# School of Planning and Architecture Bhopal

Neelbad Road, Bhauri, Bhopal - 462 030

## **SPA Bhopal Library**

## **Institutional Repository Policy & Guidelines**

Library of the SPA Bhopal is a resource centre of the institute that acquires, organizes and disseminates scholarly information. The library has the obligation to collect, organize and disseminate SPA Bhopal intellectual assets along with information generated through research and academic activities.

This information will be hosted by the Dspace open source software and the name of the repository will be "IR@SPA Bhopal"

#### Definition

An **Institutional Repository** is an online locus for collecting, preserving, and disseminating, in digital form, the intellectual output of an institution, particularly a research institution.

New World Encyclopedia

## Section A: Institutional Repository Policy

1. Purpose of SPA Bhopal IR Policy

- 1.1 Digital archiving and dissemination of institute intellectual output of faculty, administrators, students and others who are associated with the SPA Bhopal.
- 1.2 Support research, learning and administrative processes.
- 1.3 Contribution to an expanding network of open access scholarly content by placing faculty and students at the centre of scholarly activities.
- 1.4 State the policy for making the scholarly works available to the public through an open access repository accessible via intranet and internet.

2. Objectives of making the Repository (Benefits)

- 2.1 Support the student, faculty and staff of SPA Bhopal through open access to the repository and archiving of pre- and post-prints and other scholarship documents.
- 2.2 Promote the idea that our students' knowledge output has value through archiving theses, dissertations and other research outputs.
- 2.3 Expand institutional visibility, access, audience, and impact.
- 2.4 Showcase the institute to prospective students, colleagues, funders, stakeholders etc.

3. Stakeholders of the Repository

- 3.1 **Faculty Research Output-** Pre-prints or Post-prints of journal articles/ papers, Working papers, Book chapters or Book bibliography, Conference presentations, Monographs, Reports, Research Datasets etc.
- 3.2 **Students Academic and Research Output -** Master's theses, Bachelor's theses, Doctoral dissertations, Research Colloquium papers etc.

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- 3.3 **Institution and its Documents** Annual reports, Institutes Magazines and Journals, other SPA Bhopal Publications, Media coverage, Images, Videos etc.
- 3.4 **Non Institutional** Papers presented in Seminars/ Conferences/ Workshops etc., conducted by the institute or persons not associated with SPA Bhopal.

#### 4. Intellectual Property Rights

- 4.1 The Repository shall be managed in accordance with Indian Copyright Law.
- 4.2 Copyright owners shall retain the copyright for their material stored in the Repository. The Institute shall endeavor to observe and abide by the document publisher's policies and Indian Copyright Law in relation to according 'open access' to Institutional Repository.
- 4.3 SPA Bhopal Institutional Repository shall respect the author's/ creator's copyright for the deposited content and shall at all times adhere to the Copyright Law. If the Repository Management Committee receives any proof of copyright violation, the relevant item will be removed immediately.
- 4.4 All depositors will be required to agree to a non-exclusive SPA Bhopal Institutional Repository deposit agreement (Appendix 1) in order to give permission for their work to be included in SPA Bhopal Institutional Repository, to provide for access to their work, and to allow digital preservation of both their work and/or the related metadata.
- 4.5 Every time scholarly work is accessed online via SPA Bhopal Institutional Repository, the end user shall be required to agree to respect the original copyright of the work, which a depositor has granted access to.
- 4.6 In circumstances wherein SPA Bhopal's student, faculty, staff and the Institution itself owns the copyright to the work placed in the SPA Bhopal Institutional Repository, open access policy will be applied.
- 4.7 Where research is generated as a result of collaboration between multiple authors, SPA Bhopal Institutional Repository will accept an author undertaking on behalf of coauthors, provided the author has the co-authors' authority to enter into the agreement on their behalf. Should there be an objection raised, the material in question will be withdrawn subject to further investigation of the complaint.

## 5. Quality Control

All submissions will be subject to the following quality control criteria:

- 5.1 The Repository Management Committee will review and assess all submissions before making them available via SPA Bhopal Institutional Repository for:
  - 5.1.1 Eligibility of the depositor/author and successful entering into Repository deposit agreement.
  - 5.1.2 Validity of metadata.
- 5.2 The validity and authenticity of the submission (full text or equivalent).

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5.3 Any submissions not meeting the submission criteria will be returned to the depositor(s) alongwith reasons for refusal of inclusion into Repository.

#### 6. Preservation Policy

- 6.1 Items will be retained within SPA Bhopal Institutional Repository indefinitely.
- 6.2 SPA Bhopal shall endeavor to provide continued readability and accessibility of all Items deposited in the repository.
- 6.3 Withdrawn items will not be deleted *Per Se*, but will be removed from public domain but their identifiers/URLS will be retained indefinitely.
- 6.4 URLS will continue to point to "Tombstone" Citations, to avoid broken links and to retain item histories.
- 6.5 In the event of SPA Bhopal Institutional Repository being closed down, Institute will make all reasonable endeavors to transfer the database to another appropriate archive subject to relevant decision by the Institute Authorities.

#### 7. Compliance and Monitoring

- 7.1 The SPA Bhopal Library shall manage the repository and will be responsible for:
  - 7.1.1 Verifying online submissions, validating and enhancing associated metadata and ensuring research outputs are accurately displayed online.
  - 7.1.2 Organizing copyright clearances to facilitate open access to research outputs wherever possible and required.
  - 7.1.3 Initiating and maintaining internet harvesting protocols for the SPAB's research and scholarly output.
- 7.2 The Institutional Repository activities will be coordinated by an IR administrator, who will carry out the day to day functions of the repository. The Director shall appoint a Repository Management Committee to help and oversee the implementation of the repository.
- 7.3 Institute librarian or In-charge library together with other administrative heads, educational department heads of SPAB will be responsible for ensuring that academic staff and students are aware of their obligations to submit their scholarly and research outputs to SPA Bhopal Institutional Repository (IR@SPA Bhopal) to aid the Institute in exposing its research to the wider global community and thereby enhancing its visibility.
- 7.4 The computer & IT section will be responsible for the data interchange and the maintenance of the systems and supporting infrastructure.
- 7.5 Besides the formal review, there will be a content review to ensure the quality of works being deposited.

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## 8. Compliance with Publisher and Research Funder Policies

SPA Bhopal Repository does not require deposit of the full text of books or research monographs.

For all other type of documents, in order to be compatible with publishers' copyright agreements, the Repository Administrator of SPA Bhopal will undertake the following actions:

- For all submitted items the Repository Administrator will check the Publisher's policy.

  Most policies are documented in the SHERPA/ROMEO database.

  (http://www.sherpa.ac.uk/romeo.php) Library will use this as support tool.
- 8.2 Many publishers will allow the peer-reviewed final draft to be self-archived, often specifying that a specific acknowledgement be used along with the self-archived item. The Repository Administrator will ensure any such acknowledgements are included in the Repository.
- 8.3 Occasionally publishers allow their own final pdf version to be self-archived. In these instances, the Repository Administrator will contact the submitter to ask for the appropriate item version.
- 8.4 Occasionally publishers will not allow either the author's own final, post refereed version or the publisher's version to be self-archived. In these instances, the Repository Administrator will contact the submitter to inform them, and, if appropriate, recommend that the author's preprint version (pre-refereed version) may be submitted instead, if desired by the author.
- 8.5 For all submitted items, where Research Funder information is supplied, the Repository Administrator will check the Research Funder's policies as regards to ensuring Open Access to research results and publications arising from their funding. Policies are documented in the SHERPA/JULIET data base (Research Funders Archiving Mandates and Guidelines <a href="http://www.sherpa.ac.uk/juliet/index.html">http://www.sherpa.ac.uk/juliet/index.html</a>). Library will use this as a support tool. Wherever possible, the Repository Administrator will fulfill any archiving requirements on behalf of the submitting author, or alternatively inform them of what they need do to fulfill the conditions of funding.

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## **Section B: Repository Guidelines**

#### 1. General and Administrative Guidelines

Notwithstanding anything contained in this section the following will be reviewed as necessary to continue to meet the various needs of the Institute.

- 1.1 Faculty, staff, student of this Institute as well as outsiders can access this Institutional Repository over intranet & Internet with or without credentials (valid user name as indicated in Section B.2).
- 1.2 Faculty, staff, students of this Institute can create their account (valid user name) in the repository, and will be eligible to upload their own scholarly works authored or coauthored while being in the SPA Bhopal tenure.
- 1.3 The policy will not apply to scholarly works completed before joining SPA Bhopal and for which the Institute entered into an incompatible licensing or assignment agreement before its adoption.
- 1.4 The Institute will waive application of the policy to a particular scholarly work upon request by the Institute member.
- 1.5 Scholarly works will be provided in the final version and as an electronic copy at no charge, to the library through office of the **Dean (R&D)** / **Dean (AA)** in an appropriate format immediately after publication.
- 1.6 The Institute may make the scholarly works available to the public in an open access repository over intranet & Internet (as indicated in Section B.2).
- 1.7 The Office of the **Dean (R&D)** / **Dean (AA)** or a committee constituted specially for the purpose by the Chairperson Senate will be responsible for interpreting this policy, resolving disputes concerning its interpretation and application, and recommending changes to the Institute from time to time.
- 1.8 The SPA Bhopal Repository Management Committee reserves the right to accept or reject any scholarly works presented for open access

#### 2. Repository Content

The repository will contain publications, research outputs, consultancy reports, UG & PG theses and doctoral theses from members of the SPA Bhopal in digital format. Following type of materials shall be the part of the repository and conditional access will be accorded as following guidelines.

2.1 SPA Bhopal Intellectual Capital (Faculty, Staff & Student publications)

Bibliographic Details - Public/ open access

Full-Text - Restricted access

2.1.1 Journal Articles

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	2.1.2	Books (Bibliography Only) -	
	2.1.3	Book Chapters	
	2.1.4	Conference Publications	
2.2		ssertations (Submitted in the Institute)	
		ographic Details - Public/ open access	
	Full-	Text - Restricted access	
	2.2.1	PhD Theses (will be available also in Shodhganga)	
	2.2.2	Master's thesis	
	2.2.3	Bachelor's thesis	
2.3		Publications	
		ographic Details - Public/ open access	
	Full-	Text - open access or Restricted access as indicated below	
	2.3.1	Annual Reports - Full text and Public/ open access	(
	2.3.2	Hindi Magazine (Spandan) - Full text and Public/ open access	
	2.3.3	SPA Bhopal Monographs – Full text and Restricted access	
2.4	Newspaper	物是沙拉·美国主义,是一个一个一个一个一个一个一个一个一个一个一个一个一个一个一个一个一个一个一个	
		iographic Details – Public/ open access	
	Full-	Text — Public/ open access	
	2.4.1	Emerging Areas in Education	
	2.4.2	SPA Bhopal in Media (Institute newspaper clippings)	
2.5	SPA Bhopa	l old Question Papers (UG, PG question papers)	
		iographic Details - Public/ open access	
	Full	-Text - Restricted access	
2.6	Reports (Se	elective on recommendation of faculty)	(
		ographic Details - Public/ open access	
	Full-	Text - Restricted access	
	2.6.1	Studio Reports - Full Text- Restricted access	
	2.6.2	Tour Reports - Full Text- Restricted access	
	2.6.3	Event Reports (Reports of institutes various events/ activities) – Full Text Public Access	
2.7	SPA Bhopa	l Events	
	Bibl	iographic Details - Public/ open access	
	Full	Text - Public/ open access	
	2.7.1	Images	
	2.7.2	Videos	

- 2.8 SPA Bhopal Research Datasets
  Bibliographic Details Public/ open access
  Full-Text Restricted access
- 2.9 Any other item found suitable by the committee
  Bibliographic Details Public/ open access
  Full-Text Restricted access/ Public access (as decided at the time)
- 2.10 The following types of scholarly woks are NOT included in the Repository.
  - 2.10.1 Scholarly works intended for commercial purpose
  - 2.10.2 Scholarly works containing confidential or proprietary information
  - 2.10.3 Scholarly works restricted due to cultural sensitivity
  - 2.10.4 Scholarly works that would infringe a legal obligation of the institute and / or the author(s) or creator(s), or the legal rights of a third party

#### 3. Access

The materials in the Repository are intended to be freely accessible over intranet/ internet whereas some items will be available to the registered users with certain privileges. IP link will be provided on Library OPAC and library web page.

## 4. Acceptance of Contents

Institute shall accept submission of above mentioned contents mentioned in Section B.2 "Repository Contents"

## What not to deposit:

- 4.1 Any research or consultancy report which includes a confidential report for a sponsor, i.e., company/ commercial third party, or which has been prepared after an agreement that includes a clause of confidentiality, will not be included, or will have restricted access unless otherwise agreed by the sponsor.
- 4.2 Administrative reports such as minutes, committee reports, individual royalty payments.

For plagiarized works and libelous resources, access should be suppressed and erased.

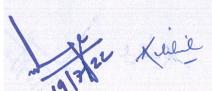
#### 5. Procedure of Submission

Items shall only be deposited by the faculty, staff, students of the SPAB, or their delegated representatives.

5.1 Authors who are depositors shall only submit their own work for archiving.

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- 5.2 Where an item has multiple authors:
  - 5.2.1 At least one author must be a member of staff or a student of SPA Bhopal, and
  - 5.2.2 The submitting author shall obtain the permission of the co-authors.
- 5.3 SPA Bhopal Institutional Repository is not an exclusive repository. Authors may also deposit their work in other repositories as desired or required.
- 5.4 Deposit of full items will be encouraged at the earliest possible opportunity, but where a depositing author has assigned copyright, the full item will not be made publicly visible until any publishers or other embargo periods have expired.
- 5.5 The SPA Bhopal Institutional Repository Administrator will only assess items for the eligibility of authors/ depositors; relevance to the scope of SPA Bhopal Institutional Repository, valid layout and format, correct metadata and the exclusion of spam.
- 5.6 The validity and authenticity of the content of any submissions is the sole responsibility of the depositing authors.
- 5.7 Any submitted works shall be subjected to a plagiarism check.

#### 6. Specifications and Conditions of use of Data

- 6.1 Anyone may access items in the repository for personal research or study, educational or not-for-profit purposes without prior permission or charge, provided that:
  - 6.1.1 The authors, title and full bibliographic details is credited, where available, and
  - 6.1.2 Users do not alter the work or plagiarize the work
  - 6.1.3 A hyperlink and / or Universal Resource Locator (URL) are given for the original metadata page, and the content is not changed in any way.
- 6.2 Full items are not sold commercially in any format or medium without formal permission of the copyright holders.
- 6.3 All users will be expected to use materials in the repository within the copyright limits.
- 6.4 Some full items may be individually tagged with different rights permissions and conditions and users are expected to adhere to these conditions.
- 6.5 File Formats
  - 6.5.1 The IR@SPA Bhopal team will work to recognize and support as many file formats as possible.
  - 6.5.2 All formats can be deposited, but people should consider depositing their items in formats that are open, sustainable, and well-used in their fields. The following formats are preferred for preservation reasons:
    - 6.5.2.1 Textual: PDF, TXT, HTML, XML, CSV
    - 6.5.2.2 Images: TIFF, JPEG 2000
    - 6.5.2.3 Audio: WAVE, AIFF
    - 6.5.2.4 Video: MOV, Motion JPEG 2000

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## 6.5.2.5 Datasets/ Database/ Spread sheet: CSV, XML

6.6 SPA Bhopal / SPAB library will not be liable for any copyright violation arising from use of items in the repository.

#### 7. Creation of Metadata

- 7.1 The metadata schema used throughout by this Institutional Repository will be principally based on Dublin Core.
- 7.2 Where necessary, to facilitate the full description of a resource, other elements and element refinement as defined by the Dublin Core Metadata Initiative will be used.
- 7.3 Anyone may access the metadata free of charge.
- 7.4 The metadata may be reused in any medium without prior permission for not-for-profit purposes provided the Open Archives Initiative (OAI) identifier or a link to the original metadata record is given, and the repository is mentioned and should be cited as IR@SPA Bhopal (SPA Bhopal Institutional Repository).
- 7.5 The metadata shall not be re-used in any medium for commercial purposes without formal permission.

## 8. Selection, Retention, Replacement and Withdrawal

#### 8.1 Selection and Retention

- 8.1.1 Items produced as a result of research activity at SPA Bhopal and deposited by an eligible depositor will be accepted and retained indefinitely in the SPA Bhopal Institutional Repository unless:
  - 8.1.1.1 The item infringes on copyright or other rights.
  - 8.1.1.2 The item is proven to include falsified research.
  - 8.1.1.3 The item fails to meet legal requirements.
  - 8.1.1.4 The item is in a format which cannot be stored or displayed satisfactorily.
- 8.1.2 If a depositor leaves the employment at SPA Bhopal, their items shall be retained in the SPA Bhopal Institutional Repository, unless the depositor seeks to exercise their rights and obligations under any relevant clause given in replacement & withdrawal.

## 8.2 Replacement

- 8.2.1 A depositor may request that an item be replaced by another version if:
  - 8.2.1.1 An error is discovered in the content, or,
  - 8.2.1.2 A published version of the item becomes available and need arises to replace the unpublished version on the repository.

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8.2.1.3 The replacement item may use the same record as the original.

#### 8.3 Withdrawal

- 8.3.1 Items will only be deleted from SPA Bhopal Institutional Repository if there are legal or Intellectual Property Rights issues or other exceptional circumstances.
- 8.3.2 Items may be withdrawn from open access if necessary and placed in a closed access archive.
- 8.3.3 Records of items will be withdrawn from view for reasons such as these being found to violate the legal rights of a third party.
  - 8.3.3.1 SPA Bhopal Institutional Repository shall retain the right to remove the work(s) for professional or administrative reasons as well.
- 8.3.4 Items removed from view will be traced (but to avoid loss of the historical record) in the form of a note in the (Provenance, Description) field of the Dublin Core record. The content of the note should be one of following:
  - 8.3.4.1 Removed from view at request of the author.
  - 8.3.4.2 Removed from view at the Institute's discretion.
  - 8.3.4.3 Removed from view by legal order.
- 8.3.5 Acceptable reasons for withdrawal include:
  - 8.3.5.1 Proven copyright violation or plagiarism.
  - 8.3.5.2 Legal requirements and proven violations.
  - 8.3.5.3 National security.
  - 8.3.5.4 Falsified research.
- 8.4 A metadata record(s) indicating the work(s) stored in the repository will remain in perpetuity.
- 8.5 The depositor may request the work(s) is/ are removed at any point in the future and can request that their own items are withdrawn from open access view in this Institutional Repository and stored as a closed access item. The final decision remains at the discretion of the Institute.

## Policy and Guideline Review:

In keeping with the dynamic nature of information communication in the scholarly environment, SPA Bhopal will undertake review of this policy from time to time, preferably every five (5) years from the development of this policy. This will ensure that it remains relevant and addresses the needs of the SPA Bhopal community.

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## **DISCLAIMER:**

SPA Bhopal Institutional Repository (IR@SPA Bhopal) is an online archive not a publisher. The repository administration checks all submissions for format, authors' eligibility and adherence to the repository content Policy and Guidelines. Depositors must agree to the SPA Bhopal Deposit Agreement. Neither SPA Bhopal nor the repository officially affirm or provide guarantee for any statements contained within the items in the repository.

Additionally, neither of the above parties accepts any responsibility or liability for the contents contained therein. The responsibility of the contents within the repository shall lie solely with the respective authors/ content creator including for matters such as plagiarism, content quality, data authenticity etc.

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# APPENDICES Appendix 1 Deposit Agreement

The SPA Bhopal institutional repository supports the long-term preservation of, and free access to research materials produced by members and the Institute itself. To undertake this role, the repository staff needs permission to store, copy and format/ manipulate the materials in order to ensure that it can be preserved and made available in the future. This Deposit Agreement is designed to give SPA Bhopal Institutional Repository administrators the right to do this and to confirm that the depositor has the right to submit the material to the repository. The Agreement is non-exclusive, and the depositor does not give away any of their rights to SPA Bhopal Institutional Repository.

By agreeing with and accepting this license, I/we

(The author(s), copyright owner or nominated agent) Agree to the conditions as stated be	elow, for the
deposit of the item (Title:	

(Also referred to as the Work) in the institutional repository maintained by SPA Bhopal or any other repository authorized for use by SPA Bhopal.

By depositing my/our work in SPA Bhopal Institutional Repository I/we agree to the following:

- I. That I am the author or have the authority of the author/s to make this agreement and do hereby give SPA Bhopal the right to make the work available in the way described above.
- II. That I am/we are free to publish this work in its present or future versions elsewhere.
- III. I/we confirm that:
  - a) I am/we are the copyright owner(s) and/or have the right to make this agreement with you.
  - b) The work is original and to the best of my/our knowledge does not infringe anyone's copyright.
  - c) The work does not violate or infringe any intellectual property law.
- IV. I/we agree to:
  - a) Add the work to the repository so that it is freely available online for the lifetime of the repository.
  - b) Convert the work as necessary to ensure that it can be read by computer systems in the future.
- V. That removal of the item can only be made after approval of the principal repository administrator.

I/we understand that SPA Bhopal Institutional Repository:

- I. May distribute copies of the work (including the abstract) worldwide, in electronic format via any medium for the lifetime of the repository for the purpose of open access.
- II. May electronically store, convert or copy the work to any medium or format for the purpose of future preservation and accessibility.
- III. May incorporate metadata or documentation into public access catalogues for the work.
- IV. Shall retain the right to remove the work for professional or administrative reasons, or if it is found to violate the legal rights of any party.

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Shall not be under obligation to take legal action on behalf of the depositor or other V. rights holders in the event of infringement of intellectual property rights or any other right in the material deposited.

Shall not be under obligation to reproduce, transmit, or display the work in the same VI.

format or software as that in which it was originally deposited.

Additionally, I/we also understand that if, as a result of my/our having knowingly or recklessly given a false statement and the Institute suffers loss, I/we will make good that loss and thus indemnify SPA Bhopal for all actions, suits, proceedings, claims, demands and costs occasioned by the Institute in consequence of my/our false statement.

While every care will be taken to preserve the physical integrity of the work, SPA Bhopal shall incur no liability, either expressed or implicit, for the work or for loss of or damage to any of the work or associated data.

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I/ We ..... (The author(s) hereby grant to SPA Bhopal Institutional Repository a non-exclusive license on the terms outlined.

#### I declare that:

- I am/we are the owner(s) of the copyright for the whole work (including content & layout), or am duly authorized by the owner(s) or other holder of these rights and I am competent to grant under this agreement, a license to hold and disseminate copies of the material.
- The work is not and shall be in no way a violation or infringement of any copyright, trademark, patent, or other rights whatsoever of any person.
- That if the work has been commissioned, sponsored or supported by any organization, I/we iii. declare that I/we have fulfilled all of the obligations required by such contract or agreement.

Name:	Institute Librarian / In-Charge:
(Author/Copyright owner or Nominated Agent)  Department:	Signed:
Department.	Date:
Sign:	Stamp
Date:	

#### Appendix II License Note

## NON-EXCLUSIVE DISTRIBUTION LICENSE

By signing and submitting this license, the author(s) or copyright owner grants to School of Planning and Architecture (SPA) Bhopal the non-exclusive right to reproduce, translate (as defined below), and/or distribute the submission (including the abstract) worldwide in print and electronic format and in any medium, including but not limited to audio or video.

The author(s) or copyright owner agree that SPA Bhopal may, without changing the content, translate the submission to any medium or format for the purpose of preservation.

The author(s) or copyright owner also agrees that SPA Bhopal may keep more than one copy of this submission for purposes of security, back-up and preservation.

The author(s) or copyright owner represent that the submission is his/her/their original work, and that she/he/they have the right to grant the rights contained in this license. The author(s) or copyright owner also represent that his/her/their submission does not, to the best of his/her/their knowledge, infringe upon anyone's copyright.

If the submission contains material for which the author(s) do not hold copyright, the author(s) represent that he/she/they have obtained the unrestricted permission of the copyright owner to grant SPA Bhopal the rights required by this license, and that such third-party owned material is clearly identified and acknowledged within the text or content of the submission.

IF THE SUBMISSION IS BASED UPON WORK THAT HAS BEEN SPONSORED OR SUPPORTED BY AN AGENCY OR ORGANIZATION OTHER THAN SPA BHOPAL, THE AUTHOR(S) REPRESENT THAT HE/SHE/THEY HAVE FULFILLED ANY RIGHT OF REVIEW OR OTHER OBLIGATIONS REQUIRED BY SUCH CONTRACT OR AGREEMENT.

SPA Bhopal will clearly identify name(s) of the author(s) or owner(s) of the submission, and will not make any alteration, other than as allowed by this license, to your submission.

Name:	Institute Librarian / In-Charge:
(Author/Copyright owner or Nominated Agent)  Department:	Signed:
	Date:
Sign:  Date:	Stamp

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