



SNDT Women's University

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AQAR 2021-22

Criterion III

RESEARCH, INNOVATIONS AND EXTENSION

The information/ Supporting documents required under **3.5.1 - Institution has a policy on consultancy including revenue sharing between the institution and the individual and encourages its faculty to undertake consultancy** are available at <https://www.sndt.ac.in/pdf/iqac/aqar/aqar-21-22/criteria-3/3-5-1-policy-on-consultancy-including-revenue-sharing.pdf>

Registrar
SNDT Women's University
Mumbai - 20



SNDT Women's University

Research Policy

(This policy has been approved by the Management Council)

[Consultancy policy page No. 8](#)

1. Preamble

As a leading multi-disciplinary University, SNDTWU upholds academic excellence and world class research that is aimed at addressing real-world problems, at local, regional, national and international levels. The primary goals of SNDT Women's University are providing access to higher and purposeful education for women, developing scholarship and research in the emerging areas of studies and achieving excellence in academic disciplines, research and extension activities emphasizing on quality in every activity. To achieve these goals, the University engages in cutting edge research in all domains/ faculty of studies in ethical, responsible and transparent manner for progression of human knowledge and development of innovative and newer technologies, techniques, products and processes. SNDT Women's University is involved in research and innovation in multiple subject domains ranging from Pharmacy to early childhood education, nutrition, arts, literature, education, law, social sciences and not limited to four faculties-science and technology, humanities, commerce and management and interdisciplinary studies to address the pressing issues of the society. This research policy delivers a set of guidelines for conducting research at University levels and is applicable to all the faculty members and research students whether full-time, part-time who may be involved in any type of research activity. This Policy helps in creating a congenial eco system that promotes gain of knowledge and research which is ethical and can be meaningfully blended with societal concerns along with value creation to promote innovation and entrepreneurship.

The purpose of the Research policy is to encourage contextual research encompassing the thrust / priority areas at state, national and global level.

2. Definitions (Key Terms)

Research, ethics, funded research, consultancy, plagiarism,

3. Scope

This document on SNDTWU Research Policy Guidelines will be applicable to all the faculty members, staff and students of University departments, conducted and affiliated colleges/institutes, and Centres who are involved in any form of research activity irrespective of their disciplinary domains.

4. Need of The Policy

The purpose of the Research Policy is to create an environment for encouraging research in SNDT Women's University (SNDTWU). This research policy aims at building and supporting research culture for development and promotion of research aptitudes among the faculty members and research scholars of the University by providing the necessary resources and suitable facilities. This research policy shall provide an overall framework and established norms and standards related to the safe and ethical conduct of research, within the vision of which the research activities may be carried out.

5. Objectives of the Policy

The University encourages faculty members and students to pursue research goals through their primary commitment to engaging in research, teaching, industrial collaborations and extension activities that agree with the principles and values of the University. The University promotes teaching faculty to undertake research work in addition to teaching and administrative responsibilities, also engage in academic and professional activities for public and societal benefit. Maintenance of high professional standards is the part of responsibilities for individual researchers. Professional responsibilities of ethics, integrity, quality and accountability should be adopted by the researchers. All research activities should be undertaken in compliance of the University Research policy.

The research objectives of the University are -

- To encourage research as an integral part of University and important activity to be pursued along with the teaching responsibilities for faculty members.
- To seek resources and enhance the quality of research work undertaken.
- To augment financial support for research through internal and external funding sources.
- To create, maintain and strengthen the infrastructural facilities to enable the conduct of state-of-the-art research.

- To provide basis for conduct of research in transparent, ethical, beneficial and socially responsible manner.
- To provide effective and continual support for pursuing research and promote creation of environment favourable for conduct of high-quality original and advanced research
- To develop transparent, effective and efficient systems for maximizing the output of research at national and international platforms.
- To integrate the research undertaken at-under-graduate, post-graduate and doctoral levels with the research goals of the University aligning with the national thrust areas.
- To encourage translational research for converting innovations, newer knowledge, technologies and tools into processes and products suitable for commercialization and societal benefit.
- To motivate and encourage the publication of the research carried out in reputed, peer reviewed academic journals listed in UGC care list
- To facilitate and encourage outcomes of research- Presentations of the research /projects carried out through various academic events such as symposia/seminars/workshops/guest lectures or through the digital media.
- To promote and protect the Intellectual Property Rights such as trademarks, copyrights, patents, industrial designs etc. of the individual/s and University.
- To facilitate and encourage multidisciplinary and collaborative research activities within different departments/ institutes of the University and also with other reputed institutes, Universities, Corporate sectors, NGOs and Research Organizations both in India and abroad.
- To establish linkages outside University through collaborative research and sign MOUs for the University.
- To maximize the recognition and impact of research activities for strengthening the research profile of the University.

6. Policy: Guidelines for implementation of the policy

Management of Research

- The research at SNTWU is managed by the Board of Research. The Research Board is in existence and constituted as per the guidelines of the Public University Act 2016.
- Each department should establish and maintain research laboratories to create favourable research ecosystem.

- The faculty and scholars involved in research should go through the Ph.D. guidelines before commencement of research. The Ph.D. proposal should include objectives of research, action plan and research outcomes. Ph.D. research may include but not limited to training and learning, content development, curriculum restructuring, practical field work, product development as applicable and subject to approval by RRC of respective subject domain.
- Research scholars are motivated to present their research outcomes/findings in national and international conferences/ seminars/ workshops or even at Campus Research Hubs of repute.
- They are also encouraged to publish their research in peer reviewed, high impact factor journals.
- Faculty and research scholars are motivated to procure research funds from government and private organizations.
- Faculty members should implement research pedagogy for enhancing the theoretical and/ or conceptual understanding of teaching-learning processes.

Rights and Responsibilities

- There should be no conflict of interest in commitment of the faculty members and students involved in research with the institutional goals of the University.
- Research Policy of the University should be able to help all faculty and students involved in research to decide as to what extent their individual and group research activities may conflict with the faculty member's primary commitment to teaching, and other responsibilities in the University; to educate students and faculty involved in research about situations that generate the potential for conflicts of interest or commitment; to identify means and methods to manage, reduce or eliminate such conflicts and finally to promote the best interests of students and others whose work depends on the guidance and direction by the faculty members.
- If the researcher has a query or difficulty about whether an activity is allowed under the University Research Policy, the researcher should ask guidance from his or her departmental/ institutional head or Dean of the faculty or the Member Secretary, Board of Research.
- Researchers should have the right to maintain the originality of the results and findings of their research. The research findings should not be modified by the external sponsors

beyond the specific undertakings agreed upon by the sponsoring agencies, Universities and researchers.

- The Researchers could also engage in external consulting activities, subject to the University's rules and regulations as listed below.
- Discrimination on grounds of race, gender, sex, pregnancy, marital status, family status, ethnic or social origin, colour, sexual orientation, age, disability or medical condition, religion, conscience or belief, cultural language and birth should be avoided at any cost while awarding research grants, approving research topics, allotting research supervisors and so on.

Research Resources

SNDTWU has instituted resources for carrying out research in the University departments / conducted / affiliated colleges to encourage and motivate faculty members, research scholars.

- *SUUTI Endowment fund* - Research projects are funded through SUUTI Endowment fund, SNDTWU, to the faculty members and Ph.D. research scholars to encourage and facilitate the research activities.
- The University has made a separate provision in budget of Rs. 50 Lacs per year for Research fund. The amount will be distributed to distinguished faculty members for promotion of research, for obtaining IPR, for publication of research papers, book chapters etc.
- *Publication grant*– The University ‘Publication grant’ is utilized for University level publication of inter/ multidisciplinary Research journal, newsletter/s, research papers, book chapters, video recording for ‘Research Depository’ etc.
- *Travel grant* -Travel grant is sanctioned to faculty members for national / international travel through unassigned grant from UGC to attend and present the research papers at the conferences/symposia/workshop as per UGC/AICTE norms.
- Academic staffs are eligible to apply for duty leave in support of their research including research and study, conferences and exchange programs, based on the recommendations of their reporting authorities.

Criteria for funding from University budget:

1. For carrying out Research:

Total Budget: 50 lacs

Probable budget distribution:

- Research projects*: Rs. 42 lacs (06 Minor and 04 Major projects)

- Travel Grants: Rs. 04 lacs
- Publication Grants: Rs. 04 lacs

* Research projects:

- a) Minor Research Project: Rs. 2.0 lacs, 18 Months duration
- b) Major Research Project: Rs. 6.0 lacs, 30 Months

2. Travel Grants:

Travel Grants: Considering UGC unassigned grants for foreign travel, ICSSR Conference/seminar grants for abroad, DST SERB -ITS (International Travel Scheme) INSA Travel grants the following rules will be applicable.

- i) Travel grants can be availed only after gap of four year and only two times in the career.
- ii) Grants will be sanctioned only for the conferences/seminar to be held at University or National/International Organization and not in the hotels/private places.
- iii) Young faculty members below 35 years of age can avail Registration fees and lowest economy fare (maximum Rs. 50000/- Air fare)
- iv) Faculty members above 35 years can avail only lowest economy fare (maximum Rs. 50000/- Air fare)
- v) Travel grants applicable only for oral presentation and acceptance letter is mandatory.

3. Publication grants:

The financial assistance for publications can be given after appropriate scrutiny.

Responsibilities of Researchers

- Faculty members must be fully aware of their obligations to their staff and students working as a part of their research team. The faculty member should review intellectual and tangible property rights and responsibilities with all members of their research group and maintain academic transparency. All scientific help should be properly acknowledged. Fairness of distribution in offering benefits to individuals and representatives involved in research should be maintained.
- The University encourages faculty members to explore opportunities such as participation in Training Courses or Workshops or Conferences/ Seminars and if possible mentoring programs for those in their research group.
- The Heads of the Departments/ Colleges and researchers associated with research are directly responsible to ensure the periodic inspection of laboratory facilities, take corrective measures if required and to cooperate in any kind of inspections by University authorities, safety personnel or external agencies.

- Research Facilities, experiments, observational tools and use of resources should be in accordance with ethical standards prescribed by regulatory bodies as well as research standards laid down in this regard by professional bodies.
- Where consent for such specific ethical compliance is involved, the same should be obtained from the agencies concerned. The researchers are also required to ensure that approvals for conducting research involving use of animal and human subjects are obtained and followed. University/ Institutional Ethics Committee or external ethics committee should be consulted for such approvals.
- Researchers could also engage in consultation activities for external agencies, use ongoing research data and collaborate with other scholars' in line with University research policy. All financial agreements for the research should be acknowledged and should be as per the contract either with University or funding agency. Research Funds must be judiciously spent to remain within the limitations of the research grant. Any overdraft or change of head should be approved both by within the administration and also by the sponsoring agencies.
- Principal Investigators and Heads of the Departments/ Institutes are responsible for securing required approvals for the equipment/ instrument purchase, proper tagging and maintenance of inventory, utilization of equipment and peripherals and disposal once the equipment becomes either dysfunctional or irreparable and obsolete following scrap disposal policies of the University.
- All funded projects and their Statements of Expenditure and Utilization Certificates must be reviewed and certified by the Principal Investigators and Heads of the Departments/ Institutes besides by the Registrar as applicable. It is also the responsibility of each departmental/ institutional head to ensure that such system is in place to ensure that the Principal Investigators fulfil the requirements for review and certification.

Promotion of Research

Maharashtra State Innovation Society (MSINS) has established a Women Entrepreneurship Cell dedicated for promoting entrepreneurship amongst women. Under this cell, various activities are organized in collaboration with colleges, universities, corporates, etc. to increase participation of women in entrepreneurial activities across the state. In line with the mandate of this cell, State Innovation Society has awarded SNTD University a dedicated Incubation Centre for Women (WISE Incubation center) for promotion of research activities. Faculty members and research scholars can register their innovative ideas and research at

WISE incubation center where support and guidance is offered for commercialization of the ideas and technology transfer.

Undertaking Research consultancy / Sponsored Research

The sponsored research projects undertaken could be financed by Industry or any Central/State Government funding agencies. Such projects usually have the time-frame, budget details, deliverables etc. clearly specified by the funding agencies.

The faculty members of the University are permitted and encouraged to engage themselves in academic research/ sponsored research/ consultancy projects in collaboration with corporate/ government sectors. The person undertaking such project has rights and responsibilities towards Department/institution/university. While s/he can make decisions related to the project, such collaborative research should not interfere with their regular duties for the following reasons:

- Research consultancy/ Sponsored Research activities give recognition to the SNTDWU.
- Research Consultancy/Sponsored Research projects provide enriched experience and knowledge through interaction in the professional field. The faculty members / researchers also get an opportunity of experimenting and innovating under actual service conditions.
- Consultancy also provides an opportunity to engage research students to see the sphere of their selected profession and gives them a career path.
- It provides financial returns (small or large) to the University, the department / institute, the faculty members, research scholars and the staff in general.

Guidelines for Research Consultancy

- All Consultancy, whether carried out by faculty member as an individual or a group of faculty or student scholars' shall be considered as University's or Institutes' consultancy, not of any individual.
- The total Consultancy amount shall be shared as follows:
 - (i) Honorarium to Consultants and Other staff members/research students : 60%
 - (ii) Overhead for the use of institutes' infrastructure : 20%
 - (iii) Overhead expenses for the use of University's facilities : 20%

Confidentiality

The research projects may require confidentiality either due to governmental/ funding body restrictions or because of patent requirements and the confidentiality should be maintained while publishing this data. The institutes involved in research should sign Non-disclosure

agreements (NDA) with the concerned bodies. The principles that guide the research computing systems are safety, confidentiality, integrity and availability.

- Safety of the data is important because it defines the security measures taken to prevent any unauthorized use or possible cyber-attack. Head of the Department/Institute along with PI are responsible for the safety of data, project equipments and associated material.
- If access is required to confidential data in the course of the project, appropriate permissions by the PI from the Dean/ Head and the Pro-Vice-Chancellor in writing will be required.
- Integrity of the data implies maintaining, assuring the accurateness, reproducibility and extensiveness of data over its entire life cycle by the PI and all associated with the project.
- Availability means that the system and its data can be accessed and used by authorized users when needed. Confidentiality Agreement and Memorandum of Understanding must be signed between University and governmental/ funding bodies to avoid any conflict of interest. Details about data sharing must be clearly documented at the time of project design or prior to the data collection.

Research Publications

- In order to ensure quality of publications and to standardize the research output, University will collaborate with leading publishing houses in the world and research data bases with indexing agencies, including reputed and peer reviewed journals or any disciplinarily recognized publishers.
- In view to promote quality research, academic integrity and publication ethics, the research work should be published in high impact factor journals which are indexed in Scopus, Web of Science, PubMed and UGC Care. Authors may decide the journal depending upon the quantum of research work. This would promote high quality publications in reputed journals that would help in achieving higher global ranks.
- Publication of research findings through research / review papers, conference proceedings, books, book chapters by the faculty members, research scholars is vital for the effectiveness of University in research. Faculty members of SNTWU are encouraged to publish consistently in peer reviewed quality journals with good impact factor. The faculty members shall be expected to publish a certain number of research papers in refereed journals at national and international levels. In case of social science and humanities researches, professional associations and recognized journals in the field be considered. Publishing in predatory journals should be discouraged.

- Research papers may be scrutinised and guided by the Senior Professors at the University / Institution before publication in identified journals and presentation at national and international conferences.
- Each Department/institution is motivated to publish quality journal/s and organise seminars/ symposia/ conferences for promotion of research, from time to time to enhance the research activities and output for the University.

Patent and IPR

Strengthening of research in the University, leads to filing of patents for which the IPR policy is made and available. If any innovation is done by faculty/students on the campus, the University will encourage the researchers and scholars for filing patent. The research scholars are also facilitated to register their innovations at SNDTWU WISE incubation centre for commercialisation and technology transfer.

Ethics and Integrity

Faculty members, research scholars and students are expected to follow personal and professional ethics as an individual in conduct of research.

Grievance Procedures

The grievance procedures elsewhere outlined in the University Policy documents will be followed during research too. These procedures are designed to assure that decisions by faculty members and administrators comply with the standards of academic freedom granted to all researchers. These procedures are internal to the University and are aimed at preserving confidentiality and academic integrity while protecting the rights of individual staff. If any faculty member feels aggrieved by a decision that she or he believes to be in violation of this guidelines and rules, he or she may file a grievance pursuant.

7. Procedure:

The Research Committee, The University Ethics Committee and Ph.D. Cell of the University will work together for implementation of research policy and management of research at the University.

- **Research Committee:**

1 Dean/ Associate Dean

1-2 Industry Nominee

Subject Expert/s as Invitees

- **The University Ethics Committee**

The University Ethics Committee can be formed comprising of internal as well as external members to facilitate ethics clearance for the researchers.

- **Ph.D. Cell of the University**

The University has established a Ph.D. Cell to facilitate the processes related to Ph. D. research scholars. The Ph.D. cell sets the guidelines for admission, conducting the coursework I, II and III, submission of periodic progress reports, submission of synopsis and thesis etc.

- The faculty and students involved in research will conduct themselves in such a way so as to avoid or minimize any conflicts of interest. In case any such issues arise, they should be promptly and properly revealed to the Research Committee so as to allow resolving any issues before engaging in research, development and innovation activities. In case of misconduct/ malpractice, the same shall be reported to the Research Committee in writing.
- The University Ethics Committee will promote maintaining research integrity and promote conducting research in methodological and systematic manner and carefully drawing conclusions.
- The Ph.D. Cell of the University will sensitize the faculty and students about dubious/questionable research, publishing practices and predatory journals. Ph.D. cell will take regular initiatives to ensure that the researchers understand the importance of ethics and integrity for publishing their research at institutional, national and international levels. Software required for plagiarism check should be made accessible to all researchers. Library provides plagiarism report on request to the researchers.

Consequences of non-adherence to the guidelines

Code of Ethics-Piracy and plagiarism in all the aspects/areas of research and/or any research instrument shall be treated as misconduct.

- The University has established the mechanism as prescribed in these regulations to enhance awareness about responsible conduct of research and academic activities, promotion of integrity and deterrence from plagiarism.
- The University Central library has the “Urkund” software to implement the technology based mechanism so as to ensure that documents such as theses, dissertations, reports, publications or any other such documents are free of plagiarism at the time of their submission.

- The University instructs students and faculty about proper attribution, seeking permission of the author wherever necessary, acknowledgement of source compatible with the needs and specificities of disciplines and in accordance with rules and regulations governing the source. The students and faculty members are encouraged to attend sensitization seminars, awareness programs on responsible conduct of research, project work, assignment, theses, dissertations, promotion of academic integrity and ethics in education.
- The University shall take seriously all allegations of misconduct, and shall ensure that the procedures for the inquiry, investigation and adjudication of any misconduct are well defined and just for all parties involved.
- The University has zero tolerance policy towards plagiarism as per the UGC guidelines. In case of misconduct/ malpractice, the same shall be reported to the Research Committee in writing.

8. Beneficiaries

Faculty, undergraduate and postgraduate students, Ph.D. scholars, research students/ fellows of the University departments and conducted colleges/ institutes of University.

9. UGC Guidelines pertaining to that policy in appendix

https://www.amity.edu/gurugram/pdf/university_research_policy.pdf

<https://nirmauni.ac.in/research-at-nirma/research-activities/policies-and-guidelines/>

<https://dpu.edu.in/documents/Research-Policy-Document-ver1.pdf>

<https://mangaloreuniversity.ac.in/sites/default/files/NAAC%20-%202020/3.1.1-Research-Policy.pdf>

https://www.rgukt.ac.in/assets/docs/Research-policy3-1-1_28012020.pdf

<http://www.unishivaji.ac.in/uploads/bcud/2020/policy/research%20policy.pdf>
