3.4.1
 	
Q_nM
	The institution ensures implementation of its stated Code of Ethics for research
	3.4.1.1 The institution has a stated Code of Ethics for research and the implementation of which is ensured through the following:
	    1. Inclusion of research ethics in the research methodology course work
	    2. Presence of institutional Ethics committees (Animal, chemical, bio-ethics etc.,)
	    3. Plagiarism check
	    4. Research Advisory Committee
	Options:
	A. **All of the above (Choice)**
	File Description (Upload)
	    • Code of ethics for Research document, Research Advisory committee and ethics committee constitution and list of members on these committees, software used for Plagiarism check, link to Website
	    • Any additional information
		5

DVV requirements

Documents Required for Verification

    Copy of the syllabus of the research methodology course work to indicate if research ethics is included.
    Constitution of the ethics committee and its proceedings as approved by the appropriate body.
    Constitution of research advisory committee and its proceedings as approved by the appropriate body.
    Bills of purchase of licensed plagiarism check software in the name of the HEI.

Specific Instructions to HEIs

    Provide web link on institutional website which should lead to the landing page where Code of Ethics for research is hosted.
    Report of research content checked through licensed plagiarism check software.

Not to be Included /Considered

If the link leads only to the home page, the claim will not be considered.

TEXT

1. Board of Management (BoM) in its 7th meeting on 09.08.2004 adopted an Intellectual Property Right (IPR) Guidelines (item no 8; relevant portions of Minutes in Annexure 3.4.1.A; link to Minutes); subsequently, BoM in its 38th meeting on 29.12.2020 discussed a policy on Intellectual Property Rights (item no 4; relevant portions of Minutes in Annexure 3.4.1.B; link to Minutes) and approved it by circulation (link to the approved policy). 39th meeting on 14.08.2021 recorded the decision (link to Minutes). Appropriate authority with respect to the implementation of IP Policy can be located here.

2. Executive Committee created by the BoM (resolution no. TS/BM/32.8.1; link to Minutes in its 32nd meeting on 27.03.19) resolved to recommend a policy on prevention of plagiarism (agenda no 10; enclosure 4; selected pages of Minutes in Annexure 3.4.1.C) to the Academic Council. BoM through resolution TS/ BM/32/10.1 established IAIP to strengthen the research process in the University (link to Minutes; p. 18). AC in its 46th meeting on 26.07.2019 adopted the following resolution (link to Minutes; item no 6). "TS/AC/46.6.1: The AC resolved to approve that UGC regulations be adopted by the University while ensuring adequate spread of awareness and preparedness amongst all stake holders". Accordingly, IAIP (link) and DAIPs were set up (some examples of DAIP are here, here, here). Annexure 3.4.1.D contains the relevant notifications of formation of IAIP, some notifications of DAIP formation, signed Minutes of some meetings of IAIP and one Annual Report of IAIP.

Accordingly, the Students Handbook (link; p. 105) includes the following text: "13.8 Institutional Academic Integrity Panel (IAIP): In order to comply with the UGC rules (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018, the committee will look into the issues related to implementation of UGC norms related to the prevention of plagiarism in TERI SAS. The committee comprises of the following: [...]"

3. Evaluation and Examination Policy approved by Academic Council in its 48th meeting on 16.07.2020 (link; p.67] includes the following section:
"13. Malpractices during examinations and assessments

[...]

d. The complaint will be heard and adjudicated on the basis of the rules and regulations of the TERI SAS Student Disciplinary Committee except for cases of suspected plagiarism, which will be adjudicated on the basis of UGC notification No. F. 1-18/2010(CPP-II) dated July 23, 2018 by the appropriate Institutional Academic Integrity panel in accordance with the guiding principles of the TERI SAS Institutional Academic Integrity Panel(IAIP)."

The same section is included in the Students Handbook (link; p. 34) under "7.10 Malpractices during examinations and assessments".

4. Following the relevant UGC Regulation, a compulsory course titled 'Research and Publication Ethics' for doctoral students was approved by the Academic Council in its 48th meeting (link; item no 10, Enclosure 10). Outline of the course is included an Annexure 3.4.1.E. It is reflected in the outline of all PhD programmes (for illustration see Programme Outline tab under this link). This course has been offered two times by now.

5. Submission of a PhD thesis requires a certificate from the Chairperson of Student Research Committee/Research Advisory Committee of the concerned student that includes the following:
" I certify that:
A)   The thesis has been checked with Turnitin and the % of plagiarism not attributable to student's own published work is ___, which is satisfactory (A hard copy of plagiarism report)."
A sample of such a certificate is included in Annexure 3.4.1.F. Turnitin report accompanying a PhD submission is included as Annexure 3.4.1.G (identity of the student has been suppressed to protect privacy).

6. A similarity report is mandatory for all Major Research Projects and Master's Thesis (for illustration, see footnote 1 on page 2 in link, see entry against C-2 in link).

7. A copy of the honour code that every student submits before admission to TERI SAS is included in Annexure 3.4.1.H.

8. Research Advisory Committee was established by BoM in its 32nd meeting through Resolution no. TS/BM/32.9.1 (link to the Minutes). Webpage of RAC can be accessed here. The Minutes of RAC are available on it.

9. Internal Quality Assurance Cell in its meeting held on 6th July 2020 adopted the report submitted by its sub-committee to 'Operationalise software based detection of plagiarism as per UGC regulations' (link to Minutes). The recommendation was forwarded to the appropriate authorities.

10. Progress on the formation of Institutional Ethics Committee can be accessed here. This has been reported in the 39th meeting of BoM.

11. Annexure 3.4.1.J includes copy user data for time period between January and July 2020. For accessing Turnitin, TERI the sponsoring society of TERI SAS and TERI SAS had come to an agreement to share the cost towards purchasing the licenses, for reasons of economies of scale. As per the agreement, TERI SAS paid half the amount. Proof of transfer made to TERI can be provided on demand. On 17th March 2021, Internal Quality Assurance Cell, TERI SAS and TurnitIndia Education Pvt Ltd jointly organized a session on 'Grading with Integrity & Consistency with Gradescope' (link for more details).

12. Link to Code of Ethics: https://www.terisas.ac.in/pdf/PlagiarismThesisSubmissionProcedure.pdf

teri school of
advanced studies
Darbari Seth Block, India Habitat Centre, New Delhi

MINUTES OF THE SEVENTH MEETING OF THE BOARD OF MANAGEMENT HELD ON 09th AUGUST 2004 AT 10:30 HRS AT THE CONFERENCE ROOM

The seventh meeting of the Board of Management was held on Monday, 09th August 2004 at 10:30 hrs at the Conference Room.

PRESENT:

The following were present:

Dr R K Pachauri	President (Chairman)
Justice Giridhar Malaviya	Nominee of UGC
Mr Sunil Kumar	Nominee of the Govt. of India
Mr P K Agarwal	
Ambassador C Dasgupta	
Dr Vibha Dhawan	Director & Dean, Faculty of Applied Sciences
Mr Rajiv Seth	Registrar (Secretary)

Prof R S Sirohi, and Dr Leena Srivastava were unable to attend the meeting.

Before taking up the agenda, the Chairman welcomed the new members to the Board of Management and placed on record an appreciation for the time and advice of the outgoing members.

RESOLUTION No.: BM/04/2004   RESOLVED that the panel of experts placed at Annexure 7.1 for constituting selection committees for faculty appointments, is approved.

Item No. 8   Intellectual Property Right (IPR) guidelines for the TERI School of Advanced Studies

The Director, TERI School, briefed the Board on the draft IPR guidelines for the TERI School. The Board recommended the following points:

1) Due recognition and acknowledgement must be given to the students if they have contributed to the research.
2) For collaborative projects, modalities of sharing of intellectual property could be elaborated.

RESOLUTION No.: BM/05/2004   RESOLVED that IPR guidelines, as amended incorporating the above suggestions and placed at Annexure 8.1 are approved for operation in the School.

Item No. 9   Audited accounts for the financial year 2002-2003

The Board of Management discussed the audited accounts for the financial year 2002-2003 and accorded its approval to the audited accounts, as presented.

RESOLUTION No.: BM/06/2004   RESOLVED that audited accounts for the financial year 2002/03, as recommended by the Finance Committee meeting held on 22 December 2003, are hereby approved.

Item No. 10   Report decisions taken by the President on behalf of the Board of Management

The Board approved and ratified the decisions taken by the President on behalf of the Board for appointment of faculty on the recommendations of the Selection Committees constituted vide Clause 12 of the rules and regulations of the School.

TERI School of Advanced Studies
Guidelines on Intellectual Property Rights

Introduction

One of the objectives of TERI School of Advanced Studies is "to provide for research and for advancement of knowledge". Students, while engaged in the scholarly pursuit of knowledge and applied research may lead to the development of intellectual property that may be protected by IPR (which includes patents, trademarks, copyrights for commercial value). These guidelines lay down the rights and responsibilities of the students of TERI School of Advanced Studies wherever the results of their research, creative pursuit, innovations or endeavours are patentable, copyrightable or commercially marketable. These guidelines, whilst safeguarding the School, attempt to encourage, support and motivate students in the creation of new knowledge and application of existing knowledge.

The Dean of Sponsored Research, Development and Training is responsible for the interpretation and implementation of the provisions contained in these guidelines.

Definitions

1. "TERI School" means TERI School of Advanced Studies.

2. "TERI" means The Energy and Resources Institute.

3. "TERI/TERI School premises" means the premises of TERI at Lodhi Road, at Gual Pahari and any other premises, which might be used by TERI School for its course work or research activities.

4. "intellectual property" means information, ideas, inventions, innovations, designs and any other matter or thing what so ever which may be the subject of legal rights in any way recognized by Indian and/or foreign law.

5. "board" means the Sponsored Research and Development Board of TERI School.

6. "student" means a post graduate student and/or any other person defined as a student in the TERI School rules. Any reference to a student in these guidelines will also apply to a visiting academic, scholar or any other person so far as that person undertakes studies, scholarship, research with or at TERI School and in doing so uses the School's resources or works as part of a TERI School research team.

7. "supervisor" means a faculty member of TERI School of Advanced Studies or any other faculty designated as guide for a student undergoing studies, scholarship or research with or at TERI School.

8. "employee" means any person who is paid a salary by TERI School of Advanced Studies.

9. "copyright" means a copyright as defined by the Copyright Act 1957.

10. "design" means a design as defined by the Designs Act 2000.

11. "invention" means an inventions as defined in the Patent Act 1970, or as amended or replaced from time to time.

12. "trademark" means a trade mark as defined by the Trade Marks Act 1999.

13. "patent" means a patent within the meaning of the Patent Act 1970 (as amended by the Patents (Amendment) Act 2002 and the Patent Rules, 2003), or as amended or replaced from time to time.

General

1. These guidelines apply to all full-time and part-time students.
2. These guidelines cover all intellectual property including anything that is patentable, copyrightable or otherwise commercially viable/exploitable.
3. Copyright of books, journal articles and writing of his/her own, would vest with the student. Wherever appropriate, the student should acknowledge in writing the support of TERI School of Advanced Studies in producing the work.
4. Due recognition and acknowledgement would be given to students who have contributed to research.
5. These guidelines will also apply to intellectual property which may have come into existence prior to the date of these guidelines, provided it was created by a student during the course of his/her research at or with TERI School.

Intellectual Property Right determined by third party agreement

Whenever there is a possibility that an externally funded project will result in intellectual property, the ownership of that property will be determined between the School and the funding organization.

If the funding agency is a government (central/state) or TERI then the standard practice of that agency will determine the ownership rights.

In case of collaborative projects, modalities of sharing of intellectual property would be elaborated in the MoU.

Responsibilities of students

Record Book
Students will be given record books which are non-consumable items and which will have to be handed over to the School on finishing their research activities at the School. The record book will have numbered pages and students would be required to sign the book at the end of each day. The signature of the student would have to be countersigned by his/her supervisor or any other witness at least once every two weeks.

Confidentiality
The students shall not remove from TERI/TERI School premises nor prepare any copies of any documents, files, drawings, articles, correspondence, notes or other papers relating to proprietary technology except to the limited extent which the nature of research of the student may require, and in such cases, the student shall promptly after completion of such work return all such items to TERI/TERI School.

During the course of his research, the student will acquire and have access to proprietary technology which is confidential in nature and of value to TERI/TERI School, such as research and development projects and funding details about microbial consortium, formulae, designs, processes, methods of manufacture etc. It is the student's responsibility to ensure that he/she does not disclose any such proprietary technology at any time even after leaving TERI School, unless such proprietary technology comes within public domain by an act other than that of the student.

Potentially patentable innovations/inventions
As soon as the student recognizes that there is a possibility of patentable products/processes or inventions, and before disclosing it to any party outside TERI School of Advanced Studies, the student must notify his/her supervisor, the Head of his/her Department and the Dean, Sponsored Research, Development and Training.

Property not subjected to patent law
If the student recognizes that there is any possibility of intellectual property rights being created, even if not patentable, the student must immediately discuss the idea with, his/her supervisor, the Head of his/her Department or Dean of Sponsored Research, Development and Training.

Other responsibilities

If funding was provided by an external agency that requires notification when intellectual property develops, the Dean of Sponsored Research, Development and Training would be responsible for notifying the agency. The Principal Investigator of the project will assist the Dean by providing the necessary information and completing the formalities as required by the funding agency.

The Dean of Sponsored Research, Development and Training/PI is responsible for decisions regarding all IPR issues which include patenting, copyrighting, licencing, loaning, selling, or otherwise controlling the marketing or disposition of intellectual property that is owned by the School. If a copyright/patent is pursued, the student concerned is expected to cooperate in filing the necessary paper work.

Distribution of benefits derived from Intellectual Property

The School may enter into an agreement with the originator(s) of intellectual property regarding the division of revenue between the School and the originator(s) where any intellectual property owned by the School is to be assigned, licenced, or otherwise commercially exploited by the School.

Appeals

The sponsored Research and Development Board would be responsible for resolving any disputes including, but not limited to, disagreement regarding:

(a)   Ownership of intellectual property rights

(b)   Transfer of the intellectual property rights

(c)   Marketing of intellectual property

The decisions of the Board may be appealed in writing to the Director who is the final authority in resolving the issues.

10, Institutional Area, Vasant Kunj,
New Delhi 110 070

**MINUTES OF THE THIRTY EIGHTH MEETING OF THE BOARD OF
MANAGEMENT**

The Thirty-eighth meeting of the Board of Management was held on 29 December 2020 at
14:00 hours online on Microsoft team platform. The following were present:-

PRESENT:

Members	Special Invitees
Professor Manipadma Datta, Chairperson	Mr Amit Kumar
Professor George John	Mr Sandeep Arora
Dr V P Singh	
Professor E Somanathan	
Mr R R Rashmi	
Professor Arun Kansal	
Professor Shaleen Singhal	
Professor Ramakrishnan Sitaraman	
Dr Vishnu Konoorayar	
Mr Kamal Sharma, Secretary	

Leave of absence: Dr Nimmi Singh, Dr Sachin Chaturvedi and Professor Bhim Singh could
not join the meeting.

**Item No.1: To confirm the minutes of the Thirty Seventh meeting of the Board of
Management held on 25 November 2020**

It was informed that the minutes of the Thirty Seventh mmeeting of the Board
of Management held on 25 November 2020 were circulated to the members of
the Board and no comments had been received on the same.

TS/BM/38.1.1. The Board resolved that the minutes of the 37th meeting of the Board of
Management held on 25 November 2020 be confirmed.

Item No.2:   To consider and approve Policy on revenue sharing. The Registrar
informed the members about the policy on consultancy which was discussed at
the 35th meeting of BoM. As such, on the advice of the Board, a committee
headed by Professor Ramakrishna Sitaraman, has reviewed a policy on
revenue sharing. Prof. Datta briefed the Board that till date we had no policy
on revenue sharing on account of consultancy undertaken by the faculty. He
emphasized that to incentivize the faculty to undertake consultancy and to

increase the Institute's earnings in these challenging times, we need to have a clear policy on revenue sharing. Professor Sitaraman presented the various salient features of the proposed revenue sharing policy. Prof. Datta raised his reservation on point 1.4.5 and 1.4.6 that overhead charges amounting to 20 percent of the net surplus shall accrue to TERI SAS. It was also suggested that instead of calling it as revenue sharing policy it should be renamed as Consultancy Policy. It was also stated that regarding disputes before it should be sent to the Committee it should be sent to Dean (R&R). Prof. Datta stated that this policy, after incorporating the suggestions received from Board, be put into force as we have limited faculty members and limited opportunities. The policy on revenue sharing is attached as Annexure 1.

TS/BM/38.2.1 The Board after detailed discussions on various elements of revenue sharing, recommended that a revised policy based on the suggestions and comments received be circulated to the Board for approval.

Item No. 3: **To consider and approve Policy on Lien**. A draft policy on lien was discussed at the 37th meeting of BoM. On the advice of the Board the policy has been reviewed by a committee constituted by the VC and the draft policy was presented to the Board. Professor Arun Kansal, Convenor of the committee, explained in detail the background and various characteristics of the proposed lien policy. Dr John recommended that we should encourage the staff to go on lien and be an ambassador of the Institute, get experience at international organisations. Mr Rashmi also shared similar views. The revised policy on lien is attached as Annexure 2.

TS/BM/38.3.1 The Board deliberated in detail on various aspects of the policy and recommended that a revised policy based on the comments received be circulated to the Board for approval.

Item No. 4: **To consider and approve Policy on Intellectual Property Rights.** A draft policy on Intellectual Property Rights was discussed at Board of Management meeting. On the advice of the Board the policy has been reviewed by a committee constituted by the VC and the draft policy was presented to the Board by the Chair of the Committee, Prof. Shaleen Singhal. While deliberating on the document, it was suggested that definition of personnel should be kept the same both for Consultancy Policy and Intellectual Property Rights Policy. Prof. Somanathan suggested to rewrite the point on copyrights. He also stated that there should be distinction between patents and copyright. The revised policy is attached as Annexure 3.

TS/BM/38.4.1 The Board deliberated in detail on various aspects of the policy and it was recommended that a revised policy based on the comments received be circulated to the Board for approval.

2

Annexure 3

New Delhi

Policy on Intellectual Property Rights

1.0: Objectives

1.1. TERI SAS creates Intellectual Property as part of its academic and research activities. Its work is underscored by its mission to build and share knowledge and information responsibly and openly for the larger purpose of the public good. TERI SAS aims to share its body of work as openly as possible, for the benefit of people at large. Any personal benefits or commercial gains of its work are incidental to its purpose of creating public good.

1.2: This Policy applies to all *Personnel* (as defined below) and all *Non-TERI SAS Personnel* associated with TERI SAS in its academic, research and other activities and covers different classes of Intellectual Property including Copyrights, Patents, and all other types of Industrial Properties.

2.0: Definitions:

2.1: Personnel- All students, employees, consultants and collaborators of TERI SAS engaged through a contract / any academic, research or any other activity /research or academic requirements of the Programmes offered by TERI SAS shall be called as *Personnel*, and all others shall be called as *Non-TERI SAS Personnel*. *Personnel* and *Non-TERI SAS Personnel* may also include juristic persons.

2.2: Intellectual Property includes Copyrights, Patents and other types of Industrial Property such as trademarks, service marks, logos, design, trade secret, confidential information and Integrated Circuits Layout *etc*. that are defined and interpreted as per the laws of the land from time to time.

2.3: Copyright- as defined and interpreted in the laws of the land from time to time as Copyright and Related Rights.

2.4: Patents and other Industrial Property- as defined and interpreted in the laws of the land from time to time.

2.5: TERI SAS Resources - shall include both 'Usual TERI SAS Resources' and 'TERI SAS Supported Resources':

2.5.1: Usual TERI SAS Resources -includes all laboratory and equipment, all research facilities, office space and facilities, official working hours of the Personnel, computer/computer networks/software, library including the digital library, Secretarial and Administrative services, Intellectual Property already owned by TERI SAS and all other kinds of academic/research support provided at the financial cost of TERI SAS.

2.5.2: TERI SAS-Supported Resources includes the time, effort, and intellectual inputs of Personnel with the use of 'Usual TERI SAS Resources' and diminution by the TERI SAS of any or all of the standard responsibilities of Personnel to offer time or resources for the purpose of creating Intellectual Property.

2.5.3 TERI SAS Resources shall also include:

2.5.3.1: Financial Resources: Financial support provided by TERI SAS over and above the regular salary/perks as per employment/enrolment/sponsorship contract or over and above the scholarship provided to students/research scholars and includes:
   i.   Funds given by the TERI SAS to protect, preserve and implement rights in Intellectual Property.
   ii. Funds given to create, exploit and/or commercialize intellectual Property.
   iii. Fees exemption by the TERI SAS for the usage of any facility or apparatus.

[Exception: Awards, Honours, Fellowships, Prizes, Scholarships and facilities manufactured with such funds, shall not constitute TERI SAS Resources. The infrastructure established by private funds of Personnel shall also not constitute use of TERI SAS Resources]

2.5.3.2: Intellectual Property Resources- Intellectual Property already in existence and owned by TERI SAS and usage of the name, logo, or trademark of TERI SAS in the creation and marketing of Intellectual Property shall be a part of TERI SAS Resources.

3.0: Ownership of the Intellectual Property:

3.1: Copyrights –Ownership of Copyright of all copyrightable work shall rest with the Personnel with the following exceptions:

3.1.1: TERI SAS shall be the Copyright owner of the work created by Personnel with the use of TERI SAS Resources. The TERI SAS may demand assignment of the Copyright in whole or in part depending on the degree of use of TERI SAS Resources used in producing the copyrightable work. The Moral rights shall remain with the Personnel even when Copyright is vested with TERI SAS.

3.1.2: TERI SAS shall be the owner of all teaching material developed by Personnel as part of any it's academic programmes. However, the Personnel shall have the moral right to use the material for an academic or research purpose.

3.2: Patents and other Industrial Property:–Patents and other Industrial Property invented by 'Personnel' with the use of TERI SAS Resources shall be owned by TERI SAS in full or in part depending upon the ratio of use of TERI SAS Resources.

3.2.1: TERI SAS may undertake procedures to commercialize its rights in Patents and Other Industrial Property owned by it. If the Intellectual Property is owned by TERI SAS in part with the Personnel and/or Non-TERI SAS Personnel, such commercialization shall be done through a separate written contract, and all costs and benefits of commercialization shall be shared proportionately.

4.0: Sponsored Research: For Intellectual Property created/generated during the course of sponsored and/or collaborative activity, definite provisions related to Intellectual Property specified in contracts dealing with such sponsored/collaborative activity shall regulate the ownership of Intellectual Property.

4.1: TERI SAS shall be the owner of all Intellectual Property created with the use of funding from sponsored /collaborate activity where the Sponsor/Collaborator does not claim intellectual property rights.

5.0: Appropriate Authority: The Authority designated by the Vice-Chancellor to assess the use of/proportion of use of TERI SAS Resources used by the Personnel to create Intellectual Property and decide whether substantial use of TERI SAS Resources has happened.

6.0: Disclosures, Confidentiality and Assignment of Rights: Disclosure is an important process of Intellectual Property protection. It documents claims of inventorship, the duration/date and other details of the work.

6.1: The provisions of the contract pertaining to disclosure and confidentiality shall be followed in sponsored and/or collaborative activity.

6.2: For a Personnel who wish to protect their Intellectual Property, created other than through sponsored and/or collaborative work, and without the use of any TERI SAS Resources shall disclose full details (including the period of creation/invention etc.) with the Appropriate Authority of TERI SAS at the earliest date and claim personal ownership in full or in part. The Appropriate Authority of TERI SAS shall decide on such claims and shall record the same in the 'TERI SAS Intellectual Property Register' maintained for the purpose. The Personnel shall also disclose details of all works where there are no claims of use of personal time and resources and shall assign the rights to TERI SAS.

6.3: All TERI SAS personnel and non-TERI SAS personnel affiliated with any activity of TERI SAS shall treat all information regarding Intellectual Property that belongs to TERI SAS/that are assigned to TERI SAS as per this Policy as 'confidential'. They shall not take any steps to commercialize the same or transfer the information to anyone else.

7.0: Royalty Sharing: Royalty accruing, or any type of payment or benefit received from the commercialization of TERI SAS-owned intellectual property shall be shared between the TERI SAS and the Personnel and Non-TERI SAS Personnel in proportion to the ratio of ownership over that Intellectual Property.

8.0: Resolution of disputes: In case of disputes between the Personnel and TERI SAS regarding any aspects of this Policy, the aggrieved party may approach the Appropriate Authority. If the aggrieved party is not satisfied with the decision of the Appropriate Authority, the party may appeal to the Vice-Chancellor of TERI SAS. The Vice Chancellor's decision shall be final and binding.

9.0: Jurisdiction: All dispute(s) arising with respect to the implementation of this Policy shall be subject to the legal and territorial jurisdiction of the Courts of Delhi only.

**Minutes of the Executive Committee meeting held on March 27, 2019
at 12.45 p.m.**

Members present

Dr Leena Srivastava
Dr Seema Sangita
Dr Nandan Nawn
Dr S Ramakrishnan
Dr Vishnu Konoorayar
Dr Sapna Narula
Dr Sudipta Chatterjee
Dr Chaitanya Madhurantakam
Dr Sukanya Das
Dr Akash Sondhi
Dr Manipadma Datta
Dr Shaleen Singhal
Capt. Pradeep Kr Padhy (Retd.)
Dr Sapan Thapar   -   Special invitee

Dr Prateek Sharma, Dr Arun Kansal, Dr Smriti Das, Dr Anandita Singh, Dr Atul Kumar, Dr Fawzia Tarannum, Dr Nithiyanandam Yogeswaran and Dr Vinay S. Sinha could not attend the meeting.

1.   **Structure of Distance Education programmes and Evaluation system for Distance Education Programmes.** Dr Sapan Thapar explained to the members the structure of Distance Education programmes. He stated that based on the recommendation of the Academic Council, the credit distribution of some modules offered under the APGDRE programme has been optimized. The revised structure of the Programme was presented to the Executive Council.

Decision: - The Committee recommended the following structure for Distance Education programmes.

(a)   Certificate in Renewable Energy Resources and Policies

Course Title	Credits
Introduction to Renewable Energy Resources	4
Introduction to Renewable Energy Technologies	5
Indian Power Sector - Organization, Policies and Regulations	4
Renewable Energy Sector - Policies, Regulations and Programmes	4
Environmental and Health Impact of Energy Use	3
TOTAL	20

(b)   Certificate in Energy Infrastructure & Efficiency

Course Title	Credits

Energy Infrastructure	5
Introduction to Basic Engineering Principles	5
Introduction to Engines	2
Introduction to Energy Conservation Policies & Programmes	3
Energy Conservation and Management	5
TOTAL	20

(c) Certificate in Renewable Energy Technologies

Course Title	Credits
Solar Thermal Technologies	4
Solar PV Technologies	4
Passive Solar Architecture	3
Wind Energy Technologies	3
Hydro Power Technologies	1
Biomass to Energy	3
Other Renewable Energy Technologies	2
TOTAL Credits	20

(d) Certificate in Software Tools for Energy Analysis

Course Title	Credits
RETScreen	4
Homer	4
PVSyst	4
SAM	4
TRYNSYS	4
TOTAL Credits	20

(e)   On completion of all the four certificate programmes mentioned above, a student becomes eligible for award of Advanced Post Graduate Diploma in Renewable Energy (APGDRE)

(f)   On completion of any two of the four certificate programmes mentioned above, a student becomes eligible for award of Post Graduate Diploma in Renewable Energy (PGDRE), subject to the condition that the student has completed Certificate in Renewable Energy Resources and Policies

(g)   Other conditions:

      (i)   Minimum Educational Qualifications

            a.   Diploma programmes – Graduation

            b.   Certificate - Graduation

      (ii)   Programme Duration

            a.   APGDRE Programme – 2 years

       b. PGDRE Programme – 1 year

       c. Certificate - 6 months

   (iii)   Maximum time for completion

       a. APGDRE Programme - 5 years from the date of commencement of programme

       b. PGDRE Programme - 3 years from the date of commencement of programme

       c. Certificate– 1.5 years from the date of commencement of programme

   (iv)   Upwards Compatibility towards award of Diploma –

       a. A student shall have the option to pursue an additional certificate after the completion of the first certificate. Towards completion of two certificates, the student shall become eligible towards award of PGDRE Diploma, subject to the condition that the student has completed Certificate in Renewable Energy Resources and Policies.

       b. A student shall have the option to pursue additional two programmes after the completion of the PGDRE Diploma. Towards completion of all the four programmes, the student shall become eligible towards award of APGDRE Diploma.

2.   **Evaluation criteria for Distance Education Programmes**. Dr Sapan Thapar informed that the UGC has recommended 70% weightage for term-end exams and the existing policy on evaluation needs to be accordingly amended.

Decision:- The EC resolved to recommend the following evaluation criteria for Distance Education programmes wef AY 2019-20:-

    (a)   Weightage for end-semester examination - 70%
    (b)   Weightage for assignments - 30%

3.   **Guidelines for appointment of visiting professors /Fellows/Scholar/Adjunct Faculty**. The Registrar placed before the members the guidelines for appointment of visiting professors/Fellows/Scholar/Adjunct Faculty. Dr Nandan Nawn suggested that under para 1(b) of policy on Visiting Professors should be worded as senior scholars/professionals which was noted.

Decision. The committee resolved to recommend the following policies as amended and placed at Enclosures 1 & 2.

    (a) Policy on appointment of Visiting Professor/Fellows/Scholars
    (b) Policy on appointment of adjunct faculty

4.   **Amend timeline for review of student appeals for final course/project grade**.
The Registrar informed that the Dean's office has recommended increase in the duration of review

periods for appeals, as the existing time prescribed in the rules are very less. He presented a draft amendment and the EC discussed the matter.

Decision: -   The EC resolved to recommend the following: -

The Dean will review the matter by holding meetings within the student and concerned faculty member individually and will Communicate the decision to the student within 5 working days (instead of 3 working days).

OR

Refer the matter to the MPEC for a review, and thereafter take a decision based on recommendation within a period of 10 working days (instead of 3 working days).

5.   **Registration rules for LLM Programme**. Dr Vishnu Konoorayar, Head, Centre for PG Legal Studies informed the members that since the LLM programme is of two semester duration, therefore, the existing registration rules meant for four semester programmes(02 yr PG programmes) are required to be amended to suit the requirements of LLM programme. The EC discussed the matter.

Decision:- The EC resolved to recommend a separate registration rule for LLM programme as under:-

a)   The SGPA at the end of the first Semester should be no less than 5.5 for the continuation of registration for the next semester

b)   Students are required to acquire a CGPA no less than 6.0 in a Programme to qualify for the award of the degree. In case CGPA is less than 6.0 at the end of meeting the ordinary credit requirements of given Programme, the student shall take additional courses /undertake an additional project, until the CGPA requirement is met.

6.   **CGPA to Percentage/class conversion rule.** The Registrar informed that a number of employers and institutions request for equivalent percentage/class marks of students graduated from the University. He stated that since the university follows a grade system, hence a formula has to be adopted for converting CGPA to percentage/Class. He suggested that the IIT(Delhi) formula might be considered; wherein the CGPA of all TERI SAS graduates notionally shall be converted to percentage by multiplying the CGPA by a factor of 10 and 60% would be designated as 'first class'. Members opined that since the qualifying grade at TERI SAS is 6.0 hence declaring it equivalent to first class might not be appropriate. The Chair stated that more options might be explored by studying the formula used by other reputed institutions.

Decision. The committee resolved that processes adopted by other reputed institutions for converting CGPA to Percentage/Class be studied and an analysis submitted to the EC for discussion.

7.   **Span period for a degree.** The Registrar presented a UGC recommended guideline on span period for a programme for discussion.

Decision.   The EC resolved that a student who for whatever reasons is not able to complete the programme within the normal period or the minimum duration prescribed for the programme, may be allowed two years period beyond the normal period to clear the backlog to be qualified for the degree. The general formula, therefore, should be as follows:

a)   Time Span = N+2 years for the completion of programme
       Where N stands for the normal or minimum duration prescribed for completion of the programme

b)   In exceptional circumstance a further extension of one more year may be granted. The exceptional circumstances be spelt out clearly by the relevant statutory body concerned of the university.

c)   During the extended period the student shall be considered as a private candidate and also not be eligible for ranking.

8.   **Time line for release of results.** Dr Seema Sangita, Controller of Examinations stated that in response to NAAC's requirements regarding the time taken for declaration of results after completion of examinations, Academic Calendar for next AY has to be worked out in a manner so that minimum time is used for the entire evaluation process. The EC discussed the proposal presented by Dr Sangita.

Decision: -   The EC resolved to recommend that in the Academic Calendar of 2019-2020 the following changes be effected: -

(a)   The last day for *all evaluation processes* would be set at two weeks from the last day of classes. Currently, we have a stipulated last day of examinations in the academic calendar (for example, in the current semester this data is 17th May). However, there is a practice of carrying on other forms of evaluation like term papers, presentations, thesis submissions beyond this date. In the academic calendar of 2019-20, the last date of examinations would effectively be the last date of all presentations and submissions of term papers or theses.
(b)   The deadline for declaration of results would be declared four weeks after the last day of classes, that is two weeks after the last day of evaluations.

9.   **Policy on Research Centres.** The Registrar presented the draft Policy on Research Centers. The EC discussed the policy and members suggested the following:
-     The project completion report must be only an indicator to the successful completion of project undertaken.
-     Archiving is an important task and the same be included as a note within this guideline framework.
-     Consultancy and IPR guidelines issues need to be worked out as separate policy documents.

Decision. The committee resolved to recommend the policy placed at enclosure 3 as amended.

10.   **Policy on Prevention of Plagiarism in TERI SAS.** Dr. S. Ramakrishnan apprised the members about the policy on prevention of plagiarism in TERI SAS. He informed that after getting the concurrence of the Executive Committee members it would be put up to the Academic Council for their formal approval. Members discussed the draft policy.

Decision. The committee resolved to recommend the policy on prevention of plagiarism as amended and placed at enclosure 4.

Enclosures:

1.   Policy on appointment of visiting professors/ fellows/ scholar
2.   Policy on appointment of adjunct faculty
3.   Policy on research centre and sponsored research activities
4.   Policy on the prevention of plagiarism, TERI school of advanced studies

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POLICY ON APPOINTMENT OF
VISITING PROFESSORS/ FELLOWS/ SCHOLAR

1. A Visiting Professor/Fellow/Scholar should be an eminent scholar in his/her field.

   (a) Generally, a person who has held or is holding the post of the Professor may be considered for appointment as Visiting Professor.

   (b) Senior Scholars or professionals not holding a University Professorship but holding senior positions in their parent Institution or Superannuated eminent scholars/researchers and professionals also be considered for appointment as Visiting Fellow/Scholar.

   (c) The Selection Committee based on the merit of the case, shall suggest a suitable designation (Visiting Professor/Fellow/Scholar).

2. A Committee comprising of the VC, Deans and two Professors of TERI SAS shall select the names for appointment as visiting professor.

3. The maximum tenure of appointment of Visiting Professor/Fellow/Scholar will be for a period of two years. The University may pay a compensation/honorarium based on mutually agreed terms and conditions.

4. The University may appoint a person up to the age of 70 years as a Visiting Professor/Fellow/ Scholar. However, the Vice-Chancellor may consider appointing Visiting Professors/Fellow beyond the age of 70 years on merit of each case and report the same to the Board of Management.

5. If a person working abroad on a permanent basis is invited as a Visiting Professor/Fellow, the University may meet the cost of International air travel from its own resources. Visiting Professor Fellow appointed from within India may be paid travel expenses in accordance with the rules of the University.

6. Visiting professor/Fellow/Scholar will be expected to teach and contribute to the research activities of the University as decided by the Vice Chancellor.

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POLICY ON APPOINTMENT OF ADJUNCT FACULTY

1.   It is well realized that there is lot of creative talent and intellectual resources available within the country that are not formally connected to the higher education system. It is imperative that the expertise and experience of such individuals, who are outside the main stream academic system, flows into our universities. This would enhance, strengthen and improve the quality of teaching, training and research.

2.   Adjunct Faculty will be appointed by the University based on the recommendation of a Committee. Period of empanelment will vary from 06 months to 02 years on mutually agreed terms and conditions. It is expected that any application for adjunct faculty is first discussed at the department level. The department may forward the application with comments specifying the suitability of such candidate(s) in the department / institution level academic activities. If the department recommends a case for adjunct faculty, the same should be examined by a Committee comprising of following: -

   i)   Vice Chancellor or his/her nominee (Chair).

   ii)   Head of the concerned Department.

   iii)   Dean (Academic / Research)

   iv)   One External Expert (Nominated by head of the institution).

   v)   Registrar

3.   The strength of Adjunct and guest faculty may not exceed 25 % the full-time faculty at any time.

4. **Qualifications**: A person with sufficient experience in a particular field with or without a postgraduate or Ph.D. qualifications. Her/his association must add value to the academic programme/students. In case of candidates from an industry, his/her domain knowledge should be of significant value.

4. **Duties** Adjunct faculty will be expected to teach courses directly related to his specific expertise and professional experience or the areas of his specialization. He may also contribute to the institution's activities like counselling of students, developing new course(s) and pedagogical improvements. Adjunct faculty may also be involved in the M.Phil / Ph.D. coursework based on his professional and research proficiency adjudged by the concerned institution. Adjunct faculty is also expected to actively participate in service-related activities, such as sitting on departmental committees, serving as advisors to faculty and/or undergraduate and post graduate students, helping students' network, and active collaboration with the industry / employer providing internship and job opportunities.

5. The University may pay a compensation based on mutually agreed terms and conditions.

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POLICY ON RESEARCH CENTRE AND SPONSORED RESEARCH ACTIVITIES

1.0 Purpose. The policy aims to outline the general guidelines on the establishment and administration of Research Centres, sponsored research, research-related activities, consultancy and collaborative projects.

2.0 Scope. For this policy, 'research[1]/ projects[2]' includes all activities undertaken by TERI School of Advanced Studies (TERI SAS) staff that have received grants (internal or external). Research undertaken by students/ scholars will be governed by academic rules and guidelines of TERI SAS and is out of the purview of this policy. 'Collaboration' includes all form of formal partnerships at an Institutional/Individual[3] level where parties agree to share resources and rely on one another to achieve shared goals.

3.0 Administration. All research projects and collaborations will be governed by University norms and will be coordinated by the office of Dean (Research and Relationships) in consultation with Heads (Departments/Research Centres). Dean (R&R) will also be responsible for monitoring of progress of projects and collaborations and for the prudent utilisation of grants. Financial responsibility for the centre shall be as per the University rules. The organizational structure and governance of the Research Centre will include a Research Advisory Committee.

4.0 Research Advisory Committee. The "Research Advisory Committee" at TERI School of Advanced Studies will render advice and guidance to the Board of Management (BOM) for future growth on research related issues. The Committee will provide advice on Academic Research, Sponsored Research, Consultancy, Training etc. The scope of the activities envisaged for the Board include,

- To help set up a research agenda for the university
- To guide faculty and research staff on funding opportunities
- To facilitate the development of industry-academia research collaborations
- To guide the Institute in development of research infrastructure
- To advocate the University's research capabilities and outputs
- To advice on best practices vis-a-vis research policies and procedures

4.1 Composition of RAC. The composition of the committee will be as follows.

- Vice-Chancellor- Chairperson

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[1] Research include: Basic/theoretical/applied/experimental development/problem-oriented/ new knowledge development related research

[2] Projects connected to any of the above research activities

[3] Individual relationships/contracts can only be taken if it is a limitation of the sponsoring agency; sponsorship amounts would flow to the University

- Dean (Research & Relationships)
- All Heads of Departments/Centres or their nominees
- External experts from diverse fields nominated by Chairperson (at least three)
- Registrar- Secretary

All external experts/nominated members would have a term of 2 years which is renewable for a maximum of two terms more. The RAC will meet at least once in a year.

5.0 Research Centres. The University may set up Research Centres as non-academic units established for the purposes of focussed conduct of basic, applied and experimental/ problem-oriented research. The purpose of a research centre is to engage in research in specific areas and to encourage research collaborations among disciplines and between departments and faculties. Research centres are generally expected to:-

(a)   have clearly identified goals and objectives;

(b)   bring together scholars from different disciplines and/or areas of specialization

(c)   maintain high levels of research productivity;

(d)   foster the training of future researchers, especially regarding research skills;

(e)   attract post-doctoral fellows, visiting professors, and other scholars;

(f)   cooperate with scholars at other universities and/or institutions; and

(g)   seek external funding in order to operate on a cost recovery basis.

(h)   in pursuit of their objectives, research centres may establish communication links inside and outside the university and organize seminars and symposia.

(i)   research centres may involve formal partnerships with other universities and/or institutions. TERI SAS involvement in such joint centres is subject to formal agreement approved by the Vice Chancellor by recommendations of the Dean (Research & Relationship).

5.1 Establishment of Research Centres. The University encourages the establishment of Research Centres that will enhance and facilitate disciplinary and interdisciplinary research collaboration, knowledge transfer and training.

(a)   The authority to establish research centres resides with the Board of Management, on the recommendation of the RAC. Proposals for research centres to be submitted to Dean (Research and Relationship) for initial scrutiny and include:-
    i. A comprehensive statement of purpose enough to allow the merits and feasibility of establishing a research centre and shall include justification which should include a concise statement of the mission and objectives of the proposed research centre and their relationship to the strategic plan of the university, an identification of the scope of activities envisaged; and description of the research benefits and opportunities likely to result from the establishment of the centre . The justification should also include how the proposed centre would

facilitate research among scholars within the university and in the wider community.

ii   A detailed budget and budget justification for the first three to five years which includes the anticipated revenue from all sources and proposed annual operation costs, as well as plans for seeking external funding. Centres are expected to be self-sufficient and generate revenue for operations and maintenance independent of University. This must be demonstrated through both actual and anticipated sources of income and accompanied by letters of support from potential sponsors/funding agency.

(b)   Upon approval of the Centre by BoM, the Registrar's office will notify the formation of the Research Centre

(c)   The Head of the Centre, appointed by the VC from amongst faculty members/researchers, will exercise general supervision over the operation of the Centre. The Head would have a term of 3 years.

(d)   Research centres are expected to seek external funding to support their activities (e.g. through grants, contracts, donations or fee-for-service).

(e)   All faculty of the Institute may be a formal researcher in more than one Research Centre with responsibilities defined or may be associated with one or more of the projects in a Research Centre. In addition, Research Centres may hire full-time Research Staff as under. The selection of Research staff will be made by a five member selection Committee constituted by the Vice Chancellor:-

Research Staff Designation	Terms and Conditions of Service same as the UGC levels approved by BoM for
Research Associate I/ Scientist B	Lecturer
Research Associate II/ Scientist C & D	Assistant Professor
Fellow/Scientist E & F	Associate Professor
Senior Fellow/ Scientist G & H	Professor

Note:- Notwithstanding, staff of the Research Centres including the Head may also hold an appointment in an academic department/centre if he/she is eligible in accordance with TERI SAS rules and UGC regulations on eligibility for faculty.

(f)   While individual PI's who are faculty have a line management relationship with the Head of Department, their reporting relationship in relation to their role as PI's in the Research Centre shall be a parallel relationship which complements but does not supersede the employment relationship to the HOD. While the line management relationship to HOD covers their employment in the broadest sense, PIs shall report to

the Head Research Centre specifically in relation to the management and progress of research projects and programmes within the Research Centre.

(g)   Each Research Centre shall have a listing of available research facilities (e.g. library holdings, laboratories, space, equipment etc.),

5.2   Annual Report and Review. The University is committed to developing and maintaining high-quality programs of research. Therefore, it provides for appropriate reviews and management of Research Centres and Projects that ensure internal and public accountability as well as ongoing improvement and an evolving strategic direction. To facilitate the conduct of periodic review of research centres, the Head of each Research Centre shall provide an annual report to the RAC. This report should detail: the activities of the centre and its personnel, including research accomplishments (not conflicting with IPR), training and other research related activities (e.g. conferences, workshops, seminars, etc.); and its financial status. In order to ensure that all research is consistent with the goals of the University and that research centres reflect positively on the general reputation of the University; all research centres shall be reviewed by RAC for its continuation on a periodic basis not less than every four years and recommendations forwarded to BoM for necessary action.

6.0   Other bodies. Head, Research Centres shall collaborate with the following committees constituted by the Vice Chancellor for strengthening the Research process in the University.

i)   Research ethics committee: To look at all ethical aspects of research including ethical clearance, wherever required.
ii)   Institutional Bio Safety Committee (IBSC): To look at bio safety related matters and clearances given by the committee.
iii)   Academic Department/Centre research committee: On matter related to development and implementation of research plans and extension activities of the Academic Department/Centre.
iv)   Innovation and entrepreneurship incubation cell
v)   Institutional academic integrity panel.

7.0 Procedure for Project implementation

(i)   Information about proposals (broad area of study, research title, overall budget and time period, funding agency) from Research Centres and faculty for any external funding/collaboration/MoU shall be intimated to the office of Dean (Research and Relationships).

(ii)   On sanction of the project/collaboration, the Head Centre shall deposit a copy of the contract at the office of Dean (Research and Relationships) and provide any further information required, for example a write up for the website.

(iii)   Faculty and research staff are expected to comply with the management of external funded activities and other contracts in accordance with prescribed guidelines, norms and procedures.

(iv) **For projects funded by the Internal Grants Committee (IGC) only:** All projects approved by the University under IGC, will go through the process of internal review. The nature and periodicity of review will depend on the project duration, and it shall be decided at the time of project initiation in consultation with the principal investigator. The IGC Convener will present an Annual Report on such projects to the RAC.

(v) On completion of the project, research staff is required to report full and accurate details of the research output and research impacts and a copy of the final report to the office of Dean (Research and Relationships). Archiving of research work has to be provisioned.

(vi) The Fund Utilisation Certificates where necessary shall be vetted by the Head Centre and submitted to the finance section.

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<u>POLICY ON THE PREVENTION OF PLAGIARISM, TERI SCHOOL OF ADVANCED STUDIES</u>

Background: The TERI School of Advanced Studies (TERI SAS) recognises that plagiarism is a serious offence that can affect the credibility of both individuals and institutions. Therefore, and in accordance with the notification of the University Grants Commission in the Gazette of India dated July 23, 2018 [Ref. No. F.1-18/2010(CPP-II)] TERI SAS constituted an Institutional Academic Integrity Panel *vide* notification no. TS/01/VC/Policy dated February 26, 2019.

1. These regulations aim to follow the guidelines prescribed in the above-mentioned UGC notification as far as practicable (see para 2, below), and in consonance with norms of academic propriety and natural justice. Not only journal publications and theses, but also term papers and other writing assignments at both the Master's and Doctoral levels shall come under the purview of these regulations. They shall apply to all faculty members, TERI SAS management, staff and other individuals involved in the drafting/scrutiny of original documents in association with/or on behalf of the TERI SAS.

2. Plagiarism is defined as using "…another person's idea or a part of that person's work and pretend[ing] that it is your own[4]". Thus, plagiarism may not be limited to the usage of text, but also of ideas, diagrams, data tables etc. without proper permission/citation/attribution. It can even extend to re-use/re-publication of substantial amounts of one's own authentic and valid published materials, but with the intention of projecting such work as being novel or unprecedented at a later date (self-plagiarism).   Therefore, similarity scores and the corresponding penalties specified by the UGC can only serve as guidelines, but not absolute standards, in determining whether or not a given instance constitutes plagiarism and, if so, what the nature and level of the penalty should be in the event of a proven offence. The penalty will have to be determined based on a clear indication of intent on the part of the perpetrator, precedents, best practices and importantly, consensus on its commensurability with the nature and degree of the offence.

3. The TERI SAS administration will provide both on-campus and remote access to suitable computer-based resources that enable both bibliography management and plagiarism detection to all faculty members, students, consultants, and administrative staff as well as other categories of individuals associated with TERI SAS involved in any capacity that involves the drafting and/or scrutiny of documents.

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[4] The Cambridge English Dictionary. https://dictionary.cambridge.org/dictionary/english/plagiarize. Accessed March 23, 2019

4. Both Institutional and Departmental Academic Integrity Panels (DAIPs) should be constituted and maintained in accordance with the above UGC notification, unless changes are necessitated by subsequent statutory regulations.

5. Both the DAIP and IAIP may co-opt temporary members from full-time faculty members in order to enable individuals with conflicts of interest (e.g. a relative or a research collaborator etc.) in a given case to excuse themselves from the proceedings. The responsibility of ensuring the absence of such conflicts **prior** to initiating proceedings lies with the chairpersons of the respective panels.

6. All allegations of plagiarism, in order to be actionable, require tangible proof of intent in the form of, but not limited to:
> Documentary proof of the accused having been made aware of his/her responsibilities regarding the avoidance of plagiarism, and having signed an undertaking to the effect immediately upon joining in whatever capacity at TERI SAS.
> Convincing evidence beyond reasonable doubt that the suspected instance(s) is (are) not due to (a) inadvertent errors (e.g. typographical errors, oversight etc.) or (b) unconscious errors (e.g. replication of the language/ideas/representations of an influential source due to repeated citation).

The suspected offence is to be brought to the notice of the Chairperson, DIAP in the first instance.

7. All allegations of plagiarism will be initially investigated at the departmental level by the Departmental Academic Integrity Panel (DAIP) within 30 days of the complaint being filed. The proceedings and any decisions taken and penalties determined (if any) will be forwarded by the Chairman, DAIP to the IAIP, with clear annotations indicating that:
> There is complete unanimity among the members of the DAIP as regards the validity/invalidity of the allegation and the recommended penalty in the case of an allegation proven beyond reasonable doubt. The IAIP may/may not decide to review the proceedings in such a case, based on the actual facts of the matter.
> OR
> There is dissent among the members of the DAIP as regards the validity/invalidity of the allegation and/or the recommended penalty in the case of an allegation proven beyond reasonable doubt. In such instances, the IAIP will convene and initiate deliberations in the attempt to resolve contentious issues. Clarifications may be sought from the DAIP as required. The decision of the IAIP will be final in such cases.

8. Members of both the DIAP and IAIP should **each**
> Satisfy themselves of general conformity with the guidelines given in the above UGC notification before arriving at their decision.
> Provide one opportunity to the person accused of plagiarism to defend himself/herself after arriving at a decision, but before ratifying it.

9. Proceedings of all reviewed cases, regardless of outcome, will be forwarded by the Chairperson, IAIP to the offices of the Vice-Chancellor and Registrar for final scrutiny, approval and imposition of the recommended penalty (if any). Either official or both may intervene and seek a review those cases where they determine that the case merits reconsideration due to reasons such as, but not limited to, the availability of new information, evidence of lapses in due process, inappropriate penalty etc. The concerned official will provide all relevant documentation to the IAIP to initiate a review of the decision taken in such cases.

10. As a general rule, given the irreparable harm a proven allegation of plagiarism can cause to the career of an individual, giving someone the benefit of reasonable doubt should be carefully considered by all IAIP and DAIP panel members during their respective deliberations.

11. Once a decision of guilt beyond reasonable doubt is ratified by both the Vice-Chancellor and Registrar, it should be communicated by the Registrar's office to the person(s) accused. The recipient will be required to take appropriate corrective actions such as, but not limited to, issuing corrigenda, retracting papers, resigning from their position etc. within thirty days of the date of such a communication.

12. Any member of the general public worldwide may report a suspected case of plagiarism by a person currently or formerly associated with TERI SAS to the Registrar, TERI SAS, without any statute of limitation. A note to this effect will be permanently displayed on the university website. The credibility of such reports of suspected plagiarism may be evaluated by the Registrar's office before referring them (or not referring them) to the appropriate DIAP for further action. The reasons for the decision to seek/not seek referral should be documented by the Registrar's office, and communicated to the complainant in writing within thirty days of the receipt of the complaint.

13. The university management shall provide well-trained support staff proficient in transcription to the DAIP and IAIP in order to ensure accurate and reliable record-keeping.

14. All proceedings of the DIAP and IAIP shall be suitably archived at the institutional level using dedicated IT resources. There is no statute of limitation for reviewing cases whether or not a penalty has been imposed.

15. The privacy of the individual(s) accused/found guilty of plagiarism will be guarded, and not publicly disseminated except in cases where there is an appropriate context for doing so, such as a specific inquiry from a future employer or law enforcement authorities, or situations where the management of TERI SAS have specific reasons to apprehend harm to the professional reputation of TERI SAS, for example. Responses to inquiries under the Right to Information Act, 2005 will be limited to providing only anonymised information. This rule is to be strictly followed by all past and present members of the DAIP and IAIP, and all employees of the University, inclusive of

3.1.4.C.

the Vice-Chancellor and Registrar. Breach of this provision of confidentiality and privacy by any individual with an active association with TERI SAS will invite disciplinary proceedings.

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NOTIFICATION
No.21 of 2018-19

No : TS/100/VC/Policy   Date:- 26 February 2019

14. Institutional Academic Integrity Panel (IAIP)
(a) Dr S Ramakrishnan, Chairman
(b) Dr Atul Kumar, Member
(c) Dr Vivek Suneja, External member
(d) Dr Jaya Vasudevan, Member
(e) Assistant Registrar

2. This notification supersedes all other notifications issued earlier on the subject.

Capt. Bradeep Kr. Padhy (Retd.)
Registrar

![teri school of advanced studies logo]

10, Institutional Area, Vasant Kunj, New Delhi - 110 070
Phone: 26122222

NOTIFICATION
No.34 of 2019-20

Ref.: NOT/R35   Date: 29 May 2020

Sub: **Institutional Academic Integrity Panel (IAIP)**

1.   Refer to   UGC (Promotion of Academic Integrity and Prevention of Plagiarism in Higher educational Institution) Regulations 2018.

2.   The following Panel has been constituted vide Para 14 of TERI SAS Notification 21 of 2018-19 wef 26 Feb 2019 in this regard: -

        (a)   Prof S Ramakrishnan, Chairperson

        (b)   Prof Atul Kumar, Member

        (c)   Prof Vivek Suneja, External member

        (d)   Dr Jaya Vasudevan, Member

        (e)   Assistant Registrar (Academic Administration), Secretary

3.   The terms and conditions of the IAIP shall be as per the guidelines specified in the regulations ibid. The Secretary IAIP, shall maintain the minutes and all records wrt the IAIP. An annual report on the activities of the Committee in the academic year be shared with IQAC.

4.   This issues with the approval of the Vice Chancellor.

Capt. Pradeep Kr. Padhy (Retd.)
Registrar

Copy to :
The Vice Chancellor
The Chairperson
All members

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10, Institutional Area, Vasant Kunj, New Delhi - 110 070
Phone: 71800222

NOTIFICATION
No.15 of 2020-21

Ref.: NOT/R35   25 January 2021

1. Refer to para 2(b) of TERI SAS notification No.34 of 2019-20 dated 29 May 2020 with regard to Institutional Academic Integrity Panel (IAIP). The following amendment is promulgated herewith:-

For	**Read**
Prof Atul Kumar	Dr Seema Sangita

2. This issues with the approval of the Vice Chancellor.

Kamal Sharma
Registrar (Acting)

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Vice Chancellor
The Chairperson
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NOTIFICATION
No.49 of 2020-21

Ref.: NOT/R35   28 July 2021

1. Refer to para 2(b) of TERI SAS notification No.34 of 2019-20 dated 29 May 2020 with regard to Institutional Academic Integrity Panel (IAIP). The following amendments are promulgated herewith:-

For	**Read**
Dr Jaya Vasudevan	Dr Vidhi M Chadda
Mr V Ganesh	Mr Rakesh Joshi

2. This is issued with the approval of the competent authority.

Kamal Sharma
Registrar (Acting)

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Vice Chancellor
The Chairperson
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Department of Regional Water Studies

NOTIFICATION
No. 001 of 2019-20

Ref.: TS/CCDRSIAIP/606   12 July, 2019

1.   In accordance with the UGC regulations of July 23, 2019, the department of Regional Water Studies notifies the following members as representatives of Departmental Academic Integrity Panels.

Prof Arun Kansal (Chairman due to position of HoD)
Dr Sherly M A (Member from Department)
Dr Vinay Sinha (Member from outside Department.

Dr. Arun Kansal
HoD, Department of Regional Water Studies

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Department of Biotechnology

NOTIFICATION
No. 001 of 2019-20

Ref.: TS/DBT/IAIP/407   23 July, 2019

In accordance with the UGC regulations of July 23, 2019, the department of **Department of Biotechnology (DBT)** notifies the following members as representatives of Departmental Academic Integrity Panels.

    a. Chairman - Dr. Chaithanya Madhurantakam (HoD)
    b. Member – Dr. Vishnu Konoorayar (External member)
    c. Member - Dr. Shashi Bhushan Tripathi

Dr. Chaithanya Madhurantakam
HoD, Department of Biotechnology

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Department of Business & Sustainability

NOTIFICATION
No. 001 of 2019-20

Ref.: TS/DBS/IAIP/902   23 July, 2019

1.   In accordance with the UGC regulations of July 23, 2019, the department of Business and Sustainability notifies the following members as representatives of Departmental Academic Integrity Panels.

Dr. Naqui Anwer (Member)
Dr. Montu Bose (Member)
Dr. Sapna A. Narula (Chairperson)

Dr. Sapna A Narula
HoD, Department of Business & Sustainability

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Phone: 71800222

Department of Policy Studies

NOTIFICATION
No. 001 of 2019-20

Ref.: TS/DPS/IAIP/1001

25 July, 2019

In accordance with the UGC regulations of July 23, 2019, the department of Policy Studies notifies the following members as representatives of Departmental Academic Integrity Panels.

Dr. Vishnu Kunoorayar (Member)
Dr. L N Venkataraman (Member)
Dr. Smriti Das (Chairperson)

Dr. Smriti Das
HoD, Department of Policy Studies

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advanced studies**

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Phone: 71800222

Department of Energy & Environment

NOTIFICATION
No. 001 of 2019-20

Ref.: TS/DEE/IAIP/313   26 July, 2019

In accordance with the UGC regulations of July 23, 2019, the department of Energy &
Environment notifies the following members as representatives of Departmental Academic
Integrity Panels.

1.   Dr. Chander Kumar Singh (Member from the Department)
2.   Dr. Chandan Kumar (Member outside of the Department)
3.   Prof. Atul Kumar (Chairperson Head of the Department)

26-7-2019

Dr. Atul Kumar
HoD, Department of Energy & Environment

Distribution:
Notification file

Minutes of the Institutional Academic Integrity Panel, TERI School of Advanced Studies

Date: 22nd March, 2019
Venue: C-103, TERI SAS
Time: 1115-1245 hrs

The following members attended the meeting:
Chairperson: Dr. Ramakrishnan Sitaraman
                        Dr. Jaya Vasudevan
                        Mr. V. Ganesh

The following members could not attend the meeting:
                        Dr. Atul Kumar
                        Dr. Vivek Suneja

An IAIP meeting was held to discuss 3 agenda point as communicated earlier. The UGC notification of 23rd July 2018 [(F.1-18/2010(CPP-II)] was reviewed.

1. Every student, researcher and faculty member should register on ORCID for fulfillment of item 5. (C) – vi of the above notification.
2. The above notification also applies to all term papers and assignments/reports/term papers that are submitted at the master's and PhD level.
3. All supervisors/instructor/course coordinators/students are required to ensure that due permission to reproduce materials from published sources has been taken and appended with the relevant document.
4. All department heads are requested to setup departmental academic integrity panels (DAIP) under their chairmanship in accordance with item no. 10 of the above notification.
5. In case plagiarism is detected after publication the responsible person shall issue a corrigendum/retraction notice as applicable. All co-authors should be notified as appropriate.
6. The declaration forms for the PhD programme were reviewed and some changes were suggested for further discussion in other committee's/fora (see appendix 1).
7. All faculty members shall familiarize themselves with the provisions of the above UGC notification.
8. The committee thanks Mr Devinder Kumar and Mr Vishal Kumar for their supportive role.

IAIP committee members

Ramakrishnan Sitaraman   V. Ganesh   Jaya Vasudevan
(Chairman)

Minutes of the Institutional Academic Integrity Panel, TERI School of Advanced Studies

<div align="right">

Date: 15th July 2019
Venue: Media Lab (fourth floor)
Time: 1400 – 1530 hours

</div>

The following members attended the meeting
Chairperson: Dr Ramakrishnan Sitaraman
                       Dr Jaya Vasudevan
                       Dr Atul Kumar
Special Invitee: Mr Ratan Jha

The following members could not attend the meeting
                       Dr Vivek Suneja
                       Mr V Ganesh

An IAIP meeting was held to discuss the below-mentioned points:

1. Mr Ratan Jha appraised the members of the status of the proposed training programme for students and faculty members. Tentatively the committee members will orient students regarding the plagiarism and academic integrity during the first day of the orientation programme.
2. Students, Faculty and Programme Assistants will receive separate training on plagiarism detection software on the second day of orientation programme, as per the tentative schedule.
3. Mr Ratan Jha will ensure that all faculty members have instructor IDs at the Turnitin portal and will inform the IAIP committee as soon as it is done.
4. Mr Ganesh may kindly organise the next IAIP meeting after consulting the VC and the Registrar so that the policy can be finalised.
5. Mr Ganesh may kindly organise another meeting with the Dean (Academic) to review the forms/certificates related to declarations of originality in the Master's and Doctoral programmes.

IAIP committee members

(Ramakrishnan Sitaraman)   (Jaya Vasudevan)   (Atul Kumar)
Chairperson   Member   Member

3.1.4.D.

Minutes of the Institutional Academic Integrity panel, TERI School of Advanced Studies

Date: 8 January 2020
Venue: C 207 (Second floor)
Time: 1.45 to 2.45 PM

The following members attended the meeting
Chairperson: Dr. Ramakrishnan Sitaraman
                 Dr. Jaya Vasudevan
                 Dr. Atul Kumar
Special Invitee: Dr. Vishnu Konoorayar, Head, Center for Post Graduate Legal Studies (CPGLS)
                 Dr. Vidhi Madaan Chadda, (CPGLS)
                 Ms. Nidhi Srivastava, Guest Faculty, (CPGLS)

The following members could not attend the meeting
                 Dr. Vivek Suneja
                 Mr. V. Ganesh

An IAIP meeting was held to discuss the Implications of UGC D.O.No.F..1-1/2018 (Journal/ CARE) of December 2019 for the academic programmes of TERI SAS.

The IAIP decided on the following:

- The CPGLS will formulate a course on Research and Publication Ethics in accordance with UGC guidelines as provided.
- This will be a 2 credit course open to both Masters and Doctoral students of TERI SAS.
- The course will be mandatory for the Doctoral students admitted from academic year 2020-2021.
- It is planned that internal discussions, external reviews and Board of Studies (BOS) approval would be completed by March 1, 2020 under the supervision of Head, CPGLS, after which approval from Academic Council will be sought.

IAIP Committee members

(Ramakrishnan Sitaraman)   (Dr. Jaya Vasudevan)   (Dr. Atul Kumar)
Chairperson   Member   Member

<div align="right">Dated: 2 June 2020</div>

<u>**Annual report for academic year 2019-20 – Institutional Academic Integrity Panel (IAIP)
submitted to IQAC**</u>

1. A exercise was done to collect all teaching staff researchers IDs during July 2019 (a mail was sent to all faculties to create this ID and share it) Some of them responded, details collected are given below:

Name	Unique Researcher ID
Dr. Ramakrishnan Sitaraman	0000-0002-4577-4224
Dr. Soumendu Sarkar	0000-0002-4315-1824
Dr. Sherly MA	0000-0001-9438-1534
Dr. L N Venkataraman	0000-0003-4694-0770
Dr. Deepty Jain	0000-0002-7697-2805

2. During the Orientation schedule for the fresh batch of students admitted to academic year 2019-20, a session on Plagiarism and Research Ethics was held for Faculty members and students on 22 July 2019
   Attendance: Faculty and staff – 5, students - 258

   On the next day a training session on using of the software "Turnitin" was held for the students on 23 July 2019
   Attendance: Faculty and staff – 42, students - 201

3. A meeting of the IAIP was held on 8 January 2020, to discuss the UGC notification regarding formulating a course on Research and Publication Ethics in accordance with UGC guidelines was held and the following was decided.
   - The Centre for post graduate legal studies would formulate this course
   - This would be a 2 credit course open for both masters and doctoral students of TERI SAS
   - The course will be mandatory for the doctoral students admitted from academic year 2020-21
   - The internal discussions, external reviews and Board of Studies (BOS) would be completed under the supervision of Head, CPGLS, after which approval from Academic Council would be sought for offering this course.
   - Dr. Jaya Vasudevan has prepared the course outline and presented the same to External reviewers for approval.

4. A lecture by Professor Arun S Kharat, Director Internal Quality Assurance Cell, Jawaharlal Nehru University (JNU), New Delhi on "Good Publication Ethics" was conducted on 12 February 2020 for faculty members and students of TERI SAS.
   Attendance: Faculty and staff – 6, students - 44

Course title: Research and Publication Ethics			
Course code: RPR 275	**No. of credits** 2	**L-T-P distribution:**22-0-12	**Learning hours:** 28
Pre-requisite course code and title (if any) : None			
Department:			
Course coordinator(s):		**Course instructors(s):**	
Contact details:			
Course type:		**Course offered in:** 1ˢᵗ & 2ⁿᵈ Semester	

Course description:

In today's academic world, research ethics is a trending topic. Although conducting research is fascinating, it also entails certain inherent challenges that involve very different ethical issues, such as bias, plagiarism, conflicts of interest, falsification of research results, informed consent, determination of authorship and adequacy of peer review publication processes. With the adequate combination of both theory and practice, this course will certainly help students critically analyzing research philosophy, ethics and case studies in an independent manner. From the pedagogical point of view, they will learn how to manage and evaluate a research work from the very preliminary stage of identifying ethical standards until the final publication of the work. Significantly, through this comprehensive course, students are motivated to address the impact of new technologies and social trends on research ethics and deliberate upon their ideas as to how to rebuild necessary codes of conduct to regulate multidisciplinary research activity. In the process of evaluating and critically debating issues relating to research philosophy and ethics in an exhaustive manner, students will necessarily comprehend the importance of scientific integrity in academic research. Thus, ensues acquisition of relevant reasoning skills that significantly increase the scope of sustainable scientific quality in their future research.

Course objectives:

The purpose of this course is to engage student researchers in reading about, understanding and discussing the responsible code of conduct of interdisciplinary scientific research. Specific learning objectives with respect to research ethics include:

- To know rules, issues, options, and resources for research ethics
- To familiarize with various institutional ethics review boards/academic integrity guidelines
- To understand the purpose and value of ethical decision-making
- To have a positive disposition towards continued learning about research ethics

Course Overview:

This course has a total seven modules focusing on the basics of philosophy of research and ethics, research integrity and publication ethics in general. Practical sessions are designed to identify areas of research misconduct and predatory publications. Indexing and citation databases, open access publications, research metrics and plagiarism tools will be introduced as part of this course.

Course content

Module	Topic	L	T	P
1.	**Research Philosophy & Ethical Norms & Politics** i. Introduction to Research Philosophy: Concept; Definitions; Nature & Scope ii. General Characteristics of a value-based Research, Axiological approach iii. Research Ethics; Definition; Moral Philosophy; Nature of Moral Judgments iv. Political Issues in Research, Ethical Norms & Responses v. Enhancing research interests, Research Collaboration &	4	0	0

		Research Recognition			
	vi.	Ethical guidelines in field research, Concealed Information & Extent of Respondents' rights			
2.		**Scientific Research Conduct & Multidisciplinary Research**	4	0	0
	i.	Elements of Research Ethics & Types of Research			
	ii.	Mixed Methods in Applied & Action Research			
	iii.	Internet search, deep web search, Authenticated *v.* Fake information			
	iv.	Research Integrity & Academic Honesty in Interdisciplinary Research			
	v.	Redundant Publications; Duplicate & Overlapping Publications; Salami Slicing			
	vi.	Selective Reporting and Misrepresentation of Data			
3.		**Publication Ethics & Best Practices**	5	0	0
	i.	Publication Ethics: Introduction, Definition, & Importance			
	ii.	Scientific Research Misconduct; Falsification, Fabrication & Plagiarism/Self-plagiarism, Kinds & Remedies			
	iii.	Intellectual Property; Reasonable & Fair Use; Copyright and related IPR Issues			
	iv.	Violation of Publication Ethics; Authorship/Co-authorship, Joint research/ Contributorship & Patentable Inventions- Extent of Rights & Claims			
	v.	Best Practices/Standards Setting Initiatives and guidelines; COPE, WAME, UGC-CARE list *etc.*			
	vi.	Publication Misconduct; Concept; Definition & Kinds of Problems & Unethical Behaviour			
	vii.	Identification of Publication Misconduct, Complaints & Appeal Provisions			
4.		**Open Access Publishing & IPR Policy**	3	0	2
	i.	Open Access Publications and Initiatives, Creative Common License			
	ii.	Predatory Publishers & Journals			
	iii.	Reference Management & Referencing Standards in Open Access Publishing			
	iv.	SHERPA/RoMEO; Online Resources for Publisher Copyright & Self-archiving Policies			
	v.	Data Management, Data Sharing Techniques, Data Reuse & Data Citation			
	vi.	Software Tool to identify Predatory Publications developed by SPPU			
	vii.	Journal Finder/ Journal suggestions tools viz., JANE, Elsevier Journal Finder, Springer Journal Suggester *etc.*			
5.		**Publication Misconduct & Remedies**			
		A.Group Discussions (2 hrs.)			
	i.	Subject specific Ethical Issues, FFP, Authorship			
	ii.	Conflict of Interests; Copyright/Plagiarism Issues			
	iii.	Sharing of data collected for a research (confidentiality, reuse, dissemination or republishing)			

	iv. Consent in publishing/ using different kinds of data and Simultaneous Submission	2	0	4
	v. Complaints & Appeals: Case Studies/Examples of Publication Frauds from India & abroad			
	B. Software Tools (2 hrs.)			
	i. Research Literacy & Advocacy; Digital Humanities			
	ii. Use of Plagiarism Software like Turnitin, Urkund & other Open Source Software Tools			
	iii. Grammarly, FigShare *etc.*			
	iv. Library Support & Regular Training/Practice Sessions on various other Software and Tools like; Mendeley, Endnote, Zotero *etc.*			
6.	**Database (4 hrs.)**	2	0	4
	i. Indexing Database; Cross-disciplinary Research & Comprehensive Citation Search			
	ii. Citation Database; Web of Science, SCOPUS, OSCOLA *etc.*			
	iii. Article Influence Score & Cite score			
7.	**Research Metrics (3 hrs.)**	2	0	2
	i. Science Citation Index Expanded (SCIE), Social Sciences Citation Index (SSCI), Emerging Sources Citation Index (ESCI) and the Conference Proceedings Citation Index (CPCI)			
	ii. Impact factor as per Journal Citation Report, SNIP, SJR, IPP Journal Metrics & Cite Score			
	iii. Citation based Metrics; h-index, g index, i10 index, etc., Google Scholar, Alternative Metrics/ Altmetrics			
	Total	**22**	**0**	**12**

Evaluation criteria:

Continuous assessment will be done through classroom practical exercises, assignments, quizzes or group discussions. Student evaluation will be based on the term paper and the book review followed by the final major test to be conducted at the end of the course.

This course has seven modules in total.

- **Test 1**: Term Paper (written Submission based on modules 1,2 &3 -25%)
- **Test 2**: Book Review (Relevant to the area of Research-25%)
- **Test 3**: Major Test (Based on all modules-40%)
- **Class Participation:** (10%)

Learning outcomes:

On completion of this course, the students would be able to:

i. To have a positive disposition towards continued learning about research philosophy & ethics
ii. To know Rules, Regulations, Issues, Options, and Scientific Resources of Research Ethics
iii. To learn the culture of fairness, honesty and integrity in academic communications and to understand the purpose and value of ethical decision-making
iv. Avoid wasteful and duplicate publications & encourage original contributions to advance Academic Research and Scholarship
v. Acquiring knowledge & professional competence and expertise about Patents, Copyrights, and other forms of Intellectual Property Rights
vi. To promote social good and prevent or mitigate societal hazards through innovative ideas,

creativity and research advocacy

Pedagogical Approach:

- Classroom lectures and tutorials, guest lectures, group activity and practical sessions with a significant focus on the detailed discussion of original research articles from scientific journals in class.
- Weightage will be given for active class participation.

Employability:

i. Academic and Industrial Research involving *multidisciplinary* approach

ii. Academic Supervision to educate, mentor, and advise students

iii. Gain experience and advance knowledge of IPR Issues in Educational/Literary Works

iv. Promotion of research integrity through awareness of academic campaigns

Course Materials:

Required/Suggested readings

- The Handbook of Social Research Ethics, Donna M. Mertens, Pauline E. Ginsberg, SAGE (2009).
- What are Qualitative Research Ethics? Rose Wiles, Bloomsbury (2013).
- Research Ethics: Cases and Materials, Robin Levin Penslar, eds, Indiana University Press (1995).
- Research Ethics: A Philosophical Guide to the Responsible Conduct of Research, Gary Comstock, Cambridge University Press (2013)
- Scientific Integrity and Research Ethics: An Approach from the Ethos of Science, David Koepsell, Springer (2017)
- An Introduction to Ethical, Safety and Intellectual Property Rights Issues, Padma Nambisan, Elsvier (2017)

1. Case studies (Indicative):

   - Ethics Education Library: http://ethics.iit.edu/eelibrary/case-study-collection
   - UKRI Economic and Social Research Council: http://ethics.iit.edu/eelibrary/case-study-collection
   - University of Miami Research Ethics Case Studies: http://miamictsi.org/research-ethics-case-studies

2. Websites (Indicative):

   - For the latest regulations; guidelines on publication ethics and scientific research misconduct and falsification, fabrication & plagiarism/self-plagiarism: Refer the official website of the *University Grants Commission* @ https://www.ugc.ac.in/
   - For Guidelines on IPR: Refer the official website of *Intellectual Property India* @ http://www.ipindia.nic.in/#content
   - Committee on Publication Ethics @ https://publicationethics.org/
   - World Association of Medical Editors @ https://www.wame.org/
   - Open Access Publications :
     - What is Open Access? : https://www.openaccess.nl/en / https://opensource.com/resources/what-open-access
     - Open Access Scholarly Publishers Association: https://oaspa.org/

- o *Open Access* YouTube Channel: https://www.youtube.com/playlist?list=PL6165F4EEC7535538
  - o Directory of Open Access Journals: https://doaj.org/
- Yale University list of predatory publishers & journals: https://guides.library.yale.edu/c.php?g=296124&p=1973764
- SHERPA/RoMEO; Online Resources for Publisher Copyright & Self-archiving Policies: http://sherpa.ac.uk/romeo/index.php
- Software Tool to identify Predatory Publications developed by SPPU: https://ugccare.unipune.ac.in/Apps1/User/Web/CloneJournals
- Journal Finder/ Journal suggestions tools
  - o JANE: https://jane.biosemantics.org/
  - o Elsevier Journal Finder: https://journalfinder.elsevier.com/
  - o Springer Journal Suggester: https://journalsuggester.springer.com/
- Digital Humanities: https://mitpress.mit.edu/books/digitalhumanities
- Plagiarism Softwares (Contact TERI SAS Library for accessing the following software)
  - o Turnitin: https://www.turnitin.com/
  - o Urkund: https://www.urkund.com/
  - o Open Source Software Tools : https://elearningindustry.com/top-10-free-plagiarism-detection-tools-for-teachers
- Other useful websites/softwares:
  - o Grammarly: https://www.grammarly.com/
  - o FigShare: https://figshare.com/
  - o Mendeley: https://www.mendeley.com/?interaction_required=true
  - o Endnote: https://endnote.com/
  - o Zotero: https://www.zotero.org/
  - o OSCOLA : https://www.law.ox.ac.uk/sites/files/oxlaw/oscola_4th_edn_hart_2012.pdf
  - o Bluebook: https://www.legalbluebook.com/
- Indexing Database:
  - o Web of Science: https://mjl.clarivate.com/home
  - o SCOPUS: https://www.scopus.com/
- Article Influence Score & CiteScore:
  - o Eigenfactor: http://www.eigenfactor.org/methods.pdf

    CiteScore:https://www.elsevier.com/editors-update/story/journal-metrics/citescore-a-new-metric-to-help-you-choose-the-right-journal

3. Journals: Journals listed in the 'UGC Approved List of Journals' at https://www.ugc.ac.in/journallist/

Additional information (if any):

i.   Class Participation

ii.   Study of other books/articles/reports/case studies/course materials *etc.* as specified by the instructor

Student responsibilities
Attendance, feedback, institutional discipline, research norms & ethics

Course Reviewers:

- Prof. Dr. Vinay K Srivastava , Director, Anthropological Survey of India
- Prof. Dr. Ramesh C Gaur, IGNCA
- Dr. L.N. Venkataramanan, TERISAS

- Ms. Nidhi Srivastava, Fellow, TERI

Prepared By

Dr. Jaya Vasudevan

school of
advanced studies

10, Institutional Area, Vasant Kunj, New Delhi 110 070
Phone No. 71800222, Fax No. 26122874
(THESIS SUBMISSION REPORT)

Date: 30.06.21

1. Name of the Student: ▮▮▮▮▮▮
2. Roll Number: ▮▮▮▮▮
3. Department: ▮▮▮▮▮▮▮▮▮▮▮▮▮▮
4. Status of publications which were under review at the time of Synopsis defence is as follows:

i) ▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮
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I certify that:

A) The thesis has been checked with Turnitin and the % of plagiarism not attributable to student's own published work is **9%**, which is satisfactory (A hard copy of plagiarism report).
B) The thesis has followed the structure as approved by DRC.
C) The thesis has addressed all stated objectives of the research and it contains all data and information to enable an examiner to evaluate the research work.

(Chairperson SRC)

(Chairperson DRC)

The thesis is allowed for evaluation by external examiners.

Dean Academic

Thesis_30.6.21_████████

9%	**7**%	**3**%	%
SIMILARITY INDEX	INTERNET SOURCES	PUBLICATIONS	STUDENT PAPERS

PRIMARY SOURCES

1	www.gwp.org Internet Source	4%
2	mafiadoc.com Internet Source	1%
3	www.indiaenvironmentportal.org.in Internet Source	<1%
4	"The Water, Energy, and Food Security Nexus in the Arab Region", Springer Science and Business Media LLC, 2017 Publication	<1%
5	link.springer.com Internet Source	<1%
6	"Handbook of Climate Change Resilience", Springer Science and Business Media LLC, 2020 Publication	<1%
7	www.spaenvis.nic.in Internet Source	<1%
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9   "Smart Economy in Smart Cities", Springer Science and Business Media LLC, 2017
Publication

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12   "Contents", Elsevier BV, 2021
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Publication

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3.1.4.G. Bakshi, Elliot Cohen, Ashish Rao-Ghorpade. "An urban systems framework to assess the trans-boundary food-energy-water nexus: implementation in Delhi, India", Environmental Research Letters, 2017
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20 Ni-Bin Chang, Uzzal Hossain, Andrea Valencia, Jiangxiao Qiu et al. "Integrative technology hubs for urban food-energy-water nexuses and cost-benefit-risk tradeoffs (II): Design strategies for urban sustainability", Critical Reviews in Environmental Science and Technology, 2020
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26 "Frontiers in Water-Energy-Nexus—Nature-Based Solutions, Advanced Technologies and Best Practices for Environmental Sustainability", Springer Science and Business Media LLC, 2020
Publication

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27 Jayesh D'Souza. "A public policy primer on consolidating the water‑energy nexus", World Water Policy, 2020
Publication

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28 João Marcelo Pereira Ribeiro, Sthefanie Aguiar da Silva, Samara da Silva Neiva, Thiago Soares et al. "A proposal of a balanced scorecard to the water, energy and food nexus approach: Brazilian food policies in the context of sustainable development goals", Stochastic Environmental Research and Risk Assessment, 2020
Publication

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29 Xin Guan, Giuseppe Mascaro, David Sampson, Ross Maciejewski. "A metropolitan scale water management analysis of the food-energy-water nexus", Science of The Total Environment, 2020
Publication

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THE STUDENT'S HONOUR CODE

1. I .... registration no. .... do hereby undertake that as a student at the TERI SAS: -

2. I will conduct myself within and outside the University's premises in a manner befitting the students of a research university, and consider the following as actions that are in violation of the Student's Honour Code of the University, and which would invite disciplinary action:-

   2.1 Being convicted under any law of the country. Any conviction for an offence involving moral turpitude under the   Indian Penal Code or any other law enforced for the time being.

   2.2 Noncompliance of TERI SAS policies, Academic & Examination rules or regulations and Memorandum with partner institute as promulgated from time to time.

   2.3 Academic and Research Misconduct. Impersonation, committing forgery, furnishing false certificate or information, tampering with TERI SAS documents or records, accessing confidential records/ data of University without permission, adopting unfair means and disorderly conduct during exams, interfering in the laboratory/research work of colleagues, revising/resubmitting a marked test /quiz for re-gradingwithout the instructor's consent and receiving or giving unpermitted aid in any assignment (like take-home tests), misconduct while undertaking an academic/research study or survey or study visit outside the campus and any other activity universally accepted as acts of academic dishonesty.

      2.3.1 Violation of Research Integrity. Distorting research procedures by fabrication of data, generating and reporting fraudulent data or distortion of the research process in any other ways.

      2.3.2 Plagiarism and Unauthorized Stealing of Others' Intellectual Works. Plagiarizing from printed or electronic (web- based) material, hijacking ideas discussed, representing someone else's work as own and misleading faculty members about the condition under which the work was prepared.

   2.4 Misuse of Technology Resources. Using technology to gain unfairly and disrupt system/process, committing cyber offences like hacking, spamming, breaking into another's account, defacing website, hosting sexually explicit material, using social media to host material that goes against the prevailing laws, sending derogatory emails, copying(cheating)electronically, planting viruses etc.

   2.5 Misuse of Alcoholic Beverages and Controlled Substances. Consuming or possessing alcoholic drinks without the explicit permission of University authorities. Possessing and consuming prohibited narcotic drugs and intoxicants in the University premises. Smoking in the campus including hostel rooms.

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school of advanced studies

2.6 Assault, Harassment, Injury and Threat. Any assault (verbal or physical) upon or intimidation of or insulting behaviour towards a member of TERI SAS Community inside or outside the University campus.

2.7 Indecent Exposure. Conduct and exposure undertaken in publicly viewable location, which is deemed obscene.

2.8 Sexual Misconduct, Sexual Assault and Sexual Harassment. Offences committed under the relevant law and UGC/AICTE/TERI SAS Policy & guidelines for the prevention, prohibition and punishment of Sexual Harassment of Women.

2.9 Discrimination. Discriminating against any one on any ground and creating disharmony among students on grounds of religion, caste, culture, nationality, race disability, gender and culture as defined in TERI SAS Policy on Equality, Diversity and Inclusion.

2.10 Theft or Damage to Property or Services & Disruption of activities. Attempt to prevent the members of TERI SAS community from discharging their duty, vandalizing or defacing the University property, causing or colluding in unauthorised entry of any person in the campus. Willful violation of biohazard/chemical safety rules, fire safety and security rules/policies of the University.

2.11 Possession or Misuse of Weapons Possessing or misusing weapons such as explosives, firearms, knives, lathis, iron chains and iron rods in the University premises or any other instrument which can cause bodily harm.

2.12 Violation of Study Abroad/Internship Contracts. Willful violation of contractual terms and conditions agreed with an Institution/Agency/Organisation. Professional misconduct during study abroad and short or longer internships while at any external institution as part of academic engagement.

2.13 Ragging. Committing an act of ragging in any form as laid under UGC, AICTE and TERI SAS policy on the issue.

2.14 Failure to obey instructions of any TERI SAS disciplinary authority. Failure to comply with written or oral communications from an authorized TERI SAS official to appear for a meeting or hearing.

2.15 Engage in any conduct which is unbecoming of a student of the TERI SAS.

Date. …………......

Place…………….

Student's signature……………………………….

Name
…………………...

Registration No………………………………….

---xxx---

teri school of advanced studies

10, Institutional Area, Vasant Kunj, New Delhi - 110 070
Phone: 26122222

NOTIFICATION
No.46 of 2020-21

Ref.: NOT/R35   7 July 2021

Sub: Institutional Ethics Committee

The composition of the Institutional Ethics Committee with effect from 7 July 2021 will be as follows:-

Prof. Shaleen Singhal	Convenor
Prof Manipadma Datta	
Prof. Arun Kansal	
Dr Shashi Bhushan Tripathi	
Dr Kamna Sachdeva	
Dr Vinay S P Sinha	
Dr Sukanya Das	
Dr Vidhi M Chadda	

The above Committee shall focus on and address ethical issues relating to research and consultancy engagements. The Committee is requested to submit its report to the Vice Chancellor by 26 July 2021 so that it could be placed in the next Board of Management meeting.

This is issued with the approval of the competent authority.

Kamal Sharma
Registrar (Officiating)

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Concerned faculty members

10, Institutional Area, Vasant Kunj,
New Delhi 110 070

**MINUTES OF THE THIRTY NINTH MEETING OF THE BOARD OF
MANAGEMENT**

The Thirty-ninth meeting of the Board of Management was held on 14th August, 2021 at
10:30 hours online on Microsoft team platform. The following were present:-

PRESENT:

Members   Special Invitees
Professor Eklabya Sharma, Chairperson   Dr Vibha Dhawan
Professor Manipadma Datta   Dr Manish Shrivastava
Dr V P Singh   Dr Fawzia Tarannum
Dr Nimmi Singh   Mr Dhanraj Singh
Dr Sachin Chaturvedi   Ms. Pooja Chaudhary
Professor George John
Dr Bhim Singh
Professor Arun Kansal
Professor Shaleen Singhal
Professor Ramakrishnan Sitaraman
Mr Kamal Sharma, Secretary

Leave of absence: Professor E Somanathan and Mr RR Rashmi could not join the meeting.

**Item No. 1: To confirm the minutes of the Thirty Eighth meeting of the Board of
Management held on 29 December 2020**.

It was informed that the minutes of the Thirty Eighth meeting of the Board of
Management held on 29th December, 2020 were circulated to the members of
the Board and no comments had been received on the same.

TS/BM/39.1.1. The Board resolved that the minutes of the 38th meeting of the Board of
Management held on 29th December, 2020 be confirmed.

Item No. 2: To consider and approve Policy on Research Promotion

The Registrar requested Prof. Shaleen Singhal, Dean (Research &
Relationships) to present the policy.

Prof. Shaleen Singhal informed that the Vice Chancellor has set up a Committee
to look into the institution research facilities and come up with a policy for
promotion of research at the TERI SAS and an Action Plan for its adoption and

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TS/BM/39.4.1 The Board resolved to approve the IT Policy of TERI SAS after taking into consideration the suggestions put forth by the members and as placed in **Enclosure 3**.

Item No. 5:   **To consider and approve the formation of the Institutional Ethics Committee**

The Registrar requested Prof. Shaleen Singhal to inform the Board Members about the matter.

Prof. Shaleen Singhal informed that the Institutional Ethics Committee was constituted on 7th July, 2021 vide Notification No.46 of 2020-21 to address ethical issues relating to research and consultancy engagements as placed in **Enclosure 4**. He further stated that detailed note along with Terms of Reference of the Committee will be formulated and approval of the Board members will be sought but in the meantime he requested the Board members to approve the formation of the Institutional Ethics Committee.

TS/BM/39.5.1 The Board resolved to approve the formation of the Institutional Ethics Committee as placed in **Enclosure 4**.

Item No.6:   **To record approval by circulation of BoM for opening FCRA account:** Presently, TERI SAS is having its FCRA bank account with HDFC Bank Limited, Surya Kiran Building, New Delhi - 110001. As per the Foreign Contribution (Regulation) Amendment Act, 2020, the FCRA registered associations have to open a mandatory FCRA bank account only with the State Bank of India, New Delhi Main Branch, 11, Sansad Marg, New Delhi - 110001. Hence approval by circulation was sought from Board members on 21 June 2021 on the resolution to be submitted to the State Bank of India for opening of the FCRA Account. On receipt of signed documents from the Board members, it was submitted to the State Bank of India and FCRA account has been opened. Dr Ramakrishnan suggested that the Vice Chancellor's name should be there as one of the signing authorities for operation of the FCRA account. Prof. Eklabya Sharma informed that since he was not in station at the time of opening the account and hence the account was opened without including his name but now since he has joined back, his name be included for operation and maintenance of the FCRA account.

The Board noted the matter.

Item No 7:   **To consider and approve audited statement of accounts of the financial year 2019-20**

Mr Dhanraj Singh, Project Management and Deputy Finance Officer, informed that the audited accounts for the financial year 2019-20 are attached as **Enclosure 5**. The Board is requested to approve the financial accounts for the period 2019-20.

team members of NAAC Accreditation team. Before submission Prof. Eklabya Sharma will go through it for any gaps.

The Board noted the matter.

Item No. 9:   **Any other item with the permission of the Chair**.

(h) **Working of TERI SAS:** The Registrar informed the Board that presently the TERI School of Advanced Studies is following 5-days a week for both teaching and non-teaching staff. However, keeping in view, the UGC guidelines and meeting with the credit alignment, it is suggested to observe a 6 days teaching week with effect from the new academic session commencing 31 August 2021. He also informed that this has already been informed to the Academic Council in its last meeting. He requested the Board for its approval so that necessary amendments be done in the Compendium of Rules.

TS/BM/39.9(i).1   The Board resolved to approve amendment to the Compendium of Rules by adopting the 6-days a week of teaching for its teaching and non-teaching staff.

(ii) **Member of Finance Committee:** The Registrar informed the Board that consequent to Dr Vishnu Konoorayar leaving the TERI School of Advanced Studies, the position of a Board member in the Finance Committee of TERI SAS has fallen vacant. Prof. Eklabya Sharma has nominated Prof Manipadma Datta as a Board member of Finance Committee of TERI SAS and requested the Board's approval.

TS/BM/39.9(ii).1   The Board resolved to approve the name of Prof. Manipadma Datta to be a Board member in the Finance Committee of TERI SAS.

(iii) **Terms of Reference:** Registrar informed that Terms of Reference of Institutional Ethics Committee has to be expanded and not limited to research as placed in **Enclosure 8** and requested the Board's approval. Dr Ramakrishnan suggested that the terms of reference should also include granting official approval for any proposal.

TS/BM/39.9(iii).1 The Board resolved to approve the amended Terms of Reference of the Institutional Ethics Committee after incorporating the suggestion of the members.

There being no other points the meeting concluded at 1250 hours.

Sd/-
Kamal Sharma
Registrar (Acting)

teri school of
advanced studies

10, Institutional Area, Vasant Kunj, New Delhi - 110 070
Phone: 26122222

NOTIFICATION
No.46 of 2020-21

Ref.: NOT/R35   7 July 2021

Sub: Institutional Ethics Committee

The composition of the Institutional Ethics Committee with effect from 7 July 2021 will be as
follows:-

      Prof. Shaleen Singhal   Convenor
      Prof Manipadma Datta
      Prof. Arun Kansal
      Dr Shashi Bhushan Tripathi
      Dr Kamna Sachdeva
      Dr Vinay S P Sinha
      Dr Sukanya Das
      Dr Vidhi M Chadda

The above Committee shall focus on and address ethical issues relating to research and
consultancy engagements. The Committee is requested to submit its report to the Vice
Chancellor by 26 July 2021 so that it could be placed in the next Board of Management
meeting.

This is issued with the approval of the competent authority.

Kamal Sharma
Registrar (Officiating)

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3.4.1.64

Title: Formation of Institutional Ethics Committee

TERI SAS through an Office Order No.46 of 2020-21 dated 7 July 2021, the VC has established the Institutional Ethics Committee with the following composition and ToR.

- Dean (Research)
- Chairperson of DRC of all Dept and Centres or their nominee
- A non-member Secretary to be provided by the Registrar for keeping Minutes.

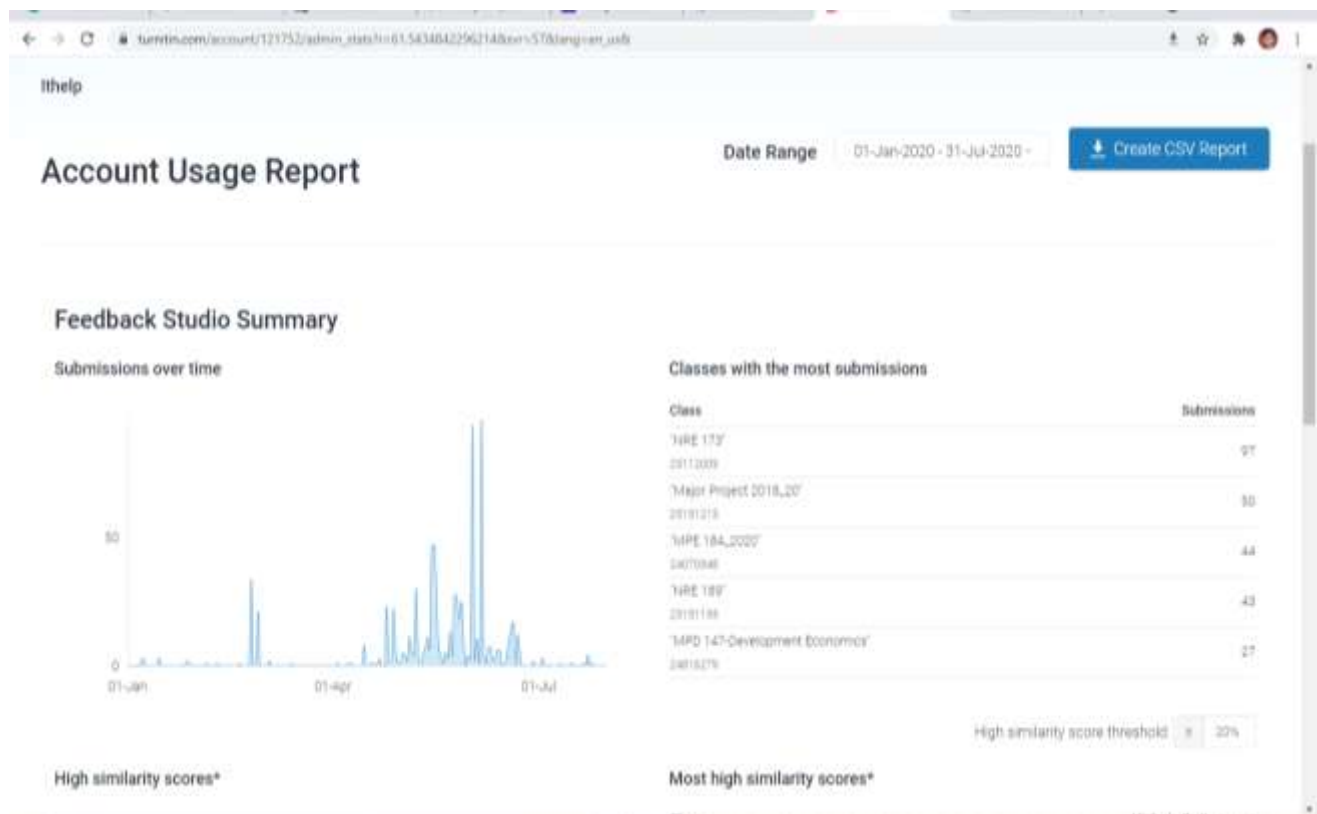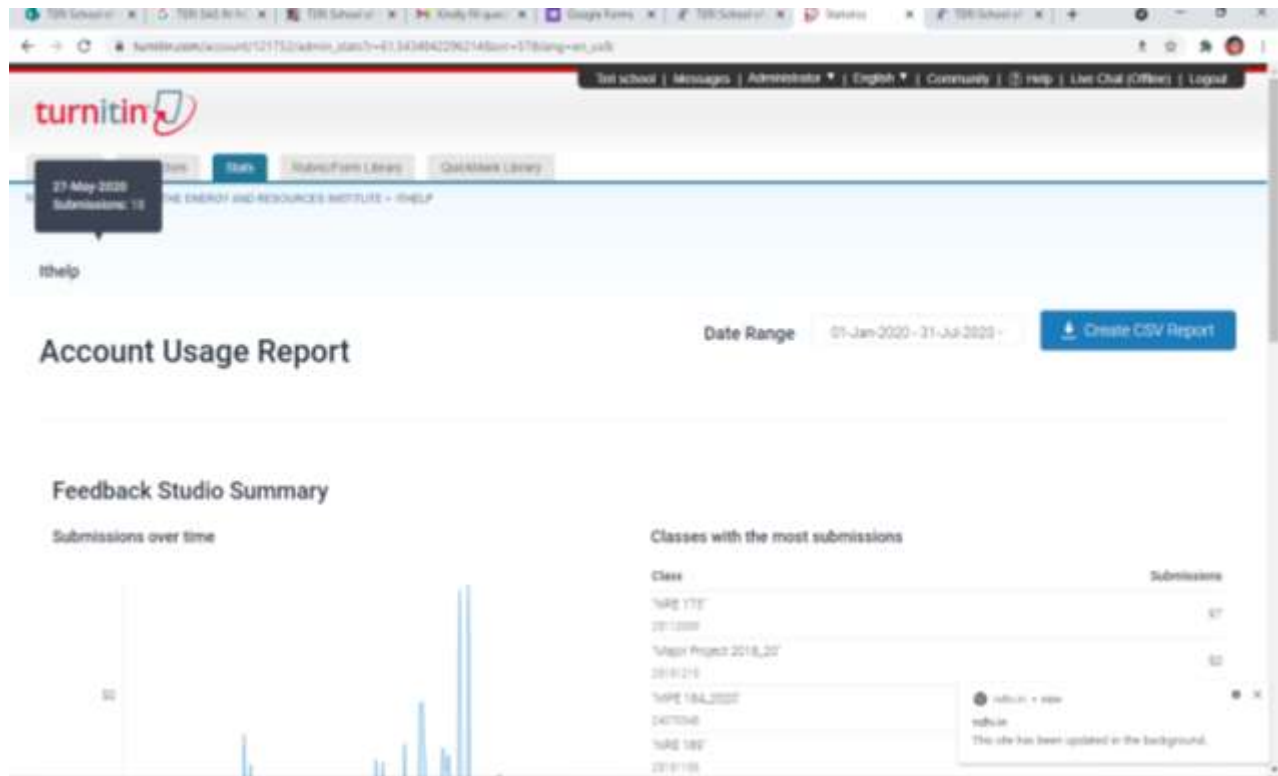This is to propose expanding the ToR to the following:
1. Initial review of research proposals.
2. Deciding the status of a research proposal in accordance with the SOPs laid out by the university.
3. Periodic appraisal of the progress of approved research proposals for ensuring ethical conduct of research.
4. Determining the efficacy of the research methods on scientific measures.
5. Examining the ethical implications of the proposed research.

Term of every member shall be two years.

It shall report to the VC. At the end of every academic year, it shall submit an Annual Report to VC's office.

Members shall decide a convenor among themselves and Minute it accordingly.

3.4.1.64