



Policy Handbook (v1.0)

Ramakrishna Mission Vivekananda Educational and Research Institute
Deemed-to-be-University as declared by MHRD, Govt. of India, under Section 3 of UGC Act, 1956

Office of the Vice-chancellor

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Chapter 5

Research and Consultancy Policy

Aim and Objectives

The aim of the research and consultancy policy is to provide guidelines for research and consultancy activities in the campus comprehensively.

Scope of this Document

The scope of this document is all the faculty, staff (administrative, monastic, or otherwise), students (research scholars, postgraduate and undergraduate) of all the campuses of the university.

Introduction

Ramakrishna Mission Vivekananda Educational and Research Institute has a commitment towards fundamental and applied research in the field of sciences, arts and spiritual studies. Our research areas of interest include emerging fields such as rural and tribal management, value education, disaster management, disability management and Indian heritage studies.

R.1 Conduct of Research

R.1.1 Principles Concerning Research

1. The research scholars and faculty are free to select topics of research. If the research scholars cannot find suitable guides or supervisors then the head of department assign a guide or supervisor which must be approved of by vice chancellor.
2. The guides and supervisors has responsibility in providing adequate guidance in terms of time, research methodology and literature referencing.
3. The research method should not violate the principle of professional ethics.
4. The university will facilitate the research as much as possible, but all requests may not be granted as resources are limited.

R.1.2 Rights and Responsibilities in the Conduct of Research

1. In conducting research, the scholars and faculty enjoy certain rights including selection of topics of research, selection of research methodology as long as the methodology is ethical.
2. The researcher is responsible to release all the results of the research publicly, in some form or another, even if they are opposite of his/her original hypothesis or personal opinion.
3. The responsibility of researcher towards university is he will follow the norms of the university and make good use of resources of the university.
4. The principal investigator is responsible for preparation of proposal, regular reports and presentations, final report, regular payment of salaries of staff employed, timely payment of bills incurred by his project.
5. The principal investigator is responsible to submit a financial report about the expenditure and receipt of funds with supporting documents to the university.
6. The responsibility of researcher towards society is that he will not work for the detriment of the society.

7. The responsibility of researcher towards sponsoring organisation is that he/she is accountable for the financial funds, he/she should judiciously use the material purchased and then after the completion of the research handle it to concerned authorith or correctly dispose, whatever is required of him/her, and lastly submit the research results and print the report in relevant forums.
8. All researchers must agree and be signatories to the copyright and patent agreement of the university.

R.1.3 Academic Freedom

1. The researchers are free to choose research topics.
2. The researchers are free to choose research methodology as long as it is ethical.
3. The researchers are free to choose platform to publish their research if it is not sponsored. If it is sponsored or some extra budget is allocated for the research than the publication terms will be determined by the agreement with the sponsoring society.
4. The university will reserve the publication rights if it contributes financially towards research project even in a minor way.

R.1.4 Openness in Research

1. The data, methodology and final results of the research should be open to all the interested parties.
2. The university will not conduct any research that requires secrecy.
3. A research topic will be considered requiring secrecy if the agreement with the sponsoring organisation includes non-disclosure clause, restriction to publication clause, or requires confidential data.
4. Private communications, identities of subject, diaries, transcripts which are not essential part of research data might be kept secret.

R.1.5 On Academic Authorship

1. All people with significant contribution are to be considered authors.
2. There should never be formal mechanism to determine authorship.

R.1.6 Multi-Authored Research Papers

1. All authors in multi-authored research papers have shared rights and shared responsibilities.
2. Each author should have the final editable copy of research paper with all the pertaining data.

R.1.7 Research Misconduct: Policy on Allegations, Investigations, and Reporting

1. Each member of the university has the responsibility to foster an environment of academic honesty.
2. Any member of the university can report on research misconduct to board of studies through head of department.
3. The head of department will do a preliminary inquiry on the basis of which he/she will decide if in-depth investigation needs to be done or not, which decision he/she will report to board of studies.
4. The board of studies will investigate the allegations with the help of departmental faculties and report to the vice chancellor who will initiate action that must be ratified by board of management.

R.1.8 Nondiscrimination in Research Agreements

The university does not discriminate on the basis of race, religious creed, color, national origin, ancestry, physical, or mental disability, medical condition, marital status, sex, age, sexual orientation, gender identity, veteran status, or any other characteristic protected by law, in connection with any aspect of employment at the university, or in its research agreements.

R.1.9 Retention of and Access to Research Data

1. If the university funds the research project even in a minor way, it can ask for the retention and access of research data any time.
2. If it is not mentioned in the research agreement then the research data can be retained by the principal investigator.

R.2 Principal Investigatorship

R.2.1 Principal Investigator Eligibility and criteria for Exceptions

1. Only faculty who are given positions by appointment letters are eligible to become principal investigator or co-principal investigator in external projects.
2. For internal projects, the principal investigator and co-principal investigator can be a visiting or part time faculty.

R.2.2 Acting Principal Investigatorship

The principal investigator can not delegate responsibility and rights to another person in any way.

R.3 Financial Responsibilities of the Principal Investigatorship

R.3.1 Preparation and Submission of Proposal Budgets

1. It is the responsibility of Principal Investigator to prepare and submit budget proposals to head of department.
2. 20% of budget should be marked for the university for general infrastructure support. For specific expenses by university extra funds from the projects need to be allocated.
3. There should be contingency provision for 5% to 10% in budget and expenditure.

R.3.2 Management of Project Expenditures

Principal Investigator is responsible for management of project expenditure which cannot be delegated to another.

R.3.3 Prior Approvals

All the expenditures by the university, departments or principal investigators should have prior approvals from office of vice chancellor or office of head of department.

R.3.4 Export and Import Control

1. All the government and university norms should be followed for exports and imports.
2. Foreign exchange transactions should have prior approval.

R.4 Conflict of Commitments and Interests

R.4.1 Policy on Conflict of Commitment and Interest for Faculty

1. The policy of conflict of commitment and the policy of conflict of interest applies to all the faculty and staff of the university including the visiting faculty.
2. The faculty and staff of the university owe their primary professional allegiance to the University, and their primary commitment of time and intellectual energies should be to the education, research and scholarship programs of the institution.

R.4.2 Requirements Regarding Financial Disclosures

1. The faculty and staff of the university are required to disclose all their financial interests and professional relationships to the university, either to the office of vice-chancellor or to the respective offices of head of departments.

R.4.3 Consulting and Other Outside Professional Activities by Members of the Academic Council

1. The faculty can provide consulting to external entities, if the university is reimbursed a portion (20%) as indirect cost of infrastructure used.
2. Any other direct expenses are to be reimbursed by the consultant separately.

3. A professional consultancy even partly run by a faculty is bound to provide professional consultancy to the university free of cost.

R.4.4 University Investments in Start-Ups and Entrepreneurs' programmes Involving University Faculty

1. The investments by university in start-ups and entrepreneurs' programme involving university faculty must be declared by the start-ups and the entrepreneurs in the project proposal, acceptance and must be mentioned in all important financial documents pertaining to projects.
2. The investment by university in such projects cannot be from research projects granted to faculty and post doctoral scholars. The funding should be done under scheme.
3. All projects involving university faculty must be scrutinized by board of studies of the departments, and then recommended through the head to board of management to be ratified.

R.4.5 Equity Acquisition for Research and Consultancy Projects

1. The equity acquired for research and consultancy projects will be owned by the university for the duration of project as well as after the project is completed.
2. The relevant faculty and staff is permitted to use the equity acquired during the projects.
3. The equity acquired should be used from the university campuses.

R.4.6 Institutional Conflict of Interest

1. The research and consultancy projects of the university involving university itself, with substantial benefit to university, financial or otherwise, must be declared in the project proposal, acceptance and the final completion reports.

R.5 Professional and Research Ethics

R.5.1 Academic Honesty

1. The faculty and staff are required to follow the principles of academic honesty at all times.

R.5.2 Scientific Misconduct

1. Any person, either faculty, staff, student, a stake holder or from civil society can bring to notice of head of department, head of institutions or boards, any case of scientific misconduct.
2. The board of studies can constitute an inquiry, either themselves or by a committee, if scientific misconduct is deemed serious. The relevant faculty or staff can be asked to defend himself in the inquiry and should be given a prior notice (two weeks).
3. A disciplinary action could be recommended by board of studies through the head of department to the board of management, which will take the final disciplinary action.

R.5.3 Academic Freedom, Equality, Benevolence, etc.

1. The faculty, research scholars and the students have academic freedom to select research topics, research methodology, and will be provided university resources within limits as the scope of research may permit.

R.6 Environmental Health and Safety

R.6.1 Health Safety

1. All the research and consultancy projects, at all times, will take care of health and safety of participants and the society at large.
2. In case there is a possibility that health and safety may be compromised, it should be mentioned in project proposal, acceptance and final reports.
3. At any time, if any participant's health or safety is to be compromised by project activity, he/she has to be told beforehand and his approval needs to be taken (1) he/she has been told about the risks, (2) he/she

clearly understands about the risks, and (3) he agrees voluntarily to take part in the activity.

4. The above document needs to be conserved with the project documents and will be the property of the university. The PI and other researchers can have a copy of this document.

R.6.2 Hazardous Material

1. Normally, research and consultancy projects must avoid use of hazardous materials.
2. Any use of hazardous materials need to be approved by the board of studies and reported to the board of management.
3. Any use of hazardous materials must be mentioned in project proposals, acceptance and final reports.
4. If there is a need to take approval/permissions of official government agencies for the use of hazardous materials, then it is the responsibility of PI to take such approvals/permissions.

R.6.3 Damage to Campus Environment

1. Any research and consultancy project should take care not to damage the campus environment (or environment outside the campus).
2. In case there is some real or possible risk of damage to campus or outside environment, then prior approval to project is necessary from board of management through the recommendation of board of studies.
3. The risks of damage to environment should be mentioned in the project proposal, acceptance and final reports.
4. If there is real damage to campus environment, it is the responsibility of PI to address the repairs and the repair costs, either from project funds or from other sources.
5. If there is a risk of damages, then a portion of project budget must be earmarked for the repair costs under contingencies.

R.6.4 Local Environment Considerations

1. All research and consultancy projects are to be environment friendly.

R.6.5 Safety in Experiments — eg Radiological and Laser Safety

1. Any research and consultancy projects relating to radiology, laser technology, high voltage, radioactivity, etc. are to be avoided.
2. If the research and consultancy project needs to deal with radiology, laser technology, high voltage, radioactivity, etc. then prior approval is needed from board of management through the board of studies.
3. Separate area should be used for experiments involving radiology, laser technology, high voltage, radioactivity, etc.
4. Adequate precautions need to be taken for participants and the campus environment, in case approval is granted to such experiments.

R.6.6 Environmental Friendly Disposal of Electronics, etc.

1. The used and waste electronics, etc. should be disposed in an environmental friendly way.
2. The disposal is responsibility of PI.
3. Preferably, the waste should be classified:
 - (a) Recyclable waste
 - (b) Combustible waste
 - (c) Organic waste (food, plants, etc. waste)
 - (d) Harardous waste (industrial)
 - (e) Bio-hazardous toxic waste (infectious)

R.7 Intellectual Property

R.7.1 Inventions, Patents, and Licensing

1. Any inventions, patents and licensing will pertain to the university, if the university funds the project even in a minor way.
2. If the invention, patent or licensing is to be granted to any other party, then the terms are to be negotiated beforehand.

3. The university can terminate the project anytime if it determines the terms and conditions unfavorable.

R.7.2 Copyright Policy

1. The copyrights for any research and consultancy project, in which university funds are used even in minor way, will belong to university.
2. The copyright policy is to adhered to strictly, and only in rare cases, the PI or any other agency will be given copyright rights.
3. The other agencies can be allowed limited use of the research, but granting copyright is to be avoided completely.

R.7.3 Administration of Copyrights

1. The registrar's office is responsible to do the administration of copyrights.

R.7.4 Tangible Research Property

1. The registrar's office with the help of library is responsible to do the administration of tangible research property.

R.7.5 Other Intellectual Property: Trademarks, Patents and Proprietary Information

- Any research and consultancy projects by the university, must have a logo of the university placed in all banners relating to projects, even in the case that the project is externally financed.
- Any patents related to research and consultancy projects will belong to the university, if the university finances the project even in a minor way.
- All the proprietary or otherwise information regarding the research and consultancy projects is the property of university unless it is private information.
- In case some private information is given to PI, there must be an agreement between the PI and owner of private information that this information might be disclosed to university in some circumstances.

R.8 Staff Appointments

R.8.1 Policy and Procedures for Appointment and Promotion: Academic Staff - Research

1. The academic staff for the research and consultancy projects are to be appointed by the PI after announcing in the departmental website and holding an interview with or without written evaluation.
2. The PI will not discriminate among potential staff with respect to race, religious creed, color, national origin, ancestry, physical, or mental disability, medical condition, marital status, sex, age, sexual orientation, gender identity, veteran status, or any other characteristic protected by law.
3. After the appointment the PI should notify the board of studies and the registrar about the appointment.

R.8.2 Grievance Procedure: Academic Staff

1. The research staff can submit their grievances to head of the department, the registrar, the board of studies or the head of the institute.
2. The grievance will be addressed by the board of studies to be ratified by the board of management.

R.8.3 Postdoctoral Scholars

1. For all practical purposes, the postdoctoral scholars are staff of the university.
2. For administrative purposes, the postdoctoral scholars are under head of department.
3. For research purposed, the postdoctoral scholars are under PIs.

R.8.4 Retention of Consultants

1. A consultant can be retained for another project by the same PI for three consecutive years at maximum.
2. After three years, if a consultant is still needed to be retained, then it has to be ratified by the board of management with the recommendation of board of studies.

R.8.5 Visiting Scholars

1. PI is free to take services of visiting scholars with TA/DA.
2. Substantive remuneration cannot be given to visiting scholars.

R.8.6 Relationships Between Students (Including Post-doctoral Scholars) and Outside Entities

1. Students are allowed to work for outside entities without remuneration except TA/DA.

R.8.7 Procedures for Appointing Visiting Student Researchers

1. PIs are free to appoint visiting student researchers for short periods (one to two weeks).
2. The visiting student researchers can be provided TA/DA from the project funds.

R.8.8 Graduate Student Research Assistantships

1. A graduate student of the institute can be provided research assistantship from a project fund, if PI requires such assistance.
2. The responsibilities and duties of a graduate student researched will not be any less than any other research assistants, even if he has other research and academic responsibilities.

R.8.9 Visiting Postdoctoral Scholars

1. PIs are free to appoint visiting post doctoral researchers for short periods (one to two weeks).
2. The visiting postdoctoral researchers with short visits can be provided TA/DA from the project funds.
3. Visiting postdoctoral researcher for a longer duration, but not full duration of the project, can be appointed by board of studies with the recommendation of PIs, but must be ratified by the board of management.

R.9 Property Management

1. The responsibility to manage the property is with board of studies (in the department) and the registrar's office (in the university).

R.9.1 Control of Properties

1. The property for the duration of the project is to be used and controlled by PIs and his staff if they are given sole right to use.
2. In case of shared property, the property will be controlled by the board of studies/registrar's office.
3. Typically, the board of studies/registrar's will coordinate access to the shared property by PIs according to the needs.

R.10 Types of Agreements and MoUs with Outside Entities

R.10.1 Non-liability Clauses

1. All the agreements and MoUs must have a non-liability and disclaimer clause for the university, the department and the PIs.

R.10.2 Jurisdiction Clauses

1. All the agreements and MoUs must have a jurisdiction clause which must be suitable for the university, the registrar and the PIs, in descending importance.

R.10.3 Non-litigation Clauses

- It would be best if the agreements and MoUs have non-litigation clauses.
- Only in rare cases when public interest and private individual safety is involved, litigation clauses can be included.
- For research and consultancy projects with private firms, non-litigation clauses are to be included in agreement and MoUs. After all, there is no guarantee on favourable outcome in research and consultancy.
- Litigation clauses can be included only if there is certainty about deliverables in rare cases, and substantial financial reward is offered.

R.11 Committees Related to Research

1. The board of management, with the executive assistance of vice chancellor (academic) and registrar (administrative), is required to oversee the research and consultancy projects of the university.
2. There will be a research and consultancy committee for each campus. The dean of the campus will be the president of the committee.
3. Board of research of each department, with the executive assistance of head of department, will take decisions regarding projects.

The chain of authority is as below:

1. Board of Management
2. Vice Chancellor
3. Research and Consultancy Committees
4. Board of Studies
5. Head of Department
6. Principal Investigators

R.12 Projects Progress and Evaluation Mechanism

1. It is the responsibility of PIs to submit project progress reports to head of departments and to hold open presentations.
2. The progress of the project will be evaluated by board of studies.
3. The academic, administrative and financial progress of all projects will be monitored by research and consultancy committee jointly with the vice chancellor and the registrar.

R.12.1 Project Progress and Completion Reports

1. All project proposals and project reports should also be submitted to board of studies along with the relevant entities.
2. There should be yearly project progress reports submitted to board of studies for project evaluation.

R.12.2 Project Progress Evaluation Committee

1. The board of studies will double as project progress evaluation committee.

R.13 Grievance Redressal Mechanism

1. Any grievance of PIs can be submitted to head of department, board of studies, research and consultancy committee, dean of campus, registrar, vice chancellor, or board of management, in order.

R.14 Awards

1. There will be annual award for best research project in each campus that will only be awarded to completed projects in last two years.

Publication Policy of RCP

The office of the vice-chancellor is responsible for the creation and updation of research and consultancy policy (RCP). Board of management is responsible for the approval of RCP. All the board of studies in the university can recommend updates in the RCP.

The office of the registrar is responsible for publishing, maintenance and archiving of RCP in the university website.

Please contact the office of registrar if you need to add or delete a new policy statement or revise an existing policy in RCP.

Updates, Additions and Deletions to RCP

Version and Changed Sections	Date	Description
1.0	April 23, 2018	Initial Version

Chapter 6

Research Promotion Policy

Aim and Objectives

The aim and objectives of the research promotion policy is to (1) promote excellence in research and (2) provide a suitable environment for the research activity in the institute.

Scope of the Policy

The research promotion policy is applicable to all stake holders in research, the faculty, postdoctoral researchers, research scholars, postgrads and undergrads. This policy also outlines the role that administration, staff and industry is supposed to play for the promotion of research.

Introduction

Ramakrishna Mission Vivekananda Educational and Research Institute has a commitment towards promotion of research among the faculty, postdoctoral researchers, research scholars, postgraduate and undergraduate students. This document formalizes the research promotion policy.

RPP.1 Conduct of Research

RPP.1.1 Academic Freedom

1. The faculty, research scholars, postgrads and undergrads are free to select topics of research in the respective subjects for which they are

evaluated.

2. Other than above, all the researchers are allowed and encouraged to do freelance research.

RPP.1.2 Patents and Research Output

1. The focus of research should be on deliverables, that is, patents, published materials in reknowned publications, projects with clear goals and objectives, and research work with explicit applications.
2. All the researchers are encouraged to patent their patentable work.
3. The institute will provide technical help and logistics in patenting a work to maximum extent possible.
4. The researchers are encouraged to publish their research in peer reviewed journals and peer reviewed conferences.
5. The researchers should share the research in an open platform, and promote the benifits of research in society, if applicable.
6. The data, methodology and final results of the research should be open to all the interested parties.

RPP.1.3 Policy of No Social Discrimination

1. The institute, faculty, staff, and students will not discriminate on the basis of race, religious creed, color, national origin, ancestry, physical, or mental disability, medical condition, marital status, sex, age, sexual orientation, gender identity, veteran status, or any other characteristic protected by law, in connection with any aspect of research at the institute, or in its research agreements with external entities.
2. The institute has policy of no tolerance for social discrimination.
3. The institute expects all its members including students to promote social acceptance of diverse groups.
4. All the matters concerning cases of discrimination will be referred to social affairs committee which has power to investigate and recommend actions to vice chancellor. The actions taken by vice chancellor need to be ratified by board of management except those which are punitive in nature and/or small fines.

RPP.1.4 Infrastructural Facilities

1. The library facility should extend facilities to do research for all members of the institute without discrimination.
2. All the research material in the library is to be available to all members of the institute, faculty, students or staff for their perusal.
3. The central computing facility, likewise, should extend research facilities to do research for all members of the institute without discrimination.

RPP.2 Funding

1. A fixed portion of budget earmarked for each department should be spent on research that is deliverable, that is, with explicit objectives and measured output.
2. The fixed portion will be different for each department depending on the deliverable which will be fixed by board of research for year to year expenses.
3. A fixed portion of budget for library should be spent on keeping the research materials in library up-to-date.