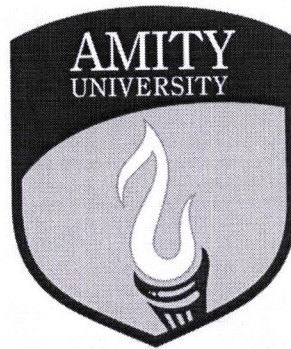


# AMITY UNIVERSITY RAJASTHAN

## Policy for Promotion of Research & Innovation



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## Research Policy

The university is a research and innovation driven higher education institution providing state-of-the-art infrastructure for research and value based contemporary education. The university actively promotes and innovation in frontier areas. Frequent modernization of research facilities in terms of establishment of new labs, central instrumentation facility, advanced software, highly configured computers, dedicated research set-ups etc. is carried out to support cutting-edge research. The University encourages its departments to extend their research circles and collaborate with peer institutions, research organizations and industries to initiate R&D in multi-directional areas and ensures quality outcomes.

Further, the university has provided matching grants for two ongoing DST-FIST programmes, viz, Amity Institute of Biotechnology and Amity Institute of Microbial Technology. Recently, the University has bagged the DST- PURSE programme under which the university management has contributed the required 30% of the grant to procure high-end analytical instruments to support faculty members and research scholars in completing quality research in stipulated time.

The university ensures well-stocked laboratories and other research facilities with timely replenishment of various recurring items used for research such as chemicals, glass wares, and other consumables. The university supports the requirements of the newly joined faculty for laptops, and other non-recurring items too.

Research laboratories are available 24/7 for the faculty members, research scholars, interns, and students. The university encourages its faculty members for participation in national/international conferences, symposia, workshop exchange programmes etc by providing financial and administrative support.

Overall, the university provides a conducive ecosystem and encouraging environment for the faculty to actively engage in research and innovation activities, and these are duly supported by well formulated rules and regulations. For instance, the University is conscious to publish quality research free of plagiarism and in accordance with ethical issues and has a plagiarism policy corresponding with the UGC Guidelines. Accordingly, the Institutional Academic Integrity Panel and Departmental Academic Integrity Panel has been duly constituted to curb any plagiarism. The quality of the doctoral programme is also ensured through PhD regulations set in accordance with the UGC requirements. The Pre-PhD course work includes a course on Research and Professional Ethics, besides the other 2 core courses and 2 subject courses which have to be mandatorily passed by the PhD scholars.

To retain talent and promote research, the University has a Faculty Incentive Scheme and rewards the faculty for their contribution towards Intellectual Capital. Thus, the University acknowledges the research contributions of the faculty for their research publications, R & D projects, patents, travel grants, recognitions as editors and collaborations through MoUs etc and provides monetary benefits.

The University has constituted a Research Board in accordance with the laid down composition and terms of office. The recommendations of the Research Board are submitted to the Academic Council for its consideration. The Research Board recommends the qualified teachers who are eligible for guiding research work as per UGC Regulations as well as ensures the compliance of UGC's guidelines regarding the Ph.D. degree and the entrance examination. The Research Board holds its meetings regularly and considers the issues of the maintenance of quality, standards, and promotion of research and updates and maintains the data related to Patents/ Projects/Grants/Publications etc.

  
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In the light of changing global economic scenario and the mission of the University, the institution encourages and promotes faculties and scientists to take consultancy assignment in addition to the teaching and research work as this form of activity enhances external profile of the university by developing our engagement with community, extending the societal impact of the University, expertise and creating mutually beneficial opportunities for collaborative research and consultancy services. The consultancy enriches and broadens the professional experience and knowledge of the faculty members/scientists and thus makes them better educators. In addition, it also functions as a tool for contributing to the national economic growth.

There is also an Institutional Ethical Committee for Human Research which ensures that quality and consistent review mechanism for health and biomedical research is put in place for the proposals as prescribed by the ethical guidelines for biomedical research on human subjects by ICMR.

In compliance with rules 1989, an Institutional Biosafety Committee (IBSC) has also been constituted for implementation of the biosafety regulatory framework as per the Department of Biotechnology, Govt of India guidelines. The IBSC holds its meeting regularly for the evaluation of proposals related to DNA technology involving the GE and non-GE hazardous microorganisms in an organization.

Further, one of the strategic goals of Amity University Rajasthan (AUR) is 'Entrepreneurial Learning'. The university has the belief that innovation and entrepreneurship are critical to address the challenges and problems being faced by all sections - industry, academia, policy makers and civil society. The university encourages innovation and entrepreneurship amongst all constituents - students, staff, and faculty.

The centres of excellence in various domains are established for optimum use of R&D resources for multidisciplinary research. In addition, many inter/intra university research clusters are identified to promote cross-cutting research. The University established the following centres of excellence to promote cutting edge research on various disciplines.

1. **Centre for Mycobacterial Disease Research (ACMDR)** is established with the objectives to become a nodal centre for surveillance of different mycobacterial diseases and develop a point of care diagnostics for mycobacterial infections. It also works in development of preventive & therapeutic vaccines for mycobacterial infections.

2. **Amity Centre for Ocean, Atmospheric Science and Technology (ACOAST)**, is instituted to extend independent research in Ocean & Atmospheric Sciences and cater to the operational needs of the national weather services and other relevant organizations on the state of the atmosphere and ocean for their operations.

3. **Amity Centre for Positivism and Happiness (ACPH)** is established with the aim to promote awareness of Positivism and Happiness.

4. **Yunus Social Business Centre (YSBC)** is established with the objectives to foster value creation in agriculture, education, and services; identify employment and wealth-generating avenues in rural areas across agri/horti/pisci-culture based on micro-climate and economic factors. The centre conducts various capacity-building programmes for successful start-ups and scaling-up of new social ventures.

5. **Amity Centre for Water Studies and Research (ACWSR)** is established to stimulate research with a converging perspective of science, technology, and engineering. ACWSR works as a consultant organization to offer solutions to water-related issues.

  
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**6. Amity Centre for Nanobiotechnology and Nanomedicines (ACNAN)** is set up to address the development of advanced multifunctional nanomaterials and nanocomposites; understand the fundamentals of Nano-Bio interface; and offer solutions for applications in the management of MDR bacteria, nanomaterials-mediated drug & gene delivery, biosensors, and medical devices.

In pursuance of the research policy of the university, the following documents are attached:

**Annexure I. Regulations for Doctor of Philosophy (Ph.D.) Degree**

**Annexure II. Research Board**

**Annexure III. Guidelines for Participation in Conferences**

**Annexure IV. Consultancy Guidelines**

**Annexure V. Seed Money Grant**

**Annexure VI. Innovation and Entrepreneurship**

**Annexure VII. Institutional Biosafety Committee**

**Annexure VIII. SOP for Human Research**

**Annexure IX. Plagiarism guidelines**

**Annexure X. Faculty Incentive Scheme**

  
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## ANNEXURE I: REGULATIONS FOR DOCTOR OF PHILOSOPHY (Ph.D.) DEGREE

### 1. Preamble

#### REGULATIONS FOR DOCTOR OF PHILOSOPHY (Ph.D.) DEGREE

Regulations for Doctor of Philosophy (Ph.D.) Degree is framed in accordance with UGC (Minimum standard & Procedures for the Ph.D. degrees) Regulations 2016 and its amendments in 2018.

All the Schools/Centres/ Institutions of Amity University, Rajasthan, Jaipur shall be eligible to offer Ph.D. Programs. None of the Schools/Centres/Institutions shall be allowed to conduct any Ph.D. Program through Distance Mode.

Ph.D. degrees which are pursued either full time or part time as will be treated as degrees awarded through regular mode as per the U.G.C. letter. F.No. 20-1/2014 (PS) dated 17 March 2017.

### 2. Definitions

1. **Candidate:** shall mean a person admitted to the Ph.D. Program.
2. **Registered candidate:** shall mean a candidate registered to the Ph.D. program after the approval of SRDC.
3. **SRDC:** shall mean School (school/institute/centre) Research Degree Committee.
4. **SRAC:** shall mean Student Research Advisory Committee.
5. **Research supervisor:** shall mean a member of academic staff (Assistant Professor, Associate Professor, Professor, Emeritus Professor, Distinguished Professor and Director) of School/Institute/Centre of the University approved by the SRDC as per the guidelines.
6. **Co- Supervisor:** shall mean an additional supervisor from an organization approved by SRDC to help in accomplishment of the research work of the candidate.
7. **Course work:** shall mean Course Units prescribed by the University to be completed by a candidate towards fulfilment of requirements of Ph.D. degree program.
8. **Full Time Candidate:** shall mean a candidate registered for Ph.D. degree Program devoting full time for completing the requirements of the programme.
9. **Part Time Candidate:** shall mean a candidate who is registered for Ph.D. Degree Program as a part time while discharging his/her official employment obligation.
10. **HOI:** shall mean the Head of University Teaching Institute /School/Centre/Department of the University.
11. **Enrolment:** The enrolment no. shall be generated by the University on deposition of the Ph.D. admission fee by the Candidate.
12. **Duration of Ph.D. Program:** Shall mean the length of time spent from the date of enrolment for Ph.D. Programme.

### 3. Ph.D. Program offered :

  
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Amity University Rajasthan, Jaipur Provides following two types of Ph.D. Programs.

**3.1 Full time Ph.D. Program.**

In full time Ph.D. Program, the candidate shall be required to remain present in the School/Institution/Centre till the submission of his/her Ph.D. Thesis. He/she may be required to undertake up to 6 hours per week of academic work as assigned by the HOI/Director/Coordinator of the School/Centres/Institution besides the Course work and Ph.D. work. Such registered candidates are eligible to receive assistance ship or fellowships/scholarship from CSIR/UGC/ICMR/ICSSR/ or Amity University/or any other funding agency.

**3.2 Part time Ph.D. Program.**

In part time Ph. D. Program, the candidate is supposed to be sponsored by National or International level of Public sector undertaking /Research and Development organization/Private organizations/Industries/ service sectors/Educational Institutions and any other state and central Government organizations, where adequate infrastructure exists for carrying out research work. All such Candidates shall have to remain at least one semester in the concerned School/Institutions/Centre for carrying out the requisite Course work as per the UGC norms prescribed by the University. This also includes the teaching and non teaching employees of AUR, Rajasthan.

**4. Notification for Ph.D. Programs**

The notification for admission to the PhD. (Full time or Part time) Programs of different Schools/Centres/Institutions shall be put on the University Website [www.amity.edu] and/or through advertisement in at least two national news papers of which at least one shall be in the Hindi Language twice in a year, which includes the details of Ph.D. Programs that is the subjects in which Ph.D. Programmes are available, the disciplines, area of research in which research facility and research guides are available, criteria for admission, admission procedure, examination centres where the entrance test shall be conducted and any other relevant information for the benefit of the candidates/applicants.

**5. Eligibility Criteria for Admission to the Ph.D. Programs**

The following candidates are eligible to seek admission to the Ph.D. (full time or part time) programs in Amity University, Rajasthan, Jaipur.

**5.1** Candidates for admission to the Ph.D. Programs shall have a masters degree or a professional degree declared equivalent to the Master's Degree by the statutory, regulatory body with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC- 7 point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational institution accredited by an Assessment and Accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under the law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.

**5.2** Candidates who have cleared the M. Phil by course work with at least 55% marks aggregate or its equivalent grade 'B' in the UGC-7 – Point scale (or an equivalent grade in a point scale wherever grading system is followed ) and successfully completing the M.Phil. Degree shall be eligible to proceed to do research work leading to the Ph.D. Degree in the same Institution in an integrated program. A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC (non-creamy layer)/differently-abled and other categories of candidates.

  
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- 5.3 Candidates who have cleared the course work from other university (within 3 years till the date of admission at AUR) leading to the Ph.D. Degree shall be eligible to proceed to do research work leading to the Ph.D. Degree directly provided that a Ph.D. Course Work Equivalence Committee headed by Dean Research, Head of the concerned department and one President's Nominee has recommended and President has approved its recommendations.
- 5.4 A person whose M.Phil. dissertation has been submitted/evaluated and the viva - voce is pending may be admitted to the Ph.D. Program of the same Institution;
- 5.5 Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, from a Foreign Education all institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph.D. programs.
- 5.6 Notwithstanding anything contained in the above mentioned rules (5.1) to (5.4), the eligibility criteria/guidelines prescribed or issued by UGC from time to time shall be applicable for admission to all Ph.D. Programmes of the University.

**Note - The University may permit inter-disciplinary Ph.D. Programs.**

## **6. Procedure for Admission**

- 6.1 Eligible candidate seeking admission for Ph.D. Programs must on the prescribed application form available on the University Website. The duly completed application form with the prescribed fee shall be submitted online to the University on or before the notified date.
- 6.2 The hard copy of the duly filled application form shall be submitted to the office of the Dean Research accompanied by the following duly attested documents/certificates.
- (i) Documents supporting all academic qualifications (secondary/High school/Higher secondary/Intermediate/ (10+2)/graduate/post graduate, Diploma/ M. Phil etc.) Self attested copies of mark sheets/grade sheet and related degree certificate.
  - (ii) Date of birth certificate preferably high school certificate.
  - (iii) Identity proof (copy of Aadhar card or Pan Card or passport or voter ID).
  - (iv) Documents supporting his/her previous work experience, if any
  - (v) Prescribed application fee, receipt, as applicable
  - (vi) No objection certificate (NOC) from the employer, in case the candidate is employed.
  - (vii) Migration certificate.
  - (viii) Caste (ST/SC/OBC (Non creamy layer\*) Certificate issued by competent authority.
- \*Certificate should not be older than 6 months.
- (ix) Differently-abled categories certificate (if any) issued by competent authority.
- 6.3 All the eligible candidates will be called for an entrance test on the prescribed date and time by the University and the entrance test shall be conducted with qualifying marks as 50%. A relaxation of 5% of marks (from 50% to 45%) shall be allowed for the candidates belonging to SC/ST/OBC (non-creamy layers)/Differentially-abled category in the entrance examination conducted by the university (minimum standards and procedure to award of M. Phil/Ph.D. Degrees, 1<sup>st</sup> amendment, UGC Regulations, 2018). The syllabus of the entrance test shall consist of 50% research methodology and 50% shall be subject specific. The entrance test shall be conducted at the Amity University, Rajasthan, Jaipur only.

  
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After qualifying the entrance test a personal interview of the candidates shall be conducted by the University, where the candidates shall be required to discuss his/her research interest/area. The interview shall also consider the following aspect, viz, whether

- (i) The candidate possesses the competence for the proposed research;
- (ii) The research work can be suitably undertaken at the Institution/School/ Centre.
- (iii) The proposed area of research can contribute to new/ additional knowledge.

A weightage of 70% to the entrance test and 30% to the performance in the interview/viva-voce shall be given (minimum standards and procedure to award of M.Phil/Ph.D. Degrees, 2<sup>nd</sup> amendment, UGC Regulations, 2018).

**Note:** The candidates who have qualified UGC/CSIR (JRF of LS) examinations/NET/SLET/GATE or are holder of teacher fellowship or have passed M.Phil Degree (through course work) from a recognized University are exempted from the University entrance written test. However, they shall be required to appear for personal interview before the committee on the date notified by the University. Exemption to NET/SLET/GATE candidates will be valid for two years only.

6.4 All the eligible candidates of foreign nationality may be examined through SKYPE (online mode) by a selection board of experts appointed by the president of the University.

### **7. (School/Centre/Institute) Research Degree Committee (SRDC) and its functions**

#### **7. The SRDC shall consist of the following members**

1. Dean/Director/HOI/Coordinator of the concerned School/Centre/Institute: Chairperson
2. Dean Research or his Nominee: Member
3. Faculty member – (One) Professor/Associate Professor/Assistant Professor (other than research supervisor) having the knowledge of research area of the candidate :Member
4. Research Supervisor /Co-Supervisor :Member
5. Two subject experts (Professor/Associate professor/Senior scientist or equivalent) from any University/Institution, other than Amity University Rajasthan, to be nominated by the President from the panel of experts submitted by the concerned Director/HOI/Coordinator :Member
6. Ph. D. Coordinator of concerned department: Member Secretary

**Note:** At least three members form the quorum for the meeting of the SRDC. However, presence of at least one external subject expert is essential for holding the SRDC meeting.

#### **7.2 Functions of SRDC:**

7.2.1 SRDC shall examine the preliminary synopsis of the proposed Ph.D. program for registration and shall give specific recommendation on the following:

- The topic and the synopsis is approved
- Submit the synopsis again after incorporating the changes suggested by SRDC
- Resubmit the proposal for the next SRDC after incorporating the major suggestions of SRDC
- Reject the proposal and submit a fresh proposal

7.2.2 Recommendation of change of Supervisor if necessary

7.2.3 Approval of change of title/topic of research, if required

7.2.4 Recommendation of change of work place by the candidate, if required.

7.2.5 Recommendation to change from fulltime to part time or vice-versa within 6 months of enrolment of Ph.D.

7.2.6 Approval of Research Supervisor(s) as per the guidelines.

  
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7.3 The minutes of the SRDC meeting shall be submitted to the office of Dean Research for the approval of the President and subsequent ratification by the Academic council. (Annexure -1)

7.4 There shall be a University Research Board. The composition of the Research Board shall be as follows:

- (i) Chairperson (President)
- (ii) Representation of the Ethical Committee for Human research
- (iii) Representation of each University Teaching Department
- (iv) Dean
- (v) Registrar
- (vi) Member Secretary

One-third of the total members of the Research Board shall form the quorum.

### **8. Student Research Advisory Committee (SRAC) and its functions:**

**8.1 The SRAC shall consist of the following members:**

1. Research supervisor..... Convener
2. One expert faculty member..... Member
3. Dean Research or his nominee
4. Respective Director or his nominee

**Note: The quorum of the committee shall be 3 members**

### **8.2 Functions of SRAC :**

8.2.1 This committee shall have the responsibility to review the research proposal and finalize the topic of research to be submitted to the SRDC;

8.2.2 To guide the research scholar to develop the study design and methodology of research and identify the course(s) required for the Ph.D. Program.

8.2.3 To periodically review and assist in progress of research work of the scholar.

8.2.4 A research scholar shall appear before the SRAC once in every six months to make a presentation of the progress of his/her work for evaluation and further guidance. The six monthly progress reports shall be submitted by the Research Advisory Committee to the Institute/Centre/School with a copy to the research scholar and same may be forwarded to the office of Dean Research Amity University, Rajasthan.

8.2.5 In the event when a research scholar fails to appear before the SRAC and submit the six monthly progress reports consecutively on 2 occasions for full time Scholars and on 3 occasions for part time Scholars, his/ her PhD registration may be cancelled through SRDC. In case the progress of the research scholar is not satisfactory, the SRAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the SRAC may recommend the cancellation of registration of the research scholar with specific reasons.

### **9. Allocation of Research Supervisor**

#### **Eligibility criteria to be a research supervisor and Co-supervisor**

9.1 Any regular Professor (including Emeritus or Distinguished Professor) of the University with Ph.D. and at least five research publications in refereed journals and any regular Associate/Assistant Professor of the University with a Ph.D. Degree and at least two research publications in refereed journals may be recognized as Research Supervisor.

  
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- Provided that in areas, disciplines wherever there is no or only a limited number of refereed journals, the President may relax the above condition for recognition of a person as Research Supervisor.
- 9.2 Only a full time regular faculty member of the University can act as a supervisor, the external supervisors are not allowed. However, co-Supervisor can be allowed in inter- disciplinary areas from other/same School/Institute/Centre of the same University or from other related institution with the approval of the SRDC.
- 9.3 The allocation of Research Supervisor for a selected research scholar shall be decided by a committee consisting of Director /HOI/Coordinator, one senior faculty and one or more other faculty members of specific research area of the candidate for each School/Institution/Centre concerned. Allocation shall depend on the number of scholars per Research Supervisor, the available specialization amongst the faculty and research interest of the scholar.
- 9.4 In case of topics, which are of inter-disciplinary nature where the Department concerned feels that the expertise in the School/Institution/Centre has to be supplemented from outside, the School/Institution/Centre may appoint a Research Supervisor and a Co-Supervisor from outside the university on the conditions that the supervisor shall submit his/her bio data and an undertaking/acceptance/consent for supporting the scholar in his/her research area.
- 9.5 A retired Professor/Associate Professor/Senior Scientist or equivalent in the concerned subject, if approved by the SRDC shall also be permitted to act as a co-supervisor.
- 9.6 A person can act as a Co-Supervisor only after being approved by the SRDC.
- 9.7 A Research Supervisor/ Co-supervisor who is a Professor, at any given point of time, cannot guide more (8) Ph.D. scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (6) Ph.D. scholars and an Assistant Professor as Research Supervisor can guide up to four (4) Ph.D. scholars.
- 9.8 A suitable external Co-supervisor, i.e. outside Amity University Rajasthan, is desirable for each Ph.D. scholar. The external co-supervisor should be from a University / Institution / Research organization / corporate House / Industry of repute from India or abroad.

## 10 Duration of Ph.D. Programs

- 10.1 Ph.D. program shall be for a minimum duration of three years work and a maximum of six years including the course work from the date of enrolment to Ph.D. program for the full time Ph.D. Scholars.
- 10.2 Ph.D. Program shall be for a minimum duration 4.5 years and maximum of 7.5 years including the course work from the date of enrolment to Ph.D. program for the part time Ph.D. Scholars.
- 10.3 The above duration of Ph.D. program can be extended by one year by the President under special and genuine circumstances on the recommendation of the supervisor. No further extension shall be granted and the registration to Ph.D. shall stand cancelled after the expiry of 7 years for full time Ph. D. Scholar and 8.5 years for part time Ph.D. Scholar automatically.
- 10.4 The President may permit a candidate to get re-registered on the same topic on payment of a re-registration fee as decided by the University from time to time for a further period of two years. The requirement of regular attendance shall not be applicable to such re- registered candidates. In such a case, the candidate shall have to apply to the University, through the HOI/Director/Coordinator of the School/Institution/Centre one month before the expiry of the last extension period. If the candidate is unable to submit his/her thesis in the stipulated period his/her registration for Ph.D. shall stand automatically cancelled and the University shall not be bound to inform the candidate about the cancellation of registration.

  
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10.5 The women candidates and persons with disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided maternity leave/child care leave once in the entire duration of Ph.D. for up to 240 days.

**Note -1:** Application for an extension can only be considered if it has been recommended by the Research Supervisor through HOI/Director/Coordinator of the School/Institution/Centre.

**Note -2:** Extension of period after 6/7.5 years respectively for full time/part time Ph. D. Scholars shall not be automatic. Application for extension shall be considered if recommended by the Research Supervisor and then submitted to the office of the Director/HOI/Coordinator of the concerned school/Institution /Centre, 4-6 months prior to the date or expiry of the said period.

## 11 Prerequisite for Ph.D. Synopsis

- 11.1 Course work: All the candidates admitted to the Ph.D. program shall be required to complete the course work prescribed by the University during the initial one or two semesters.
- 11.2 The credit assigned to the Ph.D. course work shall be 12 credits, with three credits each assigned to the Research Methodology, Review of Literature. Other two courses each of the credits shall be advanced level courses of the relevant field/subject/interdisciplinary areas as the case may be to prepare the research student for Ph.D. degree-
- 11.3 A candidate has to obtain a minimum of 60% marks or B+ grade in the Course work in order to be eligible to continue in the program.
- 11.4 Candidates already holding M.Phil. Degree (through course work) and admitted to the Ph.D. program, or those who have already completed the course work in M.Phil and have been permitted to proceed to the Ph.D. in integrated course, may be exempted by the University from the Ph.D. course work. All other candidates admitted to the Ph.D. programme shall be required to complete the Ph.D. course work of 12 credits prescribed by the University.
- 11.5 Maximum number of attempts allowed for Ph.D. course work shall be two. If a candidate fails in both the attempts then his/her admission to Ph.D. program shall be cancelled. The candidate may be permitted to take re-admission in the Ph.D. program. One more attempt may be granted by the President under special circumstances.
- 11.6 Attendance of the candidate in the Ph.D. course work shall be monitored in the same way as per ordinance for U.G. and P.G. courses of the University. If a candidate does not fulfil the attendance as per requirement then he/she shall be debarred from appearing in the examination.

## 12 Evaluation of Ph.D. course work

12.1 There are four courses for each candidate out of which three are compulsory and two are area specific provided by the School/Institute/Centre of the University.

Course	Subject	Credits	Marks
Course I	Research Methodology (compulsory)	3	100
Course II	Review of Literature (compulsory)	3	100
Course III	Research & Publication Ethics (CPE – RPE) (Compulsory)	2	100
Course IV	Advance level courses of the relevant field./subject	3	100
Course V	Advance level course of the relevant field/subject	3	100

  
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12.2 Evaluation of the courses will be through continuous assessment and end semester written examination in the ratio of 50:50 respectively. Result will be prepared as per the university examination system. (Annexure -2)

12.3 The candidate has to obtain a minimum of 60% marks or B+ grade in the course work or as applicable from time to time. After completion of Ph.D. course work a candidate is authorised to submit his/her provisional synopsis in consultation with his/her supervisor to the Centre/School/Institute. After approval of the synopsis by the SRDC, the candidate shall be treated as registered research scholar. (Annexure - 3)

### **13. Progress Report**

13.1 The candidate shall give the presentation of his/her research work to SRAC and submit a progress Report (Annexure-4) every 6 months to the Office of Dean Research through the HoI.

13.2 The progress report shall be signed by the candidate, SRAC Members and Director/Coordinator/HOI of Centre/School/Institute.

13.3 The progress report duly signed by the candidate and the supervisor of the candidate working out of the country shall be submitted to the University after on line presentation (SKYPE) of the research work, by the candidate

### **14. Place of work**

14.1 The School/Centre/Institute in the University shall be the place of work for the full time candidates.

14.2 In case of a part time candidate, Research Laboratory Institution/University/Industry/Centre where the candidate works or the co supervisor works and which has the required research facilities and there is formal permission to use the laboratory by the student of his/her research work, can also be the place of work in addition to the University (AUR), subject to approval of SRDC.

**Note:** In case the candidate or the Co-supervisor changes his/her work place, the new work place of the candidate may also be changed to the new work place of the candidate or the co supervisor, the candidate is required to seek prior approval from the SRDC for any such change.

### **15. Change of supervisor : (Annexure -5)**

15.1 The change of Research Supervisor can be permitted by the President on the recommendation of SRDC on production of the No Objection certificates (NOC) from the earlier supervisor for the Ph.D. Scholar. The condition of NOC may be waived by the president under special circumstances.

15.2 President on the recommendations of the SRDC may permit the Research supervisor who has left the University or has retired from the University service, to continue as the supervisor, provided that i) the SRDC of the Scholar has been conducted and the synopsis approved, ii) the total tenure of the Scholar in his/ her guidance is half of the minimum prescribed period required for the submission of the Ph.D. thesis. Further, he/she may be allowed to continue as the Co-Guide of the Scholar.

15.3 In case of non-availability of the co-supervisor for any reason, the President, on the recommendations of the SRDC, can either permit another Co-supervisor or allow the candidate to work and submit the thesis under the Research Supervisor alone.

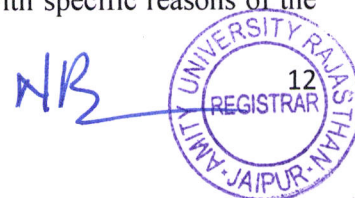
### **16. Cancellation of Registration:**

16.1.1 The registration of a candidate to a Ph.D. Program may be cancelled automatically, on the expiry of the period of extension granted by the President for the maximum time allowed under clause 10 as the case may be, in case the extension has not been sought from the President.

16.1.2 If the candidate is found involved in an act of gross indiscipline, unlawful activities, plagiarism and/or any such activity that may endanger the peace in the University campus.

16.1.3 The progress of the research scholar is unsatisfactory and the SRDC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the SRDC may recommend to the University through HoI with specific reasons of the cancellation of the registration of the research scholar.

  
Dean Research  
Amity University Rajasthan Jaipur





16.1.4 The Ph.D. registration shall automatically be cancelled in those cases where the candidate has failed to deposit the prescribed fees in time.

### **17. Submission of Thesis (Annexure - 6)**

17.1 Ph.D. scholar must publish at least 2 (two) research papers in refereed journal (with ISSN No.) and make two research paper presentation in symposium/conference/seminar before the submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificate and /or reprints. The published papers shall preferably be indexed in SCOPUS or Web of Science Journals.

17.2 The Pre-Thesis submission presentation may be conducted by the HOI in consultation with the supervisor not before 3 months of expected final submission of the thesis.

17.3 The Pre-Thesis submission presentation (Pre – Ph.D.) in the School/Institute/Centre shall be open to all faculty members and research scholars, for getting feedback and comments, which may be suitably incorporated into the draft thesis under the advice of the Supervisor (Annexure -7).

17.4 The Director/HOI/Coordinator of the Concerned School/Centre/Institute shall constitute a committee, including the supervisor(s) who will formally submit the report on the performance of the candidate in the pre-submission presentation. The candidate can submit the thesis to the University after incorporating the modifications/suggestions made by the above committee, if any. The Supervisor shall certify that the modifications/suggestions made by the above committee have been duly incorporated.

17.5 For detecting plagiarism and maintain the academic honesty University follows the guidelines provided by UGC. The research scholar has to submit an undertaking about originality of the work and that the work has not been submitted for the award of any other degree/diploma of the same institution where the work was carried out, or any other institution (Annexure -8A). A certificate to this effect must be submitted by the Candidate as per AUR Plagiarism policy (Annexure-8B).

17.6 The candidate shall submit the following documents at the time of submission of the Ph.D. Thesis to the University:

17.6.1 PDF file of the thesis & summary of the thesis shall be submitted to the Dean Research, Amity University, Rajasthan for further action.

17.6.2 The thesis shall also be accompanied by

(a) A certificate from the candidate (Annexure -9).

(b) A certificate from the supervisor (Annexure - 10).

(c) An appendix at the end of the thesis containing reprints of his research papers already published.

(d) Self attested photocopies of the published research papers or acceptance letters of at least 2 research papers in Scopus listed/Web of Science/UGC recommended journals.

(e) Evidence of two research papers presented in the Conference/Seminar/Symposium

(f) List of communicated research papers (Editors acknowledged) along with author(s) name(s), name of the Journal to which the paper has been communicated and the date of communication.

17.6.3 A copy of the receipt of applicable examination fee, along with no dues certificate. (Annexure-11)

### **18. Evaluation and assessment of the Ph.D. thesis**

18.1 The Ph.D. supervisor shall inform about the School/Institute/Centre to the office of the Dean Research, Programme about the intent to submit the thesis two months before its submission along with

i. Three copies of the summary of the thesis.

  
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Amity University Rajasthan Jaipur





- ii. Names and contact details with email addresses, and mobile nos. of at least eight examiners, not below the rank of Associate Professor, in the research area of the candidate, in a sealed envelope. The list may also include at least two names of examiners from outside India. In exceptional cases where the availability of examiners from outside India is not feasible, the President may relax this condition. In such cases all the eight examiners suggested by the supervisor may be from India. The examiners suggested by the supervisor may not be more than two from any one state of the country.

**Note:** The name of any close relative of the candidate or of the supervisor shall not be included in the panel of examiners.

**18.2** From this panel, the President shall appoint two examiners; preferably one of the examiners is from outside the country, wherever possible.

**18.3** The Ph.D. thesis submitted by research scholar is evaluated by his/her supervisor and two external examiners who are not in employment of the University appointed by the President.

**18.4** The viva voce examination based among other things, on the critiques in evaluation report shall be conducted by the research supervisor and one of the two external examiners including all the queries raised by both external examiners, the research supervisor and at least one of the two external examiners, and shall be open to all faculty members of School/Centre/Institution, other research scholars and other interested experts/ researchers.

**18.4** The examiners would be requested to submit the evaluation report within one month of the receipt of the thesis. In case of any undue delay by any external examiner, the President may appoint an alternate examiner(s) from the list of already suggested examiners after due intimation to the existing examiner(s).

**18.5** For awarding the Ph.D. degree the thesis must comply with the following conditions:

**18.5.1** It must be a piece of research work characterised either by the discovery of new facts/new knowledge or by fresh approach towards the interpretation of the existing facts/knowledge or theories. In either case, it should provide evidence for the candidate's capacity and capability to make critical examination and sound judgement.

**18.5.2** It must be satisfactory in language and presentation of the subject matter.

**18.6** The examiners shall specifically report on the prescribed Performa whether the thesis is: (Annexure -12)

- i. Approved as it is,
- ii. Approved after minor revision,
- iii. Be resubmitted after major revision with
  - a) Major rewriting and/or
  - b) Some extra work,

**The examiners shall also answer the following:**

- a) Do you agree to re-evaluate the revised thesis? (Yes/No)
- b) If re- evaluation is not needed, should the candidate be allowed to appear in the viva-voce examination with the revised thesis? (Yes/No)

iv. Rejected (In such a case, the Examiners should clearly mention the reason(s) for rejection)

**18.6.1** If external two examiners clearly recommend for the viva-voce examination and award of the degree, then the Ph.D. Viva-voce examination shall be held.

**18.6.2** If one examiner recommends for the viva voce examination and other one suggest modifications, or all the two examiners suggest modifications, then the candidate shall be asked to re-submit the thesis within one year from the date of communication after revising it in the light of modifications suggested by the examiner(s). The revised thesis shall be sent to the examiner(s) who suggested modifications and accepted to re-evaluate the thesis, for final opinion. If at least two of the examiners recommend for viva-voce examination and award of degree, then Ph.D. viva-voce

  
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Amity University Rajasthan Jaipur





examination will be held. Otherwise the President may refer the case to a high level committee. The decision of the committee will be final.

- 18.6.3** In case, the thesis is recommended by the examiners with minor modifications, the same shall be incorporated in the thesis before the viva-voce examination.
- 18.6.4** The final hardbound five copies of the thesis, after incorporating the modifications/suggestions given by the examination(s) shall be submitted to the office of the Dean Research. Programme before the viva voce examination.
- 18.6.5** In case the thesis is recommended, an open viva-voce examination of the candidate shall be held by the viva-voce Board comprising of
- i. One External Examiner who will be one of the thesis examiners. (The name of the external examiner shall be approved by the President)
  - ii. Director/ HOI/Coordinator of the concerned School/Centre/Institute/
  - iii. Supervisor(s)
- 18.6.6.** The date, time and venue of viva-voce examination shall be notified by the Office of Dean Research and the copies of the reports of the Examiners will be provided to the supervisors in a sealed envelope at least one week in advance. At the time of via-voce examination, the Viva voce Board shall be provided copies of the reports of the examiners.
- 18.6.7** The candidate shall present the work embodied in the thesis before the viva voce board, members of faculty, research scholars and other persons interested in the subject. After presentation of the research work, the members of the viva voce Board shall ask questions together with the questions, raised in the examiners reports.
- 18.6.8** The viva-voce Board shall take a final decision and a clear verdict whether the candidate be awarded the Ph.D. degree or be asked to reappear for viva – voce examination once again. In case of the second verdict, the candidate shall be required to re appear for via-voce before the same Board, on a date to be decided by the university.
- 18.6.9** After the formal viva –voce examination is over; the members of the audience may also ask questions.
- 18.6.10** After the Ph.D. Viva voce examination is over the five hard copies of the thesis shall be dispatched as per (Annexure -14)

#### **19. Award of Ph.D. Degree**

- (a) After successful completion of the viva-voce examination, the candidate shall be awarded Ph.D. degree after the approval of the Board of Management (BOM).
- (b) The award of Ph.D. degree can be withdrawn by the University in case the thesis submitted by the candidate is found to be duplication of an old work or pirated research work.

#### **20. Appearing in any other Examinations:**

No research scholar shall join any other course of study or appear at any other examination conducted by any University leading to a degree (except Certificate Course of Languages, Research Methodology, Statistics, computer courses etc).

#### **21. Publication of Thesis:**

The approved thesis shall be published only after obtaining permission from the University and such publication shall state on the title page itself that this was a thesis approved for the award of the Ph.D. Degree of the University.

#### **22. Provisional Degree**

The candidate may be issued a Provisional certificate by the Registrar after successful completion of the examination procedure in accordance with the provisions of the UGC (Minimum Standards and Procedure for awards of Ph.D. Degree) Regulations 2016 and after the President approves the recommendations of the Viva-Voce Board. (Annexure -13)

#### **23. Depository with UGC**

  
Dean Research  
Amity University Rajasthan Jaipur



After the successful completion of the evaluation process and announcement of the Ph.D. degree award in convocation, the Dean Research shall submit a soft copy (in the form of CD/DVD) of the Ph.D. thesis to the UGC within a period of 30 days of hosting the same in INFLIBNET to be made accessible to all Institutions/Universities.

**24. Other Explanations**

- 24.1 Notwithstanding anything contained in the Ph.D. Regulations AUR, all the Ph.D. candidates/research scholars shall be governed by the rules and procedures prevailing at the time of registration.
- 24.2 Notwithstanding anything stated in the Ph.D. Regulations AUR, of any unforeseen issues arising, and not covered by the Ordinance, or in the event of difference of interpretation, the decision of the President of the University (AUR) shall be final.

  
Dean Research  
Amity University Rajasthan Jaipur





## ANNEXURE II : Research Board



# AMITY UNIVERSITY RAJASTHAN

Kant Kalwar, NH-11-C,  
Jaipur (Rajasthan) 303002  
Tel: 01426-405678,  
Fax: 01426-405679

No. : AUR/REG/3911

Date : 08/01/2020

### Research Board

As per the 'Model Statutes of Private Universities' to be applicable to all Private Universities the 'Research Board' has been defined as 'Other Statutory Authorities'. Hence, to comply with the mandate of the Statutes, the 'Research Board' is constituted as below in accordance with the laid down composition and terms of office.

1. The Research Board shall consist of the following, namely :

#### Chairperson

1. Prof. Arun Patil President

#### Members

#### Pro-President

2. Prof. Amit Jain

#### Chairman of the Ethics Committee

3. Prof. P.V.S. Raju

#### Representation of each University teaching Department

4. Prof. Anurag Varma	Amity School of Architecture & Planning (ASAP)
5. Prof. Saroj Bohra	Amity Law School (ALS)
6. Prof. Sanjeeb Pal	Amity School of Hospitality (ASH)
7. Prof. Ajay Jain	Amity Institute of Biotechnology (AIB)
8. Prof. Jagdish Prasad	Amity School of Applied Sciences (ASAS)
9. Dr. Pankaj Kumar Pandey	Amity School of Engineering & Technology (ASET)
10. Dr. Udai Bhan Singh	Amity Business School (ABS)
11. Dr. Dipa Chakrabarti	Amity School of Languages (ASL)
12. Dr. Swapnesh Taterh	Amity Institute of Information Technology (AIIT)
13. Dr. Jayati Sharma	Amity School of Communication (ASCo)
14. Dr. Vismita Paliwal	Amity Institute of Behavioural & Allied Sciences (AIBAS)
15. Dr. Sambaditya Raj	Amity School of Fashion Technology (ASFT)
16. Dr. Gautam Kumar Sinha	Amity School of Liberal Arts (ASLA) / Amity School of Fine Arts (ASFA)
17. Dr. Jagdip Singh Sohal	Amity Institute of Microbial Technology (AIMT)

#### Dean

18. Prof. G. K. Aseri Dean - Academics

#### The Registrar

19. Dr. Nitin Bhardwaj Registrar

#### Member Secretary

20. Prof. Vinay Sharma Dean - Research

2. One-third of the total members of the Research Board shall form the quorum. In the absence of the President, the Pro-President shall preside at the meeting.



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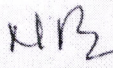


# AMITY UNIVERSITY

## RAJASTHAN

Kant Kalwar, NH-11-C,  
Jaipur (Rajasthan) 303002  
Tel: 01426-406878,  
Fax: 01426-406879

3. The recommendations of the Research Board shall be submitted to the Academic Council for its consideration.
4. The Research Board shall meet at least twice in one academic session.
5. The Research Board shall perform the following functions, namely :
  - (a) to recommend the names of qualified teachers from post graduate departments of the University who are eligible for guiding research work as per prevailing UGC Regulations;
  - (b) to suggest process of registration for Doctoral Degrees through entrance examination as specified in prevailing UGC Regulations;
  - (c) to suggest ways to maintain quality and relevance of research and to ensure prevention of plagiarism,
  - (d) to suggest mechanism to ensure compliance of prevailing UGC Regulations regarding M.Phil. and Ph.D. Degrees, and
  - (e) to perform such other functions, as may be assigned to it by the Board of Management or the Academic Council with regard to the maintenance of standards and promotion of research.
  - (f) to devise/develop and review all research related guidelines and policies.
  - (g) to vet and recommend all the Research Projects for onward submission to the agencies for grants.
  - (h) to maintain and continuously update the research data related to Patents/Projects/Grants/Publications etc.
6. The existing Directorate of Research and Publication (DR&P) stands dissolved and henceforth all activities being carried out under DR&P including updation on ARIZONE, shall be carried out under the Dean Research Office in consultation with Research Board.

  
Dr. Nitin Bhardwaj  
Registrar



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# AMITY UNIVERSITY

## RAJASTHAN

Kant Kalwar, NH-11-C,  
Jaipur (Rajasthan) 303002  
Tel: 01426-405678,  
Fax: 01426-405679

No. : AUR/REG/5009

Date : 09/12/2020

### Research Board

As per the 'Model Statutes of Private Universities' to be applicable to all Private Universities the 'Research Board' has been defined as 'Other Statutory Authorities'. Hence, to comply with the mandate of the Statutes, the 'Research Board' is re-constituted as below in accordance with the laid down composition and terms of office.

1. The Research Board shall consist of the following, namely :

#### Chairperson (Acting)

1. Prof. Amit Jain Pro-President

#### Members

##### Chairman of the Ethics Committee

2. Prof. P.V.S. Raju

##### Representation of each University teaching Department

3. Prof. Anurag Varma Amity School of Architecture & Planning (ASAP)
4. Prof. Saroj Bohra Amity Law School (ALS)
5. Prof. Sanjeeb Paf Amity School of Hospitality (ASH)
6. Prof. Rajesh S. Prasad Amity School of Engineering & Technology (ASET)
7. Prof. Ajay Jain Amity Institute of Biotechnology (AIB)
8. Prof. Jagdish Prasad Amity School of Applied Sciences (ASAS)
9. Prof. Anand Prakash Amity Institute of Clinical Psychology
10. Dr. Udai Bhan Singh Amity Business School (ABS)
11. Dr. Dipa Chakrabarti Amity School of Languages (ASL)
12. Dr. Swapnesh Taterh Amity Institute of Information Technology (AIIT)
13. Dr. Jayati Sharma Amity School of Communication (ASCO)
14. Dr. Vismita Paliwal Amity Institute of Behavioural & Allied Sciences (AIBAS)
15. Dr. Sambaditya Raj Amity School of Fashion Technology (ASFT)
16. Dr. Gautam Kumar Sinha Amity School of Liberal Arts (ASLA) / Amity School of Fine Arts (ASFA)
17. Dr. Jagdip Singh Sohal Amity Institute of Microbial Technology (AIMT)

#### Dean

18. Prof. G. K. Aseri Dean - Academics

#### The Registrar

19. Dr. Nitin Bhardwaj Registrar

#### Member Secretary

20. Prof. Vinay Sharma Dean - Research

2. One-third of the total members of the Research Board shall form the quorum. In the absence of the President, the Pro-President shall preside at the meeting.
3. The recommendations of the Research Board shall be submitted to the Academic Council for its consideration.

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


# AMITY UNIVERSITY

## RAJASTHAN

Kant Kalwar, NH-11-C,  
Jaipur (Rajasthan) 303002  
Tel: 01426-405678,  
Fax: 01426-405679

4. The Research Board shall meet at least twice in one academic session.
5. The Research Board shall perform the following functions, namely :
  - (a) to recommend the names of qualified teachers from post graduate departments of the University who are eligible for guiding research work as per prevailing UGC Regulations;
  - (b) to suggest process of registration for Doctoral Degrees through entrance examination as specified in prevailing UGC Regulations;
  - (c) to suggest ways to maintain quality and relevance of research and to ensure prevention of plagiarism,
  - (d) to suggest mechanism to ensure compliance of prevailing UGC Regulations regarding M.Phil. and Ph.D. Degrees, and
  - (e) to perform such other functions, as may be assigned to it by the Board of Management or the Academic Council with regard to the maintenance of standards and promotion of research.
  - (f) to devise/develop and review all research related guidelines and policies.
  - (g) to vet and recommend all the Research Projects for onward submission to the agencies for grants.
  - (h) to maintain and continuously update the research data related to Patents/Projects/Grants/Publications etc.
6. The existing University Research Council stands dissolved and henceforth all activities being carried out under University Research Council, shall be carried out under the Dean Research Office in consultation with Research Board.
7. Board constituted vide this office Letter No. AUR/REG/3911 dated 08/01/2020 on the subject matter is hereby superseded.

  
Dr. Nitin Bhardwaj  
Registrar



Amity City Office: Amity House, C-119, Lal Kothi Scheme, Behind Vidhan Sabha, Jaipur – 302 015, Telefax- 0141-2372489, 2374111







# AMITY UNIVERSITY

## RAJASTHAN

Kant Kalwar, NH-11-C,  
Jaipur (Rajasthan) 303002  
Tel: 01426-405678,  
Fax: 01426-405679

No. : AUR/REG/6403

Date : 24/05/2022

### Research Board

As per the 'Model Statutes of Private Universities' to be applicable to all Private Universities the 'Research Board' has been defined as 'Other Statutory Authorities'. Hence, to comply with the mandate of the Statutes, the 'Research Board' is constituted as below in accordance with the laid down composition and terms of office.

1. The Research Board shall consist of the following, namely :

#### Chairperson

1. Prof. Rakesh Bhatnagar President

#### Members

2. Prof. Amit Jain Pro-President

#### Representation of 'Institutional Ethical Committee for Human Research'

3. Dr. Desh Deepak Singh (Member Secretary)

#### Representation of each University teaching Department

4. Prof. Saroj Bohra Amity Law School (ALS)  
5. Prof. Sanjeeb Pal Amity School of Hospitality (ASH)  
6. Prof. P.V.S. Raju Amity Centre for Ocean, Atmospheric Science & Technology (Amity COAST)  
7. Prof. Ajay Jain Amity Institute of Biotechnology (AIB)  
8. Prof. Jagdish Prasad Amity School of Applied Sciences (ASAS)  
9. Prof. Pankaj Kumar Pandey Amity School of Engineering & Technology (ASET)  
10. Prof. Deepali Bhatnagar Amity Business School (ABS)  
11. Prof. Dipa Chakrabarti Amity School of Languages (ASL)  
12. Prof. Anand Prakash Amity Institute of Clinical Psychology (AICP)  
13. Prof. Swapnesh Taterh Amity Institute of Information Technology (AIIT)  
14. Dr. Jayati Sharma Amity School of Communication (ASCo)  
15. Dr. Vismita Paliwal Amity Institute of Behavioural & Allied Sciences (AIBAS)  
16. Dr. Sambaditya Raj Amity School of Fashion Technology (ASFT)  
17. Prof. Rahul Tripathi Amity School of Liberal Arts (ASLA) / Amity School of Fine Arts (ASFA)  
18. Dr. Khuplianam Tungnung Amity School of Architecture & Planning (ASAP)  
19. Dr. Deepansh Sharma Amity Institute of Microbial Technology (AIMT)

#### Dean

20. Prof. G. K. Aseri Dean - Academics

#### The Registrar

21. Dr. Nitin Bhardwaj Registrar

#### Member Secretary

22. Prof. Vinay Sharma Dean - Research

#### Special Invitee

23. Prof. S. L. Kothari Distinguished Professor - Biotechnology and Vice President-ASTIF, Jaipur

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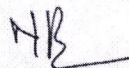
# AMITY UNIVERSITY

## RAJASTHAN

Kant Kalwar, NH-11-C,  
Jaipur (Rajasthan) 303002  
Tel: 01426-405678,  
Fax: 01426-405679

2. One-third of the total members of the Research Board shall form the quorum. In the absence of the President, the Pro-President shall preside at the meeting.
3. The recommendations of the Research Board shall be submitted to the Academic Council for its consideration.
4. The Research Board shall meet at least twice in one academic session.
5. The Research Board shall perform the following functions, namely :
  - (i) to recommend the names of qualified teachers from post graduate departments of the University who are eligible for guiding research work as per prevailing UGC Regulations;
  - (ii) to suggest process of registration for Doctoral Degrees through entrance examination as specified in prevailing UGC Regulations;
  - (iii) to suggest ways to maintain quality and relevance of research and to ensure prevention of plagiarism,
  - (iv) to suggest mechanism to ensure compliance of prevailing UGC Regulations regarding M.Phil. and Ph.D. Degrees, and
  - (v) to perform such other functions, as may be assigned to it by the Board of Management or the Academic Council with regard to the maintenance of standards and promotion of research.
  - (vi) to devise/develop and review all research related guidelines and policies.
  - (vii) to vet and recommend all the Research Projects for onward submission to the agencies for grants.
  - (viii) to maintain and continuously update the research data related to Patents/Projects/Grants/Publications etc.

'The Research Board' of AUR constituted earlier vide Letter No. AUR/REG/3911 dated 08/01/2020, is hereby superseded.



Dr. Nitin Bhardwaj  
Registrar



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### ANNEXURE III: GUIDELINES FOR PARTICIPATION IN CONFERENCES

The faculty of Amity University Rajasthan are encouraged to be actively engaged in research and enhance and broaden their knowledge by participating in seminars / workshop / conferences. Research finds its expression through publications in learned journals and through presentation of papers in Conferences and Seminars. The following Policy Guidelines are laid down for providing financial support to faculty members for attending Conferences / Seminars in India and abroad:

#### (a) Eligibility

All faculty members who have successfully completed their probation period and have regular / confirmed appointments, will be eligible.

#### (b) Frequency of Support

- i. National Conferences / Seminars: Not more than once a year
- ii. International Conferences / Seminars: Not more than once in two years

These opportunities will not be accumulative

#### (c) Level of Conferences / Seminars

The Conference/Seminar, to have an assurance that they are well recognized and are of high standard, are expected to be organized by an Institution of good standard or of a professionally high repute or a Statutory Body. Where such indicators are not conclusively clear, the standard and quality of the paper accepted for presentation will reflect the standard and level of the Conference / Seminar.

#### (d) Requirements for Participation

- (i) Essential:
  - a. The paper should have been accepted for presentation
  - b. The paper must be peer reviewed in the Department / Centre to ensure that it is of sufficiently high quality and standard.
- (ii) Preference Criteria
  - ia The applicant has been invited to chair one or more sessions
  - iib The applicant has been invited to deliver a keynote / plenary / inaugural address
  - iic The applicant has been invited to present the paper / papers in the International / National Conference

### 3. Financial Support

As a policy, partial financial support will be provided to faculty members. The partial support will cover:

- a Full Registration Fee
- b 50% of travel cost and daily allowance

### 4 Complementary Support

Several organizations support participation in Conferences / Seminars being held abroad such as DST, INSA, UGC CSIR, DBT, etc. The faculty concerned should be encouraged to apply for complementary financial support also from concerned organisation.

### 5. Procedure

The following documents will be forwarded to Registrar AUR through the Head of the Institution for approval at least one month in advance to give time for proper processing:

- a) Synopsis and a copy of the Paper to be presented

  
Dean Research  
Amity University Rajasthan Jaipur



- b) Certificate from the Author about originality of paper and "No Objection" Certificates from the Co-Authors, if any
- c) Brochures of Seminar / Conference
- d) Letter of Acceptance / Invitation from the organizers
- e) Detailed information about the organizers of the International Conference/ Seminar and their credibility
- f) Expenditure details as under:
  - (i) Registration Fee
  - (ii) Fare
  - (iii) Board & lodging / other expenses
- g) Detailed recommendation of the Head of the Institution
- h) Documentary proof of action taken on Para-4 above for complimentary financial support and progress thereafter.

#### **6. Bond for Continued Service**

The faculty who is sanctioned financial support for conferences / seminars abroad is also required to furnish a Bond for continued service for two years in the concerned Amity Institution on returning from the conference. Faculty member(s) attending Conferences/Seminars may be granted "duty leave" for the period of Conferences/Seminars and actual journey period.

#### **7. Standing Committee**

A standing Committee consisting of the following members will process the requests for approval and the financial support and forward it to the Vice Chancellor for sanction:

- (a) Pro VC (A) - Chairman
- (b) Head of the concerned Institution
- (c) OSD (A)

In exceptional cases, if recommended by the Committee, the Vice Chancellor may waive certain conditions for granting permission and financial support. Policy on Guidelines will ensure speedy processing of applications for grants to attend the Conferences / Seminars. All Heads of Institutions are expected to inform the contents of the Policy to all faculty members of their Institution.

  
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Amity University Rajasthan Jaipur





## ANNEXURE IV: CONSULTANCY GUIDELINES

In the light of changing global economic scenario and the mission of the University, the University encourages and promotes faculties and scientists to take consultancy assignment in addition to the teaching and research work as this form of activity enhances external profile of the University by developing our engagement with Community, extending the societal impact of the University, expertise and creating mutually beneficial opportunities for collaborative research and consultancy services. The consultancy enriches & broadens the professional experience and knowledge of the faculty members/scientists and thus makes them better educators. In addition, it also functions as a tool for contributing to the national economic growth.

### 1.0 Definition

Consultancy for the purpose of guidelines means an assignment/job basically for providing expert advice, problem solving, targeted training, testing and laboratory based experimental work, market research and survey etc. for consideration of a fee.

### 2.0 General Principle

- i) Consultancy work may be undertaken in expertise of the faculty members/ Scientists or a group of experts.
- ii) The Consultancy services will be undertaken only with the prior permission of the University.
- iii) It should not interfere with the performance of primary duties by the individual as per contract of employment.
- iv) Consultancy Services should not conflict with the interest of the University.
- v) University should not directly or indirectly get associated with activities which are likely to be perceived internally or externally as unethical or inappropriate.
- vi) Failure to disclose or obtain formal approval for consultancy as required by this policy shall be regarded as a disciplinary matter.

### 3.0 Consultancy Procedure

#### A) Approval to undertake Consultancy Activities

Consultancy proposal should be submitted giving the details in the form attached as annexure to this policy to the HoIs/HoDs. HoI/HoD will examine the proposal and submit it along with his/her recommendations to the Registrar. The following aspects need to be considered before recommending the proposal:

- i) Extent to which consultancy related work will be undertaken by the faculty in addition to the normal duties and workload.
- ii) No faculty member/ Scientists shall spend consultancy days whenever there is an Institutional commitment. They may do the consultancy work, preferably on Saturdays and Sundays. Alternatively, arrangement should be made for compensating non - availability of the concerned faculty during the period of consultancy.
- iii) The amount of expenditure needs to be estimated on account of providing Consultancy.
- iv) The assignment is in the interest of the University in the long run and would not adversely affect the faculties' work at the university.
- v) Contract for the consultancy work for any Indemnity Clause relating to delay in delivering the consultancy.

  
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## **B) Authorizing Officer**

The Registrar after taking approval of Competent Authority will issue the approval letter. A copy of approval letter would be endorsed to the institutions concerned, HR Department and Account Department

## **4.0 Extent of Consultancy**

The aggregate consulting commitment for faculty/researchers should not exceed 30 days in a year.

## **5.0 Distribution of Income**

a) The general Rule to be followed for distribution of income generated out of Consultancy is as follows:

- 70% of income will go to the Consultant(s). In case of group, they will share among themselves based on their number of day's services.
- 30% of income will go to the Amity University.

The income is total amount received minus the expenditure incurred in providing service.

b) The following additional conditions would apply:

Normally no payment will be made to an individual where it would result in a deficit on the contract.

- No payment will be made to individuals where the terms and conditions of contract prohibit.
- No payment will be made to individuals in advance of the client paying the amount.
- Any time input required to rectify unsatisfactory work will not normally be cause for additional payments unless there is additional income to cover further costs.

## **6.0 Maintenance of Consultancy Fund**

A separate account for each Consultancy Assignment shall be maintained by the Accounts Department under the following heads:

- a) The total money received
- b) GST
- c) Net contracted amount
- d) Total expenditure
- e) Balance amount (c-d)
- f) Faculty share – 2/3rd of (e)
- g) University share – 1/3rd (e)

Actual expenditure should cover the following cases related to consultancy:

- i) Consumable materials
- ii) Expenditure towards travel and stay in connection with consultancy work
- iii) Contingency expenses to cover cost of supply
- iv) Preparation of report
- v) Stationary etc.
- vi) Expenses for work to be carried out on payment basis.
- vii) Expenses on account of use of Amity resources
- viii) Any other costs considered appropriate.

  
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### **7.0 Ownership of intellectual property**

Depending upon the terms of contract, IPR shall be decided. However, any intellectual property arising out of consultancy work which is conceived during the execution of consultancy by the consultant alone shall vest with Amity University

### **8.0 Interpretation**

Should a need arise for interpretation of the any clause, the decision for the same shall lie with the Vice Chancellor and his/her decision shall be the final.

### **9.0 Dispute Resolution**

The clause regarding dispute resolution should be in built in Memorandum of Understanding/Memorandum of Association to be entered with the party while undertaking Consultancy project. In case of any dispute remaining unresolved, it shall be dealt with by the Court of law located within the jurisdiction of the University.



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Amity University Rajasthan Jaipur





# AMITY UNIVERSITY

## — R A J A S T H A N —

Kant Kalwar, NH-11C,  
Jaipur (Rajasthan) 303002  
Tel. : 01426-405678  
Fax : 01426-405679

### Seed Money / Grants for Research

Amity University Rajasthan is committed to encourage its faculty members to take part in various activities of research and innovation. Amity Seed Grant (ASG) has been providing support to the faculty members for the purpose as specified in the scope, and in tune with the university's vision and mission. The ASG shall be provided through the University annual budgetary allocation.

Laptop is an indispensable requirement for a faculty member to conduct any meaningful research and other academic activities. The university provides a latest configuration laptop to the faculty members with Internet access as seed grant immediately on joining, so that new faculty members can continue with his/her research work unhindered without any break. Further, university provides funds to a group of faculty members for laboratory consumables to facilitate research work and subsequently development of research proposals for funding.

Alternatively, if the faculty member does not desire a laptop, INR. 750/- per month will be credited to his/her account as a seed money during his tenure with the University. The University shall provide requisite software and update the same from time-to-time. If a faculty member resigns from the service, the no dues certificate will be issued to them subject to the return of the laptop.

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## ANNEXURE VI: INNOVATION AND ENTREPRENEURSHIP

One of the strategic goals of Amity University Rajasthan (AUR) is 'Entrepreneurial Learning'. The university has the belief that innovation and entrepreneurship are critical to address the challenges and problems being faced by all sections - industry, academia, policy makers and civil society. The university encourages innovation and entrepreneurship amongst all constituents - students, staff, and faculty.

### 1. Vision

- a) Create eco-system to encourage innovation & entrepreneurship among students and faculty.
- b) Nurture 'ENTREPRENEURS' who are innovative, tenacious, ethical and have a great zeal to create economic value and societal impact through their ventures.
- c) Advance and disseminate best in class, contemporary knowledge, and practices in the field of Innovation and Entrepreneurship.

### 2. Mission

- a) Conduct programs, courses, events, challenges, and other engagements to ignite spirit of innovation and entrepreneurship among students, faculty, and community.
- b) Build a network with entrepreneurs, mentors, experts, and service providers to be leveraged for the benefit of the budding start-ups.
- c) Drive active engagement of industry in the innovation activities being conducted by Institute of Innovation Entrepreneurship (I2E).
- d) Collaborate with academia, policy makers and industry for creation of research-based knowledge in innovation and entrepreneurship.

### 3. Scope

This Innovation and Startup Policy provides the framework, rules and procedures for innovation, pre- incubation, incubation, and accelerator programs of the university and all the schools, institutes, centres, and other entities, including the incubation centre. Apart from the students, alumni, staff and faculty of the university, the innovators, startups, and industry teams associated with the university and the constituents will be covered under this policy.

### 4. Nurturing Innovation & Startups

AUR will encourage and provide support to innovation activities and development of startups through the following.

#### 4.1 Amity Innovation Incubator (AII)

The Amity Innovation Incubator (AII) at the university would lead the innovation, entrepreneurship, and startup agenda. It would focus on the academic (teaching and research) initiatives. AII, along with the other schools and centres would work on the inclusion of courses related to innovation, entrepreneurship, venture development in the program curriculum. AII would lead the designing and delivery of these courses. AII would conduct academic and industry research in the areas of innovation and entrepreneurship with the intent to provide knowledge for use by industry, academics, and policy makers. The incubator at the university would promote startup development and provide the support to startup ventures from ideation till scaleup. AII would provide access to pre-incubation, incubation facility to start ups by students, staff, and faculty as per the incubation policy in place.

  
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Amity University Rajasthan Jaipur

  
  
UNIVERSITY RAJASTHAN  
REGISTRAR  
AMITY UNIVERSITY RAJASTHAN  
JAIPUR



# AMITY UNIVERSITY RAJASTHAN

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No. : AUR/REG/6365


Date : 11/05/2022

## Committee

### 'E-Cell' and 'Amity Innovation Incubator' of Amity University Rajasthan, Jaipur

The 'E-Cell' and 'Amity Innovation Incubator' of Amity University Rajasthan, Jaipur, is hereby constituted, as under :

1.	Prof. Amit Jain	Pro-Vice Chancellor	: Chairperson
2.	Dr. Manju Kaushik	Associate Professor - AIIT	: Coordinator
3.	Dr. Abhay Kumar	Associate Professor - ASLA	: Member
4.	Dr. Pallavi Mishra	Associate Professor - ASCo	: Member
5.	Dr. Kumar Sabhav Verma	Assistant Professor - AIB	: Member
6.	Dr. Ravi Ranjan Kumar Niraj	Assistant Professor - AIB	: Member
7.	Dr. Deepansh Sharma	Assistant Professor - AIMT	: Member
8.	Dr. K.C. Barmola	Assistant Professor - AIBAS	: Member
9.	Dr. Amita Chourasiya	Assistant Professor - ABS	: Member
10.	Dr. Deepshika Rathore	Assistant Professor - ASAS	: Member
11.	Dr. Kaushal Kishore Sharma	Assistant Professor - ASL	: Member
12.	Dr. Prateek Deol	Assistant Professor - ALS	: Member
13.	Ms. Sangeeta Shekhawat	Assistant Professor - ASET	: Member
14.	Ms. Pushpa Gothwal	Assistant Professor - ASET	: Member
15.	Ms. Shivani Chandra	Assistant Professor - ASFT	: Member
16.	Ar. Lakshya Satija	Assistant Professor - ASAP	: Member
17.	Ms. Adity Anand	Assistant Professor - ASH	: Member
18.	Mr. Naveen Kumar Jangid	Office Assistant - E-Cell	: Member

  
Dr. Nitin Bhardwaj  
Registrar



Amity City Office: Amity House, C-119, Lal Kothi Scheme, Behind Vidhan Sabha, Jaipur - 302 015, Telefax: 0141-2372489, 2374111

#### 4.2 Institution Innovation Council (IIC)

Institution Innovation Council (IIC) is a faculty, student centric body formed by the university under the Ministry of Education Innovation Council (MIC) initiative under All India Council for Technical Education (AICTE). The IIC would provide leadership in execution of activities at the university which would encourage, inspire, and nurture young students by exposing them to new ideas and process of resulting in innovative activities & entrepreneurial in their formative years. IIC members would include entrepreneurial faculty, students, industry, and experts from startup ecosystem.

  
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Amity University Rajasthan Jaipur







# AMITY UNIVERSITY RAJASTHAN

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Fax: 01426-405579

No.: AUR/REG/6866

Date: 11/03/2022

## Institution's Innovation Council (IIC)

In the year 2018, the Ministry of Education (MoE) through MoE's Innovation Cell (MIC) launched the Institution's Innovation Council (IIC) program in collaboration with ARCTE for Higher Educational Institutions (HEIs) to foster the culture of innovation and startup ecosystem in education institutions.

The Institution's Innovation Council (IIC) of Amity University Rajasthan, Jaipur is hereby constituted as per the guidelines of MHRD's Innovation cell.

Sr. No.	Name of Member	Member Type (Teaching/ Nonteaching/ External Expert)	Key Role/ Position assigned in IIC
1.	Dr. Manoj Koushik	Teaching	President & ARHA Coordinator
2.	Dr. Chitresh Bhanawat	Teaching	View President
3.	Dr. Pallavi Mishra Mr. Vikas Rawat	Teaching/ Non-Teaching	<ul style="list-style-type: none"> <li>Convener &amp; Social Media Coordinator</li> <li>Social Media Co-Coordinator</li> </ul>
4.	Ms. Sangeeta Shekawat	Teaching	<ul style="list-style-type: none"> <li>Convener &amp; Innovation Activity Coordinator</li> </ul>
5.	Ms. Shivani Chandra	Teaching	<ul style="list-style-type: none"> <li>Innovation Ambassador</li> </ul>
6.	Dr. Deepanshi Sharma Ms. Pooja Gohilwal	Teaching/ Teaching	<ul style="list-style-type: none"> <li>Startup Activity Coordinator</li> <li>Member</li> </ul>
7.	Mr. Lakshya Setja	Teaching	<ul style="list-style-type: none"> <li>Internship Activity Coordinator</li> </ul>
8.	Dr. Prateek Dool Dr. Deepshikha Rathore	Teaching/ Teaching	<ul style="list-style-type: none"> <li>HR Activity Coordinator</li> <li>Member</li> </ul>
9.	Dr. Ravi Ranjan Kr. Nijaj	Teaching	ARHA Co-Coordinator
10.	Mr. Shashank Sharma	Non-Teaching	NHRF Coordinator
11.	Mr. Divakar Srivastava	External Member	Startup/ Alumni Entrepreneur
12.	Ms. Kumal Joshi	External Member	Member

## Student Members of Institution's Innovation Cell

Sr. No.	Name of Student Member	Member Type (Student)	Key Role/ Position assigned in IIC
1.	Ms. Ashi Jain	ABS, BBA, 4 <sup>th</sup> Sem.	Innovation Coordinator
2.	Mr. Suyashi Kulkarni	ASFT, B. Tech CSE, 4 <sup>th</sup> Sem.	Startup Coordinator
3.	Ms. Anveshika Bhatnagar	ASLA, B.A. Economics Hons., 4 <sup>th</sup> Sem.	Internship Coordinator

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# AMITY UNIVERSITY RAJASTHAN

Head Office: 38331-C,  
Jaipur (Registration): 302002  
Tel: 01426-422076  
Fax: 01426-405579

Sr. No.	Name of Student Member	Member Type (Student)	Key Role/ Position assigned in IIC
4.	Mr. Karishay Kapoor	ABS, MHR, 2 <sup>nd</sup> Sem.	Social Media
5.	Ms. Charvi Bhatti	ASLS, B.A. LLB (H), 4 <sup>th</sup> Sem.	HR Coordinator
6.	Mr. Vansh	ASCT, B.A. (66/MC) 2 <sup>nd</sup> Sem.	Member
7.	Mr. Gyan Dev Mahes	ASLS, BBA LLB (H), 2 <sup>nd</sup> Sem.	Member
8.	Ms. Vaidisha Khandwal	ASCT, B/MC, 1 <sup>st</sup> Sem.	Member
9.	Ms. Sandhal Bana	ASLS, BBA LLB (H), 2 <sup>nd</sup> Sem.	Member

Institution's Innovation Council (IIC), constituted vide Letter No. AUR/REG/SMS dated 25/03/2021, is hereby superseded.

*NB*  
Dr. Nitin Bhardwaj  
Registrar

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### 4.3 Setting up of a Startup by students, staff, and faculty

AUR will encourage and allow its students, staff, and faculty to work on their innovative projects and setting startups (including Social Startups) or work as intern / part-time in startups while studying / working. Students would include both the currently enrolled and the alumni.

A standing committee as below comprising of following members shall review and approve the 'Startup Proposals' on the basis of recommendation of Head, Amity Innovation Incubator (AII)

i)	President
ii)	Pro-President
iii)	Dean – Academics
iv)	Dean – Research
v)	Registrar

The salient features are given below.

- Student Entrepreneurs can earn credits for working on innovative prototypes/ business models. The area in which student wants to initiate a startup may be interdisciplinary or multidisciplinary. The credits and the grading would be determined by a committee constituted by university.
- Student inventors would be allowed to opt for startup in place of their mini project / major projects and/or practice school projects.
- Students who are pursuing some entrepreneurial ventures while registered with university incubator would be allowed to use their address in the university to register their company with prior permission from the university.
- A 10% relaxation in the minimum attendance requirements may be given to the Students entrepreneurs to allow them to sit for the examination, with due permission from the university.
- Student entrepreneurs may be allowed to take a semester/year break, as per university rules and based on the recommendations of the review committee, to work on their startups and re-join academics to complete the course.

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Amity University Rajasthan Jaipur





- f) Student entrepreneurs may avail the benefits of the Deferred Placement Policy in order to work on their startups and seek deferred placements as per the terms and provisions the policy.
- g) In case of selection of a faculty or staff startup by an outside national or international accelerator, faculty and staff entrepreneurs may be eligible for a semester / year leave for working on startups, as per university rules and based on the recommendations of the review committee. They would be allowed to resume their duties upon completion of the break period.
- h) The students, staff and faculty must describe how they will separate and clearly distinguish their ongoing research activities from the work being conducted at the startup.
- i) Faculty or staff must not accept gifts from the startup.
- j) Faculty or staff must not involve research staff or other staff of university in activities at the startup and vice-versa.
- k) Human subject related research in startup should get clearance from ethics committee of the University.
- l) University would facilitate the startup activities/ technology development by allowing students, staff, and faculty to use university infrastructure and facilities with the permission of the Dean of the respective School/ Institute and Head of the incubator, as per the terms and conditions laid down.
- m) The university would provide the following to the students, staff and faculty registered with the university incubator.
  - Short-term entrepreneurship training.
  - Mentorship support on regular basis.
  - Facilitation in a variety of areas including technology development, ideation, creativity, design thinking, fund raising, financial management, cash-flow management, new venture planning, business development, product development, social entrepreneurship, product costing, marketing, brand-development, human resource management as well as law and regulations impacting a business.
  - The university may also facilitate the startups to connect with other seed-fund providers/ angel funds/ venture funds or itself may set up seed-fund once the incubation activities mature.
  - License university IPR as per prevailing policy.
- n) In return of the services and facilities, university may take 2% to 9.5% equity/ stake in the startup/company, based on brand used, faculty contribution, support provided and use of university's IPR (a limit of 9.5% is suggested so that university has no legal liability arising out of startup. The university could take lower equity share unless its full-time faculty/ staff have substantial shares). Other factors for consideration should be space, infrastructure, mentorship support, seed funds, support for accounts, legal, patents etc.
- o) For startups where staff and faculty have substantial equity, university can take no-more than 20% of shares that staff / faculty takes while drawing full salary from the university; however, this share will be within the 9.5% cap of company shares, listed above.
- p) No restriction on shares that faculty / staff can take, as long as they do not spend more than 20% of office time on the startup in advisory or consultative role and do not compromise with their existing academic and administrative work / duties. In case the faculty/ staff holds the executive or managerial position for more than three months in a startup, then they will go on leave as per University rules.
- q) Startup may be given a cooling period of 3 months to use university incubation services on rental basis to take a final decision on equity to be given to university or incubator in lieu of the services offered by the university/incubator.
- r) The university would also provide services based on mixture of equity, fee-based and/ or zero payment model. So, a startup may choose to avail only the support, not seed funding, by the AUR on rental basis.
- s) Participation in startup related activities needs to be considered as a legitimate activity of faculty in addition to teaching, R&D projects, industrial consultancy, and management duties and must be considered while evaluating the annual performance of the faculty.
- t) Product development, commercialization, technology transfers as well as participating and nurturing of startups would be included in the list of faculty-duties with specific points.

  
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Faculty would have the ability to include these in their annual KRAs in addition to minimum required in other areas viz. teaching, research and administration.

- u) University will extend the above, provided that at no stage any liability accrues to it because of any activity of any startup.

#### 5. Access to IPR

Ideally students and faculty members intending to initiate a startup based on the technology developed or co-developed by them or the technology owned by the university, should be allowed to take a license on the said technology on easy term, either in terms of equity in the venture and/ or license fees and/ or royalty to obviate the early-stage financial burden. The decision and terms for such usage would be subject to the IPR policy of the university.

- a) When university facilities / funds are used substantially or when IPR is developed as a part of curriculum/ academic activity, IPR is to be jointly owned by inventors and the university.
- b) Inventors and university could together license the product / IPR to any commercial organization, with inventors having the primary say. License fees could be either /or a mix of
  - Upfront fees or one-time technology transfer fees.
  - Royalty as a percentage of sale-price.
  - Shares in the company licensing the product.
- c) If one or more of the inventors wish to incubate a company and license the product to the company, the royalties would be no more than 4% of sale price, preferably 1 to 2%, unless it is pure software product. If it is equity in the company, equity stake will again be 1% to 4%. For a pure software product licensing, there may be a revenue sharing to be mutually decided between the university and the incubated company.
- d) On the other hand, if product/ IPR is developed by innovators not using any of university facilities, and outside office hours (for staff and faculty) or not as a part of curriculum by student, then product/ IPR will be entirely owned by inventors in proportion to the contributions made by them. In this case, inventors can decide to license the technology to third parties or use the technology the way they deem fit.
- e) If there is a dispute in ownership, a minimum five-member committee consisting of two faculty members (having developed sufficient IPR and translated to commercialization), two of the AUR's alumni/ industry experts (having experience in technology commercialization) and one legal advisor with experience in IPR, will examine the issue after meeting the inventors and help them settle this, hopefully to everybody's satisfaction. University can use alumni/ faculty of other institutes as members if they cannot find sufficiently experienced alumni / faculty of their own.
- f) The equity stake due to university may be held by either the university or the Special Purpose Vehicle (SPV) formed for the operations of the university incubator.
- g) University incubation center will only be a coordinator and facilitator for providing services to faculty, staff, and students. The patenting of the IPR developed by students., staff or faculty would be governed by the IPR policy of the university.
- h) Interdisciplinary research and publication on startup and entrepreneurship should be promoted by the institutions.

#### 6. Creating Innovation Pipeline and Pathways for Entrepreneurs

- a) The university would create academic, incubation and co-curricular mechanisms to ensure exposure of maximum students to innovation and pre-incubation activities at their early stage and to support the pathway from ideation to innovation to market.
- b) The university would undertake initiatives to create awareness among students, faculty, and staff about the value of entrepreneurship and its role in career development or socio-economic impact.
- c) Students/ staff would be taught that innovation (technology, process, or business innovation) is a mechanism to solve the problems of the society and consumers. Entrepreneurs should innovate with focus on the market need.
- d) Students would be encouraged to develop entrepreneurial mindset through experiential learning



by exposing them to training in cognitive skills (e.g., design thinking, critical thinking, etc.), by inviting first generation local entrepreneurs or experts to address young minds. Initiatives like foundation programmes, idea, innovation and pitch competitions, hackathons, workshops, bootcamps, seminars, conferences, exhibitions, mentoring by academic and industry personnel, throwing real life challenges, awards and recognition should be routinely organized.

- e) The university and the incubator would facilitate to connect the startups and companies with wider entrepreneurial ecosystem and by providing support to students, staff and faculty who show potential, in pre-startup phase. Connecting upcoming entrepreneurs with real life entrepreneurs would help the students in understanding real challenges which may be faced by them while going through the innovation funnel and would increase the probability of success.
- f) Collective and concentrated efforts would be undertaken to identify, scout, acknowledge, support and reward proven student ideas and innovations and to further facilitate their entrepreneurial journey.
- g) For strengthening the innovation funnel, the university and the incubator would develop ability and means for the startups to access funds from various sources, including grants from government agencies and private investors.
- h) Networking events would be organized by university and university incubator to create a platform for the budding entrepreneurs to meet investors and pitch their ideas.
- i) Business incubation facilities, for example, premises at subsidised cost, laboratories, research facilities, IT services, training, mentoring, etc. would be provided to the new startups.
- j) University is committed to make the startups realise that money is not FREE and is risk capital. The startups must utilize these funds wisely with the intent to provide the rightful return to the investors. While funding is taking risk on the entrepreneur, it is an obligation of the entrepreneur to make every effort possible to prove that the funding agency/investor did right in funding him/her.
- k) University would provide a ready reckoner of Innovation Tool Kit, which would be available at the university/ Amity Innovation Incubator website to answer the doubts and queries of the innovators and enlisting the facilities available at the university and university incubator.

## 7. Pedagogy and Learning Interventions for Entrepreneurship Development

- a) Entrepreneurship education would be imparted to students at curricular/ co-curricular/ extra-curricular level through elective/ short term or long-term courses on innovation, entrepreneurship, and venture development. Validated learning outcomes would be made available to the students.
- b) Diversified approach would be adopted to produce desirable learning outcomes, which should include cross disciplinary learning using mentors, labs, case studies, games, etc. in place of traditional lecture-based delivery.
- c) Student clubs/ bodies created for organizing competitions, bootcamps, workshops, awards, etc. would be involved in institutional strategy planning and execution to ensure enhancement of the student's thinking and responding ability in the areas of innovation and entrepreneurship.
- d) University and the incubator would organise multiple events, contests and recognize outstanding ideas, successful enterprises, and contributors for promoting innovation and enterprises ecosystem within and outside the university.
- e) University recognises the importance of tolerating failures and learning from them to create successful startups. For this the failures would be elaborately discussed and debated to imbibe the culture that failure is a part of entrepreneurial journey, thus helping in reducing the social stigma associated with it. Very importantly, is part of university's philosophy and culture.
- f) Innovation champions would be nominated from within the students/ faculty/ staff for each school/ programme of study.
- g) Integration of expertise of the external stakeholders would be done in the entrepreneurship education to evolve a culture of collaboration and engagement with external environment.
- h) In the beginning of every new batch of students, university would conduct an induction program about the importance of Innovation & Entrepreneurship so that freshly inducted students are made aware about the entrepreneurial agenda of the university and available support systems.

  
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- i) Curriculum for the entrepreneurship education should be continuously updated based on entrepreneurship research outcomes. This should also include case studies on failures.
- j) Industry linkages should be leveraged for conducting research and survey on trends in technology, research, innovation, and market intelligence.
- k) Customized teaching and training materials should be developed for startups. It must be noted that not everyone can become an entrepreneur. The entrepreneur is a leader, who would convert an innovation successfully into a product, others may join the leader and work for the startup. It is important to understand that entrepreneurship is about risk taking. One must carefully evaluate whether a student is capable and willing to take risk.
- l) Pedagogical changes need to be done to ensure that maximum number of student projects and innovations are based around real life challenges. Learning interventions developed by the AUR's for inculcating entrepreneurial culture should be constantly reviewed and updated.

#### **8. Collaboration, Co-creation, Business relation**

- a) Stakeholder engagement would be given prime importance in the entrepreneurial agenda of the University through finding potential partners, resource organizations, micro, small and medium sized enterprises (MSMEs), social enterprises, schools, alumni, professional bodies, and entrepreneurs to support entrepreneurship and co-design the programs.
- b) The university would have policy and guidelines for forming and managing the relationships with external stakeholders including private industries.
- c) Knowledge exchange through collaboration and partnership would be conducted under the relevant institutional policy. This would provide support mechanisms and guidance for creating, managing, and coordinating these relationships. This can include both formal and informal mechanisms such as internships, teaching and research exchange programmes, clubs, social gatherings, etc., faculty, staff, and students of the university would be given the opportunities to connect with their external environment.
- d) The university would approach different agencies/industry houses/associations for funding support for the incubator and/or startups, establishment of centres and other entities around innovation and entrepreneurship.

#### **9. Organizational Capacity, Human Resources, and Incentives**

- a) University would recruit staff that have a strong innovation and entrepreneurial/ industrial experience, behavior, and attitude. This will help in fostering the I&E culture.
- b) Some faculty members with prior exposure and interest may be deputed for training to promote Innovation & Entrepreneurship.
- c) Institutional policy on career development of staff would be strengthened to include upskilling in entrepreneurship.
- d) University supports and encourages faculty of various schools to work in coherence and through cross-departmental linkages on innovation and entrepreneurial initiatives.
- e) External subject matter experts such as guest lecturers or alumni would be invited periodically for interaction with staff and faculty to share knowledge about ongoing contemporary practices in the field of startups.
- f) Faculty and staff should be encouraged to do courses on innovation, entrepreneurship management and venture development.
- g) The AUR appraisal policy would include academic and non-academic incentives and reward mechanisms for all staff and stakeholders that actively contribute and support entrepreneurship agenda and activities. These would be reviewed and revised on periodic basis.

#### **10. Entrepreneurial Impact Assessment**

- a) Impact assessment of AUR's entrepreneurial initiatives such as pre-incubation, incubation, entrepreneurship education would be performed on half yearly and annual basis using well defined evaluation parameters.
  - Monitoring and evaluation of courses conducted, knowledge exchange initiatives, engagement of

  
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- faculty in the entrepreneurial teaching and learning would be assessed.
- Support system provided by the university to the student entrepreneurs, faculty and staff for pre-incubation, incubation.
  - Number of startups working with university incubator, graduate startups in the revenue stage.
  - IPR creation and commercialization.
  - Industry linkages, exposure to entrepreneurial ecosystem.
  - Grants, funding secured for university, university incubator and startups.
- b) University would participate in ARIIA and aim to improve the rankings on continuous basis.
- c) Formulation of strategy and impact assessment would go hand in hand. The information on impact of the activities would be actively used while developing and reviewing the entrepreneurial strategy.
- d) Impact assessment for measuring the success should be in terms of sustainable social, financial, and technological impact in the market. For innovations at pre-commercial stage, development of sustainable enterprise model is critical. COMMERCIAL success is the ONLY measure in long run.

  
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## ANNEXURE VII: INSTITUTIONAL BIOSAFETY COMMITTEE

In compliance with Rules 1989, an Institutional Biosafety Committee (IBSC) is to be constituted by every organisation engaged in research, use & application activities related to GE organisms (organisms include microorganisms, animals, plants, arthropods, aquatic animals, etc.) and hazardous microorganisms ("microorganisms" shall include all the bacteria, viruses, fungi, mycoplasma, cells lines, algae, protodones and nematotes). IBSC is the nodal agency within an organization for implementation of the biosafety regulatory framework. DBT/RCGM has been entrusted with registration and monitoring of IBSCs.

Institutional Biosafety Committee (IBSC) is solely responsible:

- i. To implement and respond to institutional biosafety & biosecurity at the institution level and
- ii. Evaluation of applications/ reports related to rDNA technology work involving the GE organisms and non-GE hazardous microorganisms in an organization.

### 11. 1. RESPONSIBILITIES AND FUNCTIONS OF IBSCs

- a) Assess and monitor the items of general consideration i.e., research facilities, procedures and experts involved in HMOs/GMOs/LMOs and GE research and ensure that the proposed risk assessment, risk management and emergency plans are sufficient.
- b) Provide guidance to Principal Investigator on the issues related to biosafety while using HMOs/GMOs/LMOs and GE research including safety of the researcher(s) associated with the work.
- c) Inform the Principal Investigator about IBSC review, approval, or rejection of applications.
- d) Copies of site emergency plan to be submitted to RCGM, GEAC, State Biotechnology Coordination Committee (SBCC) or District Level Committee (DLC) as the case may be, as per Rules, 1989e). The IBSC shall inspect laboratories using checklists. IBSC shall apprise short coming measures (if necessary) under information to Head of Organisation. Inspection reports should be maintained in the IBSC.
- e) Reporting for incidents and release: It is necessary that any incident within an organisation such as non-compliance of the biosafety guidelines, any biosecurity issues or any significant research-related accidents and illnesses be reported to IBSC/ RCGM.

The primary function of the IBSC is to implement and ensure compliance of provisions of Rules 1989 at the Institutional level.

### 2. CONSTITUTION OF IBSC

The IBSC shall comprise of a Chairperson, Member Secretary, Biosafety Officer, a DBT nominee and at least four scientists engaged in rDNA work (at least one each from within and outside the organization) as members.

Composition	Criteria
Chairperson	The Head of the organisation or his/her designate (suitable senior officer) shall be the Chairperson (utmost authority) of the IBSC. The Chairperson should preferably have knowledge and experience in scientific research pertaining to GE organisms, latest technological developments in the area & handling of hazardous microorganisms.
Member Secretary	One of the internal members should be designated as Member Secretary
Biosafety Officer	Each IBSC shall have a member with medical qualifications designated as Biosafety Officer. The Biosafety Officer should be adequately

  
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	trained with good lab practice in handling RG3 & RG4 pathogenic agents that require special containment conditions (Biosafety Level 3 or 4 facilities) and be able to offer advice on specialized containment requirements.
DBT Nominee	Each IBSC shall have an outside expert nominated by DBT who oversees the activities to ensure that biosafety aspects are being fully adhered by the organisation. While seeking registration of IBSC, the organization shall suggest 3 outside experts working in the areas preferably from nearby institutions. DBT may nominate one among them as DBT nominee or may nominate any other suitable expert as DBT nominee.
Internal & External members	IBSC shall have at least four members with at least one internal and one external member, preferably scientists engaged in rDNA work & non-GE hazardous microorganisms.

IBSC may associate/ invite qualified experts/ consultants from within or outside organization as and when required to seek advice on specific scientific/ technical matters. Participation of such external experts/consultants in meeting should be recorded in the minutes. Opinion of the expert along with rational of the recommendation should be submitted along with the application.

No : BT/IBKP/540/2021

Dated: 09-Dec-2021

OFFICE MEMORANDUM

Subject : Nomination of DBT representative in the IBSC of Amity University Rajasthan (AMITY-R-775), Jaipur.

- In accordance with the Notification of the Ministry of Environment and Forests vide Gazette Notification No. GSR 1037 (E) dated 05.12.1989, notified under the E.P. Act 1986, the Department of Biotechnology (DBT) had evolved the "Regulations and Guidelines on Biosafety of recombinant DNA Research and Bio containment, 2017" for achieving personnel and environmental safety in the use of genetically manipulated organisms in research, manufacture and applications. The constitution of the Institutional Biosafety Committee (IBSC) is mandatory in R&D Centers at the institutions/ universities/ industries/ any other organization which intends to carry out or is engaged in research activities involving genetic manipulation of genetic materials, microorganisms, plants or animals.
- In conformity with the above, institutions engaged in genetic engineering research constitute their IBSCs and the department nominate its representatives in all such committees. Accordingly, Dr BHARTI MALHOTRA, Sr. Prof. and Head, Dept of Microbiology, SMS Medical College, Jaipur, RAJASTHAN has been nominated to act as a DBT representative in the IBSC constituted at Amity University Rajasthan (AMITY-R-775), SP-1, Kant Kalwar, RIICO Industrial Area, NH-11C, Jaipur, Rajasthan, Jaipur, RAJASTHAN-303002.

The complete composition of the IBSC is as under:

Chairman	: Dr Vinay Sharma, Chairman, Jaipur, RAJASTHAN
DBT Nominee	: Dr BHARTI MALHOTRA, Sr. Prof. and Head, Dept of Microbiology, SMS Medical College, Jaipur, Jaipur, RAJASTHAN
Member Secretary	: Dr Manali Datta, Member Secretary, Jaipur, RAJASTHAN
Outside Experts	: Dr M. Krishnamohan, Outside Expert, Jaipur, RAJASTHAN## Dr Nilima Kumari, Outside Expert, Sawai Madhopur, RAJASTHAN
Biosafety Officer	: Dr Sudhir Mehta, Biosafety Officer, Jaipur, RAJASTHAN
Internal Experts	: Dr Desh deepak Singh, Internal Member, Jaipur, RAJASTHAN## Dr G.K.Aseri, Internal Member, Jaipur, RAJASTHAN## Dr Sanket Kaushik, Internal Member, Jaipur, RAJASTHAN

- The DBT nominee serves as link between department and the respective IBSC. The nominee should ensure that:
  - handbook on IBSC, Third revised edition, September 2020 is followed by IBSC.
  - the committee has been constituted as per the norms of the guidelines.
  - the Recombinant DNA Safety Guidelines are strictly followed in the company.
  - the IBSC meets regularly (at least twice in a year) to review the ongoing activities and provide yearly reports to RCGM/ DBT in the prescribed proforma.
  - all the activities within the purview of the guidelines are in the knowledge of RCGM/DBT and to guide the IBSC on biosafety issues.
  - the IBSC will follow the 'Simplified Procedures/Guidelines on Exchange(inter-state and inter-institutional supply/ receipt within India), Import and Export of Genetically Engineered Organism and Product(s) thereof for research Purpose', as per Department's OM dated 22.09.2015 and its revised version issued vide DBT OM dated 17.01.2020.
- He/she will work for 3 years on the respective committee. On the expiry of term of nominee, institution/ organizations are required to reconstitute its IBSC in prescribed proforma.
- The DBT, on the expiry of the term of its nominee shall re-nominate or appoint a new nominee, and such nomination shall be communicated to the institutes/ organizations.
- Any special invitee/s to IBSC should be communicated to RCGM/ or taken prior approval.
- The IBSC of the institution will meet at least twice in a year. The institutes having the IBSC are required to submit yearly report of progress (1st January to 31st December) within one month, following the expiry of the period of Progress Report to the DBT for enabling the proper monitoring and consolidation of this information by the RCGM and the Government.
- The institute will meet the TA/DA & honorarium to the DBT nominee as per the GOI norms.

  
Member Secretary,  
RCGM, DBT

To  
Dr Vinay Sharma, Chairman, Jaipur, RAJASTHAN

- Copy to:
- Dr BHARTI MALHOTRA, Sr. Prof. and Head, Dept of Microbiology, SMS Medical College, Jaipur, Jaipur, RAJASTHAN
  - Dr Sudhir Mehta, Biosafety Officer, Jaipur, RAJASTHAN
  - Office Copy
  - Guard file

  
Member Secretary,  
RCGM, DBT

डॉ. निरिन कुमार जैन / Dr. NITIN K. J.  
वैज्ञानिक 'एन' / Scientist 'F'  
बायोटेक्नोलॉजी विभाग / Dept. of Biotechno  
विज्ञान और प्रौद्योगिकी, संसद भवन / M/o Science & T  
मंत्रालय, नई दिल्ली / Govt. of India, N.



  
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## ANNEXURE VIII: SOP FOR HUMAN RESEARCH

Standard Operating Procedures (SOP) for Institutional Ethics Committee for Human Research is to contribute to the effective functioning of the Institutional Ethics Committee for human research (HEC) so that a quality and consistent ethical review mechanism for health and biomedical research is put in place for all proposals dealt by the Committee as prescribed by the Ethical guidelines for biomedical research on human subjects of ICMR.

### 1. Role of HEC

HEC will review and approve all types of research proposals involving human participants with a view to safeguard the dignity, rights, safety, and wellbeing of all actual and potential research participants. The goals of research, however important, should never be permitted to override the health and wellbeing of the research subjects.

The HEC will take care that all the cardinal principles of research ethics viz. Autonomy, Beneficence, Non - maleficence and Justice are taken care of in planning, conduct and reporting of the proposed research. For this purpose, it will investigate the aspects of informed consent process, risk benefit ratio, distribution of burden and benefit and provisions for appropriate compensations wherever required. It will review the proposals before start of the study as well as monitor the research throughout the study until and after completion of the study through appropriate well documented procedures for example annual reports, final reports and site visits etc. The committee will also examine compliance with all regulatory requirements, applicable guidelines and laws.

The mandate of the HECs will be to review all research projects involving human subjects to be conducted at the Institute, irrespective of the funding agency. The role of HEC can be modified according to the requirement of each Institute

### 2. Composition of HEC

HECs should be multidisciplinary and multisectoral in composition. Independence and competence are the two hallmarks of an HEC.

The number of persons in an ethical committee should be kept small (7-9 members). It is generally accepted that a minimum of five persons is required to compose a quorum. There is no specific recommendation for a widely acceptable maximum number of persons, but it should be kept in mind that too large a committee will make it difficult in reaching consensus opinions. 12-15 is the maximum recommended number.

The Chairperson of the Committee should preferably be from outside the Institution and not head of the same Institution to maintain the independence of the Committee. The Member Secretary who generally belongs to the same Institution should conduct the business of the Committee. Other members should be a mix of medical / non-medical scientific and non-scientific persons including lay public to reflect the differed viewpoints.

The composition may be as follows: -

1. Chairperson
2. 1-2 basic medical scientists.
3. 1-2 clinicians from various Institutes
4. One legal expert or retired judge
5. One social scientist / representative of non-governmental voluntary agency
6. One philosopher / ethicist / theologian
7. One lay person from the community
8. Member-Secretary

The ethical committee at any institution can have as its members, individuals from other institutions or communities if required. There should be adequate representation of age, gender, community, etc. in the Committee to safeguard the interests and welfare of all sections of the community /

  
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society. Members should be aware of local, social, and cultural norms, as this is the most important social control mechanism. If required, subject experts could be invited to offer their views, for example for drug trials a pharmacologist, preferably a clinical pharmacologist, should be included. Similarly, based on the requirement of research area, for example HIV, genetic disorders etc. specific patient groups may also be represented in the Committee. The membership of HEC will include Epidemiologist(s), Sociologist(s), Lawyer(s), Theologian, Statistician(s), Clinician(s), Basic scientists, Pharmacist(s)/Clinical Pharmacologist(s) etc They should be appointed by the Head of the Institute based on their competencies and integrity and could be drawn from any public or private Institute from anywhere in the country. fer.

HEC should be constituted in the following pattern:

- i) A Chairperson
- ii) A Deputy Chairman, if needbe,
- iii) | A Member Secretary,
- iv) 5-15 members from different Departments / Specialties / disciplines or areas etc.



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Jaipur (Rajasthan) 302022  
Tel: 01426-450278  
Fax: 01426-450279

No.: AUR/REG/6673 Date: 01/05/2022


**Institutional Ethical Committee for Human Research**

As per the guidelines of Indian Council of Medical Research (ICMR), a standing committee is re-constituted as under, to review and screen the research or projects on human being conducted in the Amity University Rajasthan, Jaipur:

S. No.	Name of Member	Designation	Role & Designation in Ethics Committee	Affiliation	Contact Details
1	Prof. Sudhir Mehta	Senior Professor of Medicine, Social Officer, Stem Cell Research Program, Social Officer, Hematology Program, SMS Medical College & Hospital, Jaipur	Chairperson	New Affiliate	smehta@amity.edu Mob. - 991042333 In. Contact Colony, JLN Marg Jaipur.
2	Prof. S. C. Kishore	Unintegrated Professor, Biotechnology, Vice President ASIB, Jaipur, Amity University Rajasthan, Jaipur	Scientific Member	Affiliate	skishore@amity.edu Mob. - 982979692 Amity University Rajasthan Jaipur
3	Prof. Vinay Sharma	Dean Research & Director, Amity Institute of Biotechnology, Amity University Rajasthan Jaipur	Scientific Member	Affiliate	vsharma@amity.edu Mob. - 995217300, 982979692 Amity Institute of Biotechnology, Amity University Rajasthan Jaipur
4	Dr. Dush Deepak Singh	Assistant Professor, Amity Institute of Biotechnology, Amity University Rajasthan, Jaipur	Member Secretary	Affiliate	dsingh@amity.edu Mob. - 982979692 Amity Institute of Biotechnology, Amity University Rajasthan Jaipur
5	Prof. Anandh Datta	St. Professor, Department of Physiology, SMS Medical College & Hospital, Jaipur	Basic Scientist	New Affiliate	anandhdatta@amity.edu Mob. - 911094218 12/208, Bahar Marg, A Base Park, Jaipur - 302016
6	Dr. Ramesh Chandra	Senior Professor of Medicine, SMS Medical College & Hospital, Jaipur	Clinician	New Affiliate	rchandra@amity.edu Mob. - 941604448 P.S., Tikka Marg, Near Ashok Nagar Police Station, C-Section, Jaipur-302015
7	Dr. Kamla Gupta	Assistant Professor, Amity Law School, Amity University Rajasthan, Jaipur	Law Expert	Affiliate	kgupta@amity.edu Mob. - 941602299 Amity Law School, Amity University Rajasthan, Jaipur

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Fax: 01426-450279

S. No.	Name of Member	Designation	Role & Designation in Ethics Committee	Affiliation	Contact Details
8	Prof. Arun Chugh	Ex. Dean, Faculty of Postgraduate Studies, IIC/IC/IC, Professor & Head, Department of Radiological Science & Radiation Safety, In-charge Telemedicine, SMS Medical College & Hospital, Jaipur	Social Scientist	New Affiliate	arun.chugh@amity.edu Mob. - 9928140113 11/78, Gandhi Nagar, Govt. Quarters Jaipur - 302015
9	Dr. Mani Sothi	Professor of Philosophy and Head, Department of Arts at the School of Humanities and Social Sciences, Mansarovar University Jaipur	Philosopher	Non Affiliate	manisothi@amity.edu Mob. - 9829055464 Department of Arts, Mansarovar University, Jaipur
10	Mr. Yash Jaiswal	Minor in Sociology, Jaipur	Law Person	Non Affiliate	yashj@amity.edu Mob. - 9416025803 R.R. Brij Colony, Chandra Power House, Civil Lines Jaipur - 302009

The 'Institutional Ethical Committee for Human Research', constituted earlier vide Letter No. AUR/REG/5745 dated 13/10/2021, is hereby suspended.

Dr. Nitin Bhardwaj  
Registrar

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### 3. Membership requirements:

- a. The duration of appointment is initially for a period of 2-3 years
- b. At the end of 2-3 years the committee is reconstituted, and 50% of the members will be replaced by a defined procedure.
- c. A member can be replaced in the event of death or long-term nonavailability or for any action not commensurate with the responsibilities laid down in the guidelines deemed unfit for a member.
- d. A member can tender resignation from the committee with proper reasons to do so.
- e. All members should maintain absolute confidentiality of all discussions during the meeting and sign a confidentiality form.
- f. Conflict of interest should be declared by members of the HEC

  
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REGISTRAR  
AMITY UNIVERSITY RAJASTHAN JAIPUR



#### **4. Quorum requirements:**

The minimum of 5 members are required to compose a quorum. All decisions should be taken in meetings and not by circulation of project proposals.

#### **5. Offices**

The Chairperson will conduct all meetings of the HEC. If for reasons beyond control, the Chairperson is not available, the Deputy Chairperson or an alternate Chairperson will be elected from the members by the members present, who will conduct the meeting. The Member Secretary is responsible for organizing the meetings, maintaining the records, and communicating with all concerned. He/she will prepare the minutes of the meetings and get it approved by the Chairman before communicating to the researchers with the approval of the appropriate authority.

#### **6. Independent consultants**

HEC may call upon subject experts as independent consultants who may provide special review of selected research protocols, if need be. These experts may be specialists in ethical or legal aspects, specific diseases or methodologies, or represent specific communities, patient groups or special interest groups e.g., Cancer patients, HIV/AIDS positive persons or ethnic minorities. They are required to give their specialized views but do not take part in the decision-making process which will be made by the members of the HEC.

#### **7. Application Procedures:**

- a. All proposals should be submitted in the prescribed application form, the details of which are given under Documentation
- b. All relevant documents should be enclosed with application form
- c. Required number of copies of the proposal along with the application and documents in prescribed format duly signed by the Principal Investigator (PI) and Co-investigators / Collaborators should be forwarded by the Head of the Departments / Institution to the ethics committee.
- d. The date of meeting will be intimated to the researcher, to be present, if necessary to offer clarifications.
- e. The decision will be communicated in writing. If revision is to be made, the revised document in required number of copies should be submitted within a stipulated period of time as specified in the communication or before the next meeting.
- f. Prescribed fee if any, should be remitted along with the application.

#### **8. Documentation:**

For a thorough and complete review, all research proposals should be submitted with the following documents:

1. Name of the applicant with designation
2. Name of the Institute/ Hospital / Field area where research will be conducted.
3. Approval of the Head of the Department / Institution
4. Protocol of the proposed research
5. Ethical issues in the study and plans to address these issues.
6. Proposal should be submitted with all relevant enclosures like proforma, case report forms, questionnaires, follow - up cards, etc.
7. Informed consent process, including patient information sheet and informed consent form in local language(s).
8. For any drug / device trial, all relevant pre-clinical animal data, and clinical trial data from other centres within the country / countries, if available.
9. Curriculum vitae of all the investigators with relevant publications in last five, years.
10. Any regulatory clearances required.
11. Source of funding and financial requirements for the project.

  
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12. Other financial issues including those related to insurance
13. An agreement to report only Serious Adverse Events (SAE) to HEC.
13. Statement of conflicts of interest, if any.
14. Agreement to comply with the relevant national and applicable international guidelines.
15. A statement describing any compensation for study participation (including expenses and access to medical care) to be given to research participants; a description of the arrangements for indemnity, if applicable (in study-related injuries); a description of the arrangements for insurance coverage for research participants, if applicable; all significant previous decisions(e.g., those leading to a negative decision or modified protocol) by other ECs or regulatory authorities for the proposed study (whether in the same location or elsewhere) and an indication of the modification(s) to the protocol made on that account. The reasons for negative decisions should be provided.
16. Plans for publication of results — positive or negative- while maintaining the privacy and confidentiality of the study participants.
17. Any other information relevant to the study

#### **9. Review procedures:**

- a. The meeting of the HEC should be held on scheduled intervals as prescribed and additional meetings may be held as and when the proposals are received for review.
- b. The proposals will be sent to members at least 2 weeks in advance.
- c. Decisions will be taken by consensus after discussions, and whenever needed voting will be done.
- d. Researchers will be invited to offer clarifications if need be.
- e. Independent consultants/Experts will be invited to offer their opinion on specific research proposals if needed.
- f. The decisions will be minuted and Chairperson's approval taken in writing.

#### **10. Element of review**

- a. Scientific design and conduct of the study.
- b. Approval of appropriate scientific review committees.
- c. Examination of predictable risks/harms.
- d. Examination of potential benefits.
- e. Procedure for selection of subjects in methodology including inclusion/ exclusion, withdrawal criteria and other issues like advertisement details.
- f. Management of research related injuries, adverse events.
- g. Compensation provisions.
- h. Justification for placebo in control arm, if any.
- i. Availability of products after the study, if applicable.
- j. Patient information sheet and informed consent form in local language.
- k. Protection of privacy and confidentiality.
- l. Involvement of the community, wherever necessary.
- m. Plans for data analysis and reporting
- n. Adherence to all regulatory requirements and applicable guidelines
- o. Competence of investigators, research and supporting staff
- p. Facilities and infrastructure of study sites
- q. Criteria for withdrawal of patients, suspending or terminating the study

#### **11. Expedited review**

All revised proposals, unless specifically required to go to the main committee, will be examined in a meeting of identified members convened by the Chairman to expedite decision making. Expedited review may also be taken up in cases of nationally relevant proposals requiring urgent review. The

  
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nature of the applications, amendments, and other considerations that will be eligible for expedited review should be specified.

### **12. Decision-making**

- a. Members will discuss the various issues before arriving at a consensus decision.
- b. A member should withdraw from the meeting during the decision procedure concerning an application where a conflict of interest arises, and this should be indicated to the chairperson prior to the review of the application and recorded in the minutes.
- c. Decisions will be made only in meetings where quorum is complete.
- d. Only members can make the decision. The expert consultants will only offer their opinions.
- e. Decision may be to approve, reject or revise the proposals. Specific suggestions for modifications and reasons for rejection should be given.
- f. In cases of conditional decisions, clear suggestions for revision and the procedure for having the application re-reviewed should be specified.
- g. Modified proposals may be reviewed by an expedited review through identified members.
- h. Procedures for appeal by the researchers should be clearly defined.

### **13. Communicating the decision**

- a. Decision will be communicated by the Member Secretary in writing.
- b. Suggestions for modifications, if any, should be sent by HEC.
- c. Reasons for rejection should be informed to the researchers.
- d. The schedule / plan of ongoing review by the HEC should be communicated to the PI.

### **14. Follow up procedures**

- a. Reports should be submitted at prescribed intervals for review.
- b. Final report should be submitted at the end of study.
- c. All SAEs and the interventions undertaken should be intimated.
- d. Protocol deviation, if any, should be informed with adequate justifications.
- e. Any amendment to the protocol should be resubmitted for renewed approval.
- f. Any new information related to the study should be communicated.
- g. Premature termination of study should be notified with reasons along with summary of the data obtained so far.
- h. Change of investigators / sites should be informed.

### **17. Record keeping and Archiving**

- a. Curriculum Vitae (CV) of all members of HEC.
- b. Copy of all study protocols with enclosed documents, progress reports, and SAEs.
- c. Minutes of all meetings duly signed by the Chairperson.
- d. Copy of all existing relevant national and international guidelines on research ethics and laws along with amendments.
- e. Copy of all correspondence with members, researchers, and other regulatory bodies.
- f. Final report of the approved projects.
- g. All documents should be archived for prescribed period.

### **18. Updating HEC members**

- a. All relevant new guidelines should be brought to the attention of the members.
- b. Members should be encouraged to attend national and international training programs in research ethics for maintaining quality in ethical review and be aware of the latest developments in this area.

  
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## ANNEXURE IX: PLAGIARISM GUIDELINES

The plagiarism guidelines to curb the plagiarism shall be as follows and applicable as below:

### **a) Candidate:**

(1) Assessment of academic and research work done leading to the partial fulfilment for the award of degrees at master's and Research level, by a student or a faculty or a researcher or a staff, in the form of thesis, dissertation and publication of research papers, chapters in books, full-fledged books and any other similar work, reflects the extent to which elements of academic integrity and originality are observed in various relevant processes adopted by University.

(2) Every student submitting a thesis, dissertation, or any other such documents to the University shall submit an undertaking indicating that the document has been prepared by him or her and that the document is his/her original work and free of any plagiarism.

(3) The undertaking shall include the fact that the document has been duly checked through a Plagiarism detection tool approved by the University.

(4) Each supervisor shall submit a certificate indicating that the work done by the researcher under him / her is plagiarism free.

(1) University shall develop a guideline on plagiarism and get it approved by its relevant statutory bodies/authorities. The approved policy shall be placed on the homepage of the University website.

(2) University shall create Institutional Repository on institute website which shall include dissertation / thesis / paper / publication and other in-house publications.

(3) University shall submit to INFLIBNET soft copies of all Masters, Research program's dissertations and thesis within a month after the award of degrees for hosting in the digital repository under the "Shodh Ganga e-repository".

Plagiarism would be quantified into following levels in ascending order of severity:

i. Level 0: Similarities upto 10% - Minor similarities, no penalty

ii. Level 1: Similarities above 10% to 40%

iii. Level 2: Similarities above 40% to 60%

iv. Level 3: Similarities above 60%

Institutional Academic Integrity Panel (JAIP) shall impose penalty considering the severity of the Plagiarism.

**i. Level 0: Similarities upto 10% - Minor Similarities, no penalty.**

**ii, Level 1: Similarities above 10% to 40% -** Such student shall be asked to submit a revised script within a stipulated time not exceeding 6 months.

**iii. Level 2: Similarities above 40% to 60% -** Such student shall be debarred from submitting a revised script for a period of one year.

**iv. Level 3: Similarities above 60% -**Such student registration for that programme shall be cancelled.

**Note 1: Penalty on repeated plagiarism-** Such student shall be punished for the plagiarism of one level higher than the previous level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative.

**Note 2: Penalty in case where the degree/credit has already been obtained -** If plagiarism is proved on a date later than the date of award of degree or credit then his/her degree or credit shall be put in abeyance for a period recommended by the IAIP and approved by the Head of the Institution.

  
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### **b) Detection/Reporting/Handling of Plagiarism**

If any member of the academic community suspects with appropriate proof that a case of plagiarism has happened in any document, he or she shall report it to the Departmental Academic Integrity Panel (DAIP). Upon receipt of such a complaint or allegation the DAIP shall investigate the matter and submit its recommendations to the Institutional Academic Integrity Panel ([AIP] of the University.

The authorities of university should take the notice of the act of plagiarism and initiate proceedings under the regulations.

### **c) Departmental Academic Integrity Panel (DATP)**

i. All Departments in University shall notify a DAIP whose composition shall be as given below:

- a. Chairman - Head of the Department
- b. Member - Senior academician from outside the department, to be nominated by the head of university.
- c. Member - A person well versed with anti-plagiarism tools, to be nominated by the Head of the Department.

The tenure of the members in respect of points 'b' and 'c' shall be two years. The quorum for the meetings shall be 2 out of 3 members (including Chairman).

- ii. The DAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff.
- iii. The DAIP shall have the power to assess the level of plagiarism and recommend penalty (ies) accordingly.
- iii. The DAIP after investigation shall submit its report with the recommendation on penalties to be imposed to the AIP within a period of 45 days from the date of receipt of complaint / initiation of the proceedings.

### **d) Institutional Academic Integrity Panel (AIP)**

i. The composition of University IAIP shall be as given below:

- a. Chairman - Pro-VC/Dean/Senior Academician of the University.
- b. Member - Senior Academician other than Chairman, to be nominated by the Head of University.
- c. Member - One member nominated by the Head of University from outside the University.
- d. Member - A person well versed with anti-plagiarism tools, to be nominated by the Head of the University.

The Chairman of DAIP and IAIP shall not be the same. The tenure of the Committee members including Chairman shall be three years. The quorum for the meetings shall be 3 out of 4 members (including Chairman).

- ii. The AIP shall consider the recommendations of DAIP.
- iii. The IAIP shall also investigate cases of plagiarism as per the provisions mentioned in these regulations.
- iv. The IAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher, and staff of university.
- v. The IAIP shall have the power to review the recommendations of DAIP including penalties with due justification.
- vi. The IAIP shall send the report after investigation and the recommendation on penalties to be imposed to the Head of the University within a period of 45 days from the date of receipt of recommendation of DAIP/ complaint / initiation of the proceedings.
- vii. The IAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.

  
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## ANNEXURE X: FACULTY INCENTIVE SCHEME

Faculty Members are central to the sustenance of a university. To retain talent and promote research, it is proposed that we provide incentives to faculty for their contribution towards Intellectual Capital. While performance measurement is required for any system driven organization, there is a possibility of subjectivity in evaluation that may lead to biases and avoidable comparisons. It is therefore, proposed that for extraordinary contribution, the faculty should be rewarded in terms of better career growth and monetary benefits.

The following scheme covers the areas where extraordinary research contribution of a faculty member, may be rewarded:

Details of Incentive Scheme:

1. Guiding research scholars for Ph.D.: Rs. 5000/- for each Ph.D. awarded from Amity University.
2. On being granted a patent: Rs.15000 (One Time)
3. Getting sponsored projects: 1% (One Time) of the total project amount.
4. For international travel to institutes of repute by arranging funds on their own for establishing collaboration/signing of MoUs, etc.: Rs.10,000 (One time)
5. For being editor of In-house/National Journal: Rs. 5,000/- per annum
6. For being editor of an International Journal: Rs. 10,000/- per annum
7. Publication of research papers/ articles/ case studies, etc.:

Category of publication	Financial Incentive (Per Paper)
International Peer Reviewed Journals (Scopus Indexed) Impact factor of above 10	Rs.20,000
International Peer Reviewed Journals (Scopus Indexed) Impact factor of 5 to 10	Rs.10,000
Category 'A' ( Cabells Directory/Journals of Science & Technology)(Scopus Indexed)Impact factor between 3 to 5	Rs.7,500
Category 'B' (Cabells Directory/Journals of Science & Technology) (Scopus Indexed) Impact factor between 1 to 3	Rs.5,000

### A: General Guidelines:

- It is expected that the faculty will take their normal teaching load and is not expected to seek exemption from the same.
- To claim incentive against any assignment is subject to prior approval of such assignment by competent authority. The Institution/ University may not permit an assignment in case of exigencies where the normal work is likely to get adversely affected.
- Any other incentive may be added, or existing ones may be deleted at the discretion of the University.
- This policy will come into effect from the date of its approval and is subject to amendments from time to time.
- In case of interpretation of any of the provisions, the decision of the Vice Chancellor/

  
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Chancellor will be final and binding.

- With respect to the Incentive Scheme, the HOI shall report any achievement of their respective faculty members in tune with the policy guidelines to the local HR team of the campus at the end of each Academic Year in June.
- The HR team shall process all information to arrive at the recipients of the Incentives and after being duly approved by the Pro VC and VC the same shall be forwarded to the Head Office with supporting documents for further processing and approval of C-VI Sir.
- The Incentives shall be paid out at the end of the Academic Year.

#### **Appendix B: Additional Guidelines for Interpretation of Provisions in The Faculty Incentive Scheme of 27th April'2017**

- a) Reference Serial No. 3 of the FIS, pertaining to getting Sponsored Projects, it is to be noted that, the actual payout of the incentive of 1% of total project amount, shall be calculated on an annual basis as per actual annual accrual of project budget in that particular year.
- b) Reference Serial No. 5 of the FIS, pertaining to publishing of research papers/articles/case studies in journals, it is to be noted that, Incentive shall be awarded for the research paper based on the following criteria:

Category of Publications	Criteria
Impact Factor between 1 to 10	Only First/Principal Author & Corresponding Author to be considered for one collective incentive.
Impact Factor above 10	All authors to be paid incentive individually.

- a) Cases where an Amity faculty member has co-authored a paper with their associates from outside Amity, then he/she shall be eligible for an incentive if, he/she has been a principle/first author or corresponding author.
- b) Reference Serial No. 6 & 7 of the FIS, pertaining to editorship of journals, it is to be noted that Incentive shall only be awarded to the Editor of those journals which are notified on the UGC List of Approved journals only.
- c) A faculty member maybe the editor/reviewing editor/executive editor/chief editor etc. for multiple national/international journals. In such a case, the faculty member shall not be paid an individual incentive for each volume of which he/she maybe the editor/reviewing editor/executive editor/chief editor etc.
- d) In a case as mentioned immediately above at Serial No. (f), the faculty member may only be given incentive for the highest impact factor journal of which he/she maybe the editor/reviewing editor/executive editor/chief editor etc.
- e) In a case where the faculty member continues to be the editor/reviewing editor/executive editor/chief editor etc. of the same publication each year, then the incentive shall not be a recurring payout and shall be a one-time payout only.
- f) As a prerequisite for becoming eligible for any incentive, publishing of papers and editorship should be taken up in high impact factor journals which are indexed by reputed indexing agencies such as Web of Science, Scopus, Indian Citation Index, Thomson Reuters, Cabells Directory, Journal of Science & Technology, Science Citation Index, Pubmed and recognized in the UGC List of Approved Journals.

  
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