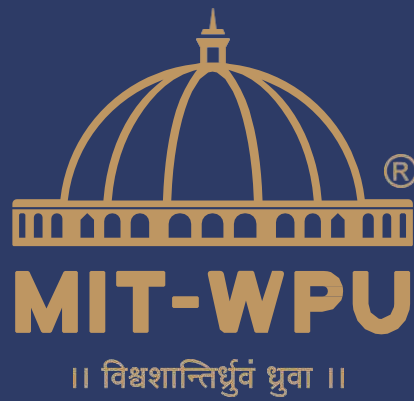


# **POLICY ON RESEARCH PROMOTION, CONSULTANCY AND IPR**



**RESEARCH & DEVELOPMENT DEPARTMENT**  
Dr. Vishwanath Karad MIT World Peace University, Pune.

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Research Promotion, Consultancy & IPR Manual

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The Manual has provision to review the policy or its content after one year. The policy has been drafted keeping the interest of the university and its employees. Wherever required reference has been taken from different statutory bodies including the statute of MIT-WPU. The provisions of this manual will supersede the existing terms and conditions of employment wherever applicable.

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## RESEARCH PROMOTION POLICY

MIT World Peace University (MIT-WPU) strives to be one amongst the top 75 world class universities across the country in the shortest possible time. This section provides information on research policy and research promotional activities of MIT-WPU.

### PROLOGUE

MIT World Peace University (MIT-WPU) is committed to the pursuit of excellence in research and aims to achieve international recognition through interdepartmental and inter-institutional collaborative research programmes across the spectrum of science, and engineering and technology, in the sub-domains like mechanical engineering, civil engineering, electrical engineering, chemical engineering, computer science and engineering, information technology, bio-sciences and technology, mathematics, physics and chemistry, management sciences and social sciences. MIT-WPU is committed to fostering exponential growth in research across various fields, including transdisciplinary and multidisciplinary studies, while upholding ethical norms and research standards.

In line with the sustainable development goals set forth by the United Nations, research at MIT-WPU enables the human resources within its diverse faculties to adopt a transdisciplinary model and focus on thematic areas. The aim is to leverage all available resources to develop solutions that promote global peace and prosperity while ensuring the well-being of the planet.

The unique strengths of research at MIT-WPU are mapped in line with the critical challenges being faced by the world. The research philosophy at MIT-WPU aims towards integration of concepts, thoughts, techniques, and perspectives across disciplines, including but not limited to engineering, management, sciences, design, and allied fields to undertake studies at the schools and defined centers/institutes of excellence which will be established in various thematic areas. These areas include, but are not limited to:

- + Technology (AIML and Data Science)
- + Materials and manufacturing
- + Health sciences
- + Environment and sustainability
- + Energy
- + Biosciences
- + Design and Modeling
- + Management
- + Liberal Arts

### OBJECTIVES

- + To encourage inter, multi and transdisciplinary research.
- + To shape quality and skilled human resources for conducting research.
- + To publish papers in journals of international repute and file patents which can be commercialized.
- + To foster an excellent research environment and supporting infrastructure.
- + To recognize researchers across university through rewards.
- + To inculcate the global research culture and work towards the betterment of society.
- + To be a top research university across the globe.

### MIT-WPU RESEARCH PROMOTION SUPPORT SCHEMES

- ✦ The institute recognizes the research carried out by its faculty members and research students by granting 'Research Awards' for publishing papers and contributing to the h-index of the university through citations, funded projects, and patents.
- ✦ The institute has constituted 'Vivekananda Research Award', an incentive scheme to encourage research scholars to publish in reputed journals. Under this scheme, faculty will get an incentive for each of their publications.
- ✦ The institute provides partial financial support to the faculty members who would like to publish their work in open-access journals.
- ✦ The institute provides a Post-Doctoral Fellowship (PDF) position to enrich its research and innovation ecosystem. This position aims to attract highly talented young scientists and engineers from diverse backgrounds to work on challenging and cutting-edge areas. It serves as a platform for nurturing future leaders in science and technology.

## RESEARCH AWARD

MIT-WPU acknowledges the research conducted by its faculty members and research students through research awards. These awards recognize their paper publications, contributions to the university's h-index through citations, funded projects, and patents.

### Category I: Publications

#### 1) Journal Publications:

Descriptions	Points		
(i) For the first author and the corresponding author			
Scopus indexed	Yes		No
	Non-paid & Refereed Journal	Paid	
	5 Points	2 Points	0

TR impact factor paper	Yes	No
	<p><b>Below 1 or SCOPUS / WOS Indexed (5 Points)</b></p> <ul style="list-style-type: none"> <li>- Between 1 and 2 (10 points)</li> <li>- Between 2.01 and 4 (15 points)</li> <li>- Between 4.01 and 10 (25 points)</li> <li>- Above 10.01 (40 points)</li> </ul> <p><b>Publications in Science or Nature 50 Points</b></p> <ul style="list-style-type: none"> <li>- School of Law, School of Design: List of Category A, B, C, Journals, and their points will be provided by R&amp;D Office: A star: 25, A: 15, B: 10, C &amp; D: 5 Points</li> <li>- Case studies published in given list of SOB (10 points)</li> </ul>	0

(ii) Co- author	<p>If there are 3 or more authors for a publication (paper, book, book chapter, conference).</p> <p>The first author/corresponding author would be responsible for division of the incentive/ points as per contributions made by remaining authors.</p> <p>For further details, refer to Faculty OKR Document.</p>	No 0
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#### NOTE:

- I. MIT-WPU awards full points to the first author and the corresponding author, while other co-authors share points.
- II. If the first author is same as the corresponding author, one set of full points will be awarded only once for both authorships, while other co-authors will share points.
- III. Only published articles with assigned volume, issue, and page numbers are eligible for consideration. Papers that are accepted and published online but have not been assigned are not considered.



**2) Bonus Points:** (applicable only for first and corresponding authors)

Collaborative research publications:

Papers in Scopus indexed (refereed, non-predatory) journals without impact factor:

- I. Research, patents, and grants that involve multiple disciplines, international collaboration, and consulting between two faculty members, are awarded 3 points.
- II. Interdisciplinary research, along with patents, grants, and consulting that involves different schools or departments within the same faculty, is awarded 2 points.

**NOTE:**

- I. Bonus points for collaborative research publications will be awarded to the first and corresponding authors only.
- II. Collaborative research publications in Scopus-indexed journals that are deemed predatory in nature will not be considered for bonus points.
- III. Publications in collaboration with EPT scholars or co-authored with research advisors from outside MIT-WPU will not be considered for the collaborative publication category.
- IV. Publications from institutions ranked below 25 in NIRF and below 200 in QS rankings are eligible for 5 points.
- V. The author's contribution to the paper must be clearly communicated at the end of the publication.

**3) Books / Chapter:** (Only Book Chapters and Single Author Books - National / International)

Category	Applicable Points	Restricted to a maximum of
Per Chapter	3 Points	9 Points
Per Edited Book	10 Points	20 Points
Per Textbook	20 Points	No ceiling

- + In case a faculty member has received financial benefits for attending a conference, any resulting book chapters from their publications will not be considered for incentives.
- + The following table outlines the guidelines for providing financial incentives to faculty members for their books/chapters:

<b>Book Chapter</b> (Reputed publishers)	<b>Textbook</b>	<b>Multiple authors</b> (Corresponding first author 60% & remaining 40%)	<b>INR 15,000/- per author</b>
		<b>Single author</b>	<b>INR 30,000/-</b>
	<b>Chapter in a book</b>	<b>Multiple authors</b> (Corresponding first author 60% & remaining 40%)	<b>INR 3,000/- per author</b>
		<b>Single author</b>	<b>INR 10,000/-</b>

**NOTE:**

- I. Only textbooks, edited books, or book chapters published by reputable publishers with an ISBN number are eligible. The quality of publishers will be assessed by a committee at the School/Department level, followed by the RDC.
- II. A faculty member who claims an edited book cannot also claim for their contribution to a chapter in the same book.
- III. Theses that are published as books or manuals are not eligible for incentives.
- IV. Conference proceedings published as lecture notes are not considered as book chapters.
- V. Definition of multiple authors - maximum of 3 faculty from MIT-WPU for book chapters.

**4) Patents:**

Patent Status	
Published	Awarded
2 Points	25 Points

- ✦ Filing of Patents. i.e., after novelty screening: **1 point**
- ✦ Equal points are distributed to all the inventors.

**NOTE:**

- I. If patents have commercialized the patent or sold the idea to the company: **25 points**

**Category II: Funded Project**

- ✦ A cash award can be claimed only once for a funded project, and thereafter, a certificate of appreciation (CoA) will be given every year until the end of the project.
- ✦ The principal investigator (and his/her team) will be eligible to receive 10% of the total sanctioned amount, capped at INR 5 Lakh or whichever is less. However, incentives will only be disbursed after the grant is received in the MIT-WPU account. (Subject to certain terms and conditions). If a project involves anyone else other than the PI or co-PI, they will be paid according to MIT-WPU guidelines.
- ✦ No incentives will be provided for projects where the sanctioned amount is not received by MIT-WPU.
- ✦ The incentives listed in the above table only apply to research grants received from outside of MIT-WPU. Internal research grants provided to faculty members are not eligible for incentives.

Income tax and other applicable taxes will be deducted as per statutory requirements, and staff members will only receive the net amount after such deductions. The amounts payable to the staff cannot be paid in cash or as a cash alternative for an individual's personal benefit and will only be paid electronically into the salary bank account of the individual. The share mentioned is in addition to the salary payable to the individual

**Category III: H-Index**

Those researchers whose papers are newly contributed to the h-index of MIT-WPU during a stipulated period will be awarded points as below:

Scopus H-index improvement	Points awarded
2	2
4	4
6	6

Income tax and other applicable taxes will be deducted as per statutory requirements, and staff members will only receive the net amount after such deductions. The amounts payable to the staff cannot be paid in cash or as a cash alternative for an individual's personal benefit and will only be paid electronically into the salary bank account of the individual. The share mentioned is in addition to the salary payable to the individual.

**VIVEKANANDA RESEARCH AWARD**

To encourage research scholars to publish in reputable journals, a scheme called the 'Vivekananda Research Award' has been implemented by the university. Under this scheme, scholars will receive an incentive for each publication. The specifics of this scheme are outlined below:

Publication No.	Reward for publications with ZIF*	Reward for publications with PIF*
1 <sup>st</sup> Publication	Rs. 6000/-	Rs.10,000/-
2 <sup>nd</sup> Publication	Rs. 6000/-	Rs.15,000/-
3 <sup>rd</sup> Publication	-	Rs.20,000/-
4 <sup>th</sup> Publication	-	Rs.20,000/-
5 <sup>th</sup> Publication	-	Rs.20,000/-
From 6 <sup>th</sup> Publication	-	Rs.30,000/-

Apart from the incentive briefed in the table above, the author will also receive additional incentives based on factors like the category it falls under in the ABDC list, the quartile in which it is indexed in Scopus/WoS or SCI/SCIE, and its impact factor.

For example, if A publication named X is the first PIF publication from the author, and falls under category B, the author will receive Rs 10,000+10,000, i.e. 20,000 Rs for the same.

Please refer to the table below for more details.

ABDC List (BUSINESS & LEADERSHIP)	OR	Scopus/WoS Indexed journals OR SCI/SCIE* Indexed journals	OR	IMPACT FACTOR	INCENTIVE PER PUBLICATION (INR)
Category C	OR	Quartile 4 (Q4)	OR	IF 2.1 - 5	5,000/-
Category A	OR	Quartile 2 (Q2)	OR	IF 5.1 - 10	15,000/-
Category B	OR	Quartile 3 (Q3)	OR	IF : 10.1 - 15	10,000/-
Category A*	OR	Quartile 1 (Q1)	OR	IF : 15.1 - 20	20,000/-
Category A*	OR	Quartile 1 (Q1)	OR	IF : 20+	30,000/-

\*ZIF- Zero Impact Factor and PIF – Positive Impact Factor [Referred Scopus indexed journal]

- ✦ Under this scheme, incentives will only be given to the first author or corresponding author of a publication. It will be the responsibility of the author to divide the incentive among the other authors according to their contributions to the publication.
- ✦ To be eligible for this reward, the scholar must be the first author, and the supervisor should be the corresponding author. This has been in effect since 01.06.2023.
- ✦ These amounts will be given once every year i.e. June to June.
- ✦ For publications in Scopus/Web of Science, the impact factor from the journal's homepage will be considered.
- ✦ The research incentives mentioned above will be disbursed at the end of each academic cycle, specifically from June 1<sup>st</sup> to May 30<sup>th</sup>.

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## FINANCIAL SUPPORT FOR JOURNAL PUBLICATIONS

- ✦ Following rules need to be adhered to while publishing in Open Access (OA) journals:
- ✦ Faculty members who want to publish their work in Open Access (OA) journals should only consider Q1/Q2/A\*/A journals.
- ✦ Incentives will only be given to the first author/corresponding author of publications meeting the above criteria, and they will be responsible for dividing the incentive among the other authors based on their contributions.
- ✦ Financial support for the submission fee to Open Access journals will only be available for faculty members who meet the above- mentioned criteria for publishing in OA journals.
- ✦ A committee consisting of the Dean/Director of the School (as the Chairman), the Dean of Research and Development will decide whether to support open access fees for a faculty member's publication. The committee will meet once a month.
- ✦ When reimbursing a researcher for article publishing charges (APC), MIT-WPU will consider the incentive table provided below and pay up to 50% of the open access fee or a maximum of INR 25,000/- per publication, whichever is less.

### Documentation Requirements:

- ✦ A copy of the acceptance letter from the journal.
- ✦ A copy of the manuscript with the corresponding author's name, affiliation, and email address.
- ✦ A copy of the invoice for the open access fee, clearly indicating the amount paid and the name of the corresponding author.
- ✦ A declaration stating that the publication fulfills the criteria mentioned in the incentive scheme and that the work was carried out at MIT-WPU and/or collaborating organizations.
- ✦ A statement mentioning the amount claimed as reimbursement for the open access fee, along with the bank details for the transfer of funds.

The faculty member must ensure that all the required documents are submitted to the R&D Cell within three months of the acceptance of the paper for publication. The R&D Cell will verify the documents and forward them to the committee for approval. Upon approval, the incentive amount will be reimbursed to the faculty member's bank account within two weeks. S/He must submit the following documents: -

- ✦ Proof of submission of the article.
- ✦ A copy of the acceptance letter or email from the journal.
- ✦ A copy of the published or accepted article.
- ✦ Proof of communication with collaborators, if any.
- ✦ Reviewers' comments on the paper.
- ✦ Proof of transaction.
- ✦ A copy of the invoice or payment receipt.

The incentive is only applicable to authors who have "Dr. Vishwanath Karad MIT World Peace University" as their affiliation in the final published article. This support is not applicable for external, part-time enrolled students.

## FINANCIAL SUPPORT FOR RESEARCH PAPER PRESENTATION IN NATIONAL/ INTERNATIONAL CONFERENCES / WORKSHOPS

### Conferences/ Seminars/ Workshops

- ✦ Faculty members can receive financial support of up to Rs.50,000/- per year to attend conferences within India.
- ✦ Faculty members can receive financial support of up to Rs.1,00,000/- per year to attend conferences abroad.
- ✦ Faculty members can only claim reimbursement if they are either presenting their research work as the first author, an invited speaker, or an orator at the conference. They are not eligible for reimbursement if they are only attending the conference or chairing a session. Moreover, faculty members cannot receive financial assistance from other agencies for the same conference.

### For Workshops/Training:

Reimbursement of expenses for attending workshops and training sessions can be claimed if the event is organized by a national association, national institute, industry, or university, and if the Head of the Department or Course Chairperson provides a recommendation in support of the claim.

## MIT-WPU RESEARCH AND DEVELOPMENT GRANT

To encourage research at MIT-WPU, internal grants will be allocated as seed money to faculty members for conducting research in their area of interest. MIT-WPU management will support faculty members and students in pursuing their research ideas through two programmes:

- ✦ **Dr. Vishwanath Karad Research Grant (VRG)**
- ✦ **Dr. Vishwanath Karad Innovation Grant (VIG)**

Every year, MIT-WPU will provide grants to individuals, teams, schools, or faculties for new discoveries, existing concepts/subjects, and research/innovation-driven start-ups resulting from the idea-product-market strategy.

### Dr. Vishwanath Karad Research Grant (VRG)

The Dr. Vishwanath Karad Research Grant is a seed fund that will be available to all faculty members of MIT-WPU. This grant can be used to carry out research projects individually or in collaboration with other institutes/industry, as well as with students and peers within the university.

#### ■ Objectives

- ✦ **To facilitate inter, multi and transdisciplinary research.**
- ✦ **To create quality human resources for scientific research**

#### ■ Awards

- ✦ The Dr. Vishwanath Karad Research Grant provides funding of 50K to 5L to all faculty members of MIT-WPU for carrying out research projects individually or in collaboration with other institutes/industry.
- ✦ The project duration can be between 1 to 3 years, and progress will be evaluated every 6 months.
- ✦ The research fund will be provided in two steps: an initial amount for groundwork, and a project grant, subject to screening by a panel of experts at the Dean level.
- ✦ The grants for inter-disciplinary/trans-disciplinary research projects by an individual faculty or team under this fund will be determined by a panel of experts.

S. No.	Type of Research Project	Preparatory Grant*	Project Grant #
1	Purely academic research project (outcome in form of quality publications)	50K	2L
2	New product/technology development (internal/external)		3L
3	Enhancing existing solutions		3L
4	Disruptive innovations		5L

### ■ Eligibility

- ✦ Senior faculty members, i.e., Professors and Associate Professors, can avail internal research funding only once, as they are expected to obtain funding from external funding agencies.
- ✦ Assistant Professors can apply for internal research funding multiple times.
- ✦ A Principal Investigator (PI) can submit only one application at a time, but they can be a co-Principal Investigator (co-PI) in multiple proposals.

### ■ Application Process

- I. The R&D Cell will issue a "Call for Proposal" for internal grants and inform faculty members of external agency proposal calls in advance to ensure sufficient time for preparation of quality proposals. Strategic areas may have restricted research funding.
- II. Faculty members must submit a pre-proposal (2 pages) for shortlisting to the Dean/Director of their school with a CC to the Dean, R&D and the R&D Cell team, followed by a full proposal, replete with the relevant components such as budget, manpower, equipment, etc., for shortlisted applicants.
- III. The PI of shortlisted proposals must be presented to a selection committee chaired by the respective Dean/Director.
- IV. If approved by the Dean/Director, the R&D Cell will grant a preparatory grant of INR 50,000 (for internal seed money funding) through the Dean R&D.
- V. Internal research funding is available once for Professor/Associate Professor and multiple times for Assistant Professors. A PI can submit only one application at a time but can be a co-PI in multiple proposals.

### ■ Selection Criteria

The proposal selection is based solely on the following criteria. The submitted proposal should be:

- ✦ The proposed project should be a purely academic research project.
- ✦ The project should involve new product/technology development, enhancing existing solutions or disruptive innovations.
- ✦ The proposal should demonstrate the possibility of raising external funds or generating commercial consultancy.

### ■ Conditions

- ✦ The decision made by the selection committee, which is formed at the level of the respective Dean/Director, will be regarded as the final recommendation for granting funds.
- ✦ The faculty member who is awarded the grant should submit the project completion report no later than the end of February (for internal grants) in the following academic year. If an extension is required, it must be approved by the Vice Chancellor upon the recommendation of the Dean of Research and Development and the Head of School/Dean, and the reasons should be provided.
- ✦ The Principal Investigator (PI) is responsible for completing the project.
- ✦ If the PI leaves the institute before the project is completed, a co-PI from MIT-WPU will take over as the PI.

- ✦ Proposals must be submitted well in advance so that the screening committee members have sufficient time to evaluate and recommend.
- ✦ The funds must be used within the stipulated time.

### Dr. Vishwanath Karad Innovation Grant (VIG)

The Dr. Vishwanath Karad Innovation Grant is designated for fostering research and innovation endeavors solely at MIT-WPU. The fund will be allocated annually, depending on the quality and the potential for commercial production or patentability of the research and innovation projects. There are no restrictions on the number of projects that can be undertaken by an individual or a group of individuals per year, provided that the projects meet the required standards of quality.

#### Awards

- ✦ Funding Amount: 25K to 3L
- ✦ Duration of Project: 6 months to 3 years (Progress evaluation after every 6 months)

#### Selection Criteria

- ✦ The R&D Cell will issue a call for proposals once a year, and individual faculty or a group of faculties along with the student members can submit their applications. An innovation screening committee will be established to review the proposals according to a predefined process, and the committee will make recommendations or non-recommendations for individual projects.
- ✦ The endorsement of an innovation project will depend on the innovation funds resulting in a solution for current technical and social challenges that eventually leads to the generation of intellectual property that can be marketed and has potential for commercial success through technology transfer.
- ✦ Teams of students are also eligible to apply for innovation funds. The teams will be required to present their ideas before a panel of experts and industry sponsors, following a 'Shark Tank' model. If industry experts pledge an amount towards the project, MIT-WPU will match that amount to proceed with the project's completion.
- ✦ Students will be free to choose their guide from among the faculty members for such projects. If required, the Dean of R&D will designate a faculty mentor for such projects, in consultation with the appropriate academic leader. The project approved jointly by the industry and MIT-WPU must solve a problem faced by the industry/society, resulting in the generation of intellectual property and possibly a startup.

#### Conditions

- ✦ The selection committee's decision will be considered as the final recommendation for granting funds.
- ✦ The funds must be utilized within the designated timeframe.
- ✦ A student or group of students must enlist the assistance of a faculty member as a mentor for the project, and the faculty mentor will be responsible for completing the project within the stipulated timeframe.

### ■ Innovation/Research grant outcome

- ✦ The research/innovation project funds must be used to initiate projects that have both technical and social significance.
- ✦ The projects should be developed to a level where they have the potential to attract venture capital funding and enable the establishment of a startup.
- ✦ The developed research/innovation product or prototype should be capable of being converted into intellectual property in the form of a patent, copyright, or trademark.
- ✦ The developed research/innovation product or technology should have the potential to attract additional funding from external agencies like SERB, DST, DBT, ICMR, etc., to facilitate further development towards commercial success.
- ✦ The research/innovation funds must be disbursed to projects whose findings have the potential to be published in peer-reviewed journals.

### ■ Utilization of Research/Innovation Grant

- ✦ The expenditure from the project fund must be strictly related to research or innovation work, such as purchasing study material or books on the research subject, materials for manufacturing specific components, conducting research-specific surveys for gathering data, purchasing specific equipment or software, etc.
- ✦ The project fund can also be used to pay stipends to Research Associates/UG or PG interns for activities like collecting research-related data, collating, and analyzing information, recording inferences/results, etc., which would be utilised in the project.
- ✦ Every expenditure must be approved by the approving authority (Dean R&D), and the actual expenditure must be made through the procurement department following standard 'Purchase & Procurement SoP'.
- ✦ After the completion of the project, an audited project report in the format prescribed by the R&D Cell must be submitted to the R&D Cell, and the research/innovation must be presented, published, or demonstrated to the university authorities when required.

### ■ Awards/Felicitation for Innovation/Research

The top three (3) projects from each division will be acknowledged and awarded on the National Innovation Day, celebrated on the 15th of October to commemorate the birth anniversary of Dr. A.P.J. Abdul Kalam.

### ■ The best projects will be selected based on the following criteria:

#### Project Concept

- ✦ The overall quality of the project work
- ✦ The potential patentability of the research/innovation
- ✦ The feasibility of commercializing the project
- ✦ The amount of external funds raised, or commercial consultancy generated by the project

### ■ Nurturing Innovations to Start-ups

MIT-WPU aims to establish streamlined processes and mechanisms that facilitate the creation and nurturing of startups and enterprises by students (UG, PG, Ph.D.), staff (including temporary or project staff), faculty members, alumni, and individuals from outside the institution who are interested in starting a new venture.



### ■ Nurturing the Faculty

- ✦ MIT-WPU intends to provide opportunities for faculty and staff members to take time off from their academic responsibilities to work on their start-up projects. Sabbatical or unpaid leave, as well as casual or earned leave, may be granted for a semester or more, depending on the recommendation of a review committee established by the university. The use of university resources may also be permitted for those wishing to pursue start-ups on a full-time basis. During this period, seniority and other academic benefits will be maintained for staff and faculty. All requests must be approved by the R&D Cell, MIT-WPU.

### ■ About Students

- ✦ MIT-WPU intends to provide opportunities for student inventors to initiate a start-up instead of their mini/major projects, seminars, or summer trainings.
- ✦ Students who are incubated and are pursuing entrepreneurial ventures while studying can register their company using the institute's address with prior permission from the institution.
- ✦ Student entrepreneurs with attendance below the minimum permissible percentage can sit for examinations with due permission from the institute.
- ✦ MIT-WPU encourages students to take a break of a semester/year (or more, as per the decision of the review committee constituted by the institute) to work on their start-ups and resume academics to complete their course. The institute may grant academic credits to student entrepreneurs for their efforts in creating an enterprise.

### ■ Miscellaneous Requirements

- ✦ All research and innovation projects at MIT-WPU will be subject to the university's intellectual property rights policy and will be managed, advanced, and incentivized accordingly.
- ✦ Academic research or projects must be published under the MIT-WPU Intellectual Property Policy and efforts should be made to index them in high-quality peer-reviewed journals.

### ■ Few Stipulations

- ✦ The project ideas should be unique and not a replication of a previously proposed or utilized project unless there is a distinct value addition in the implementation or outcome.
- ✦ Once a project fund is recommended by the scrutiny committee, there won't be any additional funds provided due to non-consideration of certain factors.
- ✦ Projects must be completed within the stipulated period, and a report must be submitted to the R&D Cell.
- ✦ Plagiarism is strictly prohibited. While the basic concept, idea or principle may be the same, the implementation and project outcomes cannot be identical. Any instances of plagiarism will result in appropriate disciplinary action against the project owner(s) through the Department's Academic Integrity Panel and Institutional Academic Integrity Panel.

**Application Form to claim incentive for Publications (Non-Open Access)/Book Chapters in Q1- Q4/ABDC Journals**

Faculty Details	
Name of the Faculty	
Name of the School	
Email ID	
Contact Details	

Publication Details		
Incentive claim application is for (Please check the appropriate box)	Publication (Non-Open Access) <input type="checkbox"/>	
	Book Chapter <input type="checkbox"/>	
Title of the Article		
Name of the Journal/Book Chapter and the Publisher		
Category (Q1-Q4/ABDC)		
Impact factor of the Journal/Book Chapter		
Indexed in (Please specify the journal database)		
Is the claim being made for the corresponding author	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Date of submission of manuscript		Date of Acceptance
Incentive amount to be claimed		

**Documents to be attached:**

- I. Proof of submission of article.
- II. Copy of acceptance letter/email from the journal.
- III. Copy of the published/accepted article.
- IV. Proof of journal/book chapter indexing and quartile.

Date:

<HoD Name>  
Department Name  
MIT-WPU, Pune

<Dean Name>  
School Name  
MIT-WPU, Pune

<Dean Name>  
R&D Cell  
MIT-WPU, Pune

### Application Form to claim Open Access Fee for Publication in Q1/Q2/A\*/A Journals

Faculty Details			
Name of the Faculty		Emp ID.	
Name of the School/ Centre/Institute			
Email ID		Mobile No.	

Publication Details			
Title of the Article			
Name of the Journal and Publisher			
Q1/Q2/A*/A (Please specify)			
Impact factor of the Journal			
Indexed in (Please specify)			
Is the claim done as a corresponding author (Yes/No)			
Date of submission of manuscript		Date of Acceptance	
Journal type (Open Access/hybrid)		Article Processing Fee	
Total amount paid to journal		Date of Payment	
Mode of payment	NEFT/Wire Transfer/Credit Card/Others (proof to be attached)		
Reimbursement amount requested			
State whether you have received any partial/full funding for this publication through any funded project/ collaboration? (Yes/No) If yes, please provide the details: .....			
State if you have received any partial/full waiver (Yes/No) If yes, please provide the details:			
Signature of the Faculty with Date			
Recommendation from Dean of the School/Director			

Recommended/Not recommended for the reimbursement of Rs. ....  
to Prof. ....

Date:

Signature of Dean/Director

 Signature of Dean  
 R&D Cell  
 MIT-WPU, Pune

## ■ Application Form to claim expenses for participating in a Conference/Seminar/Workshop

Faculty Details	
Name of the Faculty	
Name of the Department	
Email ID	
Contact Details	

Conference/Seminar/Workshop Details			
Name of the Conference/ Seminar/Workshop			
Type of the Conference/ Seminar/Workshop	Within India <input type="checkbox"/>	Outside India <input type="checkbox"/>	
Start date	End Date	Duration	
Financial assistance received from outside MIT-WPU or from research grants	Yes <input type="checkbox"/>	No <input type="checkbox"/>	

Financial assistance requested from the MIT-WPU	
Type	Amount
Travel Assistance	
Visa Charges	
Accommodation	
Food	
Event Registration	
Taxi/Commute	

### Documentation Requirements:

- ✦ Copy of conference/seminar/workshop details.
- ✦ Copy of invitation letter/acceptance letter/email.
- ✦ Details of the registration fee.
- ✦ Registration fee payment details.

Date:

<HoD Name>  
Department Name  
MIT-WPU, Pune

<Dean Name>  
School Name  
MIT-WPU, Pune

<Dean Name>  
R&D Cell  
MIT-WPU, Pune

**■ Application Form for Dr. Vishwanath Karad Research Grant (VRG)****Date:**

- ✦ Title of the Project:
- ✦ Name(s) of PI:
- ✦ Name of the Faculty (Co-PI) if any:
- ✦ Name of the Department:
- ✦ Email ID:
- ✦ Contact Details:
- ✦ Technical Domain/Area under which project can be categories:
- ✦ Outcome of the Project:

Outcome	Yes/No
Product Development	
Start-up	
Patent	
Journal Publication(s) Q1, Q2, Q3, Q4	

Applied by:

Name of the PI:

Department Name:

MIT-WPU, Pune

## ■ Application form for Dr. Vishwanath Karad Innovation Grant (VIG)

### Date:

- Title of the Project:
- Name(s) of PI:
- Name of the Faculty (Co-PI) if any:
- Name of the Department:
- Email ID:
- Contact Details:
- Technical Domain/Area under which project can be categories:
- Outcome of the Project:

Outcome	Yes/No
Product Development	
Start-up	
Patent	
Journal Publication(s) Q1, Q2, Q3, Q4	

Applied by:

Name of the PI:

Department Name:

MIT-WPU, Pune

**■ Scrutiny Form for Committee Members****Date:**

- ✦ Title of the Project:
- ✦ Name of the Expert:
- ✦ Expert Area:
- ✦ Email ID:
- ✦ Contact Details:
- ✦ Remark on Evaluation:

Sr. No.	Remark (Please select)	Comments
1	Highly Recommended	
2	Recommended with Major Revision(s)	
3	Recommended with Minor Revision(s)	
4	Rejected	

Scrutinized by:

Name of the Expert:

Organization Name:

## MIT-WPU CONSULTANCY POLICY

### INTRODUCTION

MIT-WPU is one of the leading institutions of higher education in India with a strong focus on teaching, research, and industrial consultancy, with the goal of contributing to the development of a modern, technologically advanced India. Alongside its undergraduate and postgraduate programmes, MIT-WPU also encourages its faculty members and academic staff to undertake consultancy projects with industry and other institutions. This not only expands and strengthens the research profile of MIT-WPU but also creates new knowledge and broadens the experience of faculty and staff members. This document provides a formal framework to guide the implementation of this process.

### AIM OF THE DOCUMENT

MIT-WPU aims to be a university that fosters innovation and is committed to adopting best practices in its engagement with external organizations. The university recognizes that consultancy work and external activity undertaken by its staff are crucial and valuable aspects of its operations. MIT-WPU believes that such activities are essential for knowledge exchange and can result in mutually beneficial outcomes for both, the university and external organizations. To support its staff in the delivery of approved consultancy work, MIT-WPU has established a policy that outlines the procedures and guidelines to be followed.

This policy is a part of the university's human resources management procedures and forms a part of the contract of employment for the academic staff.

### PURPOSE

- ✦ The objective of this policy is to establish the rules and regulations that govern consultancy and other external services provided by the staff of MIT-WPU.
- ✦ MIT-WPU acknowledges the significance of its staff engaging in consultancy for external organizations, particularly for the industry. MIT-WPU recognizes this as a vital medium through which knowledge and expertise can be shared with and from businesses and other external agencies, thereby promoting the development of mutually beneficial relationships with these organizations. Thus, MIT-WPU promotes and supports its staff members to undertake consultancy and similar work, as long as it does not contradict the interests of MIT-WPU.

It is expected by MIT-WPU that external consultancy engagement will be undertaken with the highest levels of professionalism and integrity by staff members. MIT-WPU expects that the consultancy work will contribute to the development of mutually beneficial relationships with external organizations, including industry bodies, and that it will further enhance the knowledge and expertise of staff members, thus supporting the overall development of MIT-WPU. The policy aims to provide guidance and support to staff members in undertaking consultancy work in a way that is consistent with the interests of MIT-WPU and ensures transparency, ethical practice, and compliance with relevant laws and regulations.

### Benefits of engagement:

- ✦ External consultancy provides an opportunity for the staff members to increase their professional and/or academic competence and experience, and a chance for continuing professional education by working with industry.
- ✦ Engaging in external consultancy can help to create and sustain relationships between MIT-WPU and external organizations, leading to benefits such as increased research opportunities, student admission and placement, and ultimately contributing to knowledge exchange for the benefit of the country.
- ✦ External consultancy can also generate additional income for the staff members and increased funding for MIT-WPU.



## APPLICABILITY

- + MIT-WPU aims to promote and support consultancy work among its staff members in accordance with the University's employment policies and regulations.
- + Academic staff are encouraged to engage in consultancy work that aligns with their respective disciplines and does not hinder their primary role within their department.
- + This policy is applicable to all academic, academic-related, and administrative staff members of MIT-WPU and is to be adhered to in uniformity.

## DEFINITIONS

- + "MIT-WPU" refers to MIT World Peace University, Pune, and may also include any subsidiary or affiliated entities authorized to conduct consultancy activities.
- + "Consultant" refers to full-time faculty members of departments, core research scientists of schools/departments/centers, and all other employees of MIT-WPU.
- + "Consultancy" is defined as the provision of professional advice, analysis, and interpretation that draws upon and applies the expertise and knowledge of MIT-WPU staff. This work is undertaken for external clients, usually for payment. Consultancy may also include teaching commitments undertaken outside of MIT-WPU. Consultancy can be either MIT-WPU consultancy or personal consultancy, as defined by this policy. The essential features of consultancy include:
  - I. The primary goal of consultancy is not the creation of new knowledge.
  - II. Consultancy involves producing a specific output that may be owned by the client.
  - III. It typically involves short-term contracts and requires existing staff to take on additional work rather than hiring new staff.

## NOTE:

Consultancy may be for entities owned/may be owned by MIT-WPU or other external entities where a member of staff has/ may have an interest, is also included within the scope of this document.

This policy is also applicable when undertaking any work for such companies.

- I. In the context of this policy, the term "Client" or "Customer" refers to any external individual or legal entity who requests MIT-WPU or its staff to provide consultancy services for them.
- II. The "Recommending Authority" refers to the designated officer, who is typically the Head of the Department, Dean, Director, or another authorized individual appointed by MIT-WPU management. This authority is responsible for recommending the consultancy work undertaken by the staff members.
- III. "Approver" refers to the designated officer who is responsible for approving consultancy work, typically the Dean R&D or any other authority nominated by MIT-WPU's management.
- IV. "MIT-WPU Consultancy" refers to consultancy work carried out by an individual, academician, staff member, or a group of collaborators, departments, or schools on behalf of MIT-WPU. This consultancy will be conducted in accordance with the terms of the staff member's employment contract. The contractual relationship will be between the client and MIT-WPU, not the individual staff member. In this case, the Office of Sponsored Research and Consultancy will establish a written agreement with the client.

## EXCLUSIONS

This policy is not applicable to activities that are undertaken in furtherance of scholarship or general dissemination of knowledge, which may or may not involve any financial compensation. Examples of such activities include authorship of books and receipt of royalties from publications, research, training and teaching, guest lectures, serving on scientific advisory boards and professional associations and statutory bodies, service on charitable committees, external examiner duties, lecture tours and conference presentations or attendance, editorship of academic journals or publication of academic articles, professional arts performances, and any other activity as defined by the job description of the staff.

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## APPROVALS

- + Any consultancy proposal received by a staff member of MIT-WPU should be passed on to the respective Head of Department/Dean/Director as appropriate for recommendation/approval.
- + The Head of Department/Dean/Director should review the proposal and decide whether to accept or reject it.
- + The decision to accept a consultancy proposal is not automatic and various factors will be considered.
- + If there is any uncertainty about whether a proposed work is consultancy, the staff member should seek advice from the respective Head of Department/Dean/Director. The R&D Cell can provide clarifications as necessary to help reach a decision. In case of any disagreement, the final decision rests with the Pro-Vice Chancellor/Vice Chancellor.
- + Staff members must obtain prior written approval for all consultancy work, whether for MIT-WPU or for private clients.
- + MIT-WPU reserves the right to reject any consultancy without giving reasons.
- + Individual staff members are responsible for maintaining their records and ensuring they are signed by the appropriate authority.
- + Any staff member found violating the policy may face disciplinary action.

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## DOCUMENTING

Agreement and recording of consultancy activity is essential to the adherence of the policy that aims to:

- + Assist MIT-WPU in meeting the formal monitoring and reporting requirements, both internal and external, that may be mandated by the government or its agencies.
- + Prevent the uncontrolled or inadvertent transfer of MIT-WPU's intellectual property to a client.
- + Safeguard individuals and MIT-WPU and identify projects with unduly high-risk for special treatment.
- + Enable Heads of Departments/Schools or equivalent who are responsible for workload allocation for the faculty to ensure that both, the private and MIT-WPU consultancy activity, undertaken by the staff does not interfere with their regular duties and does not create any potential conflicts of interest within the staff member's terms of employment.
- + Safeguard MIT-WPU's charitable status.

## ANNUAL DECLARATION

MIT-WPU acknowledges that its staff members may occasionally engage in external work beyond their regular duties. To promote transparency and identify any potential conflicts of interest, all staff members, including academic and non-academic personnel, are required to declare their external work, whether paid or unpaid, on an annual basis. Examples of such external work include serving as a company director, being a partner in a business, practicing privately as a professional, serving as a trustee, or engaging in charitable work.

### NOTE:

If the consultancy work involves providing expert services or evidence in courts of law, arbitrations, or before government committees or agencies, it should be undertaken only with the explicit approval of MIT-WPU.

## SCOPE OF THIS POLICY

This policy is applicable to all staff members of MIT-WPU and covers all types of consultancy activities. It should be considered along with other policies of MIT-WPU. The consultancy services provided by MIT-WPU can be offered to various sectors such as industries, government departments, service sectors, and national and international agencies, based on the available expertise within MIT-WPU. However, research projects sponsored by the government, such as those sponsored by DST, DBT, ICMR, DRDO, etc., are excluded from the scope of consultancy services.

## ROLES AND RESPONSIBILITIES

### Role and Responsibility of Recommending Authority/Approver.

The recommending authority shall consider that:

- ✦ The decision to accept a proposal for consultancy activity will depend on several factors, including individual faculty or school objectives/targets for the year, arrangements in place to prevent adverse effects on core activity, and individual workloads.

Approver shall factor in the:

- ✦ MIT-WPU's strategic objectives for research and innovation.
- ✦ The reputational risks and benefits of engaging in the activity.

### The recommending authority/approver is responsible for:

Recommending Authority shall:

- ✦ The responsibilities of Heads of Departments/Deans/Directors include forwarding recommended consultancy work to the Office of R&D for approval, maintaining a register of all consultancy activity within their faculty, submitting an annual report of the consultancy works carried out in the department to the Office of R&D by December 31<sup>st</sup> of each year, ensuring compliance with the agreement terms and conditions for periodic reporting to the client by the PI, and reviewing the progress of the MIT-WPU consultancy to ensure it is on track as agreed with the client. They should also provide intervention and support as required.

#### Approver is responsible for:

- ✦ The Approver plays a crucial role in ensuring that all consultancy activities are approved and carried out in accordance with the policy. They must carefully evaluate the proposed consultancy fees and arrange for negotiations with the client if required.
- ✦ The Approver must also ensure that the consultancy agreement is signed by both parties and forwarded to the appropriate authority within MIT-WPU.
- ✦ They must work with the finance department to ensure that applicable invoices are raised and that consultancy fees are received from the client in a timely manner.
- ✦ If there are any deviations from the agreed-upon terms of the consultancy, the Approver must take appropriate action to remedy the situation, either by negotiating with the client or modifying the agreement to reflect the changes.
- ✦ In case of doubt, the Approver must seek clarification from the recommending authority before approving or rejecting the proposal.

Consultancy work which is unsafe or are too complex to handle, because of constraints within academic and research environment of MIT-WPU should not be normally approved.

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### TIME LIMITS

- ✦ A Principal Investigator (PI) may spend a maximum of one day per working week on consultancy, up to a total of 60 days per calendar year. In no case may the number of working days in a calendar week exceed two. If necessary, the time limits can be extended with written approval from the Dean R&D.
- ✦ The Approver must approve or reject the proposal within 15 working days of receiving a clear and complete consultancy proposal from the Recommending Authority.
- ✦ The Recommending Authority must provide their recommendation within 7 working days of receiving a complete, clear, and full proposal from the Principal Investigator.

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### METHODOLOGY

- ✦ MIT-WPU shall recover all costs identified in the Project Initiation Report (PIR) before the income distribution model is applied. Costs shall include payments to external consultants, subcontractors, procurement costs, etc.
- ✦ The PIR form recommends rates for consultancy, and consultancy should not be undertaken at rates below the recommended rates except in exceptional circumstances with the approval of the Dean R&D. The PIR form should be initiated and signed by the Principal Investigator (PI), approved by the Head of School, and forwarded to R&D for further processing.
- ✦ It is the responsibility of the PI to estimate the time and cost required to complete the task.
- ✦ Some consultancy work, especially where MIT-WPU's resources are used, are better managed under a separate service contract. R&D will enter a separate Service Contract or Memorandum of Understanding (MoU) with due approvals.
- ✦ Only MIT-WPU's standard contract terms & conditions shall be used while entering into consultancy agreements. This ensures compliance with legal and statutory requirements.
- ✦ The Head of the Department/Dean/Director may recommend work that can be undertaken under MIT-WPU's standard terms and conditions. R&D will evaluate the recommendation and accord approval in line with this policy. The approval information will be recorded by R&D on the research system, and the finance office will be informed to enable invoice(s) to be raised.

- ✦ Domain/subject matter experts shall be involved in the contract negotiations and advise the Head of Department on key issues. If issues are problematic, approval of the Pro-Vice Chancellor/Vice Chancellor shall be sought before final sign-off.
- ✦ If a client insists on an agreement on their terms, R&D will review the Client's terms and conditions, in consultation with the Legal Department of MIT-WPU, for acceptance or renegotiation. Any agreement outside of the approved standard terms and conditions can only be entered into after approval from MIT-WPU's management and shall be done by R&D.

## EARNINGS DISTRIBUTION MODEL

The distribution model is based on income per consultancy agreement per financial year.

Sr. No.	Earnings	PI & Team**	MIT-WPU
1	Intellectual Consultancy	80%	20%
2	MIT-WPU Consultancy	70%	30%
3	Testing and Evaluation	60%	40%
4	Standardization and Calibration	60%	40%

\*\*The applicable income tax and other statutory taxes will be deducted from the staff's payment, and they will receive only the net amount after deductions. The payment cannot be given in cash or any other form for personal benefit and will be paid only electronically into the individual's salary bank account. The share mentioned is in addition to the individual's regular salary.

- ✦ Each Consultancy Agreement contract will have a unique price that will be determined on a case-by-case basis, taking into consideration the client and the nature of the project.
- ✦ The maximum consultancy income permissible for a staff member under the standard distribution model shall not exceed their total salary for the year, which includes basic pay and standard allowances like dearness allowance but does not include other payments such as ex-gratia, monetary or non-monetary awards. This limit applies in any financial year, and any amount exceeding this limit shall be deposited into MIT-WPU's Research Fund.
- ✦ The creation of teaching and academic materials as well as other publications such as books and articles in a consultancy project will be subject to MIT-WPU's Policy on Intellectual Property.

## CLARIFICATIONS

For all matters not covered in this document, as a general principle, Dean R&D / Director R&D may be approached for clarifications required, if any.

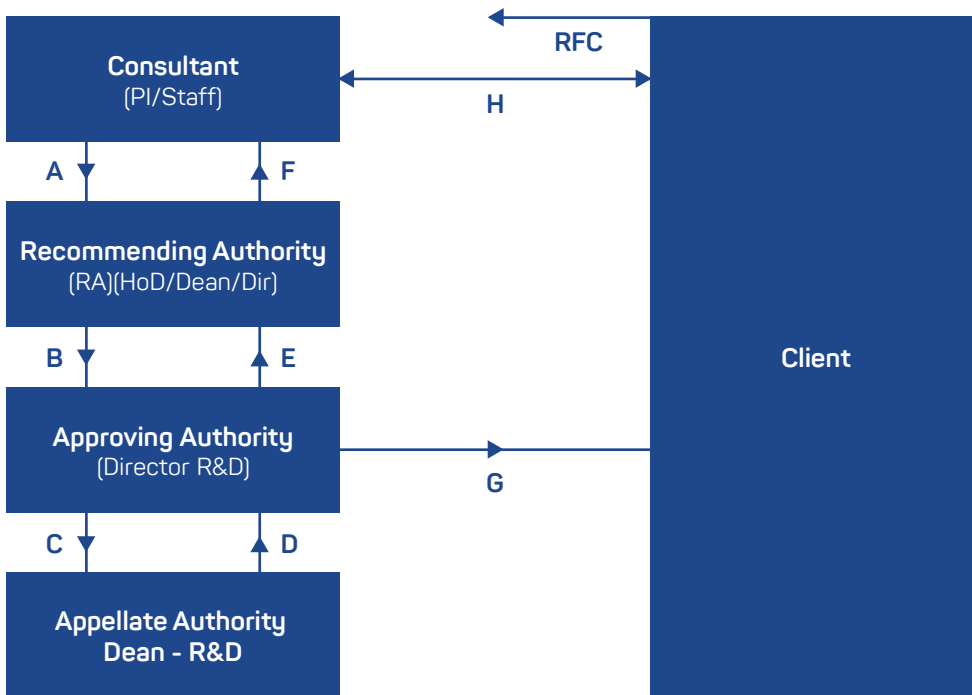
## GENERAL

- ✦ All payments made for consultancy services must be processed through MIT-WPU's designated bank account. This means that payments should be made in the name of MIT-WPU and not directly to individual faculty members. MIT-WPU will ensure compliance with statutory laws and distribute the appropriate share to the faculty/staff involved in the consultancy project.
- ✦ The client shall not be provided with a detailed breakdown of the consultancy charges, and only a lump sum figure of the total consultancy charges may be quoted. Nevertheless, the working sheet must be kept as part of the internal records and may be subject to an internal audit as deemed necessary.
- ✦ The consultancy agreement must comply with the laws of India as per the Standardized Terms and Conditions. However, in exceptional circumstances and with proper approvals, compliance with both local and international laws may be considered.  
The Principal Investigator (PI) is solely responsible for completing the project and delivering the agreed-upon deliverables. MIT-WPU only provides necessary support to the PI.
- ✦ After the completion of the project, the Principal Investigator (PI) shall provide a Final Project Completion Report (PCR) to the funding agency. Additionally, two copies of the report shall be submitted to the R&D Cell for record keeping. To ensure the project account can be closed by the Finance Department of MIT-WPU, it is important to obtain a Completion Certificate (CC) from the funding agency to confirm the successful completion of the project.
- ✦ Testing and evaluation services can be provided to fulfill the requirements of governmental and associated organizations, specific clients, and external educational institutions.
- ✦ MIT-WPU may provide Standardization and Calibration services in areas where the necessary facilities are available or can be expanded. It is recommended that these services be supported by regular calibration and standardization of the laboratory equipment used for these purposes.
- ✦ For significant projects where the consultancy value exceeds Rs. 5 Lakhs (Rupees Five Lakhs only), payments may be accepted against agreed-upon milestones with appropriate prior approvals. However, for smaller projects or daily consultancy work, payments must be obtained in advance from the client(s).
- ✦ In exceptional situations where the assigned PI is unable to complete the consultancy work undertaken by MIT-WPU, MIT-WPU retains the authority to reassign the consultancy to another investigator. If completing the consultancy is deemed impossible or unfeasible by MIT-WPU, the Approver will address the matter with the client to close the project.

## Abbreviations used:

Sl. No.	Abbreviation	Expansion
1	CC	Completion Certificate
2	IP	Intellectual Property
3	MoU	Memorandum of Understanding
4	PCR	Project Completion Certificate
5	PI	Principal Investigator
6	PIR	Project Initiation Report
7	RA	Recommending Authority
8	R&D	Sponsored Research and Industrial Consultancy
9	VDF	MIT-WPU Development Fund

**PROCESS CHART:**



**Abbreviations:**

<b>CC</b>	Closure Certificate
<b>MIR</b>	Management Information Reports PCR – Project Completion Report PI – Principal Investigator
<b>PIR</b>	Project Initiation Reports RA – Recommending Authority RFC – Request for Consultancy

**Processes:**

<b>A</b>	Transmissions from PI to RA: PIRs, Progress Reports, PCRs, CCs, Clarifications
<b>B</b>	Transmissions from RA to Approver: Recommendations, PIRs, Progress Reports, PCRs, CCs, Clarifications
<b>C</b>	Transmissions from Approver to Appellate Authority, Clarifications, Progress Reports, PCRs, CCs, MIRs
<b>D</b>	Approvals from Appellate Authority to Approver
<b>E</b>	PIR Approvals, Clarifications, Suggestions etc. from Approver to RA
<b>F</b>	Approved PIR and other instructions / feedback
<b>G</b>	Discussions / Clarifications / Negotiations / Approvals / Changes on Consultancy Scope
<b>H</b>	Routine interaction between clients



Department/School of .....MIT-WPU, Pune

Note Sheet for Approval of Consultancy Projects:

Date:

Title of the Project:

Category of Consultancy (Please select) MIT-WPU Consultancy

Category

Personal Consultancy

Testing and Evaluation Service

Standardization and Calibration Service

Others (Please specify) .....

- I. Name of the Principal Investigator:
- II. Name(s) of other staff member(s) in-charge of the work:
- III. Laboratory & Department(s)/Centre(s) undertaking the work:
- IV. Organization for whom work is proposed to be undertaken:
- V. i) Proposed Date of commencement:  
 ii) Proposed Date of completion:
- VI. Proposed Total consultancy fees: Rs.
- VII. In the case of inter-departmental Projects:

Sr. No.	Department/Centre	Scope of Work	Signature of the Department Head
1			
2			
3			
4			

**Encl:**

1. Copy of the consultancy letter from the organization
2. Project Initiation Report

**Proposed by:**

**Principal Investigator:**

**Recommended By:**

**Head of the Department/Dean/Director:**

**Approved By:**

**Dean R&D:**

**Copy:**

FO/Registrar Pro-Vice Chancellor/Vice Chancellor .....for Information

## PROFORMA INVOICE/INVOICE CONSULTANCY SERVICES

Invoice Number:	Invoice Date:
-----------------	---------------

## INVOICE ON:

<b>Client Name</b>	
<b>Client Address</b>	Address Line 1: Address Line 2: Address Line 3: City/Town: District/County: State: Country: Postal Code:

Sl. No.	Details	Amount
	Total:	
	Gst @ (.....%)	
	Any Other Levies:	
	Grand Total	

Total amount in words:

<b>Payment Terms</b>	
<b>Payment Mode</b>	Demand Draft (DD) <input type="checkbox"/> Electronic Bank Transfer (NEFT/RTGS) <input type="checkbox"/>
<b>Payment Details</b>	DD NUMBER/DD DATE/DRAWN ON: UTR NO./DATE/BANK DETAILS:
	For and on behalf of MIT-WPU,  (Principal Investigator)  DEAN (R&D):

<b>OUR GST NUMBER:</b>	
<b>OUR PAN NUMBER:</b>	
<b>PHONE:</b>	
<b>FAX:</b>	
<b>E-MAIL:</b>	@mitwpu.edu.in

E&OE Original for Customer/Duplicate/Triplicate/Quadruplicate/R&D/Office/Master

**EARNINGS DISTRIBUTION PROPOSAL (INTERNAL CIRCULATION ONLY)**

Ref: ..... Date: ...../...../ 20.....

Title of the Project:

Category of Consultancy (Please select) MIT-WPU Consultancy

Category Personal Consultancy Testing and Evaluation Service Standardization and Calibration Service 

Others (Please specify) .....

I. Principal Investigator:

II. Department/School/Centre:

III. Laboratory/Department/School/Centre which has undertaken the work:

IV. Client Name and Details:

V. Approval Details:

VI. Amount Received from the Client:

VII. Money Receipt Details:

+ Our Invoice Details:

+ Money receipt Details:

**CALCULATION OF DISTRIBUTABLE AMOUNT**

Sl. No.	Head	Amount (Rs. Ps.)
1	Total Consultancy Fees collected including all Taxes:	
2	Taxes Collected:	
3	Total Expenditure (Please attach detailed break-up)	
4	Other Charges (Legal, External Consultancy etc.)	
5	Balance available for Distribution (1-2-3-4-5)	

**PROPOSED DISTRIBUTION:**

Sl. No.	Type of Consultancy	Distribution Proposal	Share %	Amount (Rs. Ps.)
1	MIT-WPU Consultancy	Principal Investigator & Team	70%	
		MIT-WPU	30%	
		Total		
2	Intellectual Consultancy	Principal Investigator & Team	80%	
		MIT-WPU	20%	
		Total		
3	Testing & Evaluation	Principal Investigator & Team	60%	
		MIT-WPU	40%	
		Total		
4	Standardization & Calibration	Principal Investigator & Team	60%	
		MIT-WPU	40%	
		Total		

**Principal Investigator**

**Head(s) of Department/Dean/Director**

**Dean R&D**

**Attachment(s):**

- I. Detailed Break-up of Expenditure.
- II. Project Closure Report prepared by Principal Investigator and Team.
- III. Project Completion Certificate issued by Client.

(Please use separate formats for each consultancy/project).

## LETTER HEAD OF THE CLIENT

Ref: ..... Date: ..... / ..... / 20 .....

	To:
	Name of MIT-WPU's Principal Investigator:
	Designation:
	Department: /MIT-WPU
	Phone:
	Fax:
	e-Mail:

**Gentlemen:**

We are pleased to confirm the consultancy work with MIT-WPU detailed as under:

**Project Title:**

Sl. No.	Item Description	Value (Rs.)
	Applicable Duties and Taxes:	
	Total (Project Cost)	

**Other Terms and Conditions:**

Detailed Scope of Work (with limits)

**Duration of the proposed work** (in Weeks):**Project Start Date:****Payment Terms:** ..... % in Advance by DD/RTGS/NEFT.**Remarks** (if any):

We agree to the above scope of work and details and to the standard terms and conditions of MIT-WPU.

Thanking you,

Sincerely yours,

**Signature:**

**Name:**

**Designation:**

**Date:**

**Seal of the Organization**



**STANDARD TERMS AND CONDITIONS:**

<b>Scope:</b>	As specified in the primary document of the order for project/consultancy work.
<b>Payment Terms:</b>	The payment for consultancy services should be made 100% in advance via Demand Draft/ Electronic Bank Transfer. Once the payment has been made, it cannot be refunded to the client.
<b>Delivery Terms:</b>	<ul style="list-style-type: none"> <li>+ The client must ensure the safe delivery of any components, equipment, parts, or other items sent to MIT-WPU. These items should be delivered to the appropriate laboratory or designated location specified by the Principal Investigator of MIT-WPU, Pune, free of cost.</li> <li>+ Once the project or consultancy work is complete, MIT-WPU, Pune will return any returnable items provided by the client on an as-is-where-is and as-it-is basis, without packing, for pickup at the Ex- MIT-WPU, Pune campus. The client is responsible for collecting these items within a reasonable period of 30 days from the date of notification by MIT-WPU. If the client fails to collect the items within this period, MIT-WPU reserves the right to dispose of the items without any reference to the client and transfer the proceeds to MIT-WPU only. The client will have no claim to the proceeds.</li> <li>+ MIT-WPU is not liable for any loss or damage incurred during transit.</li> </ul>
<b>Delivery Period:</b>	MIT-WPU has provided an estimated duration for the project in good faith and will make every effort to complete the project or consultancy work within the specified timeframe. However, MIT-WPU is not willing to provide compensation to the customer for any losses or damages, whether direct or indirect, resulting from any delays.
<b>Termination:</b>	Either party may terminate the project or consultancy work by giving a notice period of 30 days. However, both parties are responsible for fulfilling any remaining obligations related to the project.
<b>Liquidated Damages:</b>	MIT-WPU does not agree to any penalty for delayed delivery of the project or consultancy work unless it is specifically agreed upon in writing by MIT-WPU. If the client imposes such a condition unilaterally, it will not apply to the consultancy work undertaken by MIT-WPU on behalf of the client.
<b>Risk Purchase:</b>	MIT-WPU does not agree to provide any compensation to the client for any alternative action they may take regarding the project or consultancy work awarded to MIT-WPU, unless specifically agreed upon in writing by MIT-WPU. If the client unilaterally imposes such a condition, it will not apply to the consultancy work undertaken by MIT-WPU on behalf of the client.
<b>Force Majeure:</b>	MIT-WPU will not be held responsible for any loss, damage, delay, or failure of performance resulting directly or indirectly from any cause beyond its reasonable control.
<b>Intellectual Property Rights (IPR):</b>	<p>Any intellectual property created or generated during the project will be jointly owned by MIT-WPU and the client. Any terms and conditions related to transferring, assigning, or selling these rights to the client will be governed by a separate written and agreed-upon document if necessary.</p> <p>The testing and evaluation reports provided by MIT-WPU will be based on work performed according to available standards and open domain literature. However, these reports cannot be considered legal documents, certificates, or endorsements, and they cannot be used for the marketing of products or processes without prior consent from MIT-WPU. MIT-WPU retains the right to keep one copy of the report and to use the results of the project for internal teaching, joint research, and publication purposes.</p>
<b>Jurisdiction:</b>	In the event of any disputes arising from the project or consultancy work, MIT-WPU and the client shall attempt to resolve the issue amicably. If any disputes remain unresolved, they may be subject to resolution under the Indian Arbitration and Conciliation Act of 1996, and any legal constraints will be subject to Pune jurisdiction only.
<b>Declaration:</b>	MIT-WPU will undertake all works as part of the project in good faith and based on the material, data, and other relevant information provided by the client requesting the work.

## GUIDELINES FOR CONSULTANCY AND TESTING PROJECTS

The institute has expertise in various research areas to provide knowledge and intellectual inputs that are of interest to industry and other organizations. The following guidelines will be used for engaging in any consultancy job:

- ✦ A consultancy project/task/work is one where faculty and research staff provide knowledge and intellectual inputs to the industry or other organizations (both within India and abroad) primarily for their own purposes.
- ✦ All payments for consultancy work must be made in the name of MIT-WPU and payable at the respective campus. The institute will then take the necessary steps to comply with statutory laws.
- ✦ The project account will be handled by the faculty or principal investigator (PI), who will spend the funds as required. The institute's share should also be transferred.
- ✦ The requirement for a consultancy project/task/work can originate from the industry or other organizations concerned, or the faculty can approach the industry or other organizations. The faculty is expected to estimate the time and cost required to accomplish the task.
- ✦ A proposal is then prepared by the principal investigator (PI).
- ✦ The budget for the proposal should be in one part and reflect the project consultancy fee for the principal investigator (PI), co-PI, and other investigators, 50% overheads to MIT-WPU, and service tax on the total amount if applicable. Service tax is subject to periodic revision by the Government of India. Service tax is not applicable on projects if the funds are received in foreign currency. Expenses for equipment, supporting manpower, travel, and contingency must also be included in the budget, if necessary. The faculty is advised that if the expense on equipment, supplies, manpower, travel, etc. is large, then these must be proposed as a separate R&D project. These details are summarized in the table given below:

Budget for Consulting Projects		
Consulting fee to be paid to PI	A	
Consulting fee to be paid to co-PI	B	
Consulting fee to be paid to other investigators	C	
Total consulting fee		$D = A+B+C$
Equipment	E	
Supplies and any contingent expenses	F	
Manpower (students, external experts)	G	
Travel etc.	H	
Total other expenses		$J = E+F+G+H$
Total expenses		$K = D+J$
Overheads to MIT-WPU (50% of Total consulting fee)		$L = 0.5*K$
Sub-total including overheads		$M = K+L$
Service tax		$N = 0.1236*M$
<b>Total consulting charges</b>		<b><math>P = M+N</math></b>

- ✦ The consultancy proposals should be endorsed and approved by the Dean R&D after being sent to the R&D Cell by the PI with their's and the respective school's Dean's signatures.
- ✦ Once the consultancy proposal is approved by the Dean R&D, the R&D Cell will assign a unique internal number to the project proposal.

- ✦ The payment for the consultancy work will be made to MIT-WPU in accordance with the pre-agreed milestones. In case the project is in a single phase, a 100% advance payment should be made. However, if the project is divided into phases, a 100% advance payment should be made before the commencement of each phase. The regular procedures of the Institute will be followed for expenditures and disbursements. The PI will maintain a separate stock register for equipment and consumables related expenses of the project.
- ✦ Service tax will be applicable and will be subject to change as per new government norms.

## IN INTERNATIONAL CONSULTANCY PROJECTS

- ✦ Funds are received in foreign currency.
- ✦ Service tax is not applicable.
  - I. The consultancy work with a foreign party or funding agency should comply with the laws of all the countries involved and international laws, as applicable.
  - II. IPR issue: All issues related to intellectual property rights (IPR) must be discussed and agreed upon between the PI and the funding agency and approved by the Institute Innovation and Patent Cell (IIPC) before signing the Memorandum of Understanding (MoU) or agreement. It is preferable that the IPR be jointly shared by MIT-WPU and the industry/organization unless otherwise specified in the agreement.
  - III. After all aspects of the MoU/agreement have been approved and are acceptable to both parties, the PI and Dean R&D along with the industry/organization will sign the document. A copy of the fully executed MoU/agreement will be provided to the other party, while a copy will be retained in the R&D Cell, and another copy will be given to the Finance section of the campus.
  - IV. Project responsibility: The Principal Investigator (PI) leads these projects and may be supported by Co-Principal Investigators (Co-PIs). The PIs are responsible for delivering the project's outcomes, and the Institute offers them the necessary assistance.
  - V. The designated authority will prepare the statement of expenditure and utilization certificate at the end of each financial year, if necessary.
  - VI. The PI is required to submit the final report to the funding agency upon completion of the project. Additionally, a copy of the final report should be submitted to the R&D Cell.
  - VII. The project file will be closed once the final technical and financial project report is submitted and the non-consumables and consumables are transferred to the Institute.
  - VIII. The maximum time allowed for faculty and staff to work on consultancy and related assignments is 52 working days per year, which is approximately one working day per week. Additionally, consultants may use an average of one non-working day per week.
  - IX. Consultancy work can be undertaken within the limitations specified in point 12, if it does not negatively impact ongoing academic and research activities. The scheduling of such assignments should be carefully planned with regard to existing commitments. If necessary, the proposal form should clearly state the earliest date on which the assignment can begin.
  - X. The Institute's employees may be engaged in the execution of consultancy projects, provided that their primary functions and responsibilities to the Institute are not affected. In such cases, employees may be compensated by suitable honoraria, which should be included in the project's budget.
  - XI. The Institute may permit students to work on consultancy projects, in accordance with its norms, provided it does not negatively impact their academic commitments and performance. Students must be compensated for their work with a suitable honorarium, which must be included in the project budget.
  - XII. "Consultants should inform the Head of the Department before traveling outside the campus for any consultancy-related activities."
  - XIII. "Approval from the Head of the Department is necessary for outstation travel related to consultancy assignments. However, in case of emergencies, prior intimation and subsequent approval can be considered acceptable."
  - XIV. Faculty members are not permitted to use the name or logo of MIT-WPU for their consulting work, consulting reports, or any other related activities, except to indicate their association with MIT-WPU.

## TESTING PROJECTS

Testing refers to the process of assessing a component or product against established standards. This may include testing the strength of concrete in construction, soil compaction strength, pressure gauge calibration, and chemical identification, drug identification, estimation, and evaluation of unknown species. MIT-WPU will undertake testing jobs if facilities are available, and if such testing does not interfere with any teaching or research work. Faculty may initiate testing jobs once a request is received. The overall procedure for operation of the testing project is similar to that of a consultancy project.

## GENERAL GUIDELINES

- Limitations:** Performing regular testing tasks should be discouraged. Additionally, it is important to exercise caution and ensure that consultancy projects do not hinder the regular duties of faculty members.
- Involving Foreign Collaborators:** The proposals that involve foreign collaborators must comply with the National Laws, Rules, Regulations, and procedures in effect regarding funding support to each partner.
- Publications of Results:** Researchers who wish to publish technical or scientific papers based on the project's research work should follow the sponsoring agency's guidelines and acknowledge the agency's assistance in the publications.
- If the research results are to be legally protected, the investigators should take necessary steps to secure legal protection for the research results before publishing them.
- External Consultants in Consultancy Projects:** External consultants may be engaged to provide comprehensive services to clients, but their utilization will be limited. They will be entitled to receive a lump sum honorarium or fee, which should not exceed 30% of the total consultancy fee specified in the Consultancy Projects Proposal.
- Conflict of Interest:** Consultants are required to disclose in writing to the Dean R&D any relationship they may have with the client funding the consultancy project or any vendor to whom payments are made from project funds, such as the involvement of immediate relatives, or any potential scope for disproportionate self-gain.
- A committee will review such cases and advise the Dean R&D to ensure that there is no actual conflict of interest, and that the consultant's involvement does not compromise their objectivity, integrity, or commitment to the Institute and the profession.
- Consultants:** Consultants are prohibited from using the name of the Institute or their affiliation with the Institute in a way that
- (i) implies that the Institute endorses or opposes a product or service provided by a profit, non-profit, or government entity,
  - (ii) suggests that the Institute has conducted research or released research findings when it has not done so, or presents the results of Institute research in a misleading manner, or
  - (iii) could be perceived as conveying the official position of the Institute on any matter of public interest.
- Exceptions:** Book royalty and honorarium for services like Expert Committee meetings, invited lectures, Ph.D. viva/evaluation, invited training programmes, organization of conferences/workshops are not considered part of the consultancy services.

## INTELLECTUAL PROPERTY RIGHTS (POLICY AND GUIDELINES)

### PREAMBLE

MIT World Peace University, hereafter referred to as MIT-WPU/Institute, has been striving for the last 40 years to develop a pool of high-quality scientific and technical professionals and provide solutions to various challenging technological issues that may arise in different fields. The Institute is supported by well-qualified faculty and highly skilled staff, committed to becoming a premier center of teaching, research, and extension in Engineering and Technology. The Institute fosters academic excellence, innovation, and encourages scholarship and research.

The MIT World Peace University recognizes the value of intangible assets such as inventions, copyrights, know-how, designs, and other creative and innovative products resulting from the intellectual and scientific endeavors of its faculty and students, which provide a competitive advantage to the Institute. To provide guidance on the practices and rules regarding intellectual property rights (IPR), ownership, commercial exploitation, technology transfer, and confidentiality requirements, the Institute has formulated its intellectual property policy. The policy aims to create an environment conducive to curiosity-driven and market-driven research and development activities, as well as the creation of original works of authorship, for the benefit of the Institute, its faculty, staff, students, research scholars, and external agencies.

It should be emphasized that this IPR policy should be considered as a guide rather than a rigid regulation in the legal sense, given the constantly evolving landscape of the national IPR policy, and may be subject to modifications if necessary. This document, along with the accompanying addendum (Operating guidelines) and annexures (providing useful information on Patents and Copyright), is intended to provide a comprehensive overview of the Intellectual Property (IP) management framework at MIT-WPU.

### PURPOSE

The purpose of the IPR policy of MIT-WPU is to:

- ✦ The primary objective of MIT-WPU's intellectual property policy is to facilitate, encourage, promote and safeguard scientific inquiry, research pursuits and academic freedom of its faculty, researchers and students.
- ✦ The Institute aims to foster a culture of innovation that encourages the creation and development of intellectual property within its premises.;
- ✦ The policy aims to provide a clear understanding of the rights and responsibilities of the faculty, staff, and students regarding intellectual property and to protect the interests of the Institute and its members.
- ✦ One of the objectives of the MIT-WPU IPR policy is to establish a comprehensive management policy and procedural guidelines for converting the knowledge generated within the Institute to wealth. This involves the identification, protection, management, and commercialization of intellectual property assets, such as patents, copyrights, and trademarks, with the aim of generating income for the Institute and its members. The policy also includes guidelines for technology transfer, licensing agreements, and spin-off companies, as well as procedures for resolving disputes related to IPR.
- ✦ The primary objective of the IPR policy is to enable the Institute to make effective and beneficial use of the intellectual property created by its members, in order to maximize the benefits to the inventors, the Institute, and the society as a whole.
- ✦ The aim is to establish the Institute as a leading academic research center that upholds the highest standards of scholarship and teaching. This can be achieved by disseminating the benefits of intellectual property generated at the Institute to the community and society.

## OBJECTIVES

The IPR policy of the Institute aims to:

- ✦ The Institute aims to protect and enhance the value of intellectual property created by its faculty, staff, and students during their tenure at the Institute. This will provide opportunities for wealth generation, alleviation of human suffering, and improvement of human life.
- ✦ The objective is to promote awareness and culture of IPR among the faculty, staff, and students of the Institute by implementing prudent IP management practices.
- ✦ Establish a centralized and comprehensive reference system to address all IPR related issues in a streamlined and efficient manner, making it easier for faculty, staff, and students to access information and receive guidance.
- ✦ The IPR policy of the Institute aims to proactively create an environment that fosters the generation of new knowledge through research and innovations, while also aligning with the educational mission of the Institute.

## SCOPE

This policy applies to all forms of intellectual property resulting from the intellectual and scientific pursuits of the following individuals: faculty members, staff, students, research scholars (both internal and external), individuals employed in sponsored research and consultancy projects, visiting scientists/professors/professionals who contribute to the teaching and research work conducted at the Institute, whether full-time or part-time, regardless of whether these rights are eligible for registration. The intellectual property generated from academic research encompasses patents, designs, copyright, know-how, and confidential information.

## POLICY STATEMENT

The Institute is dedicated to balancing the promotion, protection, management, and commercialization of intellectual property while also maintaining its core values of teaching, research, and community service. It acknowledges the importance of commercializing and exploiting intellectual property for generating additional revenue for the Institute and offering benefits to its staff and students. However, the Institute also acknowledges the significance of traditional academic values and expectations.

## DEFINITIONS

Intellectual Property (IP) refers to intangible knowledge products and encompasses all types of results, conclusions, deductions, inventions, ideas, improvements, discoveries, enhancements, solutions, processes, modifications, know-how, data, and information that are conceived, generated, made, or reduced to practice by the faculty, staff, students, research scholars, and other employees of the Institute. This includes designs, software programmes, genetically engineered microorganisms, business models, and copyrightable works that result from their intellectual output. IP is the result of research supported or sponsored by the Institute, industrial consulting, or other collaborative research and development efforts.

Intellectual Property Rights (IPR) refers to the legal rights that are granted to individuals or entities for their creative and innovative works. These rights are derived from various forms of intellectual property, including patents, trademarks, copyrights, and trade secrets.

IPR grants exclusive rights to the creators or owners of intellectual property, allowing them to control the use, distribution, and commercialization of their creations. This ensures that they are able to benefit financially from their work and encourages further innovation and creativity.

Some examples of IPR include the following:

- Patents:** These are legal protections granted to inventors for their new and useful inventions or discoveries. They give the inventor the exclusive right to manufacture, use, and sell the invention for a certain period.

<b>Trademarks:</b>	These are symbols, logos, or phrases used to identify and distinguish a particular product or service from others. Trademarks protect the brand identity of a company or individual and prevent others from using similar marks that could confuse consumers.
<b>Copyrights:</b>	These are legal protections granted to authors, artists, and creators for their original works of expression, such as books, music, films, and software. Copyrights give the creator the exclusive right to reproduce, distribute, and display their work.
<b>Trade Secrets:</b>	These are confidential business information or practices that give a company a competitive advantage. Trade secret protection prevents others from using or disclosing secret information without permission.

Overall, IPR plays a crucial role in protecting and incentivizing innovation and creativity by providing legal protections and financial rewards for the creators and owners of intellectual property.

- + Background information the term "background information" in a Collaborative Research and Development programme refers to the technical knowledge and expertise that is owned or controlled by the programme partners before the commencement of the programme. This information is typically in the same field as the programme's subject matter or in related fields that are necessary for the successful execution of the programme.
- + The term "Institute Personnel" as used in this policy document encompasses a wide range of individuals including but not limited to full-time and part-time faculty members, staff, students, research scholars (both internal and external), visiting scientists, professors, and other professionals who are employed or engaged by the institute.

## OWNERSHIP OF INTELLECTUAL PROPERTY

Whenever the Institute files an application for ownership of intellectual property rights, it is required to acknowledge and mention all individuals who have made significant intellectual contributions to the creation or invention in question. These individuals must be identified as inventors or creators in the application.

### ■ Copyrights

- + The ownership of copyright on all teaching and instructional materials created by employees of the Institute as part of any academic programmes or activities shall belong to the Institute. However, the author(s) of such materials shall retain the right to use the materials in their professional work.
- + This clause does not apply to books, articles, monographs, speeches, and other works produced by the Institute staff members during research and teaching, using Institute resources. The Institute acknowledges and recognizes that the faculty members own the copyright to such traditional works of authorship.
- + In situations where Institute employees have created copyrightable works, including software, using significant Institute resources, the Institute may require the employees to assign some or all of the copyright to such works. The extent to which the Institute's resources have been used to produce the copyrightable work will determine the extent of the assignment of the copyright.
- + The Institute shall have ownership of the copyright of works created by non-Institute personnel who are engaged or associated with any Institute activity, regardless of whether Institute personnel have made intellectual contributions to such works or not.
- + In cases where copyrightable works are created during sponsored or collaborative activities, the ownership of copyright shall be determined either in accordance with the terms and conditions related to intellectual property specified in the contract governing such activity (if any), or through mutual consultations and agreement between the Institute and the sponsoring/collaborating agency.



- ✦ In the case of a thesis, dissertation, or project report written by a student, the ownership of copyright shall be jointly held by the student and their guide. However, the Institute may demand the full assignment of the copyright in such cases. In cases where the Institute does not demand the assignment of copyright or where the copyright has not been assigned to the Institute, the Institute shall be entitled to a non-exclusive, non-transferable license to use the work within the Institute for non-commercial educational and research purposes. Additionally, the Institute may possess a limited number of copies of the work for such purposes.
- ✦ Unless otherwise specified in the original contract for the work, any copyrightable work that is generated as a work-for-hire shall normally belong to the Institute.
- ✦ If the Institute anticipates a potential financial gain from any copyrights, it may take steps to file and protect such copyrights and share the resulting financial benefits with the creator(s) according to the terms and conditions established by the Institute.

### ■ Institute - Supported Research

All intellectual property rights arising from investigations conducted at the Institute using the Institute's resources shall belong to and be the exclusive property of the Institute, except in cases where such investigations are conducted jointly with other institutions and agencies or are sponsored by an outside agency.

### ■ Sponsored Research

The intellectual property rights (IPR) of inventions resulting from research projects that are carried out on behalf of and fully funded by a sponsoring agency shall be registered jointly in the name of the Institute and the sponsoring agency if the cost of securing and maintaining the IPR registration is shared equally between the Institute and the sponsoring agency. However, if the sponsoring agency is not willing to share the costs of registration and maintenance, the IPR shall belong exclusively to the Institute. If the sponsoring agency is not willing to share the cost of securing and maintaining the IPR registration for jointly filed applications, the Institute may, at its discretion, file the application with sole ownership and bear the entire cost of securing and protecting the IPR. In cases where the research project is only partially funded by the sponsoring agency or if there are multiple sponsors for the same project, the sharing of IPR shall be determined through mutual consultations and appropriate agreements between the Institute and the sponsoring agency(ies).

If the sponsoring agency is an industry, they may choose one of the following options for sharing the IPR with the Institute:

- ✦ The Institute may enter into an agreement with the sponsoring industry where the ownership of IPR will rest with the industry. However, the industry will have to pay the Institute an initial lump sum and reasonable annual royalties for a specific period as recognition of the Institute's contribution to the project. The terms of ownership of the IPR will be governed by a specific prior agreement between the Institute and the sponsoring industry. The ownership of IPR rested in the sponsoring industry may be exclusive or non-exclusive. In case of exclusive ownership, if the industrial sponsor fails to exploit within a mutually agreed time limit, the Institute may permit third-party exploitation of the IPR.
- ✦ The Institute shall retain ownership of the IPR, but the industrial sponsor shall have the right to exploit the IPR either exclusively or non-exclusively. This right will be granted in exchange for an initial lump sum payment, subsequent annual royalties for a specified period, or other benefits to the Institute as mutually agreed upon. In cases of exclusive exploitation rights, if the industrial sponsor fails to exploit the IPR within an agreed-upon time limit, third-party exploitation may be permitted. The Institute shall retain user rights for the purposes of further research and development. The terms of ownership and exploitation rights will be governed by a specific prior agreement between the Institute and the sponsoring industry.



## ■ Joint Research

In the case of intellectual property resulting from joint research conducted by Institute personnel with external organizations/agencies/individuals, the ownership of the IP will be jointly shared by the Institute and the collaborators. The cost of filing and maintaining the IPR as well as the revenue generated from its commercial exploitation will be shared by both parties according to an agreed-upon formula. If the collaborators do not agree to share the cost, the Institute may decide at its discretion to file and maintain the IPR at its own expense. In such cases, the sharing of revenue resulting from the commercial exploitation of the IPR will be determined solely by the Institute.

## ■ Technology Transfer

- ✦ The Institute will make all efforts to commercially exploit the IPR obtained, either solely or jointly with other agencies, to the fullest extent reasonably possible and without unnecessary delay. The marketing of the IPR will be conducted through technology transfer agreements, licensing (both exclusive and non-exclusive), and revenue-sharing models.
- ✦ The Institute will attempt to find potential licensees to commercially exploit the intellectual property (IP) that it owns outright. If the IP is jointly owned, the Institute will offer the first opportunity to commercially exploit it to the joint owners, regardless of whether the IP is protected by patents or not. This licensing agreement would require a lump sum payment as a technology transfer fee, as well as ongoing royalty payments for an agreed-upon period from the start of commercial exploitation. If the joint owner declines this option, the Institute will move forward with commercializing the IP in a manner it sees fit.
- ✦ If the other collaborating organization or industry does not undertake commercial exploitation within two years from the initial development of the technology, the Institute retains the right to license the use of the intellectual property to a third party.
- ✦ The Institute may support entrepreneurial activities among its staff by transferring ownership of an intellectual property to the inventor(s) or creator(s) of the property, through an agreement. This will enable the staff members to market, protect, and license the intellectual property independently, with minimal involvement from the Institute.
- ✦ The Institute requires the assignee to pay all expenses related to patenting and licensing, as well as any royalties, equity, or other value received by the inventor(s) or creator(s).
- ✦ The Institute would make efforts to commercialize intellectual property, either through its own means or by hiring a Technology Management Agency to develop the IP created by its staff.

After a specified period, the inventor(s) or creator(s) may request that the Institute transfer the rights to them.

## ■ Revenue Sharing

The sole applicant for any intellectual property (IP) generated at MIT-WPU will be the institute itself, and no sharing of revenue will occur, even if the IP is commercialized. However, in cases where the institute chooses to transfer the IP rights to the inventor(s)/creator(s), the inventor(s)/creator(s) will be required to reimburse the institute for all costs incurred in protecting, maintaining, marketing, and otherwise associated with the IP.

## ■ Infringements, Damages, Liability, and Indemnity Insurance

As a policy, the Institute will require any licensee to provide indemnification against any legal proceedings, including but not limited to those arising from manufacturing defects, production problems, design guarantees, and obligations related to upgrades and debugging, in any contract between the licensee and the Institute.

The Institute will include an indemnity clause in agreements with licensees when transferring technology or copyrighted material, to protect its personnel. The Institute will also retain the right to decide whether or not to engage in any litigation concerning patents and license infringements.

## ■ Conflict of Interest

Inventors must disclose any conflicts of interest or potential conflicts of interest. If the inventor(s) or their immediate family have a stake in a licensee or potential licensee company, they must disclose the stake they or their immediate family have in the company.

In the case of a license or an assignment of rights for a patent to a company where the inventor(s) have a stake, the approval of the IPR Cell will be required.

## ■ Dispute Resolution

If there are any disputes between the Institute and the inventors concerning the implementation of the IP policy, the aggrieved party can appeal to the Vice Chancellor of the Institute. The Institute will make efforts to address the concerns of the aggrieved party. However, the decision of the Chancellor will be final and binding in this matter.

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## APPLICATION OF POLICY

This policy is considered a part of the conditions of employment for every employee of the Institute, as well as a condition of enrollment and attendance for students at the Institute. The policy applies to all existing staff and students upon enrollment.

## ■ Bottom of Form

The Institute retains the right to amend the IPR Policy as necessary or deemed appropriate.

All potential creators who use Institute-sponsored resources or participate in a sponsored research project must comply with this policy and accept the principles of intellectual property ownership outlined in this policy, unless an exception is approved in writing by the Institute.

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## RIGHT TO REGULATE POLICY

The IPR Cell is responsible for interpreting the policy, resolving disputes, and applying the policy. The cell may also recommend changes to the policy periodically to the Registrar and Vice Chancellor, who will make decisions on any suggested changes. The IPR policy may be reviewed every three years, or earlier if there is a significant change in the national policy.

## LEGAL JURISDICTION

As a policy, all agreements signed by the Institute and any resulting disputes will be subject to the legal jurisdiction of the Court of Adjudication in Pune only. These agreements will be governed by the appropriate laws of India.

## INTELLECTUAL PROPERTY RIGHTS POLICY OF MIT-WPU (OPERATING GUIDELINES)

### INTRODUCTION

The MIT World Peace University is a prestigious academic institution that offers undergraduate and postgraduate education in Engineering, Management, Science, and Humanities. It also conducts advanced research in these fields, with a focus on promoting academic excellence, innovation, and scholarship. The university aims to create an environment that fosters the open dissemination of research results and promotes free exchange of information among academicians and scholars.

In addition to its role as a facilitator for generating fundamental knowledge in science and technology, MIT-WPU also offers programmes of social and economic relevance to the country. To further this goal, the university has put in place systems and mechanisms to structure the process of commercial exploitation of the knowledge generated at MIT-WPU under the provisions of IPR regimes in the country.

### INTELLECTUAL PROPERTY RIGHTS CELL (IPR CELL)

The MIT-WPU has established an IPR Cell with the responsibility of developing guidelines and policies for adoption by the institute, subject to approval by the Board of Management. The IPR Cell is also tasked with implementing the policies and guidelines related to intellectual property rights (IPR) by carrying out executive actions. This includes ensuring the timely processing and filing of patent applications and enforcing the institute's IPR policies effectively.

#### The cell will have the following structure:

##### Convener of the IPR Cell:

Senior professors at the institute may be nominated by the Vice Chancellor or Dean R&D to fulfill a certain role or responsibility.

##### Two Associate Faculty members:

The faculty members of the institute may be nominated by the Vice Chancellor or Dean R&D for a particular role or responsibility.

- The IPR Cell of MIT-WPU will have an IPR legal advisor or consultant who will be appointed by the institute. The advisor/consultant will be a well-known practicing attorney who will provide the necessary guidance and advice to the IPR Cell on various patent rules and regulations. They will also provide information on the most vulnerable patent rules and regulations in the wake of the Patent Cooperation Treaty (PCT), and other relevant regulations.
- The IPR legal advisor/consultant will assist the IPR Cell in drafting and evaluating MOUs, as well as in the filing of patent and copyright applications.
- The IPR Cell at MIT-WPU is responsible for several key activities related to intellectual property rights management, which include:
  - I. **IP Counselling:** The IPR Cell will counsel and interact with inventors of potential intellectual products and assist the Institute in identifying the IPR potential.
  - II. **IP Management:** The IPR Cell will be responsible for filing, maintaining, monitoring, and managing patents. This will involve coordination between attorneys, faculty (inventors), and MIT-WPU authorities.
  - III. **IP Transactions:** The IPR Cell will advise, draft, and monitor all IP-related MOUs of MIT-WPU.
  - IV. **IP Policy Formulation:** The IPR Cell will frame the IP policy and make amendments from time to time for consideration of the Institute authorities.
  - V. **Promoting IP-Awareness:** The IPR Cell will undertake measures to promote awareness of IP rights and strive to develop an IP culture within the MIT-WPU fraternity.
  - VI. **Capitalization of IP Assets:** The IPR Cell will periodically recommend patentable technologies to potential licensing agencies, CII, and other Financial Institutions to invest in venture capital towards new technologies. The Cell shall identify specific industries and direct marketing of these technologies and promote advertising in-house technologies of MIT-WPU via electronic media/newspapers and magazines. The IPR Cell will enlist the services of reputed Management Consultants for capitalization and commercialization of patented technologies owned by MIT-WPU. The Cell will interact with faculty members, patent attorneys, financial institutions, and industries and follow-up on royalty payments from industries.

- VII. **Assistance in Technology Transfer:** The IPR Cell shall handle the transfer of all technologies developed at MIT-WPU.
- VIII. **Reporting on IP Assets and IPR Management:** The IPR Cell will submit periodic reports on IP assets and their current status to the Dean R&D/Registrar/Vice-Chancellor and the Board of Management of the Institute for consideration and advice.
- IX. Appointment of a panel of attorneys for processing/filing of applications for patents, etc.
- X. Periodical Patent/Intellectual Audits through professional experts. 11.To suggest payment terms for retaining annuity fees for professional services.
- XI. To provide recommendations for promoting the commercialization of patents, including exhibiting patents, holding industry meetings, and other proactive measures.
- XII. To handle all matters related to protecting and managing intellectual property (IP) in the best interests of the country, institute, and inventors.
- XIII. To seek expert advice from reputable financial consultants, including experts from financial and business institutions such as FICCI, CII, IDBI, etc.
- XIV. The Intellectual Property Rights (IPR) Cell will be accountable to the Dean R&D at the Institute and will seek direction from the Registrar and Vice Chancellor to fulfill its obligations.

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## IP PROTECTION-SOME EXPLANATORY NOTES

(To be read in conjunction with MIT-WPU IPR–Annexure: some useful information on patents and copyright)

- Intellectual property can take various forms such as patents, industrial designs, trademarks, copyrights, confidential information, technical know-how, mask works, processes, plans, specifications, guidelines, graphics, training materials, software programmes, records, drawings, instruction guides, student materials, new techniques, algorithms, concepts, and more. To be protected by MIT World Peace University, the intangible product of the intellect must have potential for industrial application or for enhancing the S&T knowledge base.

A patent can be awarded for any invention that is capable of being commercially applied. To meet the patentability standards, the invention must satisfy the criteria of novelty, utility, and non-obviousness. Additionally, there must be an inventive step, which refers to an innovation that is not apparent to a person with ordinary skill in the relevant field. The invention may pertain to a new product, an improvement to an existing product, or a new process of manufacturing an existing or new product.

- Design protection can be obtained for any prototype that influences the consumer's choice by appealing to their aesthetic sense. In simpler terms, design protection can be secured for the appearance, visual features, and overall look of the article. However, design protection is not available for functional features.
- Patents are intended to safeguard applied and extension research, while copyright law is designed to protect pure or fundamental research. To meet the requirements of copyright law, a work must be original, meaning it originates from the author. Unlike patents, copyright law does not require compulsory registration. Under copyright law, only the form of expression can be protected and not the idea itself. Copyright applies to various types of original works specified in the copyright Act, including literary, dramatic, musical, or artistic works, cinematograph films, and sound recordings. Literary works may include computer programmes, tables, and compilations, including computer databases.
- Know-how and confidential information can only be protected as long as the owner can keep them confidential and take action against any unauthorized use of such information by others through a breach of confidence or contract lawsuit.

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## PROCEDURE FOR IP PROTECTION

All patent and copyright applications (as per proforma MIT-WPU/IPR-01 and MIT-WPU/IPR-02, respectively) must be sent to the Convener/Dean R&D through the IPR Cell via the Dean of the School or Director of the Center, regardless of whether the inventions have resulted from in-house projects or sponsored projects.

## RECORD KEEPING PROCEDURES

- + All data and details produced by a creator during the creation of intellectual property should be meticulously documented in the relevant School/Centre, with specific emphasis on the following:
  - + Avoid using abbreviations or technical terms that are not commonly understood, unless they are explained in a table at the beginning or end of the book. This will ensure that readers who are not familiar with the terminology can understand the text without confusion or difficulty.
  - + Important information such as data, descriptions, or experiments that pertain to significant inventions or discoveries should be attributed and documented by the individual(s) responsible for the project, such as the creator, supervisor, or coordinator.
- I. Any changes that need to be made should be indicated by crossing out the deleted content and labeling it as "cancelled". The corrected data, clearly marked as such, should be entered immediately below and authenticated by the creator with their initials and the date.
  - II. In cases where new products are created or produced by a new method, it is advisable to preserve samples and take photographs for record keeping purposes. All photographs should be dated and signed by the creator on the back.

### *When Should Faculty Approach IPR Cell To Discuss a Possible Patent?*

MIT-WPU has established an exclusive IPR Cell to manage intellectual property rights. Faculty members who have created potential intellectual property while employed by MIT-WPU can approach the IPR Cell advisor to arrange a discussion at a mutually convenient time. It is recommended that this discussion occurs well in advance of the idea maturing into a process or product. If the invention is only in the conception stage, it is possible to file a provisional specification, which must be followed up with a complete specification within 12 months; otherwise, the patent application will be considered abandoned. However, if the inventor has an innovative product that can be immediately marketed, a complete specification can be lodged right away.

## EVALUATION OF PATENT/COPYRIGHT APPLICATIONS

- + The IPR Cell will receive and examine each patent/copyright application submitted through an Invention Disclosure Form/Copyright Disclosure form according to the MIT-WPU/IPR-01/MIT-WPU/IPR-02 proforma. Additionally, an IPR facilitation request (MIT-WPU/IPR-03) must be included.
- + The committee may request assistance from other professors who are experts in the relevant field to conduct an initial evaluation of proposals for their potential patentability. These domain experts will be required to sign a non-Disclosure agreement according to the MIT-WPU/IPR-04 proforma and a No Conflict-of-Interest Form according to the MIT-WPU/IPR-05 proforma before being granted access to the proposal.
- + If necessary, the inventors may be asked to present their case before the IPR Cell. If the Cell recommends filing for patents, the Convener of the IPR Cell will facilitate the application through one of the approved attorneys from the panel maintained by the IPR Cell.

## ASSISTANCE IN FILLING THE PROFORMA

Once the IPR Cell approves protecting the Intellectual output, a patent Attorney shall be identified by the Cell for drafting the IP application. The following aspects need to receive attention:

- + **Objective of the invention:** What problem is the inventor trying to solve? What are the issues involved? The objective of the invention should clearly state the problem that the inventor is trying to solve. This should be a concise statement that identifies the issues involved in the invention. For example, the objective of the invention might be to develop a more efficient method for processing data or to create a new device that solves a specific problem in a particular industry.

- + What prior art searches have been made? Which database? Search strategies adopted. Did searches cover gray literature - advertisements, pamphlets, Knowledge already available to the public, either published or unpublished?

It is important to conduct a thorough search of the prior art to determine whether the invention is truly novel and non-obvious. This search should cover all relevant databases, including scientific and technical journals, patent databases, and other sources of information. The inventor should describe the search strategies adopted, including any databases or search engines used, and should indicate whether gray literature, such as advertisements and pamphlets, was included in the search.

- + How does the present invention differ from the known prior art? It is important to establish that the invention is not an obvious extension of the prior art to prove non-obviousness. Are there any unexpected findings in the present invention? What are those aspects of the invention that previous workers have not been able to find a solution for? What are the potentials for commercial applications of the new intellectual?

Property in relation to the previous products in the same area, if known? The inventor should describe how the invention differs from the known prior art and why it is not an obvious extension of the prior art. The description should include any unexpected findings in the present invention and should highlight those aspects of the invention that previous workers have not been able to find a solution for. The inventor should also describe the potential commercial applications of the new intellectual property in relation to previous products in the same area, if known.

- + To establish the usefulness of the invention, one should highlight the technical value of the invention and illustrate where and how the solutions obtained over the prior art can be applied with distinction. One might consider savings in cost, materials, manpower, energy, durability, efficiency, time, etc. The inventor should highlight the technical value of the invention and illustrate where and how the solutions obtained over the prior art can be applied with distinction. This might include savings in cost, materials, manpower, energy, durability, efficiency, time, or other factors that demonstrate the usefulness of the invention.
- + The boundary conditions of the parameters under which the invention works effectively and beyond which the invention may not work. Also outline several other applications of the invention, if any. The inventor should describe the boundary conditions of the parameters under which the invention works effectively and beyond which the invention may not work. Additionally, the inventor should outline several other potential applications of the invention, if any.
- + Furnish all the information in the proforma which can be collected from the office of IPR Cell or through e- mail. Adequate information is to be given to the Attorney to enable him to prepare a draft claim. In order to ensure good protection, it is necessary that the attorney understands the invention. A good patent specification should have synergistic efforts of the inventor and the patent attorney. The inventor should furnish all the information in the proforma that can be collected from the office of the Intellectual Property Rights (IPR) Cell or through e-mail. Adequate information should be given to the attorney to enable him or her to prepare a draft claim. In order to ensure good protection, it is necessary that the attorney understands the invention. A good patent specification should have synergistic efforts of the inventor and the patent attorney.

## FILING OF APPLICATIONS FOR IPR AND SUPPORT

All applications for intellectual property rights (IPR) shall be submitted by the Dean R&D on behalf of the Institute, as the owner of the IPR. The inventor's name will be included in the application at the appropriate places. All applications will be filed in India. The inventors will assign the exclusive right of ownership to the Institute to facilitate the filing, securing, and commercializing of the IPRs without any encumbrance.

## PATENT CO-OPERATION TREATY (PCT) APPLICATION

- ✦ To obtain protection for a patent outside of India, the recommended procedure is to first file a provisional patent application in India, and within 12 months, file a PCT (Patent Cooperation Treaty) application, along with an application for filing an Indian patent. The IPR Cell will make a recommendation on this procedure. The PCT route is the preferred, efficient, and economical option.
- ✦ The IPR Cell will cover the expenses, including the statutory fee and patent attorney's fee, for processing the patent applications.
- ✦ If an inventor decides to abandon or withdraw the patent application at any point during the processing stage, prior approval from the IPR Cell is required.

## SOME USEFUL INFORMATION ON PATENTS AND COPYRIGHT

### 1. What is Intellectual Property Right (IPR)?

Intellectual property rights (IPR) is a broad term that encompasses various forms of legal protection, including patents, registered designs, trademarks, copyright, layout designs of integrated circuits, trade secrets, geographical indicators, and anti-competitive practices in contractual licenses.

### 2. What are the legislations covering IPRs in India?

**Patents:** The Patents Act 1970. It has been amended in 2005

**Design Registrations:** The Design Act 2000

**Trademarks:** The Trade and merchandise Marks Act.1999 (amended in 2010)

**Copyright:** The Copyright Act, 1957 and Copyright rules 2013

**Layout Design of Integrated Circuits:** No Legislation exists.

### 3. Who are responsible for administration of IPRs in the country?

The Controller General of Patents, Designs, and Trademarks is responsible for overseeing patents, designs, and trademarks. This department operates under the Ministry of Industry's Department of Industrial Development. Copyright, on the other hand, falls under the jurisdiction of the Ministry of Human Resource Development.

### 4. What is a patent?

A patent is a legal monopoly which is granted for a limited time to the owner of an invention. Patent rights A patent is a legal right granted by the state that provides a limited-time monopoly to the owner of an invention. Simply possessing a patent does not automatically give the owner the right to use or exploit the patented invention; other laws and regulations, such as those governing health and safety, food and drugs, and inheritance, may also affect these rights. Patent rights can be sold, licensed, inherited, abandoned, and may even be subject to revocation by the state in certain circumstances, both before and after the grant of the patent.

Additionally, there are global patents available for international protection.

### 5. What is the distinction between patented invention and know-how?

According to the law, a patent specification does not have to disclose all the information required for the commercial exploitation of the invention. Therefore, the information provided in a patent specification may not be sufficient for commercialization purposes. In contrast, known-how refers to all the information necessary for commercializing an invention, such as details of production methods and design drawings needed to set up a production plant. If known-how is developed around an existing patent and subsequently commercialized without the patentee's agreement, it may be considered an infringement of the patent unless the patentee has agreed to such commercialization on mutually.

Agreed terms.

### 6. How is an invention interpreted?

For an invention to be considered patentable, it must not only be novel, but also involve an inventive step. This means that the invention must not be obvious to a person skilled in the relevant field, taking into consideration the state of the art, but disregarding unpublished pending patent applications. However, simplicity is not necessarily a barrier to securing a patent. The means of achieving the desired outcome may be simple and common, but an inventive step may still exist if the inventor has developed a variant that produces more useful results. It does not matter whether the invention was developed by accident, as long as it involves some level of inventive step. Whether or not it has been in the meantime sold or licensed. There is no such thing as What are patentable inventions under the patent Act, 1970?

Invention means any new and useful:

- + Art, process, method, or manner of manufacture
- + Machines, apparatus, or another article
- + Substances produced by manufacture and included any new and useful improvements of any of them and an alleged invention. However, inventions claiming substances intended for use; or capable of being used, as food or as medicine of drug or relating to substances prepared or produced by chemical processes (including alloys, optical glass, semi-conductors, and inter-metallic compounds) are not patentable.

### 7. How is the novelty of and invention determined?

The novelty of an invention is determined based on the knowledge that is available globally, including in India, at the time of filing the patent application. This means that the invention should not have been known or disclosed to the public anywhere in the world before the filing date of the patent application.

### 8. What are the types of inventions which are not patentable?

- + An invention which is frivolous, or which claims anything obviously contrary to well established natural laws e.g., different types of perpetual motion or machines which violate the third law of thermodynamics.
- + An invention that has a primary or intended use which is contrary to law or morality or injurious to public health is not considered patentable. For example, a process for preparing a beverage that involves the use of a carcinogenic substance, even if the beverage has a higher nourishment value, would not be considered patentable.
- + The mere discovery of a scientific principle or the formulation of an abstract theory is not patentable. For example, the discovery of the Raman Effect, which is a scientific principle, cannot be patented. However, an invention that makes use of scientific principle or theory can be patented if it meets the criteria of novelty, inventive step and industrial applicability.
- + To be patentable, the invention must involve an inventive step. Thus, the mere discovery of any new property or new use of a known substance or the mere use of a known process, machine or apparatus is not considered patentable, unless such a known process results in a new product or employs at least one new reactant. In other words, there must be some degree of innovation and improvement in the known substance or process to be eligible for a patent.
- + A substance that is created by simply mixing existing substances together, resulting only in the combination of their properties, is not patentable. The same applies to a process for creating such a substance.



- ✦ The mere arrangement, rearrangement, or duplication of features of known devices, each functioning independently of one another in a known way, is not considered an invention and hence not patentable. In other words, a patent cannot be granted for a combination of known features that does not result in any new or improved function or technical effect.
- ✦ A method or process of testing applicable during the process of manufacture for rendering the machine, apparatus, or other equipment more efficient.  
A method of agriculture or horticulture.
- ✦ Any process for medicinal, surgical, curative, prophylactic or other treatment of human 'beings, or any process for a similar treatment of animals or plants.
- ✦ Invention relating to atomic energy.

### 9. When should an application for a patent be filed?

**a)** It is important to file a patent application as soon as possible, rather than waiting until the invention is fully developed for commercial use. Filing an application with a provisional specification can help establish priority for the applicant. Delay in filing an application can lead to risks such as other inventors applying for a patent for the same invention before the first inventor, or inadvertent publication of the invention by the inventor or others independently. What are the essential patent documents to be generated and submitted by a potential patentee?

**b)** There are two types of patent documents usually known as patent specification namely.

- ✦ Provisional specification
- ✦ Complete specification

#### PROVISIONAL SPECIFICATION

- ✦ To add to the previous answer, a complete specification is a detailed description of the invention and how to make and use it. It should include claims that define the scope of the invention for which protection is sought. The claims must be clear, concise, and supported by the description. The complete specification must be filed within 12 months from the date of filing the provisional specification, and failure to do so will result in the abandonment of the application.
- ✦ It's also worth noting that while a provisional specification may be filed without any claims, the complete specification must include at least one claim defining the scope of the invention. The claims must be carefully drafted to ensure that they are not overly broad or vague, which could result in the patent being challenged or invalidated later.
- ✦ The provisional specification is not a permanent and independent scientific cum legal document. It is a temporary document filed to establish priority of the invention and to secure a filing date. Amendments to the provisional specification can be made at any time before filing a complete specification. However, once a complete specification is filed, amendments to the provisional specification are not allowed.

#### COMPLETE SPECIFICATION

- ✦ To obtain a patent, it is necessary to submit a Complete Specification. This specification should include information about the field to which the invention relates, the background of the prior art, any drawbacks related to the previously known details of the invention, the best way of carrying out the invention, and claims that define the scope of the invention. The Complete Specification should provide enough information to enable a person skilled in the art to work on the invention without requiring assistance from the inventor.

#### 10. What are the criteria for naming inventor(s) in an application for patent?

The naming of inventors is normally decided based on the following criteria:

- + All persons who have contributed towards the conception or reduction to practice of at least one claim of the invention should be named as an inventor.
- + Intellectual contribution towards the results of the research work leading to a patent is not sufficient for being named as an inventor. Contribution towards the conception or reduction to practice of at least one claim of the invention is necessary.
- + A person who has not contributed to the conception or reduction to practice of at least one claim of the invention is not entitled to be included as an inventor.
- + A person who provides only routine assistance, such as making drawings or constructing a prototype under the direction of an inventor, is not entitled to be named as an inventor.

Difficulties may arise in determining who should be named as an inventor, and to avoid such situations, it is important for all researchers to maintain clear and accurate records of their work in a consecutively numbered diary, with entries signed by both the researchers and their team leader.

#### 11. Can a published or disclosed invention be patented?

- + To clarify, if an inventor publicly discloses their invention before filing a patent application, it could potentially prevent them from obtaining a patent. This is because one of the requirements for obtaining a patent is that the invention must be new and non-obvious at the time the patent application is filed. If the invention has already been publicly disclosed, it may no longer meet the novelty requirement.
- + Therefore, it is generally recommended that inventors do not disclose their inventions publicly before filing a patent application. Instead, they should keep their invention confidential and file a patent application as soon as possible.
- + If an inventor does choose to disclose their invention before filing a patent application, they may still be able to obtain a patent if they file the application within a certain time frame. In the United States, for example, inventors have one year from the date of the first public disclosure to file a patent application.
- + If an inventor does obtain a patent, they should include the patent number and date in any subsequent publications or disclosures related to the invention. This provides information to the public about the existence of the patent and its scope of protection.

#### 12. What is considered the date of patent?

The date on which the complete specification is filed is considered the date of patent, and it is a crucial date for determining the legal protection of the invention covered by the patent. The term of the patent is calculated from this date, and it is from this date that the exclusive rights of the patent holder begin.

#### 13. What is the term of a patent in Indian system?

The term of every patent in India is 20 years, starting from the date of filing of the patent application, regardless of whether it was filed with a provisional or complete specification. However, for applications filed under the Patent Cooperation Treaty (PCT), the term of 20 years begins from the international filing date.

#### 14. How does one keep a patent in force for the full patent terms?

To maintain a patent's validity, the patent holder is required to pay renewal fees at regular intervals. If the renewal fees are not paid, the patent will expire and will no longer be legally enforceable. Once a patent has expired, the invention becomes open to the public, and anyone can use, manufacture or sell the invention without permission from the original patent holder.

**15. What is expected from a patentee?**

As per Indian patent law, it is expected that a patent holder should work their invention in India on a commercial scale and without any unnecessary delay. A patent is not granted simply to provide a monopoly to the patent holder for importing the patented product into India. This means that a patent holder cannot simply hold onto their invention and prevent others from using it. The intention behind granting a patent is to promote innovation and encourage the progress of technology, and to ensure that the invention is being utilized for the benefit of society.

**16. What is the nature of the information needed while consulting a patent attorney?**

- + When working with a patent agent or attorney to file a patent application, it is important to provide them with a clear and comprehensive explanation of the invention. This may include information about the history of the invention, including where the idea came from and how it was developed. Any early failures or prototypes may also be relevant to understanding the inventive step involved in the invention.
- + It is important to highlight what you believe to be the most central and inventive aspect of the invention, as well as any similar prior inventions that may exist. If you have developed an improved version of a competitor's product, it is important to disclose this information to the patent agent. Honesty and transparency in these matters will help the patent agent to draft claims and specifications that accurately reflect the invention and avoid any potential for excessive claims that could be rejected.
- + By providing your patent agent with a comprehensive understanding of your invention, including its history, inventive elements, and any prior inventions or improvements, they will be better equipped to draft a strong patent application that maximizes the protection of your invention.
- + In order to file a strong patent application, it is important to provide a detailed description of how the invention can be practically used, as well as any test results or trials conducted to support the invention.
- + This includes any failures or defects encountered during testing, as well as any alternative ways of using the invention or potential substitutes for its parts. It may be worthwhile to draft the patent application in such a way that it covers a broad range of alternatives, including less satisfactory options, to prevent competitors from marketing subpar products that could tarnish the reputation of the entire product genre.
- + During the patent application process, it is important to respond quickly and accurately to any queries from the patent agent. This will help to keep the application on track and save time and money. As the inventor, it is also important to keep the patent agent informed of any new developments or improvements made to the invention, as well as any new competitors that may arise. This will help the patent agent to draft a strong and effective patent application that accurately reflects the invention and provides maximum protection.

**17. What are the different types of work covered under copyright?**

Copyright covers:

- + Literary, dramatic, and musical work. Computer programmes/software are covered within the definition of literary work.
- + Artistic work.
- + Cinematographic films include soundtracks and video films.
- + Record- any disc, tape, perforated roll, or other device.

**18. What are the rights of a copyright holder (which when violated lead to infringement)?**

**a)** In the case of literary, dramatic, or musical work, not being a computer programme:

- I. To reproduce the work in any material form including the storing of it in any medium by electronic means.
- II. To issue copies of the work to the public not being copies already in circulation.
- III. To perform the work in public or communicate it to the public.
- IV. To make any cinematograph film or sound recording in respect of the work.
- V. To make any translation of the work.
- VI. To do, in relation to a translation or an adaptation of the work, any of the acts specified in relation to the work in sub-clauses (i) to (vi).

**b)** In the case of computer programme:

- I. To do any acts specified in clauses (a)
- II. To sell or give on hire or offer for sale or hire any copy of the computer programme, regardless of whether such copy has been sold or given on hire on earlier occasions.

**c)** In the case of an artistic work:

- I. To produce the work in any material form including depiction in three dimensions of a two-dimensional work or in two dimensions of the dimensional work.
- II. To communicate the work to the public.
- III. To issue copies of the work to the public not being copies already in circulation.
- IV. To include the work in any cinematograph film.
- V. To make any adaptation of the work.
- VI. To do in relation to an adaptation of the work, all the acts specified in relation to the work in sub-clauses (i) to (iv).

**d)** In the case of a cinematograph film:

- I. To make a copy of the film including a photograph of any image forming part thereof.
- II. To sell or give on hire or offer for sale or hire, any copy of the film, regardless of whether such copy has been sold or given on hire on earlier occasions.
- III. To communicate the film to the public.

e) In the case of sound recording:

- I. To make another sound recording embodying it
- II. To sell or give on hire, or offer for sale of hire, any copy of the sound recording, regardless of whether such copy has been sold or given on hire on earlier occasions.
- III. To communicate the sound recording to the public Explanation: For the purpose of this section, a copy which has been sold once shall be deemed to be a copy already in circulation.

**19. How is a computer defined for the purpose of copyright?**

Computers include any electronic or similar device having information processing capabilities.

**20. What is the definition of a computer programme?**

A computer programme refers to a sequence of instructions, expressed in various forms such as words, codes, schemes or other formats, that enables a computer to perform a specific task or achieve a particular result. This sequence of instructions may be stored on a machine-readable medium, such as a hard drive, USB drive or other similar storage device, and can be executed by a computer processor to perform various functions or tasks. In essence, a computer programme is a collection of instructions that a computer can follow to perform a specific task or series of tasks.

**21. What is the term of a copyright?**

- + The term of copyright protection for a literary work published during the author's lifetime is the life of the author plus 60 years. This means that the copyright protection lasts for the entire lifetime of the author and for 60 years after their death.
- + The term of copyright protection for cinematographic films, records, photographs, posthumous publications, anonymous publications, works of government, and international agencies is 60 years from the beginning of the calendar year following the year in which the work was published. This means that copyright protection lasts for 60 years from the year after the publication year.
- + The term of copyright protection for broadcasting is 25 years from the beginning of the calendar year following the year in which the broadcast was made. This means that copyright protection lasts for 25 years from the year after the year in which the broadcast was made.

## SALIENT FEATURES OF IPR AND SERVICES PROVIDED BY IPR CELL

### IPR POLICY

IPR is a general term covering patents, registered design, trademarks, copyright, and layout design of integrated circuits, trade secrets, geographical indicators, and anti-competitive practices in contractual licenses.

The Intellectual Property could be protected in the form of:

**Patent (to be registered),**

**Design Registrations (to be registered),**

**Trademark (registered or otherwise),**

Copyright refers to the legal protection granted to the creators of original works of authorship, such as literary, artistic, and musical works, in various forms including registered or unregistered. In the context of the Institute, it may include plans, specifications, guidelines, graphics, training materials, software programmes, records, drawings, instruction guides, student materials, new techniques, algorithms, concepts, and other forms of creative expression.

Confidential information and technical know-how may also be protected under copyright law if they are embodied in original works of authorship. Mask works, which are designs used to create semiconductor chips, may also be protected under copyright law. Additionally, copyright protection may extend to the processes used to create works of authorship, such as the techniques used to produce a particular type of artwork or the algorithms used to generate computer programmes.

Intellectual Property (IP) refers to intangible creations of the mind, such as inventions, ideas, designs, software programmes, and other forms of knowledge. It includes all results, conclusions, deductions, improvements, discoveries, solutions, processes, modifications, data, and information generated or produced by the faculty, staff, students, research scholars, and other employees of the Institute.

IP is the result of research activities supported or sponsored by the Institute, industrial consulting, or other forms of joint research and development work. The ownership of IP resulting from such activities is determined by the Institute's IP policy.

A patent application accompanied by a provisional application does not provide legal rights to the applicants. However, it is a crucial document that establishes the earliest ownership of an invention. This can be important in cases where multiple parties claim ownership of an invention. The provisional application establishes the priority date of the invention, which can be crucial in determining who has the right to file a patent application first.

**EXCEPTIONS FOR PATENT:** To clarify, inventions that claim substances that are intended for use as food, medicine, or drugs, or that are capable of being used as such, are not patentable. Similarly, inventions that relate to substances that are prepared or produced by chemical processes, including alloys, optical glass, semi-conductors, and inter-metallic compounds, are also not patentable.

**WHETHER PATENT CAN BE REVOKED:** Since a patent is granted by the state, it can also be revoked by the state under certain circumstances, even after it has been granted. It's important to note that a patent can be revoked by the state regardless of whether it has been sold or licensed in the meantime.

**CONTEST/CONFLICT WITH SPONSORING AGENCY:** If the sponsoring agency does not cooperate in filing a joint intellectual property rights (IPR) application, the Institute may choose to file the application on its own with complete ownership and will bear all costs associated with securing and protecting the IPR. Copyright law protects pure or basic research, whereas patents seek to protect applied and extended research.

If the intellectual property results from joint research carried out by Institute personnel and external organizations/agencies/individuals, the ownership of the IP will be shared jointly by the Institute and the collaborators. In such cases, the Institute will have the first right to commercially exploit the joint IP, regardless of whether it has been formally protected by patent(s) or not.

**IP COUNSELLING:** The IPR cell will provide guidance and support to potential inventors of intellectual products and will assist the Institute in identifying the potential for IPR. If the cell recommends filing for patents, the Convener/Dean R&D through the IPR cell will process the application through an approved attorney from the panel maintained by the IPR cell. If any copyrightable work is created during sponsored or collaborative activities, ownership of the copyright will be determined by the terms and conditions outlined in the relevant contract or through mutual agreement with the sponsoring/collaborating agency.

All faculty members, staff, students, research scholars (internal and external), visiting scientists, professors, and other professionals, whether full-time or part-time, can avail themselves of the services provided by the IPR cell. MIT-WPU has established systems and mechanisms to facilitate the commercial exploitation of the knowledge generated at the Institute under the provisions of the IPR regime in the country.

**SERVICES PROVIDED BY THE IPR CELL:** It is crucial to respond promptly and accurately to queries from the patent agent both during the initial search and throughout the patent application process. This will facilitate the progress of the patent application and potentially save money.

The IPR cell will periodically suggest patentable technologies to potential licensing agencies, the Confederation of Indian Industry (CII), and other financial institutions, encouraging them to invest in venture capital for new technologies.

## FREQUENTLY ASKED QUESTIONS (FAQ)

### **Is it possible to utilize the services of MIT-WPU IPR Cell to apply for a patent and get it granted?**

Certainly, I understand. The IPR (Intellectual Property Rights) Cell at MIT-WPU is responsible for assisting faculty members, research associates, research scholars, students, and other researchers working at MIT-WPU in obtaining patents for their inventions.

### **In what proportion would the expenditure to be incurred for getting the patent granted be shared between MIT-WPU and the inventors?**

To clarify, if an inventor processes their patent application through MIT-WPU IPR Cell and MIT-WPU is designated as the assignee for the granted patent, then MIT-WPU is responsible for paying the fees associated with the various stages of the patent application process. In this case, the inventor is not required to pay any fees.

### **If the expenditure to be incurred for the patenting process is fully borne by MIT-WPU, what will be royalty share for inventors after the patent is granted and we go for commercialization?**

As MIT-WPU is the sole applicant, there is no revenue sharing model, even for commercialized patents.

### **Can you help us with the complete rules and regulations of the patent application and regulations followed by the MIT-WPU IPR Cell?**

Please go through the links 'frequently asked questions' and 'IPR Policy' under "IPR Cell" link at MIT-WPU Website.

### **Is it possible to apply for a patent as an individual without help from MIT-WPU?**

To put it another way, if the invention is the result of work conducted by a researcher during their time at MIT-WPU and if the facilities provided by MIT-WPU were utilized in the creation of the invention, then it is expected that the inventor will file their patent application through the MIT-WPU IPR Cell and designate MIT-WPU as the assignee.

### **If the patent application is not processed through MIT-WPU IPR Cell, will MIT-WPU still financially support the patenting process?**

To rephrase, if the inventor chooses not to apply for a patent through the MIT-WPU IPR Cell, then MIT-WPU will not assume any responsibility for the costs associated with the patenting process.

### **What is the documentation to be submitted to IPR Cell and what is the mode of submission, when one makes a beginning with patenting his invention?**

The Inventor is required to submit their proposal in the format of an Invention Disclosure Form (IDF) when making their proposal. It's important to note that the format of the IDF differs depending on whether it is for a patent or a design registration. The blank IDF for patent or design registration can be downloaded from the IPR Cell link on the MIT-WPU website. It's worth noting that there have been instances where Inventors have submitted Forms 1, 2, 3, and 5 of the Indian Patents Act 1970 as part of their proposal. However, it's important to remember that these forms are not required to be submitted to the IPR Cell. Instead, only the IDF is necessary for submitting the proposal. If the proposal is for a design registration, the Inventors must enter into an "Agreement on Designs" with MIT-WPU on a non-judicial stamp paper worth Rs. 20. A template for the agreement can be downloaded from the IPR Cell link on the MIT-WPU website.



**Which are the points which need particular attention, while filling in the Invention Disclosure Form (IDF) for patents?**

The following points in IDF require particular attention:

**Point 8:** General area of the patent: Please be specific.

**Point 10:** Information available in the published literature (prior art): You must cite, without fail, patents granted in related areas, including the patent number.

**Point 11:** Limitations of the presently available technology/product: The response to this point should be clearly emerging from the response given to point 10.

**Point 12:** Description of the invention: As detailed as possible and well-illustrated with flow charts, diagrams etc. as appropriate.

**Point 20:** Commercial aspects of the product/process/technology developed: To be compulsorily answered and not to be glossed over.

**Point 22:** Any industries/companies interested in licensing this work: Your response should be there, without fail.

**Is it necessary to submit a hard copy of Invention Disclosure Form to MIT-WPU IPR Cell?**

It is not necessary to submit a hard copy. It is sufficient to upload soft copy through MIT-WPU internal portal.

**Should the Inventor also get in touch with Technology Business Incubator (TBI) at MIT-WPU?**

No. The IPR related issues are no longer handled by TBI. IPR Cell is now looking after all IPR related matters. All correspondence relating to IPR matters may please be addressed to .....

**Can the MIT-WPU IPR Cell be contacted telephonically?**

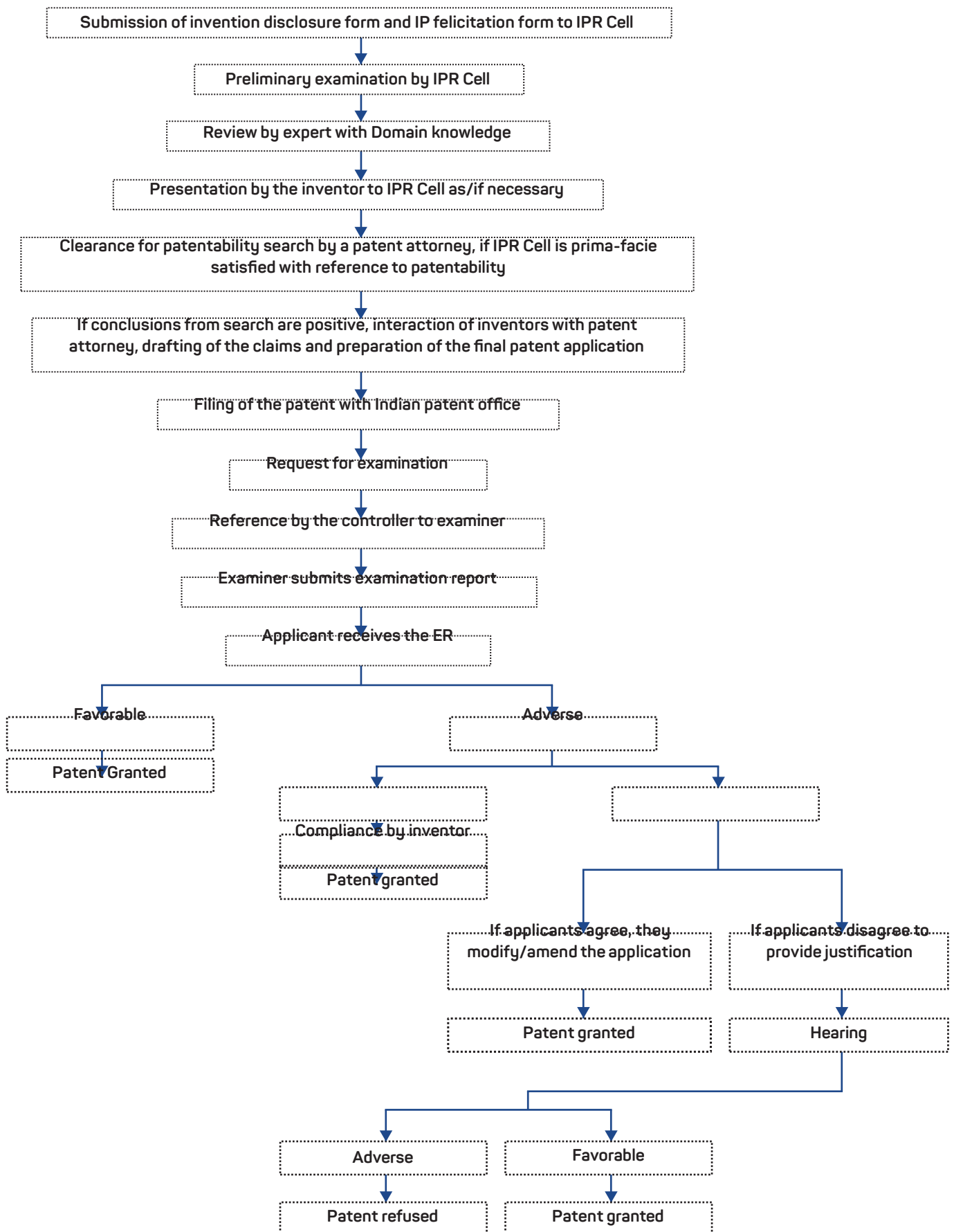
Should you need any clarification on the telephone, the Convener of the Cell is available at MIT-WPU, contact.  
.....

**Where is the Office of IPR Cell located?**

Office of IPR Cell is located in .....

What are the steps involved from the point of submitting the application to IPR Cell till the point of grant of patent?

Please see the enclosed flow diagram.



**INVENTION DISCLOSURE FORM-DESIGN**

MIT-WPU /IPR-01

**Please suggest a descriptive title for your design:**

(The title should have a maximum of 10 words. It must be such that it best describes your invention)

**A brief write-up on the article** (For understanding of nature and novelty of the article).

**Please share soft copies of colour photographs (with white background) depicting the design exactly through the following views:**

- I. A front view,
- II. A rear view,
- III. A left side view,
- IV. A right-side view,
- V. A top view,
- VI. A bottom view and
- VII. A top perspective view (take any top left or top right-angle view at 45 degrees from the top position).

[Kindly note that, the color photographs should be taken exactly from a top, a bottom, a front, a rear, a left side view, a right-side view, and a top perspective view without interference of any other object in the background. The photographs should be in JPEG format].

**Has the design been published or disclosed to anyone outside of your organization?**

It is important to note that when submitting a proposal for an invention or design registration, including family and friends, disclosing, or publishing your invention/design to anyone outside your organization is risky because India follows the first-to-file system. This means that if multiple people file the same invention/design, the first person to file will be granted the patent. If you disclose or publish your invention/design before filing, it could jeopardize your chances of obtaining a patent for your invention/design.

**Is there any such publication or disclosure planned? If so, provide date and details.**

**What products or processes currently implement your design?**

**Please provide details of each person who has contributed to the conception of the design:**

Name:

Address:

Title:

Email:

Organization:

Phone:

Date:

Signature of inventor(s) and date:

(To be provided for evaluation and filing of patent application)

**Title of the project/Invention/New Technology** (More than 10 words)

**Inventor(s)/collaborator(s) filling the patent**

a. Full name of the inventor:

Designation:

Emp ID/Reg. No:

School:

Office Address:

Intercom/Mobile No.:

E-mail:

b. Full name of the inventor:

Designation:

Emp ID/Reg. No:

School:

Office Address:

Intercom/Mobile No.:

E-mail:

c. Full name of the inventor:

Designation:

Emp ID/Reg. No:

School:

Office Address:

Intercom/Mobile No.:

E-mail:

**Principal Investigator (PI):**

**Sponsor(s) / Source of funding of the project / consultancy – with or without prior Contractual agreement**

**Is the work bound by any agreement / contract / MOU?**

**Date of start of the project**

**Is the patent (to be filed) for a process or product?**

**General area of the patent**

**Name of process/product invented/developed**

**Information available in the published literature (prior art) about the problem tackled**

(Give literature search details such as related patent databases, publications in journals etc. Patents that require attention maybe highlighted)

**Limitations of the presently available technology/product**

**Description of the invention**

- a. The problem for which solution was researched
- b. The invention namely the solution to the problem

**Origin of the idea/ invention: by whom and when?**

**Any help received from others in conception of the idea?**

**First record of initial idea/invention (Oral/written/conceptualization)**

**Has the work been displayed/reported/published/presented (oral or poster) anywhere? If yes, give full description, including name, place and date of the event.**

**Has any related patent been filed by the inventor?**

**Unique features about the work done with respect to prior art**

- a. Is the work a mere extension of common known knowledge?
- b. Has the work filled a major gap in prior art? If yes, a brief description of this gap.
- c. Any environmental issues?
- d. What aspect(s) of the invention need(s) protection?

**Has the work been systematically and chronologically documented?**

**Commercial aspects of the product /process/ technology developed**

**Any costing of the product/process/inventions been done?**

**Any industries/companies interested in licensing the work?**

**Is the work:**

- a. Completed and results validated?
- b. At a basic conceptualization stage?

I agree to assign to MIT-WPU, Pune my rights in this invention

Inventor`s Signature:

Dated:

Inventor`s Signature:

Dated:

Inventor`s Signature:

Dated:

I agree to assign to MIT-WPU, Pune my rights in this invention

I confirm that the details furnished in respect of this invention / Technology are correct and agree to the request for filing of an application patent with the names of the inventors as proposed above.

Date:

Signature of the Principal Investigator of the project:

**APPLICATION FOR COPYRIGHT REGISTRATION**

**MIT-WPU /IPR-03**

1) Author`s name(s) & Designation (s):

- a. ....
- b. ....
- c. ....
- d. ....

2) School/centre:

- a. ....
- b. ....
- c. ....
- d. ....

3) Title of Document/work:

4) Brief description about the nature of document (approx.150 words) (To be annexed)

**TICK AS APPROPRIATE**

- a. Review
- b. Research/ Development work report
- c. Design report
- d. Survey
- e. Class note
- f. Pre-publication report
- g. Any other

5) **Claims of originality** (approx.150 words)

- a.
- b.
- c.

6) **Any similar report/document available to the knowledge of authors**

.....

.....

.....

.....

7) **Whether the document/Work belong to the category of:**

- a. Sponsored Research, if Yes, Project Title: \_\_\_\_\_ Project Code: \_\_\_\_\_
- b. Ph.D Thesis:
- c. MS/Phil Thesis:
- d. UG/PG Thesis:
- e. Individual Work:
- f. Collaborative work between organizations:
- g. Class Notes/Teaching Material:

8) **Does the document use non –obvious diagrams from other’s work and, if so, has permission been taken for reproducing in the document?**

Yes:

No:



a. Signature & Name:

Designation:

School :

Office Address:

Intercom/Mobile No.:

E-mail:

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b. Signature & Name:

Designation:

School :

Office Address:

Intercom/Mobile No.:

E-mail:

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c. Signature & Name:

Designation:

School :

Office Address:

Intercom/Mobile No.:

E-mail:

**Date:**

**Name:**

**Designation/Affiliation:**

**Emp ID/Reg. No:**

**School:**

To  
The Dean/Director,  
(School/Center Name)

I am forwarding my invention titled .....  
to IPR Cell for patent filing facilitation.

I request your kind approval.

**Signature:**

**Recommendation of the Dean/Director Signature & Seal**

**AGREEMENT ON DESIGNS****MIT-WPU /IPR-05**

This agreement on designs relating to its authorship and ownership is made this ..... day of .....(Month).....(Year)

BETWEEN

MIT World Peace University, established under State Private Universities Act, having address at Kothrud, Pune represented by its Registrar, hereinafter referred to as MIT-WPU.

AND

The authors of the design described in the Schedule to this agreement, [Authors name, Designation, and address], hereinafter referred to as the Authors,

Both are collectively referred to as the parties.

**RECITAL:**

- + MIT-WPU is a higher educational institution, and the Authors of the proposal either work as faculty at MIT-WPU or are/were associated with MIT-WPU as students. The Authors confirm and acknowledge that the design listed in the schedule of the proposal was created during their engagement with MIT-WPU.
- + MIT-WPU wishes to formally recognize the Authors of the design listed in the Schedule and reward them accordingly, and the Authors agree to this proposal. The Assignment Agreement serves to record the terms and conditions of this arrangement.

Now, therefore, in consideration of the mutual covenants and premises herein contained, the parties agree as follows:

**CONSIDERATION:**

- + MIT-WPU will allow the authors to be listed as co-applicants of the design together with MIT-WPU in the application for registration of the design with the Indian Patent Office (IPO) to acknowledge their contribution to the development of the design.
- + MIT-WPU agrees to bear the complete cost of the IPO fees and professional fees related to the prosecution of the design.

The Authors consent to cooperate and work together with MIT-WPU in addressing any objections raised by the IPO and providing their expertise for the prosecution of the design patent application.

The Authors acknowledge and agree that MIT-WPU has the sole right to negotiate with any third party for licensing the use of the design, including determining the financial terms of the license agreement.

If the commercialization of the design necessitates it or for any other reason, the Authors hereby nominate and grant an irrevocable power of attorney to MIT-WPU on their behalf to sign an assignment agreement in favor of the person or entity making the payment for using the design. The Authors agree that the signed assignment will be binding on them, and MIT-WPU can register the assignment with the Indian Patent Office.

**SETTLEMENT OF DISPUTE:**

- + Any dispute or difference shall be solved amicably by mutual consultation and negotiation.
- + In case of failure to solve the dispute or difference by such mutual negotiation, such dispute or difference shall be referred to Arbitration.
- + The Arbitration shall be conducted in English language as provided for under the Arbitration and Conciliation Act, 1996.
- + The place of Arbitration shall be Pune in the State of Maharashtra.
- + The Arbitrator shall be appointed by the Chancellor, MIT-WPU.
- + The decision of the Arbitrator is final and binding on both parties.

Signed as of the day above by

<b>For MIT-WPU</b>	<b>Author</b>
<b>Name and designation of the Authorized official</b>	Name Title:
	Organization Address:
	E-Mail:
	Phone No.:
	<b>Author</b>
	Name Title:
	Organization Address:
	E-Mail:
	Phone No.:

## ETHICS COMMITTEE

### BACKGROUND

- + Research is characterized as a methodical inquiry and examination of materials and sources aimed at confirming facts and drawing novel conclusions. The policy encompasses all forms of research that involve human participants, their tissues, or data, and should also be applied more broadly to activities such as enterprise and innovation, or service evaluation and audit, where ethical issues may arise.
- + These policies are applicable to all research conducted by MIT-WPU's faculty and students. For studies that have obtained external ethical approval, there is no need to repeat the process. The appropriate University Ethics Committee must be informed and provided with a copy of the approval. The Ethics Committee will confirm that no additional approval is necessary for the study.
- + This policy is applicable to all individuals conducting research either within the University or on behalf of it. This includes staff, individuals with honorary University appointments, visiting researchers, undergraduate and postgraduate students, as well as visiting scholars and students.
- + When a research project is being carried out by academics from multiple institutions, the lead institution (usually the institution where the Principal Investigator is employed) should seek the relevant ethical clearance for the project, and other partner institutions should be informed of any outcomes and issues.

### PURPOSE

- + The aim of this policy and procedure is to establish and promote the highest ethical standards in academic research.
- + The University is dedicated to safeguarding the rights, dignity, safety, and privacy of research subjects, as well as the well-being of animals, and ensuring environmental protection. Additionally, the University is committed to minimizing health and safety risks for researchers and upholding their academic freedom.
- + The Institutional Ethics Committee of MIT-WPU will evaluate and approve all research proposals involving human participants, taking into account the welfare and safety of actual and potential research participants. The goals of research, no matter how important, should never be prioritized over the health and well-being of the research subjects.

### GUIDELINES

- + Researchers affiliated with MIT-WPU must seek approval from the Ethics Committee. The ethical review process should ensure adherence to the following policy documents of MIT-WPU.
  - a. Policy for Promotion of Research
  - b. Plagiarism Policy
  - c. Patent Policy
  - d. Consultancy Policy

The University mandates an ethical review of all research projects that involve primary research with human subjects (or their data), regardless of funding source. In most cases, a review would be conducted by a Research Ethics Committee.

- + Projects involving living persons, human tissues, or data related to recently deceased persons, as well as projects involving animals (including animals living in their natural habitats), must have genuine research, educational, or training purpose.
- + Ethical approval is required for all research involving human participants, human material, or human data. However, research that uses information about human participants that is publicly and lawfully available, such as census data, population statistics, court reports, and personal letters or diaries in public libraries, is exempt from this requirement.
- + The University has a Code of Ethics for Research that includes fundamental principles to protect human participants.
- + The University requires that all research falling under this policy must adhere to the Code of Ethics and its fundamental principles.
- + The University's policies, committees, and sub-committees must consider the relevant professional ethical codes and research sponsor policies. If there is a difference in ethical standards between the University policy and the relevant professional body or research sponsor, the committees should apply the highest standard of ethical practice.
- + Research ethics committees should be appropriate to the disciplinary mix of research they will review, comply with specific funding or professional body requirements, and comply with relevant legislative requirements. They should also consider the anticipated volume of work.
- + Every research ethics committee should not only take the responsibility of reviewing and approving all research within its jurisdiction but also create and endorse research ethics toolkits. These toolkits should include standard consent forms, participant information sheets, and protocols for ensuring security, confidentiality, anonymization, and retention of data.
- + It is essential for all research ethics committees to maintain detailed records of their proceedings and decisions.

## APPLICATION AND APPEALS PROCEDURE

### APPLICATIONS FOR ETHICAL APPROVAL

The Institutional Research Ethics Board ethical committee will consider the following matters when reviewing applications for ethical approval, considering their relevance to the research project:

- ✦ The risk of physical, emotional, or reputational harm to research participants, and the steps that will be taken to minimize or mitigate these risks.
- ✦ The risk of physical or emotional harm to the researcher, and the steps that will be taken to minimize or mitigate these risks.
- ✦ The procedures for recruiting research participants and obtaining their informed consent, including the provision of participant information sheets and consent forms.
- ✦ The rationale for using observation or covert surveillance, or any other methods that may not be transparent to research participants.
- ✦ The measures that will be taken to ensure the security and confidentiality of personal data and any human tissues or artefacts collected for the project, particularly those that will be stored or processed off-site.
- ✦ The arrangements for the retention, anonymization, and disposal of personal data, artefacts, or tissues at the end of the project, or as required by research sponsors or legal provisions.
- ✦ The procedures for debriefing research participants, particularly in cases where the research may have caused them distress.
- ✦ The procedures for reporting and dealing with any adverse reactions to the research project.
- ✦ The measures that will be taken to ensure that appropriate Ethical Board checks are conducted when researchers are working in settings where children or vulnerable adults may be present.
- ✦ If ethical approval is not granted or if significant modifications are required for the proposed research, the Institutional Research Ethics Board must provide detailed written feedback to the applicant. In the case of research students, the feedback must also be provided to their Director of Studies or Lead Supervisor, as appropriate.
- ✦ If the issue cannot be resolved informally, applicants have the right to appeal.

### APPEALS

- ✦ If there are statutory requirements that specify different procedures for appeals, these will take precedence over the appeals procedures outlined in this Policy.
- ✦ Researchers who are bound by their own professional code of conduct should be aware that their own ethics policies may be more rigorous than those outlined in this Policy, and they must comply with their professional codes.
- ✦ Failure to comply with ethics approval may be deemed as serious professional misconduct, which the university is obligated to report to the researcher's professional body.

## **INSTITUTIONAL RESEARCH ETHICS BOARD**

The university shall establish an Institutional Research Ethics Board to ensure that research activities conducted by researchers are fully compliant with the university's regulations on research ethics and the protection of human and non- human subjects involved in research.

The board shall be comprised of the following members.

- + **Chancellor**
- + **Vice Chancellor**
- + **Dean (Academics)**
- + **Director/Dean of the school of the applicant**
- + **Dean R&D**