

THE RESEARCH POLICY

(Approved in the 4th Governing Body Meeting held on 25th May 2024)



Girijananda Chowdhury University, Assam
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A handwritten signature in blue ink, appearing to be 'R. Deb'.

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The Research Policy of GCU

1. Background

The Girijananda Chowdhury University (GCU), established by an Act of the Legislative Assembly of Assam in 2022, is a leading private university in North-East India. Before its establishment, the founding organization, Shrimanta Shankar Academy (SSA) Society in Guwahati, founded the Girijananda Chowdhury Institute of Management and Technology (GIMT) in 2006 and the Girijananda Chowdhury Institute of Pharmaceutical Sciences (GIPS) in 2007, which were the first private engineering, management, and pharmaceutical sciences institutes in the region. These institutions have secured numerous research projects funded by AICTE, DST, ICMR, ASTEC (Assam), and DRDO. Building on this foundation, GCU has fostered a robust culture of research and innovation, with GIMT and GIPS serving as key pillars in its R&D efforts. GCU is dedicated to promoting, nurturing, and supporting high-quality research aimed at addressing regional and national challenges, contributing to the global knowledge economy, and achieving sustainable development goals. Committed to being a Research and Innovation Driven University, GCU has established guidelines for conducting research applicable to all full-time, part-time, and contractual employees, as well as all students.

2. Rationale

- 2.1. The policy is prepared in alignment with the UGC guidelines for research and development. The academic and intellectual pursuits at the GCU are premised on a foundation constituted by the elements of critical thinking, creative problem solving and the approaches of multi and interdisciplinary. These are the driving forces in research and innovation at the GCU. Besides these, research, and innovation at the GCU, stands on strong ethical grounds. The GCU policy on research and innovation reflects this fundamental essence of universal intellectual pursuit for generation of knowledge for the wellbeing of humanity and for a sustainable world.
- 2.2. The R&D of GCU has the mandate of harnessing the infinite creative intellectual potential of the students and faculty members. The research policy of the GCU ensures a broad multi and interdisciplinary space for inquiry and research exploration that is rooted in strong moral and ethical grounds.
- 2.3. In accordance with the best research practices at GCU, the transmission of knowledge and the conduct of scholarly inquiry are viewed as the core functions of a university committed to research and innovation. To fulfill these functions, it is essential that faculty, scholars, and students are granted certain freedoms while also accepting corresponding





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obligations and responsibilities.

- 2.4. At the outset, it could be broadly stated that GCU Research policy is to ensure that individual scholars are free to select their broad and narrow disciplines, or interdisciplinary perspectives to narrow down the subject matter of their research, and to seek support from other schools in GCU or outside to source for their work. They are also free to form their own opinion, theories, explanations, findings in their research report where they draw certain conclusions.
- 2.5. It is important to emphasize that all research reports and publications arising out of GCU research Program must carry the correct affiliation i.e., Girijananda Chowdhury University, Assam, in the credit/address tag lines in the published versions as books, research papers, book chapters, articles, on-line or off-line reports, and any other R&D-related materials.
- 2.6. However, these findings and conclusions must be open to both internal (through a Research Sub-Committee mechanism) and external scrutiny (by individuals and agencies that assess and evaluate innovations, proposed patents, and research). All research reports are also open to criticism as required by the University's Policy on Openness in Research.
- 2.7. Simultaneously, the University Research Policy prohibits the use of any research or survey methodology or technique that violates professional ethics related to the health, safety, privacy, and other personal rights of human subjects, or that causes injury or pain to animals and living organisms. All research related to these parameters must be approved in accordance with relevant national and international guidelines to avoid any conflicts in the future perspectives.
- 2.8. As a distinguished academic institution, GCU provides an environment conducive to research across all fields of knowledge. The University supports research demands based on the availability of resources to meet the necessary and desired requirements for conducting research. For decades, GCU has upheld a legacy of supporting R&D by providing infrastructure, including laboratories, libraries with internet access, and other facilities, using its own funds to complement those from funding agencies, depending on the merits of the research proposals.
- 2.9. The University does not encourage any speculations or discussions on any kind of platform (including social media) concerning the political or moral impropriety or the uses which might be made of its results of research. The university would provide fora in the form of a 'University'.
- 2.10. Research & Development Committee' for discussions of this nature if need arises, and if there arises controversies in this respect. It is also mandatory to ensure that GCU research platforms are not used to argue against the widely acclaimed research positions or against the national policies of India, or against the universally accepted international laws and provisions. The above principles circumscribe the University's role with respect to

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University- connected research. They are not intended to diminish the individual researcher's personal responsibility to assure that the conduct of research, the sources of funding for the same, and its perceived applications are consistent with the individual researcher's judgment and conscience, and with both established professional ethics and national security and national interest.

3. Research Objectives

The Research and Innovation policy of GCU has the following objectives

- 3.1. To promote research in the fundamental and applied aspects with a multi and interdisciplinary approach.
- 3.2. To focus on coordinating and promoting research activities on a regional, national and international level.
- 3.3. To address local, regional, and national problems through innovative research.
- 3.4. To create an ecosystem for conducting research, facilitating the application of the enormous intellectual and imaginative prowess of the faculty members and the students for generation of knowledge and innovative technology.
- 3.5. To maintain utmost ethical practices in all research activities undertaken at the University and to create transparent, effective, and efficient systems for maximizing research outputs.
- 3.6. To support and encourage interdisciplinary and multidisciplinary collaborative research within the university, and to promote and facilitate research collaborations through MoUs with reputed institutes, universities, and research organizations both in India and abroad.
- 3.7. To focus and promote evidence-based research to facilitate quality and original student research and innovation amongst the postgraduate and graduate students.
- 3.8. To engage and encourage research and research-based activities amongst faculty members, students as well as administrative staff.
- 3.9. To support research and innovation by creating state-of-the-art research infrastructure and providing SEED money to innovators/researchers for initiating start-ups and research proposal.
- 3.10. To support the university's researchers and innovators with incentives, recognition, and promotions for their effective contributions to R&D.
- 3.11. To facilitate and maintain international standards of research work and attract eminent scholars and scientists from across the globe.
- 3.12. To safeguard the generated knowledge and innovation of the faculty members, students as well as administrative staff and protect their intellectual property.
- 3.13. To maximize funding and motivate faculties to secure grants for supporting research, both from government and non-government sources, as well as from international funding agencies.

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- 3.14. To enhance research aptitude and skill amongst university stakeholders by organizing workshops, conferences, faculty development programs, lectures, webinars, industrial visits, and seminars, etc.
- 3.15. Integrate research activities undertaken by the undergraduate, post-graduate and doctoral students with the research focus of the University in alignment with the national thrust areas.
- 3.16. Ensure a facilitating environment for conduct of high-quality original research by all individuals affiliated with the University and provide continued and effective support, mentoring and guidance for pursuit of research activities;
- 3.17. Translate new knowledge, innovations, technologies, and tools emerging out of research conducted at GCU into products and processes for commercialization, technology transfer aiming for societal benefit.
- 3.18. Protect Intellectual Property (IP) generated as a result of research conducted at GCU.
- 3.19. Ensure the effective dissemination of the University's research activities and achievements both internally and externally, while nurturing and supporting emerging institutes and schools with research integrity to cultivate future scientists.
- 3.20. Enhance the research profile of the University by effective dissemination of research activities and achievements of the University at all levels to maximize the impact and recognition of research done at GCU at national and international levels.

4.0. The policy statements of GCU

- 4.1. A Research and Development Cell (RDC) shall regularly works towards promotion of quality research in the university. The cell encourages and guides faculty members to develop research proposals for submission at various funding agencies for research grants.
- 4.2. The university shall offer Ph.D. programs (<https://gcuniversity.ac.in/ph-d/>) across all disciplines and shall be in alignment with the National Education Policy 2020 (NEP-2020) and UGC.
- 4.3. The faculty members are encouraged to do multi-disciplinary research through collaboration within the various departments of the university and also with universities and institutes of repute. The University shall establish a Centre for Multidisciplinary and Interdisciplinary Studies to facilitate this.
- 4.4. The policy stipulates provision of awarding SEED money to the appointed faculty members to facilitate their initial research and support incubation/innovation/minor research projects. The University shall have a provision for incentivizing faculty members on being awarded research grants, publishing articles primarily in reputed Journals (SCI/Scopus/Web of Sciences or UGC-CARE) and receive top research awards


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- from recognized state, national, or international organizations.
- 4.5. The University will encourage and support faculty members for acquiring additional advancement of qualification, research work, multidisciplinary qualification, and any other academic add-on and upgradations.
 - 4.6. The University shall prioritize sustaining and maintaining the assets of previously completed projects funded by various agencies to ensure the smooth continuation of research.
 - 4.7. Major project achieved from government agencies like Idea-Lab, FIST laboratory etc. under different Schools, shall be encouraged to regularly organize events like science exhibition, hackathon, ideathon, training, etc.
 - 4.8. The University shall expedite academic collaboration for promoting joint research, exchange programs for faculty and student researchers with reputed institutions of the country and abroad.
 - 4.9. The University shall have an Intellectual Property Right (IPR) Cell for promoting innovation and creation of awareness about protection of Intellectual Property Right of the University.
 - 4.10. The University shall have mechanisms in the form of high-powered committees to maintain stringent ethical standards in the conduct of research and innovation.
 - 4.11. The University shall institute mechanisms as per the guidelines of the Government of India maintaining safety in the conduct of research experiments on the campus.
 - 4.12. The University shall have various committees like the Doctoral Committee, the Departmental Research Committees and the Central Research Council to ensure regular monitoring on the quality of research being conducted by research students as a part of their graduate, doctoral (PhD) and Post-doctoral research as per the guidelines' and regulations of the Government of India (UGC).
 - 4.13. The University shall offer Merit based scholarship to eligible candidates to support their research activities.

5. Governance and leadership

The highest governing body for research and development in the university shall be the Research Council, operating through a two-tier system comprising: (a) the Research and Development Cell (RDC) formed according to UGC norms, and (b) the Department Research Committee (DRC), which oversees and monitors various aspects of R&D at the departmental level, including PG and doctoral programs. The DRC shall include doctoral committees to report and update on all aspects of PhD research.

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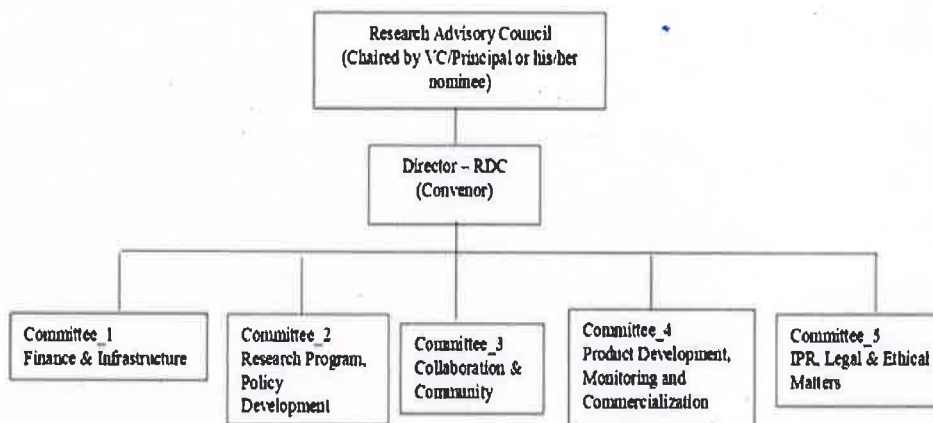


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5.1. Composition of the Research and Development Cell (RDC)

- 5.1.1. The Research Governance will have a Research Advisory Council (RAC) headed by the Vice-Chancellor or his/her nominee as the apex body of RDC.
- 5.1.2. The Director, nominated by Vice-Chancellor among the distinguished researchers from the university, will head various committees to drive the governance.
- 5.1.3. RDC may form multiple committees to smoothen its functioning with respective committee members nominated by the Director RDC and approved by RAC. The organizational structure of RDC comprising of various committees for specified functions are as under:



- 5.1.4. The Director (RDC), the Conveners and members of various committees (nominated by the Director-RDC from/among the existing faculties with research credentials) and supporting administrative/technical staff would ensure smooth conduct of the research activities in GCU.
- 5.1.5. In the absence of the Vice Chancellor, the RDC meeting will be chaired by the senior-most of the above listed members from the GCU.
- 5.1.6. The RDC will meet at least once a year (ideally, twice a year) to review research progress, offer critical comments and suggest corrective measures to enhance the research activities of the University.
- 5.1.7. The 'Term of office' of the RDC members, once constituted, will be for a period of Three (3) years. The same members may continue to hold office or re-nominate by the chairman or as per the guidelines of UGC-RDC.
- 5.1.8. The members may be replaced in case of non-availability of existing member(s) for any reason.
- 5.1.9. The RDC Chairman may, if necessary, appoint and nominate two external expert members from other reputed organizations to provide support and expert opinions for shaping the university's R&D.

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5.2. Role and functions of the RDC

- 5.2.1. RDC Seeks to promote, support, and regulate all research activities involving faculty, research scholars' academic associates, scientists, and students. University expects professional self-regulation adhere to principles of ethical conduct of research.
- 5.2.2. Review and approvals of research proposals through authorities appointed by the university (coordinator, advisory committee, ethics committee, safety committee and any other relevant committee that may be constituted)
- 5.2.3. Beside seeking these approvals guidelines issued by the university shall also need to be complied with (guidelines for externally funded project, undertaking of consultancy services, appointment of project staff and their remuneration).
- 5.2.4. Safeguarding the rights privacy and confidentiality of participants in research.
- 5.2.5. Make recommendations to the Research council and academic council on matters related to research promotion and infrastructure.
- 5.2.6. Comprehensively mapping the core and ancillary competencies of individual faculty members along with other soft skills to identify strengths and weaknesses. This will enable identification of research potential maximizing the output from each individual.
- 5.2.7. While it is expected that the researchers will generate their funds for undertaking the research activities, the University may also support the research activities. The extent of support shall be decided based on the potential of research outcome on peer review. It is expected from the researcher to ensure potential benefits to the University.
- 5.2.8. RDC shall also facilitate designing of custom-made faculty development programs in advanced areas to improve upon the skills of GCU faculty and researchers and help them overcome their weaknesses to maximize their research contribution to the University.
- 5.2.9. RDC shall facilitate Researchers to participate in training program on capacity building, sensitizing on responsible, ethical, and legal conduct of research.
- 5.2.10. Researchers are also expected to participate in investigations on complains and conflicts, violation of ethics, deviation from SoPs, best practices and norms, regulatory guidelines.
- 5.2.11. Researchers are expected to undertake research activities in accordance to university policies and rules/regulations.
- 5.2.12. Provide support to the researcher at times of research conflicts or judgment at national and international level. A research integrity officer (RIO) may be appointed to handle this matter.

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5.3. Composition of the Department Research Committee (DRC) and Doctoral Committee (DC)

- 5.3.1. The DRC shall be established at the school or departmental level within the university and shall consist of a chairman (Dean/HoD), a convener (R&D coordinator of the department or school) nominated by the DRC chairman, all research supervisors, and external members (from other departments within the university or from other universities).
- 5.3.2. The Doctoral Committee (DC) shall operate under the DRC and consist of a Supervisor (Chairman) and 2-4 faculty members (or more) from within or outside the department or schools for providing expert opinion about the PhD work progress.
- 5.3.3. The university shall appoint a 'Ph.D. programme coordinator' from among the senior faculties to govern, monitor, regulate and mentor all activities related with Ph.D. programme. It is the duty of the Ph.D. programme coordinator to draft the Ph.D. regulations of a university and update it timely in accordance with the UGC norms. Any consent related with the Ph.D. programme shall be a one point of contact with the coordinator. For any reason where the situation cannot be resolve by the Ph.D. coordinator shall be brought to the higher authorities of the University inclusive of the Vice-Chancellor and Registrar.

5.4. Role and functions of the DRC and DC

- 5.4.1. Oversees and coordinates research activities within departments, ensuring alignment with university research goals.
- 5.4.2. Reviews and approves research proposals, ensuring adherence to ethical standards and academic rigor.
- 5.4.3. Supports faculty in securing funding and resources for research projects, including grants and collaborations.
- 5.4.4. Monitors progress and outcomes of ongoing research initiatives, providing guidance and feedback as needed.
- 5.4.5. Facilitates interdisciplinary collaborations and fosters a culture of innovation and academic excellence within the department.

6. Rights & Responsibilities of faculties/Principal Investigator/researcher/ and the university

- 6.1. The university shall provide full freedom with enormous support to the faculties to do research, within the university premises or outside collaborations following the best research practice guidelines.
- 6.2. Researchers are responsible for planning, conducting, and publishing original research that contributes to their field of study.

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- 6.3. Researchers must actively seek and secure funding from internal and external sources to support their research projects.
- 6.4. Faculties/researchers doing research shall provide full support in guiding and mentoring the students, junior researchers, and research assistants, fostering their development and ensuring the quality of their work.
- 6.5. Faculties/Researchers of the university shall publish research findings in reputable journals (SCI/Scopus/Wob of Sciences or UGC-CARE listed), presenting papers at conferences, and continuously updating their skills and knowledge through professional development opportunities, attending workshops, conferences, and other training sessions.
- 6.6. Principal Investigators (PIs) are responsible for efficiently managing their research projects, overseeing bench work, reporting, data curation, and analysis to meet timelines and project objectives. They must also maintain financial records for annual audits and timely submission of Utilization Certificate or Statement of utilization or General Financial Rules (GFR) to funding agencies to prevent future issues. Faculty and research staff should avoid conflicts of interest between their GCU commitments and other activities. Any actual, potential, or perceived conflicts must be promptly disclosed to the University administration to resolve issues before engaging in research and innovation activities.
- 6.7. PIs are directly responsible to assure the periodic inspection of lab facilities, take corrective measures—if required, and to cooperate in any inspections by safety personnel or by external agencies. Faculty members also need to ensure that approved research protocols for the use of human and animal subjects in research are obtained and followed.
- 6.8. PIs are responsible for securing necessary approvals for the purchase of the equipment, proper tagging, and maintaining inventory, utilization of equipment and peripherals, and disposal once the equipment becomes either obsolete or dysfunctional and irreparable or is in excess.
- 6.9. All funded projects and their costs or accounts must be reviewed and certified by the PI quarterly. It is also the responsibility of each departmental head or Dean of Schools to see that a system is in place to ensure that the PIs fulfil this requirement for review and certification.
- 6.10. All research equipment's annual maintenance contract (AMC) shall be maintained from the research project overhead funds of the PI's.
- 6.11. Engaging with the local and global community through outreach activities, public lectures, and partnerships to apply research findings for societal benefit.
- 6.12. GCU Research Policies aim to guide faculty and researchers in recognizing potential conflicts between their activities and their primary commitments. They educate about

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conflicts of interest, clarify disclosure expectations, identify ways to manage conflicts, and promote the best interests of students and staff.

- 6.13. If faculty, research staff, or Investigators have questions about permissible activities under the University Research Policy, they should disclose potential conflicts and seek guidance from their department, Dean, RDC or the Vice-Chancellor's Office.
- 6.14. Institutes and Schools may supplement this policy for their faculty and Investigators. To ensure consistency with GCU policies, these additional policies must be approved by the Vice-Chancellor and Dean of Schools.
- 6.15. Faculty members have the right to share their research results freely, without suppression or alteration by external sponsors, except for specific agreements made with sponsoring agencies, universities, and researchers.
- 6.16. The Faculty and Researchers could also engage in external consulting activities, subject to the University's rules, regulations, and limitations. A separate section on Consultancy Policy is included in this document (HYPERLINK) to facilitate this activity. But it is important that faculty adhere to both the spirit and the letter of the policy.
- 6.17. Ensuring health and safety is of utmost importance for researchers in laboratory settings. Faculty conducting research at GCU must have valid health and accident insurance to ensure their safety in the laboratories.
- 6.18. All researchers and faculty at the university are required to affiliate all publications or innovations with the university's name.

7. Policy for R&D financial support to faculties and students

- 7.1. This policy outlines the financial support mechanisms aimed at fostering research and development activities among faculty and students within the university premises.
- 7.2. The policy provides information on available funding sources, including internal grants, SEED grant, external sponsorships, and collaborative funding opportunities.
- 7.3. The policy outlines the procedures for faculty and students to apply for research grants, including eligibility criteria, deadlines, and required documentation.
- 7.4. The policy specifies guidelines for budget preparation, expenditure categories, and allowable expenses.
- 7.5. It also describes the peer-review process for evaluating grant proposals, ensuring transparency and fairness in awarding financial support.
- 7.6. The policy outlines detailed schemes (GCU-ISRAD) for incentivizing faculty and researchers who contribute to the university's R&D through publications, patents, and representation at research conferences.
- 7.7. The detailed information about the R&D financial support policy is highlighted. Please click here (HYPERLINK).

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8. Policy for consultancy and research projects

- 8.1. The policy encourages faculty participation in consultancy projects as a means of professional development, fostering collaborations, enhancing expertise, and contributing to the university's reputation and outreach efforts.
- 8.2. The policy specifies the approval process, requiring faculty to seek permission from appropriate university authorities or corporate bodies or industries before entering into consultancy agreements to ensure alignment with institutional objectives and policies.
- 8.3. The policy outlines the requirements for drafting and executing contracts with external clients, detailing project scope, deliverables, timelines, fees, and terms of engagement.
- 8.4. The policy provides guidelines for financial management, including budgeting, billing, fee structures, and allocation of revenues between faculty, departments, and the university.
- 8.5. The policy provides disclosure of potential conflicts of interest arising from consultancy projects and outlines procedures for managing and mitigating these conflicts to maintain integrity and transparency.
- 8.6. Addresses ownership and management of intellectual property generated during consultancy projects, ensuring clarity on rights and responsibilities of the university, faculty, and clients.
- 8.7. Emphasizes adherence to ethical standards, confidentiality agreements, data protection measures, and professional conduct in all stages of consultancy engagements.
- 8.8. Establishes mechanisms for monitoring and evaluating the quality of consultancy services delivered, including client feedback, performance reviews, and continuous improvement processes.
- 8.9. Requires thorough documentation of consultancy activities, including project reports, financial records, and compliance with regulatory requirements and client expectations.
- 8.10. Cost sharing commitments are to be implemented as per the rules of the university. All publications and other outcomes of the project are to be explicitly acknowledged and abide by the rules of university.
- 8.11. Consultants to research projects need to abide by the ethos, values, and vision of the university throughout the entire duration of the project.
- 8.12. The detailed information about the policy for consultancy projects is stated in the hyperlink (HYPERLINK).

9. Policy for Intellectual property rights (IPR)

- 9.1. The policy covers all intellectual property rights pertaining to patents, copyrights, trademarks or any other intellectual rights of the university.
- 9.2. The policy specifies the ownership rights of IP created by faculty, staff, and students, including work created during the course of employment or study at the university.

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- 9.3. The policy detail the process for evaluating the commercial potential of disclosed IP and the steps the university will take to protect it, including filing for patents and other legal protections.
- 9.4. The policy outlines the procedures for the commercialization of IP, including licensing agreements, spin-off companies, and collaboration with industry partners.
- 9.5. The policy describes the revenue-sharing model between the university, the creators of the IP, and other stakeholders, including percentages and distribution mechanisms.
- 9.6. The policy defines the roles and responsibilities of faculty, staff, and students in relation to IP, including compliance with university policies and participation in IP protection and commercialization efforts.
- 9.7. The policy emphasizes the importance of maintaining confidentiality regarding IP-related information and outlines procedures for handling confidential information.
- 9.8. Provides mechanisms for resolving disputes related to IP ownership, rights, and revenue sharing, including mediation and arbitration processes.
- 9.9. Commits to providing ongoing education and training for faculty, staff, and students on IP rights, the importance of IP protection, and the university's IP policies and procedures.
- 9.10. All intellectual property rights, proposals and publications should be affiliated with the university. University will own the intellectual property and copy rights arising from all research produced in the university and its constituents.
- 9.11. The university will provide legal certainty to research output of the university.
- 9.12. All participating researchers, including postdocs, students, and visiting scholars, must sign the GCU Patent and Copyright Agreement before starting any research activities related to patents or commercialization.
- 9.13. The detailed information about the policy for IPR is stated in the hyperlink (HYPERLINK).

10. Policy for MOU and research collaborations

- 10.1. The policy describe the purpose of MOUs and research collaborations, emphasizing their role in fostering academic partnerships, enhancing research capabilities, and promoting knowledge exchange.
- 10.2. The policy outlines the process for initiating and approving MOUs and research collaborations, requiring proposals to be reviewed and approved by relevant university authorities, such as the Office of RDC and the Vice-Chancellor.
- 10.3. Establishes criteria for selecting partners, ensuring alignment with the university's strategic goals, research priorities, and academic standards.
- 10.4. Defines the roles and responsibilities of the involved parties, including project management, resource allocation, data sharing, and compliance with ethical and legal

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standards.

- 10.5. Specifies the management and ownership of intellectual property (IP) generated through the collaboration, including terms for joint IP ownership, licensing, and commercialization.
- 10.6. Details the financial arrangements and resource commitments for the collaboration, including funding sources, budget allocation, and infrastructure support.
- 10.7. Emphasizes the importance of maintaining confidentiality and protecting sensitive data, with clear guidelines on data access, usage, and storage.
- 10.8. Establishes mechanisms for monitoring the progress of the collaboration, including regular reporting, performance metrics, and evaluation criteria to ensure objectives are met.
- 10.9. Provides procedures for resolving conflicts and disputes that may arise during the collaboration, including mediation and arbitration processes.
- 10.10. Outlines the terms for terminating the MOU or collaboration, including conditions for early termination and procedures for renewal or extension of the agreement.
- 10.11. The detailed information about the policy for MOU and research collaboration is stated in the hyperlink (HYPERLINK).

11. Policy for Innovation and start-up

- 11.1. The policy discuss on the establishment of a dedicated center to support and nurture innovation and start-up activities within the university.
- 11.2. The policy includes provisions for offering SEED grants to support initial funding for student and faculty start-ups. However, to promote best practices, it is recommended that all innovators, along with their mentors, seek external SEED grants or funding from other agencies to ensure sustainable and self-reliant development.
- 11.3. The policy emphasizes the creation of a mentorship program that connects students and faculty with experienced entrepreneurs and industry experts. This will be achieved through regular workshops, seminars, and training sessions focused on business development, marketing, and financial planning
- 11.4. The policy aims to encourage and support research activities with potential commercial applications.
- 11.5. Promote collaboration between departments and external partners to improve research outcomes. Establish partnerships with industry leaders, venture capitalists, and government agencies
- 11.6. Organize networking events, hackathons, ideathon and start-up competitions to foster connections and showcase innovations.
- 11.7. Offer resources and guidance on intellectual property rights, patents, and legal issues related to start-ups. Provide access to legal advisors and services to help with business formation and compliance.

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- 11.8. Create opportunities for students to intern with start-ups and innovation-focused companies. Encourage experiential learning through real-world projects and collaboration with industry partners.
- 11.9. Implement a system to track and evaluate the progress and impact of the innovation and start-up initiatives.
- 11.10. Gather feedback from participants and stakeholders to continuously improve the policy and its implementation.
- 11.11. The detailed information about the policy for Innovation and start-up is stated in the hyperlink (HYPERLINK).

12. Application of General Principles & Other Matters

12.1. Inception, Technical and Invention Reports

- 12.1.1. Principal Investigators are responsible for submitting sponsor-required reports through the appropriate channels in a timely manner. An Inception report, prepared at the conclusion of the inception period, outlines the project's workplan (plan of operations) for the remainder of its duration.
- 12.1.2. It would include stake-holder assessment, human resource plan and communications plan, all of which are essential to completing the include the project successfully.
- 12.1.3. The PIs may also be required to submit a Technical Report (also called a Scientific Report) from time to time - that would describe the process, progress, or results of technical or scientific research, including recommendations and conclusions of the research project.
- 12.1.4. Further, purely for patenting purposes, the PIs may have to submit an Invention Report that would form the basis of patent application. In case of few funding agencies that require a six-monthly or bi-annual Progress Report. The research staffs are expected to submit progress reports bi-annually to the PI anyway.

12.2. Application of the General Principles

In furtherance of these general principles, the decisions concerning shall be made without regard to a person's political, social, or other views not directly related to academic values or to the assumption of academic responsibilities; without regard to the conduct of a person holding an appointment at GCU in some other capacity, or without regard to an individual's race, ethnic origin, sex, or religion. The authorities will accordingly decide on -

- The search for, and appointment and promotion of, faculty
- The assignment of teaching and other primarily academic responsibilities
- The support and sponsorship of scholarly research
- Any other granting or withholding of benefits or imposition of burdens

12.3. Grievance Procedures

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- 12.3.1. The grievance procedures outlined elsewhere in the University Policy documents will be followed for the research projects as well. These procedures are designed to assure that decisions by faculty members and administrators comply with the standards of academic freedom granted to all faculty and PIs.
- 12.3.2. The grievance procedures are internal to the University and are aimed at preserving confidentiality and academic integrity while protecting the rights of individual staff. The provisions of engagement in the projects do not create contractual rights subject to review by agencies outside the University.
- 12.3.3. The rights herein conferred shall be enforceable only by a person who is directly aggrieved and who holds a faculty or research position; no other person or persons could complain on her/his behalf.
- 12.3.4. If any faculty member feels aggrieved by a decision that she or he believes to be in violation of this guidelines and rules, he or she may file a grievance pursuant to the Statement on Faculty Grievance Procedures and its attendant standing rules.
- 12.3.5. For grievances brought in whole or in part for alleged violation of the Statement on Academic Freedom, the rules and procedures of the Statement on Faculty Grievance Procedures shall be modified as required.
- 12.3.6. For a grievance not arising out of a negative decision on appointment, reappointment or promotion, the grievance and appeal structure shall rest on the authorities of the University.

12.4. Requirement of Secrecy & Security of R&D property of the University

- 12.4.1. Ensuring the secrecy and security of R&D activities is crucial for protecting intellectual property. GCU shall safeguard its R&D property from theft or unauthorized use by means of adopting cyber security, anti-virus softwares and proper storage of research inventions at a library section with locker system. Maintaining confidentiality helps secure research outcomes, patents, and other forms of intellectual property rights.
- 12.4.2. The university shall confidentially preserve its R&D projects/outcomes and ensures that they maintain a competitive edge. Premature disclosure of research findings can lead to the loss of potential commercial opportunities and competitive advantages over other institutions.
- 12.4.3. The university must comply with various ethical and legal standards regarding the handling of sensitive information, especially when dealing with human subjects, proprietary data from partners, or classified information. Ensuring the security of R&D activities helps meet these regulatory requirements and maintain ethical standards.
- 12.4.4. GCU may often collaborate with private companies, government agencies, and other research institutions. These partners may require strict confidentiality agreements to protect their own interests and ensure the mutual benefit of the collaboration. Secure





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handling of shared information is essential to maintaining trust and fostering ongoing partnerships. A non-disclosure agreement shall be imposed for safeguarding research information.

- 12.4.5. R&D projects, especially those focused on defense, cybersecurity, and advanced technologies, can have national security implications. The university must ensure that these projects strictly follow security protocols to prevent sensitive information from being accessed by adversaries or unauthorized entities, thereby supporting national security efforts.
- 12.4.6. All ongoing research projects (PG or PhD), including research titles and documents, must be kept confidential to prevent breaches or theft. Disclosure of such documentation should be made to the requesting authority (during inspection) only when necessary or as per the guidelines stated by the UGC. The research guide/investigator may be asked for any sort of disclosure.
- 12.4.7. If access is required during the project to confidential data, it will be up to the Vice-Chancellor, Dean of schools or Director RDC to resolve the issue in consultation with the Head and the PIs or researchers.
- 12.4.8. For any novel inventions that are coming up from research thesis and that greatly requires confidentiality, the supervisor or PI's can make a request to the Registrar of the University to ensure full protection to the research outcomes. Confidentiality agreements may be signed to prevent the unauthorized disclosure of research findings before they are protected by patents or other intellectual property rights.
- 12.4.9. The university is not responsible for any research data that is stolen or intentionally or unintentionally publicly shared through conferences, workshops, social media platforms, or publications if the researcher deviates from this policy.

13. Authorship & Related Issues

- 13.1. Authorships in a research document is typically granted to individuals who have made significant contributions to the conception, design, execution, or interpretation of the research. Each field may have specific guidelines, but substantial intellectual input is generally required.
- 13.2. The university faculties/researchers shall follow good practice in publications and avoid conflicts of interest pre- and post publication in a Journal. The order of authors is often significant and can denote the level of contribution. The first author usually indicates the person who did most of the work (bench work), while the last author often represents the senior researcher or principal investigator. Co-authors shall be given to a person who contributed towards the conceptualization, reviewing, editing, proof-check, data curation, resources, formal analysis, sponsoring (in partial/full) etc.
- 13.3. PI/supervisor will decide on the sequences of authorship names in any research

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publication arising out of a project work. The authorship rights and responsibilities of faculty, staff and students are a matter to be resolved within the group by the PI/supervisor.

- 13.4. In some cases, multiple authors may have contributed equally. This is often indicated with a note, such as "These authors contributed equally to this work," to acknowledge their shared effort.
- 13.5. Individuals who contributed to the research but do not meet the criteria for authorship can be acknowledged separately. This might include technical support, data collection, or administrative assistance.
- 13.6. The university discourages the unethical practice of ghost authorship. 'Ghost authorship' occurs when someone who made substantial contributions to the research is not listed as an author. This is unethical and can undermine the integrity of the research.
- 13.7. The university discourages the unethical practice of assigning 'Honorary or guest authorship'. These authorship are individuals who are listed for name sake as authors without having made significant contributions to the research. This practice is also unethical and can distort the true authorship.
- 13.8. Faculties of the university shall strictly follow the International regulations towards COPE (Committee on publication ethics) for regulating authorship to a particular article. The university is not responsible for any future conflict of interests, if COPE is not officially followed by the faculties/researchers pertaining to publications.
- 13.9. Conflicts over authorship can arise and should be addressed early. Open communication and clear agreements on authorship criteria and order can prevent misunderstandings and disputes.
- 13.10. The university appreciates, recognizes and incentivizes only those authors who have significantly contributed to the research work as the first author or corresponding author to a publication. This is also applicable to a patent, book, chapter in a book and others.
- 13.11. In cases where complaints and disagreements arise between students (postdoctoral, graduate, and undergraduate) and their faculty over credit for work to which both may have contributed, the Deans concerned may decide at their level. In doubt or dispute, the University RDC could provide guidance with respect to credit for scholarly work where several research staff and faculty are involved with or under a PI. This is only when it becomes difficult to determine responsibility of authorship.
- 13.12. Each author in a group should have access to the manuscript prior to its being submitted for publication, and should agree to his or her inclusion as a coauthor. For some journals signatures of all authors is a primary document to avoid any conflicts in the later stage. All the participants in the Program should know that the paper is being prepared for publication.

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14. Research Misconduct

- 14.1. Research misconduct refers to any unethical practice pertaining towards research, innovation and publications. This includes plagiarism, falsification and fabrication of research data.
- 14.2. The university prohibits research misconduct in both publications and research activities. In alignment with UGC guidelines for the PhD program, all scholars engaged in studies or research at the university are required to complete credit courses in Research Methodology and Research Publication & Ethics.
- 14.3. The supervisor or principal investigator (PI) bears full responsibility for any research misconduct occurring under their supervision. Therefore, any faculty member, supervisor, or PI conducting research at GCU must exercise great caution to maintain a rigorous research environment.
- 14.4. Faculties/Researcher at GCU shall follow certain international guidelines for research misconduct such as COPE, World Association of Medical Editors (WAME), World Conference on Research Integrity (WCRI) etc.
- 14.5. Any suspected research misconduct must be immediately reported to the university RDC by the researcher, PI, or faculty. The decision of the RDC, in conjunction with the Vice-Chancellor, shall be documented and addressed accordingly for correction and guidance.

15. Retention of and Access to Research Data

- 15.1. It will be ensured by the Deans and the PIs that research data is appropriately recorded, archived for a reasonable period of time, and available for review under the appropriate circumstances as may be decided by the RDC. This is because accurate and appropriate records are an essential component of any research project.
- 15.2. Both the University and the PI have responsibilities and rights concerning access to, use of, and maintenance of original research data, except where precluded by the specific terms of sponsorship or other agreements, tangible research property, including the scientific data and other records of research conducted under the auspices of GCU belongs to this University.
- 15.3. The PI/supervisor is responsible for the maintenance and retention of research data that may be necessary for the reconstruction and evaluation of reported results of research and the events and processes leading to those results. It is the responsibility of the PI/supervisor to determine what needs to be retained under this policy. The data shall be readily produced whenever necessary on request or demands by higher authority or during inspection. Hence, data availability repositories or data management plans (RMP) shall be created by the supervisor/PI's for future references.
- 15.4. Research data should be retained by the PI's/supervisor/university library for a minimum

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period, often ranging from five to seven years after the completion of the research project, publication, or submission of the final report. Specific fields or types of research may have different retention requirements.

- 15.5. The university usually holds ownership of the research data generated by its researchers. This ensures that the data can be accessed and used for future research, verification of results, or in response to legal inquiries.
- 15.6. Access to research data should be granted based on need and relevance. Researchers involved in the project, institutional review boards, and authorized university personnel typically have access. External access may be granted under specific conditions.
- 15.7. Researchers are encouraged to share their data with the broader scientific community to promote transparency, reproducibility, and further scientific discovery. However, sharing must comply with privacy laws, ethical guidelines, and any agreements with research participants.
- 15.8. For all projects, the PIs should adopt an orderly system of data organization and should communicate the chosen system to all members of a research group and to the appropriate administrative personnel as a matter of research protocol.
- 15.9. For clinical data, the retention and access policies must consider ethical issues, including the confidentiality and privacy of research participants. Personal data should be anonymized or de-identified when possible to protect individuals' privacy. The policy for Ethics committee of the university shall be followed for clinical data.
- 15.10. When data no longer needs to be retained, it should be disposed of securely. Paper records should be shredded, and electronic data should be irreversibly deleted to prevent unauthorized access.
- 15.11. The university shall make arrangement for data storage system and shall be protected from any breach/theft/corrupted due to virus. A valid and licensed anti-virus shall be subscribed.
- 15.12. Wherever research is funded by an agency outside the GCU which may have or which impose certain specific provision(s) regarding ownership, retention of and access to technical data, the provision(s) of that agreement will supersede this policy. Otherwise, the scientific record for projects conducted at the GCU and/or with university resources are its own resource.
- 15.13. Wherever or whenever necessary, the Vice-Chancellor and Dean of schools may direct the PI to assure needed and appropriate access to the data to other faculty members for advanced research.
- 15.14. Further, when individuals involved in research projects at GCU join other universities or institutions, they may be allowed by the PI/Deans concerned to take copies of research data for projects on which they have worked but not necessarily all data or associated records. All such requests have to be approved by the Vice-Chancellor and Dean of

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schools.

- 15.15. If a PI leaves GCU, and a project is to be moved to another institution as per the agreement with the funding agency, ownership of the data may be transferred with the approval of the Vice-Chancellor and Dean of schools, based on a written request from and agreement with the PI's new institution that would guarantee acceptance of custody of the data so transferred, and grant access to other GCU faculty in future to the same. The final decision of data transfer shall be from the chair of the Vice-chancellor.

16. Human Subjects and Scientific Research

- 16.1. This section elaborates on the policy to give comprehensive information about the organization and focus of the human subject-based research protection Program at the GCU. In these matters, the PIs and the University has to comply with the applicable laws of the land. All members of the GCU who may like to be involved in any research – in sciences or social science/humanities involving human subjects must be knowledgeable about these laws and their requirements. The primary responsibility in this respect lies with the PI so that there is an institutional system particularly the 'Ethics committee' to protect human subjects. For any qualitative and quantitative study involving human subjects, the GCU shall strictly follow international guidelines or national guidelines specified by Indian Council of Medical Research (ICMR), Medical Council of India (MCI), Drugs and cosmetic act etc.
- 16.2. The University Ethics Committee, with Government approval, is responsible for the initial and continuous review of human research protocols, evaluating risks, benefits, and informed consent documents. They must address any unforeseen problems and non-compliance. The Ethics committee should also arrange regular training for investigators, research staff, and students on legal and ethical standards for human subjects research.
- 16.3. Anyone who knows or suspects that human research at GCU is unethical or illegal must report it promptly to the Ethics Committee. The Committee will review the issue and impose sanctions as needed, which may include administrative, civil, or criminal penalties, and possible termination.

17. Animals as Laboratory Subjects

- 17.1. All research involving animals must receive prior approval from the University's Institutional Animal Ethics Committee (IAEC) or an equivalent ethics review board. Researchers must submit detailed research proposals, including objectives, methods, and humane treatment plans to the IAEC prior before conducting of Research. The ethical certificate/document duly approved by the IAEC shall be the only approved and valid document for further research

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- 17.2. It is the role and responsibility of the supervisor/PI guiding students/scholars to get prior approval for experimenting on animals.

18. Environmental Health and Safety

- 18.1. All research activities must comply with relevant local, state, and federal environmental health and safety regulations. Researchers are responsible for understanding and adhering to international guidelines set by organizations such as OSHA (Occupational Safety and Health Administration) and EPA (Environmental Protection Agency).
- 18.2. Researchers must conduct thorough risk assessments for all research activities to identify potential hazards. Risk management plans must be developed to mitigate identified risks, including the use of appropriate safety equipment, protective measures, and emergency response procedures.
- 18.3. All research personnel must complete mandatory training on environmental health and safety practices relevant to their research activities. This includes certification in the proper handling of hazardous materials, emergency procedures, and the use of personal protective equipment (PPE).
- 18.4. Research facilities must have documented emergency preparedness and response plans for incidents such as spills, accidents, or fires. Regular drills and reviews of these plans must be conducted to ensure readiness and effective response to emergencies.
- 18.5. Researchers must monitor and minimize the environmental impact of their research activities. This includes managing waste, reducing emissions, and implementing practices that support environmental sustainability. Regular audits and assessments should be performed to ensure compliance with environmental protection standards.
- 18.6. The University Research Committee on Health and Safety is charged with the responsibility of exercising oversight over all health and safety Program at the GCU and ensure that adequate health and safety measures have been taken in designing and executing scientific and technological experiments.

19. Financial Responsibilities for Sponsored Research

- 19.1. All PIs should be well-versed in the GFR (General Financial Rules) of the Government of India offices and the standard financial practices including accounting procedures based on which they would be required to deal with the Finance & Accounts Office of GCU to conduct research work.
- 19.2. Wherever excepts are required, Public financial management system (PFMS) to be handled by Finance office. The university shall appoint a finance officer to look after the PFMS account to avoid any inconvenience to the R&D activities of the university.

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20. Review of General Principles and amendments

- 20.1. The Research Policy or any policy associated with this policy shall be reviewed and amended annually by the University authorities, and shall be within the purview and framework of the guidelines specified by UGC.
- 20.2. All the university stakeholders inclusive of faculty members, alumni, industry experts or management are welcome to submit their suggestions and expert opinion to the 'University Research Council' pertaining towards shaping this policy. All the suggestions will be brought and discussed for possible amendments.

Disclaimer

GCU values high-quality research and the essential role of researchers. These policies are designed to encourage researchers, faculty, scholars, and students to utilize the university's advanced resources, financial support, and available expertise for conducting exceptional research. The university is dedicated to fostering innovation and promoting involvement in creative research and consultancy projects.

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