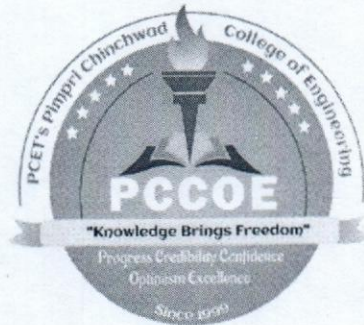


PCET's

Pimpri Chinchwad College of Engineering

Sector No. 26, Pradhikaran, Nigdi, Pune – 411 044



**Research, Development and Innovation (RDI)
Policy Manual**

11th June 2021

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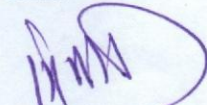
Approved on 15th June 2021


Approval

Research, Development and Innovation (RDI) Policy Manual prepared for Pimpri Chinchwad College of Engineering (PCCOE) is presented before Trustees of PCET. The RDI Policy Manual is approved on 15th June 2021 and adopted for implementation from the date of approval. This manual will replace all the previous circulars, documents, procedures and guidelines related to Research Development and Innovation activity issued till date at PCCOE.

Any revisions, modifications, additions, deletions in this structure of **83 pages** may only be done with a prior written approval of the undersigned.

Date:


Executive Director
PCET

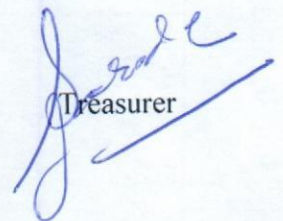

Director
PCCOE

Approved By


Chairman


Vice Chairman


Secretary


Treasurer

RDI manual is presented and approved in the meeting of Board of Governance of PCCOE on

Director
PCCOE

Record of Revisions

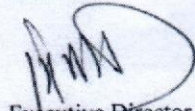
Date of revision	Description	Executive Director	Secretary, PCCOE
31/8/2021	Amendment in R Research, Development & Innovation Policy		


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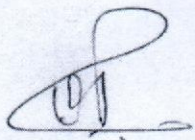
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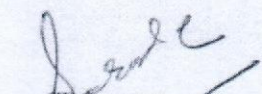

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Date of revision	Description	Executive Director	Secretary, PCCOE

Executive Summary

In line with the emphasis of Research and Development in the National Education Policy, PCCOE will focus on to enhance and strengthen its R&D culture in a noticeable manner in the coming five years. The proposed RDI manual provides logical, systematic and impartial guidelines for encouraging R&D culture at the Institute level. The manual provides policy guidelines of PCCOE in five sections vis-à-vis Publication, Funded Projects, Event Organization, Intellectual Property Rights and Consultancy and Testing

Measure provisions of R&D manual are mentioned below.

1. Publications

Sr. No.	Publication in	Incentive scheme/Financial support
1	Peer reviewed International Journal with Impact factor /Cite Score above 5	➤ Cash incentive of Rs.15,000/- per publication twice per year
2	Peer reviewed International Journal with Impact factor /Cite Score less than 5	➤ One time cash incentive of Rs.10,000/- per publication twice per year
3	Publication of book chapter	➤ One time cash incentive of Rs.10,000/- per publication
4	Publication of book	➤ One time cash incentive of Rs.5,000/- per book
5	Peer reviewed National journal	➤ Maximum financial support to the extent of Rs.5,000/- shall be admissible, once in a financial year
6	International conference abroad	➤ Maximum financial support to the extent of 50% of registration charges shall be admissible, once in a financial year to the first author only

Executive Summary

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6	International conference abroad	➤ Maximum financial support to the extent of 50% of registration charges shall be admissible, once in a financial year to the claiming author only
7	International conference in India	➤ Maximum financial support to the extent of 50% of registration charges shall be admissible, once in a financial year to the claiming author

		only
8	Attending National level conference for paper presentation	➤ Maximum financial support to the extent of 50 % of the registration charges shall be admissible
9	For students International/ National conference	➤ One time cash incentive of Rs.3,000/- per publication
10	For students Peer reviewed International/ National journal (Students)	➤ One time cash incentive of Rs.5000/- per publication
11	Attending national International Conference, Workshop, Seminar, Meeting etc.	➤ Only Duty Leave and No financial assistance is admissible for attending the conference in any capacity Keynote speaker, Participant, Organization committee member etc.

Financial support for Traveling

Particulars	Director, Professor, Associate Professor, Assistant Professor
Any country abroad	Rs.40,000/- or at actuals whichever is less

Financial support for DA per day

Particulars	Director, Professor, Associate Professor, Assistant Professor
Any location abroad	Rs.7000/-

2. Funded Projects

The financial support will be provided for academic project work of UG/PG/Ph.D. students after selection on merit basis and subject to availability of balance R&D funds to the concerned department. The support can be extended to co-curricular projects of the students, developing different models to participate in national and international level competitions again after selection on merit basis and subject to availability of balance R&D funds to the concerned department. The Office of Dean Research and Innovation may recommend a financial assistance of not more than Rs. 1 Lakhs to UG/PG projects in departments. Financial assistance needed to the Ph.D. research scholar may be obtained through writing projects to different

funding agencies however a seed grant up to Rs. 1 Lakh may be initially provided to them to begin their research work on merit basis.

A financial incentive of Rs. 10,000 to PI and team for funding received in the range of 10 Lakhs to 30 Lakhs while Rs. 25,000 to PI and team for funding received above 30 Lakhs is proposed.

3. Event Organization

The Institute extends partial support on a selective basis for organization of the STTP/Seminar/Workshop/Conference. The extent of support may be decided by PCCOE after selection on merit basis and subject to availability of balance R&D funds.

4. Intellectual Property Rights

Intellectual property of any kind created by Faculty, Students, Staff Project, Staff Visitors and others, such as Trainees from other Institutes, participating in PCCOE Programs or using PCCOE Funds or Facilities, are owned by PCCOE when either of the following applies:

- a) The Intellectual Property was created with the significant use of Funds or Facilities administered by PCCOE.
- b) The Intellectual Property was created as a part of the –
 - i. Normal Professional Duty or
 - ii. Work on Joint Ventures
- c) The Intellectual Property was created in the Course of or pursuant to a Sponsored / Consultancy Research Agreement with PCCOE. In such cases, specific provisions related to IP made in Contracts governing such activity will determine the ownership of IP.
- d) The Intellectual Property was created as a part of Academic Research and Training leading towards a Degree or otherwise.

5. Consultancy and Testing

Revenue Sharing through Consultancy Projects

Type I [Consultancy]- If the College Facilities and man-power is not significantly used, it will be shared in 80:20 ratio i.e. 80 % to the PI and the Team and 20% to the College. The 80% share further will be distributed as 75 % to the PI and team while 5 % to the respective HOD.

The 20% share of the College will further be distributed as 15% to the Institute and 5 % to the Administrative Office.

Type II [Testing]- 60:40 ratio i.e. 60 % to the PI and the Team and 40 % to the College in case College Facilities are used. The 40 % share of the College will be distributed as 30% to the College, 5 % to the respective HOD and 5 % to the Administrative Office.

Type III [Testing]- 40:60 ratio, In case of project involving merely testing could be taken up by a Department, and 60% revenue should be shared to PCCOE including expenditure on testing and tax while 40% share to the concerned faculty and staff. Out of the 60% of PCCOE share, 5 % to the respective HOD and 5 % to the Administrative Office should be given.

6. PCCOE Researcher of the year Award

It is proposed to appreciate contributions made by researchers to boost their future endeavors and to encourage others to conduct quality research. In this regard, 'PCCOE Researcher of the Year Award' is constituted and the researcher having best performance during the academic year shall be awarded with a cash prize and a certificate. Following criteria shall be used to identify outstanding contributions of faculty members in RDI activities are mentioned in detail in the policy manual. The period of assessment shall be an academic year from 01stJune to 31stMay.

PCCOE Research, Development and Innovation (RDI) Policy Manual Committee

Sr. No.	Name	Designation	Role
1	Dr.S.S.Lakade	Dean R&I	Chairperson
2	Dr.Rajani.P.K	Associate Dean R&I	Secretary
3	Dr.S.V.Shinde	Professor, Computer Engineering	Member
4	Dr.U.G.Potdar	Associate Professor, Mechanical Engineering	Member
5	Dr.V.S.Bendre	Associate Professor, E&TC Engineering	Member
6	Dr.G.W.Rathod	Associate Professor, Civil Engineering	Member
7	Mrs.J.H.Dewan	Assistant Professor, Information Technology	Member
8	Mr.B.S.Khurana	Assistant Professor, MCA	Member

Preface

The National Educational Policy of Govt. of India underlines the importance of research as follows.

“Research and innovation at institutions in India, particularly those that are engaged in higher education, is critical. Evidence from the world’s best universities throughout history show that the best teaching and learning processes at the higher education level occur in environments where there is also a strong culture of research and knowledge creation. Research will have to be seeded, grown, supported, and fostered at Higher Education Institutes around the country that do not currently have the capacity for research.”

Draft National Education Policy 2020 is approved now at the national level. The policy is being adopted for implementation at the national level.

In line with the emphasis of Research and Development in the National Education Policy, PCCOE would focus on to enhance and strengthen its R&D culture in a noticeable manner in the coming five years. PCCOE envisions transforming the quality and quantity of research in the Institute to a new high level. A comprehensive guideline and policy manual for R&D for PCCOE was the need of the hour.

The R&D framework will give a strong impetus to the future R&D efforts. This manual provides logical, systematic and impartial guidelines for encouraging R&D culture at the Institute level. This document forms a general reference for all R&D related activities at PCCOE. A copy of this manual will be with Dean, R&I.

-RDI Policy Manual Committee

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Vision of PCCOE

To serve the Society, Industry and all stake holders through Value Added Quality Education

Mission

To serve the need of the society at large by establishing state-of-the-art Engineering, Management and Research institute and impart Attitude, Knowledge and Skills with Quality Education to develop individuals and teams with ability to think and analyze right values and self-reliance.

1. INTRODUCTION

Research in any field is the foundation of any activity which shows a definite direction to a project. It is the beginning exercise in all the developments such as social, scientific, engineering, industrial, technological, or economic development. Planning a project or product without background research is surely a risky venture. Such a venture or enterprise may waste a lot of organizational resources. This attempt would be similar to hopping in the dark without any direction. Research & Development (R & D), Innovation and Entrepreneurship Development endeavors nowadays have become an essential and integral part of renowned academic Institutions. For enhancement of professional competence, the students must be well exposed to the R & D, Innovation, and Entrepreneurship environment prior to passing out with an undergraduate, postgraduate, or Ph. D. Degree. The extent and vigor of R & D, Innovation, and Entrepreneurship development activities undertaken in the campus influence the ranking and determines the quality of accreditation of the Institute at the National Level. For an Institute to remain at the forefront of the country's professional academic scene, it is imperative to establish a dedicated R & D, Innovation and Incubation & Entrepreneurship Development program on their campus.

The objectives of proposed Research, Development & Innovation (R & I) Policy Manual are as follows.

- To introduce a robust R & I culture at Pimpri Chinchwad College of Engineering (PCCOE)
- To give an impetus and a definite direction to R & I in the Institute
- To improve the quality and quantity of R & I at PCCOE
- To provide a clear framework of procedures and incentives to the prospective researchers
- To provide a clear framework of procedures for incubation proposals
- To motivate budding innovators to become entrepreneurs

The policy will henceforth be called **Research Development & Innovation Policy**. With the publication of this policy; students, teaching faculty, non-teaching faculty, and staff of PCCOE are encouraged to contribute actively in enhancing the R & I activity of the Institute. Predefined incentives will be available for achieving component-wise as well as

cumulative targets of the six components mentioned above. The Institute also encourages any R & I activity that culminates into the development of stature of the Institute at the National or International Level. All R & I activities must be in line with the ethics, vision, and mission of the Institute.

R & I activity has the following components

1. Publication
2. Undertaking Research
3. Development
4. Consultancy and Testing
5. Generation of IPR
6. Incubation & Entrepreneurship Development

2. PUBLICATION

One of the important indicators of research culture in the Institute is the magnitude and class of faculty and student publications. A number of ranking and accrediting agencies at the national and international level such as NIRF, NBA, ABATE, NAAC award are given a considerable weightage to faculty and student publications.

Quality and quantity of faculty and student publications thus strongly influence the ranking of the Institute at the national and International level. A good number of publications in the peer-reviewed Journals and Conferences helps in building the brand and enhance the visibility of the Institute at the national and International level.

With this realization, PCCOE encourages faculty and students to publish their research on various platforms. An incentive scheme is devised with an objective to accomplish a good number of quality publications from the faculty & students described in section 2.1. The policy involves cash incentives and financial support for publications at various levels. The format of application to seek permission and financial support for participation in the conference is given in section 2.2. The format of application to claim the incentive for publication is given in section 2.3.

2.1 Incentive Scheme for Publication

Sr. No.	Publication in	Allowances & leave	Incentive scheme/Financial support
1	<p>Peer reviewed International Journal with impact factor above 5</p> <p>— with SCI (Science Citation Index)/ Scopus/ Web of Science/ Thomson Reuters/ ISI (International Scientific Indexing)/ ESCI (Emerging Sources Citation Index)/ SCIE (Science Citation Index Expanded) indexing</p> <p>— with an affiliation of PCCOE by the author/s</p>	➤ NA	<p>➤ Cash incentive of Rs.15,000/- per publication</p> <p>➤ Incentive to a maximum of two publications/book per financial year is applicable in this category</p> <p>➤ Incentive will be equally divided among all authors of PCET for the said paper</p> <p>➤ No article processing charges will be provided under this category</p>
2	<p>Peer reviewed International Journal with impact factor less than 5</p> <p>— with SCI (Science Citation Index)/ Scopus/ Web of Science/ Thomson Reuters/ ISI (International Scientific Indexing)/ ESCI (Emerging Sources Citation Index)/ SCIE</p>	➤ NA	<p>➤ Cash incentive of Rs.10,000/- per publication</p> <p>➤ Incentive to a maximum of two publications per financial year is applicable in this category</p> <p>➤ Incentive will be equally divided among all authors of PCET for the</p>

2.1 Incentive Scheme for Publication

Sr. No.	Publication in	Allowances & leave	Incentive scheme/Financial support
1	<p>Peer reviewed International Journal with Impact factor /Cite Score above 5</p> <p>— with SCI (Science Citation Index)/ Scopus/ Web of Science/ Thomson Reuters/ ISI (International Scientific Indexing)/ ESCI (Emerging Sources Citation Index)/ SCIE (Science Citation Index Expanded) indexing</p> <p>— with an affiliation of PCCOE by the author/s</p>	NA	<ul style="list-style-type: none"> ➤ Cash incentive of Rs.15,000/- per publication ➤ Incentive to a maximum of two Publications / book per financial year is applicable in this category ➤ Incentive will be equally divided among all authors of PCET for the said paper ➤ No article processing charges will be provided under this category
2	<p>Peer reviewed International Journal with Impact factor /Cite Score less than 5</p> <p>— with SCI (Science Citation Index)/ Scopus/ Web of Science/ Thomson Reuters/ ISI (International Scientific Indexing)/ ESCI (Emerging Sources Citation Index)/ SCIE</p>	NA	<ul style="list-style-type: none"> ➤ Cash incentive of Rs.10,000/- per publication ➤ Incentive to a maximum of two publications per financial year is applicable in this category ➤ Incentive will be equally divided among all authors of PCET for the

	(Science Citation Index Expanded) indexing — with an affiliation of PCCOE by the author/s		said paper ➤ No article processing charges will be provided under this category
3	Publication of book chapter in — Renowned publishers such as McGraw Hill/ Wiley/ SAGE/ Taylor & Francis/ Springer/Elsevier/ Oxford Academic Press — Valid ISBN Number with an affiliation of PCCOE by the author /s	➤ NA	➤ Cash incentive of Rs.10,000/- per publication ➤ Incentive to a maximum of one book chapter per financial year is applicable in this category ➤ Incentive will be equally divided among all authors of PCET for the said book chapter ➤ No article processing charges will be provided under this category
4	Publication of book in — Renowned publishers such as McGraw Hill/ Wiley/ SAGE/ Taylor & Francis/ Springer/ Oxford Academic Press — Valid ISBN Number — with an affiliation of PCCOE by the author /s	➤ NA	➤ Cash incentive of Rs.10,000/- per book ➤ Incentive to maximum of one book per financial year is applicable in this category ➤ Incentive will be equally divided among all authors of PCET for the said book
5	Peer reviewed National journal	➤ NA	➤ Maximum financial

	<p>— with SCI (Science Citation Index)/ Scopus/ Web of Science/ Thomson Reuters/ ISI (International Scientific indexing)/ ESCI (Emerging Sources Citation Index)/ SCIE (Science Citation Index Expanded) indexing</p> <p>— with an affiliation of PCCOE by the author/s</p>		<p>support to the extent of Rs.5,000/- shall be admissible, once in a financial year</p> <ul style="list-style-type: none"> ➤ Incentive will be equally divided among all authors of PCET for the said paper ➤ Author can publish multiple publications in a financial year
6	<p>International conference abroad leading to proceedings/special edition indexed in</p> <p>— SCI/ Scopus/ Web of Science/ Thomson Reuters/ ISI/ ESCI/ SCIE</p> <p>— with an affiliation of PCCOE by the author /s</p>	<ul style="list-style-type: none"> ➤ Duty leave for the period including travelling days shall be admissible ➤ DA admissible is mentioned in Table 2 	<ul style="list-style-type: none"> ➤ Maximum financial support 50% of registration charges shall be admissible, once in a financial year to the corresponding author only ➤ Financial support in the form of return traveling charges shall be admissible according to the type of country and cadre, once in a financial year to the claiming author only as per Table 2
7	<p>International conference in India leading to proceedings/special</p>	<ul style="list-style-type: none"> ➤ Duty leave for the period including 	<ul style="list-style-type: none"> ➤ Maximum financial support to the extent of

	<p>edition indexed in</p> <p>— SCI/ Scopus/ Web of Science/ Thomson Reuters/ ISI/ ESCI/ SCIE</p> <p>— with an affiliation of PCCOE by the author /s</p>	<p>travelling days shall be admissible</p> <ul style="list-style-type: none"> ➤ Two-way train/ bus fare by the shortest route ➤ DA as applicable to the grade of pay 	<p>50% of registration charges shall be admissible, once in a financial year to the claiming author only</p>
8	<p>Attending National level conference for paper presentation</p>	<ul style="list-style-type: none"> ➤ Duty leave shall be admissible ➤ Return train/ bus fare by the shortest route ➤ No DA shall be admissible 	<ul style="list-style-type: none"> ➤ Maximum financial support to the extent of 50 % of the registration charges shall be admissible once in a financial year
9	<p>For students</p> <p>International/ National conference leading to proceedings/special edition indexed in</p> <p>— SCI/ Scopus/ Web of Science/ Thomson Reuters/ ISI/ ESCI/ SCIE</p> <p>— with an affiliation of PCCOE by the author /s</p>	<ul style="list-style-type: none"> ➤ NA 	<ul style="list-style-type: none"> ➤ Cash incentive of Rs.3,000/- per publication ➤ Incentive to students to maximum of 20% student publications per department per financial year is applicable in this category. ➤ Incentive will be equally divided if more than one students of PCET author the paper ➤ No article processing charges will be provided

10	<p>For students</p> <p>Peer reviewed International/ National journal (Students)</p> <p>— with SCI (Science Citation Index)/ Scopus/ Web of Science/ Thomson Reuters/ ISI (International Scientific indexing)/ ESCI (Emerging Sources Citation Index)/ SCIE (Science Citation Index Expanded) indexing</p> <p>with an affiliation of PCCOE by the author/s</p>	<p>➤ NA</p>	<p>➤ Cash incentive of Rs.5000/- per publication</p> <p>➤ Incentive to students to maximum of 20% student publications per department per financial year is applicable in this category.</p> <p>➤ Incentive will be equally divided if more than one students of PCET author the paper</p>
11	<p>Attending national International Conference, Workshop, Seminar, Meeting etc.</p>	<p>➤ Duty leave for the period including travelling days shall be admissible</p> <p>➤ No DA admissible</p>	<p>➤ No financial assistance is admissible for attending the conference in any capacity Keynote speaker, Participant, Organization committee member etc.</p> <p>➤ However if PCCOE management instructs a faculty or staff member/s to attend certain event (meeting, seminar, conference, workshop etc.) and deputes for the said event then he will be</p>

			entitled to reimbursement of actual expenses incurred by him as TA and DA against valid production of proofs.
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Table 1: Financial support for Traveling

Particulars	Director, Professor, Associate Professor, Assistant Professor
Any country abroad	Rs.40,000/- or at actuals whichever is less

Table 2: Financial support for DA per day


Particulars	Director, Professor, Associate Professor, Assistant Professor
Any location abroad	Rs.7000/-

General conditions for publications:

1. All incentives are applicable to claims of current year and students and not with back effect.
2. Incentive is applicable to published journal papers or Article in press papers and not for accepted for publication or comments answered papers
3. The incentives for publications in Journals may be reimbursed to authors who submit their claims in the prescribed format only.
4. For publishing paper in International or National conference, only one claiming author (student or faculty member as per their entitlement) is entitled to the incentive amount (Registration charges, TA and DA). A No Objection Certificate from remaining authors of PCCOE is needed for processing the claim in such cases.

5. Claim of cash incentive can be processed in cases of only published research articles and not in accepted cases.
6. Cash incentive claim should be evaluated for publications over a span of one financial year only; that is between 1st April and 31st March of the financial year.
7. The amount of incentive claimable and payable will be valid over a span of one financial year; that is between 1st April and 31st March of the financial year. The same cannot be accumulated or carried forward.
8. Authors are required to submit a formal existing application complete in all respects, with enclosures of evidence substantiating the claim of incentive.
9. Application should be addressed to Director, PCCOE and sent to Dean R & I through respective Heads of the Departments. Claims received through this channel only will be processed.
10. Claim applications can be submitted throughout the year.
11. If more than one authors of PCCOE contribute to the publication; then, the sanctioned incentive amount will be equally divided among all authors of the PCCOE
12. Authors desirous of claiming incentive for an International Journal publication must submit documentary evidence in respect of the current impact factor/ quality of the Journal.

Format of Application for Financial Support for International Conference

	<p>Pimpri Chinchwad Education Trust's Pimpri Chinchwad College of Engineering Sector No. 26, Pradhikaran, Nigdi Pune -411044. (An ISO 9001:2015 certified Institute) Permanently Affiliated to SPPU Approved by AICTE, New Delhi, Govt. of Maharashtra, DTE, Mumbai.</p>
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APPLICATION FOR PARTICIPATION IN CONFERENCE

Faculty/Student

Name:
Department:

To
 The Director,
 Pimpri Chinchwad College of Engineering, Pune.

Sub: - Permission for attending / presenting paper in National/ International Conference organized at
 (Organization Name)

Respected Sir,

(Organization Name) is
 arranging an International / National conference on
 during (Date)..... The
 conference will help me to improve

Publication details are as (if only attending the conference state 'NA' here)

Title of the Paper:

Authors Name:

Pre/ Post conference proceeding publication journals details:

Registration Charges for the conference is: Rs.....

Permission may please be given to attend the conference and provide the financial assistance as
 per the prevailing Policies.

Thanking You,


Regards,

(Signature)

<p>HOD</p> <p>.....</p> <p>.....</p> <p>.....</p> <p style="text-align: right;">Signature</p>	<p>Remarks:</p> <p>.....</p> <p>.....</p> <p>.....</p> <p style="text-align: right;">Signature</p>	<p>Dean R & D Remarks:</p> <p>.....</p> <p>.....</p> <p>.....</p> <p style="text-align: right;">Signature</p>
<p>Registrar Remarks:</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>Signature.....</p>	<p>Director Remarks:</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>Signature.....</p>	

New

2.3 Format of Application for Publication Incentive

	<p align="center">Pimpri Chinchwad Education Trust's Pimpri Chinchwad College of Engineering Sector No. 26, Pradhikaran, Nigdi Pune -411044. (An ISO 9001:2015 certified Institute) Permanently Affiliated to SPPU Approved by AICTE, New Delhi, Govt. of Maharashtra, DTE, Mumbai, Maharashtra</p>	
CASH INCENTIVE FOR PUBLICATION		
Faculty/Student	Name: Department:	
<p>To, The Director, Pimpri Chinchwad College of Engineering, Pune Subject: Claim of cash incentive for research publication</p>		
<p>Dear Sir,</p>		
<p>I have published my study / research findings as follows</p>		
1.	Name of the claimant	
2.	Designation and department	
3.	Details of Publication/book/book chapter	
4.	Journal / conference	
5.	Indexed in	
6.	5 Year Impact factor /Cite Score	
7.	Title of paper	
8.	Names of contributing authors from PCCOE	
<p>With reference to the provisions of scheme in the R&I Manual 2021 of PCCOE, I wish to claim a total cash incentive of Rs. _____/-. This amount may please be sanctioned and amount deposited in my</p>		

New

salary account. In the event of false claim I assure to return the entire amount in one installment within 8 days of intimation.

Thank you


Yours faithfully
(Signature name and date)

Note: – Attach the following documents along with this application:

1. Copy of research article
2. Proof of online publication & Indexing
3. Proof of financial support received from Institute if any

<p>HOD Remarks: (Regarding verification of online publication, indexing and financial support from Institute)</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>Signature</p>	<p>Dean R & D Remarks. (Regarding verification of online publication, indexing and financial support from Institute).</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>Signature</p>
<p>Registrar Remarks:</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>Signature.....</p> <p>.....</p>	<p>Director Remarks:</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>Signature.....</p> <p>.....</p>

2.2 Format of Application for Publication Incentive

	<p>Pimpri Chinchwad Education Trust's Pimpri Chinchwad College of Engineering Sector No. 26, Pradhikaran, Nigdi Pune -411044. (An ISO 9001:2015 certified Institute) Permanently Affiliated to SPPU Approved by AICTE, New Delhi, Govt. of Maharashtra, DTE, Mumbai, Maharashtra</p>
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CASH INCENTIVE FOR PUBLICATION

Faculty/Student

Name:

Department:

To,
 The Director,
 Pimpri Chinchwad College of Engineering,
 Pune
 Subject: Claim of cash incentive for research publication

Dear Sir,

I have published my study / research findings as follows

1.	Name of the claimant	
2.	Designation and department	
3.	Details of Publication/book/book chapter	
4.	Journal / conference	
5.	Indexed in	
6.	5 Year Impact Factor	
7.	Title of paper	
8.	Names of contributing authors from PCCOE	

With reference to the provisions of scheme in the R&I Manual 2021 of PCCOE, I wish to claim a total cash incentive of Rs. _____ /-. This amount may please be sanctioned and amount deposited in my

salary account. In the event of false claim I assure to return the entire amount in one installment within 8 days of intimation.

Thank you

Yours faithfully
(Signature name and date)

Note: – Attach the following documents along with this application:

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<p>Registrar Remarks:</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>Signature.....</p> <p>.....</p>	<p>Director Remarks:</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>Signature.....</p> <p>.....</p>

3. FUNDED PROJECTS

The research in a Higher Education Institute is a part of its core objectives, and research enables the faculties to be aware about the recent advancements in their areas of interest and provides an opportunity for the faculty and students associated with them to interact with their peers around the globe. Being a Self-Financed Institution, funds for the Research are limited; therefore, to carry out the research activities, we are dependent on the various funding bodies which provide grants for research.

3.1 The Policy for Funded Research: Research Organizations through submission of Research Proposals

1. As the Funded/Sponsored Research is a subject matter of the Research and Development, All the projects/programs under this subject are under the Office of Dean - Research and Innovation.
2. The identification of problems can be done either by the individual faculty members or group of faculty members based on their interaction with the Stakeholders or by the Office of Dean.
3. The office of Dean, Research and Innovation can also conduct a Market Survey for identification of the problem statements that address the stakeholders.
4. The office of Dean, Research and Innovation shall maintain the database of the problem statements identified and publish them in their monthly e-Newsletters for the information among the faculty members and students.
5. If the problem statement is identified by the individual faculty member / group of faculty members the Faculty Member/One member in the group should be the Principal Investigator (PI).
6. If the problem is identified by some other means, the office of Dean, Research and Innovation can identify the potential faculty members for being the Principal Investigators for the problem statement, and provide them the letter to prepare a proposal on the problem statement to be sent to a funding agency.
7. Once appointed as Principal Investigators, he/she can take potential faculty members/research scholars working as Co-PI.

8. The identified PI/Co-PI in association with the office of Dean, Research and Innovation shall identify the prospective funding agencies that can fund the research in that area, prepare a proposal and submit the same.
9. Office of Dean Research and Innovation can also submit proposals for the perusal of Institute Governing Council for considering the proposals for funding the same under the Institute Level.
10. In case where there are limitations on the number of proposals submitted at institute level (e.g. AICTE, DST, QIP), the final decision of allocation of research proposal to different programs will be taken by office of Dean, Research and Innovation in consultation with the Director.
11. The Principal Investigator and the office of Dean Research and Innovation shall take a regular follow up with the funding agencies regarding the submitted proposals and to provide necessary inputs if any funding agency requires. The database of all projects submitted along with their status to be maintained by the office of Dean, Research and Innovation.
12. If the funding agency approves the project proposal, then the office of Dean Research and Innovation shall issue the Letter of project approval to the Principal Investigators, with the complete details of the budget sanctioned under various heads, timelines to be followed and deliverables to meet the need of funding agency.
13. The Principal Investigator shall utilize the institute resources/ his research students to complete the project in a time bound manner.
14. If the Principal Investigator needs any external services for solving the research problem, he can avail the services with the prior permission from the Dean, Research and Innovation provided that budget is available under the head; the Dean, Research and Innovation to ensure this.
15. The Principal Investigator or his research students can travel and undergo training on the any specific tools required regarding the project, with the prior permission from the Dean, Research and Innovation, provided that budget is available under the head; Dean Research and Innovation to ensure this.
16. The Principal Investigator shall submit the Annual Progress Report regarding the project, highlighting the significant works done, budget utilized and budget remaining

- in the prescribed formats by funding agencies as per the guidelines of these agencies and a copy of which shall also be submitted to the office of Dean, Research and Innovation.
17. The Principal Investigator after completing the project shall submit the complete project report along with the deliverables to the funding agency through the office of Dean, Research and Innovation, along with the Utilization Certificate in the prescribed formats.
 18. The office of the Dean, Research and Innovation shall carry out the audit of expenses made for the project and provide the detailed financial report to the funding agency if required.
 19. The office of Dean, Research and Innovation shall provide a letter of appreciation to the Principal Investigator and the Research Students involved in the completion of the project.
 20. On the merit basis and subject to availability of R&D funds, the office of Dean Research and Innovation shall recommend the Institute Governing Council a financial incentive of Rs. 10,000 to PI and team for funding received in the range of 10 Lakhs to 30 Lakhs. Distribution (if applicable) of incentive is left to the discretion of PI.
 21. On the merit basis and subject to availability of R&D funds, the office of Dean Research and Innovation shall recommend the Institute Governing Council a financial incentive of Rs. 25,000 to PI and team for funding received above 30 Lakhs. Distribution (if applicable) of incentive is left to the discretion of PI.
 22. The institute shall provide seed grant up to 20 Percentage of R&D budgets allotted to the department for the researchers who wish to initiate the research. This seed grant can be utilized for purchasing minor equipment for carrying out the research, Travel grant in India and any other activity to develop their research. The researcher shall submit the application for seed grant in prescribed format as in section 3.4.
 23. For any Financial Assistance received from Organizations like DST, AICTE, University, Government of Maharashtra etc., the stipulated guidelines will be followed for the use of Facilities created, distribution of Revenue generated if any by making use of such Facility and other related aspects.

3.2 The policy for Funded Research Projects: Industry Sponsored or Research Organization Collaboration

1. Director on behalf of the Management is authorized to accept / reject the projects received from Industry based on Feasibility Report prepared by the competent Faculty appointed by him.
2. In case Industry / Institute approach the competent Faculty directly for the research project, he / she should prepare and submit the Feasibility Report of such Work / Program through the Parent Department to the Director through the office of Dean Research & Innovation for consideration and subsequent approval.
3. The Feasibility Report will include the Plan of Execution, use of Administrative and Infrastructural Facilities available in the College and the Cost / Benefit Report.
4. In both the Cases, Director will be the final Authority to accept or reject the Proposal for Consultancy Work / Training Program.
5. In case the sponsored research projects are accepted by the Director, he will appoint a competent Faculty as a 'Principal Investigator (PI)' / Co-Principal Investigator (Co-PI) for the same, in consultation with the Head of the concerned Department / Section.
6. PI and the authorized person from the funding industry will prepare MoU as per mutually agreed Terms and Conditions and get it signed by both the Parties i.e. PCCOE and the Funding Industry/Institute.
7. Depending upon the Nature and Contents of the work, the PI will form a Team for the execution of sponsored research projects.
8. PI and the Team will perform these activities in addition to their regular Academic Assignments allotted to them by the Department and the additional responsibilities allotted to them by the College.
9. In case it is necessary, PI will prepare Intellectual Property Document and register the same as per the Intellectual Property Policy of the College and concerned industry.
10. For any Financial Assistance received from Industry/Research Scholar, the stipulated guidelines and timelines will be followed for the use of Facilities created, distribution of Revenue generated if any by making use of such Facility and other related aspects.

3.3 The Policy for Funded Research Projects of UG/PG/Ph.D. Students

The main objective of this policy is to strengthen the research outcomes from the student project work.

It can be applied in prescribed format as provided in section 3.3.

1. The financial support will be provided for academic project work of UG/PG students and to create the state of art facility for the PhD research scholar of the institute after selection on merit basis and subject to availability of balance R&D funds to the concerned department. The similar support can be extended to co-curricular projects of the students, developing different models to participate in national and international level competitions again after selection on merit basis and subject to availability of balance R&D funds to the concerned department.
2. All the projects requiring the financial assistance should be securitized by the program level research and project committee.
3. Project guide and SIG coordinator of selected projects should submit the proposal to the office of Dean Research & Innovation through research coordinator of the program and head of the department.
4. The Office of Dean Research and Innovation may recommend a financial assistance of not more than Rs. 1 Lakhs to UG/PG projects in departments. Financial assistance needed to the Ph.D. research scholar may be obtained through writing projects to different funding agencies however a seed grant up to Rs. 1 Lakh may be initially provided to them to begin their research work.
5. A final decision to provide financial assistance to any type of project above will be taken and conveyed by the Director and the Management.
6. The facilities created and the projects developed will be the property of PCCOE and will be kept in the respective departments.
7. The Intellectual Property generated out of this work will be in the name of the institute and project team members.
8. The six-monthly progress report regarding the status of the project, highlighting the significant works done, budget utilized, budget remaining and facilities created should be submitted by the project guide in the prescribed formats to the office of Dean, Research and Innovation.

9. After the completion of the project, the detailed report including the information about the research outcomes like publications, consultancy, IP developed should be submitted to office of Dean, Research and Innovation.

3.4 Format of Application for Funded Research Projects of UG/PG/Ph.D. Students



**Pimpri Chinchwad Education Trust's
Pimpri Chinchwad College of Engineering**
Sector No. 26, Pradhikaran, Nigdi Pune -411044.
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Approved by AICTE, New Delhi, Govt. of Maharashtra, DTE, Mumbai, Maharashtra

FUNDED RESEARCH PROJECTS OF UG/PG/ Ph.D. STUDENTS

Faculty/Student

Name:

Department:

To,
The Director,
Pimpri Chinchwad College of Engineering,
Pune.

Subject: Application for Funded Research Projects of UG/PG Project.

Respected Sir,

As per discussion with R &D coordinator regarding **R &D Grant for UG/PG/Ph.D. Project**, I
Mr./Mrs. _____, UG project guide,
Department of _____ request the R &D grant for UG/P.G/Ph.D.
project titled _____
pursued by the following students:

- 1.
- 2.
- 3.

*** SHORT SUMMARY***

As per the literature survey done, the amount of Rs _____ is proposed for
implementation of the system. It is therefore requested to sanction Rs. _____ for the
project/research titled:

Every effort will be taken make the project successful.

Thanking You

Yours faithfully

(Signature name and date) U.G/P.G /Ph.D. Project guide

Note: – Attach the following documents along with this application:

1. Project Synopsis copy and
2. Proof of component list with costing

<p>HOD Remarks: (Regarding verification of online publication, indexing and financial support from Institute)</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>Signature</p>	<p>Dean R & D Remarks: (Regarding verification of online publication, indexing and financial support from Institute).</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>Signature</p>
<p>Registrar Remarks:</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>Signature.....</p> <p>.....</p>	<p>Director Remarks:</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>Signature.....</p> <p>.....</p>

4. EVENT ORGANIZATION

4.1 Policy for participating in the STTP's /Workshop's / Seminars /Conferences

The Institute encourages all the faculty members to participate in STTPs/Workshop/Seminars/Conferences organized in institute as well as different IITs, NITs, Central universities and various technical institutes within India in their area of research. These events will help faculty members to be in touch with recent trends and upgrade their knowledge in respective domain. In absence of disbursement of any allowance/s to the participants by the host Institute, PCCOE shall reimburse allowances for attending such STTPs / Workshop / Seminars / Conferences. Institute shall encourage and support faculties and students to enroll in Online Courses like NPTEL, Swayam and MOOC. All Faculty members are allowed to attend the permissible program subject to prior permission and adjusting their academic load during that period. Institute will reimburse the registration fee up to Rs. 3000/- and permit on duty leave. A faculty member may attend maximum THREE Programs in an academic year (including vacation/holidays). In case any faculty deputed/nominated by the Institute authority shall not be counted within the above three.

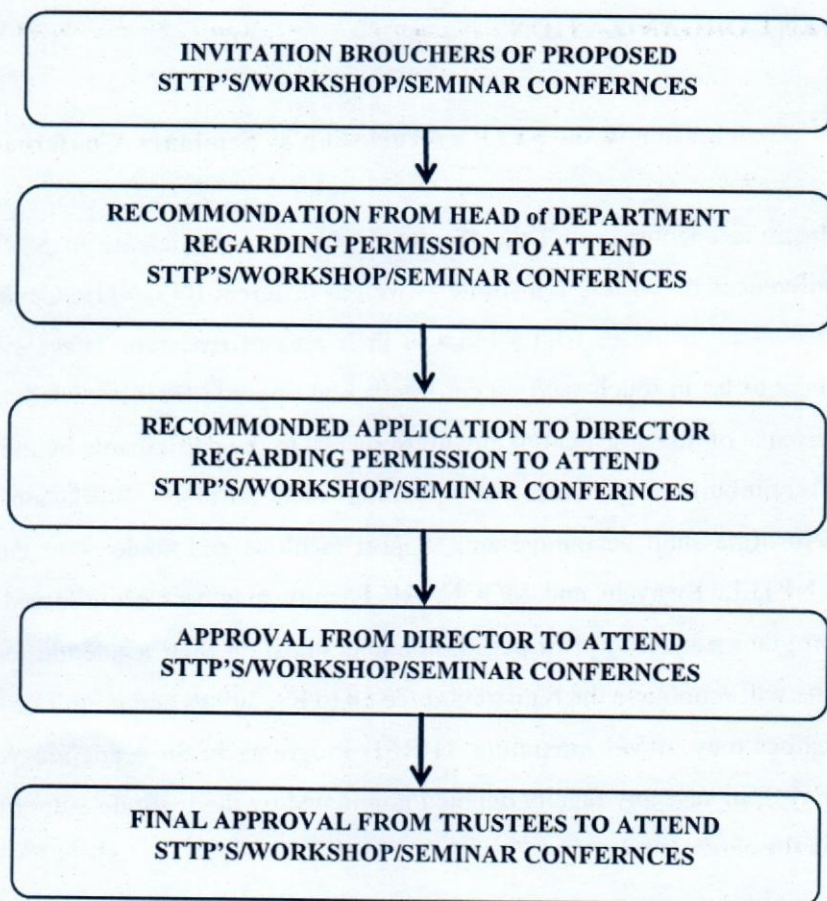


Figure 4.1: Process for participating in STTPs / workshops / seminars/ conferences

4.2 Policy for Organizing the STTPs/FDPs/Workshops/Seminars/Conferences

4.2.1 Self-financed (Institute Funded) Events

The Institute extends partial support on a selective basis for organization of the STTP/Seminar/Workshop/Conference. The extent of support may be decided by PCCOE after selection on merit basis and subject to availability of balance R&D funds. The departments can submit through Dean R & D, the proposal on the recent or upcoming topics for organizing such events to the Director. One department can collaborate with other department for the subjects interdisciplinary in nature. The objective of event organization should be focused to impart and upgrade the knowledge in advance topics, technology, tools, research in the selected domain.

Minimum 50% participants must be from other institutes. The collected registration fees shall be utilized by the organizers towards all the expenses incurred. The amount should be generated from the fees of the participant. In case, they need additional funding, it will be discussed on case-to-case basis along with Director.

The Funding policy for STTP/Workshop/ Conference is as follows:

A. Funding Policy for the STTP/Workshop/Seminar:

- i. One or more-week STTPs/FDP/Workshops/Seminars
- ii. Three Days STTPs/FDP/Workshop's/Seminars

B. Funding Policy for the Conference:

- i. **National Conference:** 2 to 3 Days National conference with more than 50 delegates from outside the Institute, the organization is in collaboration with professional societies or chapters then: Self supported entirely.
- ii. **International Conference:** 3 Days International conference with more than 100 delegates from outside the Institute, the organization is in collaboration with professional societies or chapters then it will be discussed on case-to-case basis along with Director.

Note: The amounts spend on the hospitality should not exceed 20% of the total budget of the event.

TABLE 4.1. INCENTIVES TO COORDINATORS (SELF-FINANCED)

Sr. No.	Event	Incentives to Coordinator (on net revenue generated)
1	One or more Week STTPs/FDPs/Workshops/Seminars	5%
2	Three Days STTPs/FDPs/Workshops/Seminars	3%
3	National Conference	5%
4	International Conference	10%

4.2.2 Process for Organizing non funded / Self-Financed STTPs / FDPs/ Workshops / Seminars / Conferences

The process for organizing events is shown in Figure 4.2.

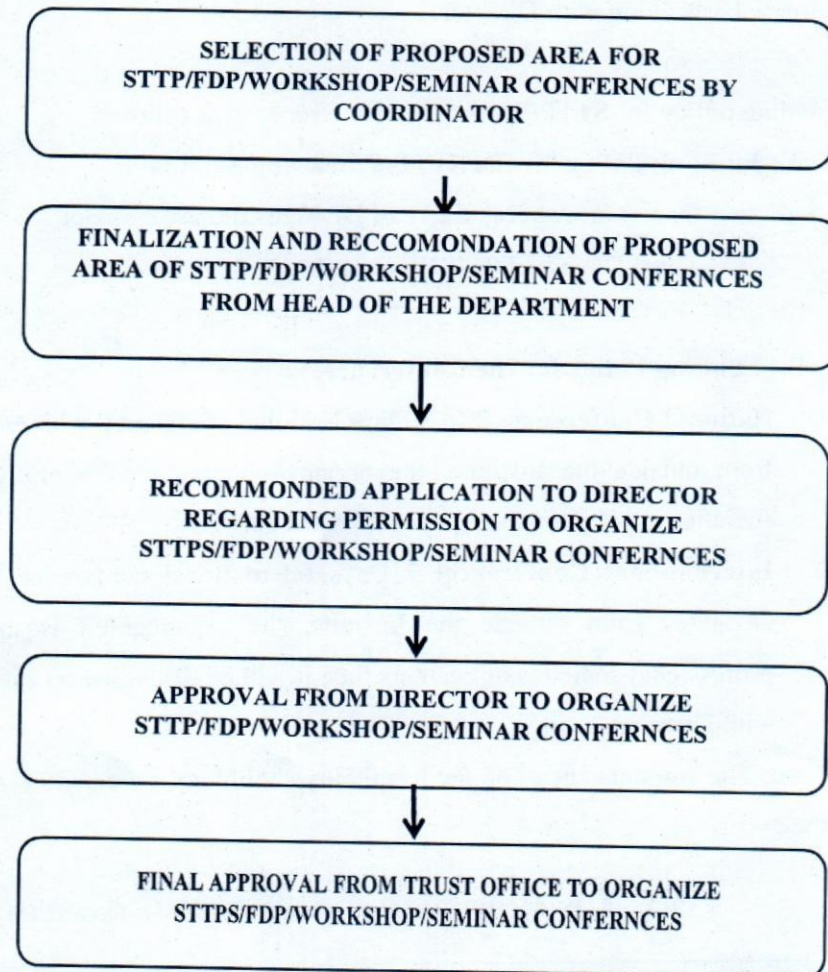


Figure 4.2: Process for organizing non funded / self-financed STTPs /FDPs/ Workshops / Seminars /Conferences

4.2.3 External Funded Events

Institute supports all the Departments to submit the proposal to different funding agencies like AICTE, UGC, ISTE viz. for organizing the STTP / Seminar / Workshop /Conferences. The objective of the event organization should be focused to impart and upgrade knowledge in recent trends and relevant research domain of

respective departments. The participants for this event are in accordance with the funding agencies.

The Funding Policies for STTPs/FDPs/Workshops/Seminars/Conferences are given in Table 4.2. The guidelines provided by respective funding agencies shall be followed for organizing the events.

TABLE 4.2. INCENTIVES TO COORDINATORS (EXTERNALLY FUNDED)

Sr. No.	Event	Incentives to Coordinator (on Net Revenue generated)
1	One week & above STTPs/FDPs/Workshops/Seminars	5%
2	Three Days STTPs/FDPs/Workshops/Seminars	3%
3	National Conference	5%
4	International Conference	10%

5. INTELLECTUAL PROPERTY RIGHTS

Intellectual property (IP) is a category of property that includes intangible creations of the human intellect. Intellectual property plays an important role in providing a competitive edge to an organization. The intangible assets of an organization - such as knowhow, inventions, brands, designs and other creative and innovative products - are, today, often more valuable than its physical assets. Keeping this in mind, this Intellectual Property Rights Policy has been introduced in the R&D policy document of PCCOE. This seeks to provide guidance to academic and non-academic staff, students, scholars, and outside agencies on the practices and the rules of the Institute regarding intellectual property rights (IPR) and obligations which include the nature of intellectual property (IP), its ownership, exploitation, technology transfer and confidentiality requirements. The policy laid down in this document is expected to fulfill the commitment of the Institute to promote academic freedom and provide a conducive environment for research and development.

5.1 Purpose

Institute has formulated this Policy for the management of intellectual property right to:

1. Provide a conducive environment leading to development of intellectual property;
2. Facilitate, encourage, promote and safeguard scientific investigation and research and the freedom of the personnel involved in R&D;
3. Establish an IPR management policy and procedural guidelines for making available to the public the inventions and discoveries made in the course of research carried out in the institute;
4. Frame standards for do's and don'ts for the Institute, creators of intellectual property and their sponsors relating to inventions, discoveries and original works originating from the Institute;
5. Promote, facilitate and provide incentives to the members of the community of creators who take initiatives to transfer Institute intellectual property to the public under this Policy;
6. Enable the Institute to secure sponsored research funding at all levels of research;
7. Make the Institute a prime academic research institution pursuing the highest ideals of scholarship and teaching by dissemination of the benefits of Intellectual Property originated from the Institute to the community and society;

8. Make the creator of IPR aware of the applicable laws and rules for ensuring their compliance; and
9. Enable the Institute to make beneficial use of such developed IP for the maximum possible benefit of the creators, the Institute, and the nation at large.

5.2 Objectives

The objectives of the Policy are as follows:

1. To promote academic freedom and safeguard in creation of intellectual property at the Institute;
2. To provide a comprehensive single window reference system for all intellectual property rights issues relating to intellectual property generated at the Institute;
3. To safeguard the interest of creator of intellectual property and provide fair distribution of returns accruing from the commercialization of IPR;
4. To help in introducing prudent IP management practices within the Institute to promote an IPR culture;
5. To provide legal support, wherever necessary, to defend and protect the intellectual property rights obtained by the Institute against any infringement / unauthorized use;
6. To create an environment for acquiring new knowledge through innovation and research, compatible with the educational vision and mission of the Institute;
7. To preserve the academic freedom to publish the research results and to make them aware that if they do decide on public release, the patent system cannot be brought into play thereafter;
8. To ensure that once they decide to explore the prospects of commercialization of IP, they must disclose it to the Institute, while continuing to keep the information confidential until patent applications are being processed; and
9. To ensure the release of institute's rights relating to an IP, back to the researcher where Institute decides not to pursue the opportunity for commercialization.

5.3 Terminology and Types of IP

5.3.1 Patent

A patent is a form of right granted by the government to an inventor or their successor-in-title, giving the owner the right to exclude others from making, using, selling, offering to sell, and importing an invention for a limited period of time, in exchange for the public disclosure of the invention. An invention is a solution to a specific technological problem, which may be a product or a process and generally has to fulfill three main requirements: it has to be new, not obvious and there needs to be an industrial applicability.

5.3.2 Copyright

1. A copyright gives exclusive rights to the creator for his original work, usually over a limited period of time. Copyright may apply to a wide range of creative, intellectual, or artistic forms, or "works". Copyright does not cover ideas and information themselves, only the form or manner in which they are expressed.

2. Ownership of the copyrights: PCCOE shall not claim ownership of any copyright works including software and all connected teaching materials designed and developed by employees of PCCOE irrespective of PCCOE's contribution in terms of the resources. In case of publications of Books / Chapters, the revenue that is generated will be owned by author. However, authors must acknowledge PCCOE explicitly for affiliation and/or use of resources.

5.3.3 Trade / service Mark

A trademark is a recognizable sign, design or expression which distinguishes products or services of a particular trader from similar products or services of other traders.

5.3.4 Industrial Design right

An industrial design right (sometimes called "design right" or design patent) protects the visual design of objects that are not purely utilitarian. An industrial design consists of the creation of a shape, configuration or composition of pattern or color, or combination of pattern and color in three-dimensional form containing aesthetic value. An industrial design can be a two- or three-dimensional pattern used to produce a product, industrial commodity or handicraft. Generally speaking, it is what makes a product look appealing, and as such, it increases the commercial value of goods.

5.3.5 IC layout designs

In India, the Semiconductor Integrated Circuits Layout - Design Act, 2000 covers protection of IC layout designs. This act provides the protection of semiconductor integrated circuits layout-designs and for matters connected therewith or incidental thereto.

The IPR Policy encompasses the following intellectual property within its scope: Patents, Copyrights, Trade/Service marks, Industrial designs, IC layout designs, software designs etc.

5.4 Ownership of IP

5.4.1 PCCOE Ownership

1. Intellectual property of any kind created by Faculty, Students, Staff Project, Staff Visitors and others, such as Trainees from other Institutes, participating in PCCOE Programs or using PCCOE Funds or Facilities, are owned by PCCOE when either of the following applies:

e) The Intellectual Property was created with the significant use of Funds or Facilities administered by PCCOE.

f) The Intellectual Property was created as a part of the –
iii. Normal Professional Duty or
iv. Work on Joint Ventures

g) The Intellectual Property was created in the Course of or pursuant to a Sponsored / Consultancy Research Agreement with PCCOE. In such cases, specific provisions related to IP made in Contracts governing such activity will determine the ownership of IP.

h) The Intellectual Property was created as a part of Academic Research and Training leading towards a Degree or otherwise.

2. A computer software may be patented, copyrighted, trademarked depending upon the IP content. A copyright software may be distributed for research and teaching purposes by its creator after obtaining appropriate undertaking to the effect that it will not be used for commercial purpose nor will it be transferred to any other party without explicit permission of PCCOE.

3. All Copyrights, including Copyrighted Software will be owned by PCCOE when it is created as a part of any of the Academic Programs of PCCOE or created pursuant to a written Agreement with PCCOE, providing for transfer of Copyright or ownership to PCCOE. More specifically:

- a) PCCOE will be the owner of the Copyright on all Teaching Materials created by PCCOE and non – PCCOE personnel for external Agencies, Institutions and Industry under the continuing Education and Distance Education Programs of PCCOE. However, the Authors will have the right to use the Material for their Teaching and Research Activities.
- b) PCCOE will not claim ownership of Copyright on Books and Scientific Articles authored by PCCOE E personnel. However, PCCOE will have the Copyright if Books and Reports have been created using Funds specifically provided for this purpose by PCCOE.

5.4.2 Inventor / Author Ownership

1. Inventors / Authors will own Intellectual Property when –
 - a) None of the situation defined above for PCCoE – ownership of Intellectual Property applies.
 - b) It is created outside their assigned / normal area of Research / Teaching, for example. Popular Novels, Poems, Compositions, or other Works of Artistic Imagination, without the use of significant Institute Resources.
2. Students will own Copyright on theses / Dissertation created as a part of their Academic Programs. However, the Student must grant to PCCoE Royalty – free permission to reproduce and distribute copies for Teaching and Research as well as for dissemination for Teaching and Research to its own Students and other Academic Institutions.
3. Ownership of Software Code, Patentable Subject Matter and other Intellectual Property contained in the Theses / Reports are subject to conditions specified under PCCoE –ownership and Inventor / Author Ownership.

5.4.3 Third – Party Ownership

1. Ownership of Intellectual Property resulting from:

- a) Funds provided partially or fully by a third – party to PCCOE will be governed by specific provisions in the Contract between the third – party and PCCOE.
 - b) Exchange Programs between PCCOE and other Institutions will be governed by specific provisions in the Contract between the third – party and PCCOE.
 - c) In case no such specific Contract exists, Intellectual Property Right (IPR) will remain with PCCOE.
2. In cases of all IP produced at PCCOE, PCCOE shall retain a non – exclusive, free, Irrevocable License to copy / use IP for Teaching and Research Activities, consistent with Confidentiality Arguments where ever entered by PCCOE.
 3. In cases where an IP is created by PCCOE Personnel, fully or as a part of the Team during Deputation, Official Leave, or Sabbatical, the concerned PCCOE Personnel should officially communicate the IP to PCCOE. If the IP involves Ideas / Software developed, fully or in part, using significant Institute Resources, then the IP will also be owned by PCCOE fully or partially, as the case may be.

5.5 Disclosures, Confidentiality and Assignment of Right

1. For sponsored and / or Collaborative work the provisions of the Contract pertaining to Disclosure of IP are applied.
2. For all other IP produced at PCCOE, the Inventors will be required to disclose their IP to the ‘Intellectual Property Evaluation Committee (IPEC)’ at the earliest date using an ‘Intellectual Property Disclosure Form (IPDF)’.
3. It will be mandatory for Students to submit an IPDF, countersigned by their Supervisor (s), at the time of filing their B.Tech. / B.E. Report, M.Tech. /M.E. Dissertations and PhD Thesis.
4. Co-creation of IP shall need sign of the Inventor and Director at the time of Disclosure and Distribution of IP Earnings Agreement; which shall specify the percentage Distribution of Earnings from IP to each co-inventor. The Inventors may at any time by Mutual Consent revise the Distribution of IP Earnings Agreement.
5. The Inventor shall assign the Rights of the Disclosed IP to PCCOE before leaving the Institute and will agree to the Terms and Conditions for the sharing of any Financial Benefits received by the Institute by Commercialization of such IP.

6. Having made the Disclosure, the Inventors, both PCCOE and non- PCCOE Personnel, shall maintain Confidentiality of the IP during the period it is pending with PCCOE for the assessment of the possibility of Commercialization and Protection of IP, unless authorized in by PCCOE.

5.6 Evaluation of Intellectual Property

1. The office of Dean, Research and Development of PCCOE will coordinate the activities of evaluating, protecting, licensing and managing the IP generated by PCCOE. Further, it shall provide guidance to all PCCOE personnel and facilitate protection and deployment of intellectual property issues of ownership, confidentiality, suitable advice from experts, disclosure, patentability and transfer.
2. An invention will be patented only if it has commercial value and viability for production and marketing. A Patentability committee consisting of Executive Director, Director, Dean R&D, and other expert member/s to the extent required shall decide the commercial value and related aspects on case-by-case basis. The committee shall also act to the best of its knowledge to avoid scientific misconduct in research and developmental activities of PCCOE.
3. Evaluation of Intellectual Property will be done by the Intellectual Property Evaluation Committee (IPEC). Director will be the Chairman and the Dean (R&D) of PCCOE will be the Member Secretary. Director will nominate at least three additional Faculty Members with expertise or familiarity / experience in areas related to the IP.
4. Evaluation of IP means:
 - a) Assigning Ownership of IP.
 - b) Determining whether an IP is innovative and fit for filing in India and Foreign Countries.
 - c) Determining whether the IP has a reasonable chance for Commercialization.
5. After evaluation of IP, if PCCOE decides not to take the responsibility for the Protection of IP, then it will assign all the Rights of the IP to the Inventors.
6. Even in such cases, as in (3), PCCOE may take the responsibility of facilitating Protection of the IP on case-by-case basis.

7. A decision on the annual renewal of IP Rights will be taken by IPEC. If PCCOE decides not to renew the IP, fully or partially, then it will assign the rights of the IP, wherever relevant, to the "Inventors."

5.7 Publication Based on IP

For patentable IP, it is essential that the patent protection is filed before the publication or disclosure of it in any other form of public domain.

5.8 Contracts and Agreements

All agreements related to IP, including, but not limited to the following Categories, undertaken by any PCCOE Personnel and Students need to be approved by the Institute:

1. Allegiance, Affirmation and Confidentiality Agreement.
2. Evaluation Agreement.
3. License Agreement
4. Technology Transfer
5. Alternative Dispute Resolution Agreement
6. Classified Information Non-Disclosure (specific) Agreement

The Dean (R&D), with specific approval of the Director, will be the Authorized Signatory in all categories of Agreements listed above.

5.9 Commercialization

1. PCCOE shall market the IP and Identical Licensee (s) for the IP to which it (i) has ownership and (ii) for which Rights have been assigned to it.
2. For the IP where Exclusive Rights have not already been assigned to a third party, the Creators may also contact Potential Licensee (s) on their initiative maintaining confidentiality and taking all necessary care to ensure that the value of the IP is no affected.
3. If PCCOE is not able to commercialize the IP in a reasonable time then the Inventor (s) may approach PCCOE for assignment of Rights of the Invention (s) to them.

5.10 Revenue Sharing

1. The net earnings from the commercialization of IP owned by PCCOE would be shared as follows:

Case	Net earnings	Inventor (s)	PCCOE Share	Service Account
1	For the first amount Q	65%	25%	10%
2	For the next amount Q	45%	45%	10%
3	For amounts more than 2Q	25%	65%	10%

* Money may be used for the promotion and up gradation of Invention. Unused funds from the service account will be used for promotion of Commercialization, IP Protection and any other related activities.

2. It is suggested that amount Q be initially fixed in the range from Rs. 10 to 100 lakhs. The creator (s) share would be declared annually and disbursement will be made to the Creator (s), their Legal Heir, whether or not the Creators are associated with PCCOE at the time of disbursement.

5.11 Patent Filing Process

Provisional patent application that may arise out of projects/research activities of PCCOE may be directly applied by the Creators/Inventors after obtaining formal permission from office of Dean R&D on their own Cost. For filing of complete specification, the inventors shall follow the procedure set by PCCOE as depicted in the chart in Figure 7.1. After submitting the complete specification, in the Indian Patent Office, Dean, R&D officials will guide the inventors on the protection of invention in foreign countries. However, the cost towards filing of patent in foreign countries will be borne by the inventors.

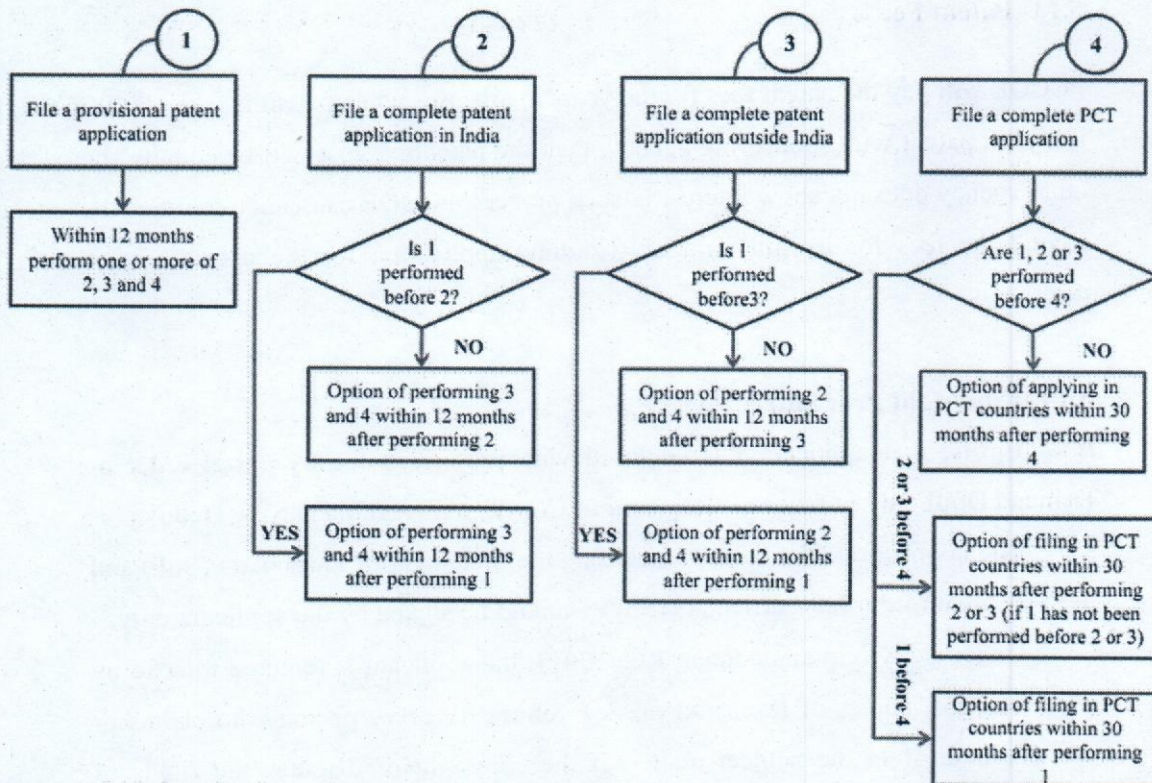


Figure 5.1: Patent Filing Process

5.12 Maintenance of Patents

For the inventions developed at PCCOE with the PCCOE personnel and the inventors who wish to protect the invention, it is mandatory that the creator has to disclose the creative work by using an Invention Disclosure Form (IDF) (Annexure). The inventors shall assign the rights of the disclosed invention to PCCOE. All IP related information that is disclosed to PCCOE is confidential.

Confidentiality shall be maintained till the dates stipulated in the contract between the concerned parties. Once the IPR is ensured, (published in the Journal of Indian Patent Office) the inventor/creator is encouraged to publish the work in the interest of general public.

5.13 Patent Fee

PCCOE will pay the patent fees for the years in all cases when patent is taken by PCCOE. If it is a joint patent with sponsoring agency, then the patenting cost will be equally shared. If the other agency does not show interest in such process, PCCOE can either continue the patent by paying the fees for its full term or withdraw application for the patent protection, at its discretion.

5.14 Copyright Procedure

1. Ensure that application is enclosed with prescribed fee by postal order or Demand Draft only in favor of 'Registrar of Copyrights' payable at New Delhi.
2. The application (Form XIV) including the Statement of Particulars (SoP) and the Statement of Further Particulars (SoFP) should be signed by the applicant only.
3. Under Copyright amendment Rule, 2013, the applicant is required to send by registered post copies of Form (XIV), SoP & SoFP to every person who claims or has any interest in the subject matter of the copyright or disputes the rights of applicant to it.
4. Application should contain Form (XIV), SoP & SoFP and should be submitted single copy.
5. Name, address & nationality of the Applicant should completely filled up in col.2 of SoP.
6. Please clarify in Col.3 of the SoP whether applicant is author/publisher/owner/assignee.
7. In Col.4 of SoP please indicate appropriate class and description of the work.
8. In Col.5 of the SoP, please mention 'Title of the work' as it appears on the work.
9. In Col.6 of the SoP please indicate all languages of the work.
10. In Col.7 of the SoP please indicate Name, address & Nationality of the author and if the author is deceased, the date of decease.
11. In Col.8 of the SoP, please mention whether the work is published or unpublished.

12. Please indicate year and Country of first publication (Name, address and nationality of the publisher) in Col.9 of the SoP.
13. Please also mention years and countries of subsequent publications if any, and name, addresses and nationalities of the publishers in Col.10 of the SoP.
14. In Col.11 of the SoP, please indicate names, address and nationalities of the owners of various rights comprising the copyright in the work and the extent of rights held by each, together with the particulars of assignments and license, if any. In case applicant himself intends to hold all rights in the work, his particulars are given against Col.2 must be mentioned. In case the applicant is a partnership firm, the names of all the partners and their shares in the copyright may be indicated.
15. Please indicate in Col.12 of the SoP names, addresses and nationalities of other persons if any, to whom author intends to authorise other persons to assign or license the rights comprising the copyrights.
16. Please include in Col.13 of the SoP if the work is 'Artistic' the location of the original work, including name and address and nationality of the person in possession of the work, (In case of an architectural work, the year of completion of the work should also be shown.)
17. As per Col. 14, the application should include a certification from the registrar of Trade Marks in terms of the proviso to Copyright amendment Rule, 2013, if the work is an Artistic work which is used or is capable of being used in relation to any goods.
18. In Col.15, if the work is an 'Artistic work' and registered under the Design Act 2000, then give details.
19. In Col.16, if the work is an 'Artistic work' capable of being registered as a design under the Designs Act 2000, whether it has been applied to an article through an industrial process and if yes, give the number of times it is reproduced.
20. In case of Artistic work, please enclose 2 identical copies of artistic work (identical in size/color/design) which should be identical with the work attached with Search Certificate (TM-60).
21. Please intimate the Name, address & Nationality of the person whose photograph appears on the work. If that person is other than the applicant, a No Objection Certificate, in original may be obtained from the person or from his legal heir(s) if the person is deceased

or from the guardian if the applicant is minor and the same may be enclosed with the application.

22. The firm itself cannot be the author of a work. Therefore, details of the person(s) who has/have actually created the work may be furnished.

23. As per Col.7 of the SoP submitted by you, the author of the work is other than the applicant, please enclose a No Objection Certificate in original from the original author(s) clearly indicating that he/she has no objection if the copyright of the work is registered in the name of the applicant(s) and also clarify whether the author is partner/proprietor/employee of the applicant.

24. If the work is published by a person other than the applicant, a No Objection Certificate in original may be obtained from the person/firm and enclose with the application.

25. Please enclose one (1) copy of published work and two (2) copies of unpublished work in literary case. In artistic case, enclose two (2) copies of artistic work whether it is published or not. For rest of all other categories, enclose one (1) copy of the work irrespective of published or unpublished.

26. Please submit Power of Attorney (POA) if advocate is filling on behalf of the applicant.

5.15 Transfer of IP

PCCOE shall strive to identify potential licensee for the IP to which it has ownership. Generally, creators are expected to assist the transfer of IP. PCCOE may contract any of the technology management agencies which manage the commercialization of IP. If exclusive rights of IP have not been assigned to the third party, creators may enter into a contract with any potential licenses on their initiative maintaining confidentiality and taking care through Non-Disclosure Agreement with the concurrence of PCCOE. The inventor/creator has the first right on the terms and conditions that are agreeable by PCCOE.

5.16 Infringements, Damages, Liability and Indemnity Insurance

1. As a matter of Policy, PCCOE shall, in any Contract between the Licensee and PCCOE, seek Indemnity from any Legal Proceedings including without limitation manufacturing defects, production problems, design guarantee, up gradation and debugging obligation.
2. PCCOE shall also ensure that PCCOE Personal have an Indemnity clause built – Into the Agreements with Licensee (s) while transferring Technology or Copyrighted material to Licensees.
3. PCCOE shall retain the right to engage or not in any Litigation concerning Patents and License Infringements.

5.17 Conflict of Interest

The Inventor (s) is required to disclose any Conflict of Interest or Potential Conflict of Interest. If the Inventor (s) and / or their immediate Family have stake in a Licensee or Potential Licensee Company then they are required to disclose the stake they and / or their immediate Family have in the Company. Under these circumstances, it must be ensured by the Inventor (s) that their Entrepreneurial activities do not have an adverse impact on inventor (s) Teaching, Research and any other Institutional Responsibilities.

5.18 Dispute Resolution

In case of any disputes between PCCOE and the inventors regarding the implementation of the IP Policy, the aggrieved Party may appeal to the Director of PCCOE. Efforts shall be made to fairly address the concerns of the aggrieved Party. The Director's decision in this regard would be final and binding.

5.19 Jurisdiction

As a Policy, all agreements to be signed by PCCOE will have the jurisdiction of the Courts in Pune and shall be governed by appropriate laws in India.

5.20 Amendments to IP policy

Amendments to the Policy required if any will be incorporated with the recommendation of IPEC and subsequent approval from the Director.

5.21 Approval from Governing Body

Director will seek approval from Governing Body for this policy, subsequent amendments to the policy and decisions taken in this regard.

6. CONSULTANCY AND TESTING ASSIGNMENTS

6.1 Consultancy Projects

A request received from the industry for carrying out an investigation / research / design referred to/by the Director/ Dean (R&I)/ Head of the Department to suitable faculty members for providing a solution to a problem is termed as a consultancy project.

6.1.1 Norms for undertaking Consultancy Project

1. Director on behalf of the Management is authorized to accept / reject the Proposal received from Industry or Institution for Consultancy Work or Training Programs based on Feasibility Report prepared by the competent Faculty appointed by him.
2. In case Industry / Institute approach the competent Faculty directly for Consultancy Work / Training Program, he / she should prepare and submit the Feasibility Report of such Work / Program through the Parent Department to the Director for consideration and subsequent approval.
The Feasibility Report will include the Plan of Execution, use of Administrative and Infrastructural Facilities available in the College and the Cost / Benefit Report.
3. In both the Cases, Director will be the final Authority to accept or reject the Proposal for Consultancy Work / Training Program.
4. In case the Consultancy Work / Training Program are accepted by the Director, he will appoint a competent Faculty as a 'Principal Investigator (PI)' for the same, in consultation with the Head of the concerned Department / Section.
5. PI and the Funding Agency will prepare MoU as per mutually agreed Terms and Conditions and get it signed by both the Parties i.e. PCCOE and the Funding Agency.
6. Depending upon the Nature and Contents of the work, the PI will form a Team for the execution of Consultancy Work / Training Program.

7. PI and the Team will perform these activities in addition to their regular Academic Assignments allotted to them by the Department and the additional responsibilities allotted to them by the College.
8. In all cases of dispute or difference of opinion in bringing and /or allotment of consultancy work to a certain faculty or a group, the decision of Director will be final and will be an internal matter of the institute

6.1.2 Categories of Consultancy Project

6.1.2.1 Department Consultancy Project

A project may be taken up as a Departmental Consultancy Project by the concerned department. Further, a project referred to an individual faculty member may also be taken up as Departmental Consultancy Project at the request of the faculty member. Normally, Consultancy Project involving multi-disciplinary/ inter departmental inputs or requiring use of extensive institutional facilities, likewise projects which are expected to run for a long period may be considered by a department to be taken up as Departmental Consultancy Project. A Departmental Consultancy Project will have at least two investigators drawn from one or more departments.

6.1.2.2 Individual Consultancy Project

All Consultancy Projects taken up by a faculty member on behalf of Department / Institute will be treated as Individual Consultancy Projects.

6.1.2.3 Type-I Consultancy Projects

Consultancy Projects which do not require laboratory facilities of the Departments/Institute will be classified as Type-I Consultancy Projects. Offering third party opinion, third party inspection with certification without any instrumentation will come under this category.

6.1.2.4 Type-II Consultancy Projects (involving laboratory facility, etc.)

Consultancy Projects involving use of laboratory facilities of the Departments/Institute will be classified as Type-II Consultancy Projects. Such projects will cover field testing and measurement and research and development work using laboratory facilities, as a part of that consultancy project.

6.1.2.5 Type-III Consultancy Projects (testing assignments)

Testing assignments involving use of laboratory facilities of the Departments/Institute will be classified as Type-III Consultancy Projects. Such projects will cover testing, measurements, calibration of equipment/ instruments and testing of materials /equipment in laboratory.

6.1.3 Norms for accepting Consultancy Projects

Consultancy projects above Rs. 1 lakh shall be accepted only after approval through proper channel. All consultancy projects to be taken up by various departments of the institute shall be examined from the point of view of its likely benefit to the academic and R&D activities at the Institute, which can in turn, influence the quality and standard of the academic work at PCCOE. For this purpose, every project proposal would be examined and approved by the HOD, before it is accepted for being conducted as Type-I or Type-II project.

6.1.4 Revenue Sharing through Consultancy Projects

6.1.4.1 **Type I-** If the College Facilities and man-power is not significantly used, it will be shared in 80:20 ratio i.e. 80 % to the PI and the Team and 20% to the College. The 80% share further will be distributed as 75 % to the PI and team while 5 % to the respective HOD. The 20% share of the College will further be distributed as 15% to the Institute and 5 % to the Administrative Office.

6.1.4.2 **Type II-** - 60:40 ratio i.e. 60 % to the PI and the Team and 40 % to the College in case College Facilities are used. The 40 % share of the College will be distributed as 30% to the College, 5 % to the respective HOD and 5 % to the Administrative Office.

6.1.4.3 **Type III-** 40:60 ratio, In case of project involving merely testing could be taken up by a Department, and 60% revenue should be shared to PCCOE including expenditure on testing and tax while 40% share to the concerned faculty and staff. Out of the 60% of PCCOE share, 5 % to the respective HOD and 5 % to the Administrative Office should be given.

6.1.4.4 Institute Overhead Charges

Institute shall charge a fixed percentage of the Consultancy Project / Sponsored Project amount as Institute Overhead Charges which will be over and above with a separate head and shall be deposited in Institute Revenue Generation (IRG) account.

6.2 General outline of Consultancy Work

1. Individuals or Departments may take up consultancy work after intimation and approval of the Dean (R&D) through the Head of the concerned Department. Dean (R&I) will give a unique identification code to each consulting assignment arriving in the Institute. The PIs and HODs will sign the report of Departmental Consultancy Projects and the Principal Investigator will sign the report of the individual Consultancy project. All departments will refer the identification code for each consultancy assignment [Project No.] in the form as given below.

Name of dept.	Type I/II/III	Initials of PI/HOD	Year	Incremental Sl. No allotted by R&I coordinator of the department	Title of the project
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For example, in case of civil engineering Department

Civil Engg.	Type III	SSM	2019	01	Testing of concrete cubes
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2. This identification code shall be provided by R&D coordinator of the department. The above project number must be quoted in all subsequent correspondence within the institute & to the client. All consultancy work shall be communicated to Dean R&I by department R&D coordinator, and then taken by the PI. All fees/charges in connection with consultancy projects should be received in the name of the Director, PCCOE.
3. For Projects involving only site visits for consultation work and/ or personal discussion, fees may be charged on per day basis at mutually acceptable rate.
4. For technical and other non-academic staff, making only site visits outside the scope of an on-going consultancy project, fees may be charged on per day basis at a minimum of per man day.
5. The Principal Investigator may avail the services of persons not in the institute service as consultants provided that the services are of a nature for which the expertise is not available

in department/institute. The charges for such consultation should be already included in the project cost. However, if such services are found essential, necessary permission of Dean (R&I) would be required.

6. Each Consultancy project will be classified either as Type I/Type II/Type III and will not be bifurcated, in case of multi-disciplinary/ inter departmental Projects, a single project can be divided into sub-projects on mutually agreed terms, by the consenting departments.
7. For Individual Consultancy/Department Consultancy work, faculty and staff members proceeding out of station for consultancy work with the permission of HOD, will be treated on duty. However consultancy must not hamper the academic schedule/services to be given to the students.
8. There will be no limit on the total remuneration to be received from Consultancy Projects during any financial year by a faculty and other academic staff. However, institutional academic assignments and income tax rules of the Government shall be followed.
9. If properly approved consulting assignments require external visits then maximum number of collective days a faculty or staff is permitted to claim ON DUTY in these cases is 45 days in one Academic year starting from June 1 till May 31. In such cases, prior permission to leave headquarters is needed every time from Head of the Institute for claiming ON Duty.

6.3 Expenditure Norms

6.3.1 Job Work

The Principal investigator may get specific job work done on payment (labour cost) from outside. However, such payment may not exceed the total amount contracted for the project and should be paid from the concerned project cost. While making such expenditure all the rules and regulations as applicable to Consultancy Projects Type II should be followed. For higher expenditure prior permission of the Director will be necessary.

6.3.2 Student Assistants

The Principal Investigator may engage institute students as Student Assistants for consultancy and testing work on payment of per hour subject to a maximum of hours per month. However,

students receiving fellowship from any agency may not be entitled to such payments. The total expenditure on this account should not exceed the gross fees contracted for project in normal case and be paid from the concerned project cost.

6.3.3 Hospitality

Expenses incurred on reasonable hospitality not exceeding Rs.1000/- per head per meal and Rs. 500/- per head for snacks etc. in connection with the consultation work, can be charged as expenses out of the fee received subject to the condition that the total expenditure on this account should not exceed of gross fees contracted for the project. For larger expenditure approval of Dean (R& I) will be necessary. The amount of distribution of revenue earned out of the assignment to the concerned will be calculated only after deducting the hospitality expenses.

6.3.4 Travel

The most expeditious and convenient mode of travel should be used to minimize period of absence from the Institute. There will be no restriction placed by the Institute on the modes of travel. Actual boarding and lodging expenses, in addition to DA, will be paid as per Institute norms. All these expenses will be met out of the concerned consultancy project fund.

6.4 Distribution of Funds

Below mentioned tables can also be used to evaluate charges [Fees] of a certain consulting assignment.

6.4.1 Consultancy Type-I

After consent and acceptance of the project, the project amount should be received in the name of Director, PCCOE. It shall be deposited in the IRG account. The distribution of this amount should be done by Dean R&I office as given below:

Budget for Consulting Projects		
Total fees received from client	T	
Consulting fee to be paid to PI	A	
Consulting fee to be paid to co-PI	B	

Consulting fee to be paid to other investigators	C	
Consulting fee		$D=A+B+C$
Manpower (students, external experts)	G	
Travel etc.	H	
Hospitality	I	
Other expenses		$J=G+H+I$
Total expenses		$K=D+J$ (75% of T)
5% to HoD		P (5% of T)
Overheads to PCCOE (20% of Total consulting fee) Out of this 10% to IRG Account and 5% to Director & Institute admin staff.		L= 20% of T
Sub-total including overheads		$M=K+P+L$
Tax (As per Govt. Norms)		N
Total consulting charges		$P=M+N$

6.4.2 Consultancy Type – II

Budget for Consulting Projects		
Total fees received from client	T	
Consulting fee to be paid to PI	A	
Consulting fee to be paid to co-PI	B	
Consulting fee to be paid to other investigators	C	
Consulting fee		$D=A+B+C$
Equipment	E	
Supplies and any contingent expenses	F	
Manpower (students, external experts)	G	
Travel etc.	H	
Hospitality	I	
Other expenses		$J=G+H+I$

Total expenses	$K=D+J$ (60% of T)
Overheads to PCCOE (40% of Total consulting fee) Out of this 30% to IRG Account and 5% to HoD, 5% to Institute admin staff.	$L=40\%$ of T
Sub-total including overheads	$M=K+L$
Service tax (As per Govt. Norms)	N
Total consulting charges	$P=M+N$

6.4.3 Software Products

The software products developed by a faculty member/s, research worker will be shared between the institute and the individual as per the norms of TYPE- I Consultancy project. If a student is involved in developing a software, he/she will be paid due share.

6.4.4 Review

Wherever a certain limit has been stipulated in terms of an absolute sum (and not in terms /by way of percentages), this will be reviewed by the Dean (R&I) every year and the recommendations made for the approval of the Director.

6.4.5 Testing assignments Type III

A project involving merely testing could be taken up by a Department, only if such requests are not repetitive in nature. Certain testing assignments specially demanded by some Govt. /Public Sector undertakings/organizations shall also be taken up through the institute. Such testing assignments shall be approved by concerned HOD. The distribution of testing amount shall be as per guidelines mentioned below:

Total fees received from client	T
Overheads to PCCOE including expenditure on testing and tax	$0.6 \times T$
Total expenditure on the testing	E (E should not exceed $0.40 \times T$)
Faculty and Supporting staff involved (one or more faculty and staff may be involved)	$0.3 \times T$

Out of this 10%, 5% to HoD, Dept. 5% to Institute admin staff.	0.1 x T
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The test reports shall be signed by the concerned HOD and faculty involved. In special cases, wherever necessary, Director's approval shall be obtained for variation in norms.

6.5 Sponsorship by Industry or Research Organization, Collaboration

1. Faculty and Staff Members are encouraged by the College to bring Industry Sponsorship or Collaboration for development of R &D Facilities like Laboratories, Research Centers, Post Graduate and Under Graduate Students Projects, Mini Projects, Case Studies etc. subject to non-profitable use of such Facilities.
2. In case Industry / Institute / Research Organization approach the competent Faculty directly for Sponsorship or Collaboration, he / she should prepare and submit the Feasibility Report of such Work / Program through the Parent Department to the Director for consideration and subsequent approval.
The Feasibility Report will include the plan of Execution, use of Administrative and Infrastructure Facilities available in the College and the Cost / Benefit Report.
3. Director is authorized to accept / reject the Proposal submitted by Industry or Institution for Industry Sponsorship or Collaboration, based on Feasibility Report prepared by the competent Faculty and duly submitted through proper channel for consideration and approval.
4. In all the Cases, Director will be the final Authority to accept / reject the Proposal for Industry Sponsorship or Collaboration, with due consultations with Managing Trust.
5. In case the Industry Sponsorship or Collaboration is accepted by the Director, he will appoint a Competent Faculty as a 'Project Coordinator (PC)' for the same.
6. PC and the Funding Agency will prepare MoU and get it signed by both the Parties i.e. PCCOE and the Funding Agency.
7. Depending upon the Nature and Contents of the work, PC will form a Team for execution of the plan of Industry Sponsorship for Collaboration.
8. PC and the Team will perform these activities in addition to their Academic Assignments allotted to them by the Department and the additional responsibilities allotted to them by the College.

9. The facilities developed through such Industry / Research Organization Sponsorships or Collaboration shall be the property of PCCOE for its further academic and Research use.
10. Any Revenue generated through the use of such facilities will be shared in accordance with the Policy specified in this regard.
11. For any Financial Assistance received from Organizations like DST, AICTE, University, Government of Maharashtra etc., the stipulated guidelines will be followed for the use of Facilities created, distribution of Revenue generated if any by making use of such Facility and other related aspects.

7. RESEARCH ETHICS

7.1 Good Research Practices

PCCOE Pune is committed to conducting its business in accordance with the seven principles of selflessness, integrity, objectivity, accountability, openness, honesty and leadership and is responsible for ensuring that its research is carried out in conformity with accepted principles. The Institute expects all those engaged in research to adopt the highest achievable standards in the conduct of their research. This means exhibiting impeccable scientific integrity and following the principles of good research practice. These principles are applicable to ALL, whether they are employees of the institute, honorary or guest faculty/scientists or students, and irrespective of the sources of their funding, or their area of research.

This document provides guidelines on good practice in research and is intended for all staff (hereafter called as researchers), including persons with honorary positions, visiting positions, and students carrying out research at or on behalf of the Institute.

This document outlines key elements of good research practice, underlying the principles that should be taken into account while planning and conducting research, and while recording, reporting and applying results.

7.1.1 General Principles

Good Research Practice (GRP) is essentially an attitude of mind. It is about the way in which research is planned and executed, the results are recorded and reported, and the benefits are disseminated, applied and exploited.

GRP can only be achieved if researchers at all levels are trained and supervised properly in a research culture that encourages frank discussion and debate. Research team leaders are responsible for seeing that a constructive atmosphere prevails and must ensure that researchers have the appropriate training and experience to carry out their duties as effectively as possible.

Supervision and checking are integral part to ensure the quality of research practice. Steps that may be needed to supervise GRP include monitoring of training and supervision of new researchers and of continuing professional development, regular checks on data recording and notebooks, and occasional checks on the day-to-day conduct of experiments.

7.1.1 Integrity

Researchers should be honest in respect of their own actions in research and their responses to the actions of other researchers. This applies to the whole range of research work including designing of experiments, generating and analyzing data, applying for funding, publishing results, and when peer reviewing the work of other researchers. The direct and indirect contributions of colleagues, collaborators and others should be acknowledged. Researchers are accountable to the society, their profession, the institutes where the research is taking place, the staff and students involved and in particular, the sponsoring bodies. Researchers are expected to understand and apply the following principles:

- Plagiarism, deception, or the fabrication or falsification of results is regarded as serious disciplinary offence.
- Researchers are encouraged to report cases of suspected misconduct, and to do so in a responsible and appropriate manner.

The Institute is committed to managing such issues and the policy for this is given separately in the section "Misconduct in Research".

7.1.2 Conflict of Interest

A conflict arises when a person's judgment concerning a primary interest, such as scientific knowledge could be unduly influenced by secondary interest, such as financial gain or personal advancement. Researchers must pay as much attention to perceived and potential conflicts of interest as to actual conflicts. How one is perceived to act influences the attitude and action of others, and the credibility of scientific research at large. Researchers should declare and manage any real or potential conflicts of interest, both financial and professional. Areas of potential conflict include:

- Where researchers have an existing or potential financial interest in the outcome of the research
- Where there is a private or private practice benefit significantly dependent upon the outcome of research
- Where the researcher's professional and personal gain arising from the research may be more than might be usual for research

7.1.3 Planning the research

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

- Clear documentation of the rationale for the study and any subsequent modifications, either in laboratory note books or in project files. Each key document and any changes should be signed with date by the researcher responsible to establish the provenance of the study and protect intellectual property rights.
- Adherence to current safety practices and ethical standards
- Securing all necessary ethical and regulatory approvals
- Assessment of resources needed to ensure the study is viable within the available means
- Economy in use of resources, for example not purchasing more reagents than are needed for the planned sample size and regular review to determine when to stop the experiments.

Regular review of progress so that new findings can be taken into account and project plan modified accordingly

7.1.4 Conducting the research

The legal and ethical requirements relating to human participants, animals and personal information should be familiar to each person involved in the study and they should know to whom to turn for advice.

Equipment used to generate data should be suitable for the purpose, of appropriate design and of adequate capacity. It should be calibrated and serviced regularly by trained staff so that the performance is optimal and the results can be trusted.

A standard operating procedure (SOP) should be maintained for each piece of equipment. There should be easily accessible instructions for the safe shutdown of equipment in case of emergency.

SOP should be documented for all routine methods to ensure that data are collected consistently. SOP should be written in simple language, readily accessible and ideally in a standardized format.

There should be clarity at the outset of the research programme as to the ownership and use of, wherever relevant:

- Data and samples used or created in the course of research
- The results of the research

The responsibility and procedures for the storage and disposal of data and samples should be made clear at the commencement of any project. Any research collaboration agreement relating to the research should contain some clauses describing necessary arrangements. Researchers should keep clear and accurate records of the procedures followed and the approvals granted during the research process, including records of the interim results obtained as well as the final research outcomes. This is necessary not only as a means of demonstrating proper research practice, but also in case questions are subsequently asked about either about the conduct of research or the results obtained. Properly maintained note books may be used in evidence when establishing ownership of inventions.

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

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

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

7.1.5 Openness

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

Once the results have been published, the institute expects researchers to make available relevant data and material to other researchers, on request, provided that this is consistent with any ethical approvals and consents which cover the data and materials, and any intellectual property rights in them. Procedures for managing the transfer of material in and out of the institute are outlined separately. It is recognized that publication of some results of research may need to be delayed for a reasonable period pending protection of any intellectual property arising from the research. Any such periods of delay in publication should be kept to a minimum and this should normally be no more than 3 months.

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

7.1.6 Professional guidance and legislation

Where available, the institute expects all researchers including students, trainees etc. to observe the standards of research practice set out in guidelines published by scientific and learned societies, and other relevant professional bodies.

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

7.1.7 Leadership and cooperation

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

7.1.8 Supervision

The Institute wishes to ensure that appropriate training and direction of research and supervision of researchers is available.

7.1.9 Training

The Institute will plan periodic course to enable students and researchers to understand and adopt best practices in research as quickly as possible. Supervisors should encourage students

and colleagues to attend relevant courses whenever offered as a part of their overall career development. Some of the indicative courses are:

- Research design
- Regulatory and ethics approvals and consents Equipment use
- Record keeping Data protection
- Management of intellectual property, including confidential information
- Use of materials requiring statutory registration such as radioisotopes, pathogenic and GM organisms
- Data management
- Using animals for experiments
- Regulations involving human subjects

7.1.10 Primary data/samples/equipment

Data generated in the course of research should be kept securely in paper or electronic format, as appropriate. Back-up records should always be kept for data stored on a computer.

Researchers should report any changes in the direction of sponsored research to the sponsor or any other relevant body. Best practice would be to discuss any change in director of the research with the sponsor prior to its implementation.

7.1.11 Intellectual Property

Researchers must inform the Intellectual Property Cell (or the Dean R&I and Director) of any intellectual property rights that may arise from externally funded research and also inform the sponsor, if they so request.

The Institute's research as well as the funding from Government agencies is done for public benefit and not for direct commercial or private gain, unless an industry is sponsoring a research program with a definite objective of finding solutions that benefit the industry. Public benefit may arise from education, i.e., Gain of knowledge that is placed in the public domain, or the case of biomedical research, improvement in the treatment or care of patients or in the prevention or cure of diseases. Government funding or charities cannot be solely for the purpose of commercial gain although commercial benefit from the exploitation of the results of

the research may accrue to their inventors, the Institute and by agreement to any sponsor of research.

7.1.12 Dissemination and publication of results

The institute encourages publication of and dissemination of results of high-quality research but believes that researchers must do this responsibly and with an awareness of the consequences of any such dissemination in the wider media.

The Institute tries to ensure that sponsors understand that researchers must have academic freedom and sponsors should not discourage publication or the dissemination of research or research findings. The Institute recommends that every effort should be made to inform the sponsors of any potential publication or dissemination of the research findings. This will enable the sponsor in question to have adequate time and accurate information to protect any arising intellectual property or plan their own public relations, in conjunction with the Institute. Publicity may be important to industrial sponsors and to fund-raising agencies and is increasingly important to institute itself.

Researchers should take into account the following guidance when publishing or disseminating their research or research findings including any plans they may have to publish or publicize research at conferences or web sites.

- The sponsor should be notified in advance when the research might be published, publicized or disseminated
- Researchers should make every effort to make sure research is peer reviewed prior to it being published, publicized or disseminated. If research is placed in the public domain before peer review has been undertaken, the researcher must make this clear in any publicity
- All funding sources must be acknowledged in any publication or publicity
- Results of research should be published in an appropriate form, usually as papers in refereed journals
- Any one listed as an author on a paper should accept responsibility for ensuring that he or she is familiar with the contents of the paper and can identify his or her contribution to it. The practice of honorary authorship is unacceptable.

- The contributions of formal collaborators and all others who directly assist or indirectly support the research should be both specified and properly acknowledged.
- Work should normally be published as a coherent entity rather than a series of small parts, unless there is a legitimate need to demonstrate first discovery by publishing preliminary data.
- Quality rather than quantity is paramount; the proliferation of multi-author papers to increase quantity should be discouraged.
- Authors must not publish the same data in different journals.
- If an error is found that degrades the worth of published findings, the principle author must take efforts to publish a correction as soon as possible
- Where the findings are found to be in serious doubt, a retraction should be published speedily.
- Where fraud is suspected it should be dealt with the procedure dealing with "Misconduct in research".

7.2 Misconduct in Research

The PCCOE Pune expects all faculties, and students (including regular, contract, adhoc, visiting faculty and project staff) working either on institutional research program or on projects sponsored by various national and international funding agencies or private industry, to exhibit impeccable scientific integrity and to adopt the highest achievable standards in the conduct of their research.

In line with this the Institute has framed standards on the conduct of research within its teams and establishments in the form of a document called "Good Research Practice Guidelines".

Allegations of Scientific Misconduct (as defined in section 2) are expected to be rare or non-existent, but PCCOE Pune takes them very seriously, if at all they occur, and is resolved that, they will be investigated fully and the outcome of the investigation will be reported.

This policy applies to all PCCOE researchers, either of a fixed term, permanent nature, students, visiting researchers or any other personnel involved in scientific research at the institute.

Where allegations of misconduct are made by an individual or body external to PCCOE Pune, that individual or body will be made aware of the Institute's procedure under this Scientific Misconduct Policy and of the Institute's expectation that they will comply with its requirements.

7.2.1 Principles

1. This policy is designed to support the PCCOE Pune guidelines related to "Good Research practice".
2. The Institute is committed to ensuring that investigations are carried out as expeditiously as possible, at the same time ensuring the utmost degree of thoroughness.
3. Where time limits are indicated these will be regarded as maximum limits and that all parties will work to ensure prompt progression of the procedure.
4. Employees accused of Scientific Misconduct ("Respondents") will be provided with a copy of this procedure and will be informed in writing of the detail of the allegation.
5. Where a Respondent resigns from, or otherwise leaves the Institute, the complaint is nevertheless investigated as far as possible according to this procedure.
6. The Institute will take disciplinary action against any individual who attempts to influence, victimize or intimidate the individual making the allegation of Scientific Misconduct (the "Complainant") or witnesses.
7. The Institute is committed to protecting its employees from malicious accusations and will take action against any individual(s) responsible for such allegations.
8. Individuals shall co-operate in the review of allegations and the conduct of assessments and investigations. They have an obligation to provide relevant evidence to the Director or such other person who, in the Director's absence, is designated to receive and enquire on behalf of the institute into allegations of Scientific Misconduct (the "Director").
9. Proven misconduct in research is considered as a serious or gross misconduct and normally merit dismissal.

7.2.2 What Constitutes Misconduct?

Research misconduct or fraud in science refers to the fabrication, falsification, plagiarism and deception in proposing, carrying out or reporting results of research and deliberate, dangerous or negligent deviations from accepted practice in carrying out research. It

includes failure to follow established protocols if this failure results in unreasonable risk or harm to humans, other vertebrates or the environment. It shall also include facilitating of misconduct in research by collusion in or concealment of, such actions by others, and any plan or conspiracy or attempt to do any of these things.

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

- Fabrication – reporting of experiments never conducted
- Falsification – Misrepresentation or suppression of data to project a desired result
- Plagiarism – reporting another’s data as one’s own
- Fraud – Deliberate and willful suppression of previous work in publications to claim originality or to avoid quoting previous publications contrary to present results.
- Breach of confidentiality, i.e., presenting as one’s own ideas or data obtained from privileged access to original grants, manuscripts etc. is also considered as misdemeanor in the same category.

7.2.3 Reporting of Cases of Scientific Misconduct

- All employees or individuals working within PCET’s establishments are required to report observed, suspected or apparent Scientific Misconduct to the Director in accordance with this policy.
- If an individual is unsure whether a suspected incident of misconduct falls within the definition of Scientific Misconduct, he or she should discuss this with the Director informally.

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

7.2.4 Reporting and Evaluation of the Complaint

The charge of misconduct has serious implications for all concerned. Therefore, investigation related to the review of alleged misconduct will be kept confidential to the maximum extent possible. While investigating allegation of misconduct, caution will have to be exercised to

distinguish between differences in interpretation or unintended errors from the misrepresentation of information. Thus, the procedure adopted to address the issue of misconduct will have to be flexible and determined on a case-to-case basis.

1. Reports of alleged misconduct are to be made directly to the office of the Director, PCCOE Pune.
2. If a Complainant makes an allegation to the Director informally, the Director may ask them to put such allegation in writing.
3. Misconduct may be reported by either a staff of the PCCOE Pune or anyone else. The identity of the complainant will not be revealed at this time.
4. The Director shall, either himself or through an officer delegated the responsibility, shall cause to investigate (a) assess the allegations of research misconduct to determine if they fall within the definition of research misconduct and warrant an inquiry on the basis that the allegation is sufficiently credible and specific so that potential evidence of research misconduct may be identified, and (b) oversee enquiries and investigation.
5. A preliminary evaluation of the complaint will be made by the Director (which may include consultation with other colleagues) either independently or through constitution of a committee and if the findings indicate that there are no reasonable grounds for the allegation, the complaint will be dismissed. Written report stating the reasons for the dismissal shall be maintained in the office of the Director, but will not enter the subject's confidential file. The complainant will also be informed of the decision to dismiss the complaint.
6. If the preliminary evaluation indicates that the allegation of misconduct warrants a full investigation, the following processes will be initiated with the appropriate records of procedures.

7.2.5 Investigation

1. The person against whom the complaint is being made (respondent) will be informed of the allegation.
2. The Director will appoint a committee to conduct a full investigation into the allegations of misconduct

3. The committee will comprise of a chairman, and 2 members, at least two of which will be experts from outside. The committee will be invested with complete confidentiality and will not be permitted to interact with Press or other faculty members individually during the course of investigation. The committee is expected to function within full cognizance of the rights of the respondent as well as complainant.
4. The scope of the committee shall be, to investigate the accuracy of charge of misconduct and to assess the extent and nature of alleged misconduct
5. The relevance of any other material or information revealed during the course of investigation into the alleged instance of misconduct.

7.2.6 Process of Enquiry

The committee will be given access to material that is required to complete the investigation with due diligence and accuracy which will include grant approvals, reports, primary data, electronic records, manuscripts and any other material requested and considered relevant to the investigation. The committee will be given access to laboratory and will be permitted to interview the complainant, the respondent and any other laboratory staff that the committee considers necessary to gather information. The committee is expected to complete the investigations and report submission within a period of 60 (sixty) days.

7.3 Outcome of the Investigation

1. The committee will submit its report with a recommended course of action to the Director within a week of completing the inquiry, explaining the modalities of the investigation, the source and method of obtaining information relevant to the investigation, the conclusions reached and the basis on which the conclusions are reached.
2. A copy of the report will be provided to the respondent and an opportunity will be given to him/her to comment in writing on the report and its findings within 15 days. The written comments will be attached as annexure to the original report.
3. The Director will discuss the report with Head of the Group. If the faculty against whom the complaint was lodged has been proved to have engaged him in research misconduct, the Director will take appropriate action, with the approval of the Board of Governors,

which will be communicated to the Individual and will be entered in the personal file and service book.

4. The individual may appeal to the Board of Governors against the decision of the Director and the Board's decision will be final and binding on the individual.

7.4 Safeguard against False Allegations

Efforts should be made to safeguard the interests of the complainant. If it is established that the complaint itself was false and was done with malaise intentions, Director will formulate an appropriate action against the individual who lodged a false complaint. The person who has been charged with wrong allegations may appeal against the decision to the Board of Governors. The decision of the Board is final and binding on the individual.

8. PCCOE RESEARCHER OF THE YEAR AWARD

It is proposed to appreciate contributions made by researchers to boost their future endeavors and to encourage others to conduct quality research. In this regard, 'PCCOE Researcher of the Year Award' is constituted and the researcher having best performance during the academic year shall be awarded with a cash prize and a certificate. Following criteria shall be used to identify outstanding contributions of faculty members in RDI activities. The period of assessment shall be an academic year from 01stJune to 31stMay.

8.1 Contributions Considered for the Award

Following contributions will be considered for the award.

1. Publications
2. Funded Research
3. Number of students guided (PG / PhD)
4. Contribution in interdisciplinary projects
5. Generation of IPR
6. R & D Consultancy & Revenue Generation through Training & Testing
7. Product Development & Commercialization

Category A: Publications - Evaluation scheme

Category	Activity	Allotted Marks
A.1	International Journal, — Impact factor above 5 — SCI, or Web of Science or Thomson Reuters or ISI — with an Affiliation of PCCOE by the author /s	25
A.2	International Journal, — Scopus Indexed — with an Affiliation of PCCOE by the author /s	20
A.3	International conference leading to proceedings indexed in — Special Edition of Indexed Journal — Science direct Peer reviewed, or — Scopus Indexed, or SCI, or Web of Science — with an Affiliation of PCCOE by the author /s	15
A.4	National Journal, Peer reviewed, preferably from the UGC approved list of Journals,	5
A.5	National conference leading to proceedings- preferably but not mandatory – indexed in Scopus Indexed, SCI, Web of Science, UGC approved list of Journals	5
A.6	Publication in collaboration with researchers abroad This is applicable with all above categories as additional marks.	10

Category B: Funded Research - Evaluation scheme

Category	Activity	Allotted Marks
B.1	Proposal submitted to funding agency	10
B.2	Proposal sanctioned Grant less than 1 Lakh	20
B.3	Proposal sanctioned	30

	Grant 1 to 5 Lakh	
B.4	Proposal sanctioned Grant 5 to 10 Lakh	40
B.5	Proposal sanctioned Grant more 10 Lakh	50 for 10 Lakh (+ 5 marks for each additional 1 Lakh)
B.6	On-going project (2 nd Year)	30
B.7	Successful completion of project	40

1. If faculty submits more than one proposal in one academic year then faculty shall claim maximum 10 marks irrespective of number of proposals submitted.
2. If faculty submits more than one proposal in one academic year and if more than one proposal gets sanctioned, then faculty shall claim marks for each proposal according to the criteria.

Category C: Students guided (PG / PhD) – Evaluation scheme

Category	Activity	Allotted Marks
C.1	PG students - completed dissertation with publication in Scopus indexed journal / conference	10
C.2	PhD awarded to student	30

Category D: Contribution in in-house interdisciplinary projects – Evaluation scheme

Category	Activity	Allotted Marks
D.1	On-going in-house interdisciplinary project (Mentoring / working)	10
D.2	In-house interdisciplinary project completed	20

Category E: Generation of IPR – Evaluation Scheme


Category	Activity	Allotted Marks
E.1	Filed provisional patent (Indian)	10
E.2	Complete specification filed (Indian)	15
E.3	Patent granted (Indian)	30
E.4	Patent Filed (International)	15
E.5	Patent granted (International)	30
E.6	Patent commercialized Revenue generated up to 1 lakh	40
E.7	Patent commercialized Revenue generated greater than 1 lakh(+ 5 marks for each additional 1 Lakh)	50 for 1 lakh
E.8	Applied for copyright	05
E.9	Copyright granted	10

Category F: R & D Consultancy – Evaluation Scheme

Category	Activity	Allotted Marks
F.1	R&D consultancy worth less than 1 Lakh as a principal consultant	20
F.2	R&D consultancy worth more than or equal to 1 Lakh as a principal consultant	30

If the researcher scores minimum 60 marks including all the categories, then he/she shall become eligible for this award. The faculty members who wish to apply for this award shall submit the application in the prescribed format along with the documentary evidences with respect to all categories. An expert will be assigned the task of evaluating the received applications and validating the self- assessment scores of the applicants. The expert shall provide the final research score of each applicant and the researcher with highest research score will be awarded with “PCCOE Researcher of the Year Award”.

8.2 PCCOE Researcher of the Year Format of Evaluation

	Pimpri Chinchwad Education Trust's Pimpri Chinchwad College of Engineering Sector No. 26, Pradhikaran, Nigdi Pune -411044. (An ISO 9001:2015 certified Institute) Permanently Affiliated to SPPU Approved by AICTE, New Delhi, Govt. of Maharashtra, DTE, Mumbai, Maharashtra
PCCOE RESEARCHER OF THE YEAR EVALUATION FORM	

Name of Faculty:		Department:			
Designation:		Academic Year:			
Category	Activity	Allotted Marks	Self-Assessment Marks	Expert Assessment Marks	Remark by Expert
Category A: Publications [80]					
A.1	International Journal: SCI, or Web of Science or Thomson Reuters or ISI with an Affiliation of PCCOE by the author /s	25			
A.2	International Journal: Scopus Indexed with an Affiliation of PCCOE by the author /s	20			
A.3	International conference: leading to proceedings indexed in Special Edition of Indexed Journal, Science direct Peer reviewed, or Scopus Indexed, or SCI, or Web of Science with an Affiliation of PCCOE by the author /s	15			
A.4	National Journal: Peer reviewed, preferably from the UGC approved list of Journals	5			
A.5	National conference: leading to proceedings- preferably but not mandatory – indexed in Scopus Indexed, SCI, Web of Science, UGC approved list of Journals	5			
A.6	Publication in collaboration with researchers abroad. This is applicable with all above categories as additional marks.	10			

Category	Activity	Allotted Marks	Self-Assessment Marks	Expert Assessment Marks	Remark by Expert
Category B: Funded Research [220]					
B.1	Proposal submitted to the funding agency	10			
B.2	Proposal sanctioned: Grant less than 1 Lakh	20			
B.3	Proposal sanctioned: Grant 1 to 5 Lakh	30			
B.4	Proposal sanctioned: Grant 5 to 10 Lakh	40			
B.5	Proposal sanctioned: Grant more 10 Lakh [50 marks for 10 Lakh (+ 5 marks for each additional 1 Lakh)]	50			
B.6	On-going Project (2 nd Year)	30			
B.7	Successful Completion of Project	40			
Category C: Students guided (PG / PhD) [40]					
C.1	PG students: completed dissertation with publication in Scopus indexed journal / conference	10			
C.2	PhD awarded to student	30			
Category D: Contribution in in-house Interdisciplinary Projects [30]					
D.1	On-going in-house interdisciplinary project (Mentoring / working)	10			
D.2	Completed in-house interdisciplinary project	20			

Category E: Generation of IPR [205]

Category	Activity	Allotted Marks	Self-Assessment Marks	Expert Assessment Marks	Remark Expert
E.1	Filed provisional patent (Indian)	10			
E.2	Complete specification filed (Indian)	15			
E.3	Patent granted (Indian)	30			
E.4	Patent Filed (International)	15			
E.5	Patent granted (International)	30			
E.6	Patent commercialized Revenue generated up to 1 lakh	40			
E.7	Patent commercialized Revenue generated greater than 1 lakh [50 for 1 lakh (+ 5 marks for each additional 1 Lakh)]	50			
E.8	Applied for copyright	05			
E.9	Copyright granted	10			

Category F: R & D Consultancy [50]

F.1	R&D consultancy worth less than 1 Lakh as a principal consultant	20			
F.2	R&D consultancy worth more than or equal to 1 Lakh as a principal consultant	30			
TOTAL		625			

Attached all documentary evidences

Date:

Signature of the Applicant

Remark by Expert:

Recommended/Not Recommended

Name and Signature of Expert

Date:

MAIL IN No. 432

Date 27/08/21 File



Pimpri Chinchwad Education Trust's
Pimpri Chinchwad College of Engineering
Sector No. 26, Pradhikaran, Nigdi, Pune – 411 044



Amendment in the Research, Development and Innovation Policy (RDI) Manual

PCCOE/R&I/RDI Policy/43

Date: 27/8/2021

To,

The Director,

Pimpri Chinchwad College of Engineering, Pune.

Subject: Application for Amendment in the Research, Development and Innovation Policy (RDI) Manual

Respected Sir,

We have Research, Development and Innovation Policy (RDI) Manual approved by PCET on 15th June 2021.

- 1) We found that in **Section 2.1 Incentive Scheme for Publication**, page No. 17 in Sr.No.1 & Sr.No.2 is as mentioned below.
 - Sr.No.1 Peer reviewed International Journal with **impact Factor above 5**
 - Sr.No.2 Peer reviewed International Journal with **impact Factor less than 5**
- 2) We found that **Section 2.2 Format of Application for Publication Incentive**, page No. 26, Sr.No.6, **5 Year Impact Factor**.

The amendment in the first column describing, impact factor & cite score of journals needed to be mentioned instead of only impact factor as mentioned below.

- 1) Section 2.1 Incentive Scheme for Publication, page No. 17 in Sr.No.1 & Sr.No.2 as mentioned below.
 - Sr.No.1 Peer reviewed International Journal with **impact Factor/Cite Score above 5**
 - Sr.No.2 Peer reviewed International Journal with **impact Factor/Cite Score less than 5**
- 2) Section 2.2 **Format of Application for Publication Incentive**, page No. 26, Sr.No.6, **5 Year Impact Factor/ Cite score**.

Kindly permit us to do that. Thanking you.

Yours faithfully,

Dr. Rajani.P.K

Associate Dean R&I

Dr. S.S. Lakade

Dean R&I

RISIR
Sub.
27/8

Registrar,
submit to trustees for
approval with recommendation
Grlk

2. PUBLICATION

One of the important indicators of research culture in the Institute is the magnitude and class of faculty and student publications. A number of ranking and accrediting agencies at the national and international level such as NIRF, NBA, ABATE, NAAC award are given a considerable weightage to faculty and student publications.

Quality and quantity of faculty and student publications thus strongly influence the ranking of the Institute at the national and International level. A good number of publications in the peer-reviewed Journals and Conferences helps in building the brand and enhance the visibility of the Institute at the national and International level.

With this realization, PCCOE encourages faculty and students to publish their research on various platforms. An incentive scheme is devised with an objective to accomplish a good number of quality publications from the faculty & students described in section 2.1. The policy involves cash incentives and financial support for publications at various levels. The format of application to seek permission and financial support for participation in the conference is given in section 2.2. The format of application to claim the incentive for publication is given in section 2.3.

2.1 Incentive Scheme for Publication

Sr. No.	Publication in	Allowances & leave	Incentive scheme/Financial support
1	<p>Peer reviewed International Journal with impact factor above 5</p> <p>— with SCI (Science Citation Index)/ Scopus/ Web of Science/ Thomson Reuters/ ISI (International Scientific Indexing)/ ESCI (Emerging Sources Citation Index)/ SCIE (Science Citation Index Expanded) indexing</p> <p>— with an affiliation of PCCOE by the author/s</p>	<p>➤ NA</p>	<p>➤ Cash incentive of Rs.15,000/- per publication</p> <p>➤ Incentive to a maximum of two publications/book per financial year is applicable in this category</p> <p>➤ Incentive will be equally divided among all authors of PCET for the said paper</p> <p>➤ No article processing charges will be provided under this category</p>
2	<p>Peer reviewed International Journal with impact factor less than 5</p> <p>— with SCI (Science Citation Index)/ Scopus/ Web of Science/ Thomson Reuters/ ISI (International Scientific Indexing)/ ESCI (Emerging Sources Citation Index)/ SCIE</p>	<p>➤ NA</p>	<p>➤ Cash incentive of Rs.10,000/- per publication</p> <p>➤ Incentive to a maximum of two publications per financial year is applicable in this category</p> <p>➤ Incentive will be equally divided among all authors of PCET for the</p>

	(Science Citation Index Expanded) indexing — with an affiliation of PCCOE by the author/s		said paper ➤ No article processing charges will be provided under this category
3	Publication of book chapter in — Renowned publishers such as McGraw Hill/ Wiley/ SAGE/ Taylor & Francis/ Springer/Elsevier/ Oxford Academic Press — Valid ISBN Number with an affiliation of PCCOE by the author /s	➤ NA	➤ Cash incentive of Rs.10,000/- per publication ➤ Incentive to a maximum of one book chapter per financial year is applicable in this category ➤ Incentive will be equally divided among all authors of PCET for the said book chapter ➤ No article processing charges will be provided under this category
4	Publication of book in — Renowned publishers such as McGraw Hill/ Wiley/ SAGE/ Taylor & Francis/ Springer/ Oxford Academic Press — Valid ISBN Number — with an affiliation of PCCOE by the author /s	➤ NA	➤ Cash incentive of Rs.10,000/- per book ➤ Incentive to maximum of one book per financial year is applicable in this category ➤ Incentive will be equally divided among all authors of PCET for the said book
5	Peer reviewed National journal	➤ NA	➤ Maximum financial

	<p>— with SCI (Science Citation Index)/ Scopus/ Web of Science/ Thomson Reuters/ ISI (International Scientific indexing)/ ESCI (Emerging Sources Citation Index)/ SCIE (Science Citation Index Expanded) indexing</p> <p>— with an affiliation of PCCOE by the author/s</p>		<p>support to the extent of Rs.5,000/- shall be admissible, once in a financial year</p> <ul style="list-style-type: none"> ➤ Incentive will be equally divided among all authors of PCET for the said paper ➤ Author can publish multiple publications in a financial year
6	<p>International conference abroad leading to proceedings/special edition indexed in</p> <p>— SCI/ Scopus/ Web of Science/ Thomson Reuters/ ISI/ ESCI/ SCIE</p> <p>— with an affiliation of PCCOE by the author /s</p>	<ul style="list-style-type: none"> ➤ Duty leave for the period including travelling days shall be admissible ➤ DA admissible is mentioned in Table 2 	<ul style="list-style-type: none"> ➤ Maximum financial support 50% of registration charges shall be admissible, once in a financial year to the corresponding author only ➤ Financial support in the form of return traveling charges shall be admissible according to the type of country and cadre, once in a financial year to the claiming author only as per Table 2
7	<p>International conference in India leading to proceedings/special</p>	<ul style="list-style-type: none"> ➤ Duty leave for the period including 	<ul style="list-style-type: none"> ➤ Maximum financial support to the extent of

	<p>edition indexed in</p> <ul style="list-style-type: none"> — SCI/ Scopus/ Web of Science/ Thomson Reuters/ ISI/ ESCI/ SCIE — with an affiliation of PCCOE by the author /s 	<p>travelling days shall be admissible</p> <ul style="list-style-type: none"> ➤ Two-way train/ bus fare by the shortest route ➤ DA as applicable to the grade of pay 	<p>50% of registration charges shall be admissible, once in a financial year to the claiming author only</p>
8	<p>Attending National level conference for paper presentation</p>	<ul style="list-style-type: none"> ➤ Duty leave shall be admissible ➤ Return train/ bus fare by the shortest route ➤ No DA shall be admissible 	<ul style="list-style-type: none"> ➤ Maximum financial support to the extent of 50 % of the registration charges shall be admissible once in a financial year
9	<p>For students</p> <p>International/ National conference leading to proceedings/special edition indexed in</p> <ul style="list-style-type: none"> — SCI/ Scopus/ Web of Science/ Thomson Reuters/ ISI/ ESCI/ SCIE — with an affiliation of PCCOE by the author /s 	<ul style="list-style-type: none"> ➤ NA 	<ul style="list-style-type: none"> ➤ Cash incentive of Rs.3,000/- per publication ➤ Incentive to students to maximum of 20% student publications per department per financial year is applicable in this category. ➤ Incentive will be equally divided if more than one students of PCET author the paper ➤ No article processing charges will be provided

10	<p>For students</p> <p>Peer reviewed International/ National journal (Students)</p> <p>— with SCI (Science Citation Index)/ Scopus/ Web of Science/ Thomson Reuters/ ISI (International Scientific indexing)/ ESCI (Emerging Sources Citation Index)/ SCIE (Science Citation Index Expanded) indexing with an affiliation of PCCOE by the author/s</p>	<p>➤ NA</p>	<p>➤ Cash incentive of Rs.5000/- per publication</p> <p>➤ Incentive to students to maximum of 20% student publications per department per financial year is applicable in this category.</p> <p>➤ Incentive will be equally divided if more than one students of PCET author the paper</p>
11	<p>Attending national International Conference, Workshop, Seminar, Meeting etc.</p>	<p>➤ Duty leave for the period including travelling days shall be admissible</p> <p>➤ No DA admissible</p>	<p>➤ No financial assistance is admissible for attending the conference in any capacity Keynote speaker, Participant, Organization committee member etc.</p> <p>➤ However if PCCOE management instructs a faculty or staff member/s to attend certain event (meeting, seminar, conference, workshop etc.) and deputed for the said event then he will be</p>

			entitled to reimbursement of actual expenses incurred by him as TA and DA against valid production of proofs.
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Table 1: Financial support for Traveling

Particulars	Director, Professor, Associate Professor, Assistant Professor
Any country abroad	Rs.40,000/- or at actuals whichever is less

Table 2: Financial support for DA per day

Particulars	Director, Professor, Associate Professor, Assistant Professor
Any location abroad	Rs.7000/-

General conditions for publications:

1. All incentives are applicable to claims of current year and students and not with back effect.
2. Incentive is applicable to published journal papers or Article in press papers and not for accepted for publication or comments answered papers
3. The incentives for publications in Journals may be reimbursed to authors who submit their claims in the prescribed format only.
4. For publishing paper in International or National conference, only one claiming author (student or faculty member as per their entitlement) is entitled to the incentive amount (Registration charges, TA and DA). A No Objection Certificate from remaining authors of PCCOE is needed for processing the claim in such cases.

5. Claim of cash incentive can be processed in cases of only published research articles and not in accepted cases.
6. Cash incentive claim should be evaluated for publications over a span of one financial year only; that is between 1st April and 31st March of the financial year.
7. The amount of incentive claimable and payable will be valid over a span of one financial year; that is between 1st April and 31st March of the financial year. The same cannot be accumulated or carried forward.
8. Authors are required to submit a formal existing application complete in all respects, with enclosures of evidence substantiating the claim of incentive.
9. Application should be addressed to Director, PCCOE and sent to Dean R & I through respective Heads of the Departments. Claims received through this channel only will be processed.
10. Claim applications can be submitted throughout the year.
11. If more than one authors of PCCOE contribute to the publication; then, the sanctioned incentive amount will be equally divided among all authors of the PCCOE
12. Authors desirous of claiming incentive for an International Journal publication must submit documentary evidence in respect of the current impact factor/ quality of the Journal.

Shinde mca



Pimpri Chinchwad Education Trust's
Pimpri Chinchwad College of Engineering
Sector No. 26, Pradhikaran,
Nigdi, Pune – 411 044



Amendment in the Policy for Intellectual Property (IP)

PCCOE/R&D/2021-22/04

Date: 14/01/2022

MAIL IN No. 1435
Date 14/1/22 File

To,
The Director,
PCCOE, Pune.

Subject: About inclusion of amendments in Institute R&D Policy manual.

Dear Sir,

For increasing the number of institute patents and to simplify the application process of IPR through institute, amendments in the existing **Institute R&D Policy manual** (IPR policy) are approved in the Board of Governance (BOG) meeting scheduled on 24th December, 2021 and recorded in Minutes of the Meeting (MOM) point No. 9(C) with Annexure No. 9. These are also attached herewith.

We request you to kindly approve the inclusion of these amendments in existing **Institute R&D Policy manual**.

Thank You.

Dr. A. Roy
Associate Dean R&D

Dr. S. V. Shinde
Dean R&D

R/sir

Forwarded for consideration
and permission for amendments
in R&D manual

R/S
17/1/22

Approved
Registrar to Ammend the
changes in original copy
& issue a copy of the
same to Dean R&D office

G/H/c

→ Dr. S. V. Shinde

for n.a.

18/1/22

Annexure No. 9

Amendment in the Policy for Intellectual Property (IP)

Section 5.4.1

Reason

- Provision by Indian Patent office for inclusion of Institute as an applicant after filing of patent by individual is not mentioned.

Amendment:

- For an already filed individual patent, provision for adding PCCoE as an applicant can be done as per recommendation received by Scrutiny Committee (IPEC)

Section 5.6

Reason:

- Lengthy and three stage Evaluation process of IPR by Intellectual Property Evaluation Committee(IPEC) for Institute Patents.

Amendment:

- In order to file IPR with Institute, a two-tier scrutiny committee is constituted in order to decide suitability for joint filing with the Institute
Tier 1 Committee: PFC In-charges, Attorney, domain experts,
Tier 2 Committee: Director, Dean R&D Office.
Applicants willing to apply for Institute Patents should submit their application to Dean R&D Office, which in turn will direct the said application to Tier 1 committee. Based on recommendation of Tier 1 committee, Tier 2 committee recommendation will be communicated to applicant.

Section 5.4.3

Reason:

- Lack of clarity on IPR rights and revenue sharing when third party is involved for IP development.

Amendment :

- Provision of separate agreement with details of IP development, Processing Fee, Commercialisation terms in between PCCOE, Faculty/Student of PCCOE and Third party in consultation with Scrutiny Committee.

Section 5.13

Reason

- Sharing of total IPR charges including of attorney fees with Institute and Faculty is not clearly mentioned.

Amendment:

- Sharing of total IPR charges including attorney fee need to be split equally i.e., 50:50 ratio between PCCOE and Inventors when applicant of IPR is PCCOE.

Section 5.10

Reason:

GHK
3.2.2022

- Clarity on disbursement terms if Inventor leaves PCCoE

Amendment:

- Declaration and disbursement will be made to the Creator (s), their Legal Heir, whether or not the creators are associated with PCCOE at the time of disbursement annually (At the end of every financial year).

Addition of Section 5.22

Reason:

- Incentive given by Institute to motivate the students and faculty for filing IPR with the Institute as an applicant does not exist.

Amendment:

- Incentive to faculty after publishing and grant of patent when institute as an applicant or with institute affiliation of IPR is as mentioned below-

	On Publishing	On Grant
Patents with Institute Affiliation	Rs. 2000/-	Rs.4000/-
Patents with Institute as applicant	Rs. 5000/-	Rs.10,000/-

~~(R)~~



Pimpri Chinchwad Education Trust's
Pimpri Chinchwad College of Engineering
Sector No. 26, Pradhikaran,
Nigdi, Pune - 411 044



Note for Approval

Date - 31/8/2021

Subject :- Approval to make amendment in Research, Development and Innovation Policy

R/Sr Application has been, R&I is attached herewith for consideration

Recommended

R/Sr
Registrar

G.M.
Dr. G.M. Desai,
Executive Director PCET

G.N.K.
Dr. Govind N. Kulkarni
Director

Approved By

To,

Treasurer
Secretary
Vice Chairperson
Chairman
Pimpri Chinchwad Education Trust (PCET), Nigdi, Pune - 411 044

To
Dean R&I / Mrs. Barab

Alex / Dr. Rajani

Mrs. A.S. Kulkarni → *Dr. R.A.K. *R/Sr*
* pl. prepare a note to be included in the policy doc. as annexure
14/9/21. *G.N.K.*
G.N.K. Sent mail 16/09/21