he/she will not compromise with his/her teaching and academic research responsibilities and this will be ensured by the R&D Council through proper channel. The faculty member undertaking the consultancy project has to provide a comprehensive report of the consultancy project undertaken with timelines and developments to the R&D Council. The faculty member has to obtain a completion

certificate from the sponsoring agency and submit the same to the R&D Council within three months of completion of the project.

8.3 Research projects: National/ International

Guiding Principles:

- 8.3.1 The research collaboration with other overseas parties/funding agencies should be in conformity with the laws of both the countries and/or international laws as the case may be.
- 8.3.2 A MoU/agreement that satisfies all the terms and needs to be executed as per the conditions stipulated mutually by the funding agency with the institute should be constituted. Any deviation from the norms (e.g. Change of Head from Non-Recurring to Recurring etc.) will have to be discussed and explicitly approved by the funding agency.
- 8.3.3 The softcopy of the proposal will be sent to the R&D Council office, administration, and accounts for records.
- 8.3.4 IPR-related matters are agreed between the GV and the funding agency. Preferably, IPR will be jointly shared by the PI/Investigator/s and the funding agency.
- 8.3.5 When the MoU is clear from all angles and acceptable to both parties, it is sent to the Institute Head for approval along with the note file (summary of the MoU, which the Registrar is authorized to sign on behalf of the University).
- 8.3.6 Project responsibility: These projects are headed by a Principal Investigator (PI), and may have Co-Principal Investigators (co-PIs)/administrative PI (to operate the project, in case the PI is out of the station) and the deliverables are the responsibility of the PIs. The Institute provides necessary support to the PIs, as per MoU/agreement.
- 8.3.7 After completion of the project, a final report should be submitted to the funding agency.
- 8.3.8 A completion certificate should be obtained from the funding agency for the successful completion of the project based on which the project account will be closed.
- 8.3.9 Travel for Principal Investigator and hired staff for site visit/project-related activities will be treated as on-duty with due permission under leave rules defined in establishment and administration rules, 2023 of GV.

8.4 Responsibilities of the Principal Investigator (PI) and Co-PI

Each funding agency has its own set of guidelines and regulations, which both the PI and Co-PI must ensure that they are being strictly followed.

Guiding Principles:

- 8.4.1 The Principal Investigator and Co-Principal Investigator must strictly adhere to the objectives mentioned in the proposal that have been approved by the funding agency. Even small changes in work that deviate from the sanctioned work cannot be considered, without the knowledge of the sponsoring agency.
- 8.4.2 For monetary transactions/purchases/honorariums, the Principal Investigator should follow the rules laid down by GV in accordance with GoI Rules.
- 8.4.3 Funds directed towards specific heads are to be used only for the purpose sanctioned in the project. Any deviation from the norms (e.g. Change of Head from Non-Recurring to Recurring etc.) will have to be discussed and explicitly approved by the funding agency.
- 8.4.4 PI/Co-PI has to get prior approval from the Registrar for DSIR certificate for tax relaxation while purchasing the instruments.
- 8.4.5 Recurring charges including expenses for manpower, consumables, travel (domestic, international), contingency and administrative overheads are to be spent appropriately and according to the norms of the funding agency.
- 8.4.6 The PI of the sponsored project should credit 30% of Overhead charges to GV. The PI in consultation with HoD should have the liberty to use reminder 70% overhead charges for judicious use in developing the Laboratory or any other infrastructure for the relevant department or for the purpose of the project itself.
- 8.4.7 Proper documentation should be maintained for financial transactions, deadstock, SOPs, and attendance of manpower, related to the project, with the signature of PI.
- 8.4.8 During the closure of every financial year, a Utilization Certificate (UC), Statement of Expenditure (SoE) and project report has to be submitted, according to the guidelines and format of the funding agency. These should be provided by the accounts department and certified by the internal auditor and Chartered Accountant before submitting to the funding agency through the Registrar of GV. Uploading/updating of the same in their respective PFMS portal in EAT Module are mandatory.

8.5 Demise or transfer of PI

- 8.5.1 In the event of the PI leaving GV to another institution/ organization/ establishment for any reason within the period of the project, the VC may allow the PI to complete the project where the Co-PI will execute the day-to-day functions of the project.
- 8.5.2 If the Co-PI is not from GV, then the VC may direct the transfer of the project to an institute which the PI has joined after obtaining prior approval from the concerned funding agency.
- 8.5.3 In case of the demise of a Principal Investigator (PI), the responsibility of handling their research project would be allotted to Co-PIs within the Institute after taking due approvals from the funding agency. If the project is funded by an external agency, the agency may have specific guidelines for handling such situations, in such cases, the Guidelines of the funding agency should be adhered. It is essential for PIs to have contingency plans in place to ensure the continuation of their research projects in case of unforeseen events. This includes identifying a successor PI, ensuring proper storage and accessibility of research data and documentation, and having a plan for the dissemination of research findings.
- 8.5.4 In the case of a female researcher who goes on maternity leave, the day-to-day activities of the research project will be conducted by the Co-PI/guidelines of the funding agency.

8.6 Collaborative and Multi-Institutional Projects

- 8.6.1 Based on mutual agreement, a Memorandum of Understanding (MoU) has to be executed between GV and the corresponding industry/organization/Institute. All activities carried out must strictly adhere to the norms of both organizations involved and should undertake all the objectives mentioned in the approved proposal.
- 8.6.2 The MoU must clearly enlist all deliverables including all shared publications, shared expenditures, manpower cost, property rights, and royalties etc., acknowledging both organizations in proportion to the shared expenses, before the commencement of any related work.
- 8.6.3 The industry-academia research projects are welcomed. Industrial PI/Co-PI are encouraged to visit GV and similarly, GV faculty Member PI/Co-PI can visit the industry. During the visits, the PI/Co-PI from both the organizations has to meet the local expenses from the project funds.

8.6.4 During these collaborative research visits, GV and the collaborating industry will provide salary only to their respective employees involved in the project. However, in case the industrial visitor also disseminates industry-oriented knowledge to the faculty member and the students through lectures or seminar series, suitable remuneration will be provided by GV to such experts from the industry.

9. Promotion of Research Activity

- 9.1 R&D Council shall initiate several research-intensive programs such as National and International meetings (Workshops/Conferences etc.) throughout the year to bring all researchers together on a common platform and to support the research activities of the students, scholars, and faculty members.
- 9.2 Visiting Professorship program, as per the UGC/HE Govt. of India guideline.
- 9.3 R&D Council will plan and facilitate for inviting international experts for research collaboration and delivering lectures in futuristic or advanced areas of research through government funding proposals like VAJRA (SERB).
- 9.4 R&D Council will emphasize research activities that involve societal applications such as Unnat Bharat Abhiyan and medical care/support to the neighborhood/technology and intellectual support to MSME for *make in India*, *Swachhh Bharat Abhiyan*, Environmental protection and planning, popularization of renewable energy, *Jal Shakti Abhiyan*, etc.

10. Funding Agency Sponsored Lab

- 10.1 GV R&D Council will make a policy for the establishment of a funding agency Sponsored laboratory.

11. Institute Research Grant

- 11.1 The R&D council shall review the proposal with potential research ideas from GV faculty Members and undertake a review process to select the application for the grant of the project.
- 11.2 Based on the proposal of the R&D Council, GV will allocate funds for potential research ideas.
- 11.3 Based on the recommendations of the R&D council, GV will grant funds as seed money for undertaking the project for a stipulated period of time.

11.4 An Incubation Center will be set up by GV to provide financial support for the entrepreneurial with a special focus on social incubation/society-centric technology startups of the students as well as faculty members.

12. Instrumentation Facilities

12.1 R&D Council will ensure the establishment of Research Facilities that will be established to include research instruments available in various departments in GV under one single portal and offer centralized governance in order to provide unprecedented support to all researchers. The mission is to provide a conducive research environment by way of extending the research resources established in GV.

13. Planning the Research Project

All research projects should be conceived, designed, and implemented according to the highest standards.

Guiding Principles:

13.1 Clear documentation of the rationale for the study, subsequent modifications, laboratory/research notebooks, and project files should be maintained. Each key document and any changes should be signed with the date by the researcher responsible along with the signature of the PI to establish the provenance of the study and to protect intellectual property rights.

13.2 Adherence to the current safety practices, regulations, laws, and ethical standards, will be obligatory.

13.3 Due approvals for ethical, regulatory, and financial aspects should be obtained by PI as per the process laid down by the R&D Council.

13.4 Assessment of the additional resources needed for the study will be evaluated by the R&D Council, prior to the grant of the project, to ensure the study is viable within the available means.

13.5 PI shall ensure that the expenses for the project and resources allocated are within the budgetary limit of the project approved by the funding agency.

13.6 Regular review of the research progress is essential to identify new findings that can be taken into account and the project plan shall be modified accordingly as per the rules of the funding agency (for institute projects, GV will assign this duty to the R&D Council).

14. Conducting the Research

Guiding Principles:

- 14.1** The legal and ethical requirements relating to human participants, animals, and personal information should be familiar to each person involved in the research study. They should seek advice from the expert designated for the research if required.
- 14.2** Equipment used to generate data should be suitable for the purpose, of appropriate design and of adequate capacity. It should be calibrated and serviced regularly by trained staff so that the performance is optimal and the results can be trusted.
- 14.3** A Standard Operating Procedure (SOP) should be maintained for each piece of equipment. There should be easily accessible instructions for the safe shutdown of equipment in case of emergency.
- 14.4** The SOP should be documented for all routine methods to ensure that data are collected consistently. It should be written in simple language, readily accessible, and ideally in a standardized format.

15. Data and samples used or created in the course of research

The results of the research

The responsibility and procedures for the storage and disposal of data and samples should be made clear at the commencement of any project. Any research collaboration agreement relating to the research should contain some clauses describing necessary arrangements. Researchers should keep clear and accurate records of the procedures followed and the approvals granted during the research process, including records of the interim results obtained as well as 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 either about the conduct of research or the results obtained. Properly maintained notebooks may be used as evidence when establishing the ownership of inventions.

Data should be stored in a way that permits a complete retrospective audit, if necessary. Data should be stored safely, with appropriate contingency plans. Original data/images should be recorded and retained. This is particularly important when data/images are subsequently enhanced. Both original and enhanced data/images should be stored. Over-enhancement or over-interpretation of images must be resisted. Confidentiality is also important if there is a potential for commercial exploitation.

Retention of accurately recorded and retrievable results is essential for research. Primary research data must be retained in their original form within the institute. Researchers who are leaving the institute and would like to retain data for personal use must get permission from the Registrar through their team leader or through the head of the department. Publication of data does not negate the need to retain source data.

All raw data should be recorded and retained in indexed laboratory notebooks with permanent binding and numbered pages or in an electronic dedicated notebook. Machine printouts, questionnaires, chart recordings, autoradiographs etc. which cannot be attached to the main record should be retained in a separate ring-binder/folder that is cross-indexed with the main record. Records in notebooks should be entered as soon as possible after the data is collected. The recorded data should be identified by the date of the record and/or date of collection. The supervisors should regularly review and “sign-off” notebooks of researchers to certify that records are complete and accurate. Computer generated data should be backed-up regularly; duplicate copies should be held on a disc in a secure but readily accessible archive. Wherever feasible, a hard copy should be made of important data. The copies of relevant software, particularly the version used to process electronic data, must be retained along with the raw data to ensure future access.

16. Openness

Whilst recognizing the need for researchers to protect their own academic and Intellectual Property Rights (IPR), the institute encourages researchers to be as open as possible in discussing their work with other researchers and to the public. The aim of disseminating research is to increase knowledge and understanding: its purpose should not be primarily to seek publicity for the researcher or the institute or the sponsor.

Once the results have been published, the institute expects the researchers to make the relevant data and the materials available to other researchers, on request. However, it should be reliable with any ethical approvals and consents which cover the data and materials, and any Intellectual Property Rights associated with those publications. Procedures for managing the transfer of material in and out of the institute are outlined separately. It is recognized that publication of the results of the research may need to be delayed for a reasonable period in order to protect the intellectual property rights/issues that may arise from the research. Any such periods of delay in publication should be kept to a minimum and this should not normally be more than 3 months.

Researchers should be careful when discussing work that is not complete or has not been published, particularly if it has not undergone peer review. The exchange of confidential information by e-mail is not recommended, especially if patent applications are anticipated.

17. Professional Guidance and Legislation

Where available, the institute expects all researchers including students, trainees etc. to observe the standards of research practices set out in the guidelines published by scientific and social science communities.

All researchers should be aware of the legal requirements, which regulate their work noting particularly health and safety legislation and data protection.

18. Leadership And Cooperation

The Head of the institute and senior colleagues should ensure that a research atmosphere of mutual cooperation is created in which all the members of a research team are encouraged to develop their skills and in which the open exchange of ideas is fostered.

19. Supervision

This Research Policy provides an appropriate direction to research and looks into the fact that faculty are trained in supervisory skills. Research supervisors supervise all stages of the research process, including outlining or drawing up a hypothesis, preparing applications for grants and aids, protocol design, data recording and data analysis.

20. Training

The R&D Council will plan and facilitate conducting of periodic courses to enable the students and researchers to understand and adopt best practices in research as quickly as possible. The supervisors should encourage students and colleagues to attend relevant courses whenever offered as a part of their overall career development. Some of the indicative courses are:

1. Research design
2. Regulatory and ethics approvals and consent
3. Hands-on training on instruments
4. Research Documentation

5. Data management and protection
6. Intellectual Property Rights
7. Handling Hazardous materials
8. Regulations involving human and animal subjects

21. Primary Data/Samples/Equipment

Guiding Principles:

It is the responsibility of PI that data generated in the course of research should be kept securely in paper or electronic format, as appropriate. Backup records should always be kept for data stored on a computer.

PI should report any deviations from the objectives of sponsored research to the sponsoring agency or any other relevant body. Best practice would be to discuss any change in direction of the research with the sponsoring agency prior to its implementation.

22. Intellectual Property

Guiding Principles:

The IPR policy of GV is a set of guidelines and procedures that govern the ownership, management, and commercialization of intellectual property (IP) created by the researcher/innovator. The policy defines the rights and responsibilities of all parties involved in the creation and use of IP, including the university, inventors, and potential licensees. The primary objective of an IPR policy is to promote innovation, creativity, and knowledge dissemination while protecting the interests of the GV and its faculty member and students.

22.1 Patent Policy

The patent policy of GV is a set of guidelines and regulations that govern the ownership, management, and commercialization of intellectual property (IP) created by researchers/innovators affiliated with GV. This policy defines the rights and responsibilities of all parties involved in the creation and use of IP, including the university, inventors, and potential licensees.

The goal of a GV patent policy is to facilitate the transfer of knowledge and technology from GV to the private sector and the general public, while also protecting

the interests of GV, its faculty member, and students. The policy outlines the process for filing patents, licensing IP, and sharing revenue generated from commercialization activities.

23. Dissemination and Publication of Results

The R&D GV policy encourages the publication and dissemination of results of high-quality research but believes that researchers must do this with great responsibility and awareness of the consequences of any such dissemination in the wider media.

The R&D GV policy tries to ensure that the researchers must have academic freedom and sponsors should not discourage the publication or the dissemination of research or research findings. Every effort should be made by the PI to inform the sponsors of any potential publication or dissemination of the research findings. This will enable the sponsor in question to have adequate time and accurate information to protect any intellectual property rights that may arise or plan their own public relations, in conjunction with the Institute. It is desirable if the conditions for dissemination and publication of results are mentioned in MoUs.

Guiding Principles:

The researchers should take into account the following guidelines when publishing or disseminating their research or research findings, including any plans they may have to publish or publicize the research in conferences or on websites:

- 23.1** The sponsoring agency should be notified in advance when the research might be published, publicized, or disseminated or follow the conditions mentioned in MoUs.
- 23.2** Researchers should make every effort to make sure that the research is peer-reviewed prior to it being published, publicized, or disseminated. If the research is placed in the public domain before peer review has been undertaken, the researcher must mention it.
- 23.3** All funding sources must be acknowledged in any publication or wide publicity if done.
- 23.4** The results of the research should be published in an appropriate form, preferably as research papers in peer-reviewed/ refereed journals.
- 23.5** Everyone listed as an author on a research paper should accept the responsibility for ensuring that he or she is familiar with the contents of the paper and can identify his or her contribution to it. The practice of honorary authorship is unacceptable.

- 23.6** The contributions of formal collaborators/sponsors/funding agencies and all others who supported the research work should be specified and acknowledged properly.
- 23.7** Complete work should be published as a coherent entity rather than a series of small parts unless there is a legitimate need to demonstrate it so.
- 23.8** Quality rather than quantity is paramount; the proliferation of multi-author papers to increase quantity should be discouraged.
- 23.9** Authors must not publish the same data in different journals, if the data is already published as a conference paper in proceedings the same should not be published again as a research paper.
- 23.10** If an error is found that degrades the worth of the published findings, the principal author must take efforts to publish a correction as soon as possible.
- 23.11** Where the findings are found to be in serious doubt, a retraction should be published promptly.
- 23.12** Where fraud is suspected it should be dealt with the procedures dealing with “Misconduct in Research”.

24. Integrity

R&D GV policy provides an adequate structure to promote good research practices, emphasizing integrity and rigor in research. It is expected that the researchers adhere to the highest standards of integrity. Researchers should be ethical and honest about their own course of action while pursuing research and their responses to the actions of fellow researchers. This applies to the whole range of research activities including designing of experiments, generating and analyzing data, publishing results, reviewing the work of other researchers, and applying for grants. The direct and indirect contributions of colleagues, collaborators and other contributors should be appropriately acknowledged. Researchers are accountable to society, their profession, the institutes where the research is taking place, the staff and students involved, and the sponsoring bodies. Jeopardising research integrity can collapse the advancement of knowledge, society, and human health. Hence researchers are expected to understand and apply the following guiding principles:

- 24.1** Plagiarism, deception, fabrication or falsification of results are regarded as serious offenses which entitle disciplinary action.

24.2 Researchers are encouraged to report cases of suspected misconduct in a responsible and appropriate manner.

25. Conflict Of Interest

A conflict arises when a person's judgment concerning a primary interest, such as scientific knowledge could be unduly influenced by financial gain or personal advancement. Researchers must pay attention to the perceived and potential conflicts of interest as to actual conflicts. The manner of how it is perceived and acted upon influences the attitude and actions of others and the credibility of scientific research to a larger extent. Researchers should declare and manage any real or potential conflicts of interest, both financial and professional. The areas of potential conflict include:

25.1 Where researchers have an existing or potential financial interest in the outcome of the research.

25.2 Where there is a personal or private practice benefit, significantly dependent upon the outcome of research.

25.3 Where the researcher's professional and personal gain arising from the research may be more than usual.

26. Misconduct

GV is committed to ensure that investigations are carried out as expeditiously as possible, at the same time to ensure the maintenance of high ethical and moral standards in research.

Research misconduct or fraud refers to the fabrication, falsification, plagiarism, and deception in proposing, carrying out, or reporting results of the research and deliberate, dangerous or negligent deviations from accepted practice in carrying out research. It includes failure to follow established protocols leading to unreasonable risk or harm to humans, other vertebrates or the environment. It shall also include facilitating misconduct in research by collusion with or in the concealment of such actions by others, and any plan or conspiracy or attempt to do any of these things.

Misconduct does not include honest error or honest differences in interpretation or judgment in evaluating research methods or results, or misconduct unrelated to the research process.

26.1 Research misconduct or fraud

26.1.1 Fabrication – reporting of experiments never conducted

- 26.1.2 Falsification – Misrepresentation or suppression of data to project the desired result
- 26.1.3 Plagiarism – reporting another’s data as one’s own
- 26.1.4 Fraud – Deliberate and willful suppression of previous work in publications to claim originality or to avoid quoting previous publications that are contrary to present results.
- 26.1.5 Breach of confidentiality i.e., misusing data obtained from privileged access to original grants, manuscripts, etc., and presenting one's own ideas is also considered a misdemeanor in the same category.

GV will endeavor to organize seminars and workshops at regular intervals to create awareness among the research workers on issues related to integrity in the conduct of research. The website will provide access to articles, debates and examples of such misconduct to sensitize research workers about the nature of questionable research practices.

26.2 Reporting Cases of Research Misconduct

- 26.2.1 All employees or individuals working within GV are required to report observed, suspected or apparent misconduct to the Director in accordance with this policy.
- 26.2.2 If an individual is not sure whether a suspected incident of misconduct falls within the definition of misconduct, he or she should discuss this with the Director informally.

26.3 Evaluation of the Complaint

The charge of misconduct has serious implications for all concerned. Therefore, investigations related to the review of alleged misconduct will be kept confidential to the maximum extent possible. While investigating an allegation of misconduct, caution will have to be exercised to distinguish between differences in interpretation or unintended errors from the misrepresentation of information. Thus, the procedure adopted to address the issue of misconduct will have to be flexible and determined on a case-to-case basis.

- 26.3.1 Reports of alleged misconduct are to be made directly to the office of the Director (Research), GV.

- 26.3.2 If a complainant makes an allegation to the Director (Research) informally, the Director (Research) may ask them to submit such allegation in writing (maintaining confidentiality).
- 26.3.3 Misconduct may be reported by either staff of the GV or anyone else. The identity of the complainant will not be revealed at this time.
- 26.3.4 The Director (Research) shall, either himself/herself or through an officer delegate the responsibility to investigate (a) assess the allegations of research misconduct to determine if they fall within the definition of research misconduct and warrant an inquiry on the basis that the allegation is sufficiently credible and specific so that potential evidence of research misconduct may be identified, and (b) oversee inquiries and investigation.
- 26.3.5 A preliminary evaluation of the complaint will be made by the Director (Research) which may include consultation with other colleagues either independently or through the constitution of a committee and if the findings indicate that there are no reasonable grounds for the allegation, the complaint will be dismissed.
- 26.3.6 Written report stating the reasons for its dismissal shall be documented and maintained in the office of the Director (Research), but will not enter the subject's confidential file. The complainant will also be informed of the decision.
- 26.3.7 If the preliminary evaluation indicates that the allegation of misconduct warrants a full investigation, due processes will be initiated with the appropriate records of procedures.
- 26.3.8 Employees accused of Misconduct ("Respondents") in research activities will be provided with a copy of this procedure and will be informed in writing about the details of the acquisitions.
- 26.3.9 In case a respondent resigns from or otherwise leaves the Institute, the complaint is nevertheless investigated as far as possible according to this procedure.
- 26.3.10 The Institute will take disciplinary action against any individual who attempts to influence, victimize or intimidate the individual making the allegation of Research Misconduct (the "Complainant") or witnesses.
- 26.3.11 The Institute is committed to protecting its employees from malicious accusations and will take action against any individual(s) responsible for such allegations.

26.3.12 Individuals shall cooperate in the review of allegations and the conduct of assessments and investigations. They have an obligation to provide relevant evidence to the Director or such other person who, in the Director's absence, is designated to receive and enquire on behalf of the institute into the allegations of Research Misconduct.

26.3.13 Proven misconduct in research is considered a serious or gross breach of ethics and normally leads to merit dismissal.

26.4 Full Investigation

26.4.1 The Director will appoint a committee to conduct a full investigation into the allegations of misconduct if the preliminary evaluation indicates that the allegation of misconduct is justified.

26.4.2 The committee will comprise the Chairperson, and 2 members, at least two of whom will be experts from outside. The committee will be invested with complete confidentiality and will not be permitted to interact with the press or other faculty members individually during the course of the investigation. The committee is expected to function within the full cognizance of the rights of the respondent as well as the complainant.

26.4.3 The scope of the committee shall be:

- a) To investigate the accuracy of the charge of misconduct.
- b) To assess the extent and nature of alleged misconduct.

26.4.4 The relevance of any other material or information revealed during the course of the investigation into the alleged instance of misconduct.

26.4.5 Hearing of respondent/s shall comply with the principles of Natural Justice as laid down by GoI.

26.5 Process of Enquiry

26.5.1 The committee will be given access to material that is required to complete the investigation with due diligence and accuracy which will include grant approvals, reports, primary data, electronic records, manuscripts, and any other material requested and considered relevant to the investigation.

26.5.2 The committee will be given access to the laboratory and will be permitted to interview the complainant, the respondent, and any other laboratory staff which the committee considers necessary for the purpose of gathering information.

26.5.3 The committee is expected to complete the investigations and submit the report within a period of 60 (sixty) days to the Director (Research).

26.6 Outcome of the Investigation

26.6.1 The committee will submit its report with a recommended course of action to the Director within 60 days, explaining the modalities of the investigation, the source and method of obtaining information relevant to the investigation, and the conclusions arrived at.

26.6.2 A copy of the report will be provided to the respondent and an opportunity will be given to him to comment in writing on the report and its findings within 15 days.

26.6.3 The Director will examine the report along with the comments of the individual. If the respondent against whom the complaint was lodged is found guilty of research misconduct, the Director will forward the records to the Registrar to take appropriate action. The misconduct/punishment will be entered in the personal file and service book.

26.6.4 The respondent may appeal to the Appellate Authority within 30 days against the decision of the Registrar.

26.7 Safeguard against False Allegations

Efforts should be made to safeguard the interests of the complainant. If it is established that the complaint itself was false and had complained with malafide intentions, the Director will formulate a report and forward the records to the Registrar to take appropriate actions against the individual who lodged the false complaint.