



**NAVRACHANA  
UNIVERSITY**  
*a UGC recognized University*

## **Navrachana University, Vadodara**

### **Research Policy**

#### **1. Preamble**

Research, scholarship, and extension are integral and imperative activities of higher education. It is both an obligation and an objective of modern universities to encourage its faculty and students to undertake research activities in true spirit. The Navrachana University (NUV) research policy aims to promote research, innovation, and extension activities in addition to teaching and learning among the faculty members, students, and research scholars.

#### **2. Objectives**

- a) To create an empowering environment for research and nurture a research and innovation culture within the University.
- b) To ensure efficient and effective support systems to facilitate faculty and researchers in their research activities.
- c) To promote collaborations and partnerships with industry, government, and other research agencies in terms of consultancy and research projects.
- d) To promote research in interdisciplinary and multidisciplinary areas that are socially relevant considering contemporary problems of industry and society at large.
- e) Establish research code of ethics and zero tolerance policy against plagiarism.

#### **3. Research Promotion**

- a) The Faculty members, Research Scholars, and Students at Navrachana University are encouraged to undertake research activities, leading to quality publications in journals of repute, presentations in well-known National/International conferences, ownership of Intellectual property with prospects of commercialization.

- b) The researcher is also encouraged to seek grants and funds for the research activities from various recognized funding agencies and report their findings and conclusions.
- c) University expects that every research should be available for scrutiny to the University and constructive criticism of peers. Further, as per the guidelines of UGC, Research techniques used by the researchers shall not violate established professional ethics, about the health, safety, privacy, and other personal rights of human beings or to the infliction of injury or pain on animals.
- d) To encourage research and reward the researchers, University will consider research output as one of the criteria for faculty recruitment and promotion along with other academic requirements. The quality of research output will be assessed based on its acceptance by the funding agencies, publication in indexed and reputed journals with impact factor, the publication of books and book chapters with reputed publishers at national and international levels, and lastly, research work accepted for presentation in seminars and conferences of repute at national and international levels. These conditions of assessment may be revised from time to time as appropriate.
- e) The University will create a conducive environment for research. University will provide adequate space, ICT support, and other required facilities to the researcher. It will also facilitate researchers in writing research proposals, reports, publications, and filing patents as appropriate. University may assist and provide funds partially or fully for the research activities as per duly approved process.
- f) All such facilities and support will be based upon the recommendation of the research committee at the University.

#### **4. Bank of Thrust Areas for Research**

Though the researchers are free to select areas of research of their choice, interest, and expertise, the University emphasizes topics that produce scientific and socially relevant outcomes. University encourages the School/Department level research committee to identify thrust areas of research based on the expertise available with the School or Department at the University and requirements of the funding agency (based on priority of funding agency at that particular time). School level research committee shall drive/shape the research at each school. The thrust areas are extremely important and need to be periodically reviewed so as to be in accordance with the changes in policy or priority areas notified by the funding agency. The exhaustive list of topics or areas of

research will be utilized for the future course of research activities undertaken in the School/Department.

## **5. Student Research Program**

Research enhances the quality of the teaching-learning process at the University. To promote inquisitiveness among the students all the academic programs at Navrachana University should include a credit-based component for research in the form of a project or final semester thesis both at the undergraduate and postgraduate levels. Each student should be placed under the guidance of a faculty supervisor as appropriate. The outcome/findings of such research initiatives at the student level should be published in the form of a monograph or special volume in the University research journal.

## **6. Seed Grant for Minor Research Projects**

The Seed Grant scheme of NUV is designed to encourage faculty to take up Minor Research Project in areas of Regional/National and International importance. The Navrachana University seed grant policy will enable the faculty to develop and pilot test a potential research idea and generate preliminary results before submission for larger funding to external agencies. The policy will also help the University in promoting interdisciplinary research via collaboration between faculties from different disciplines. The detailed guideline for seeking Seed Grant for Minor Research Project are appended in ***Annexure I*** of this document.

## **7. Grant for Major Research Project**

Over a while, University will identify and recognize leading industries and funding agencies for availing grants for major research projects. University will assist faculties and researchers to submit their proposal for receiving grants through these funding agencies. The research committee will be empowered with the process for selecting and monitoring the progress of researchers under the major research project. The committee will ensure that the researcher fulfills all the conditions are met as per the requirement of funding agencies. The University will try to provide funding on its own to select Major Research Projects where the funding from the external agency is not available. The appropriate budget for this purpose will be earmarked.

## **8. Consultancy and Other Collaborative Research Projects**

The Industry-Academia partnership is the need of the time. The University intends to work in close association with the industry and society at large. Thus it encourages its faculty and researchers to interact with the industry and other organizations for consultancy and collaborative research projects. The faculty, in addition to teaching, research, and academic management is encouraged to interact with industry and other organizations in the form of short-term research projects and consultancy, continuing education, special lectures, etc. Such consultancy is expected to enhance the faculty's capability in both teaching and research and should also create an intellectual asset for the faculty. An organization can sponsor a project and the expert faculty from the University can research this project for which the financial support will come from the sponsoring organization. Please refer ***Annexure II*** for detailed guideline for Consultancy and Collaborative Research Project.

## **9. Research and Publications**

The Research Committee at the University will facilitate matters related to Research and Publication Assistance for the faculty members and research scholars:

- a) The committee from time to time will conduct training workshops for the faculty members and budding researchers for writing research proposals, writing academic research papers, conducting pilot studies, and other experiments as relevant to the development of research culture in the University.
- b) Senior and experienced faculties will be invited to share their experiences, motivate and guide young researchers.
- c) The research committee will also share the call for papers, call for research projects, sponsorship, and external funding opportunities with the faculty members and research scholars at the University.
- d) University plans to encourage the publication of research papers, articles, opinions, commentary, book chapters, and books with renowned publishers and recognized journals of repute at the national and international levels.
- e) The University encourages each Faculty to publish at least one research paper in a year and at least one paper presentation in a national or international conference or seminar of repute.

- f) The research advisory committee will also act as a repository for maintaining all relevant information about the research projects and publications.

## **10. Innovation and Q-Laboratory**

NUV encourages faculties and students to tinker and execute their innovative ideas, have hands-on experience by getting creative with materials and ideas. Through NUV Q-Laboratory, they are provided with space and resources to work upon their innovative ideas. An effort is also to integrate the process with the curriculum so as to expand and formalize the process of thinking and designing ideas.

Over a while, the University intends to establish Central Instrumentation Centre for strengthening the technological infrastructure required to carry out advanced level research and development in the field of engineering and science. Over a while the university intends to utilize the resources for promoting startups.

## **11. Research Park**

In the future, University hopes to create a physical environment in terms of resources and infrastructure with the help of sponsoring institutes for the creation of new research across Schools of the University. A research park will enable the transformation of ideas into reality by engaging researchers, industry, and government institutions.

## **12. Creating Intellectual Property**

The University would facilitate researchers and innovators to leverage the intellectual property rights (e.g. patent, copyright and industrial design) so that their research outcome is secured legally and increases its commercial value. The eligibility of any research outcome for filing patent as well as financial support for protection of intellectual property to a faculty shall be decided on the basis of patentability as well as commercial viability of the invention by an empowered committee appointed by the Provost. Prior art search through authorized patent attorney may give more clarity on patentability as well as commercial viability of an invention.

The committee shall comprise of domain experts, senior researchers, external experts, and legal professionals equipped with expertise in the patent filing. The University shall bear entire expenditure incurred for the purpose of filing an application for patent. If the patent is commercialized the revenue sharing is to be done between the researcher/s and the University as per the norms notified by the Registrar's office.

The research committee from time to time will host various workshops and awareness programs in the field of Intellectual Property Rights and Patent filing process for the faculty members and research scholars.

### **13. Incentives for Research**

The University encourages its faculties to undertake research and publication activities and such contributions will be considered for review during the annual appraisal. The detailed guidelines for incentivizing research are attached in this document (Please refer *Annexure III*).

### **14. Research Ethics and Anti Plagiarism**

University expects the utmost originality in research work conducted by the faculty members. University also expects the faculty members and research scholars to follow code of research ethics and adhere to the anti-plagiarism guidelines as stated by UGC and the policy laid down by the University in this regard (Please refer Navrachana University policy on regulations for promotion of academic integrity and prevention of plagiarism as well as code of ethics for research). The research committee will conduct workshops and training sessions to promote research ethics and safeguard researchers from plagiarism.

### **15. The research policy document is a living document and is subject to change.**

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## ***Annexure I (Seed Grant for Minor Research Project)***

### **Eligibility**

- a) NUV full-time regular Faculty holding a Ph.D. degree can apply for the Seed Grant, preferably a faculty at the early stage of career (3-5 years). However, a seed grant research proposal submitted by a faculty at the early stage of career (3-5 years) without a Ph.D. degree may also be considered based on the merit of the project.
- b) Participation of Ph.D. scholars, postgraduate students is encouraged but only as project personnel. The Principal Investigator (PI) shall always be a NUV full-time regular faculty.
- c) During the time of application, the PI cannot have a second concurrent project; however, the PI is permitted to be co-investigator in more than one project/proposal.

### **Application process**

- a) The University may decide the strategic areas for seed grant allocation and invite proposals for screening by the Research Committee or an Expert Committee considering the topic of research proposal once/twice in a year.
- b) The faculty member will write a research proposal as per the format provided. The proposal should include a description of the research that he/she wishes to conduct over the next 1-3 years.
- c) The proposal will be submitted to the research advisory committee. An external subject expert shall be consulted by the research advisory committee and involved for evaluation of a seed grant proposal. The seed grant research proposal evaluation committee shall be constituted as follows:
  - i) Permanent Members (NUV Faculty)
  - ii) Invitee (External Member)
- d) Review comments suggested by the seed grant research proposal evaluation committee shall be appropriately incorporated/addressed by the Faculty before final submission.
- e) The Provost will make the final decision on allotting the Seed Grant for project based on the recommendation of the external subject experts, forwarded by the research advisory committee.

## **Seed Grant Amount**

The University will provide financial assistance up to Rs. 1.00 Lakh to the faculty concerned for the proposed project. A higher amount can be approved by the University Level Committee based on the justification provided by the Principal Investigator (PI). Higher amount in addition to the sanctioned amount can be provided based on the explicit need of the research proposal. The seed grant policy for minor research project scheme will help young faculty to initiate research ideas, prepare the proposal, conduct research, and write a research report. It will also assist them in preparing proposals for major research projects.

## **Project Implementation**

- a) The decision of the Research Committee will be conveyed to the PI who will then become the contact person for all matters concerning the Project.
- b) The PI is responsible for the conduct of the research (fund utilization, equipment procurement, and maintenance) as per the institute research policy and in accordance with the budget sanctioned.
- c) The PI will have to submit a progress report bi-annually in the prescribed format for evaluation by the Research Committee and external subject experts, concerning project outcomes achieved.
- d) The PI will duly acknowledge the contribution of the University in all publications/research communications in the future.
- e) In case the PI leaves the institute before the completion of the project, a co-investigator from NUV as recommended by the PI will assume responsibility as PI. No collaborator from another institution can become PI under this condition.

## **Expected Deliverables**

- a) The Seed grant project should ideally culminate in an externally funded project and/or a larger beneficial activity of the University/community.
- b) Publication in peer-reviewed journals/intellectual property generation including product/process development would be expected as outcomes of the project.
- c) Further, it is understood that any Intellectual Property (IP) emerging out of research funded by NUV will be owned Navrachana University.
- d) Such an IP will recognize contributions by all researchers as 'inventors'/'authors'.

## ***Annexure II (Consultancy and Collaborative Research Project)***

### **CONSULTANCY PRACTICE AT NUV.**

#### **A. Preamble:**

The NUV Employees, in addition to teaching, research, and academic management, is encouraged to interact with industry and other organizations in the form of short-term and retainer consultancy, continuing education, special lectures, etc. Such consultancy is expected to enhance the faculty's capability in both teaching and research and should also pose intellectual challenge to the faculty. The consultancy guidelines for faculty are as given below.

#### **B. General Guidelines:**

1. NUV Employees both confirmed and on probation are eligible to take on Consultancy Assignments using the University Brand Equity
1. The consultancy practice may include but not necessarily limited to: architectural, landscape and urban design practice; setting up engineering labs and conducting workshops to train engineers; business consulting projects; computational and training workshops in the field of education and educational practice.
2. Extension projects and training projects are treated different. Extension projects charge small fees needed to fund the workshop and everyone is required to do them as part of their overall service requirements. Training projects which charge fees over Rupees 1,500/per participant/day will fall in the category of consulting projects.
3. Faculty can spend the equivalent of up to one day a week on consultancy work during regular semesters or up to 50 days a year while ensuring that the academic activities are taken care.
4. All consultancy projects would be in the name of NUV and NUV - Center for Professional Education will coordinate such consulting projects and will represent the University.

#### **C. Restrictions:**

Unless justified, consultancy will not be allowed in the following circumstances:

1. When the consultancy services are to support research projects or any other projects being undertaken by the Navrachana University, Vadodara.

2. When any consultancy would contractually preclude the University or its employee from engaging in other research or any other consultancy. In case of a Non-Disclosure Agreement requiring exclusivity in association, the Consultancy would be reviewed on its merit and a decision taken on a case-to-case basis.
3. When the consultancy calls for the rendering of expert evidence in Courts of Law, in Arbitrations, or before Parliamentary Committees, the Consultancy may only be undertaken with the express authorization of the Governing Body of the University. The University will execute a 'Request for Permission to act as an Expert Witness' form which must be duly signed by the employee, the Registrar and approved by Governing Body of the University.

#### **D. Exclusions**

Following will not be considered as a part of consulting work as per this policy.

1. Royalties from the publication of books
2. Proceeds from publishing or refereeing of articles in learned journals
3. Remuneration as a member of a Journal Editorial Board or related editing, consistent with normal academic practice
4. Any remuneration from a publisher for Reviewing book proposals or manuscripts or advising a publisher on any book/matter
5. Peer reviewing research proposals for research sponsors
6. Proceeds from acting as an External examiner, ad hoc lecturer
7. Remuneration from conference presentations
8. External Reviewing and Audit Assessment
9. Grants from external bodies such as state/central government or industry or other Universities within India or abroad for a specific research study or travel grant

#### **E. Bidding for Consultancy Assignments:**

1. Faculty/Staff Cost: The consultancy charges for an assignment to be worked out by the faculty in consultation with Dean/Provost. It is very important to scope and size the assignment properly as wrongly done it could cause the University to lose money. Indicative charges per man-day of work are:  
Rs. 6,000/- to Rs. 10,000/- for Assistant Professor  
Rs. 8,000/- to Rs. 15,000/- for Associate Professor  
Rs. 15,000/- to Rs. 40,000/- for Professor

Any reduction in charges then mentioned above need the authorization of the Provost.

2. Additional charges must include all materials, travel, technology requirement, other personnel and incidental expenses. It is the sponsoring organization which has to bear these expenses and faculty must ensure its inclusion in the proposal.
3. Over and above the man-day costs, University overheads would be charged at 20% flat to arrive at a proper bid for the project. This is a normal guideline however exceptions may be considered on case to case basis.
4. Add GST at applicable rate.
5. Use Annexure-1 to compute the total fees for the consulting assignment.

**F. Guidelines for securing and accepting consultancy projects:**

1. An individual/ organization would contact either a faculty member or the University regarding their requirements. If the work comes to the University, the University will find a way to distribute the work among the faculty.
2. There should be detailed discussion with the client to understand and define the consultancy work including scope, personnel, effort, schedule, budget, deliverables and other conditions.
3. The faculty member(s) concerned will discuss the project's scope, personnel, effort, schedule, budget, deliverables and other conditions with the Dean/Provost and determine whether or not to accept the offer.
4. Take the approval in the format given in Annexure-1.
5. An agreement or engagement letter must be signed with the client. Large and/or complex projects (Total Amount > Rs. 10 L) may require review and validation of the University's legal team. Agreement on non-competition, non-disclosure and confidentiality is also required to be signed.
6. A separate clause in the agreement should restrict the liability of the University to the extent of consultancy fees only. No consequential liability clauses should be accepted. No liquidated damages clause should be accepted either. No indemnity clause should be accepted without the express approval of the Provost & Registrar and the Legal advisors.
7. All consultancy work carried out by the University team will be the Intellectual Property of the University and any deviations to this must be acceded to by the

Provost

8. As soon as first cheque/draft is received in the name of the University towards advance payment for the assignment, the Accounts Officer would set-up a ledger account in the name of the consultancy project and informs the project faculty.

**G. Distribution of Consultancy Receipts:**

1. The consultancy amount will be distributed as follows:
  - In case of faculty/staff cost up to Rs.3 lacs, 90% of the faculty/staff cost will be paid to the faculty/staff who have worked on the project and 10% will be retained by the University. So if the total faculty/staff cost considered in the consultancy fees is Rs. 2.8 lacs, Rs. 2.52 lacs will be shared with the faculty/staff and Rs. 28000 will be retained by the University.
  - In case of faculty/staff cost exceeding Rs.3 lacs, the share of faculty/staff will be 70% and balance 30% will be retained by the University. For example - if the total faculty/staff cost considered in the consultancy fees is Rs. 6 lacs, Rs. 4.2 lacs will be available for sharing with faculty/staff and Rs. 1.8 lacs will be retained by the University.
2. The distribution of the 90% or 70% amount among Faculty team members would normally be decided by the Faculty member leading the project and the distribution justification notified in writing to the University.
3. The consultancy amount will be disbursed to the faculty team only after the consultancy work is completed as per the agreement, certified by the faculty and client, and final bills issued and payment received by the University.
4. Consultancy fees distribution to faculty members is subject to deduction of appropriate TDS.
5. The Accounts Officer will furnish accounts information to the faculty and close the consultancy account.

For Foreign Consultancy Assignments different norms will be worked out on a case to case basis depending on the merits of the assignment.

**H. Policy Non-Compliance**

Compliance with this Policy is mandatory. In the event of non-compliance with the directives of this Policy, employees will be subjected to disciplinary action and the misconduct rules as mentioned in their Terms and Conditions of employment.

## APPROVAL FOR TRAINING PROGRAM / CONSULTING ASSIGNMENT

School / Center : \_\_\_\_\_

Date: \_\_\_\_\_

Organization: \_\_\_\_\_

Location: \_\_\_\_\_

**Details:**

No	Training Program / Consulting Assignment	Date	Time	Faculty Name/s

**Estimate:**

No	Faculty Cost (E.1)	Additional Charges (E.2)	NUV OH @ 20% (E.3)	Total
			GST @ 18%	
			<b>Grand Total</b>	

Training Program / Consulting Assignment Fees: \_\_\_\_\_

	Name	Sign
I confirm that this training program / consulting assignment will not affect my responsibilities at Navrachana University in any manner.	Faculty: _____	
<b>Teaching Load Confirmation:</b> Concern Faculty's teaching load for the current semester is / will be completed as per the applicable norms.	School / Center Head: _____	
<b>Compliance to the NUV guidelines:</b> The proposal presented is in line with NUV guidelines	Registrar: <u>Dr. Sandeep Vasant</u>	
<b>Final Approval</b>	Provost: <u>Dr. Nilay Yajnik</u>	

### ***Annexure III (Incentives for Research)***

- a) The incentive applies to the full-time regular faculty members of the University.
- b) In case the publication is in joint names/authorship the incentive shall be shared proportionately.
- c) Faculty members receiving state/national/International award/fellowship shall be rewarded suitably.
- d) Annual Best Faculty award in each School shall be awarded according to parameters laid down by the research committee. The award shall include a certificate, medal, and a suitable cash prize.
- e) The faculty (Principal Investigator) having sanction order for the research project for external funding by government/other agencies, shall be considered for suitable rewards during the annual appraisal process.
- f) Publication of research paper in SCOPUS/Web of Science/ABDC/SAGE/Taylor & Francis/Wiley/EBSCO/Springer/De Gruyter and other nationally and internationally reputed publishing house shall be considered for suitable rewards during the annual appraisal. University discourages the practice of paid publications. However, reputed journals or Book publishers in certain areas demand the processing fees, such cases can be considered as an exception.
- g) To encourage faculties to enrol for Ph.D. program at Navrachana University, NUV full-time regular faculty who is admitted to the Ph.D. course shall be provided fee concession to the tune of 25% of the fee charged for the course. The faculty will have to take an undertaking that he/she shall continue to be in the employment of the University for one year after the award of a Ph.D. degree.
- h) University encourages faculty to present paper at National and International Conferences/Seminar of repute as well as participate in Workshops and Short term training programs by providing them various incentives in terms of special leaves and part or full reimbursement of participation fees as appropriate. A letter of acceptance from the organizing agency is mandatory to review the financial assistance program. The recipient of the Financial support is expected to make a presentation at the University for dissemination of the learning outcomes and other details regarding the conference/training/SSTP/WORKSHOP attended by the recipient, after returning back.

- i) Special casual leaves up to 15 days may be granted with or without any financial assistance by the University for the purpose of research activity.
- j) Faculty participating in any research program with CSIR, DST, DBT, ICSSR, ICAR, and other agencies of similar reputation may be provided financial assistance up to 50% of the travel expenses. A prior approval has to be sought by the Faculty.
- k) Financial assistance to faculty for attending the conferences/seminars/symposia etc. at the national level will be available once in the academic year. In such cases, the Financial assistance will be limited to a travel expenditure (actual train fare-AC-2 Tier or equivalent airfare and registration fee to a maximum of Rs. 15,000/- as per actual expenses).
- l) Financial assistance to faculty for presentation of research papers in the conferences/seminars/symposia etc. abroad internationally will be available once in two academic years. In such cases, the financial assistance will be limited to travel expenditure and registration fee to a maximum of Rs. 50,000/-. The recipient of the Financial support is expected to make a presentation at the University for dissemination of the learning outcomes and other details regarding the conference attended by the recipient, after returning back from the conference/symposia. The recipient of financial support shall commit to serve the University for a duration of two years after returning back from the conference.
- m) All financial assistance for attending national/international academic conferences/seminars etc. is subject to the recommendation of the head of the respective School, research committee, and approval of the Provost and Registrar considering that the level of program and the organizing agency is of repute and capable of enhancing the skills of the participants.

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