



# Guidelines for Research & Consultancy Activities



**D Y PATIL**  
**INTERNATIONAL**  
**UNIVERSITY**  
AKURDI PUNE

# Preamble

- D Y Patil International University DYPIU, Akurdi, Pune (henceforth called DYPIU) is 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.
- 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 recognises that research scholarship outputs are wide-ranging, besides bibliometrics indicators. DYPIU recognises that through research activities the faculty, students, and all others involved are scientific and cultural agents of change and excellence.

# Scope of Research Endeavours

DYPIU's research endeavours 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.

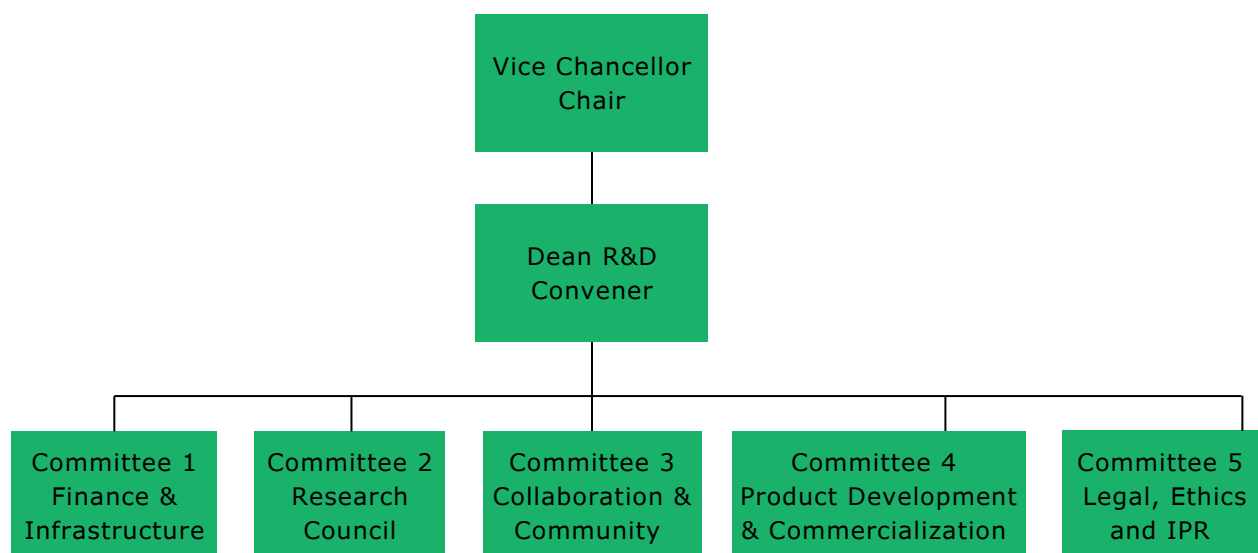
## Conduct of Research

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 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 commercialisation, 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.
- 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.



Committee 1 Finance & Infrastructure	
Vice-Chancellor	Chairman
Dean (Research and Development)	Member
FO/Registrar	Internal Members
Registrar	Member Secretary

Committee 2 Composition of Research Council	
The Research Council shall constitute a committee of experts from different domains and include academic experts from DYPIU	
Vice-Chancellor	Chairman
Dean (Research and Development)	Member Secretary
External Experts	Three - Four members appointed by VC
VC Nominee 1 (Internal)	Members
VC Nominee 2 (Internal)	Members
Special Invitees	Any special guest can be invited to the RC meeting by the Chairman

**Committee 3**  
**Collaboration and Community**


Vice-Chancellor	Chairman
Dean (Industrial Relations)	Member Secretary
Dean Corporate affairs	Member
VC nominee 1 (Internal)	Member
VC nominee 2 (Internal)	Member
Expert	Member

**Committee 4**  
**Product Development & Commercialization**

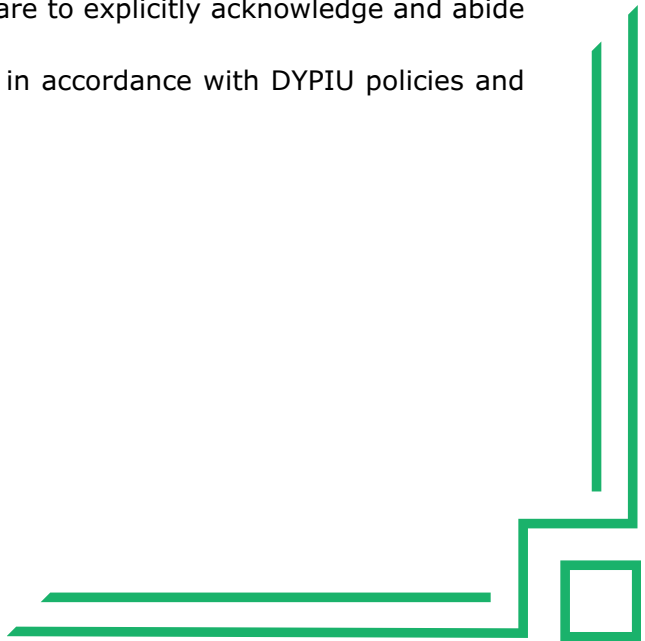
Vice-Chancellor	Chairman
Dean (Research and Development)	Member Secretary
VC nominee 1 (Internal)	Member
VC nominee 2 (Internal)	Member
Expert	Member

**Committee 5**  
**Legal, Ethics and IPR**

Vice-Chancellor	Chairman
Dean (Research and Development)	Member Secretary
VC nominee 1 (Internal)	Member
VC nominee 2 (Internal)	Member
Expert	IPR Expert

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- Any funding proposals submitted will require the prior approval of a Research Committee made up of VC, Dean and a specialist from the domain of research.
  - 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.
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# 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:
  - 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.
  - 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:  
Up to Rs. 5 lakh -> No DYPIU allocation  
From Rs. 5 to 10 lakh -> 30% of fees above 5 lakh allocated to DYPIU  
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:
    - Teaching Assistants, Lecturers and PhD students- Rs 5 lakh
    - Assistant Professor - Rs 10 Lakh o Associate Professor - Rs 15 Lakh
    - 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:
  - Rs 80k Per Year – Assistant Prof (Can accumulate up to 3 years and would lapse after that)
  - Rs 100k per year – Associate Professor (Can accumulate up to 3 years and would lapse after that)
  - Rs 120k per year – Professor (Can accumulate up to 3 years and would lapse after that)
  - PhD candidates – Rs 50k one time
  - Lecturer – maximum Rs 50k per year – no accumulation
  - Teaching Assistant/Teaching Associate – no support
- The research fund can be utilized for up to a period of three years.

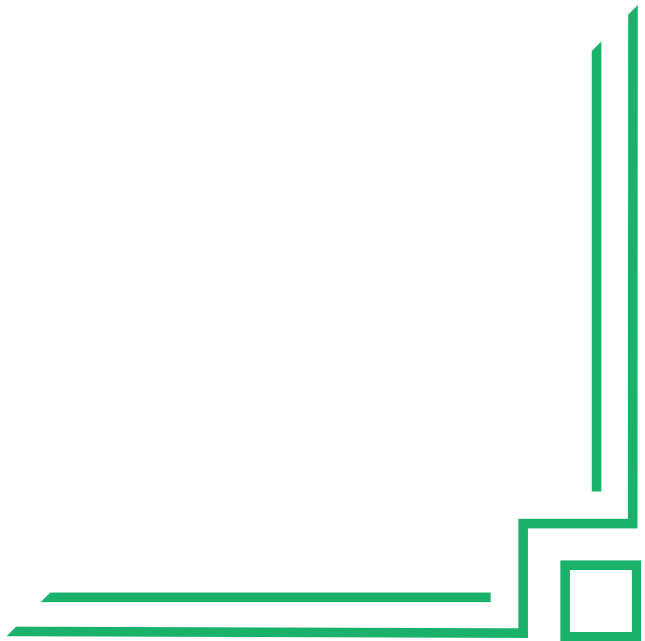


## For Faculty

- A diverse set of indicators and measures are applied to encourage research endeavours.
- 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.
  - Journals of immense repute: 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.
  - International Journal: Rs. 5000/- It should appear in the UGC approved list of International Journals and Indexed by SCI, SCIE, SSI, IEEE, IET and Scopus.
  - National Journal: Rs. 2000/- It should appear in the UGC approved list of National Journals and Scopus or Science Indexed.
  - International Conference: Rs. 5000/- Organized by NIT/IIT/Central/State Universities and participation of international delegates is mandatory
  - National Conference: Rs. 2000/- 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
  - Publishing Textbook or chapters in Textbooks: Incentives will be decided as per policies of DYPIU
- 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 too and fro.
  - 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.
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## 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.



## Addendum:

### Financial support for attending FDP and Workshops (SoP)

- The DYPIU encourages its faculty to participate in Faculty development programs and workshops. Those who are attending FDP / Workshop are entitled to get on-duty leave with prior approval of the Director. Participation in such events will be considered as one of the major criteria in the Annual Appraisal.
- Financial Support will be given to faculty members for attending FDPs and Workshops, etc. as per the policy of the University for Participation in FDPs and workshops.
- Faculty who wish to attend such programs would only be allowed to participate in such faculty development programs maximum once in an academic year.
- Those desirous of attending such programs should prefer to attend the programs preferably during non-teaching periods or make alternative arrangements to conduct the classes and academic assignments without any inconvenience to the students and academic program of the university.
- Nomination for participation in such training programmes must be recommended by the concerned Director of the School. The program being attended by the faculty must be relevant to the field branch of the faculty member. Hence, relevance of such programmes has to be established by the forwarding authority with regard to academic applications, relevance, reputation/standing of the hosting Organisation and benefit to the institution.

#### **Financial support**

- Staff members may be eligible for financial support after attending a FDP or a workshop. They may need to submit documents such as a permission letter; receipts; a report; and the attendance certificate. Partial financial support will be provided to faculty members attending the FDP or Workshops. The partial support will normally cover:
  - (a) Full Registration Fee
  - (b) 50% of travel cost/daily allowance
  - (c) the support will be part of the academic fund provided to the faculty as per the R&D policy
- The University may not provide registration fees, TA, or DA for attending irrelevant FDPs or workshops. The candidate has to declare no financial support from any other organization.

