

SMOKE FREE POLICY



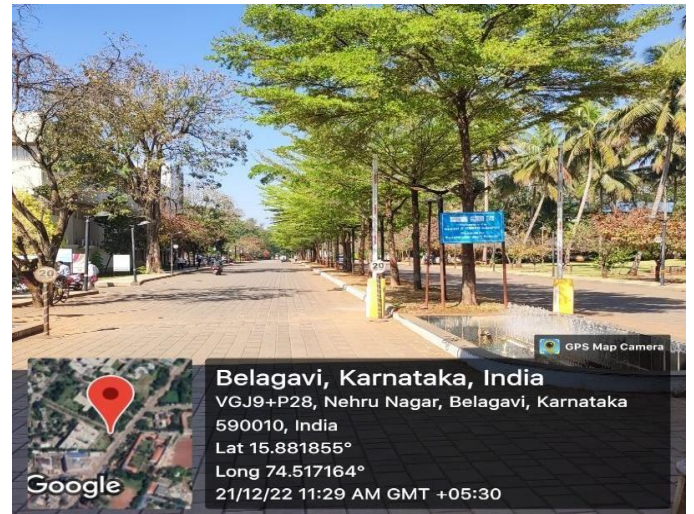
The KLE academy of Higher Education and Research Campus University will implement following measures to reduce / eliminate use of any tobacco product or tobacco consumption either in smoked form or in chewed form. To promote a smoke-free environment, including educational initiatives, anti-smoking campaigns, and policy enforcement, the constituent college- NSS units follow following actions.

- Awareness Campaigns: Through rallies, street skits, and flash mobs KAHER's Constituent Units will raise awareness about the dangers of smoking and to promote a smoke-free campus.
- Radio Programs: Health awareness programs about the hazards of smoking on KLE Community Radio Station Venudhwani 90.4 FM.
- Visible Signage and Campus Support: Clear and visible signage marking smoke-free zones at various places of all KAHER's Constituent Units.
- Helplines: Helplines to be made available to provide assistance for students and staff seeking support to quit smoking.
- Collaborations with Local Organizations: KAHER will initiate Collaborations with local organizations to address tobacco-related issues and strengthen anti-smoking initiatives.
- Follow the Karnataka Prohibition of Smoking and Protection of Health of Non-Smokers Act, 2001



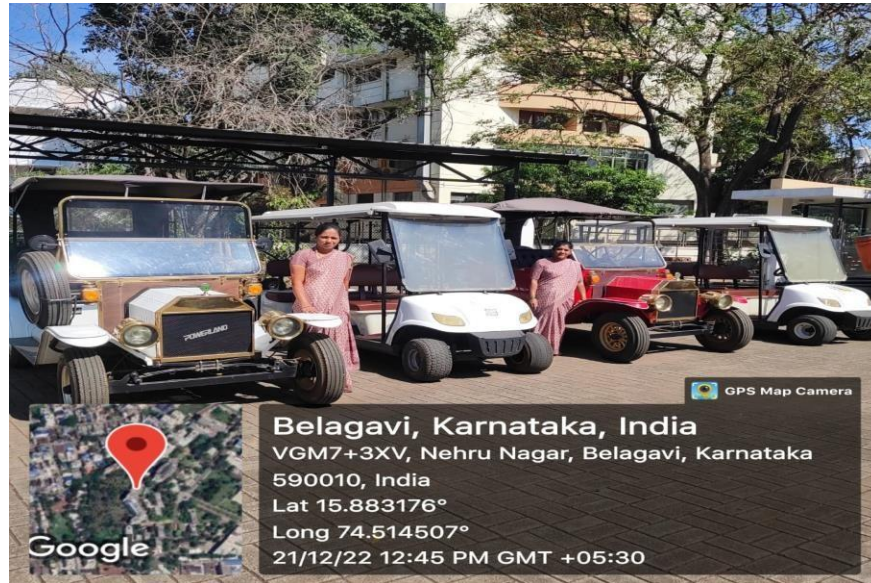

Prof. (Dr.) M. S. Ganachari
Registrar

Smoke free Green Campus Initiative

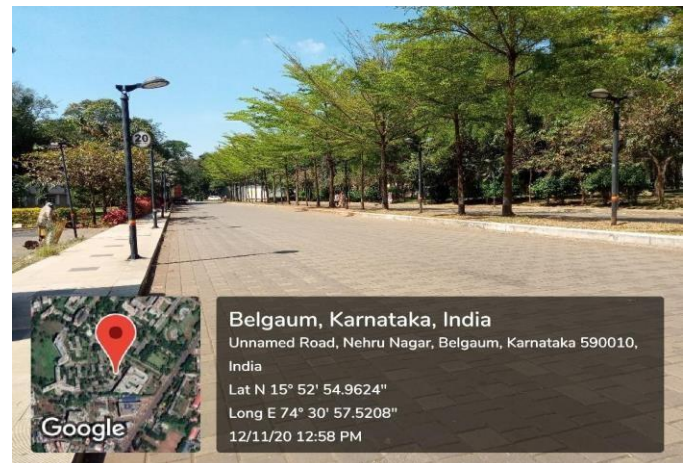


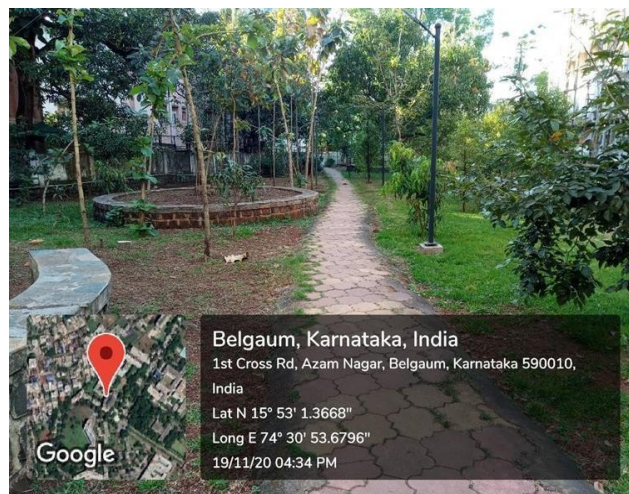
Battery Powered Vehicles



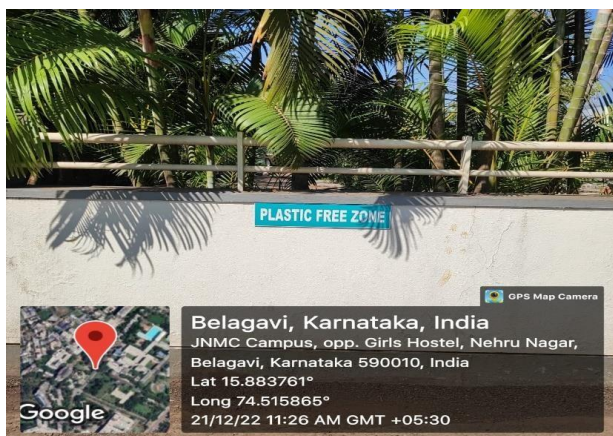


Pedestrian Friendly Pathways

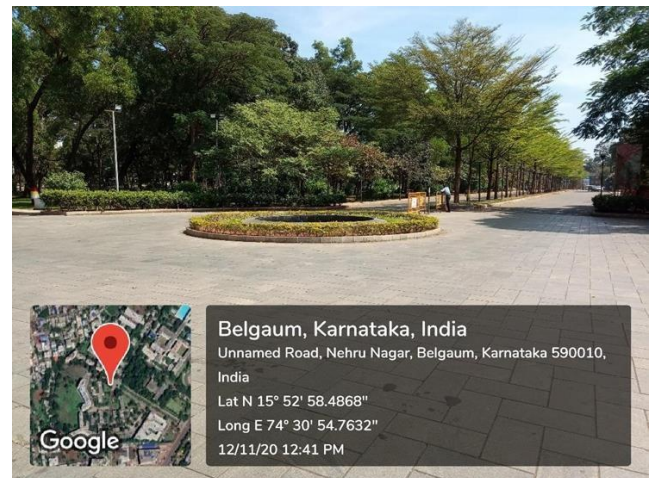




Ban on the Use of Plastics

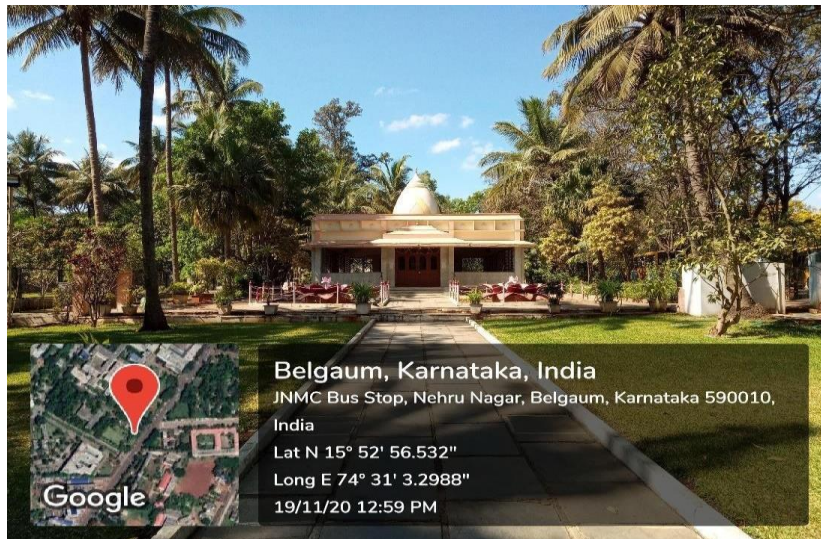


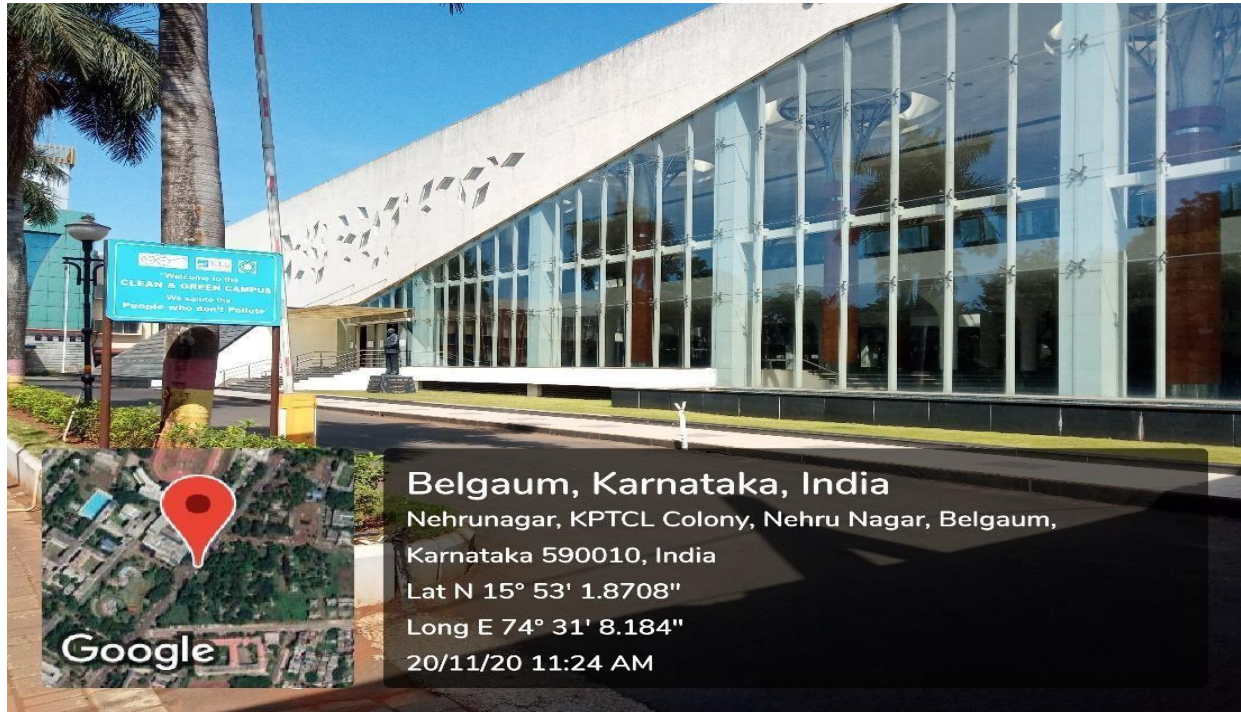
Landscaping





Restricted Entry of Automobiles





Honey bee Rearing Unit in the campus

The KAHER Belagavi under "Green and Clean Campus" has taken up a unique initiative measure of Biodiversity by setting up "Honey Bee Rearing Unit" in JNMC sprawling 100 acres, having tropical savanna climate. To develop Biodiversity and Eco system initially we have started with 5 Honey Wooden Boxes installed at the lawn opposite to JNMC Guest House. The bee rearing is a productive, involving manipulation of both queen and drone population. The bees reared are domestic and non poisonous in character and travel distance of 2 kms and return to the hive, resulting florification and collection of nectar for honey. In addition to ecologically and biodiversity impact bees triggers the students of Genetics to study the rear complex subject of reproduction and with a universal message of "Be Busy as Bees".



STUDENT ADMISSION AND ACCESS POLICY

Preamble

The **KLE Academy of Higher Education & Research (KAHER)**, Belagavi is Deemed to be University, is one of the premier Health Science Education Institutions in the country imparting high quality health professional education at all levels (UG/PG/Post-doctoral). It was established in 2006 as per the Ministry of Human Resource Development, Government of India (u/s 3 of the UGC ACT 1956), The Deemed to be University is accredited with 'A' Grade by NAAC in two subsequent cycles in the year 2010 and 2016 (CGPA 3.14 & 3.34). Recently in the year 2022 the University is accredited with 'A⁺' Grade (CGPA 3.39). The Deemed to be University is also placed in Category 'A' by the Ministry of Human Resource Development, Government of India and recently in the year 2023 has secured 12B status by UGC (12B of the UGC Act 1956).

The University has been placed 88th Rank in the university category by the National Institutional Ranking Framework declared on 15th July 2022, 66th rank by Quacquarelli Symonds (QS) India University ranking 2020 and 5th rank among Deemed to be Universities on all India basis by India Today-Marketing and Development Research Associates, New Delhi Group Best University Survey 2019-20. The University campus was declared as 3rd cleanest in 2018 and 4th cleanest in 2017 under Swachh Campus Ranking of Higher Educational Institutions by MHRD, GOI in the category of University residential. Today the University has Eleven constituent colleges, catering to the needs of a vast variety of students through its more than 158 programs across the faculties of Medical, Dental, Ayurveda, Pharmacy, Physiotherapy, Nursing and Homoeopathy.

A quaternary care, 2400 bedded Dr. Prabhakar Kore Charitable Hospital and Medical Research Center has been health care provider for northern part of Karnataka and adjacent states of Maharashtra and Goa. The hospital is NABH accredited and recently has started with advanced Cancer Therapy which is a boon for this part of population. The hospital also has NABL accredited laboratories for accurate quality diagnostic reports. The Deemed to be University has also been able to reach the community through its three Primary Health Centers and two Urban Health Centers and 29 satellite centers in remote places of Karnataka. The centers offer health care services at subsidized rate/free of cost. The centers also provide clinical training for undergraduate and postgraduate students.

Admission Cell

The Admission Cell of University provides necessary guidance to ensure that the interests, rights and needs prospective candidates\students who are looking for educational opportunities in various Programs at KAHER deemed to be University are addressed. The University shall ensure:

1. Relevant and Compressive information such as courses/programs offered, eligibility criteria, procedure and details of common entrance test (Names of the centres, number of papers for the written test, syllabus for examination dates and venue of test etc.,) shall be widely publicized as advertisements in leading National Newspapers and also notified in University's official website.
2. The University shall prepare an updated prospectus which will provide detailed information on the vision and mission of the University, details of recognition and approvals from the various statutory authorities, courses offered, with details of duration of the course, course pattern, entry requirement, eligibility details, job opportunity, mode of selection, details of research opportunities, sports and recreational facilities etc.,
3. Candidates who wish to apply for the various courses conducted by the University may download the application form and after completely filling the form, upload the same to consider their application for the entrance test.

The admission for courses which are covered by the government (Central / State) will be done as per directions from respective central / state government.

Admission Process

1. KAHER maintains transparency in admission process and strict merit is followed while admitting students.
2. The university makes merit list towards admission. Special care is taken while making note of prospective female students for admission to university programs.
3. The admission section of the University looks into smooth admission from application process till the admission and beyond. The process is assisted by personal attention at the time of admission that includes technical support, assistance for payment of fees etc.
4. The process also follows a tracking system of all students and girl students in particular.

Admission Operational Process for girl students

1. A special tracking system is in place for the follow-up of the prospective women candidates which is apparent from the large percentages of women applicants and admissions in almost all programs, which is made possible by the personal connection established by administration and counsellors dedicated for admissions.
2. A centralised dedicated admissions cell is constituted focusing on the importance of establishing hassle-free access for female students, especially for those from the underprivileged and rural areas.
3. The central admissions committee comprises of officials represented by maximum number of women in leadership positions. The admissions committee monitors the tracking of applications as narrated for girl students with adequate special efforts such as:
 - Special Program/Campaigns for Girls
 - Informative career guiding sessions for girl child
 - Special scholarships for girl child
 - Presentations by women empowerment cell
 - Lead Generation
 - Follow-ups and conversion
4. The admission to Health science courses women representation is good. However, through University outreach programs the girl students of pre university colleges are oriented regarding other skill based programs offered by the University that offer good employability.
5. In order to educate more girl candidates for seeking admission and enrolling into higher educational streams, admissions committee officials visit various schools, mainly girls' schools and provide the following services:
 - Visits to Girls Schools
 - Informative career guiding sessions.
 - Lecture series on women empowerment through higher education.
 - Programmes and courses available at KAHER
 - Special scholarships made available for girl students.
 - Opportunities for Women in Higher Education.
6. Exhibitions: University participates in national and international educational exhibitions.

Admission Process Steps

1. Online Application
2. Conduct of Entrance Test
3. Display of List of Meritorious Students
4. Tracking, counselling
5. Document Verification
6. Admission
7. Mentoring till Completion



Dr. M.S. Ganachari

Registrar

KLE Academy of Higher Education and Research

**KLE ACADEMY OF HIGHER EDUCATION & RESEARCH
DEEMED-TO-BE UNIVERSITY, BELAGAVI**

Policy of Non-Discrimination against Transgender Persons

Policy adopted on: 1st January 2024

Version: 1

Objective:

This policy is designed to ensure a respectful, inclusive and equitable environment for transgender persons across all levels of academic, administrative and campus life at KAHER Deemed-to-be University. Recognizing the rights of transgender individuals under the Transgender Persons (Protection of Rights) Act, 2019, this policy emphasizes non-discrimination, equal opportunity and dignity for transgender individuals in our Deemed-to-be University community.

Key Principles:

1. Equal Opportunities:

KAHER Deemed-to-be University will provide equal access to academic programs, employment, promotions and campus facilities, free from discrimination based on gender identity or expression. Admissions, hiring and advancement decisions will respect the right of transgender individuals to self-identify.

2. Inclusive Campus Environment:

The Deemed-to-be University is committed to fostering a safe and supportive environment for transgender students, faculty and staff. This includes awareness programs, sensitivity training and measures to prevent bullying, harassment or discrimination on the basis of gender identity.

3. Respect for Gender Identity:

At KAHER Deemed-to-be University Transgender persons will be respected in accordance with their self-identified gender. This includes the use of correct names and pronouns in official records and during interactions. The Deemed-to-be University will also allow for the updating of academic and employment records to reflect gender identity, without unnecessary procedures.

4. Access to Facilities and Resources:

All campus facilities, including restrooms, hostels and healthcare services, will be made inclusive. Transgender persons will have access to gender-appropriate or gender-neutral facilities according to their preference, ensuring privacy and safety.

5. Grievance Redressal:

The Deemed-to-be University will establish a dedicated committee or integrate gender inclusivity into the Internal Complaints Committee (ICC) to address and resolve complaints of discrimination, harassment or unfair treatment related to gender identity. All grievances will be handled with confidentiality, sensitivity and fairness.

6. Implementation and Monitoring:

The Deemed-to-be University will conduct regular sensitization workshops and educational programs to promote understanding and inclusivity around transgender rights and identities. An annual review of the policy will be conducted to assess its effectiveness and adapt to emerging needs.



Dr. M.S. Ganachari
Registrar

KLE Academy of Higher Education and Research

KLE ACADEMY OF HIGHER EDUCATION & RESEARCH

DEEMED-TO-BE UNIVERSITY, BELAGAVI

Maternity Policy

Policy adopted on: 1st January 2024

Version: 1

Objective:

The Maternity Policy at KAHER Deemed-to-be University is designed to support women faculty, staff and students by providing a comprehensive framework that ensures a healthy work-life balance encourages their continued academic and professional participation and complies with the Maternity Benefit (Amendment) Act, 2017. The policy underscores the Deemed-to-be University's commitment to fostering an inclusive, supportive environment for women to thrive academically and professionally.

Key Provisions:

1. Maternity Leave:

KAHER Deemed-to-be University has an exclusive Maternity Leave Policy.

According to the policy,

- The lady teacher who has completed more than two years of services is entitled to full pay maternity leave for a period of 180 (one hundred and eighty) days for less than or up to two living children.
- The lady teacher appointed on probation or on temporary basis and who has put in at least two years of continuous services shall be eligible for maternity leave.
- The temporary lady teacher who is appointed on probation and who has put in continuous service for a period exceeding one year, but less than two years, shall be entitled to maternity of 90 (ninety) days on half pay, subject to having less than two children
- The temporary female teacher with less than one year service shall not be entitled to maternity leave and the period of absence shall be treated as extra-ordinary leave (leave without pay).
- The application for maternity leave shall be supported by medical certificate with Expected Date of Delivery (EDD).

Women students who are pregnant will be provided academic flexibility as provided by the regulatory councils such as semester breaks or extended deadlines, to support their education and reduce academic pressure.

2. Flexible Work Arrangements:

Post-maternity, employees may opt for flexible work hours for up to six months. This flexibility supports a smoother transition back to work while balancing personal responsibilities.

Faculty members returning from maternity leave may request adjusted schedules based on operational requirements. The Deemed-to-be University will provide access to medical consultations, counselling and other support services to assist mothers during pregnancy and postpartum.

3. On-Campus Childcare Support:

The Deemed-to-be University will strive to provide accessible on-campus childcare facilities to help new mothers manage childcare and work commitments seamlessly.

4. Breastfeeding Support and Lactation Rooms:

Designated and hygienic lactation rooms will be available on the Deemed-to-be University campus for breastfeeding mothers, ensuring they have a comfortable space for baby feeding.

5. No Discrimination in Career Advancement:

The Deemed-to-be University upholds a commitment to ensuring that maternity leave or childcare responsibilities do not negatively impact career advancement, promotions or access to opportunities.

6. Implementation and Monitoring:

The Deemed-to-be University will review this policy annually to ensure compliance with legal standards and responsiveness to employee needs. Regular feedback will be sought from women employees and students to enhance maternity support and encourage continued participation in all aspects of professional life.



Dr. M.S. Ganachari

Registrar

KLE Academy of Higher Education and Research

**KLE ACADEMY OF HIGHER EDUCATION & RESEARCH
DEEMED-TO-BE UNIVERSITY, BELAGAVI**

Policy protecting those who report discrimination

Policy adopted on: 1st January 2024

Version: 1

Objective:

The Policy protecting those who report discrimination at KAHER Deemed-to-be University aims to create a safe and supportive environment where students, faculty and staff can report instances of discrimination, harassment or other misconduct without fear of retaliation. This policy safeguards the rights of individuals who report discrimination based on gender, caste, religion, race, disability or any other legally protected status, aligning with India's anti-discrimination laws and the Deemed-to-be University's commitment to inclusivity and fairness.

Key Provisions:

1. Right to Report without Fear of Retaliation:

Individuals who report discriminatory behaviour or support any such investigation will be protected against any form of retaliation, including but not limited to intimidation, demotion, academic or professional disadvantage or any hostile treatment within the Deemed-to-be University.

Retaliation against a whistle-blower will be treated as a serious violation of Deemed-to-be University policy, subject to disciplinary action.

2. Confidentiality and Anonymity:

The Deemed-to-be University will ensure that reports of discrimination are handled confidentially. Information about the case and the whistle-blower's identity will be shared only with authorized personnel involved in the investigation process.

Individuals have the right to submit anonymous complaints if they feel safer doing so. Anonymous reports will be investigated based on the information provided.

3. Accessible Reporting Channels:

Multiple reporting options will be provided to encourage individuals to come forward safely. This includes dedicated email addresses, a helpline or directly approaching the Deemed-to-be University's Internal Complaints Committee (ICC).

Information on how to report discrimination will be prominently displayed on the university's website and in campus areas, ensuring that all community members are aware of their rights and reporting options.

4. Impartial and Fair Investigation:

At KAHER Deemed-to-be University all complaints will be investigated thoroughly and impartially. A designated committee or the ICC, as appropriate, will ensure that all parties involved are given a fair opportunity to present evidence and statements.

The Deemed-to-be University will work to ensure that investigations are concluded in a timely manner, with regular updates provided to the whistle-blower on the progress of their case.

5. Protection During and After Investigation:

To protect the whistle-blower's position and well-being, any action that could impact their academic, employment or social standing will require prior review by the designated committee to ensure non-retaliation.

Post-investigation, measures will be in place to support and protect the whistle-blower from any indirect or lingering forms of retaliation, with follow-up evaluations to ensure continued protection.

6. Awareness and Training:

The Deemed-to-be University will conduct regular training sessions to raise awareness about the Policy protecting those who report discrimination (Whistleblower Protection Policy), educate the community on recognizing discrimination, and inform them of the reporting channels available. Feedback on the effectiveness of this policy will be gathered periodically to improve its impact.

7. Review and Accountability:

An annual review of the policy will be conducted to incorporate best practices and legal updates. This will ensure continued support for those reporting discrimination and maintain a safe, fair and inclusive environment for everyone at KAHER Deemed-to-be University.



Dr. M.S. Ganachari
Registrar

KLE Academy of Higher Education and Research

WATER REUSE POLICY

1. Reuse of the treated waste water for gardening and toilet flushing by installation of dual plumbing system.
2. Regular monitoring for the quality of drinking water and treated waste water.
3. Improving the landscape of the campus thereby ensuring natural water conservation through plants.
4. Planting drought tolerant plants for the water conservation.
5. Use of auto sensors, Pressure Compensating Aerators (PCA) & push cocks in the required areas.
6. Adopting rainwater harvesting of all buildings of the campus.
7. Periodic inspection and maintenance of water treatment plant, sewage treatment plant and water distribution system.
8. Conducting orientation programs on water preservation and conservation for the students, staff and residents of the campus. Visit to water treatment and sewage treatment plant by medical and paramedical course students to create awareness in water conservation, reuse & water management.
9. Installation of water meters and sub-meters to minimize the consumption, optimum utilization and to detect the leakages in the distribution system.



Dr. M.S. Ganachari
Registrar

KLE Academy of Higher Education Research, Belagavi

POLICY ON DIVESTING INVESTMENTS FROM CARBON-INTENSIVE ENERGY INDUSTRIES



Introduction:

This policy is part of **KLE Academy of Higher Education and Research's** broader commitment to making investment decisions that not only seek financial returns but also contribute to a fairer, more just, and ecologically sustainable world. It outlines the guiding principles, criteria, and procedures for divestment, alongside the process for reinvesting resources into sectors and initiatives that align with our core values. Designed to be flexible and adaptive, this policy reflects the evolving landscape of global sustainability challenges and the shifting needs of our stakeholders. In response to urgent global issues such as climate change, human rights abuses, and social inequality, institutions across sectors are increasingly recognizing the importance of aligning their investments with their ethical and sustainability goals. A divestment policy acts as a strategic framework to ensure that an organization's financial resources support not only economic growth but also its commitment to social, environmental, and governance responsibility.

Vision:

"To foster a sustainable and ethical future by aligning our investments with responsible social, environmental, and governance standards, while supporting the transition to a low-carbon, equitable, and just global economy."

Mission:

"To intentionally divest from industries and companies that harm the environment, violate human rights, or engage in unethical practices, while reinvesting in sustainable, responsible, and impact-focused initiatives that promote long-term social and environmental well-being."

MEASURES UNDERTAKEN BY KAHER:

1. **SOLAR PANELS:** KLE Academy of Higher Education & Research has installed solar panels at various locations across its campus, playing a pivotal role in the transition to renewable energy. By harnessing solar power, the institution is actively reducing its reliance on fossil fuels, contributing to the mitigation of climate change, and promoting sustainable energy solutions. These solar panels are integral to the campus's energy strategy, providing a clean, renewable source of electricity and supporting the broader goals of environmental responsibility and long-term sustainability.
2. **ENERGY CONSERVATION:** KLE Academy of Higher Education & Research is deeply committed to energy conservation and sustainability, integrating a range of initiatives across its campus to reduce energy consumption and environmental impact in the form of solar panels, LED lights, energy audit & green audit. By prioritizing energy-efficient technologies, renewable energy sources, and responsible resource management, the institution is actively contributing to a greener future.
3. **CARBON CREDITS:** KLE Academy of Higher Education & Research is dedicated to sustainability and environmental responsibility, and as part of its broader efforts to reduce its carbon footprint by measuring carbon footprints at the campuses. The institution is actively exploring and implementing carbon credit measures. These initiatives are aligned with the academy's goal to contribute to a low-carbon future while promoting environmental awareness and responsible resource management across the campus community.
4. **ELECTRIC VEHICLES:** KLE Academy has embraced electric vehicles as a cleaner, more sustainable alternative to traditional fossil fuel-powered transportation. The integration of EVs into the campus's transportation network helps reduce greenhouse gas emissions, lower air pollution, and minimize dependence on fossil fuels. KLE Academy is striving to create a vehicle-free or low-traffic campus to improve air quality, reduce noise pollution, and foster a healthier, more walkable environment for students and staff. This initiative is focused on

promoting sustainable modes of transportation and enhancing the campus experience for everyone.

5. **PLASTIC FREE CAMPUS:** KLE Academy of Higher Education & Research is committed to environmental sustainability and has implemented a comprehensive **Plastic-Free Campus** initiative. This initiative is aimed at reducing plastic waste, promoting eco-friendly alternatives, and fostering a culture of sustainability across the campus. By addressing the environmental impact of plastic, the academy is taking proactive steps to minimize its carbon footprint and protect the ecosystem.
6. **WASTE SEGREGATION:** KLE Academy of Higher Education & Research is dedicated to promoting sustainability across its campus, and an essential part of this effort is its robust **waste segregation initiative** at key locations such as **Tels** (the academy's teaching and learning spaces) and **Arters** (the student recreation and common areas). Proper waste segregation not only helps reduce the overall environmental impact of the campus but also fosters a culture of responsibility among students, staff, and faculty. Waste segregation is facilitated by the installation of clearly labelled bins at multiple points across Tels and Arters. These bins are color-coded and designed to separate waste.
7. **WATER RECYCLING:** Water recycling at KLE Academy of Higher Education & Research is an essential part of the institution's broader environmental sustainability strategy. Through initiatives like rainwater harvesting, sewage treatment, greywater recycling, and the use of water-efficient fixtures, the academy is conserving water, reducing its environmental footprint, and ensuring a sustainable water future for the campus community. These efforts not only contribute to the academy's sustainability goals but also provide valuable lessons for students and staff on the importance of responsible water use and the need for sustainable resource management.
8. **HERBAL PLANTS FOR ENVIRONMENTAL SUSTAINIBILITY:** KLE Academy of Higher Education & Research has taken proactive steps toward environmental sustainability by integrating **herbal plants** into its campus ecosystem. The use of medicinal and aromatic plants not only enhances the biodiversity of the campus but also offers a range of environmental, health, and educational benefits. By cultivating and promoting herbal plants, the academy is contributing to cleaner air, healthier surroundings, and a more sustainable, nature-friendly campus.
9. **AWARENESS ABOUT ENVIRONMENT AND CLEANLINESS:** The **National Service Scheme (NSS)** at KLE Academy of Higher Education & Research plays a pivotal role in fostering a culture of environmental awareness and cleanliness. As part of its mission to develop students' personality through community service, the NSS encourages active participation in environmental sustainability initiatives on campus and beyond. Through a variety of programs, campaigns, and projects, the NSS units at KLE Academy engage

students in promoting environmental consciousness, cleanliness, and sustainable practices, making a significant impact on the academy's efforts to create a greener and cleaner campus.

STRATEGIES FOR IMPLEMENTATION OF THE POLICY:

Effectively implementing such a policy requires a well-planned approach, clear objectives, and robust mechanisms for monitoring and evaluation. Below are the strategies for successfully implementing a divestment policy:

1. **Setting Clear Divestment Criteria:** We will define specific Environmental, Social, and Governance (ESG) standards and exclusion criteria to identify industries or companies for divestment, such as fossil fuels, tobacco etc.
2. **Conduct Portfolio Review:** We will audit the current investment portfolio to assess alignment with divestment criteria and identify assets that should be divested.
3. **Develop a Transition Plan:** We will create a phased divestment strategy with clear timelines for withdrawing from non-compliant investments and reinvesting in sustainable, impact-driven sectors like renewable energy and green technologies.
4. **Engage Stakeholders:** We will involve key stakeholders (investors, board members, staff) early in the process through consultations, training, and transparent communication to build support for the policy.
5. **Establish Governance and Oversight:** We will set up a dedicated committee or team to oversee implementation, ensure accountability, and track progress through regular reporting and independent audits.
6. **Reinvest in Sustainable Alternatives:** We will Redirect divested funds into sustainable investments such as green bonds, impact investing, or socially responsible funds that align with the institution's values.
7. **Monitor and Measure Impact:** We will use impact measurement frameworks to track the financial and social performance of reinvested funds, ensuring they meet both sustainability and financial goals.
8. **Mitigate Financial and Reputational Risks:** We will assess potential risks, including short-term financial losses, and communicate the rationale behind divestment to mitigate reputational concerns.
9. **Foster Collaboration:** We will partner with other institutions or organizations with similar goals for knowledge sharing and collective action on responsible investing.

10. **Ensure Transparency:** We will provide regular public updates on progress, outcomes, and impact, demonstrating accountability and reinforcing the institution's commitment to sustainability.



Prof. (Dr.) M. S. Ganachari
Registrar

Ref.No. KAHER/BoM/MF-01/23-24/D-04032403


Date: 4th March 2024

NOTIFICATION

Sub: Publish of Divestment Policy

In accordance with the resolution passed by the Board of Management during its 65th meeting held on 29th March 2024, the KLE Academy of Higher Education hereby notifies the publication of its Divestment Policy from carbon-intensive energy industries. This policy has been issued for the information and records of all concerned parties. It will come into effect immediately and is intended to guide all relevant stakeholders moving forward.




Prof. (Dr.) M. S. Ganachari
Registrar

Copy to:

1. The PA to Hon. Chancellor, KAHER, Belagavi.
2. The Special Officer to Hon. Vice Chancellor, KAHER, Belagavi
3. The Principals, All Constituent Units of KAHER, Belagavi
4. The Controller of Examinations, KAHER, Belagavi
5. The Director, Academic Affairs, KAHER, Belagavi
6. The Director, IQAC KAHER, Belagavi
7. To NSS Co-ordinator, KAHER, Belagavi

POLICY FOR CLEAN ENERGY TECHNOLOGY DEVELOPMENT



Policy Adopted in: 2020

Last Updated in: 2024

Application: This policy applies to all students, faculty, staff, and stakeholders associated with KLE Academy of Higher Education and Research. All members of the Academy are expected to contribute to the goals of this policy and actively support the transition to clean energy and sustainability within their respective roles.

Purpose:

The policy governing clean technology development aligns with KLE Academy of Higher Education and Research's commitment to advancing Sustainable Development Goal (SDG) 7, which strives to ensure universal access to affordable, reliable, sustainable, and modern energy. This policy underscores KLE Academy's dedication to environmental stewardship, innovation, and leadership in the global transition to clean energy solutions. Through this policy, KLE Academy aims to contribute to a sustainable future by supporting the development and adoption of clean technologies, fostering interdisciplinary research, and integrating sustainability into our academic programs and campus operations.

The policy framework, highlights the main areas of focus and action.

1. **Vision and Commitment:** The KAHER University is committed to supporting SDG 7 by advancing access to affordable, reliable, and sustainable energy. We focus on clean energy technologies to contribute to global sustainability and the transition to a low-carbon future.
2. **Research and Innovation:** The KAHER University prioritizes research in clean energy, including energy-efficient systems, renewables (solar, wind, bioenergy), and energy storage. We foster innovation through research centres and collaborations with industry to develop scalable, practical solutions.

3. **Curriculum and Education:** We integrate clean energy and sustainability into our academic programs. Through specialized courses and degree offerings, we equip students with the knowledge and skills to lead the clean energy transition.
4. **Campus Operations:** The KAHER University strives to reduce its carbon footprint by adopting renewable energy sources, energy-efficient technologies, and promoting energy conservation across campus. Students, faculty, and staff are encouraged to engage in sustainability initiatives.
5. **Community Engagement:** We actively promote clean energy adoption within local communities and advocate for SDG 7. Through outreach and partnerships, we raise awareness and empower communities to participate in the clean energy transition.
6. **Partnerships and Collaboration:** The KAHER University seeks collaborations with industry, government, and NGOs to advance clean energy technologies. These partnerships bridge research with practical application, supporting the scale-up of sustainable solutions.
7. **Policy Implementation and Oversight:** A Clean Technology Committee oversees the implementation of this policy, monitors progress, and sets goals. The committee ensures cross-departmental alignment and continuous improvement toward sustainability objectives.



Prof. (Dr.) M. S. Ganachari
Registrar

KLE ACADEMY OF HIGHER EDUCATION AND RESEARCH, BELAGAVI

(Deemed-to-be-University)

[Established under Section 3 of the UGC Act, 1956 vide MHRD

G.O.I Notification No.F.9-19/2000-U.3(A)]

Accredited 'A' Grade by NAAC (2nd Cycle)

Placed in Category 'A' by MHRD (GoI)



CODE OF PROFESSIONAL CONDUCT FOR TEACHERS





Jawaharlal Nehru **MEDICAL** College,
Belagavi (Estd - 1963)



KLE Shri B. M. Kankanwadi
AYURVEDA Mahavidyalaya,
Belagavi (Estd-1933)

I. Teachers and their Responsibilities: Whoever adopts teaching as a profession assumes the obligation to conduct him/herself in accordance with the ideals of the profession. A teacher is constantly under the scrutiny of the students and society at large. Therefore, teachers should see that there is no incompatibility between their precepts and practice. The National ideals of education which have already been set forth and which they should seek to inculcate among students must be their own ideals. The profession further requires that the teachers should be calm, patient and communicative by temperament and amiable in disposition.

Teachers should:

- i. Adhere to a responsible pattern of conduct expected of them by the society.
- ii. Manage their private affairs in a manner consistent with the dignity of the profession.
- iii. Seek to make professional growth continuous through study and research.
- iv. Express free and frank opinion by participation at professional meetings, seminars, conferences etc. towards the contribution of knowledge.
- v. Maintain active membership of professional organizations and strive to improve education and profession through them.
- vi. Perform their duties of teaching, tutorial, practical, seminar, research and health care ethically, conscientiously and with dedication.
- vii. Ensure completion of academic assignments within the stipulated time and, in their leave of absence, delegate this responsibility to the colleagues to achieve it.
- viii. Ensure regularity and punctuality in all their duties and responsibilities.
- ix. Co-operate and assist in carrying out functions relating to the educational responsibilities of the college and the university such as: assisting in appraising applications for admission, advising and counselling students as well as assisting in the conduct of university and college examinations, including supervision, invigilation, evaluation and any other responsibilities assigned to them.
- x. Participate in extension, co-curricular and extra-curricular activities including community Services.
- xi. Comply with ethical guidelines set by the respective apex regulatory bodies/ councils in the practice of health care profession.

II. Teachers and the Students:

Teachers should:

- i. Respect the right and dignity of the students in expressing their opinion.
- ii. Deal justly and impartially with students regardless of their religion, caste, political, economic, social and physical characteristics.
- iii. Recognize the difference in aptitude and capabilities among students and strive to meet their individual needs.
- iv. Encourage students to improve their attainments, develop their personalities and at the same time contribute to community welfare.
- v. Inculcate among students scientific outlook, dignity of labour and ideals of democracy, patriotism and peace.
- vi. Be affectionate to the students and not to behave in a vindictive manner for any reason and refrain from exploiting the vulnerability of the students.
- vii. Pay attention to only the attainment of the students in the assessment of merit.
- viii. Make themselves available to the students even beyond their class hours and help / guide students without any remuneration or reward.
- ix. Aid students to develop an understanding of our national heritage and national goals.
- x. Talk respectfully about the colleagues, authorities, management and the institutions.
- xi. Refrain from inciting students against other students, colleagues or administration.

III. Teachers and Colleagues:

Teachers should:

- i. Treat other members of the profession in the same manner as they themselves wish to be treated.
- ii. Speak respectfully of other teachers and render assistance for professional betterment.
- iii. Refrain from lodging unsubstantiated allegations against colleagues to higher authorities.
- iv. Refrain from allowing considerations of caste, creed, religion, race or gender in their professional endeavor.

IV. Teachers and Authorities:

Teachers should:

- i. Discharge their professional responsibilities according to the existing rules and adhere to procedures and methods consistent with their profession.
- ii. Refrain from undertaking any other employment and commitment including private tuitions and coaching classes which are likely to interfere with their professional responsibilities.
- iii. Co-operate in the formulation of policies of the institution by accepting various offices and discharge responsibilities which such offices may demand.
- iv. Co-operate through their organizations in the formulation of policies of the other institutions and accept offices.
- v. Co-operate with the authorities for the betterment of the institutions keeping in view the interest and in conformity with dignity of the profession.
- vi. Should adhere to the conditions of contract.
- vii. Give and expect due notice before a change of position is made.
- viii. Refrain from availing themselves of leave except on unavoidable grounds and as far as practicable with prior intimation, keeping in view their particular responsibility for completion of academic schedule.
- ix. Seek redressal of their grievances through appropriate mechanism / channel.
- x. Respect hierarchy and refrain from by-passing it.
- xi. Participate in constructive debates to improve the institution, but refrain from negative and loose talk damaging the image of the institution and demoralizing the colleagues.

V. Teachers and Non-Teaching Staff:

Teachers should:

- i. Treat the non-teaching staff as colleagues and equal partners, maintaining the dignity, in a co-operative undertaking, within educational institution.
- ii. Should help in the function of joint staff-councils covering both teaching and the non-teaching staff.

VI. Teachers and Guardians:

Teachers should:

- i. Maintain contact with the guardians of their students through parent-teachers association of the institution, send reports of their performance and behavior whenever necessary and meet the guardians in meetings convened for the purpose for mutual exchange of ideas and for the benefit of the institution.

VII. Teachers and Society:

Teachers should:

- i. Recognize that education is a public service and strive to keep the public informed of the educational programmes which are being provided.
- ii. Work to improve education in the community and strengthen the community's moral and intellectual life.
- iii. Be aware of social problems and take part in such activities as would be conducive to the progress of society and hence the country as a whole.
- iv. Perform the duties of citizenship, participate in community activities and shoulder responsibilities of public offices.
- v. Actively work for National integration and refrain from taking part in or subscribing to or assisting in any way activities which tend to promote feeling of hatred or enmity among different communities, religions or linguistic groups.



KLE VK Institute of **DENTAL**
Sciences, Belagavi (Estd-1985)



KLE College of **PHARMACY**,
Belagavi (Estd-1968)



J N Medical College Campus, Nehru Nagar, Belagavi-590 010. Karnataka (INDIA).

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KLE ACADEMY OF HIGHER EDUCATION AND RESEARCH, BELAGAVI



(Deemed-to-be-University)

[Established under Section 3 of the UGC Act, 1956 vide MHRD

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CONSULTANCY POLICY

The University

The KLE ACADEMY OF HIGHER EDUCATION & RESEARCH (KAHER) was established on 13th April, 2006 as per the Ministry of Human Resource Development, Government of India under the recommendation of University Grants Commission. The sponsoring society "The KLE Society" celebrating its centenary was established on 13th of November 1916 by "Seven Dedicated Teachers —The Saptarishis" and has under its wing 250 institutions spread across Karnataka, Maharashtra, Goa, Delhi etc.

In a short span of time the University has firmly established itself as a centre of excellence in terms of medical education, research and health care services at the national and international level. The University offers various undergraduate, postgraduate, post-doctoral, fellowship and certificate programs in the faculties of Medicine, Dentistry, Pharmacy, Ayurveda, Physiotherapy and Nursing.

In terms of infrastructure the University has excellent teaching facility, state of the art teaching hospital and medical research centre having 2400 beds, basic science research centre spread over an area of 10,000sq.ft., Wi-Fi facility all over the campus, digital library and other facilities on par with premier institutes of national and international repute. Facilities like bank, post-office, pharmacy, gym, swimming pool, indoor stadium, cafe, department store, travel booking, etc. are provided in the campus itself. Calendar of events delineating the date of examination schedule and other important curricular events are provided to every student at the beginning of academic session thus enabling the students to plan and pace their studies well in advance.

The Department of Allied Courses was established in 2007. There is expected to be a tremendous demand for allied health professionals in the years to come because of the phenomenal growth in the healthcare industry. In view of this, KAHER offers a range of allied courses in the form of undergraduate, postgraduate, fellowship, diploma, postgraduate diploma and certificate courses.



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Research Policy

KLE Academy of Higher Education and Research

(KLE Deemed –to –be University)

1. Preamble:

Considering the vision and mission of KLE Academy of Higher Education and Research, Belagavi, one of the major research policies includes consultancy assignment apart from active research and teaching. The deemed to be university strives to promote and enhance the external profile and the societal impact includes the expertise and research inclination of the faculty members. This creates mutually beneficial opportunities for collaborative research and consultancy services. The consultancy projects and services enrich and broaden the professional experience and knowledge of the teaching faculty. Consultancy services in an academic environment functions as a tool contributing to the national economic growth.

The consultancy by University also gives access to the excellent academic expertise of its faculty members, to the beneficiaries for solving their problems at low costs. It is, therefore, the University's policy to encourage employees to engage in consultancy activities. For the purpose of this policy, educational materials such as textbooks, articles / papers, scholarly monographs or artistic works produce in the normal course of academic scholarship are not considered as consultancy service.

2. Definition:

Consultancy is defined as 'providing an expert advice / services related to implementation, analysis and interpretation, which draws upon and applies the expertise of University members of staff. The faculty member of the Institute or the department involved in consultancy are referred as consultants and the industry or private party or any other agency seeking consultancy is referred as the beneficiary.

3. General Principles of Consultancy:

- a. A consultancy work may be undertaken by the faculty members in their area of expertise.
- b. The consultancy services should be undertaken only with prior permission of the Institute.
- c. Consultancy should not interfere with the discharge of prime duties of the faculty- towards department and institute.
- d. In the context of consultancy services, the faculty should not directly or indirectly be associated with unethical or inappropriate activities.
- e. Consultant need to comply with rules of the institute in implementing the study.
- f. There should be proven benefit to the University from the consultancy services provided by the faculty through increased revenue, enhanced reputation, and/or broadening of expertise of the staff member.
- g. Consultancy services should not be in conflict with the interest of the Institute. Faculty should disclose conflict of interest before starting the study.
- h. Guidelines framed by the institute will be applicable for revenue sharing and reimbursement of other costs by consultant if any.

4. Benefits of the Consultancy Policy:

- a. Consultancy policy will help in smooth conduct of research / consultancy services as per university / institute guidelines.
- b. Help to streamline the activities related to consultancy by faculty member.
- c. Bringing transparency in relation to working of faculty while performing consultancy, revenue sharing with the institute.

5. Rules for Consultancy:

- a. Before taking up the responsibility of research consultancy, faculty should inform the university through institute head.
- b. Consultants can have other staff members of the university on the project to assist him.
- c. Lab technicians and students are also permitted to work with consultant on project. Involvement of students must be informed to head of the respective institutes.
- d. Consultant should have the permission of the university to make use of institute resources.
- e. Consultant must inform the university through their institute head about the need for assistance from the university in advance.
- f. All purchases for the consultancy project shall be made as per University norms.

6. Types of Consultancy

Clinical trials

Consultant can undertake consultancy to implement studies funded by national and overseas agencies. In executing such projects use of university property need to be reimbursed from the project funds, adhering to the funding agency guidelines. This need to be communicated to university through head of the institution. Other staff members can also work on the project along with the consultant. Salary of all staff will be paid by the grant, depending on their role. Certain percentages of salary amount of faculty will be paid to university as per existing rule. University will also get certain percentage of total grant amount depending on funding agencies as indirects.

Vaccine / Drug trial

Faculty can take up the consultancy to implement vaccine / drug trials sponsored by pharmaceutical companies. Tripartite clinical trial agreement should be executed before initiation of the trial. Trial agreement should have details of the budget to be sent for implementing the study. Consultants need to include institutional share in the final budget which need to be paid to the institution as per milestones. Consultant is responsible for payment of salary to staff working on the project. Subjects participating in the trial will be paid for their travel, loss of wages as per clinical trial agreement.

7. Revenue Sharing*

- a. For clinical trials, 20% of the salary paid to the university faculty and indirects as per funding agency will be shared with the university / institute.
- b. For vaccine / drug trial it will be institutional share as fixed by the institute and this percentage is applicable to certain components of the budget as per sponsor.

*Include taxes as applicable

8. Conflict of Interest and Intellectual Property

- Engagement in consultancies must not create a conflict of interest, perceived or actual.
- Any conflict of interest, actual or perceived must be reported to the relevant University Officer for resolution.
- A conflict of interest may arise where an employee engages in consultancies at the expense of the University's interests or the interests of other employees or students.
- An example of a potential conflict of interest includes, but is not limited to:
 - o financial or non-financial interests; teaching or course work for another institution;
 - o work performed for a supplier of goods or services to the University; or
 - o work undertaken with an organization to which the University supplies goods or services.
- Any intellectual property arising from any Research and Non-research Consultancies will be governed by the Intellectual Property Policy of the university.
- The consultancy agreement must contain the clause on treatment of Intellectual Property Rights to avoid any dispute later.

Annexure-1

Project Details

**To be submitted by the Consultant (Principal Investigator)
to the University through the head of the Institution.**

Sl.No	Particulars	Cost
1.	Name of the Consultant:	
2.	Name of the beneficiary:	
3.	Title of the project:	
4.	Type of consultancy:	
5.	Duration of the project:	
6.	Cost for using university resources:	
7.	Budget (details need to be provided as per clinical trial agreement / sub-contract)	
	Date: Signature of the Consultant	
	Remarks by Head of the Institute:	
	Date: Signature of Head of the Institute	

[illegible]

[illegible]





J N Medical College Campus, Nehru Nagar, Belagavi-590 010. Karnataka (INDIA).

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DEVELOPMENT PLAN OF THE UNIVERSITY WITH A LONG TERM PERSPECTIVE





Dr. Prabhakar Kore Hospital & MRC



KLES Dr. Prabhakar Kore Charitable Hospital, Belagavi

Learning is not attained by chance,
it must be sought for with ardor and diligence.
- Abigail Adams

“Knowledge is like a river – its nature is to flow.
The dharma of knowledge is to flow to all
corners of the world and nourish the cultures there.
We should never stem its flow and thereby turn
it into a stagnant pond”.
- AMMA



The Emblem of the University is a Philosophical statement in Symbolic.

• The Emblem...

A close look at the emblem reveals a pillar, a symbol of the 'Academy of Excellence' built on strong values and principles.

• The Palm & the Seven Stars ...

The Palm is the palm of the teacher – the hand that acts, promises and guides the students to reach for the Seven Stars.....

The Seven Stars signify the 'Saptarshi Dnyamandal', the Great Bear – a constellation made of seven stars in the sky, each signifying a particular Knowledge Domain. Our culture says – The True objective of human birth is to Master these Knowledge Domains.

The Seven Stars also represent the Saptarshis, the founders of KLE Society whose selfless service and intense desire for 'Dnyana Dasoha' laid the foundation for creating the knowledge kingdom called KLE Society.

Hence, another significance of the raised Palm is our tribute to these great Souls for making this University a possibility.

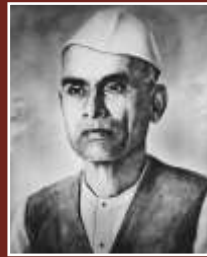
• Empowering Professionals....

'Empowering Professionals', the inscription at the base of the Emblem conveys that our Organisation with its strength, maturity and wisdom will forever strive to empower the students community to become globally competent professionals. It has been a guiding force for the many student generations in the past and will continue to inspire for the many to coming generations.

'SAPTARISHI' OUR FOUNDERS



Sri. B. B. Mamadapur



Sri. V. V. Patil



Shri S. S. Basvanal



Shri B. S. Hanchinal



Shri P. R. Chikodi



Shri M. S. Sakhare



Shri H. F. Kattimani

SPONSORING SOCIETY

KLE Society

(Established in 1916)

Board of Management 2016-17

Mahantesh S. Koujalgi

President

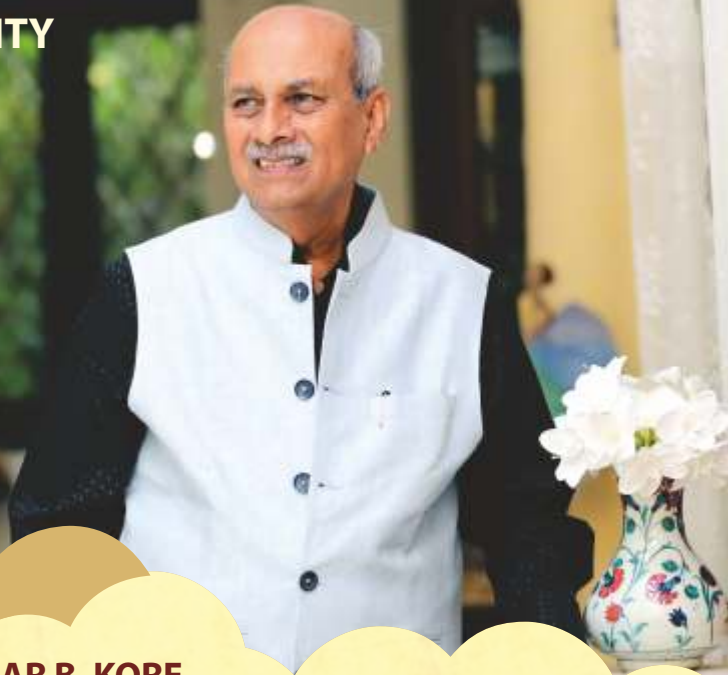
Shri Basavaraj S. Tatawati

Vice-President

MEMBERS OF THE BOARD OF MANAGEMENT

Sl.No.	Name	Designation
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15	Dr. Preeti K. Doddwad	Member
	Dr. B. G. Desai	Secretary

KLE UNIVERSITY



SHRI. PRABHAKAR B. KORE

Chancellor KAHER &
Chairman, KLE Society

MEMBERS OF THE BOARD OF MANAGEMENT

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Member Secretary - Dr. V. A. Kothiwale

Special - invitees

Dr. Sunil Jalalpure
Dr. N. S. Mahantashetti
Dr Alka Kale

BROAD INDICATORS

- [I] A RARE VISIONARY EFFORT
- [II] OUR VISION
- [III] OUR MISSION
- [IV] SWOT ANALYSIS
- [V] PRIMARY QUALITY OBJECTIVES

MASTER PLAN FOR ACCOMPLISHMENT OF TARGETED GOALS BY 2030

A RARE VISIONARY EFFORT

In 1916, a dedicated group of teachers popularly known as “SAPTARSHIS” embarked upon a dream vision – to create a strong education base in the neglected areas of Karnataka and Maharashtra. Over the past 90 years, the KLE Society has blazed a trail and set an unparalleled example in education and service in the South India.

Today, the KLE society runs over 285 institutions in the areas of healthcare delivery and education, with manpower in excess of 7000. More than 70,000 students undergoing every possible course—from kindergarten to post-doctoral programmes in the faculties of Arts, Commerce, Science and professional courses such as Medicine, Engineering, Law, Pharmacy, Agriculture and Management, are all a part of this gigantic social phenomenon. Since inception, the aim of the KLE Society has been to set-up unmatched standards in the quality of education, thereby creating world- class professionals who are empowered to set standards of their own, in a global arena.

Realizing the magnitude of such a task, the sponsoring Society began its efforts a decade ago under the dynamic leadership of Shri. Prabhakar Kore, Chairman, KLE Society to achieve the University status.

The KLE Academy of Higher Education & Research – Deemed University status had been accorded by the Ministry of Human Resource Development, on the advice of the University Grants Commission (vide their letter No. F.9-19/2000-U.3(A), dated 13-04-2006), with two constituent colleges: Jawahar Lal Nehru Medical College, Belagavi (Recognized by MCI) & KLE V K Institute of Dental Sciences, Belagavi (Recognized by DCI).

The Colleges of Pharmacy, (Belagavi, Bangalore and Hubli), Institute of Nursing Sciences, Belagavi ; Institute of Physiotherapy, Belagavi ; Shri B. M. Kankanwadi Ayurved Mahavidyalaya, Belagavi ; KLE Homeopathic Medical, Belagavi under the umbrella of the University, which will all bear the hallmark of excellence. New and exciting concepts such as an Institute of Public Health, Institute of Clinical Research and Basic Research Centre etc. have been added. The ultimate goal is to create a talent base that proves itself on a global level. Great emphasis is laid on the quality of the faculty, the moral and ethical standards and development of world-class infrastructure.

OUR VISION

“To be an outstanding University of excellence ever in pursuit of newer horizons to create self-reliant global citizens through assured quality education programmes.”

OUR MISSION

- To promote sustainable development of higher education consistent with statutory and regulatory requirements.
- To plan and continuously provide necessary infrastructure and learning resources required for quality education and innovations.
- To stimulate to extend the frontiers of knowledge, through faculty development and continuing education programmes.
- To make research a significant activity involving staff, students and society.
- To promote industry / organization, interaction / collaborations with regional, national and international bodies.
- To lay emphasis on society-oriented programmes in the areas of health and education with a common man as the focal point.
- To establish healthy systems for communication among all stakeholders for vision-oriented growth.

SWOT ANALYSIS (should this be included)

The dynamism of the Hon'ble Chancellor, Supportive Management, committed and experienced faculty members, disciplined cadre of the students and conducive environment for academic interaction are the prime strengths of the University. The impact of inadequate connectivity with mega cities of the country is negated by the learner-friendly set-up of the green campus and internationally acclaimed physicians and teachers.

The State-of-the-Art facility of the Superspeciality Hospital with 2000 beds under one roof provides excellent clinical material for health education. It also affords excellent opportunity for promoting medical tourism. The international collaborations for field trials of drugs and sound research base facilitate promotions of society-oriented R & D programs.

It is on the basis of this analysis, we venture to propose Primary Quality Objectives as well as long term goals for the University.

PRIMARY QUALITY OBJECTIVES

- To implement effectively programmes through creativity and innovation in teaching, learning and evaluation.
- To ensure that the academic, career and personal counselling are in- built into the system of curriculum delivery.
- To enhance reading and learning capabilities among faculty and students and inculcate sense of life-long learning.
- To incorporate themes to build values, civic responsibilities and sense of national integrity.
- To impart spirit of inquiry and scientific temperament among students through research-oriented activities.
- To promulgate process for effective, continuous and objective- oriented student performance evaluation.
- To ordinate periodic performance evaluation of the faculty.
- To develop holistic personality through innovative education which equips them with the required skills.
- To conduct need-based training programmes to polish the right edges.
- To provide adequate opportunity and platform for expression of individual potentials and groom diverse talent.
- To adopt and implement principles of participation, transparency and accountability in governance of academic and administrative activities.
- To constantly display sensitivity and respond to changing educational, social and community demands.
- To emphasize and encourage on working in teams resulting in the individual's growth.
- To strengthen, develop and implement staff and student welfare programmes.
- To promote public-private partnership.

MASTER PLAN FOR ACCOMPLISHMENT OF TARGETED GOALS BY 2020

PHASES OF MASTER PLAN FOR VISION- 2020

PHASE	NOMENCLATURE	YEARS
I	Short Term Goals	2020-2025
II	Long Term Goals	2026-2030

PHASE I – SHORT TERM GOALS

1. INFRASTRUCTURE

- Augmentation of existing infrastructure by 30%
- Trauma care will be upgraded to Advanced Trauma Care with interdepartmental integration and development of SOP / protocol for trauma and EMS.
- Expansion of infrastructure for maternal and child health research unit
- Development of FLIP and CLIP classroom facility.
- Enhance ICT facility to enable teaching / learning, administration and research
- Upgradation of all Departmental museums

LEARNING RESOURCES

A. Library :

- Creation and usage of specific e-resources (lectures, protocols, videos), e-content development.
- Central facility for Webinars/ Skype studio to be developed for knowledge exchange and teacher - student interactions.

B. Faculty :

- To further reduce the faculty: student ratio.
- Help faculty to further enhance the knowledge and skills
- Help teachers for capacity building
- Recruit the faculty for training in higher centers
- Appointment of foreign faculty from universities of global repute.
- New recruitments as per requirements.

A. Research facilities :

- To develop Tissue banking
- To develop Cell Repository
- Augmentation of molecular biology laboratory
- Develop additional Incubation Centre
- Collaboration with Universities of repute
- To collaborate with national and international institutes and renowned pharmaceutical industries
- To seek funding from national and international agencies
- Make research visible through publications & enhance publications in high impact journals
- Translation of research into National Health Policy.
- Collaborations with public sectors for public private partnership.

3. TEACHING HOSPITALS

- Addition of latest equipments for patient care
- Developing robotic surgical care

4. ACADEMICS

- International collaboration for strengthening existing courses.
- Post –doctoral programs in various faculty
- Twinning programmes & Bridge courses
- Fellowship programmes
- Elective courses & Credit courses
- Dual degree programmes
- Integrated Medicine
- Ayur- paramedics & technical training
- Web based courses
- Bachelor of Prosthetic and Orthotic engineering (BPOE)
- Doctor of Physiotherapy

5. Human Resource Development

- Identify and enroll international and national experts as adjunct / guest faculty for training of students and faculty, research interaction and academic development.
- Develop electronic data base on National coverage determinations (NCD), user friendly consultation software (UFC) and family folders

6. ACCREDITATIONS

- Sustain the Quality by self-analyses and periodic renewal of accreditations.
- Based on feedback of accreditation agencies, augment the existing facilities.
- Plan and prepare for international accreditation

PHASE II – LONG TERM GOALS

1. INFRASTRUCTURE

- Establishment of new University campus in 50 hectare of land identified at forest survey no.99 of Kakati village, Belagavi (lease period is under process). The following facilities will be considered :
 - a) New campus to cater to international and national students as per Thomas Jefferson University norms.
 - b) Establish a separate building for Allied Health Faculty.
 - c) Automated central food court facility for students & faculties (phasing out existing mess/ canteen facility).
 - d) Multistoried Automatic Parking facility.
- **Augmentation of other hospital facilities and services :-**
 - a) Micro vascular Surgery Unit.
 - b) Cosmetic Surgery Unit
 - c) Development of Bionic Eye (Retinal Chip)
 - d) Tele radiology to cater peripheral centres

1.Learning Resources

- Enhance ICT facility to enable teaching / learning
 - a) Procurement of interactive computer software for Virtual Dissection technique with display Units.
 - b) Fully digitalized open library system
 - c) Procurement of learning management system (LMS) tools, equipment and infrastructure.
 - d) Facility for development of mobile apps for health care.
 - e) Facility for Tele-presence for Teaching and Research
 - f) Central simulation center and skill lab for all Health Science Institutions.

2. Research Facilities

- To upgrade the research facilities by developing :-
 - a) Stem Cell and Genetic laboratories.
 - b) Incubation centres.
 - c) Phase I& II Clinical trials Unit with analytical laboratories.
 - d) Nano medicine laboratories.

3. Human Resource Development

- Motivate faculty (teaching and technical) for continues faculty development programmes
 - Promote faculty training in their specialization area at higher center of learning
- Establish Academic staff Development Center

4. Accreditations

- To be able to be enlisted among the Universities of top Global Ranking& to become 'Institute of Excellence'.



KLE Centenary Charitable Hospital &
MRC, Yallur Road, Belagavi



KLE Belgaum Cancer Hospital, Belagavi



KLE ACADEMY OF HIGHER EDUCATION AND RESEARCH, BELAGAVI

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INFORMATION AND COMMUNICATION TECHNOLOGY





KLE Institute of **NURSING** Sciences,
Belagavi (Estd-1987)



KLE College of **PHARMACY**,
Bengaluru (Estd-1992)

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PREAMBLE

INTRODUCTION

The KLE Academy of Higher Education and Research (deemed to be university) was established on 13th April, 2006, which is carved out of Karnataka Lingayat Education (KLE) Society. KLE is a byword in India's Educational spectrum. Its success story, of nearly ten decades, portrays the dedication with which millions of people worked selflessly in the making of the 'KLE'. The KLE Society has celebrated its centenary year with 246 institutions, 13,000 members of the trust, 1,10,262 students, and, 16,000 faculty in the year 2016. KLE has reached enviable heights and has attained both National and International reputation under the visionary leadership of Chancellor, Dr. Prabhakar Kore. The University is also accredited with 'A' grade by the NAAC and has been placed in Category 'A' by the Ministry of Human Resource Development, Government of India. It is one of the few deemed Universities to have both these unique distinctions. The KLE University is located in 100 acres campus that is meticulously planned. The University offers various Undergraduate, Postgraduate, Post-doctoral, Fellowship and Certificate programs in the faculties of Medicine, Dentistry, Pharmacy, Ayurveda, Homeopathy, Physiotherapy and Nursing. The campus is very rich and vibrant in terms of a highly impressive infrastructure, renowned and highly experienced teaching faculty, state of the art teaching hospital and medical research center, with 2,200 beds and top notch diagnostic facilities under one roof. The Wi-Fi and digital library, e-learning and other facilities are at par with best campuses of the country and abroad. Another milestone achieved is the collaboration with Med RC and establishment of Smart Teach Server for students to access the high quality E-curricular content so that students can learn at their own pace & as supplementary measure to the excellent classroom teaching. Department of Public Health, Clinical Research, Allied Health Sciences and School of Music. University in the short span of its existence has started many need based fellowship programs in various specialties and Ph.D programs in health facilities and inter disciplinary research.

Information and Communication Technology (ICT) is an umbrella term that encompasses various communication technologies such as internet and other digital media which facilitate access to information and knowledge. The Information and Communication Technology Policy (ICT Policy) is an expression of broad intent and plan of action to putting ICT to use effectively in all university activities. The KAHER is committed and deeply engaged in the application of ICT to enhance administrative efficiency to optimize learning experiences and innovations.

The Department of Information Technology is an active and effective component of KLE Academy of Higher Education and Research since its inception of the year 2006. With increasing demands of the Digital Mode in Academics and Research, the university established IT department with 13 experienced IT Professionals with upgraded services. Currently, the department provides best infrastructure and resources in the following sections:

1. Learning Student Management(LMS): are powerful tools for the organization and presentation of curricular learning materials, for monitoring of student and faculty member's performance, and for overall quality control.
2. Paper Less Examination Modules: This is one of the reforms in Examination System in KLE Academy of Higher Education and Research. The usage of Information Technology has made the examination process secure, robust, student –friendly and infallible. This also included the online payment gateways for exam fee.
3. Human Resource Management System (HRMS): Human resources are one of three principle health system inputs, with the other two major inputs being physical capital and consumables. The performance and the benefits the system depend largely upon the knowledge, skills and motivation of those individuals responsible for delivering health services. The HRMS has proved to be an effective way of managing resources.
4. Finance Management Software: is an important component of the university. It has all necessary automations as per the guidelines.
5. All maintenance process is done by Ticket Raising System. This also provides facility to register online complaints of maintenance services.
6. The university website is maintained through Content Management System.

The Department also developed in-house software's to manage the daily activities of the university viz; Inward-Outward Department, Online Help Desk, maintenance of Wi-Fi Services and monitoring activities in the campus via CCTV, arranging quality video conferences, logistic support to CMEs / Seminars / meetings etc.

All the lecture theatres, lecture halls, seminar rooms and auditorium are equipped with LCD projectors. Laptops are extensively used by the faculty for computer aided training.

The campus is completely enabled with Wi-Fi Services with band width of 310 Mbps. About 6000 users are availing this facility with access control. The login credentials have been provided to all users.

The domain of ICT is an evolving one. Considering the frequency of technology updation and obsolescence, the University reviews and updates its ICT Policy every three years. For this the University have a formal setup as follows

- The ICT Center is headed by a senior technical professional.
- The support staff of the ICT Center will have expertise in ICT related fields such as network administration, data center administration, web site design and LMS management etc.
- Each constituent institution will have an ICT coordinator to liaison with the ICT Center.
- The University will constitute an ICT Advisory Council under the chairmanship of the Vice-Chancellor, and some heads of constituent institutions and ICT experts from the field as members.

- A document, describing the available ICT services and their possible use, will be circulated periodically to all concerned. centre

Objectives of the ICT Policy

- To Increase the accessibility of the KAHER to the present and prospective stakeholders and empowering them through enhanced access to information and quality services while improving governance through the use of ICT.
- To facilitate effective communication for the learning enrichment and student engagement thorough ICT enabled environment.
- To promote and strengthen Information Technology Services across the University by providing assistance in setting up quality It infrastructure.
- To create world class ICT infrastructure for impeccably connecting and integrating all ICT Service Providers and End Users at the KAHER
- To strength teaching, learning and evaluation system and bridging the gaps
- To develop international linkages with a view to facilitate participation in national, regional and international networks strengthening teaching, learning and research in the University.
- To use appropriate technological systems to improve communication and interaction between University office and its Constituent Institutions

Scope of the ICT Policy:

- This policy applies to people, denoted as 'users' in this Policy, using the University ICT Resources including:
 - o Students enrolled at the various constitute units of the University
 - o Permanent staff employed by the University
 - o Temporary, casual or agency staff working for, or on behalf of, the University
 - o Contractors, consultants and suppliers working for, or on behalf of, the University
 - o Visitors to the University.
- This policy applies to ICT resources and systems made-available to the users, by or on behalf of, the University including:
 - o Personal computers, laptops and terminals;
 - o Peripherals e.g. printers, copiers, scanners and multimedia devices;
 - o Mobile devices e.g. smart phones and tablets;
 - o Networks with wired, wireless, dialup and/or internet connections;
 - o Internet services e.g. world wide web, blogs and wikis;
 - o Email and other messaging, social networking or collaboration services such as blogs, chats and forums;
 - o Applications of t ware, services and databases;
 - o Removable media including CDs, DVDs and memory sticks

- The following are the different modes provided under ICT Policy for better learning.

Audio-based models	<ul style="list-style-type: none"> • Broad cast: IRI • Narrow cast: IAI (via audio tape or Cds) • Two-way radio • Audio conferencing and telephone • Broadcast radio
Televisual models	<ul style="list-style-type: none"> • Broadcast television (educational and instructional) • Videoconferencing • Video Computer-based multimedia models • Interactive video (disc and tape) • CD-ROMs • Digital videodiscs (DVDs/VCDs) • Interactive multimedia
Web-based models	<ul style="list-style-type: none"> • Computer-mediated communication • Internet-based access to World Wide Web resources • Online courses (e-learning) • Online conferences (webcasts and webinars) • Virtual classes/schools (cyber schools) and universities
Mobile models	<ul style="list-style-type: none"> • Hand-held devices • Portable media players (podcasting) • Cell phones and smart phones • Tablets • E-readers

Guiding Principles for ICT Application

KAHER provided an ICT Application is an ICT resource (hardware, software, or a digital resource) to all its users to:

- Encourages contact between students and faculty
- Develops reciprocity and cooperation among students
- Encourages active learning
- Gives prompt feedback
- Emphasizes time on task
- Communicates high expectations
- Respects diverse talents and ways of learning

The following are guiding principles for ICT Applications

- **Access:** Provide unrestricted access to teaching, learning and research information to its stakeholders using ICT and also access to University services to stakeholders through ICT.
- **Economy:** Application ICT to improve economy in the practice of the University. The University will use ICT to reduce operation costs and improve teaching, learning and research quality.
- **Efficiency and Effectiveness:** Use ICT with a view to increase University's efficiency in delivery of services and improve effectiveness in achieving the expected results of the University.
- **Relevance:** Improve relevance of the learning experiences of the students at the University, and continuously use and adopt relevant ICT for the University.
- **Transparency:** Use ICT to foster openness in University system management and delivery of services to the stakeholders.
- **Privacy:** Use of ICT within the University to protect individual privacy as per the applicable law.
- **Accountability:** ICT application in the University shall improve accountability of the system for its operation.
- **Sustainability:** Reduce the costs of ICT related energy consumption as well as promote the sustainability of ICT solutions and sustainability through the application of ICT.
- **Learner Centered:** Provide ICT tools that empower the students and enable them to be responsible for their own learning.
- **Pedagogy Driven:** Develop ICT resources that would support subject and course specific pedagogical innovations and create new learning experiences in classroom practices.
- **Quality Assurance:** Integrate quality assurance strategies and their continuous development into ICT processes and services.

ICT Application

The following is a description of areas where ICT resources may be developed and made available to stakeholders for their efficient use.

- a) **Admissions:** ICT has enabled the KAHER to ensure effectiveness, efficiency and transparency of the admission process. The following processes are involved during admissions of the candidates to the university:
 - Publication of admission related information over the Internet for better reach and visibility
 - Provide online registration facility for prospective students
 - Maintain a follow up and help prospective students through online support system and FAQs

- Conduction of Entrance Tests for admission to University programmes
 - Allocation of Seats depending upon merits in different courses and disciplines
- b) **Human Resources:** To manage Human resources IT department has procured Human Resource Management Software (HRMS), TCS.
- This software allows the individual faculty to maintain their academic, research and clinical growth and profile on regular basis after generation of employer registration ID from IT Department.
 - The leave is sanctioned via the KAHER after applying through this portal.
 - Support the non-teaching staff by standardizing routine administrative activities, and automating their process flow
 - Provide advance learning and up-gradation opportunities to the teaching staff through online training programmes and support
 - It also provides DASH board with key parameters and controls for all role on the systems including Principal, HOD and University officials.
- c) **Teaching and Learning:** The use of ICT to provide support to the teaching and learning process has become an ingrained activity in educational institutions.
- A major benefit of ICT for the teachers is that they can make their classroom teaching more effective with the help of various ICT modules.
 - The students are also benefited due to possibilities for interaction beyond the classroom through ICT. KAHER has procured CONTINEO software wherein academic calendar is being uploaded on regular basis for all the courses.
 - The timetable based contact hours tracking for every faculty is done regularly. It also helps to track the punctuality of faculty attendance.
 - OBE Based Internal Assessment is entered by individual faculty and IA marks are tracked and monitored at regular basis. This enables the faculty to identify the slow learners and help them to plan the remedial measures.
 - ICT also enables LDPR i.e Linked Data Platform for portion coverage assessment for each faculty and courses. This helps to understand the progress and timely completion of syllabus as per calendar of events in each discipline.
 - ICT enabled environment also encourage teachers to develop digital learning resources of their own by using another software IMPARTUS Lecture Capture System. This provides a facility of automatic recording of complete classroom experience.
 - Facilitates accessibility to secured videos from the portal. The digital resources may include documents, presentations, animations, audio recordings and video clips.

- Facilitate a platform for collaborative learning, content sharing, advanced search and analysis.
- Creates appropriate online learning space through Learning Management System (LMS) to share the learning modules created by the teachers. Through LMS students will have authorized access to relevant modules.
- Provides recorded sessions across the campuses through podcasts (for audio sessions) and webcasts (for video sessions).
- Facilitates synchronous and asynchronous communication channels amongst students for peer learning via GOTO meeting, ZOOM and GOOGLE MEET.
- Provides real time sessions across the campuses through webinars and virtual classrooms via GOTO WEBINAR, ZOOM and CISCO WEBEX.
- Allow online completion academic activities and submission of assignments, progress reports etc.
- Organize training on effective use of ICT for teaching and learning for every teacher. Such training may be organized within the University or faculty members may be deputed to attend external workshops.
- Provide training on effective use of ICT and social media in the University to the students.
- KAHER also procured TURNITIN Plagiarism software to evaluate all research outcomes of the students, post graduates and faculty members. In each college the core team has been trained for effective use of this software.
- KAHER has also procured the paid version of SPSS software for data analysis at Department of Bio-statistics and Epidemiology.

d) **Student Performance Evaluation:** Student performance evaluation is the most critical aspect of University system as the gatekeeper of academic quality and credibility of the organization. Use of ICT has improved administration of tests in both online and offline scenario. The objective of the student evaluation system using ICT includes providing an efficient mechanism to conduct examinations, improve transparency and credibility of the system, help declare the results error-free and in timely manner, and evaluate the students in a valid and reliable manner. The University undertakes a range of activities to support student evaluation through the use of ICT, but not limited to the following:

- Provide facilities for online registration for examinations, and share results online within a week's time.
- Students are informed about examination schedules and changes to schedules, if any, online.
- Create online systems for internal assessment and integrate the same with final student examination.

- Encourage teachers to use online testing system to be provided by the University for internal assessment.
 - Provide feedback to students on their performance on a regular basis, on-line.
 - Create question banks and share them through are pository.
 - Use ICT for improving the credibility of the examination by putting practices in place to check impersonation and other malpractices.
 - Use ICT to analyses evaluation data for preparing reports on student performance, evaluator performance etc.
- e) **Student Support:** A support mechanism helps the students to excel and achieve their full potential. The traditional student support systems is supplemented with ICT to increase its scalability and availability. The University undertakes a range of activities to support students through use of ICT:
- Online support is required to drive University's centralized training and placement activity. It integrates placement related services at University level, while providing institute-level programme-specific services to students through the activities such as Placement training, Placement related activities and management of students' portfolios.
 - Continuous strategic contacts can be maintained with alumni through the use of ICT. An exhaustive alumni database is prepared and made available to all the constituent institutions for use.
 - ICT is used to provide various supplementary skills to students including soft skills, personality development. A blended learning approach is adopted to facilitate online learning of such skills.
 - Facilitates the data mining on learning analytics for student support. ICT is used to provide required information regarding hostel accommodation and to handle related complaints and feedbacks.
 - ICT is used to encourage students to actively participate in extracurricular activities. Individual student participation in these events is recorded and made a part of their individual portfolios.
- f) **Administration:** Apart from research and teaching, a major application of ICT is in administration of the University. It endeavors to connect all its Constituent Institutions to the University network and provide the services in a phased manner. It has developed a strategic plan to provide access to its key resources to all its students and teachers. The University undertakes a range of activities to support administration through use of ICT:
- Provides a communication channel between University and its constituent institutions for information exchange
 - Standardize and automate the activities involved in academic administration for class and course management.
 - Standardize and automate the administrative processes of the

- University and its constituent institutions through an integrated system. The stakeholders can access the required information through personalized dashboards
- KAHER has a online gateway platform for smooth transaction of payment portals and receipt of fee
 - Automates the generation of various compliance reports
 - Provides need based automation support to University's staff to perform specific tasks
 - Promotes the use of office computing to support general office tasks.
- g. **Quality Assurance:** The University undertakes a range of activities to support quality assurance through the use of ICT:
- ICT helps to improve the quality of administration and bring in transparency in the related processes through automated systems at regular intervals.
 - ICT is used to facilitated at a mining on learning analytics of students for programme improvements ; to encourage co operation amongst teachers; to standardize study material across the campuses through learning modules and LMS; and like.
 - The University enhances the transparency in evaluation processes and the quality of evaluation through the use of ICT for collaboratively preparing question banks, developing automatic question paper generation systems, conducting online examinations wherever feasible, and for providing timely feedback to students etc.
 - ICT is used for the quality assurance initiatives which are needed to be support by apt mechanisms for online feedback from various stakeholders and its analysis using ICT.
 - Databases of teachers and domain-experts are maintained and made available to constituent institutions as per their teaching, evaluation and research requirements.
- h. **Student Parent Communication:** The ICT feature enables effective communication between parent and students through web portal. Typical Information include, attendance, exam results, internal assessments, timetables and calendar of events. The Absent intimation of the students is made available through the SMS facility to parents.

ICT Infrastructure and Maintenance

ICT Infrastructure

KAHER ensures the integrity, security and availability of ICT enabled environment to promote academic freedom and free exchange of ideas among its peers. The following are the guidelines:

- ICT systems and infrastructure is managed by the University's ICT Center.

- University creates adequate budgetary provision for maintenance of the ICT infrastructure and to implement this Policy.
- KAHER ensures and provides the appropriate security, antivirus and password management systems.
- Wherever possible, the University is using Open Source applications for providing services and reduce the total cost of running the ICT infrastructure.

ICT Maintenance

- Attempt to access computers for which the concerned individual is not authorized
- Unauthorized access to another user's files
- Attempting to circumvent Network Access Control, including by-passing proxies and firewalls
- Monitoring or interception of network traffic without permission
- Probing for the security weaknesses of systems by methods such as port scanning, password cracking, without permission
- Unauthorized extension or re transmission of network traffic including the installation of unauthorized wireless access points, routers or switches
- Unauthorized reselling of University's ICT Systems and Services
- Unauthorized modification of university's data
- Using the network to break into other networks
- Creation, retention, downloading or transmission of any offensive, obscene or indecent images or data, or any data capable of being resolved into obscene or indecent images or material
- Infringement of Intellectual property rights including copyright, trademark, patent, design and moral rights.
- Sending electronic mail that purports to come from an individual other than the person actually sending the message using, for example, a forged address
- Deliberate unauthorized access to networked resources, local or remote
- Deliberate activities that may result in either wasting of support staff time in support of systems or corrupting or destroying other users data violating the privacy of other users
- Download, installation and use of unlicensed software on the University network and computers
- Any activity which comes within the purview of cyber laws of the land.

Maintenance of physical infrastructure

- All the constituent units and offices are required to define an 'owner' of each piece (e.g. a computer, laptop, printer in an office) or group (say in a computer lab or server room) of equipment and that individual shall take the responsibility of ensuring its security

- All backbone equipment (except that housed within units) are the responsibility of ICT Center.
- All the students and staff required to identify themselves (either physically or electronically) for access to any common University computing facilities
- Only authorized staff are permitted to open computer or related systems
- Students and other staff shall not tamper with any components of computer systems for whatever reason beyond what is required to carry out the basic user services
- No computer equipment and related access or use be carried out of the computer labs without explicit permission from an authority
- The heads of the constituent units and sectional heads in the University shall maintain ICT asset registers in order to monitor and track the assets.

Data Security Guidelines

The purpose of the guidelines is to identify and disseminate the framework and principles that guide institutional actions and operations in generating and sharing data and information.

User Responsibilities:

- All University data is stored on centrally maintained corporate networked disc storage. In the event that such data is stored on user desktops, laptops and other mobile devices, it is the responsibility of the user to ensure its security, confidentiality and integrity with regular backup, password protection etc.
- All access to data stored in the central databases must be through standard interfaces provided for by the various information systems. Any attempt to gain access through any other means other than those sanctioned by the university constitutes security breach.
- Requests for access to all administrative data and the central systems in general need to be authorized by the relevant Data Owner after recommendation by the head of constituent institution or the section head.
- In the event that confidential information is protected by technical security mechanisms (physical or electronic) using passwords etc. and these mechanisms fail or are absent, users themselves are obliged to protect confidential information from public access.

Technical staff Responsibilities

- All University data residing on the central network storage must be kept backed up on a regular basis.
- Frequency of backup needs to be determined by the frequency with which the data changes and the effort required to recreate the information if lost.

- Backup must be tested periodically to ensure that they support full system recovery. All restore procedures must be properly documented and tested on a regular basis, at least annually. Backup media must be stored in an off-site location and retrievable within 24 hours, 365 days a year.
- Data owners in their role as custodians of University data are responsible for defining and documenting the length of time during which data must be retained.

Web content publishing:

- The web content publishing guidelines facilitate usability and consistency.
- Each constituent institution, unit, department, forum, and office, while having its own agenda, as a part of the whole, needs to be clearly identified with the University brand.

Avoid redundancy:

- Constituent institutions should not repeat static information maintained elsewhere by the University.
- Instead their websites should provide link to that specific University information.
- Redundant information, especially different published versions, often causes confusion among the audience and there may be severe consequences if incorrect information is posted.
- The University controlled sites must be registered according to the guidelines
- Individual units at the University are responsible for the content on all of their Web pages
- Content must be continuously updated. It will follow all sections of this policy, as well as national laws and codes
- No official unit may go outside the University Web structure and represent itself on another Web server or domain without written approval from the University

Copyright:

- All University Web pages should follow copy right laws
- Publishers of content must obtain permission from copyright holders to use text, photos, graphics, sounds, or movies to which the University does not hold copyrights.

Capacity Building

- For the ICT Center staff to perform effectively and efficiently, there are regular trainings to enhance skills of the staff so that they can meet the changing needs of the users.
- One faculty member from each constituent institution is nominated as ICT Coordinator. ICT Coordinators acts as liaison officers between ICT Center of the University and respective constituent institutions.

- Provides technical training, on efficient use of ICT services, to all teaching and non-teaching staff from all constituent institutions.
- Provides training to the faculty on content development and to develop e-learning modules.
- Provides functional training to all teaching and non-teaching staff to improve their ICT competency.
- Train researchers on University's ICT Eco system for Research to enable them to use ICT in their research process.
- Train all the faculty members in the use of ICT for administration and for teaching and learning purposes.
- Train at least one staff members from each of the constituent institutions in software, hardware and network maintenance

Disaster recovery (DR) plan

The University has established a disaster recovery planning capability which develops and maintains coordinated plans, procedures and technical measures that enables essential systems to be recover following a disaster and provides assurance that these plans, procedures and measures are effective. A frame work for disaster recovery is considered as the following.

- The University develops Standards for DR Planning based on generally accepted good practices.
- The University established a DR team to implement continual improvement of the DR planning capacity, the DR Plans and Standards.
- The DR Plans are peer-reviewed every two years and to follow any significant change to the architecture.
- The DR Plans is regularly audited for its compliance with the Standards.
- Recovery capabilities and plans are tested every two years in accordance with the Standards.
- The University identifies capability and capacity measures designed to mitigate the consequences of a disaster.
- The University acquires and maintains resources necessary to ensure viability of the DR procedures.
- Compliance of the DR Plans with the Standards is reported through the Director, ICT Center. The Director, ICT Center shall ensure that this Policy is regularly reviewed.

NOTES



KLE Institute of **PHYSIOTHERAPY**,
Belagavi (Estd-1994)



KLE **HOMEOPATHIC MEDICAL**
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KLE ACADEMY OF HIGHER EDUCATION AND RESEARCH, BELAGAVI

(Deemed-to-be-University)

[Established under Section 3 of the UGC Act, 1956 vide MHRD

G.O.I Notification No.F.9-19/2000-U.3(A)]

Accredited 'A' Grade by NAAC (2nd Cycle)

Placed in Category 'A' by MHRD (GoI)



INTELLECTUAL PROPERTY RIGHTS POLICY



The University

The KLE ACADEMY OF HIGHER EDUCATION & RESEARCH (KAHER) was established on 13th April, 2006 as per the Ministry of Human Resource Development, Government of India under the recommendation of University Grants Commission. The sponsoring society "The KLE Society" celebrating its centenary was established on 13th of November 1916 by "Seven Dedicated Teachers —The Saptarishis" and has under its wing 250 institutions spread across Karnataka, Maharashtra, Goa, Delhi etc.

In a short span of time the University has firmly established itself as a centre of excellence in terms of medical education, research and health care services at the national and international level. The University offers various undergraduate, postgraduate, post-doctoral, fellowship and certificate programs in the faculties of Medicine, Dentistry, Pharmacy, Ayurveda, Physiotherapy and Nursing.

In terms of infrastructure the University has excellent teaching facility, state of the art teaching hospital and medical research centre having 2400 beds, basic science research centre spread over an area of 10,000sq.ft., Wi-Fi facility all over the campus, digital library and other facilities on par with premier institutes of national and international repute. Facilities like bank, post-office, pharmacy, gym, swimming pool, indoor stadium, cafe, department store, travel booking, etc. are provided in the campus itself. Calendar of events delineating the date of examination schedule and other important curricular events are provided to every student at the beginning of academic session thus enabling the students to plan and pace their studies well in advance.

The Department of Allied Courses was established in 2007. There is expected to be a tremendous demand for allied health professionals in the years to come because of the phenomenal growth in the healthcare industry. In view of this, KAHER offers a range of allied courses in the form of undergraduate, postgraduate, fellowship, diploma, postgraduate diploma and certificate courses.



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INTELLECTUAL PROPERTY RIGHTS POLICY

1. PREAMBLE:

- KLE University, Belagavi aspires to be a centre of excellence in Medical Education, Research, and HealthCare services at the national and international level. KLE University inspires, instigate, promotes and armours scientific investigations, innovations and research. The IPR policy of KLE University bestows guidelines for making inventions and discoveries available to the general public in the interest of the nation at large.
- The University recognizes that the research, teaching and healthcare missions always take precedence. The University encourages the innovations and development of technology emerging out of research, and facilitates the transfer of such technology for the use and benefit of the public at large with due credit to the University and the inventor/Creator.
- Thus the policy aims to set forth guidelines for ownership of IP developed at KLE University, Belagavi by KLE University Personnel, those directly or indirectly associated with KLE University, Belagavi, either in house or outsource.

2. OBJECTIVES

The objectives of this policy document are as given below:

1. To foster, stimulate and encourage creative activities in the widest sense in all the areas in which academic, consultancy and research programmes are offered by KLE University, Belagavi.
2. To protect the legitimate interest of faculty / scholars / students of KLE University, Belagavi, and to avoid as far as possible conflict of interests.
3. Provide an organizational structure and procedures through which inventions and discoveries made in the course of University research may be made readily available to the public through channels of commerce.
4. Establish standards for determining the rights and obligations of the University, creators of intellectual property (e.g., inventors, developers, authors) and their sponsors with respect to inventions, discoveries and works created at the University.
5. Enhance the reputation of the University as an academic research institution and a member of society by pursuing the highest ideals of scholarship and teaching and by conferring the benefits of that scholarship and teaching on the University community and society.

The variety of intellectual property and the mechanisms for the transfer of technology are vast, and it is not possible to address all of the possibilities in this Policy. The goal of the University is intellectual property for society's use and benefit while generating income to support research and education.

The University shall require as a condition of employment that all University faculty and staff agree in writing to recognize and adhere to this Policy. Students and others working on research projects at the University requiring University assistance or utilization of University facilities will be required to agree in writing to recognize and adhere to this policy.

3. DEFINITIONS

Assignment:

Means the transfer of rights or title in the Intellectual Property in writing.

University:

Shall refer to KLE University established under the UGC Act of 1956

Inventors/ Creator(s):

Means the faculty, staff, and other persons employed by the University whether full or part-time; visiting faculty and researchers; and any other persons, including students, who create intellectual property using University resources.

Non-Disclosure Agreement

Means an agreement between disclosing and recipient parties, or a term in a Research Contract or License Agreement.

Educational Resources

Means the content and associated tools and technologies for delivery of content, including materials developed for traditional "face to face" classroom courses, as well as other delivery methods such as Internet web-based delivery or other distance learning media. For the purposes of this Policy, Educational Materials do not normally include works such as textbooks, articles, papers, scholarly monographs, or artistic works produced in the normal course of academic scholarship.

Invention Disclosure

Means a written description of an invention that is confidentially made by the inventor to the University.

Intellectual Property

Intellectual Property shall include Patents, Trademarks, Copyrights, Trade Secrets and other species such as computer software or printed material, any new and useful process, machine, composition of matter, life form, article of manufacture, software, copyrighted work, such things as new or improved devices, circuits, chemical compounds, drugs, genetically engineered biological organisms, data sets, software, musical processes, or unique and innovative uses of existing inventions. For the purposes of these Ordinances Intellectual Property may or may not be patentable or copyrightable.

Publication

Means a public enabling disclosure of an Invention, and may be verbal or printed. Printed publications include abstracts, student theses and, in certain instances, grant proposals.

Patent and Patentable material

Patent and Patentable materials are as defined in Indian Patent Act. These include discoveries and inventions of new products and process.

Copyright

Copyright and Copyrightable materials are as defined in the Indian Copyright Act.

Substantial use of University facilities or resources

Means the regular utilization of University facilities, equipment, personnel or other resources owned by the University.

University Research

Means any research or development activity which is undertaken by the University, or which is related to duties and responsibilities for which a person is compensated by the University, or which is conducted with substantial use of University facilities, or resources.

University Resources

Means all tangible resources provided by University to Creators, including office, lab, and equipment; computer hardware, software, support; secretarial service; research, teaching, and lab assistants; supplies; utilities; funding for research and teaching activities, travel; and other funding or reimbursement

4. PURVIEW OF THE POLICY

These Regulations governing Intellectual Property Policy relate to faculty, staff, graduate students, post-doctoral fellows, and non-employees (including visiting faculty, affiliate and adjunct faculty, industrial personnel, fellows, etc.) who participate in research projects in the University.

All potential inventors who participate in a sponsored research project and/ or make use of University-sponsored resources should abide by this policy and should accept the principles of ownership of IP as stated in this policy unless an exception is approved in writing by the University.

No patentable invention /technology innovation / trademarks developed by them and others they should be working with, be disclosed to any other party. Any prior disclosure, directly or indirectly, either during the period of work or after its termination, should render them prosecutable as per laws that may be in force at the time. Furthermore, no copyright material assigned by them to the KLE University should be reproduced by them beyond that which falls under fair use and they should retain only moral rights to this material.

5. OWNERSHIP CRITERIA OF INTELLECTUAL PROPERTY

The ownership criteria for various types of IPs developed by the Staff and students of KLE University should be determined as follows:

• Patents

A patent is owned by the assignee. If an employee makes an invention, the rights usually belong to the employer. This means that IP developed by the university researcher is owned by the university, with the researcher(s) named as inventor(s). The KLE University will be the sole owner/assignee of the patent if the invention domain falls within the specialization of the inventors, depending upon the following conditions. If the invention domain falls out of the specialized areas of the inventor and involves no use of University resources, then the inventor will be the individual owner/assignee of the IP created, however, he/she will have to seek permission from the University before applying for the protection of the IP.

1. IP generated by an employee, a student/ researcher of the University or visiting professional should always be the property of the KLE University. The University will thus be the assignee while the researchers will be the inventors. Where a patent is applied for, the inventors should agree to maintain secrecy and confidentiality of all relevant details of IP until the patent application has been filed.

2. If a University employee or a student creates IP while working with another organization/industry/sponsor, where the latter claims IP rights, it should be jointly owned by the KLE University, Belagavi, and the organization/industry/ sponsor.

3. Where research has been sponsored by a private industry/ foundation or government agency and no prior agreement exists on sharing of IP, then licensing of patents and revenue sharing should be negotiated between the sponsor and the University before embarking on such research program.

4. Any IP generated as a work for hire will belong to the University.

5. Royalty accruing or any type of payment received from the commercialization of the University-owned IP should be shared between the University and the inventors vide policy guidelines of revenue sharing.

Copyrights

The University will not own the rights in copyrightable works such as books, articles, monographs, lectures, speeches, video presentations and other communications produced by the staff in the course of research and teaching without using University resources. Ownership of the copyright of all copyrightable work will be according to the following criteria:

i) The University would be the owner of the copyright of the work related to the area of specialization including software created by the University personnel with the use of University resources other than a literary work. If the work is not related to the domain area of the inventor and does not involve University resources, then the University will have no ownership right in the work.

ii) The University would be the owner of the copyright of all teaching materials developed by the University personnel as a part of any of the academic programs of the University. However, the authors should have the right to use the material in her/his personal use.

iii) If the work is produced during the course of sponsored and/or collaborative activity, specific provisions related to IP, made in contracts governing such activity, should determine the ownership of IP.

iv) The student and his/her supervisor(s) will jointly have the ownership of copyright in the thesis / dissertation / project report written by a student.

v) Any copyrightable work generated as a work for hire will belong to the University.

Software's, Designs, Integrated Circuit Layouts and Other Creative Works

1. The University should be the owner of all software's, designs and integrated circuit layouts, created by a team of the University and non-University personnel associated with any activity of the University.

2. Software's, designs and integrated circuit layouts produced during the course of sponsored and / or collaborative activity, specific provisions related to IP made in the contracts governing the collaborative activities should determine the ownership of IP.

3. Software's, designs and integrated circuit layouts created by the University personnel without use of the University resources and not connected with the profession for which he/she is employed at the University should be owned by the inventor(s).

Sponsored research

1. Ownership of any IP that is made, discovered or created in the course of research funded by a sponsor pursuant to a grant or research agreement or which is subject to a material transfer agreement, confidentiality disclosure agreement or other legal obligation affecting ownership, will be governed by the terms of the grant or agreement, as approved by the institution, although normally the institution would claim ownership.

2. It would be mandatory for the Research Fellows/ Project Fellows/Research Associates/ equivalent persons hired in sponsored Research Projects to abide by various terms and conditions laid in KLE University IPR policy.

3. The IP generated from research projects sponsored by government/ non-government agencies will be owned by KLE University and the Sponsoring agency. The sponsoring agency will bear 50% of the protection cost or forgo the rights to the IP. In case the project was accepted by the Investigator/ University under terms different from that stated herein, the terms agreed to should prevail.
4. Where KLE University is a joint owner of the IP with one or more institutions or business entities and where income is shared between the participating entities, the patents are normally jointly owned by the participating institutions and the rights to use the invention along with the distribution of royalties among the institutions is generally negotiated after confidentiality disclosure of the invention, but before the patent application is filed.

Handling of thesis, term papers and research proposals submitted by students

1. The texts of all student thesis and dissertations and works derived from these are considered 'exempted scholarly works'. It is a requirement in academia that the supervising teacher and the student must own the copyright of the thesis, term papers and the research proposals which the students submit for the fulfillment of the requirements for an academic degree or diploma. However, the supervising teacher and the student will grant a non-exclusive, non-transferable, royalty-free license to the University for use of these, in the course of non-commercial academic activity.
2. The student and the supervisor will have to allow the University to make available the abstract of the thesis in both hard copy and electronic form keeping in the library record of the University. The University reserves the right of a non-exclusive license to make limited copies of the thesis in whole or in part and to loan such copies at the University's discretion to academic persons and bodies approved of from time to time by the University for Non-commercial Academic Use. All usage under this clause will be governed by the relevant fair use provisions laid down by the Indian Copyright Act, in force at the time of submission of the thesis.
3. The supervisor of the student submitting the thesis holds all rights in inventions, discoveries or rights of patent and / or similar property rights derived from the thesis wherever the thesis has been completed. If the author/supervisor wishes to file a patent based on the thesis, they will have to maintain confidentiality while the University will restrict access to the thesis for a limited period and will not disclose any part of thesis to any person(s) without written authorization from author for one year after the date of submission of the thesis or filing a patent, whichever is earlier.
4. If the student is employed to assist in the execution of a sponsored project or program, the IPRs in their contribution to that project will be governed by the terms of the contract between the student, supervisor, the University and the sponsoring agency of the project.

6. GENESIS OF INTELLECTUAL PROPERTY

Intellectual Property consisting of Patentable or Copyrightable material can be created in the University in the following ways:

- a) University undertaking an assignment either from an external agency or by its own decision to take up creation of a specific Copyrightable or Patentable material and assign a team of its researchers to accomplish it.
- b) Individual researchers or a team of researchers may develop copyrightable or patentable material during the course of their research or as a specific Project.
- c) An external funding agency, be it a Foundation, Trust, Industry, Commercial undertaking or a company may enter into a specific agreement with the University and research/team of researchers to develop some specific Copyrightable or Patentable material.

7. INTELLECTUAL PROPERTY CELL (IPC)

There shall be an Intellectual Property Cell (IPC) for the management of the intellectual property in which the university has share, technology transfer activities and for the implementation of the I.P. Policy.

Particular attention shall be made by the IPC for the preservation of intellectual property, management, budget, division of intellectual property income and the resolution of disputes. The IPC shall make recommendations to the Vice-Chancellor. The IPC shall consist of the following:

1. There shall be a Professor In-charge appointed by the Vice-Chancellor, who shall be the Head of IPC.
2. One Intellectual Property Attorney having experience in the field of intellectual property laws to be engaged by the University.
3. Deans of University Faculties
4. Legal Expert
5. Up to 5 other faculty nominated by the Vice-Chancellor.

The meeting of the IPC shall be convened by the Head of IPC from time to time. The term of the committee shall be three years. The IPC shall lay down its own procedure for conduct of its business. The University shall provide adequate support and secretarial staff headed by a Deputy Registrar for smooth functioning of the cell.

The responsibilities or the functions of the IPC shall include amongst other following:

- I. To assign management, utilization, licensing and protection of intellectual property in which university has a stake/share.
- II. Endeavour to negotiate and manage agreements to the best advantage of the creator and the University
- III. Provide all legal support as deemed necessary or desirable for the protection of University's intellectual property;
- IV. Prepare legal instruments necessary to realize the technology transfer objective.

- V. Provide legal and administrative support following such realization as needed; and Management of conflicts of interest, including negotiating agreements which are consistent with the Act and the Laws.

8. RESPONSIBILITIES OF THE UNIVERSITY

- i. Educate faculty members, staff and others regarding University's intellectual property.
- ii. Facilitate the transfer of such intellectual property for economic use and develop mechanisms within these statutes for the assignment and management of Intellectual Property.
- iii. Provide legal support as it deems necessary and desirable to defend and protect the interests of the University and the creators of the intellectual property against third party claims or unauthorized use.
- iv. To Share royalties, equity or other income derived from intellectual property in which University as stake/share holder.
- v. Report to research sponsors as required by research and Licensing agreements, and applicable laws and regulations in a timely manner.
- vi. Provide oversight of Intellectual Property management and technology transfer to ensure adherence to these Ordinances.
- vii. Take appropriate actions to protect the Intellectual Property in which university has stake/share. The University acknowledges the importance of transferring its Intellectual Property in an appropriate, timely and cost-effective manner. So as to maximize the value of the intellectual property for the creator/ funding agency if any and/or the University.

9. RESPONSIBILITIES OF THE INVENTORS OF INTELLECTUAL PROPERTY

The inventor of IP shall

- i. Timely and thorough disclosure of all invention, discoveries and other works that are patentable / copyrightable in which the university has share.
- ii. Retention of all records and documents that are necessary for the protection of the intellectual property.
- iii. Provide such assistance as may be necessary throughout the assignment process to protect and effectuate transfer of the intellectual property.
- iv. Abide by all commitments made in license, sponsored research and other agreements made in accordance with these regulations.
- v. Have the further responsibility to properly consider, disclose and manage any possible conflicts of interest arising from agreements to commercialize intellectual property. If multiple agreements exist, for example, when a company funds University research and also has a consulting arrangement with the creator, there may be conflicts created with respect to intellectual property rights. The creator should work with the IPC to resolve such conflicts.

Disclosure of Intellectual Property and Maintenance of Confidentiality

When the inventors believe that they have generated patentable or commercializable intellectual property using University-supported resources, they should report it promptly in writing along with relevant documents, data and information, to the University. In order to be patentable, an invention must be NOVEL, USEFUL and NOT OBVIOUS, based upon everything which was available at the time of the invention. Justify how your invention fulfils these criteria. Indicate the state of the Art of their invention considering what was already in existence (whether patented or not) before the invention. The information should be forwarded through the Chairman/ HOD and constitute the following:

10. TECHNOLOGY TRANSFER

The inventor(s) may contact potential licensee(s) by maintaining confidentiality and taking all necessary care so as not to affect the value of the IP through appropriate agreements such as Non-Disclosure Agreement (NDA) with the potential licensee(s) during technology marketing discussions.

COMMERCIALIZATION OF IP

The University will encourage the inventors to commercialize their intellectual property by organizing specific industry interactions for showcasing the inventions. In case a patent is to be applied for, the inventor should agree to maintain all relevant details of IP secret and confidential until the patent application has been filed. The University will also allow the inventors to commercialize their IP through third parties who may or may not be the joint inventors through the grant of exclusive/ non-exclusive licenses, or assign its ownership rights to third parties/ inventors safeguarding the interests, financial or otherwise, of the University.

11. REVENUE SHARING or SHARE OF THE UNIVERSITY, INVENTOR/CREATOR AND ASSISTANTS

1. When University is the Creator, the income from economic use of intellectual property will be shared amongst the University, Research Team members and Support Staff as 60%, 35% and 5% respectively.

2. When the Individual researcher or a team of researchers is the Creator and has used substantial University resources, the Revenue shall be shared amongst the individual researcher/, team of researchers, the University and Support Staff as 60%, 35% and 5% respectively.

3. When the creation is the result of funded research, the income from economic use to be received from the Institution funding the research will be on revenue sharing basis at the level determined in the agreement assigning economic use of intellectual property to that Institution when it is the economic user. In such cases the income shall be shared between the team of researchers, the University and support staff as 60%, 35% and 5% respectively.

4. When a Company, Industry or Commercial Undertaking other than Funding Institution is the economic user the income receivable from the economic user will be as provided in the licensing agreement with

that Company, Industry or Commercial Undertaking. Such income will be shared as 60%, 40% between the Funding Agency and the University. The University will distribute the income it so derives to itself, researcher/team of researchers and support staff as in the preceding para.

5. The shares as mentioned above shall be determined after deducting the direct expenses if any from the total income received by the University.

6. The creator(s) share would be declared annually and disbursement will be made to the creator(s) or their legal heir, whether or not the creators are associated with the University at the time disbursement.

7. Co-creators that is research team members of IP shall sign at the time of disclosure a Distribution of IP earnings agreement, which shall specify the percentage distribution of earnings from IP to each co-inventor. The co-owners of intellectual property may at any time by mutual consent revise the distribution of IP Earnings

12. DIPUTE RESOLUTION

In case of any conflict/ dispute/grievance between the University and the researchers/inventors/collaborators/sponsors regarding the ownership of IP, the implementation of the IP policy, the aggrieved party may appeal to the IPR Cell body. In case the appellant is not satisfied with the decision of the body, he/she can appeal to the Vice-Chancellor of KLE University, whose decision shall be final. Or Shall consist of one member appointed by the Vice-Chancellor, one member nominated by the other party(s) and the Dean Faculty of Law.

NOTES

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.





KLE ACADEMY OF HIGHER EDUCATION AND RESEARCH, BELAGAVI

(Deemed-to-be-University)

[Established under Section 3 of the UGC Act, 1956 vide MHRD

G.O.I Notification No.F.9-19/2000-U.3(A)]

Accredited 'A' Grade by NAAC (2nd Cycle)

Placed in Category 'A' by MHRD (GoI)



CODE OF ETHICS



The University

The KLE ACADEMY OF HIGHER EDUCATION & RESEARCH (KAHER) was established on 13th April, 2006 as per the Ministry of Human Resource Development, Government of India under the recommendation of University Grants Commission. The sponsoring society "The KLE Society" celebrating its centenary was established on 13th of November 1916 by "Seven Dedicated Teachers —The Saptarishis" and has under its wing 250 institutions spread across Karnataka, Maharashtra, Goa, Delhi etc.

In a short span of time the University has firmly established itself as a centre of excellence in terms of medical education, research and health care services at the national and international level. The University offers various undergraduate, postgraduate, post-doctoral, fellowship and certificate programs in the faculties of Medicine, Dentistry, Pharmacy, Ayurveda, Physiotherapy and Nursing.

In terms of infrastructure the University has excellent teaching facility, state of the art teaching hospital and medical research centre having 2400 beds, basic science research centre spread over an area of 10,000sq.ft., Wi-Fi facility all over the campus, digital library and other facilities on par with premier institutes of national and international repute. Facilities like bank, post-office, pharmacy, gym, swimming pool, indoor stadium, cafe, department store, travel booking, etc. are provided in the campus itself. Calendar of events delineating the date of examination schedule and other important curricular events are provided to every student at the beginning of academic session thus enabling the students to plan and pace their studies well in advance.

The Department of Allied Courses was established in 2007. There is expected to be a tremendous demand for allied health professionals in the years to come because of the phenomenal growth in the healthcare industry. In view of this, KAHER offers a range of allied courses in the form of undergraduate, postgraduate, fellowship, diploma, postgraduate diploma and certificate courses.



Code of Ethics

KLE Academy of Higher Education and Research (Deemed-to-be University)

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Code of Ethics

KLE Academy of Higher Education and Research (Deemed-to-be University)

1. Preamble:

The KLE Academy of Higher Education and Research (KAHER) is committed to promote and support quality research in an intellectually stimulating and inspirational environment to address the scientific challenges of today and the future. This Code of Ethics aims to encourage and support research for acquiring, investigating and developing knowledge for the good of society, and to confirm that, all research is conducted in accordance with ethical principles.

The enduring excellence in research that KAHER aspires for, is dependent on several attributes that include creativity, rigor, curiosity, persistence as well as on honesty, responsibility and ability for good communication and collaboration. Thus, intellect and integrity have to go together to maintain the credibility and reputation of the University's Research and repute of individual researchers. Hence it is the responsibility of every staff member and student to uphold the good reputation of the University and, consequently, it is expected that they will conduct research with integrity.

2. Definition of Research:

All investigations undertaken in order to acquire new knowledge and understanding will be defined as Research.

3. Purpose of Research:

- To enhance the knowledge related to human conditions while maintaining sensitivity to the Indian cultural, social and natural environment;
- Conducted under conditions such that no person or persons become mere means for the betterment of others and that human beings who are participating in any biomedical and/or health research or scientific experimentation shall be dealt with in a manner beneficial to and consistent with their dignity and well-being, under conditions of professional fair treatment and transparency;
- Shall be subjected to a system of evaluation at all stages of the research, such as design, conduct and reporting of the results thereof, and
- Must improve the health outcomes of the community both local and global.

4. Research Ethics:

- The ethical conduct of research is essential for those working in all disciplines, particularly for researchers in medicine and life sciences. Research should avoid causing harm, distress, anxiety, pain or any other negative feeling to participants.
- Participants should be fully informed about all relevant aspects of the research, before they agree to take part in it.
- As professionals, researchers practice the value intrinsic to the research profession, to seek greater knowledge and understanding, and as members of wider society, they are responsible for respecting the values of society, not to cause harm and consider the public interest.
- Innovation, creativity and freedom of academic enquiry and expression are enshrined both by law and for the need to ensure openness and respect in relations within our community. Provided that these requirements are met, the University will support staff and students seeking to publicize the results of research and scholarship that has been carried out as a part of their roles within the University. The University expects staff and students to share its values and requires that they do not associate the University, or other members of it, in matters which reflect their own opinions on topics that are not the outcome of work carried out as part of their roles in the University

4.1. Fundamental Principles:

Research on human participants pertains to a broad range of scientific enquiry aimed at developing generalizable knowledge that improves health, increases understanding of disease and is ethically justified by its social value. Every research has some inherent risks and probabilities of harm or inconvenience to participants/communities. Therefore, protection of participants should be built into the design of the study.

Do no harm(non-maleficence) has been the underlying universal principle guiding health care in all systems of medicine around the world. While conducting biomedical and health research, the four basic ethical principles namely; respect for persons (autonomy), beneficence, non-maleficence and justice have been enunciated for protecting the dignity, rights, safety and well-being of research participants.

These four principles that have been expanded into 12 general principles as in Hand Book on 'National Ethical Guidelines for Biomedical and Health Research involving human participants by ICMR 2018, ICMR policy on Research Integrity and Publication ethics 2019 and National Guidelines for Ethics Committees Reviewing Biomedical and Health Research During COVID-19 Pandemic guidelines 2020 will be considered at the beginning as well as all stages of research and dissemination.

- Principle of essentiality whereby after due consideration of all alternatives in the light of existing knowledge, the use of human participants is considered to be essential for the proposed research. This should be duly vetted by an ethics committee (EC) independent of the proposed research.

- Principle of voluntariness where by respect for the right of the participant to agree or not to agree, to participate in research, or to withdraw from research at any time, is supreme. The informed consent process ensures that participant's rights are safeguarded.
- Principle of non-exploitation whereby research participants are fairly selected so that the benefits and burdens of the research are distributed objectively and without uncertainty or discrimination. Sufficient precautions to protect vulnerable groups should be ensured.
- Principle of social responsibility where by the research is planned and conducted so as to avoid creation or deepening on social and historic divisions or in any way disturbs social harmony in community relationships.
- Principle of ensuring privacy and confidentiality whereby to maintain privacy of the potential participant, her/his identity and records are kept confidential and access is limited to only those authorized. However, under certain circumstances (suicidal ideation, homicidal tendency, HIV positive status, when required by court of law etc.) privacy of the information can be breached in consultation with the EC for valid scientific or legal reasons as the right to life of an individual supersedes the right to privacy of the research participant.
- Principle of risk minimization whereby due care is taken by all stakeholders (including but not limited to researchers, ECs, sponsors, regulators) at all stages of the research to ensure that the risks are minimized and appropriate care and compensation is given if any harm occurs.
- Principle of professional competence whereby the research is planned, conducted, evaluated and monitored throughout by persons who are competent and have the appropriate and relevant qualification, experience and/or training.
- Principle of maximization of benefit whereby due care is taken to design and conduct the research in such a way as to directly or indirectly maximize the benefits to the research participants and/or to the society.
- Principle of institutional arrangements where by institutions where the research is being conducted, have policies for appropriate research governance and take the responsibility to facilitate research by providing required infrastructure, manpower, funds and training opportunities.
- Principle of transparency and accountability whereby the research plan and outcome emanating from the research will be brought into the public domain through registries, reports and scientific deliberations and other publications while safeguarding the right to privacy of the participants. Stakeholders involved in research shall disclose any existing conflict of interest and manage it appropriately. The research shall be conducted in a fair, honest, impartial and transparent manner to guarantee accountability. Related records, data and notes shall be retained for the required period for possible external scrutiny/audit.

- Principle of totality of responsibility whereby all stakeholders involved in research will be responsible for their actions. The professional, social and moral responsibilities compliant with ethical guidelines and related regulations will be binding on all stakeholders directly or indirectly.
- Principle of environmental protection where by researchers will be accountable for ensuring protection of the environment and resources at all stages of the research, in compliance with existing guidelines and regulations.

4.2. Objectives of the Research:

- Protect the dignity, rights, safety and well-being of human participants,
- Recognize University's position on research ethics for research involving human participants, personal data and human tissue
- Demonstrate an obligation for good quality, clear and responsible research ethics throughout the University,
- Endorse the process of the University's Ethics Committee Procedure and provide guidance on research ethics involving human participants, personal data and human tissue for all staff and students,
- Reduce risks to the University, constituent Units and departments and individual researchers,
- Enhance the University's standing in the society, academic professions, among external collaborators and funding agencies.

4.3. Research Integrity:

Research integrity represents obligation to intellectual honesty and personal responsibility for behavior and actions for the University, institutions as well as individual researchers.

The value and benefits of research will be dependent on the integrity of the researchers. Scientists have a significant social responsibility to prevent research misconduct and misuse of research. All members of a research team will be expected to maintain high standards and to uphold the fundamental values of research. Ethical concerns shall be at the forefront of any research project and shall continue through to the write-up and dissemination stages.

4.4. Responsible conduct of Research:

The responsible conduct of research (RCR) involves the following major components: values, policies, planning and conducting research, reviewing and reporting research and responsible authorship and publication.

4.5. Responsibilities of the Researcher:

- Honesty and integrity as an investigator
- Minimal possible risk to participants and to themselves
- Respect for other people, their values and their cultures.
- Think through ethics issues for the particular project – minimize harms, choose populations fairly, develop respectful procedures
- Submit protocol to IRB, submit annual reviews to IRB, submit changes to IRB, submit adverse or unanticipated events to IRB
- Maintain records (with IRB, with subjects)
- The university expects that these principles are taken into consideration from the beginning, and throughout project's lifetime.
- Research projects shall be designed with a specific outline which may include a data management plan and define the project's operational procedure and timelines;
- An explicit statement on how the project can benefit the society shall be mentioned wherever appropriate.
- Any risks to people and/or animals and/or the environment and/or to cultural should be recognized wherever probable, and actions should be taken to manage/minimize risks,
- Potential or real conflicts of interest should be declared and where necessary, managed.
- In collaborative R&I, an initial arrangement shall be made as to the roles and responsibilities of researchers involved in a R&I project, and the nature and manner for communications, transparent criteria for publication strategy, authorship, acknowledgements and intellectual property rights (IP rights) shall be explicitly agreed upon by all involved.

4.6. Research Governance and Guidelines:

- Custodian of Policy: The implementation and updating of Research Policy shall be carried out by Directorate of Research, KLE Academy of Higher Education and Research. The Research policy will have an advisory panel under Vice Chancellor for assistance and counsel in matters related to research within the University.
 - The Principals and Deans of the various constituent colleges are responsible for the conduct of the research that is undertaken in their Institutions. They will ensure that all researchers are applying to the ethics review procedures for research activities that involve human participants, personal data or human tissue, in line with the University's Ethics Policy, governing the research involving human participants, personal data and human tissue. They will also be responsible for ensuring that all staff and students engaging in research are familiar with the content of the Policy and that appropriate training and guidance is made available.
- Following committees of the University shall look in to the multitudes of research.

- **University Research Co-ordination Committee (URCC)**

Committee meets biannually. The committee discusses about broad overview of all the research facets of the University including faculty wise / interdisciplinary research, funds (University, National and international), seed money for research, research output are discussed. Fairness, variety and inclusion of all faculties is looked in to. Grow Indigenous research capacity with Indigenous communities by co-developing and supporting new models for research and research training.

Composition:

Chairman: Hon VC, KLE Academy of Higher Education and Research

Members: Deans of all Faculty

Member Secretary: Director, Research Unit, KLE Academy of Higher Education and Research

- **Board of Post Graduate teaching and Research (BPGTR), Research and Recognition Committee (RRC), Research Grant Committee (RGC)**

These committees will look in to overview of post graduate teaching /training and PhD programme. PhD Scholarships, contingency, publication policies are discussed. Considerations of recommendations and put out important resolutions relating to post graduate research, PG teacher recognitions and PhD supervisors, Conferment of Doctor of Philosophy which will be put forth to Academic council for approval.

Composition of Board of Post Graduate teaching and research (BPGTR):

Chairman: Hon Vice Chancellor, KLE Academy of Higher Education and Research

Members: Dean Faculty of Medicine, Dean Faculty of dentistry, Dean Faculty of Pharmacy, Dean Faculty of Ayurveda, Dean Faculty of Science(Interdisciplinary Studies)

Dean Faculty of Physiotherapy, Dean Faculty of Nursing Science, Director, Research Unit, Office In charge, RMRC, Belagavi, Director, Academic affairs, KLE Academy of Higher Education and Research

Member secretary: Registrar, KLE Academy of Higher Education and Research

Composition of Research and recognition committee:

Chairman: Hon VC, KLE Academy of Higher education and research

Members: Dean Faculty of Medicine, Dean Faculty of dentistry, Dean Faculty of Pharmacy, Dean Faculty of Ayurveda, Dean Faculty of Science(Interdisciplinary Studies)

Dean Faculty of Physiotherapy, Dean Faculty of Nursing Science, Chairman, BoS in Para –clinical subjects(UG &PG)-Medical faculty, Chairman, BoS in Surgery &Allied Subjects (UG&PG)-Medical faculty, Chairman, BoS in Medicine & Allied Subjects(UG &PG), Chairman, BoS of Interdisciplinary Board, Chairman, Board of studies for superspeciality subjects, Director, Research Unit, Director, Academic affairs, KLE Academy of Higher Education and Research

Member secretary: Registrar, KLE Academy of Higher Education and Research

Composition of Research Grant Committee (RGC)

Chairman: Vice Chancellor, KLE Academy of Higher Education and Research

Members: Dean Faculty of Medicine, Dean Faculty of dentistry, Dean Faculty of Pharmacy, Dean Faculty of Ayurveda, Dean Faculty of Science (Interdisciplinary Studies), Director, Academic affairs,

Member Secretary: Registrar, KLE Academy of Higher Education and Research

• Institutional Ethics Committee -

This Committee will,

- Review the ethics of all medical research involving human participants, tissue and data and animals every 5 years to suggest any changes or modifications to the Senate, provide guidance on the understanding of the Policy in the University and monitor the ethics review measures in the constituent colleges
- Dynamically promote the knowledge and awareness of research ethics and the policy thereof by conducting training and other academic events.
- be up-to-date regarding newer policies, regulations and improvements related to research ethics, and safeguard the University with respect to having all the necessities in place
- Offer advice on any research ethical matters that are referred to the committee and look into matters of research misconduct within the University
- Ensure recognition of the IEC by recognized bodies.

The IEC will be multi disciplinary and multi sectoral committee composed of 8-12 members.

The composition will be as follows:

1. Chairman : Chief officer, RMRC (NITM), Belagavi
2. Member secretary
3. Basic Science scientist
4. Basic Medical Scientist : 3 members
5. Clinicians : 2 members
6. Social Scientist
7. Lay person
8. Legal expert

• Ph.D. Ethics Committee for Human Research:

All research proposals by research scholars registered for PhD under all faculties (full time and part time) shall be scrutinized by this committee. The committee shall scrutinize applications for ethical approval for the research proposal, inspect and update the research scholar's regarding approval or recommend changes if need be. The research scholars are expected to address the concerns raised by the committee. The Committee provides guidance to all Faculties/Departments/constituent colleges.

Composition:

Chairman: External expert.

Members: 8 representatives of all faculties

Members: Legal expert

Representation from Office of Academic Affairs.

- **University Animal Ethics Committee:**

Functions as per the guidelines of Committee for Purpose of Control and Supervision of Experiments on Animals. (CPCSEA). Provide avenues and directions towards participation in animal research in all constituent colleges.

Composition: Chairman : will be a biological Scientist

Member secretary: Scientist in charge of animal house facility

Members: Scientist from different Disciplines and scientists from outside Institute, Socially aware nominee and Veterinarian.

- **Site Management Office (SMO)**

The Site management office keeps track of design, implementation, evaluation, and maintenance of the process of clinical research/trial, to support the conduct of clinical trials on behalf of the pharmaceutical, biotech, and medical drug/device companies.

A clinical trial is a prospective biomedical or behavioral research study of human subjects that is designed to answer specific questions about biomedical or behavioral interventions (vaccines, drugs, treatments, devices, or new ways of using known drugs, treatments, or devices).

The office will also review and validate (monitor) the trial data during the clinical trial. Other services may include to determine whether new biomedical or behavioral interventions are safe and medical writing, also keeps track of sustenance/ improvement, efficiency and productivity of the material in use.

SMO is an administrative committee that will facilitate the work progress under this category.

Composition:

- Chairman: Medical Director and Chief Executive,
KLES Dr. Prabhakar Kore Hospital and Medical research center, Belagavi
Medical Superintendent,
KLE Dr. Prabhakar Kore Charitable Hospital, Belagavi
Hon, Chancellors Nominee
And 4-5 members: Clinicians/researchers in clinical trials

5. Good Research Practice:

Overall good research practice shall reinforce quality research with tangible outcome and shall support the robust evidence base needed to drive improvements in healthcare. It shall provide strong foundations for research, quality education and training, career building and mainly help to increase public confidence and trust in the research process and its outputs.

In general, following documented research ethics principles is fundamental to good research practice. University's Research and ethics policy governing research involving human participants, personal data and human tissue suggests:

- Maintenance of ethical standards in the conduct of research with recognition and valuing principles of honesty and integrity.
- Research with integrity means embracing intellectual honesty and accepting personal responsibility for one's own actions.
- Prior to, during, and following the completion of research activities, researchers are expected to consider the ethical implications of their research and, depending on its nature, the cultural, economic, psychological, physiological, political, religious, spiritual and social consequences of it for the human participants involved.
- Researchers should always consider their research from the perspective(s) of the participants and any other people who may possibly be affected by it.
- Safety and well-being are at the heart of research ethics. Researchers have a responsibility to protect all participants, as well as they can, from avoidable harm arising from their research. Researchers also have a responsibility to consider their own safety and that of any co-researchers or collaborators.

7. Specific Guidelines on Important Ethical Issues

7.1. Informed Consent Process:

Preamble:

All research involving human participants shall be conducted in accordance with the four basic ethical principles, namely autonomy (respect for person / participant), beneficence, non-maleficence (do no harm) and justice. Indian Council of Medical Research formulated ethical guidelines for biomedical research on human participants known as ICMR code (second revision 2006), which requires Institutional Ethics Review Committee of all research Institutions to review and give ethical clearance to all research studies of which informed consent will be an important component.

The principle of informed consent has been driven by two different agendas: a legal one and a moral one. While sponsoring agencies approach informed consent documents from legal angle, researchers shall consider the moral basis of consent requirements before the legal aspects as may be relevant to their State.

The researcher will obtain voluntary written informed consent from the prospective participant for any biomedical and health research involving human participants. This requirement will be based on the principle that competent individuals are entitled to choose freely whether or not to participate or continue to participate in the research.

Informed consent will be a continuous process involving three main components – providing relevant information to potential participants, ensuring competence of the individual, ensuring the information is easily comprehended by the participants and assuring voluntariness of participation.

7.2. Scope of Informed Consent:

Informed consent for research will be taken for

- Protection of Rights of participants
- Privacy and Confidentiality
- Future use of Information
- Right not to participate and withdraw
- Right to get help

7.3. Essential information for prospective research participants:

- Before requesting an individual's consent to participate in research, the researcher must provide the individual with detailed information and discuss her/his queries about the research in the language she/he is able to understand. The language should not only be scientifically accurate and simple, but should also be sensitive to the social and cultural context of the participant.
- The Informed consent Document (ICD) should have two parts – patient/participant information sheet (PIS) that contains information on known facts about the research and the informed consent form (ICF) where the participant concedes that she/he has comprehended the information given and is voluntarily participating in that research.
- Adequate time should be given to the participant to read the consent form, if necessary discuss it with family and friends, and seek clarification of her/his doubts from the researchers/research team before deciding to enroll in the research

8. Responsibility of Researchers:

- The researcher should only use the EC approved version of the consent form, including its local translations.
- Adequate information necessary for informed consent should be communicated in a language and manner easily understood by prospective participants.
- In case of differently abled participants, such as individuals with physical, neurological or mental disabilities, appropriate methods should be used to enhance the participant's understanding, for example, braille for the visually impaired.

- There shall be no restriction on the participant's right to ask questions related to the study or to discuss with family and friends or take time before coming to a decision.
- The researcher shall not give any unjustifiable assurances or influence or intimidate a prospective participant to enroll in the study.
- The researcher must ensure that the participant is competent and has understood all aspects of the study and that the consent is given voluntarily. Where the participant and/or the LAR are illiterate, an impartial literate person, not connected to the research, should be present throughout the consent process as witness.
- The researcher shall administer a test of understanding whenever possible for sensitive studies. If need be, the test will be repeated until the participant has really understood the content
- When a participant is willing to participate but not willing to sign or give a thumb impression or cannot do so, then verbal/oral consent may be taken on approval by the EC, in the presence of an impartial witness who should sign and date the consent document. This process can be documented through audio or video recording of the participant, the PI and the impartial witness, all of whom should be seen in the frame. However, verbal/oral consent should only be taken in exceptional circumstances and for specific, justifiable reasons with the approval of the EC. It should not to be practiced routinely
- The researcher must assure prospective participants that their decision whether or not to participate in the research will not affect their rights, the patient-clinician relationship or any other benefits to which they are entitled.
- Reimbursement may be given for travel and incidental expenses/participation in research after approval by the EC.
- The researcher shall ensure free treatment for research related injury (disability, chronic life-threatening disease and congenital anomaly or birth defect) and if required, payment of compensation over and above medical management by the investigator and/institution and sponsor(s), as the case may be.
- The researcher shall ensure that the participant can continue to access routine care even in the event of withdrawal of the participant

9. Waiver of Consent:

The researcher can apply to the EC for a waiver of consent if the research involves less than minimal risk to participants and the waiver will not adversely affect the rights and welfare of the participants

The EC may grant consent waiver in the following situations:

- Research cannot practically be carried out without the waiver and the waiver is scientifically justified;
- Retrospective studies, where the participants are de-identified or cannot be contacted;
- Research on anonymized biological samples/data;

- Certain types of public health studies/surveillance programmes/programme evaluation studies;
- Research on data available in the public domain;
- Research during humanitarian emergencies and disasters, when the participant may not be in a position to give consent. Attempt should be made to obtain the participant's consent at the earliest.

10. Registration with Clinical Trials Registry–India:

Trial registration in the CTRI is mandatory by CDSCO as on 15 June 2009 for clinical trials that are registered under the Drugs and Cosmetics Act and its Rules. All clinical trials, as a part of postgraduate, doctoral thesis or sponsored research being conducted in the University must be registered in the Clinical Trials Registry–India, linked to WHO registry.

This includes all clinical research involving human participants including any intervention such as drugs, surgical procedures, devices, biomedical, educational or behavioral research, public health intervention studies, observational studies, implementation research and preclinical studies of experimental therapeutics and preventives or AYUSH studies that will be registered prospectively with the CTRI.

Trial registration should involve providing information regarding the study, investigators, Sites, sponsor, ethics committees, regulatory clearances, disease/condition, types of study, methodologies, outcomes, etc.

Registration of research in CTRI will ensure public availability comprehensive, authentic and voluntarily available data on research. This furthers transparency, accountability and ease of access.

11. Conflict of Interest:

Public relies on the validity of research conducted at universities, academic medical centres, and other institutions. Since much of this research done at these institutions is with the expectation that the work will adhere to the highest ethical standards and yield results that may benefit society.

Conflict of interest (COI) is a set of conditions in which professional judgment concerning a primary interest such as patient's welfare or the validity of research tends to be or appears to be unduly influenced by a secondary interest such as financial gain or non-financial (personal, academic or political) have the potential to compromise, or are perceived as compromising the exercise of professional judgment.

COI can be at the level of researchers, EC members, institutions or sponsors and the types that can occur in research include conflicts of commitment, conflicts of conscience, and institutional conflicts of interest which vary from each other.

Conflicts of Commitment:

This will be delt when it becomes difficult for individuals to balance the efforts necessary to perform their job duties while engaging in other activities that may or may not be job-related or when there is competing influence that affects an individual's research or work output. Completion of two separate yet important tasks by the individual will be a conflict in this case.

Ethical Aspects of Conflicts of Commitment

- Reduction in required employment duties due to an outside activity,
- Individual's research or work output being biased due to competing influence
- Employee and employer shall be made aware of the conflict (particularly when researchers receive grant support for their work).

Conflict of commitment from internal conflict:

Overburdening / researcher being unavailable to mentor their students due to their frequent travel or excess time spent consulting.

Regulatory Aspects: IEC will try to mitigate situations that could generate conflicts of commitment that could occur between faculty members, faculty and students, faculty and staff, and even institutions.

Conflicts of Conscience When an individual's personal, religious, or other beliefs might interfere with the ability to perform job duties objectively.

If COI is inherent in the research, it is important to declare this at the outset and establish appropriate mechanisms to manage it.

Institutional Ethics committee will have strategies to address, eliminate, reduce or manage these conflicts.

- Research being conducted in alliance with industries/ commercial companies will strongly review the possible COI between scientific responsibilities of researchers and business interests at the beginning.
- The Standard Operating procedure of Institutional Ethics committee and Site management Office will be strictly adhered to that will help the Self-regulatory processes to monitor, prevent and resolve conflicts of interest.
- The investigators shall declare conflicts of interest (financial interests, consulting fees or honorarium per participant, intellectual property rights from patents, copyrights and royalties from such rights, etc.) in the application submitted to IEC for review.
- The Institutional ethics Committee shall advice on future strategies, If the committee determines that a conflict of interest may damage the scientific integrity of a project or cause harm to research participants accordingly.
- The sponsorship of research shall be informed to the prospective participants so that they can be aware of the potential for conflicts of interest and commercial aspects of the research.

- The institution, IEC, audience when presenting papers, publications in popular media or scientific journals will also be informed of the secondary interest in financial terms.
- Compensation for individual participants, families and populations should be prohibited through undue inducement. This prohibition shall not include agreements with individuals, families, groups, communities or populations that foresee technology transfer, local training, joint ventures, provision of health care reimbursement, costs of travel and loss of wages and the possible use of a percentage of any royalties for humanitarian purposes.
- ECs must evaluate each study in light of any disclosed interests and ensure that suitable means of justification are undertaken. COI within the EC should be declared and managed in accordance with standard operating procedures (SOPs) of that EC. Require their members to disclose their own COI and take appropriate measures to recuse themselves from reviewing or decision making on protocols related to their COI. EC must make appropriate suggestions for management, if COI is detected at the institutional or researchers level.

Good practices in management of conflicts of interest issues that are expected to be followed:

- All real or potential conflicts of interest that could compromise the credibility of their research work should be identified and transparent steps to be taken to disclose the conflicts of interest.
- Conflict of interest situation can arise in research funding applications; in research ethics applications, when seeking to recruit participants (i.e. Consent process); in research publications; during commercialization; when undertaking peer review for article or grant applications.
- A declaration of a conflict of interest, with a brief written record of that declaration, will suffice in most situations. Sometimes, may require modification of the project's plan.

The overall COI will be managed in following manner:

- Disclosure of financial interest to the other research personnel and to any research subjects as part of the informed consent process. The same shall be included in publications, presentation or any press releases.
- The individual serve as a co-investigator rather than as principal investigator
- Independent review or analysis of the data / restrictions on access to the data
- The investigator be removed from certain or all research activities such as subject enrolment or data collection
- The reduction or elimination of the financial interest.

12. Research Data Management Policy:

Preamble:

This policy aims to provide tactical basis for the data management yielded by research projects conducted at the University. Efficient research data management is vital in funded research projects, however, this policy will relate to all research carried out by faculty and students of the University. It will aim to encourage a positive approach to the management of research data across the institution.

Policy:

The University regards the effective management of the data generated by research projects as an essential part of good research and innovation practice.

- Exploiting the impact of data-intensive research
- Assurance of research integrity
- Enhanced data protection and storage and minimize the risk of data loss
- Enablement of data sharing and collaboration
- Open access principle to publicly-funded research outputs
- Compliance with the requirements of research funders.
- The primary responsibility for effective research data management during the course of research projects lies with lead researchers. However, all researchers, including postgraduate and undergraduate students undertaking research, have a personal responsibility to manage effectively the data they create.
- All research proposals for funded research shall include a data management plan. This will help to ensure that research data management is be considered at every stage of a research project, from the initial proposal and research costing, through to provision for long-term data curation.
- Data protection and storage is important and once collected, data must be properly protected, as it may be needed at a later stage to confirm research findings, establish priority, or be re-analyzed by other researchers. Responsible data handling begins with proper storage and protection from accidental damage, loss or theft.
- Care should be taken to reduce the risk of fire, flood and other catastrophic events. Computer files should be backed-up and the back-up data saved in a secure place at a site that is different from the original data storage site.
- Data sharing is important as research data is valuable and needs to be shared, but deciding when and with whom to share may raise difficult questions. Once a researcher has published the results of an experiment, it is generally expected that all the information about that experiment, including the final data, should be freely available for other researchers to check and use. Data should be shared or placed in a public domain in a de-identified/anonymized form, unless required otherwise, for which applicable permissions/re-consent should be sought unless obtained beforehand.

13. Ethics in Collaborations:

- Researchers are increasingly collaborating with colleagues who have the expertise and/or for resources needed to carry out particular research. This could be inter-departmental/ inter-institutional or international and also multicenter involving public and/or private research centers and agencies.
- Collaborative R&I ranges from international projects, potentially involving institutions from both countries in the developing and developed world, to mid-range collaborations involving several institutions within one country, through to projects involving two researchers from different disciplines. Collaboration includes R&I projects between researchers from different disciplines in the University, and R&I projects between the University and other institutions in India and/or in other countries.
- The main ethical issues surrounding collaborations pertain to sharing techniques, ownership of materials and data, IPRs, joint publications, managing research findings, managing COI and commercializing research outcomes.
- Researchers should familiarize themselves with all aspects including local, national and international requirements for research collaboration including necessary approvals, memorandums of understanding (MoUs) and material transfer agreements (MTA) and EC approval of collaborating institutes.

13.1. Ethical considerations in Collaborative Research

- Collaborative studies shall take into account the values/benefits expected from the research as compared to the risks involving the persons/population being studied.
- The participating center's should function as partners with the collaborator(s) and sponsor(s) in terms of ownership of samples and data, analysis, dissemination, publication and IPR as appropriate. There must be free flow of knowledge and capacity at bilateral/multilateral levels.
- Careful consideration should be given to protecting the dignity, rights, safety and well-being of the participants in cases where the social contexts of the proposed research can create foreseeable conditions for their exploitation or increase their vulnerability to harm.
- The nature, magnitude and probability of all foreseeable harm resulting from participation in a collaborative research programme should be specified in the research protocol and well explained to the participants.
- The benefits and burdens should be equally distributed amongst participants recruited by all collaborating institutions.
- All participants in collaborative research should have access to the acceptable nationally available standard of care.
- If there is exchange of biological material involved between collaborating sites, the EC may require appropriate MoU and/or MTA to safeguard the interests of participants and ensure compliance while addressing issues related to confidentiality, sharing of data, joint publications, benefit sharing, etc.

14. Responsibilities of Ethics Committees, Researchers and Institutions:

- Ethics Committee shall review the protocols in the local social and cultural context and ensure respect for sensitivities and values of participants and communities at collaborative sites.
- A mechanism for communication between the ECs of different participating centers will be accessible. In case of any conflict, the decision of the local EC based on relevant facts/guidelines/law of the land shall prevail.
- An EC should examine whether the researcher has the required expertise and training in the area of collaboration
- An EC should protect the interests and rights of the collaborating researcher(s) and ensure that they are not treated as mere collectors of samples or data
- Participating researchers from collaborating sites should be adequately represented when designing the research proposal.
- Institutions are responsible for fair contract negotiation in collaborative research partnerships (including benefit sharing and avoiding unauthorized use of their expertise, biological samples and data) to safeguard the interests of participants, researchers and institutions.
- Institutions should provide opportunities for collaboration to build capacity and engage in research which is mutually beneficial.

Reviewing and Reporting Research:

The public's trust in published research is an essential component of ethical and responsible research.

- The basic principle of all reviewers and editors evaluating research is that the work has been performed honestly, its reporting is transparent and truthful and the researchers integrity is beyond doubt.
- Research that is completed, irrespective of results, must be published, since it would be unethical to expose another set of participant/patients/volunteers to the same risks to obtain the same results.
- Researchers should provide results of study in the public database of the Clinical Trial Registry-India (CTRI).

15. Responsible Authorship and Publication:

- Authorship – The researchers shall follow the guidance of International Committee of Medical Journal Editors (ICMJE) on authorship which is largely accepted as a standard and is endorsed by the World Association of Medical Editors (WAME).
- According to the ICMJE, authorship entails the following criteria:
- Substantial contributions to the conception or design of the work, or the acquisition, analysis, or interpretation of data for the work;
- Drafting the work or revising it for important intellectual content;
- Final approval of the version to be published;
- Agreement to be accountable for all aspects of the work and ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

- Authorship should never be gifted and 'ghost' authors are not acceptable. The authorship of research should be considered at the time of its initiation.
- The primary author will be the person who has done most of the research work related to the manuscript being submitted for publication. Research performed as part of a mandatory requirement of a course / fellowship / training programme including student research should have the candidate as the primary author. All efforts must be made to provide the candidate with an opportunity to fulfil the second, third and fourth criteria of the ICMJE guidelines.

Good Research Practice in Authorship:

Decisions about authorship (e.g. the criteria for deciding who can be named as an author and the author sequence) and about acknowledgement (i.e. people who have contributed but who do not fulfil the authorship criteria) normally result from a process of ongoing communication, reflection and/or revision as the project evolves over its duration. The University trusts its researchers, as in all other matters, to remain professional and reasonable when communicating on this subject; the goal being to ensure that all individuals who fulfil authorship criteria are named as authors and all other contributors are acknowledged.

Good Research Practices in Publication:

- The researchers shall publish in highly prestigious and externally peer-reviewed publications (preferably Journals indexed in Scopus, Pubmed, Web of Science and UGC-Care list), wherever possible, to ensure opportunities for dissemination of our research are maximized.
- Research data and results should be checked rigorously for their integrity before being published and/or communicated with the public.
- All sources, materials and methods used to obtain and analyze research data should be explained clearly in the publication.
- Any potential or real conflicts of interest should be declared in the publication.

Peer Review:

- Scientific revelation and advancement has been reliant mainly on peers assessing research and adjudicating the quality and usefulness for conduct and publication of research.
- The peer review method rests on the fair, honest and transparent review of all participants – i.e. editors, reviewers and researchers. It usually involves one or more reviewers and must be finished in reasonable time.
- Researchers must avoid stating friends, supporters and advisors as reviewers and must not agree to review research of close acquaintances, friends and students.
- Funding agencies and journals must ask reviewers and researchers to inform them of COI, if any.
- Reviewers must maintain the confidentiality of manuscripts sent to them for review.

16. Research Misconduct:

Preamble:

Research misconduct will involve fabrication, falsification and plagiarism of data, that are serious issues both nationally and internationally.

Definitions:

The University has adopted the definitions of research misconduct set out by the ICMR Guidelines 2017. The following definitions give indicative descriptions of the types of activity covered by this Regulation. These descriptions are neither exclusive nor exhaustive. Interpretation of the terms will involve judgments, which should be guided by previous experience and decisions made on matters of misconduct in research.

These include:

- **Fabrication** is the intentional act of making up data or results and recording or reporting them.
- **Falsification** is manipulating research materials, equipment or processes, or changing or omitting / suppressing data or results without scientific or statistical justification, such that the research is not accurately represented in the research record.
- **Plagiarism** is the “wrongful appropriation” and “stealing and publication” of another paper or another author’s “language, thoughts, ideas, or expressions” and the representation of them as one’s own original work or duplicating one’s own publication (self-plagiarism).

Policy on Research Misconduct:

The University considers any allegation of research misconduct to be a matter of great concern and will investigate any such allegation fully. Given its reputation and status, the University has a responsibility to the research community and to the public at large. Research misconduct, if suspected, will be investigated. If facts are not presented accurately, Institution will investigate all allegations of misconduct as present or future participants’ lives may be endangered. Such investigations will be done in a timely, fair and transparent manner and the results will be made available in the public domain wherever appropriate.

The university has constituted an Institutional Academic integrity Panel (IAIP) for the individual constituent Units of the University that will submit its recommendations to the University Academic Integrity Panel (UAIP). A detailed Plagiarism Policy is also in place.

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KLE ACADEMY OF HIGHER EDUCATION AND RESEARCH, BELAGAVI

(Deemed-to-be-University)

[Established under Section 3 of the UGC Act, 1956 vide MHRD

G.O.I Notification No.F.9-19/2000-U.3(A)]

Accredited 'A' Grade by NAAC (2nd Cycle)

Placed in Category 'A' by MHRD (GoI)



ANTI-PLAGIARISM POLICY



The University

The KLE ACADEMY OF HIGHER EDUCATION & RESEARCH (KAHER) was established on 13th April, 2006 as per the Ministry of Human Resource Development, Government of India under the recommendation of University Grants Commission. The sponsoring society "The KLE Society" celebrating its centenary was established on 13th of November 1916 by "Seven Dedicated Teachers —The Saptarishis" and has under its wing 250 institutions spread across Karnataka, Maharashtra, Goa, Delhi etc.

In a short span of time the University has firmly established itself as a centre of excellence in terms of medical education, research and health care services at the national and international level. The University offers various undergraduate, postgraduate, post-doctoral, fellowship and certificate programs in the faculties of Medicine, Dentistry, Pharmacy, Ayurveda, Physiotherapy and Nursing.

In terms of infrastructure the University has excellent teaching facility, state of the art teaching hospital and medical research centre having 2400 beds, basic science research centre spread over an area of 10,000sq.ft., Wi-Fi facility all over the campus, digital library and other facilities on par with premier institutes of national and international repute. Facilities like bank, post-office, pharmacy, gym, swimming pool, indoor stadium, cafe, department store, travel booking, etc. are provided in the campus itself. Calendar of events delineating the date of examination schedule and other important curricular events are provided to every student at the beginning of academic session thus enabling the students to plan and pace their studies well in advance.

The Department of Allied Courses was established in 2007. There is expected to be a tremendous demand for allied health professionals in the years to come because of the phenomenal growth in the healthcare industry. In view of this, KAHER offers a range of allied courses in the form of undergraduate, postgraduate, fellowship, diploma, postgraduate diploma and certificate courses.



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KLE ACADEMY OF HIGHER EDUCATION AND RESEARCH ANTI-PLAGIARISM POLICY

Amended in accordance with the University Grants Commission
Promotion of Academic Integrity and Prevention of Plagiarism in
Higher Educational Institutions) Regulations-2018

1. Preamble:

- The KLE Academy of Higher Education and Research, Belagavi has gained tremendous recognition as a university generating significant scientific/research studies by students and the faculty. This reputation imposes an obligation on the organization to follow recognized norms and ethics practiced in the field of research.
- The University aims to endorse the values of discovery, to inspire and support research and innovation using pioneering methods of attaining, discovering and developing information for the good of society, and to safeguard the ethical aspects related to the conduct of research.
- Plagiarism is a research misconduct that violates the element of trust, expectation and honesty, which is a pre-requisite for academic work in an ethical framework. In addition, plagiarism undermines the basic objective of higher education by offering an unwarranted short-cut to the processes of research and inquiry that leads to knowledge, learning and livelihood.
- The assessment of academic and research work done leading to the partial fulfilment for the award of degrees at Masters and Doctorate level, by a student or a faculty or a researcher or a staff, in the form of thesis, dissertation and publication of research papers, chapters in books, full-fledged books and any other similar work, reflects the extent to which elements of academic integrity and originality are observed in various relevant processes.
- Plagiarism at KAHER is considered as serious research misconduct and the University has drafted this policy. Implementation of the policy along with guidelines and a suggested format for use by the constituent units of KLE Academy of Higher Education Research (KAHER) to augment awareness regarding responsible conduct of research and academic activities.
- This Policy and Guidelines of KAHER shall be a key element in upholding academic honesty and research integrity among the researchers of the university.

2. Purpose

The purpose of this policy and these procedures is to:

- State the University's unequivocal opposition to, and intolerance of, academic dishonesty, including plagiarism;

- Set out the principles underpinning the University's approach to academic honesty
- Identify individual responsibilities for promoting the principles of academic honesty and
- Prescribe a transparent process for handling allegations of academic and research misconduct and plagiarism by students / Faculty.

3. Commencement and Application

- This policy and these procedures commence on 01/01/2010
- They shall apply to all the Students, researchers, faculty and staff of all constituent units of KAHER

4. Definitions:

- Plagiarism is defined as, (use ICMR ethical guidelines 2017) or close resemblance or imitation of the language and thoughts of another author and the representation of them as one's own original work, without giving appropriate credit. An act or instance of using or closely imitating the language and thoughts of another author without authorization and the representation of that author's work as one's own, as by not crediting the original author.
- The conditions that arise from the definition are:
 - a. A person willfully uses someone's work without permission and makes others believe that he is the creator/owner of the work;
 - b. Even close resemblance to the language or thoughts of original work let alone copying as is may constitute plagiarism;
 - c. Even incorporation of thoughts may in some cases constitute plagiarism though this may depend upon the facts and circumstances of the case. However, the connection that the person had access to the work has to be proved.

5. Objectives

- To create awareness about responsible conduct of research, thesis, dissertation, promotion of academic integrity and prevention of misconduct including plagiarism in academic writing among student, faculty, researcher and staff.
- To establish institutional mechanism through education and training to facilitate responsible conduct of research, thesis, dissertation, promotion of academic integrity and deterrence from plagiarism.
- To develop systems to detect plagiarism and to set up mechanisms to prevent plagiarism and act in an appropriate manner when a student, faculty, researcher or staff of KAHER committing the act of plagiarism.

6. Awareness Programs and Trainings:

- The university will instruct students, faculty and staff about proper attribution, seeking permission of the author wherever necessary, acknowledgement of source

compatible with the needs and specificities of disciplines and in accordance with rules and regulations governing the source.

- The university will conduct sensitization seminars/ awareness programs time to time on responsible, conduct of research, project work, assignment, thesis, dissertation, promotion of academic integrity and ethics in education for students, faculty and other members of academic staff, University also directs constituent colleges to conduct orientation programs regularly.
- The cardinal principles of academic integrity and elements of responsible conduct of research and publication ethics has been included in the in the curricula Postgraduate (PG)/Master's degree and Ph.D. Scholars as a compulsory course work.
- The University shall train the faculty, staff and researcher for using plagiarism detection tools and has procured the software Turnitin for detection of plagiarism.

7. Anti –Plagiarism Guidelines:

- The university has implemented a mechanism using current version of Turnitins of twae so as to ensure that documents such as thesis, dissertation, term papers, reports, publications or any other such documents are free of plagiarism at the time of their submission.
- The university has the centralized facility where the turnitin Software is housed and multiple account activations have been taken.
- Each individual constituent unit of the university have been given access to 10 accounts managed by in charges of the Plagiarism committees of the individual units to screen all the thesis and dissertation of the postgraduates as well as the publications of that constituent unit.
- The dissertations of the Ph.D students are screened at the Department of Academic Affairs at the University.
- The Department Of Academic Integrity Panel (DAIP) will then issue the plagiarism Check Certificate.
- Every student submitting a thesis or a dissertation university should submit an undertaking indicating that the document has been prepared by him or her and that the document is his/her original work and free of any plagiarism. The undertaking shall include the fact that the document has been duly checked by the Plagiarism detection software "Turnitin".
- The Supervisor / the guide also submit a certificate indicating that the work done by the researcher under him / her is plagiarism free.

8. Specific Guidelines:

- The Ph.D. scholars and the postgraduates of all the constituent units shall submit the thesis / dissertation for Anti plagiarism check using anti-plagiarism software "Turnitin".
- The Ph.D. scholars and Postgraduate students will submit the thesis along with the plagiarism check certificate (Appendix 1) as well as the undertaking from both the Candidate and the supervisor (Appendix 2).
- The permitted similarity index as per the anti- plagiarism guidelines as specified by UGC are as follows:

Ph.D / PG- Thesis/Dissertation/ Faculty Publications

Permitted Similarity index	Similarities upto 10%
Total continuous words	Not exceeding 10 words

9. Institutional Academic Integrity Panel (IAIP):

- Each Constituent College of KAHER will constitute an Institutional Academic Integrity panel which will be composed of:
- Chairman – Principal/Dean of the Institution
- Member - Senior academician from outside the department, to be nominated by the head of Institution.
- Member - A person well versed with Anti plagiarism tools, to be nominated by the Chairman Department.
- Members – Representative from individual departments of the constituent unit
- The tenure of the members in respect of points 'b' and 'c' shall be two years. The quorum for the meetings shall be 2 out of 3 members (including Chairman).
- The IAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff.
- The IAIP shall have the power to assess the level of plagiarism and recommend penalty(ies) accordingly.
- The IAIP after investigation shall submit its report with the recommendation on penalties to be imposed to the IAIP within a period of 45 days from the date of receipt of complaint / initiation of the proceedings.

10. University Academic Integrity Panel (UAIP):

- KAHER shall constitute an UAIP for the University whose composition shall be as given below:
- Chairman - Pro-VC/Dean/Senior Academician of KAHER.
- Member - Senior Academician other than Chairman, to be nominated by the Vice Chancellor.
- Member - One member nominated by the Vice Chancellor from outside KAHER
- Member- A person well versed with anti-plagiarism tools, to be nominated by the Vice Chancellor.
- The Chairman of IAIP and UAIP shall not be the same. The tenure of the Committee members including Chairman shall be three years. The quorum for the meetings shall be 3 out of 4 members (including Chairman).
- The UAIP shall consider the recommendations of IAIP and IAIP shall also investigate cases of plagiarism as per the provisions mentioned in these regulations.
- The UAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff of Constituent colleges of KAHER
- The UAIP shall have the power to review the recommendations of IAIP including penalties with due justification.
- The UAIP shall send the report after investigation and the recommendation on penalties to be imposed to the Vice-chancellor within a period of 45 days from the date of receipt of recommendation of DAIP/ complaint / initiation of the

proceedings.

- The UAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.
- The decision of the UAIP shall be final and binding.

11. The Work Flow

- The research scholar shall submit the soft copy of the thesis for the plagiarism check through the Research guide to IAIP for the plagiarism Check.
- The Checking shall be done by the allotted member of the IAIP for that department, for the aim and objective, review of literature, methodology, results, discussion, summary and conclusion excluding the references
- The plagiarism check report shall be generated by the member of the IAIP and submitted to the to the Institutional Academic Integrity Panel (DAIP) who will then issue a certificate regarding the same to the guide of the candidate.
- The similarity checks for plagiarism shall exclude the following:
 - * All quoted work reproduced with all necessary permission and/or attribution.
 - * All references, bibliography, table of content, preface and acknowledgements.
 - * All generic terms, laws, standard symbols and standard equations.

Note:

The research work done by the student, faculty, researcher and staff should be based on original ideas, which shall include abstract, summary, hypothesis, observations, results, conclusions and recommendations only and shall not have any similarities. It shall exclude a common knowledge or coincidental terms, up to ten (10) consecutive words

The thesis with in permitted similarity index as per the anti- plagiarism guidelines shall be recommended and forward to the Controller of Examinations (COE) along with certificate of plagiarism check (Appendix I) and the Undertaking by the Candidate and the Guide (Appendix 2).

- If any member of the academic community suspects with appropriate proof that a case of plagiarism has happened in any document, he or she shall report it to the IAIP. Upon receipt of such a complaint or allegation the IAIP shall investigate the matter and submit its recommendations to UAIP
- The authorities of KAHER can also take suo motu notice of an act of plagiarism and initiate proceedings under these regulations. Similarly, proceedings can also be initiated by the KAHER on the basis of findings of a dissertation examiner. UAIP shall investigate such cases and submit its recommendations to Vice chancellor for further action.

12. Penalties:

- Penalties in the cases of plagiarism shall be imposed on students pursuing studies at the level of UG, PG, Masters, Ph.D. and faculty & staff of the KAHER only after academic misconduct on the part of the offender has been established without doubt, when all avenues of appeal have been exhausted and individual in question has been provided enough opportunity to defend himself or herself in a fair or transparent manner.

13. Penalties in Case if Plagiarism in Submission of Thesis and Dissertations:

- University Academic Integrity Panel (IAIP) shall impose penalty considering the severity of the Plagiarism.
 - * Level 0: Similarities up to 10% - Excluded, No Penalty
 - * Level 1: Similarities above 10% to 40% - Such student shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.
 - * Level 2: Similarities above 40% to 60% - Such student shall be debarred from submitting a revised script for a period of one year.
 - * Level 3: Similarities above 60% - Such student registration for that programme shall be cancelled.

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

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

14. Penalties for Faculty, Staff, Researcher of KAHER

- * Level 0: Similarities up to 10% - Excluded, No Penalty
- * Level 1: Similarities above 10% to 40% Shall be asked to withdraw the manuscript submitted for publication and shall not be allowed to publish any work for a minimum period of one year.
- * Level 2: Similarities above 40% to 60%-- shall be asked to withdraw the manuscript submitted for publication and shall not be allowed to publish any work for a minimum period of two years and shall be denied a right to one annual increment and shall not be allowed to be a supervisor to any UG, PG, Master's, Ph.D' student/scholar for a period of two years.
- * Level 3: Similarities above 60% - shall be asked to withdraw the manuscript submitted for publication and shall not be allowed to publish any work for a minimum period of three years and shall be denied a right to two successive annual increments and shall not be allowed to be a supervisor to any UG, PG, Master's, Ph.D. student/scholar for a period of three years.

Note 1: Enhanced penalty on repeated plagiarism - shall be punished for the plagiarism of one level higher than the lower level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative. In case level 3 offence is repeated then the concerned person shall be dismissed.

Note 2: Penalty in case where the benefit or credit has already been obtained -If plagiarism is proved on a date later than the date of benefit or credit obtained as the case may be then his/her benefit or credit shall be put in abeyance for a period decided by the IAIP and UAIP on recommendation of the IAIP.

Note 3: If there is any complaint of plagiarism against the Head of an Institution, a suitable action, in line with these regulations, will be taken by the Competent Authority/Governing Board/Governing Council as the title may be.

15. Reference:

UGC NOTIFICATION, UNIVERSITY GRANTS COMMISSION (PROMOTION OF ACADEMIC INTEGRITY AND PREVENTION OF PLAGIARISM IN HIGHER EDUCATIONAL INSTITUTIONS) REGULATIONS, 2018, New Delhi the 23rd July, 2018, F.1-18/2010 (CPP-II)

Appendix 1:
Plagiarism Check Certificate

Appendix 2:
Undertaking by Guide and Student





KLE
EMPOWERING PROFESSIONALS



J N Medical College Campus, Nehru Nagar, Belagavi-590 010. Karnataka (INDIA).

☎ 91 831 2444444 ✉ www.kledeemeduniversity.edu.in

KLE ACADEMY OF HIGHER EDUCATION AND RESEARCH, BELAGAVI

(Deemed-to-be-University)

[Established under Section 3 of the UGC Act, 1956 vide MHRD

G.O.I Notification No.F.9-19/2000-U.3(A)]

Accredited 'A' Grade by NAAC (2nd Cycle)

Placed in Category 'A' by MHRD (GoI)



RESEARCH AND INNOVATION POLICY



The University

The KLE ACADEMY OF HIGHER EDUCATION & RESEARCH (KAHER) was established on 13th April, 2006 as per the Ministry of Human Resource Development, Government of India under the recommendation of University Grants Commission. The sponsoring society "The KLE Society" celebrating its centenary was established on 13th of November 1916 by "Seven Dedicated Teachers —The Saptarishis" and has under its wing 250 institutions spread across Karnataka, Maharashtra, Goa, Delhi etc.

In a short span of time the University has firmly established itself as a centre of excellence in terms of medical education, research and health care services at the national and international level. The University offers various undergraduate, postgraduate, post-doctoral, fellowship and certificate programs in the faculties of Medicine, Dentistry, Pharmacy, Ayurveda, Physiotherapy and Nursing.

In terms of infrastructure the University has excellent teaching facility, state of the art teaching hospital and medical research centre having 2400 beds, basic science research centre spread over an area of 10,000sq.ft., Wi-Fi facility all over the campus, digital library and other facilities on par with premier institutes of national and international repute. Facilities like bank, post-office, pharmacy, gym, swimming pool, indoor stadium, cafe, department store, travel booking, etc. are provided in the campus itself. Calendar of events delineating the date of examination schedule and other important curricular events are provided to every student at the beginning of academic session thus enabling the students to plan and pace their studies well in advance.

The Department of Allied Courses was established in 2007. There is expected to be a tremendous demand for allied health professionals in the years to come because of the phenomenal growth in the healthcare industry. In view of this, KAHER offers a range of allied courses in the form of undergraduate, postgraduate, fellowship, diploma, postgraduate diploma and certificate courses.



Research and Innovation Policy KLE Academy of Higher Education and Research (Deemed-to-be University)

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Research and Innovation Policy

KLE Academy of Higher Education and Research (Deemed-to-be University)

1. Preamble :

The KLE Academy of Higher Education and Research (KAHER) is committed to promote and support quality research in an intellectually stimulating and inspirational environment to address the scientific challenges of today and the future.

The enduring excellence in research that KAHER aspires for, is dependent on several attributes that include creativity, rigor, curiosity, persistence as well as on honesty, transparency, responsibility and ability for good communication and collaboration. Thus, intellect and integrity have to go together to maintain the credibility and reputation of the University's Research and repute of individual researchers. Hence it is the responsibility of every staff member and student to uphold the good reputation of the University and, consequently, it is expected that they will conduct research with integrity.

This policy aims to encourage and support research for acquiring, investigating and developing knowledge for the good of society, and to confirm that, all research is conducted in accordance with ethical principles.

2. Purpose of the Policy :

The policy shall serve as a general outline for conduct of all type of research activities of the University.

This policy is in line with University's mission and strategic plans for creating an empowering environment to foster a research culture, provide essential support through research framework and guidelines in order to produce high-quality, relevant and focused research.

It also aims to facilitate the attainment of excellence in research, collaborative activities, and raise awareness regarding good practices in research and innovation all within a meticulous ethical background.

3. Scope of the Research Policy :

The policy will be applicable to all the constituent units of KAHER and applicable to all Faculty of the University, Ph.D. Scholars as well as registered students (undergraduate, postgraduate) who undertake R&I activities, either funded or otherwise within/outside University premises. The research policy pertains to a wider strategic interests of the University including partnerships, collaborations, Clinical trials and MoU's.

4. Objectives :

- To create an empowering environment within KAHER to nurture research culture and to offer requisite support through research framework and guidelines.
- To ensure well-organized and active support system to facilitate faculty and researchers in their research activities.
- Administration of Research and Innovation strategy of the University, Budget, and Coordination Research Excellence Framework.

- To nurture an environment to undertake research that have public health as well as social impact and potential for commercialization.
- Providing a modality of for proper coordination of all research activities of the University and aligning these to the vision and missions of the University and national development goals
- Integrate research activities undertaken by the undergraduate, post-graduate and doctoral students with the research focus of the University in alignment with the national thrust areas;
- Ensure effective dissemination of research activities and achievements of the University both internally and externally and ensure publications in quality journals, indexed in Scopus/Web of Science and/or with impact factor.
- To fostercreate interdisciplinary collaborations and partnerships globally as well as nationally
- Translate new knowledge, innovations, technologies and tools emerging out of research conducted into products and processes for commercialization; Protect Intellectual Property (IP) generated as a result of research conducted
- To ensure that the research activities of the University conform to all applicable rules and regulation as well as to the established standards and norms relating to safe and ethical conduct of research.

5. Custodian of Policy

- The implementation and updating of Research Policy shall be carried out by Director of Research, KLE Academy of Higher Education. The Research Policy will function under the Research Coordination Committee headed by the Vice Chancellor, KAHER and administrative committee, to contribute and recommend in matters related to research within KAHER.
- The Principals and Deans of the various constituent colleges are responsible for the conduct of the research that is undertaken in their Institutions. They will ensure that all researchers are applying to the ethics review procedures for research activities that involve human participants, personal data or human tissue, in line with the University's Ethics Policy, governing the research involving human participants, personal data and human tissue. They will also be responsible for ensuring that all staff and students engaging in research are familiar with the content of the Policy and that appropriate training and guidance is made available.

6. Composition of the Research Coordination Committee (RCC)

- Vice chancellor – Chairperson
- Director, Research – Member Secretary
- Deans of Various Constituent Units
- Eminent experts from outside the University.

The RCC will meet thrice a year to review research progress, offer critical comments and suggest remedial processes to augment the research activities of the University. The 'Term' of the RCC, once constituted, will be for a period of Three (3) years after which the same members may be continued for another term.

7. Institution objectives & Research priorities

- KLE Academy of Higher education and Research (KAHER) envisions as one of the TOP TWENTY FIVE Medical and Allied Sciences Universities in the Asian Region by contributing to high quality Education, Healthcare, and Biomedical Translational Research and Institutional Social Responsibility service to the Society.
- The University aims to enhance the research profile of the University by effective dissemination of research activities and achievements of the University at all levels to maximize the impact and recognition of research done at KAHER at national and international levels. It also purposes to advance and facilitate interdisciplinary and multidisciplinary relationships by connecting with other research institutions and industries.

- The research should be consistent with the strategic interests of the University. It should will focus on the development of research and analytical skills, identification of social needs and its solutions regarding social, behavioral, financial and health problems of the people in the region,must improve the health outcomes of the community both local and global.
- Maintain and enhance the quality of research undertaken byCreating transparent, effective and efficient systems for maximizing research outputs;
- Translate new knowledge, innovations, technologies and tools emerging out of research conducted at Amity into products and processes for commercialization or for societal benefit; Protect Intellectual Property (IP) generated as a result of research conducted
- Encourage and facilitate research collaborations within different Institutes of the University along with reputed Institutes, Universities and Research Organizations both in India and abroad
- Ensure effective dissemination of research activities and achievements of the University both internally and externally

8. Identification of Thrust areas of Research

The Research projects undertaken should preferably fall under the thrust areas of the university/institute.

9. Research management:

The overall management of research activities will be coordinated by Directorate of Research, KLE Academy of Higher Education under direct supervision of Vice Chancellor. Research Coordination Committee and administrative committee shall be responsible for overall functioning of research activities within the University. Each Institution research activities will be coordinated by individual head of institutions and their committees thereof.

10. General Guidelines

Undertaking Research :

Faculty : Faculty members of KLE Academy of Higher Education and research departments are expected to undertake research, leading to quality publications, presentations in National/International conferences of repute, generation of Intellectual property with potential for commercialization, socially useful outcome and other similar research activity. Research output will be considered one of the criteria for faculty recruitment and promotion along with other academic responsibilities. All faculty should know the contents of the policy, follow the guidelines and apply for ethical approval to be reviewed and approved by the Institutional ethics Committee

Postgraduates : The postgraduates as part of their program must undertake dissertation work and other research projects in their respective disciplines. Their projects are reviewed by the scientific and Ethical committees at the constituent unit level.

Research Scholars/Ph.D Scholars : A Ph.D. dissertation is the first indicator of a researcher's ability to produce good quality research. KAHER believes in producing high quality research through their Ph.D Program. The candidates are recruited after a stringent two step elimination procedure involving a written examination and Interview. A separte Scientific and Ethical Review committee for the PhD program oversees the scientific quality, innovation and progress of the Scholars.

11. Ethics in Research:

The ethical conduct of research is essential for those working in all disciplines, particularly for researchers in medicine and life sciences. Research should avoid causing harm, distress, anxiety, pain or any other negative feeling to participants.

11.1: For Human Participants :

The University follows Ethical Guidelines for Biomedical Research on Human Participants of ICMR as are available at: http://icmr.nic.in/ethical_guidelines.pdf.

The University shall adhere to all the instructions given in the above said guidelines and their amendments to be made from time to time in future also by ICMR regarding human ethics in research. University is also committed to follows Standard Operating Procedures (SOP) of IECs as per ICMR as available at: http://icmr.nic.in/ethics_SOP.pdf

Clinical trials to be undertaken by the Institutes under KAHER will also comply with the requirements of the New Clinical Trails Rules 2019.

11.2: Animal Ethics policy :

The University follows Guidelines mentioned by CPCSEA, New Delhi on Animal Experimentation, Breeding and Laboratory Animal Facility as are available at: http://cpcsea.nic.in/writereaddata/user_files/file/sop_cpcsea_inner_page.pdf

The University shall adhere to all the instructions given in the above said guidelines and their amendments to be made from time to time in future also by CPCSEA. Similarly, the University is also committed to follow the below placed Act for ensuring the guidelines and provisions therein for prevention of cruelty to animals: The Prevention of Cruelty to Animals Act 1960 (59 Of 1960)

link : www.awbi.org

11.3: Committees to Oversee Research :**1. Institutional Ethics Committee :**

The university has in Place the Institutional Ethics Committee as per New Clinical Trial Rules 2019 and ICMR Guidelines which reviews the ethics of all medical research involving human participants, tissue and data also and monitor the ethics review measures in the constituent colleges including faculty research, Industry Sponsored Clinical Trial, Collaborative research etc. It will also dynamically promote the knowledge and awareness of research ethics and the policy thereof by conducting training and other academic events. The committee can offer advice on any research ethical matters that are referred to the committee and look into matters of research misconduct within the University. It will ensure recognition of the IEC by recognized bodies. The details of the Composition and Function is attached.

2. Ph.D. Ethics Committee for Human Research :

All research proposals by research scholars registered for PhD under all faculties (full time and part time) shall be scrutinized by this committee. The committee shall scrutinize applications for ethical approval for the research proposal, inspect and update the research scholar's regarding approval or recommend changes if need be. The research scholars are expected to address the concerns raised by the committee. The Committee provides guidance to all Faculties/Departments/constituent colleges.

The details of the Composition and Function is attached.

3. University Animal Ethics Committee :

This committee fFunctions as per the guidelines of Committee for Purpose of Control and Supervision of Experiments on Animals. (CPCSEA) and provide avenues and directions towards participation in animal research in all constituent colleges.

4. Ethics Committees for Individual Constituent Units : All the constituent Units also have their Ethics committees that monitor the Postgraduate Research undertaken in the Individual Constituent Units.

11.4 :Responsible conduct of Research :

The responsible conduct of research (RCR) involves the following major components : values, policies, planning and conducting research, reviewing and reporting research and responsible authorship and publication.

11.5: Responsibilities of the Researcher :

- Honesty and integrity as an investigator
- Minimal possible risk to participants and to themselves
- Respect for other people, their values and their cultures.
- Think through ethics issues for the particular project – minimize harms, choose populations fairly, develop respectful procedures
- Submit protocol to IEC, submit annual reviews to IRB, submit changes to IRB, submit adverse or unanticipated events to IRB
- Maintain records (with IRB, with subjects)
- The university expects that these principles are taken into consideration from the beginning, and throughout project's lifetime.
- Research projects shall be designed with a specific outline which may include a data management plan and define the project's operational procedure and timelines;
- An explicit statement on how the project can benefit the society shall be mentioned wherever appropriate.
- Any risks to people and/or animals and/or the environment and/or to cultural should be recognized wherever probable, and actions should be taken to manage/ minimize risks,
- Potential or real conflicts of interest should be declared and addressed adequately,
- In collaborative R&I, an initial arrangement shall be made as to the roles and responsibilities of researchers involved in a R&I project. The strategy for communications, transparent criteria for publication strategy, authorship, acknowledgements and intellectual property rights (IP rights) shall be explicitly agreed upon by all involved.

12. Research Promotion :

The university has several schemes under which financial assistance is being given to undertake and promote Research and Innovation activities :

- Capacity Building:KAHER provides financial assistance to conductConference, Seminars, workshops, Symposia and CME's on Research Methodology, Good Clinical Practice, Good Laboratory Practice, Publication and Peer review, Grant writing, IPR and Patenting, awareness of academic misconduct like plagiarism for promoting and improving the quality of research
- Seed money Faculty for Research:KAHER provide seed grants for faculty on a competitive basis based on the prior research experience and the quality of the proposed research project.
- Financial Support to attend State/National/International conference for faculty and Students
- Grants for Cash Incentives for prize winning presentation at National/International Level
- Financial assistance towards publication of Scientific Proceedings of Conference/CME in the form of Book.
- Financial grants for Publication of Books or Contribution of Chapter to textbooks
- Grant of cash Incentives for Patents
- Financial Grants for Publications in Scopus, Web of Science and Pubmed Journals.
- Scholarships and Contingency for Ph.D. Scholars

Additionally, KAHER encourages its Faculty by constituting several Research awards which include :

- Best PhD Thesis
- Best Postgraduate Dissertation award
- Cash award or Incentive for publication of Textbook or Reference Book
- Best Scientist award
- Best Young scientist Award
- Cash Incentive for Faculty who have received financial grant from external funding agencies
- Incentives for UG, PG students and Scientists to undertake Research activities

The details of the Financial assistance schemes and Research awards is attached as an Annexure.

13. Specific Research Endeavors :

13.1: Clinical Trials :

- Clinical trials must be conducted with a high standard of quality that assures the research question is answered in a reliable, valid, and unbiased manner, and that the rights and welfare of human subjects are protected.
- All clinical trials must be registered in the Clinical Trial Registry of India as mandated by CDSCO as on 15 June 2009 for clinical trials that are registered under the Drugs and Cosmetics Act and its Rules. All clinical trials, as a part of postgraduate, doctoral thesis or sponsored research being conducted in the University must be registered in the Clinical Trials Registry–India, linked to WHO registry.
- Trial registration should involve providing information regarding the study, investigators, Sites, sponsor, ethics committees, regulatory clearances, disease/condition, types of study, methodologies, outcomes, etc.
- The SMO coordinates the Clinical trials conducted in KAHER and the detailed SOP are attached.

13.2 : Research Collaborations :

- Researchers are increasingly collaborating with colleagues who have the expertise and/or for resources needed to carry out particular research. This could be inter-departmental/ inter-institutional or international and also multi center involving public and/or private research centers and agencies.
- Collaborative R&I ranges from international projects, potentially involving institutions from countries both in the developing and developed world, to mid-range collaborations involving several institutions within one country, through to projects involving two researchers from different disciplines. Collaboration includes R&I projects between researchers from different disciplines in the University, and R&I projects between the University and other institutions in India and/or in other countries.
- The main ethical issues surrounding collaborations pertain to sharing techniques, ownership of materials and data, IPRs, joint publications, managing research findings, managing COI and commercializing research outcomes. All these issues must be addressed by collaborating Institutes/investigators through a contract or MOU.
- Researchers should familiarize themselves with all aspects including local, national and international requirements for research collaboration including necessary approvals, memorandums of understanding (MoUs) and material transfer agreements (MTA) and EC approval of collaborating institutes.
- The IEC and the SMO Coordinate the Research Collaborations at KAHER.

13.3: Conflict of Interest :

- Conflict of interest (COI) is a set of conditions in which professional judgment concerning a primary interest such as patient's welfare or the validity of research tends to be or appears to be unduly influenced by a secondary interest such as financial gain or non-financial (personal, academic or political) considerations have the potential to compromise, or are perceived as compromising the exercise of professional judgment. COI can be at the level of researchers, EC members, institutions or sponsors and the types that can occur in research include conflicts of commitment, conflicts of conscience, and institutional conflicts of interest which vary from each other.
- Regulatory Aspects: Research being conducted in alliance with industries/ commercial companies will strongly review the possible COI between scientific responsibilities of researchers and business interests at the beginning. The Standard Operating procedure of Institutional Ethics committee and Site management Office will be strictly adhered to that will help the Self-regulatory processes to monitor, prevent and resolve conflicts of interest.

- The investigators shall declare conflicts of interest (financial interests, consulting fees or honorarium per participant, intellectual property rights from patents, copyrights and royalties from such rights, etc.) in the application submitted to IEC for review. IEC members would declare the conflict of interest before the review of the proposal and recuse from the deliberations and decision making on the specific proposal.
- A declaration of a conflict of interest, with a brief written record of that declaration, will suffice in most situations. Sometimes, may require modification of the project's plan.

13.4: Research Data Management :

KAHER regards the effective management of the data generated by research projects as an essential part of good research and innovation practice. It has the following steps undertaken for data management :

- Exploiting the impact of data-intensive research
- Assurance of research integrity
- Enhanced data protection and storage and minimizing the risk of data loss
- Enablement of data sharing and collaboration
- Open access principle to publicly-funded research outputs
- Compliance with the requirements of research funders.
- The primary responsibility for effective research data management during the course of research projects lies with Principal Investigators. However, all researchers, including postgraduate and undergraduate students undertaking research, have a personal responsibility to manage effectively the data they create.
- All research proposals for funded research shall include a data management plan. This will help to ensure that research data management is be considered at every stage of a research project, from the initial proposal and research costing, through to provision for long-term data curation.
- Data protection and storage is important and once collected, data must be properly protected, as it may be needed at a later stage to confirm research findings, establish priority, or be re-analyzed by other researchers. Responsible data handling begins with proper storage and protection from accidental damage, loss or theft.
- Care should be taken to reduce the risk of fire, flood and other catastrophic events. Computer files should be backed-up and the back-up data saved in a secure place at a site that is different from the original data storage site.

Data sharing is important as research data is valuable and needs to be shared, but deciding when and with whom to share may raise difficult questions. Once a researcher has published the results of an experiment, it is generally expected that all the information about that experiment, including the final data, should be freely available for other researchers to check and use. Data should be shared or placed in a public domain in a de-identified/anonymized form, unless required otherwise, for which applicable permissions/re-consent should be sought unless obtained beforehand.

13.5: Publications :

Responsible Authorship and Publication :

- Completed research must be published and shared on public databases such as CTRI, institute websites or other available relevant platforms.
- Plagiarism or any form of research misconduct is unethical and will be strictly avoided. The research misconduct includes self-plagiarism, fabrication, falsification, manipulation of data or images/digital image/use of unreliable or duplicate images, exaggeration on part of results and interpretation, use of wrong statistical tools, gift/ghost authorship etc.
- Researcher must ensure authenticity of research results before publishing or disseminating information out of the Institution.
- Researchers should follow guidelines of International Committee of Medical Journal Editors (ICMJE), Committee on Publication Ethics (COPE) on publication ethics, research integrity and authorship and ensure substantial intellectual role of all authors who are included in the publication or presentation.
- Ghost authorship and gifted authorship are not allowed and contributions of all authors should be clearly identified, collaborations if any, may be declared preferably at the time of project initiation or when the collaboration evolves during conduct of research, with the name and details of collaborators stated.
- Role of all authors should be clearly identified/justified. Authorship should be duly given to all those who have substantially scientifically contributed to the research and may include permanent as well as contractual/ temporary staff
- To ensure research output towards the most significant, highly cited publications within similar fields of disciplines, KLE Academy of Higher Education has collaborated with leading research data bases with indexing agencies viz; like Scopus (Elsevier) and expects the authors to publish in highly prestigious and externally peer-reviewed publications (preferably Journals indexed in Scopus, PubMed, Web of Science and UGC-Care list), wherever possible, to ensure opportunities for dissemination of our research are maximized. The articles should not be submitted to any predatory journal for publication.
- All sources, materials and methods used to obtain and analyze research data should be explained clearly in the publication. Any potential or real conflicts of interest should be declared in the publication
- The Research data and results should be checked rigorously for their integrity before being published and/or communicated with the public. Before publication or dissemination, the researcher/corresponding author should submit the final draft along with details of authorship and plagiarism check report to the Publication Review committee for approval where it will be reviewed regarding misconduct before giving approval (15 days)
- The research documents with acceptable level of plagiarism ($\leq 10\%$) or without identified misconduct shall be permitted for before publication/dissemination.

13.6: Patents and IPR :

Intellectual property (IP) refers to creations of the mind, such as inventions; literary and artistic works; designs; and symbols, names and images used in commerce. IP is protected in law by (patents, copyright, trademarks, and technology etc.) Intellectual Property Rights (IPRs), enable individual to earn recognition or financial benefit from what they invent or create. KAHER has a well-defined IPR Policy applicable to the faculty, staff, graduate students, post-doctoral fellows, and non-employees (including visiting faculty, affiliate and adjunct faculty, industrial personnel, fellows, etc.) who participate in research projects in the University. All potential inventors who participate in a sponsored research project and/ or make use of University-sponsored resources should abide by this policy and should accept the principles of ownership of IP as stated in this policy unless an exception is approved in writing by the University. A IPR cell in place to manage all IPR related issues.

14. Research Misconduct :

Research misconduct will involve fabrication, falsification and plagiarism of data, that are serious issues both nationally and internationally.

The University has adopted the definitions of research misconduct set out by UNIVERSITY GRANTS COMMISSION (PROMOTION OF ACADEMIC INTEGRITY AND PREVENTION OF PLAGIARISM IN HIGHER EDUCATIONAL INSTITUTIONS) REGULATIONS, 2018

Policy on Research Misconduct :

The University considers any allegation of research misconduct to be a matter of great concern and will investigate any such allegation fully. Given its reputation and status, the University has a responsibility to the research community and to the public at large. Research misconduct, if suspected, will be investigated. If facts are not presented accurately, Institution will investigate all allegations of misconduct as present or future participants' lives may be endangered. Such investigations will be done in a timely, fair and transparent manner and the results will be made available in the public domain wherever appropriate.

The university has constituted an Institutional Academic integrity Panel (IAIP) for the individual constituent Units of the University that will submit its recommendations to the University Academic Integrity Panel (UAIP). A detailed Plagiarism Policy is also in place.

15. Review of the Policy:

This policy will be reviewed every three years for inclusion of latest developments and revisions as per National and International Guidelines.

16. References :

1. National Ethical Guidelines for biomedical and health research involving human participants – Indian council of medical research 2017-
https://www.icmr.nic.in/sites/default/files/guidelines/ICMR_Ethical_Guidelines_2017.pdf
2. National Ethical Guidelines for biomedical and health research involving human participants – Indian council of medical research 2018-
https://naitik.gov.in/DHR/resources/app_srv/DHR/global/pdf/downloads/Handbook_on_ICMR_Ethical_Guidelines.pdf
3. ICMR Policy on research Integrity and Publication ethics (2019) :
https://www.icmr.nic.in/sites/default/files/upload_documents/ICMR_policy_ripe.pdf
4. National Guidelines for Ethics Committees Reviewing Biomedical and Health Research During COVID-19 Pandemic guidelines 2020,
https://www.icmr.gov.in/pdf/covid/techdoc/EC_Guidance_COVID19_06052020.pdf
5. COPE Guidelines- Good Publication Practices (2000):
<https://publicationethics.org/files/u7141/1999pdf13.pdf>
6. COPE Guidelines- How to handle authorship issues for new researchers 2018:
<https://doi.org/10.24318/cope.2018.1.1>
7. The US Office of Research Integrity, Introduction to the responsible conduct of research (2007)
8. WHO Code of conduct for responsible research (2017): <https://www.who.int/about/ethics/code-of-conduct-responsible-research.pdf>
9. UGC Guidelines for “Promoting and Improving the Quality of Research in Indian Universities” (2019): https://www.ugc.ac.in/pdfnews/5816125_Promoting-and-Improving.pdf
10. The UK Research Integrity Office, Code of Practice for Research: promoting good practice and preventing misconduct (2009) : <https://ukrio.org/wp-content/uploads/UKRIO-Code-of-Practice-for-Research.pdf>

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