



Guidelines for Research and Consultancy Activities



Vice Chancellor's Message

As we begin the academic year 2025–26, it's a meaningful moment for us to reflect on who we are and where we're headed as a university. At DYPIU, research isn't just about numbers or rankings—it's about curiosity, impact, and our shared commitment to building a better future.

With that spirit in mind, we have revisited and refined our research policies, setting thoughtful and realistic targets for the year ahead. These are more than just guidelines—they're tools to help us grow together, grounded in national expectations like NAAC and NIRF, but shaped by the aspirations of our own academic community.

Whether you're deep into a project, mentoring a young researcher, exploring new collaborations, or just beginning your research journey—every effort counts. The revised policies are here to support and guide you, not restrict you.

Let's continue to strengthen our culture of meaningful research, not just for recognition, but because it matters—to our students, to society, and to us.

Warm regards,

Prof (Dr) Mahish Bhalla

Vice Chancellor

D Y Patil International University

Akurdi, Pune



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Preamble

D Y Patil International University DYPIU, Akurdi, Pune (henceforth called DYPIU) committed to developing as a leading state private university, that supports research by proactively furthering a culture of research among faculty, research scholars, academic associates, scientists, and students. This commitment to furthering research draws on the vast experience of the faculty in doctoral and post-graduate education, providing opportunities to enhance its reputation, globally, among leading researchers and institutions. DYPIU has formulated its R&D policy based on Appendix-85, Resolution No. 27 {27-10} of UGC.

- To support research activities, DYPIU provides infrastructure, which includes a variety of software tools, well-equipped labs including a Digital fabrication lab, etc. A large library of published work, from reputed journals, books, or in the form of diverse outputs, forms the fulcrum of research activities at DYPIU.
- DYPIU also provides encouragement through incentives and academic mentoring through experienced researchers.
- Research at DYPIU is envisioned to proceed through autonomy and academic freedom for all researchers. Ensuring the integrity of the research process, and output is of utmost importance to DYPIU. To this end, DYPIU has developed policies on research ethics and accountability through transparency, along with guidelines on social responsibility.
- Further, DYPIU encourages researchers to apply the paradigm of integrative research. The integration it seeks is not just across disciplines, but also better integration within disciplines - including the integration of research results across different temporal and spatial scales between different schools of thought, and between empirical and theoretical approaches. This is to emphasize the process of conceptual thinking.
- DYPIU observes social justice goals as envisaged in the constitution and in the policies of the Government of India by providing equal access to research opportunities.

DYPIU recognizes that research scholarship outputs are wide-ranging, besides bibliometric indicators. DYPIU recognizes that through research activities the faculty, students, and all others involved are scientific and cultural agents of change and excellence.

Scope of Research Endeavors

DYPIU's research endeavors will be:

- To advance research across disciplines, organizations, and schools of thought.
- To encourage addressing real-life problems of nation and society through collaborative / team research.

Thrust Areas of Research

- Brain computer Interface
- Advancing Neuro Rehabilitation Through Technology-Driven Approaches
- Computer vision, Image processing and Pattern Recognition
- Cloud computing/ IOT
- High performance Computing
- Software Quality and Testing
- Space Technology
- Advanced Manufacturing
- Control and Automation – Semiconductor
- Corrosion and Tribocorrosion Research Area
- Development of Tunable THz Devices and Energy Harvesting
- Cell and Tissue engineering
- Precision medicine and Healthcare
- Food Technology
- Health care diagnostics and therapeutics
- Drug Design and Molecular Medicine
- Nanotechnology
- Applied and Computational Mathematics
- Quantum computations
- Algebraic Graph Theory and Quantum Computation
- Bayesian Estimation for Lifetime Models
- Applied Mathematics: Cosmology and Astrophysics
- Metaheuristics and Evolutionary Computations
- Dynamics of Interface Evolution
- Management Research
- Economics and Finance Research
- Humanities
- Environment and Sustainable practices
- Smart Grid and Electric Vehicles
- Intellectual Property Rights (IPRs)

Conduct of Research

DYPIU seeks to promote, support, and regulate all research activities involving faculty, research scholars, academic associates, scientists, and students. More specifically, DYPIU, while expecting professional self-regulation, also expects all researchers to adhere to the principles of ethical conduct of research at all times.

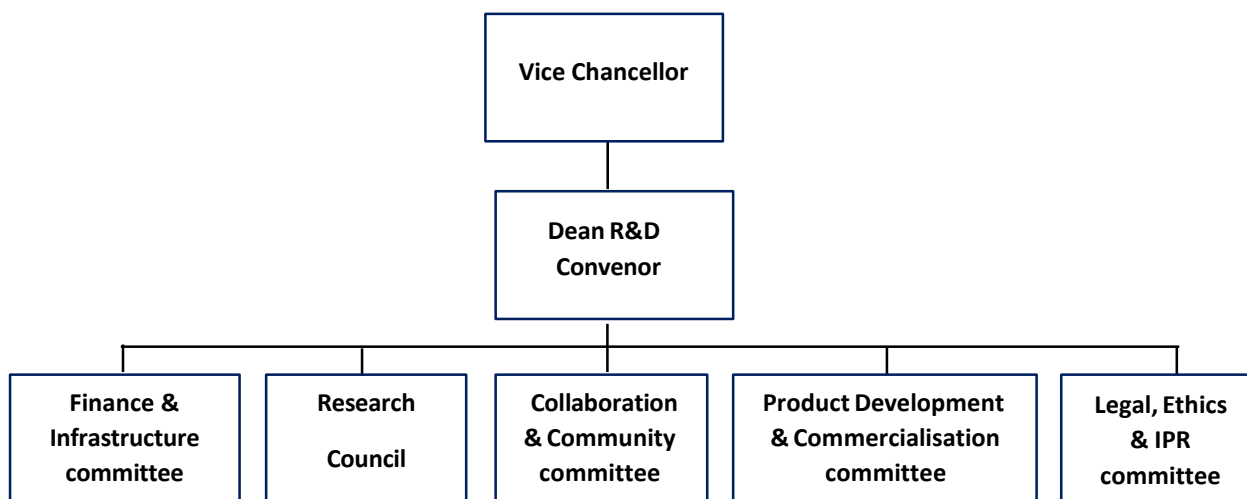
- To maintain the quality and standard of research, DYPIU will review and approve the research proposals through the competent authorities appointed by DYPIU including Dean (R&D) and the research advisory committee, Institutional Ethics Committee and other relevant committees that may be constituted.
- All these committees will create their standard operating procedures (SOPs), templates associated to the policies and flowchart of their functioning.
- All these committees would work under NDA with the proposer. Besides seeking these approvals, guidelines issued by DYPIU will also need to be complied with.

General Guidelines

- Faculty members of DYPIU are expected and encouraged to undertake research, leading to emerging technologies & socially relevant products/outcomes, quality publications, presentations in National/International conferences, and generation of intellectual property rights with potential for commercialization, and other similar research activity.
- The guidelines apply to all research / consulting projects from the faculty of all disciplines. All the research/consultancy projects are under the ambit of the School of Interdisciplinary Studies and Research.
- DYPIU aims to encourage interdisciplinary engagement of various researchers through the “thematic research groups” aiming to solve real-life/world problems.
- DYPIU provides Research Grants and Professional Development Fund to every faculty. Research Grants can be availed to procure equipment, software, consumables, etc. Professional Development Fund is a fixed amount available every year for the faculty to be used for conferences, publications and IP support.
- Policy of no conflict of interest- Actual, potential, and seeming conflicts should be disclosed including those of next of kin. No work should be taken up in direct competition with DYPIU. No data of University/Faculty/Staff of DYPIU is to be used for personal gains.
- Confidentiality - Use of DYPIU Findings, Funding, and confidential information partly or wholly including students, staff, or doctoral scholars for outside work is not permitted

without prior authorization.

- Organization Planning –
 - The research advisory council will form multiple committees for smooth operations facilitating planning, implementation and monitoring of research activities; technology, appraisal, foresight & review functions, mediating sectoral R&D progress, and IPR protection.
 - These multiple functional units can support institutional research under a single-window operational system for effective administration.



Finance & Infrastructure Committee	
Vice- Chancellor	Chairman
Dean (Research and Development)	Member
FO/Registrar	Internal Members
Registrar	Member Secretary

Composition of Research Council	
Vice- Chancellor	Chairman
Dean (Research and Development)	Member Secretary
External Experts	Three- Four members appointed by VC (Plus Industry experts to be added)
VC Nominee 1 (Internal)	Member
VC Nominee 2 (Internal)	Member
VC Nominee 3 (Internal)	Member
Special Invitees	Any special guest can be invited to the RC meeting by the Chair

* The Research Council shall constitute a committee of experts from different domains and including academic experts from DYPIU.

Collaboration and Community Committee	
Vice- Chancellor	Chair
Dean (Industrial Relations)	Member Secretary
Dean Corporate Affairs	Member
VC Nominee 1 (Internal)	Member
VC Nominee 2 (Internal)	Member
Expert	Member

Product Development & Commercialization Committee	
Vice- Chancellor	Chair
Dean (Research and Development)	Member Secretary
VC Nominee 1 (Internal)	Member
VC Nominee 2 (Internal)	Member
Expert	Member

Legal, Ethics & IPR Committee	
Vice- Chancellor	Chair
Dean (Research and Development)	Member Secretary
VC Nominee 1 (Internal)	Member
VC Nominee 2 (Internal)	Member
Expert	IPR Expert

- Any funding proposals submitted will require the prior approval of a Research Committee made up of VC, Dean and 2 nominees from the university. A specialist from the domain of research may be consulted whenever needed.
- Researchers are required to submit the title and objectives of the project to the Dean for registration of the study in the central registry.
- With collaborative assignments, it is required to have a Memorandum of Understanding (MoU)/ Agreement (MoA) that includes ownership/partnership.
- All research grants will be received by DYPIU in the name of the Registrar, DYPIU Akurdi, Pune.

Sponsored Research Projects

- Regular faculty members of DYPIU are allowed to conduct sponsored research, but after seeking necessary prior permissions from DYPIU, without impeding on the responsibilities of teaching, supervision of undergrads, master students, research scholars & other institutional commitments.
- DYPIU will encourage involvement in all sponsored research projects as a part of the duties as employees of DYPIU.
- While submitting research proposals, a university overhead of 20% of the total cost of the proposal should be included.
- A percentage (50%) of the overheads can be given to the PIs as a Research incentive. This would be counted as part of the “Maximum Consultancy Fee”.
- The proposed research should address questions contributing to new knowledge, solving challenges, developing new methods for solving problems, and improving lives/technologies.
- The proposal should delineate aims, background, methodology, and proposed outcomes. The research work should be documented properly along with a literature survey, and proper documentation of each candidate’s contribution.
- The documentation of process/ information of data sources, quality, storage, and retrieval are necessary both for proper research practices, award of proper credits to avoid conflict, and address the concerns about potential misconduct.
- Clear data ownership and accountability must be maintained.
- The data generated and the records should be submitted to the repository as the ownership of data lies with DYPIU.
- Ethical norms should be followed for the conduct of research.
- All publications and other outcomes of the projects are to explicitly acknowledge and abide by the allocation rules of DYPIU.
- All researchers are to undertake research activities in accordance with DYPIU policies and rules.

Consultancy Research Projects

- In Universities, effective teaching involves the simultaneous interaction with the industry and higher education institutions to enrich the information associated with the effective performance of a project. DYPIU has knowledge in various research areas to provide know-how and intellectual inputs which are of interest to the industry and different companies. The following recommendations may be used for undertaking any Consulting activities:

- o A consultancy activity is one where faculty and staff offer technical know-how and expert inputs to the industry or other corporations (inside the home country and overseas), broadly in line with their work domain & functions.
 - o Faculty/staff may take the consultancy project after obtaining approval before the committee consisting of the VC, Dean(R&D), and the Director of the school.
- All consultancy proposals are approved by the VC of DYPIU.
- Consultancy fees include honorarium, remuneration, and any other income as per the policy of the University.
- Out of total consultancy fees receivable by a faculty/staff; following would be applicable based on the financial year:
 - o Up to Rs. 5 lakh - No DYPIU allocation
 - o From Rs. 5 to 10 lakh - 30% of fees above 5 lakh allocated to DYPIU
 - o Above Rs. 10 lakh - 1.5 lakh + 40% of fees above 10 lakh allocated to DYPIU
- In case, the total consultancy fee in a financial year exceeds the “Maximum Consultancy Fee” limit of any faculty/staff involved in the activity then it would be reserved & credited to the “Academic Fund” of the faculty/staff to be utilized for approved academic activities. “Maximum Consultancy Fee” limits are given as follows:
 - o Teaching Assistants, Lecturers and PhD students- Rs 5 lakh
 - o Assistant Professor - Rs 10 Lakh
 - o Associate Professor - Rs 15 Lakh
 - o Professor - Rs 20 Lakh
- It should be ensured that the consultancy work does not interfere with the normal teaching/research work and any other responsibility assigned by the
- University No of hours spent on such work should not exceed 20% of working hours.

Research/Staff Appointments

- DYPIU understands the significance of the appointment of research staff in all Sponsored and Consultancy Research projects carried out by the faculty.
- Research competence will form the main consideration for the appointment of research staff in DYPIU.
- All research staff appointments are required to adhere strictly to the University guidelines for appointments.
- DYPIU encourages the appointment of secretarial staff for assistance in administrative work of the project from the project fund or academic fund (if available)

Agreements/MoA/LoA

- By entering into research-initiated MoA - Memorandum of Agreement and LoA - Letter of Agreement (with other Universities, Institutions, and Industries), DYPIU will ensure 'bi- directional knowledge and information flow.
- All MoUs - Memorandum of Understanding concluded with other Universities, Institutions, and industries will adhere to the objectives and values of DYPIU.
- All MOUs - will be registered with the Dean (R&D) and maintained by the Registrar.

Policies and Facets of DYPIU Research Practices

- DYPIU encourages equitable access to all resources and promotes best practices by following ethical practices and complying with regulatory standards. DYPIU provides a stable institutional environment, which is conducive to research. The University views learning about research as a skill, which can be improved upon throughout one's career.
- To encourage participation in research activities, DYPIU allocates research funds to initiate and continue his research work. This includes attending conferences and paper publication fee etc.
- Research fund to be used for research related activities with prior approval of the University for defined purposes:
 - o Rs 80k Per Year – Assistant Prof (Can accumulate up to 3 years and would lapse after that)
 - o Rs 100k per year – Associate Professor (Can accumulate up to 3 years and would lapse after that)
 - o Rs 120k per year – Professor (Can accumulate up to 3 years and would lapse after that)

- o PhD candidates – Rs 50k one time
 - o Lecturer – maximum Rs 50k per year – no accumulation
 - o Teaching Assistant/Teaching Associate – no support
- The research fund can be utilized for up to a period of three years.

For Faculty

- A diverse set of indicators and measures are applied to encourage research endeavors. Publications with Peer-review journals and presentations in conferences/seminars /meetings are encouraged.
- DYPIU will offer incentives to the staff publishing in such journals. The following incentives are offered for publishing research papers/textbooks/conference presentations by the faculty.
 - o Journals of immense repute (Impact Factor >10, e.g., Nature, Lancet, Cell): Rs.10000/-
Paper should appear in the likes of Nature, Science, Lancet, JAMA, Harvard Business Review, Administrative Science quarterly, AMC, Cell, MIT press, and any other journal as per the policy of the University to be updated from time to time.
 - o Q1 & Q2 Journals (IF ≤10) – Indexed (Scopus, SCI, WoS, IEEE, etc.): Rs. 5,000/-
It should appear in the Journals and Indexed by SCI, SCIE, SSI, IEEE, IET and Scopus.
 - o Q3 & Q4 Journals – Indexed in Scopus, SCI, WoS etc.: Rs. 2,000/-
 - o National Journal: Rs. 2,000/- It should appear in the National Journals and Scopus or Science Indexed.
 - o International Conference: Rs. 5,000/- Organized by NIT/IIT/Central/State Universities and participation of international delegates is mandatory
 - o National Conference: Rs. 2,000/- Organized by NIT /IIT /IIIT /Universities with a global ranking of 500 or NIRF ranking of 100 / Research Laboratories / Reputed Institutions with Autonomous Status with NAAC or NBA accreditation
 - o Publishing Textbook or chapters in Textbooks: Rs. 2,000
 - o Utility Patents (granted): Rs. 10,000 (Provided DYPIU is the applicant)
 - o Design Registration: Rs. 2,000 (Provided DYPIU is the applicant)
- Publication in any predatory or Fake journal will be dealt with strictly in accordance with the UGC guidelines
- Student authors of the publication in any of the above-mentioned journals will get an incentive as per policy decisions for contribution to publication.
- If the publication is contributed by multiple authors from the University, the incentive amount will be shared by all members.
- Published article should have DYPIU, Akurdi as its affiliation.
- Published articles should be in the domain of expertise of the researcher.

- University will encourage a “course buyout” policy by use of the academic fund. Details would be worked out later

Attending and Presenting in Conferences

- DYPIU encourages its faculty to participate in conferences/symposia to showcase their achievements. Faculty should be presenting their research findings and data in various conferences of repute and be able to interact and develop networks with other institutions engaged in similar research work.
- Faculty members who wish to present their research work /findings carried out at DYPIU are encouraged to make presentations with prior approval to Dean R&D. A soft copy of the abstract/ paper should be submitted in advance.
- A Research Scholar who wants to participate in a conference should have to give a declaration in writing of his intent to continue and finish his/her PhD after attending the conference.
- The faculty selected for travel grant should have a
- Full paper-based selection and oral /poster presentation.
- Abstract based selection and oral/poster presentation.
- An application to attend a conference should be submitted to Dean R&D for prior approval. Their period of absence during this period will be considered as on duty including travel dates.
- The faculty members availing support may submit a report on the seminar/conference attended by them within 15 days after attending the event.
- The faculty members attending conferences will be reimbursed with the travel grants that can be claimed from the annual research fund allocated.

For Students

- DYPIU encourages its undergraduate and postgraduate students to engage in research and development. Students who need financial support for their research may submit their project to the Student Research Committee for further approval under the UG/PG Research Society Policy. Rs. 10000 per project/year will be allocated for this policy. Project Intake Based on Programme Size:

Programme Intake	Number of Projects per Year
Up to 30 students	2 projects
Up to 60 students	5 projects
Up to 120 students	10 projects
More than 120 students	20 projects

- Projects conducted by DYPIU students are eligible to get IP and publication support from their faculty mentors’ PDF.

Financial Administration of Research Projects

The DYPIU promotes equitable sharing of resources/benefits with researchers in order to encourage high-end research in the University as per policy of the University.

Conflict of Interest and Resolution Mechanisms

- Our high standards of scrutiny mandates public disclosure of all financial interests by individuals engaged in sponsored, consultant, and extramural funding.
- Professional activities (including teaching and research) along with financial interests are to be disclosed by all faculty members along with the identity of funding bodies and the amount and duration of funding received.
- All conflicts of interest or disputes are subject to resolution mechanisms. However, the DYPIU reserves through the University the right, if need be, to evolve a mechanism and resolve the situation in a time-bound manner.

From Knowledge for its own sake to use of Knowledge

Practical relevance of research work to be undertaken at the University has been predominantly noted in terms of providing a world-class curriculum, Digital fabrication lab, Design Lab, Computer and Biolab facilities, Entrepreneurship Nurturing, etc. In the arena of Artificial Intelligence, Machine Learning, likewise 10 tracks of CSE with emerging technologies, 4 tracks in Bioengineering, etc. all STEM (Science, Technology, Engineering, and Mathematics) related interdisciplinary approach & idea of translational research has been promoted to enhance the value of research conducted in laboratories by identifying practical use or applications of that knowledge. University has the necessary infrastructure (incubation centres) and Technology Industrial Liaison Entrepreneurship mechanisms to promote innovation and entrepreneurship on the University campus.

Faculty members and researchers will be allowed to be part of committees constituted at international/ national/ state levels on public interest issues. The admissible leave will be provided to faculty members to discharge such duties as per the policy of the University. The University seeks to further reduce the prevailing gap between research work undertaken at the University and the use of that knowledge in decision-making, or as a 'public good', or in implementing solutions. The University is therefore committed to strengthening the efficacy of various models that integrate research with the public good.

Research Grant Policy and Standard Operating Procedure (SOP) for Availing Research Grant

1. Vision and Mission

DYPIU is committed to fostering a vibrant research culture. The University encourages faculty members to actively engage in interdisciplinary and transdisciplinary research activities by providing institutional support in the form of financial grants, designated research time, and infrastructure. The aim is to not only promote academic advancement but also to ensure the training and involvement of students in research-oriented learning.

2. Objectives

- a) To promote quality research among faculty members.
- b) To facilitate the procurement of research infrastructure that benefits both the faculty and students.
- c) To create a transparent and efficient mechanism for availing research support funds.

3. Research Grants for Equipment and Projects

DYPIU promotes project-based research through partial funding support:

- a. **Project Criteria:** Each faculty member is encouraged to pursue at least **two research projects**.
- b. **Application:** Submit a proposal to the Dean, R&D, detailing the purpose, expected outcomes, and list of required equipment/consumables.
- c. **Accessibility Clause:** Equipment/software must be accessible to other faculty and not treated as personal property.
- d. **Review Process:** Proposals are presented to a committee of experts (appointed by the Vice Chancellor)
- e. **Approval:** The committee will recommend the approval, or suggest changes for the next round of discussion. The final approval will be given by Vice chancellor
- f. **Procurement:** Approved items must be purchased as per DYPIU's procurement policies.

4. Research Grant Application Process

4.1 Faculty-Initiated Research Projects

- 4.1.1 Maximum of two research projects/school will be granted per year.
- 4.1.2 For projects requiring specialized equipment or consumables, faculty must submit a detailed proposal to the Dean, Research and Development (R&D).
- 4.1.3 Each proposal must have a Principal Investigator (PI) and a Co-Principal Investigator (Co-PI). Number of Co-PIs can be increased to 3 for each proposal.

4.2 Proposal Requirements

- 4.2.1 Detailed Project Abstract and Objectives
- 4.2.2 Itemised List of Equipment/Consumables with Estimated Cost
- 4.2.3 Justification for Each Item
- 4.2.4 Potential Users List (other faculty/staff who can benefit from the equipment)
- 4.2.5 Expected Research Outputs (publications, patents, student training outcomes, etc.)

5. Evaluation and Approval Process

- a. The Research and Development Committee will send call for the proposals quarterly.
- b. The Research and Development Committee will evaluate the proposals. R&D Committee will be chaired by Vice Chancellor with Dean (R&D) as the Member Secretary. 2 members will be nominated by the Vice Chancellor.
- c. For further evaluation of the proposals, the Committee can call for an expert.
- d. R&D Committee will organise the presentations of the proposals.
- e. Faculty will present their project, highlighting:
 - Research relevance and goals
 - Intended use of fund
 - Shared accessibility of the proposed equipment
- f. The Committee will submit recommendations for grant approval.
- g. Dean (R&D) will issue a letter of grant approval to the applicant.
- h. Upon approval, orders for procurement will be placed following the University's Purchase Policy.

6. Equipment Ownership and Sharing Policy

- Equipment, software, or tools purchased under this scheme remain University property.
- Such resources must be made accessible to other faculty and research staff.
- A log of users and usage shall be maintained by the department to ensure transparency and efficient use.

7. Monitoring and Utilization Report

- Grantees must submit a Utilization Certificate (with original bills, invoices, purchase orders) and Brief Report at the end of each financial year or upon exhaustion of the fund.
- Non-utilized funds (within the accumulation limits) shall lapse after the specified accumulation period.

8. Amendments and Exceptions

- Any amendments to the policy are subject to the approval of the Vice Chancellor.
- Special exceptions may be granted on a **case-by-case basis**, based on merit and necessity.
- Special considerations can be made for the faculty who have received government and non-government grants. During the waiting period of the grant received, the faculty can apply for the Research Grant of 20% of the approved amount from the University on the condition of adjusting the same upon disbursement of the received grant from the external agency.

9. Roles and Responsibilities of Research and Development Committee

- Maintain minutes of meetings and circulation of a common template for proposals.
- Meet quarterly or as required.
- Issue calls for proposals to all Schools.
- Receive and evaluate shortlisted proposals from the faculty.
- Identify and engage with experts when needed.
- Finalize approval in consultation with the Dean – R&D and Vice Chancellor and provide Project Codes to the approved projects
- Maintain records of all funded projects and organize the annual Student Research Conference.
- Promote a culture of research through research and development associated activities like conferences, FDPs & workshop associated to research, etc.

Professional Development Fund (PDF) and Standard Operating Procedure (SOP) for Availing PDF

1. Vision and Mission

DYPIU is committed to fostering a vibrant research culture. The University encourages faculty members to actively engage in research activities by providing institutional support in the form of financial grants for academic advancement and research-oriented learning.

2. Objectives

- a. To provide financial assistance for attending conferences, publishing research, and purchasing essential research equipment or consumables.
- b. To create a transparent and efficient mechanism for availing research support funds.

3. Eligibility & PDF Allocation

Designation	Annual Allocation	Accumulation Policy
Assistant Professor	₹ 80,000	Up to 3 years (₹2.4 lakhs); lapses after 3 Years
Associate Professor	₹ 1,00,000	Up to 3 years (₹3 lakhs); lapses after 3 Years
Professor	₹ 1,20,000	Up to 3 years (₹3.6 lakhs); lapses after 3 years
PhD Candidates	₹50,000 (one- time)	Not eligible
Teaching Assistant/Associate	Not applicable	Not applicable

4. Permissible Use of PDF

Funds can be utilized (with prior approval) for:

- a. Attending National/International Conferences and Workshops
- b. Article Processing Charges (APC) for Research Publications
- c. Filing of Patents, Copyrights, and Design Registrations
- d. Purchase of Research Software and Licences
- e. Minor Consumables
- f. Purchase of Small Equipment or Gadgets
- g. Prototype Development and Fabrication

5. Incentives for Publications

Faculty Publications

Publication Type	Incentive Amount
Q1 Journal (Impact Factor >10, e.g., Nature, Lancet, Cell)	₹10,000
Q1 & Q2 Journal (IF ≤10) – Indexed (Scopus, SCI, WoS, IEEE, etc.)	₹5,000
Q3 & Q4 Journal – Indexed (Scopus, SCI, WoS, IEEE, etc.)	₹2,000
Utility Patent (Upon Grant)	₹10,000
Industrial Design Registration (Upon Grant)	₹2,000
International Conference (with international delegates)	₹5,000
National Conference (organized by reputed institutions)	₹2,000
Textbooks/Chapters	₹2,000

Note:

- Predatory or fake journals are strictly prohibited.
- Articles must list DYPIU as the author's affiliation and lie within their domain of expertise.
- APCs paid from university research funds are not eligible for incentives.
- If multiple authors from DYPIU are involved, the incentive is shared equally.
- Incentives for the patents will be granted only for the cases where DYPIU is the applicant.

Student Authors

Incentives may be awarded to student authors in line with university policy based on their contribution and co-authorship.

6. Seminar/Conference/ workshop Participation Policy

Faculty and scholars are encouraged to present research at national and international conferences.

- Eligibility: Only the presenting author (first or corresponding) is eligible.
- Selection Types: Full paper or abstract selection (oral/poster) is acceptable.
- Application: Submit intent and soft copy of abstract/paper to Dean R&D for prior approval.
- Attendance: Considered 'on duty', including travel.
- Maximum fund allocation per year:

Type of Conference/Seminar/Workshop	Maximum Annual Allocation
Local (Pune based)	₹10,000
National	₹20,000
International Conference	₹50,000

- f. Post-Conference: Submit a report within 15 days.

Travel and registration costs may be reimbursed from the individual's annual research fund.

7. Ethical and Institutional Responsibilities

- All research must adhere to ethical and legal standards.
- DYPIU will periodically revise and circulate updated guidelines based on institutional goals and national/international standards.
- A “course buyout” mechanism may be explored to give faculty time for intensive research, funded via academic allocations. (In case, the total consultancy fee in a financial year exceeds the “Maximum Consultancy Fee” limit of any faculty/staff involved in the activity then it would be reserved & credited to the “Academic Fund” of the faculty/staff to be utilized for approved academic activities like course buyout)

8. Evaluation and Approval Process

- The application for availing PDF can be submitted time to time to the Dean, R&D.
- A Research and Development Committee will evaluate the applications and submit recommendations for grant approval.
- Dean (R&D) will issue a letter of grant approval to the applicant.
- Initially, the faculty must pay the fees/amount in advance and can get it reimbursed upon producing the relevant document to the committee.

9. Amendments and Exceptions

- Any amendments to the policy are subject to the approval of the Vice Chancellor.
- Special exceptions may be granted on a case-by-case basis, based on merit and necessity.



Reimbursement Form for Attending Conferences and Workshops

Name :

PRN/Staff Number :

Name of Conference :

Organizing Society :

Dates & duration of Conference :

Venue/place of conference :

Organized by :

Title of the accepted Talk/poster :

Authors of the Accepted talk/poster (in order as they appear in paper) :

Work Done at : DYPIU/Others

Travel : Third AC/Others

Attachments: 1. Abstracts,
2. Full paper,
3. Tickets
4. Registration fee receipt.

Declaration that Funding to attend the conference is not received from any other source

Amount of claim

i) Registration : Rs _____
ii) Travel : Rs _____
Total : Rs _____

Signatures of claimant

Recommended by

Supervisor / Director of School

Dean(R&D)

Registrar

Approved by

Vice Chancellor



Reimbursement Form for Membership of Professional Associations/Societies

Name :
PRN/Staff Number :
Phone number/ Email Name of Organization :
National/International :
Professional Member type : Annual/Life Member
(Professional)/Life Member (annual)/Student Member (annual):
Address/URL of Society :
Amount Paid Amount claimed :

Signatures of claimant

Recommended by

Supervisor / Director of School

Dean(R&D)

Registrar

Approved by

Vice Chancellor

Policy on Recognition and Allocation of Research Supervisors for PhD Scholars

The policy has been drafted on the standards of the University Grants Commission (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022.

1. Eligibility Criteria for Recognition as Research Supervisor

a) Faculty Eligibility:

- Any regular Professor at DYPIU with a PhD and a minimum of five research publications in refereed journals may be recognized as a PhD Supervisor.
- Any regular Associate or Assistant Professor at DYPIU with a PhD and at least two refereed journal publications may also be recognized.

b) Institutional Requirement:

- Only full-time faculty members of DYPIU are eligible to serve as research supervisors after the completion of their probation. Professors can take PhD students during the probation period as well.
- External supervisors are not permitted. However, co-supervisors may be appointed from interdisciplinary areas within DYPIU's sister institutions and industry, subject to Doctoral Committee (DC) approval.

c) Supervisory Load:

Faculty Designation	Maximum Number of PhD Scholars Supervised
Professor	8
Associate Professor	6
Assistant Professor	4

- d) A supervisor may take a maximum of two new PhD candidates per academic year.
- e) Each PhD scholar may have no more than two supervisors.
- f) A prospective supervisor must have at least three years of service remaining at DYPIU at the time of student allocation.

2. Discontinuation or Departure of Supervisor

- a) If a recognized supervisor discontinues full-time employment at DYPIU, they may continue as a **co-supervisor** with approval from the DC and the Vice Chancellor.
- b) In such a case:
 - If a co-supervisor exists, they shall assume the role of **primary supervisor** for all academic and administrative responsibilities.

- If no co-supervisor is in place, the **DC mentor** will act as interim mentor until a new faculty supervisor is allocated from the approved list. DC mentor will not have any role in guiding the research of the student. Thus, the student must find their next supervisor within 1 month of the departure of their previous supervisor. Before the end of the month, the student must submit a list of 3 potential supervisors to the Dean (R&D). The Dean (R&D) will appoint a committee of 3 members (not related to the subject of the student) who will assess the research area of the student and the list of the potential supervisors given by the student. Within 10 days of the appointment, the Committee must provide the name of the PhD supervisor for the student to the Dean (R&D), who will then inform the student and the faculty of their appointment.
- c) If the scholar has completed over **80%** of their PhD work and about to make the synopsis in 3 months' period, the original supervisor may continue in that role, with a DYPIU faculty member assigned as administrative co-supervisor.

3. Annual Recognition and Orientation of Supervisors

- The **Dean – R&D** shall circulate a call for faculty to register their interest in guiding PhD scholars at the beginning of each academic year.
- A **Research Orientation Programme** shall be conducted where eligible faculty present their research domains to prospective scholars.
- After successful completion of the **PhD Qualifying Examination**, students will interact with potential supervisors and, upon mutual consent, a supervisor will be allocated and formally recognised by the DC.

4. Changing or Withdrawing Supervision

- If either the supervisor or the student is unwilling to continue the supervisory relationship, the DC and Dean – R&D will evaluate both parties' concerns and arrive at an amicable solution.
- Repeated supervisor-student conflicts may result in temporary **suspension of supervisory privileges** for the faculty member (for up to one year).

5. Appointment of Co-Supervisors

- A faculty member wishing to include a **co-supervisor** from outside DYPIU (academia or industry) must submit an application along with the proposed co-supervisor's CV.
- The DC will assess the suitability of the external candidate before formal recognition as a co-supervisor.

6. Supervisor Selection Process for PhD Students

Supervisor selection must be finalized within six months of passing the qualifying examination.

a) Research Orientation Seminar:

DC will organize a seminar each semester where all eligible faculty deliver presentations on their research domains.

b) Supervisor Selection Methods:

Method	Description
Rotatory Process	Students may work with up to two faculty members for two weeks each prior to finalizing a supervisor. A maximum of three rotations may be permitted. Each faculty may host up to 4 students per intake, but no more than 2 students at a time.
Direct Selection	Students and faculty who reach prior mutual agreement may directly proceed with supervisor allocation.
Grant-Based Allocation	Students who bring their own grant or are part of a funded project may directly register under the respective project supervisor.

Once finalized, the supervisor must form a **Thesis Advisory Committee (TAC)** within **one month**, consisting of two interdisciplinary faculty members **not including the co-supervisor**, and submit the **tentative thesis title** for DC approval.

If a supervisor is assigned multiple students, they must ensure that **at least one TAC member is unique** for each student. The supervisor will be held accountable for compliance.

Policy for Promotion of DYP Undergraduate/Postgraduate Research and Innovation Society (DYP-UG/PG-RIS)

1. Introduction

D Y Patil International University (DYPIU) recognizes the importance of undergraduate and postgraduate research in cultivating critical thinking, creativity, and problem-solving skills. This policy aims to encourage and support original research and innovation projects undertaken by students under faculty mentorship.

To facilitate this, a maximum of ₹5 lakhs per academic year shall be allocated for student research funding. Based on student strength, the amount can be increased from 5 lakhs to 10 lakhs.

Number of Project Sanctioned Based on Programme Intake:

Programme Intake	Number of Projects per Year
Up to 30 students	2 projects
Up to 60 students	5 projects
Up to 120 students	10 projects
More than 120 students	20 projects

Note: Exceptions to the intake or budget limits may be made upon recommendation by the respective School Director to the Dean (R&D), with final approval from the Vice Chancellor.

2. Objectives

- To integrate research-based learning into undergraduate and postgraduate education.
- To foster a culture of scientific inquiry, design thinking, and innovation among students.
- To provide financial and academic support for student-led research initiatives.
- To enable opportunities for publication, presentation, and patenting of student research outputs.

3. Eligibility Criteria

a) Student Eligibility

- Full-time undergraduate students (from the 2nd year onwards) and all full-time postgraduate students are eligible to apply individually or in teams.

b) Faculty Mentor Requirement

- Each project proposal must be supervised by a current DYPIU faculty member who will

serve as the research mentor.

4. Funding and Support

a) Funding Allocation

- A maximum of ₹10,000 per approved undergraduate project and ₹20,000 per approved postgraduate project will be sanctioned. This may cover expenses for materials, prototyping, software, minor instrumentation, and travel for data collection.

b) Approval and Disbursal Process

- Project proposals will first be screened at the School level and forwarded to the Student Research Committee (SRC), chaired by the Dean – R&D, for final approval.
- The SRC reserves the right to reject proposals lacking potential or feasibility and may invite external experts for evaluation.
- Funds will be disbursed through the Finance Office upon completion of the project and submission of all original bills and required documentation.

c) Utilization Guidelines

- Students must submit original receipts along with a utilization certificate, signed by their faculty mentor.
- Unused funds must be returned to the University.

5. Application Process

- a. Calls for proposals will be issued twice annually (in August and January).
- b. Students must submit:
 - i. A short research proposal (maximum 2 pages) outlining objectives, methodology, expected outcomes, and a detailed budget.
 - ii. A signed endorsement from the faculty mentor.

6. Evaluation Criteria

- a. Originality and feasibility of the research idea.
- b. Clarity of research objectives and methodology.
- c. Alignment with societal, technological, or academic goals.
- d. Academic performance and practical skills of the student/team.
- e. Effective utilization of available resources and equipment.

7. Reporting and Dissemination

- a. Students must submit a final project report within 3 months of completion. The report should include:
 - i. Statement of novelty

- ii. Methodology and process
- iii. Results and conclusions

8. Post-Completion Opportunities

- a. Students are encouraged to submit research papers to journals or conferences with the support of mentors.
- b. Patent filing (if applicable) should be routed through the University's IPR Cell.
- c. All funded projects shall be considered property of DYPIU.
- d. Project findings must be presented at the Annual Internal Student Research Conference.

9. Recognition and Incentives

- a. Outstanding projects will receive certificates of merit.
- b. Selected high-potential projects may be offered further support for incubation, publication, or patent filing.

10. Policy Review

- a. The policy shall be reviewed annually by the Office of the Dean – R&D and the Student Research Committee (SRC) to incorporate feedback and improve implementation.

11. Student Research Committee (SRC)

Roles and Responsibilities of SRC:

- a. Maintain minutes of meetings and circulation of a common template for proposals.
- b. Meet quarterly or as required.
- c. Issue calls for proposals to all Schools.
- d. Receive and evaluate shortlisted proposals forwarded by School Directors on a pro- rata basis.
- e. Finalize approval in consultation with the Dean – R&D and Vice Chancellor and provide Project Codes to the approved projects
- f. Maintain records of all funded projects and organize the annual Student Research Conference.
- g. Promote a culture of research through student-centric activities such as hackathons, ideathons, and workshops.
- h. Composition:

Members	Role
Dean, R&D	Chairperson
Representative faculty from each School	Member

Consultancy Policy

1. Introduction

D Y Patil International University (DYPIU) has cultivated a faculty body comprising domain leaders, innovators, and researchers committed to excellence. To extend the reach and impact of the knowledge generated, DYPIU encourages faculty and staff to engage in consultancy activities. Such activities not only strengthen teaching, research, and service, but also foster industry-academia partnerships and societal impact.

Consultancy provides a platform to enhance professional competence, establish strategic networks, and promote real-world problem solving. This policy outlines the procedures, approval mechanisms, financial guidelines, and administrative processes governing consultancy engagements at DYPIU.

2. Objectives

- Encourage faculty engagement with industry and external agencies for knowledge transfer.
- Leverage university expertise in specialized domains to solve real-world challenges.
- Enhance research relevance, teaching quality, and professional reputation.
- Regulate and monitor consultancy activities to ensure institutional alignment.

3. Definitions and Scope Types of Consultancies

- a. Individual Consultancy: Initiated and executed by individual faculty members.
- b. Institutional Consultancy: Undertaken in the name of the university, involving institutional resources.
- c. Expert Consultancy: Provision of subject-matter expertise for complex problems.
- d. Testing and Calibration Services: Involving the use of university facilities for quality assurance.

4. Client Types

Consultancy may be extended to:

- a. Industry and corporate organizations (domestic and international)
- b. Government and public sector undertakings
- c. Non-governmental organizations
- d. Research and development agencies

Nature of Services May Include:

- a. Technical problem-solving
- b. Process audits and evaluations

- c. Technology assessment and transfer
- d. Design and development projects
- e. Software/tool development
- f. Strategy and policy advisory
- g. Legal, economic, environmental or managerial advice

5. Approval Process

- a. Proposals must be in the prescribed format (refer Section 10).
- b. A committee comprising the VC, Dean (R&D), and two nominated senior faculty members shall evaluate proposals exceeding ₹5 lakh. For proposals less than 5 lakhs, Dean (R&D) can take decision upon recommendation by the committee.
- c. Faculty may not undertake consultancy without prior approval.

6. Operational Guidelines

- a. Consultancy must align with the faculty/staff's area of expertise.
- b. Maximum time allocated: 8 hours/week (exceptions require Dean and Director approval).
- c. Institutional duties must not be compromised.
- d. No consultancy may involve conflict of interest.
- e. All payments must be routed through the university account.
- f. No activity should contravene existing university policies.

7. Financial Guidelines

Revenue Sharing Structure (per financial year)

Consultancy Amount (₹)	Faculty Share (Post Tax)	University Share	Approval Requirement
Up to ₹5 lakh	100%	0%	Dean (R&D)
₹5–10 lakh	100% up to ₹5L + 70% of balance	30% of balance	Vice-Chancellor
Above ₹10 lakh	₹8.5L + 60% of balance above 10L	1.5L + 40% above ₹10L	Vice-Chancellor

Maximum Annual Earnings:

Role	Amount
Teaching Assistants, Lecturers, PhD Scholars	₹5 lakh
Assistant Professors	₹10 lakh
Associate Professors	₹15 lakh
Professors	₹20 lakh

- a. Excess earnings will be deposited into the individual's Academic Fund for research and professional development (with proper utilisation approval).

8. Disbursal & Documentation

- a. Disbursals shall be made post-submission of the Consultancy Disbursal Form.
- b. Each approved consultancy must be allocated a Consultancy Code to connect all the relevant document with the same.
- c. All documents (MoUs, invoices, disbursal records) must be archived with Dean (R&D) and Finance.

9. Exclusions (Non-Consultancy Activities)

The following do not qualify as consultancy:

- a. Examining external theses or viva voce
- b. External reviewer appointments
- c. Talks, invited lectures, and media appearances
- d. Editing books or scientific journals
- e. Any other activity deemed non-consultancy by the university

10. Intellectual Property (IP) and Legal Aspects

- a. A formal MoU must be signed before project initiation, covering IP rights and financial terms.
- b. IP generated can be jointly owned by DYPIU and the client, where agreed.
- c. Filing costs for jointly owned IP may be borne by the university, if agreed.
- d. All consultancy-related IP shall be governed by the DYPIU Intellectual Property Policy.
- e. Confidentiality pertaining to other projects being conducted at DYPIU must be ensured at all times.

11. Cost Estimation Components

Charges for consultancy shall include:

- a. Consultant Fees (minimum per-hour > university per-hour pay)
- b. Project staff/temporary worker wages
- c. Consumables and materials
- d. Travel, accommodation, and daily allowance
- e. Equipment/software procurement
- f. Third-party services or outsourcing
- g. Service tax/GST or applicable taxes
- h. Equipment/facility usage charges
- i. Insurance, transportation, and handling of materials

An advance 25% of total consultancy fee is payable before project initiation. All capital items

purchased under a consultancy project become the property of DYPIU, unless stated otherwise in the agreement.

12. Consultancy Forms

- a. Form for Undertaking Consultancy
- b. Consultancy Disbursal Receipt
- c. Consultancy Disbursal Form



Form for undertaking consultancy

1. Name of Consultant:
2. Name of Co-consultant
3. Members of the team (if any Employed with the university)
4. School:
5. Name of the entity offering consultancy project
6. Address: Contact details
7. Type of entity requiring consultancy- Government, semi-government, Autonomous, private etc.
8. Brief description of the work
9. Duration of consultancy
10. Cost estimate under the Consultancy Rules

S. No.	Head of expenditure	Amount (Rs.)	Remarks
1	Consultant Fee (CF)		
2	Project Staff Wages		
3	Capital Equipment		
4	External Consultant		
5	Charges for Technical Services		
6	Operational Expenditure, any other (Specify)		
7	Sub Total		
8	Service tax only for applicable items		
9	University Overhead (if any)		
10	Total		

Consultant

Dean (R&D)

Vice chancellor

Receipt

Accounts Branch Amount of Rs..... has been received from
M/s..... through..... on dated for the consultancy. The work
has been assigned (Consultancy Project Title/Code).

Signature

Finance Officer

Note: Accounts branch will send the information back to Dean, Research, Consultant
after receipt of money.



Consultancy Disbursal Receipt

1. Name of Faculty/Staff/External Consultant:
2. Department/Centre/School (if applicable):
3. Consultancy Project Title/Code:
4. Amount Received (₹):
5. Date of Receipt:
6. Payment Mode (Bank Transfer/Cheque/DD):
7. Bank Transaction/Reference Number:
8. Remarks (if any):
9. Disbursal Details:

S. No.	Head of Disbursal	Amount (₹)	Remarks
1			
2			
3			

Signatures:

Finance Officer

Registrar

Dean(R&D)

Approved by

Vice Chancellor



Consultancy Disbursal Form

Date:

1. Name of Consultant:
2. Department/Centre/School:
3. Consultancy Project Title/Code:
4. All outstanding Advances settled: Yes/ No
5. Details of disbursement (Rs.):

S. No.	Head of expenditure Amount (Rs.)	Received Amount	Spent	Balance
1	Consultant Fee (CF)			
2	External Consultant			
3	Charges for Personnel in Technical Services/hiring of workers			
4	Project Staff Wages			
5	Operational Expenditure			
6	Any other (Specify)			
7	Capital Equipment			
8	Total			
9	Service tax (only for applicable items)			
10	Total			

Total amount received will be shared as per DYPIU policy

Total consultancy amount	Consultant share	University Share
Up to 5 lakh	100 % after tax deduction	0 %
5 - 10 lakh	70 % of fee above 5 lakh after Tax deduction	30 % of fees above 5 lakh allocated to DYPIU
Above 10 lakh	60 %above 10 lakh and less 1.5 lakh	40 % above 10 lakh + 1.5 Lakh

I undertake that the work has completed successfully and no issue is pending.

Signatures

Consultant

Registrar

Vice Chancellor

Note: Submit a copy to Registrar Office and Dean(R&D)

13. Amendments and Violations

The Vice Chancellor reserves the right to amend this policy at any time. Unauthorized consultancy or policy violations shall be dealt with under university disciplinary procedures.

Ethics Committee Guidelines

1. Introduction

The DYPIU ethical committee is formulated with a motto of protecting the safety, well-being and legal rights of all participants and ensuring adherence to the highest ethical standards for human research. The committee provides approval for research based on ICMR guidelines and international standards such as the Council for International Organizations of Medical Sciences (CIOMS), and Good Clinical Practice (GCP). The ethical committee's role is to make sure Human participants' risks are appropriately controlled and that the risk-benefit ratio is managed well. The body provides approval by considering factors like values of research, target group and vulnerability, informed consent from participants, competency of the professionals involved in the research, whether the privacy and confidentiality of data is maintained and also if there is any conflict of interest. Moreover, the role of the body not only ends in the protection of human subjects, the risks and benefits of research and its impact in the society will be assessed. The committee keeps record of the ongoing studies and the study performed in the last three years.

DYPIU ECs function on six basic principles

1. Autonomy: respect the patient's right to act on his/her own value and choice.
2. Justice: fair treatment of the research subjects.
3. Beneficence: work for the benefit of the patient.
4. No maleficence: first do no harm to the patient.
5. Confidentiality: privacy protection.
6. Honesty: truthfulness in terms of the study.

Ethics approval is required for most research studies to uphold the above-mentioned principles, and protect the participants as well as the researcher.

2. What comes under approval of Ethical committee (EC)?

The EC approval is required for research involving humans and human samples in order to protect human rights and ensure research is being carried as per regulations

Studies that involve the compilation or analysis of data containing patient identifying information, studies that carry any risk of physical or mental discomfort to participants or their families, studies on vulnerable groups, and studies with an intention to publish findings or add to scientific knowledge must have an EC approval.

The term "minimum risk" describes the likelihood that any discomfort brought on by the research will not exceed what an ordinary healthy person would typically experience while going about their regular daily activities.

Moreover, ethical approval is required for surveys and archived data that contain sensitive

information (illicit drug use, comorbidities, and communicable diseases, such as HIV/AIDS) and patient identifying information (name, age, and address). This is done to protect the participants' anonymity and privacy and to minimize the possibility of psychological discomfort.

3. What does not fall under approval of Ethical committee (EC)?

The majority of educational research, case reports on one to three patients (without any hypothesis testing), studies that pose no risk to participants, analyses of open-source datasets or anonymized datasets obtained from other researchers with due informed consent taken at the time of primary data collection, and studies evaluating public health programs or government public schemes are among the studies that may not require ethical approval.

4. Questions to be addressed by the applicant during the meeting

Title of research, Nature of sample, location of sample collection, research/trial protocol, ethical issues if any, and plans to address them, written informed consent form in the language the participant understands, data collection tools, patient information sheet, finance and funding details, statement of conflicts of interest, etc.

5. Responsibilities of EC members

The chairperson's main duties include keeping the EC independent and running well, making sure everyone participates, asking everyone about any conflicts of interest, and managing complaints against the researchers and other EC members.

The member secretary is in charge of scheduling the EC meetings, paperwork management, coordinating a productive proposal review process, establishing and upholding standard operating procedures (SOPs), providing training to EC members, and determining whether expedited reviews or exemptions from review are necessary.

The medical scientist offers their input regarding the soundness and quality of the research, validate the mode of sample collection and seek justification regarding the total number of samples or subjects involved

The major duty of assessing research methods and their scientific soundness rests with the members of the scientific community.

The non-scientist member is crucial to safeguard the human subjects and practical issues of the research.

The legal experts suggest the code of conduct to be followed by the investigators as per ICMR guidelines

6. Duties of the EC

In order to safeguard human volunteers, advance research, and shield the institution from lawsuits, the EC evaluate and approve research procedures and keep an eye on current studies involving human beings. Its primary responsibility is to safeguard the welfare, autonomy, confidentiality, and human rights of study participants, particularly marginalized groups. The following are the duties of the ethical committee

The committee ought to promptly acquire and examine all the requisite documents pertaining to the research or trial and record its opinions in accordance with standard operating procedures. It should also clearly indicate the dates for approval, modifications, disapproval, or termination of any ongoing trial that was initially authorized in writing.

Qualification of the investigators should be considered for the proposed research.

An EC review is an ongoing procedure that must be completed before any research is started, before the approval period is extended, before any changes are made to a project that has already received approval and until all data gathering and analysis is finished.

Reviewing of ongoing research as appropriate to the risks involved (at least twice a year).

The committee should conduct meetings regularly (once in two months depending on the number of protocols) and SOPs are followed as per the national governing authority

The research protocol is the document that includes the research question, aims and objectives, a critical literature review, methodology, and statistical plan. It is pertinent that the EC reviews the protocol with respect to the clarity and focus of the research question; and whether the study design is suitable to answer the same.

It is the responsibility of the committee to ensure that privacy and confidentiality of the data should be maintained by the project investigators.

The role of the IRB with respect to privacy and confidentiality is to:

- Review the consent document and assess the sensitivity of the information, the duration for which it will be held, the usefulness of the information, and the ability to protect it.
- A continuous evaluation of the research should involve keeping an eye on confidentiality concerns to ensure they are maintained and determining whether a new privacy protection plan is necessary.
- Inform researchers and other associated members on the procedures for protecting and privacy of their data.
- The ethical committee is also responsible for making sure that consent forms are easy to read and comprehend, that there is little to no risk to study participants, and that the correct procedure for obtaining informed consent is being followed without undue pressure or coercion to participate in the study.

7. Responsibilities of researchers seeking for Ethical committee approval

The team and the researcher bear the responsibility of safeguarding the safety, well-being, rights, and dignity of the study participants. They should be aware of and abide by the scientific, medical, ethical, legal, and social requirements of the study proposal in addition to possessing the necessary training and proficiency in research technique.

The benefit risk assessment should be conducted out by the researcher involved in the study

The researcher should work in harmony with the EC in order to balance participant risks and optimize benefits that could have positive effects on individuals, society, and the community.

The discrepancies mentioned in the EC meeting should be rectified and properly justified by the researcher in the upcoming review meetings.

The researcher should safeguard the confidentiality of research related data of participants and the community.

Any research-related publication should protect the privacy of the subjects by making sure that no images or other data that could expose their identity are released. If explicit consent was not previously acquired, it would be necessary to get it again before publishing.

The researcher should ensure distributive justice by ensuring that the individuals or communities invited for research are selected in such a way that the benefits and burdens of research are equitably distributed.

Researchers must ensure that the documents submitted to the EC include a disclosure of interests that may affect the research.

8. Role of the institution

- The institution is responsible for establishing an EC to ensure an appropriate and sustainable system for quality ethical review and monitoring.
- The institution is responsible for providing logistical support, such as infrastructure, staff, space, funds, adequate support and protected time for the Member Secretary to run the EC functions

9. What if the code of conduct is breached by the investigators?

If the EC identifies that the code of conduct is being breached by the researcher, then it should immediately recommend the researcher to stop their work and rectify the issue.

If the issue still cannot be rectified or corrected, then the researcher should permanently stop their work and should submit a proper report on violation of code of conduct

10. References

- Mehta, Pankti, Olena Zimba, Armen Yuri Gasparyan, Birzhan Seiil, and Marlen Yessirkepov. "Ethics committees: structure, roles, and issues." *Journal of Korean Medical Science* 38, no. 25 (2023).
- ICMR "National Ethical guidelines for biomedical and health research involving human participants", 2017.



D Y PATIL INTERNATIONAL UNIVERSITY

Akurdi, Pune, Maharashtra, India (Established under Maharashtra Act No. LXIII of 2017)

Website: www.dypiu.ac.in, E-mail: info@dypiu.ac.in

Sector 29, Pradhikaran, Akurdi, Pune (Maharashtra) India 411044

ETHICS COMMITTEE APPLICATION FORM

Name & Designation of the Applicant	
Title of Research	
Aim and Objective of the study	
Study hypothesis/ research question	
Study duration	
Nature of the Sample	
Number of samples	
Sampling technique	
Inclusion & Exclusion Criteria	
Location of sample collection	
Potential risks involved to the participants	

Informed consent form English/Hindi	
Project report (for ongoing projects)	
Undertaking to maintain confidentiality of the data	

Study design/ Overall methodology

Research/trial protocol

References

I assure that the details provided are true to the best of my knowledge and I will also maintain privacy and confidentiality of the data collected

Signature of the applicant

Approved by

Director of School /Head of the department



PARTICIPANT INFORMED CONSENT FORM (PICF)

(English)

Participant identification number for this trial:

Title of project:

Name of Principal Investigator:

Tel.No(s).

Brief summary of the work in layman's words

The nature and purpose of the study and its potential risks / benefits and expected duration of the study, and other relevant details of the study have been explained to me in detail. I understand that my participation is voluntary and that I am free to withdraw at any time, without giving any reason, without my medical care or legal right being affected.

I give permission to the investigator of the project to assess my biological sample and medical records.

I agree to take part in the above study.

Date:

Place:

(Signatures / Left Thumb Impression)

Name of the Participant :

Son / Daughter / Spouse of :

Complete postal address :

This is to certify that the above consent has been obtained in my presence.

Signatures of the Principal Investigator

Date:

Place:

1) Witness – 1

Name:

Signatures

Address:

2) Witness – 2

Name:

Signatures

Address:

NB Three copies should be made, for (1) patient, (2) researcher, (2) Institution (Investigators are advised to prepare the translation in simple understandable Hindi on their own.)



सहभागी सूचित संमती फॉर्म (PICF)

या चाचणीसाठी सहभागी ओळख क्रमांक :

प्रकल्पाचे शीर्षक :

मुख्य अन्वेषकाचे नाव : _____

दूरध्वनी क्रमांक : _____

अभ्यासाचे स्वरूप आणि उद्देश आणि त्याचे संभाव्य धोके / फायदे आणि अभ्यासाचा अपेक्षित कालावधी आणि अभ्यासाचे इतर संबंधित तपशील मला तपशीलवार समजावून सांगितले आहेत. मी समजतो की माझा सहभाग ऐच्छिक आहे आणि मी कोणत्याही वेळी, कोणतेही कारण न देता, माझ्या वैद्यकीय सेवा किंवा कायदेशीर अधिकारांवर परिणाम न होता, माघार घेण्यास मोकळे आहे.

मी प्रकल्पाच्या अन्वेषकाला माझ्या जैविक नमुना आणि वैद्यकीय नोंदींचे मूल्यांकन करण्याची परवानगी देतो.

मी वरील अभ्यासात भाग घेण्यास सहमत आहे.

तारीख:

ठिकाण:

(स्वाक्षरी / डाव्या अंगठ्याचा ठसा)

सहभागीचे नाव : _____
मुलगा / मुलगी / पती / पत्नी : _____
पूर्ण पोस्टल पत्ता : _____

हे प्रमाणित करण्यासाठी आहे की वरील संमती माझ्या उपस्थितीत प्राप्त झाली आहे.

मुख्य अन्वेषक तारखेच्या स्वाक्षऱ्या:

ठिकाण:

1) साक्षीदार - 1 नाव: स्वाक्षरी
पत्ता:

2) साक्षीदार - 2 नाव: स्वाक्षरी
पत्ता:



सहभागी सूचित सहमति प्रपत्र

सहभागी पहचान नम्बर(इस जाँच के लिए) : _____
अनुसंधान का शीर्षक : _____
मुख्य अन्वेषक का नाम : _____
फोन नंबर : _____
अनुसंधान का संक्षिप्त विवरण : _____

मैंने दिनांक _____ के सूचना पत्र में दिये गए सभी तथ्यों को पढ़ लिया है। मुझे समझ आने वाली भाषा में विस्तारपूर्वक इस अनुसंधान के विषय में बता दिया है और मैंने तथ्यों को भली भाँति समझ लिया है। मैं पुष्टि करता/करती हूँ कि मुझे प्रश्न पूछने का अवसर दिया गया है।

मुझे अध्ययन की प्रकृति, उद्देश्य और इसके सम्भावित लाभ/जोखिमों और अध्ययन की सम्भावित अवधि अन्य प्रासंगिक जानकारी के बारे में विस्तार पूर्वक समझा दिया गया है। मैं समझता/समझती हूँ कि इस अध्ययन में मेरी भागेदारी स्वेच्छिक है और इस अध्ययन से किसी भी समय बिना कोई कारण बताए, बिना मेरी चिकित्सा देखभाल या कानूनी अधिकारों के प्रभावित हुए मैं अपना नाम वापिस ले सकता/सकती हूँ।

मैं समझता हूँ कि इस अनुसन्धान में मेरी सहभागिता से मेरे बारे में एकत्र जानकारी और चिकित्सीय नोटों को डी. वाय. पाटिल इंटरनेशनल यूनिवर्सिटी, आकुर्डी, पुणे के जिम्मेदार लोगों द्वारा देखा जायेगा। मैं इन व्यक्तियों को अपने रिकॉर्ड देखने कि अनुमति प्रदान करता/करती हूँ।

मैं उपयुक्त अध्ययन में भाग लेने के लिए अपनी सहमति प्रदान करता/करती हूँ।

दिनांक

स्थान

सहभागी के हस्ताक्षर / बाएं अंगूठे का निशान

सहभागी का नाम :
पिता/पति का नाम :
पूरा पता :

यह प्रमाणित किया जाता है कि उपयुक्त सहमति मेरी उपस्थिति में ली गई है ।

मुख्य अन्वेषक के हस्ताक्षर

दिनांक:

स्थान:

१) गवाह के हस्ताक्षर :

नाम :

पता

२) गवाह के हस्ताक्षर

नाम :

पता :

DYPIU Teaching Assistantship and Research Fellowship Policy for PhD Scholars

D Y Patil International University (DYPIU) is committed to supporting its PhD scholars through a structured Teaching Assistantship-cum-Research Fellowship programme. This policy outlines the stipend structure, eligibility criteria, performance review process, and associated responsibilities.

1. Teaching Assistantship and Fellowship Designation

- Upon successful registration into the PhD programme and enrolment for Teaching Assistantship, the scholar will be designated as a Junior Research Fellow (JRF).
- The JRF will receive a monthly stipend of ₹27,000 + ₹10,000 (HRA).
- The fellowship is contingent upon active participation in the university's Teaching Assistantship (TA) duties, in accordance with the TA policy guidelines.

2. Upgradation to Senior Research Fellow (SRF)

a. Criteria for Upgradation

Scholars who:

- i. Register for PhD within two years of initial enrollment into the programme, and
- ii. Maintain satisfactory academic and research progress may be eligible for upgradation to Senior Research Fellow (SRF) status.

b. Process for Upgradation

- i. On completion of two years as a JRF and acceptance of the PhD research proposal, the scholar must submit:
 1. A comprehensive progress report,
 2. A plagiarism check report with similarity index <10% and AI similarity index <10%, within six months of completing the second year.
- ii. An Expert Committee, consisting of:
 1. Two subject experts (one of whom shall serve as Chair), will assess the scholar's progress through a presentation.
 2. The Supervisor must be present during the evaluation
- iii. Upon satisfactory evaluation, the scholar will be upgraded to SRF and receive a monthly stipend of ₹32,000 + ₹10,000 (HRA) after the satisfactory recommendation by the Expert Committee.

3. Non-satisfactory Progress Cases

If the progress is found unsatisfactory during the second-year review:

- The committee may recommend that the scholar continue as JRF for the third year on ₹37,000/month OR recommend termination of the fellowship.
- A second evaluation will be conducted at the end of the third year.
- If performance remains unsatisfactory in this review, the fellowship will be terminated.

4. Teaching Assistantship Obligations

- Scholars on JRF or SRF status are required to undertake Teaching Assistantship duties throughout the fellowship tenure.
- If a scholar opts out of the Teaching Assistantship, their research fellowship will be discontinued.
- All scholars must adhere to the norms and expectations of the TA policy during this period.

5. Encouragement for External Fellowships

All PhD scholars are encouraged to apply for competitive national-level fellowships, such as:

- UGC-NET (JRF)
- CSIR Fellowships
- Other recognized research funding schemes

Teaching Assistantship (TA) Policy

1. Overview

Teaching Assistants (TAs) are vital to the academic functioning of the university. Their role supports the teaching-learning ecosystem by assisting faculty in tutorials, labs, assessments, and other academic responsibilities, while also enhancing the scholar's pedagogical and professional skills.

2. Workload and Time Commitment

- TAs must dedicate a minimum of 20 hours per week to teaching-related duties.
- Of these, no more than 10 hours per week shall be contact hours, including tutorial sessions and office hours.

3. Roles and Responsibilities

a. Academic Assistance

TAs may be assigned the following tasks, subject to approval by the Supervisor, Director of School, or Dean (R&D):

- i. Conducting tutorials, seminars, and discussion sessions
- ii. Evaluation of tests, assignments, and quizzes
- iii. Laboratory demonstrations and assistance
- iv. Supervision of field work, project submissions, and lab journals
- v. Exam invigilation and supervision
- vi. Participation in academic events such as symposia and workshops
- vii. Library-based tasks (e.g. digitisation, archiving, indexing)
- viii. Any other duties, if assigned by the University

b. Tutorial Duties

- i. Prepare problem sets and discussion material in alignment with the course instructor's guidelines
- ii. Conduct at least two one-on-one student review sessions per semester (mid-semester and end-semester)
- iii. Maintain records of student performance and provide timely feedback
- iv. Encourage participatory learning and create an inclusive discussion environment

- v. Meet the course instructor weekly to review syllabus progress, address student learning needs, and plan teaching materials

c. Practical/Laboratory Support

- i. Prepare laboratory setup and materials in advance
- ii. Guide students in performing experiments and using instruments
- iii. Support record-keeping and evaluation of lab work
- iv. Train students in the use of relevant software and equipment
- v. Ensure safe handling of sensitive tools and equipment

d. Examination and Evaluation

- i. Assist faculty in conducting mid-semester and end-semester exams
- ii. Support the grading process by checking assignments and papers under the supervision of the instructor

Note: Final exam questions and answer keys are strictly under the purview of the faculty. TAs must not suggest or draft these.

4. Conduct Guidelines (Dos and Don'ts)

Dos

- Be punctual and responsible in all TA duties
- Maintain regular office hours for student interaction
- Collaborate closely with course instructors
- Provide constructive feedback to students
- Document progress and submit reports as required

Don'ts

- Do not disengage from TAs hip mid-semester
- Do not create or suggest exam questions or answer keys
- Do not take over full responsibility for grading—faculty oversight is essential
- Do not neglect student queries or responsibilities due to research obligations

6. Attendance and Leave Policy

a. General Attendance

All TA scholars must report regularly and their attendance shall be monitored as per University rules.

b. Leave Entitlement

- i. Up to 30 days of leave per academic year (excluding University-declared holidays).
- ii. No entitlement to semester breaks, summer or winter vacations.

c. Special Leave

- i. Maternity Leave: Up to 6 months without fellowship (for women scholars).
- ii. Temporary Withdrawal: Permissible in exceptional cases, with prior written approval from Supervisor and Dean R&D. TAsip will not be continued during this period.
- iii. All leave must be pre-approved by the Research Supervisor and Head of the Department/Dean.
- iv. Unauthorized leave may result in disciplinary action and discontinuation of TAsip.

7. Reporting Requirements

- Half-yearly research progress reports must be submitted via the Supervisor to the Doctoral Committee.
- A separate report of non-research (TA) duties completed must be submitted to the Dean R&D.

8. Discontinuation or Withdrawal from TAsip

- Scholars who wish to discontinue TAsip must inform the University before the start of the semester.
- Mid-semester withdrawal is not permitted, even after PhD completion.
- Clearance and No-Dues Certificate will be issued only by the Director of the respective School where the scholar has served.
- Only after this clearance, the Director, SISR, may process the final clearance.

DYPIU Policy for Academic Integrity in Research

1. Introduction

1.1. Purpose and Commitment

Research misconduct undermines the integrity of the academic profession and damages the credibility of scholarly work. Such conduct contradicts the fundamental values that D.Y. Patil International University (DYPIU) strives to maintain and promote.

DYPIU is committed to maintaining the highest standards of intellectual honesty in the conduct and reporting of research. The University views allegations of research misconduct with utmost seriousness and ensures that investigations are conducted in a manner that

safeguards research integrity while protecting the professional reputation of all parties involved.

1.2. Policy Framework

This Policy for Academic Integrity in Research addresses research misconduct comprehensively, providing a framework for processing allegations equitably, expeditiously, and confidentially. The University recognizes the need to protect complainants, respondents, and witnesses throughout any proceedings related to research misconduct.

1.3. Scope of Application

This Policy applies to:

- All faculty staff, postdoctoral scholars, students, project associates, and project assistants engaged in research at DYPIU
- All research conducted by such individuals, whether funded by government agencies, private organizations, or international bodies
- Research proposals and grant applications
- Research undertaken for degree requirements when results are intended for public dissemination outside the University

1.4. Regulatory Compliance

This Policy aligns with the University Grants Commission (UGC) guidelines issued via gazette notification dated July 23, 2018 (part III Section 4), regarding academic integrity in higher education institutions.

2. Definitions

2.1. Research Misconduct

Research misconduct constitutes a serious deviation from accepted practices in proposing, performing, reviewing, or reporting research results. It includes but is not limited to:

- Fabrication: Creating false data or results and recording or reporting them as genuine research findings.
- Falsification: Manipulating research materials, equipment, or processes; altering or omitting data or results without scientific justification; or misrepresenting research in the research record.
- Plagiarism: Appropriating another person's ideas, processes, results, words, or works without proper attribution. This encompasses:
 - Stealing research ideas, plans, observations, or data
 - Using collective research group data without permission from all group members
 - Self-plagiarism: republishing substantial portions of one's own work without proper citation
 - Plagiarism in presentations, grant proposals, and other research communications. This includes improperly reproducing copyrighted material from unauthorized sources.
- Deliberate Interference: Intentionally causing material harm to others' research or scholarly work, including:
 - Damaging or unauthorized use of research property
 - Disrupting active experiments
 - Altering or deleting research products and data
 - Encouraging others to engage in misconduct
 - Making malicious accusations of misconduct
- Misrepresentation: Falsifying academic records, credentials, or other academic information, including:
 - Forging signatures or letters of recommendation
 - Fabricating research data or sources
 - Misrepresenting contributions in collaborative work
 - Providing false information to access computer accounts

2.2. Exclusions from Research Misconduct

Research misconduct does not include honest errors, legitimate differences of opinion, or variations in research design, execution, or interpretation. Poor research quality alone does not constitute misconduct unless accompanied by intentional, knowing, or reckless departure from accepted practices.

2.3. Key Terms

- Academic Integrity: Intellectual honesty in all activities leading to the creation of intellectual property.
- Committee on Academic Integrity in Research (CAIR): The committee will be notified by the Registrar office, Dean (R&D) being the chair.

- Preliminary Investigation: The initial fact-finding process conducted by CAIR to evaluate complaint veracity.
- Research Record: Documentation of research data, results, and processes, including proposals, laboratory records, reports, publications, and presentations.

3. Plagiarism Framework

DYPIU recommends its students and faculty to prepare research documents with similarity index <10% and AI similarity index <10%. To support the process, the university provides access to iThenticate to each of its faculty members and research scholars. The software can also test for the AI generated text.

3.1. Plagiarism Levels

Level 0	: Similarities up to 10%
Level 1	: Similarities 10-40%
Level 2	: Similarities 40-60%
Level 3	: Similarities above 60%

3.2. Documents Subject to Plagiarism Review

The following documents require plagiarism checking:

- Research papers, theses, and dissertations
- Book chapters and complete books
- Publications submitted for assessment or degree requirements
- Materials intended for print or electronic publication

Exclusions: Assignments, term papers, project reports, coursework, essays, and examination answer scripts.

3.3. Similarity Check Exclusions

The following elements are excluded from similarity assessments:

- Properly quoted material with attribution
- References, bibliographies, table of contents, prefaces, and acknowledgments
- Generic terms, laws, standard symbols, and equations
- Common knowledge or coincidental terms up to fourteen consecutive words
- Self-published work

4. Procedures

4.1. Undergraduate/Postgraduate (UG/PG) Thesis Plagiarism Check

- All thesis written towards the fulfilment of the UG/PG degrees must be checked for plagiarism and the similarity index should be <15%.

- Theses must include signed declarations from the student confirming originality

4.2. PhD Plagiarism Check

- All PhD progress reports must be checked for plagiarism and the similarity index should be <10%.
- Only scholars meeting PhD submission requirements may submit theses
- Theses must include signed declarations from both scholar and supervisor confirming originality
- Anti-plagiarism reports must accompany thesis submissions to the Dean (R&D)
- After Thesis submission, Dean R&D will obtain the plagiarism report from INFLIBNET for verification before forwarding for evaluation
- The thesis will be forwarded for evaluation only if the plagiarism report is <10%.

4.3. Research Paper Plagiarism Check

- All the papers submitted for publication should have undergone a plagiarism check. Publications not subject to plagiarism checks will not receive academic credit.

4.4. Reporting misconduct

DYPIU encourages its faculty, students and staff to report any misconduct. Such complaints will be investigated by CAIR to ensure fairness on all accounts.

4.4.1. Complaint Process

- a. Filing Complaints: Written complaints must be submitted to the Dean (R&D), who would call a meeting and discuss with CAIR within 10 days.
- b. Evidence Preservation: Upon receiving complaints, CAIR secures all relevant research records and evidence before notifying respondents.

4.4.2. Investigation Phases

- a. Phase 1 - Preliminary Investigation (45 days): CAIR conducts fact-finding to assess complaint substance and determine if full inquiry is warranted.
- b. Phase 2 - Formal Inquiry: Full investigation following established procedures in 90 days (detailed in Annexure-I).
- c. Phase 3 - Decision and Corrective Action (within 90 days): Review of inquiry report, respondent response, and penalty determination.

5. Penalties

5.1. For Students

Minor Violations (Similarity Index 10-20%):

- Warning and counseling
- Requirement to resubmit corrected work

- Mandatory attendance in academic integrity workshop

Moderate Violations (Similarity Index 20-40%):

- Reduction in grades
- Re-submission with extended deadline
- Academic probation

Serious Violations (Similarity Index >40%):

- Failure in the course/subject
- Suspension from academic programs
- Disciplinary action as per university rules

5.2. For Faculty and Staff

- Warning for minor violations
- Mandatory training and counseling
- Reporting to regulatory authorities if required

6. Appeals

Persons aggrieved by disciplinary findings and actions may file appeals to the Vice Chancellor, following established institutional appeal procedures.

7. Amendments

DYPIU reserves the right to amend the policy if needed.

Annexure I: Formal Inquiry Procedure (Phase 2)

I. Constitution of Inquiry Committee

Upon recommendation by CAIR, the Vice-Chancellor shall appoint a Formal Inquiry Committee comprising:

- One senior faculty member external to the respondent's School
- One subject expert
- One legal/ethical advisor or administrator from the University
- Member Secretary: Dean (R&D) or nominee

II. Timeline

- Inquiry must commence within 15 days of committee formation.
- A final report should be submitted within 45 days of initiation. Extensions permitted with VC approval.

III. Terms of Reference

- Review all relevant records and documentation.
- Conduct confidential interviews with complainant, respondent, and witnesses.
- Ensure the respondent is given adequate notice and opportunity to present defence.

IV. Procedure

- **Notice and Documents:**
Respondent receives written notice of allegations and supporting documents.
- **Evidence Collection:**
Includes research logs, datasets, emails, previous publications, etc.
- **Hearing Process:**
Witnesses may be summoned.
 - All sessions are minuted.
 - Respondents may submit a written statement.
- **Committee Deliberation:**
After hearings, members discuss findings in private and arrive at a conclusion.
- **Report Submission: Includes:**
 - Allegation summary
 - Evidence presented
 - Analysis of findings
 - Conclusion (substantiated/not substantiated)
 - Recommended actions
- **Post-Inquiry Actions:**
The Vice Chancellor, based on this report, imposes appropriate penalties within 30 days.
- **Record Maintenance:**
All documents and findings shall be stored securely by DYPIU-CAIR for 5 years.