



# RESEARCH POLICY DOCUMENT

**(Amended upto November-2022)**

# DPU

**Dr. D. Y. PATIL VIDYAPEETH, PUNE**

**(Deemed to be University)**

**(Accredited (3<sup>rd</sup> Cycle) by NAAC with a CGPA of 3.64 on four point scale at 'A++' Grade)  
(Declared as Category - I University by UGC Under Graded Autonomy Regulations, 2018)**

Ref. No. : DPU / 1306-FCI/22

Date : 06 / 12 / 2022

### NOTIFICATION

In pursuance of the resolution passed by the Board of Management at its meeting held on 12<sup>th</sup> October, 2018 vide resolution no. BM-38-18

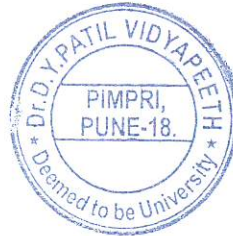
**AND WHEREAS** it is hereby notified for information of all concerned that Dr. D. Y. Patil Vidyapeeth, Pune has published '**Revised Research Policy Document (Amended upto November 2022)**' for information to all the concerned.

**AND WHEREAS** the resolution passed in Board of Management at its meeting held on 28<sup>th</sup> November, 2022 vide resolution no. BM-48-22

The "Revised Research Policy document (Amended upto October, 2018) is further Amended in 28<sup>th</sup> November 2022, by including Incentives for Article processing charges under the Research Incentives at serial no. 4. detailed guidelines are as follows:

1. General Guidelines in Publishing the Research Outputs
2. Precautions to be taken while choosing a journal for publications.
3. The Research Support by DPU
4. Research Funding
5. Norms and Standards for Submission of Research Proposals
6. Research Incentives including article processing charges.

The "**Revised Research Policy Document (Amended upto November 2022)**" will serve as a detailed guideline and will be useful to all the concerned. This will come into force with immediate effect.



(Dr. A. N. Suryakar)  
Registrar

Copy to;

1. P.S. to Chancellor for the Kind information of Hon'ble Chancellor, Dr. D. Y. Patil Vidyapeeth Pune.
2. P.S. to Vice Chancellor for the Kind information of Hon'ble Vice Chancellor, Dr. D.Y. Patil Vidyapeeth, Pune.
3. Director (IQAC), Dr. D.Y. Patil Vidyapeeth, Pune.
4. Director (Research), Dr. D.Y. Patil Vidyapeeth, Pune.
5. Controller of Examinations, Dr. D.Y. Patil Vidyapeeth, Pune.
6. Finance Officer, Dr. D.Y. Patil Vidyapeeth, Pune.
7. All the Heads of the Colleges / Institutes of DPU
8. Webmaster for uploading on the DPU website.

## RESEARCH POLICY DOCUMENT

### **BACKGROUND:**

The Government of India, Ministry of Human Resource Development, on the advice of UGC, declared Dr. D. Y. Patil Vidyapeeth, Pune as a Deemed-to-be University comprising of Dr. D. Y. Patil Medical College, Hospital and Research Centre, Pimpri, Pune vide its notification dated 11<sup>th</sup> January 2003.

Though Dr. D. Y. Patil Vidyapeeth, Pune had a humble beginning with one institution under its fold, over the last 14 years it has grown by leaps and bounds with the addition of 9 more professional institutions. Today the ten institutions of Dr. D. Y. Patil Vidyapeeth have created a brand name "Dr. D. Y. Patil Vidyapeeth" (DPU) in the field of medicine, dentistry, nursing, physiotherapy, and optometry, and biotechnology, management including the Institute of Distance Learning, Ayurveda and Homeopathy. These ten institutions are providing quality education to about 5500 students. The Vidyapeeth has state-of-the-art infrastructure and dedicated faculty, over & above the respective council norms. All the programmes offered in these constituent units of the Vidyapeeth are duly recognized by the respective Councils such as MCI/DCI/INC/CCIM/CCH/AICTE/UGC, etc.

The Dr. D. Y. Patil Vidyapeeth has been re-accredited by NAAC with a CGPA of 3.62 on a four point scale at 'A' grade on 3<sup>rd</sup> March 2015, valid up to 2<sup>nd</sup> March 2020. The DPU is also an ISO 9001: 2015 Certified University.

“Central Research Facility” has been established by DPU with the latest equipment (Flow Cytometer, Confocal Microscope with software for Karyotyping and FISH and Trinocular microscope). Similarly,

Vidyapeeth has established a “Regenerative Medicine Lab” in Dental College and “Molecular Diagnostic Lab” in Medical College.

**Regenerative Medicine Laboratory:** The Regenerative Medicine laboratory has been established at Dr. D. Y. Patil Vidyapeeth, that will form a nodal reference centre for dental research all over India and it will offer a platform for in vitro screening of drugs, pharmaceuticals and dental materials. It is likely to open up new era for medical and dental surgeons to refine their skills and contribute to upcoming novel therapeutic applications of stem cells for growing medical needs.

**Molecular Diagnostic Laboratory:** The Molecular Diagnostic Lab has been established at Dr. D. Y. Patil Vidyapeeth to provide a platform for ongoing and proposed research theme areas, create awareness and sensitize the population about the importance of detection and diagnosis of rare genetic diseases. These facilities will further support teaching-learning activities of UG / PG / MDS programs and help in starting Certificate / Diploma courses in molecular diagnostics.

Recently, Institute of Biotechnology and Research Centre of the Vidyapeeth has received the prestigious DST-FIST grant for Development of Infrastructure and equipment for teaching and research.

The Vidyapeeth has established research collaborations with international organizations like John Hopkins (U.S.A.), University of Skovde (Sweden), Orebro University (Sweden), Wayne State University (U.S.A), Hong Kong University (Hong Kong), Thammasat University (Thailand), Surindra Rajabhat University (Thailand), Virginia Commonwealth University (Virginia, U.S.A.), Kampala International University (Uganda), London Harvard Medical School Centre for Global Health Delivery, Dubai School of Training, London to have global level interactions.



**PREAMBLE:**

Health is considered as very important from the point of view of national development. Maintenance of health using appropriate strategy forms a core of any development policy. Every preventive, therapeutic, promotive, rehabilitative strategy should be based on evidence based research in appropriate area. Hence investment in health research should not be looked as non-productive but it should be envisioned as a long term investment for the well-being of the society. Dr. D. Y. Patil Vidyapeeth is committed to subscribe to this aim by framing tailor-made health policy suitable for the local conditions, which is essential for prioritizing, executing and monitoring the health research conducted at Vidyapeeth and its constituent institutes. This policy is therefore expected to help in achieving the ultimate aim of “healthy nation” in a systematic manner with optimized and focused efforts.

The purpose of this document is to present a research policy framework taking into consideration various constituent units in diverse field of health science for the design, management, optimizing infrastructure and development at Dr. D. Y. Patil Vidyapeeth, Pune.

Vidyapeeth encourages faculty members to participate in research, publish their work and participate in national and international conferences to present the research data and generate new concepts in the emerging areas, if required by collaborating with other national and foreign universities.

## **AIMS OF THE POLICY:**

- Provide a guideline for the conductance and publication of the research work.
- Define and prioritize the areas for research to be conducted in the Vidyapeeth.
- Provide essential infrastructure support for the research work.
- Establish rational, transparent, merit based decision-making systems for the allocation of financial and other support for research.
- Promote the quality research and motivate the faculty members.
- Integrate postgraduate research into the main research systems and provide the necessary facilities.

## **GENERAL GUIDELINES IN PUBLISHING THE RESEARCH OUTPUTS:**

- Authorship criteria should be strictly followed. A person can be included as a author if he/she fulfils ALL of the following:
  1. Contribution in conceiving and designing of the study.
  2. Contribution in acquisition, analysis or interpretation of data.
  3. Contribution in the critical evaluation of intellectual content.
  4. Take consent of all the authors for the publication and their contribution is free from plagiarism.
  5. The order of authors must be directly proportional to the contribution towards the research work.
  6. A copy of the publication must be submitted to the IQAC Cell.
  7. Due credit should be given to the Vidyapeeth in the publication in the acknowledgment section.
  8. It is mandatory that publication from any constituent college of the Vidyapeeth need to ensure to write Institutional affiliation as “Dr. D. Y. Patil Vidyapeeth, Pune”.

## **PRECAUTIONS TO BE TAKEN WHILE CHOOSING A JOURNAL FOR PUBLICATION:**

- It is encouraged to publish in good quality reputed journals
- Beware of predatory journals.
- It is encouraged to publish the research results in the journals which are indexed in Scopus/PubMed/Web of Science and UGC approved journals.
- Authors may decide the journal depending upon quality of the work.

## **THE RESEARCH SUPPORT BY DPU:**

The Vidyapeeth has designed the proactive policy to promote the research, thus motivating the faculty members and students of the Vidyapeeth to undertake the activities by adopting the guidelines of policy promoted by DPU. The following special norms are given for research:

- Research funding will be provided as seed money for the projects.
- Installation of annual research awards and young researcher award and best teacher award.
- Financial support in the form of registration fees to be reimbursed for National and International conferences.



## **RESEARCH FUNDING:**

### **Dr. D. Y. PATIL VIDYAPEETH SEED MONEY:**

- The purpose of the seed money is to enable researcher to carry out preliminary work. The data obtained from this preliminary work could be utilized for attracting extramural research funds from funding agencies such as DBT, DST, ICMR etc. or foreign funding agencies.
- Seed money will be provided by Dr. D. Y. Patil Vidyapeeth to principle investigators (PIs) who desire to undertake research. The duration for the project will be minimum 6 months to maximum 3 years.
- Amount of seed money sanctioned will normally range from Rs. 3 to 5 lakhs depending on merit of the project; however it can be increased or decreased depending on decision of screening committee in order to ensure quality of project.
- The PI should submit 6 monthly progress reports and submit utilization certificate and statement of expenditure along with project completion report.
- The university will then provide a project completion certificate.
- In order to encourage full time research scholars for the Ph.D. work and for the post-doctoral research work, Dr. D. Y. Patil Vidyapeeth will provide fellowships of Rs. 15,000 to 25,000 respectively for at least 10 students.

## **NORMS AND STANDARDS FOR SUBMISSION OF RESEARCH PROPOSALS:**

- The Principal Investigator shall be responsible for all academic activities and he/she shall be expected to complete the project within the stipulated period.
- The funds earmarked under the particular heads shall be utilized for that purpose only.
- On receipt of approval letter, the Principal Investigator should inform the University of his/her consent to undertake the project and send an Acceptance Letter (Annexure-VI). The Principal Investigator shall send the “Acceptance Letter” within two weeks from the date of issue of approval letter, failing which the approval shall liable to be cancelled.
- All the assets generated out of the funds for the project including equipment, books and journals shall be the property of the host institution, wherein of the Principal Investigator till the completion of the project will be In-charge. It may be retained in the laboratory of the investigator, but must be handed over to the college/institution in case of his/her leaving the College/Institute.
- The results of the study on the project supported by the University may be published by the Investigator/s with a due credit to Institution. In all such cases, the investigator/s shall acknowledge the support received from the University.
- A spiral bound copy of the final report of work done on the project, along with a CD, shall be submitted to the University on completion of the research project.
- A copy of the “Final Report” of the work done may be kept in the Library of the respective department and/or of the College/Institute.

The Principal Investigator shall submit six -monthly progress reports along with the statement of accounts (Annexure-IV) and utilization certificate (Annexure-III) at the end of financial year for the release of the subsequent grant.

## **RESEARCH INCENTIVES:**

Research has always been an integral part of our curriculum. We have excelled in research activity and have contributed effectively at National and International levels. In order to further strengthen the research activities, we propose to have certain incentives for faculty and PG students as under:

1. The National and International conference registration fees will be reimbursed on submission of receipt by a faculty member when he/she has contributed in the deliberations at the conference by way of:
  - (a) Presentation of Paper / Poster
  - (b) Chairing a session
  - (c) Judging a scientific paper / poster session
  - (d) Delivering a guest lecture
2. The delegate registration fees will be reimbursed on the submission of receipt to a PG student if he/she has presented a paper / poster at a conference.
3. An amount of Rs. 5,000/- (Five Thousand Only) will be given for a publication in “**Scopus, Web of Science and PubMed**” indexed journals and Rs. 3,000/- (Three Thousand Only) for a publication in “**Indian Citation Indexed**” journals or “**UGC-approved Journals**”  
(List of Journals is available at <https://www.ugc.ac.in/journallist/methodology.pdf>) after submission of photocopy of reprint. An amount of Rs. 5000/- (Five Thousand Only) will be given for a **patent that is published in the Indian Patent Journal, World Intellectual Property Organization** and other reputed international patent databases.
4. Incentives For Article Processing Charges  
Research publications in journals indexed in reputed databases are an important outcome measure of the research activities of any university. Due to recent developments in the open access policy of the journal, article processing charges (APCs) have become a mandatory component for some selected journals. Looking at this

trend in publication, Vidyapeeth has made provisions for providing incentives for APCs.

The guidelines for the same are as follows:

- a. Articles published in journals indexed in the SCOPUS and Web of Science databases are eligible for incentives as APCs.
  - b. The author must provide a copy of the published paper and its evidence in SCOPUS or the Web of Science Database.
  - c. The proof of the payment, in the form of a receipt from the journal and an account statement from the bank, is mandatory.
  - d. Only the first author or corresponding author is eligible for complete incentives for APCs.
  - e. The incentive for APCs is also applicable to any partial contribution made by the author to an APC, irrespective of the authorship number.
  - f. The authors shall not claim incentives for publications if they have been paid for article processing charges. Regular incentives for publications as mentioned in the revised research policy document will still remain effective and will be applicable for publications that have not received incentives towards article processing charges.
  - g. The publication must have the correct affiliation mentioned, and the same should reflect on the Scopus or Web of Science database. The format of the affiliation should be "**Name of the department, Name of the Institution, Dr. D.Y. Patil Vidyapeeth, Pune.**" If there is any deviation from this affiliation format, publications will not be accepted for claiming incentives for APCs.
5. The registration fees for faculty members and PG students deputed by the college for attending special training workshops / conferences / seminars will be reimbursed.

### **PLAGIARISM CHECK:**

Dr. D. Y. Patil Vidyapeeth ensures a complete review of various ethical aspects of the project proposals received and execute the same without bias and influence, that could affect their objectivity. Dr. D. Y. Patil Vidyapeeth has provided plagiarism detection kit to all Directors /Principals of affiliated colleges and Heads of the Department, to check the MD, MDS, MS and Master's dissertations, Ph.D. theses and article manuscripts to be sent for publications. It is mandatory for all the faculty and students to get the plagiarism check before submitting document to the respective authority.

### **CO-ORDINATION OF RESEARCH:**

- The Board of Research will be headed by Vice Chancellor and Director (Research) as Member Secretary.
- Apart from all Heads of Institutions, there will be 3-5 external members of repute at National and International level as member of the Board of Research.
- The Director (Research) has overall responsibility to oversee and monitor research affairs in Dr. D. Y. Patil Vidyapeeth and also responsible for the implementation of the Research Policy and advising the academic board on research related matters.
- Furthermore, Board of Research shall be responsible for:
  1. Updating the research policy and operational procedures which shall assist in setting out research priorities, securing funding, planning research, providing capacity building and monitoring research projects;
  2. Facilitating funding for research;
  3. Establishing research priorities and agenda;
  4. Organizing seminars and conferences at the University;
  5. Dissemination of research findings and conference/seminar outputs;
  6. Coordinating research and consultancy services;
  7. Motivation of staff and students to do research;

8. Strengthening capacity building in research;
9. Promoting high quality publications.
10. Filing patents.

- **Dr. D. Y. Patil Vidyapeeth “Research and Recognition Committee”:**

1. The committee shall be chaired by the Vice-Chancellor and Director (Research) as Member Secretary.
2. This shall comprise members as per bye-laws of Dr. D. Y. Patil Vidyapeeth.

- **The Institution Ethics Committee:**

There shall be Vidyapeeth Ethics Committee (IEC) duly approved by Drug Controller General of India as per established norms and must be NABH accredited, which shall be responsible for the provision of and ensuring adherence to guidelines that govern ethical research practice in order to ensure the protection of human research participants from research carried out under the auspices of the University. All the institutions/colleges should have their “Ethics and Scientific Committee” to monitor PG students’ research activities. Ethics approval of research projects and monitoring of ethical practice in research will be carried out through the IEC, on behalf of the Dr. D. Y. Patil Vidyapeeth. A report from the University IEC on its activities will be submitted annually to the Dr. D. Y. Patil Vidyapeeth. Appropriate guidance will be given through codes of practice to be prepared. This will include Research Ethics and procedures guiding research on human subjects.

## **CODE OF ETHICS IN RESEARCH:**

### **Scope of Publication Ethics Policy of DPU:**

- This policy is applicable to all constituent colleges and institutes of DPU, Pune.
- This policy applies to all publications with DPU affiliation whether from research conducted by students, faculty, visiting scholars, adjunct or honorary faculty.
- Any collaborative work published with DPU affiliation- National, International or industry collaboration is covered by this policy. This is applicable irrespective of the place where the work has been conducted.
- This policy is applicable to all types of publications irrespective of study type. Such as publications from clinical studies, laboratory studies, animal studies, population studies, and patient register studies. Publications reporting both primary studies or secondary data are included. This policy applies to all types of publications where the authors are affiliated to DPU irrespective of the place of publication whether journals, online or print, conference proceedings, posters, book chapters or books.

### **Purpose of the policy:**

The objective of this policy is to emphasise the importance of research integrity and adherence to publication ethics at DPU institutes.

This policy is based on the norms laid by the Committee on Publication Ethics (COPE). COPE is a forum of editors and publishers of peer reviewed journals that promotes integrity in research publications. The COPE recommendations available at [www.publicationethics.org](http://www.publicationethics.org) provide important guidance for authors, peer reviewers and editors. This document draws on this internationally accepted guidance.



This policy deals with the following major areas of publication ethics:

1. Ethics approval and trial registration
2. Research misconduct- Data manipulation and research fraud
3. Plagiarism
4. Simultaneous submission
5. Duplicate publication
6. Ethics of authorship
7. Conflicts of interest
8. Choice of journal for publication

### **1. Ethics approval and trial registration**

All publications arising from DPU must necessarily be a result of appropriate ethics practices. The research protocol should have been approved by the Institutional Ethics Committee (IEC). The IEC of DPU is registered with the Drug Controller General of India (DCGI) as required. The approval of the IEC should have been obtained before study commencement and periodic updates to the IEC must be documented.

In case of trials, the trial must be mandatorily registered with the Clinical Trials Registry of India (CTRI). Registration with the CTRI must be done prospectively and a CTRI registration number be obtained before first patient enrolment.

The principal investigator and the corresponding author will be held responsible for any deviance from standard documentation practices.

### **2. Research misconduct - Data manipulation and research fraud**

Research misconduct will be dealt with very strictly by the DPU. Fabrication that involves manipulation of data or fabrication that involves presenting results not drawn from the data generated by the reported research are serious forms of research misconduct. Such cases of research misconduct identified at the time of

manuscript submission or even after publication will invite strict disciplinary action from the DPU. Authors are required to safely store all research records including raw data for long period after publication.

A committee constituted by the Vice Chancellor headed by the University Registrar and Research Director will have the authority to investigate and recommend action in cases of suspected research misconduct.

### **3. Plagiarism**

The DPU discourages plagiarism in research publications. Access to URKUND software for similarity check with published work has been provided to all faculty. The faculty are required to also check theses for plagiarism before final approval. The DPU encourages students and supervisors to follow the COPE guidance on best practices in these publishing.

The DPU undertakes to create awareness about refraining from plagiarism through regular workshops. Plagiarized work will not be allowed to proceed to submission as laid by the Publications Management Committee of the DPU.

### **4. Simultaneous Submission**

In the urge to publish more in lesser time, authors can be tempted to disregard journal requirement of submitting to another journal at a time and often submit the same manuscript simultaneously to more than one journal. The DPU requirement to document a manuscript with the Publication Management Committee before submission minimizes such possibility at DPU. However, if such simultaneous submission by any affiliate of DPU is found during the peer review or noticed by other ways, the group of authors will be held responsible and strict disciplinary action will be taken by the University Research Director and the respective institute heads.

## **5. Duplicate Publication**

The DPU Publication Management Committee oversees the manuscript submission and ensures there can be no duplicate submission by DPU affiliates. However, in case inadvertent duplicate submissions are noticed, the DPU will constitute a committee under the chairmanship of the Research Director to investigate the matter. If found guilty of duplicate publication, the authors will need to withdraw the paper in addition to other disciplinary action by the DPU.

## **6. Ethics about authorship**

The DPU recommends following the International Committee of Medical Journal Editors (ICMJE) criteria for authorship:

- Substantial contributions to the conception or design of the work; or the acquisition, analysis, or interpretation of data for the work; AND
- Drafting the work or revising it critically for important intellectual content; AND
- Final approval of the version to be published; AND
- Agreement to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

The authors are advised to follow standard practices ensuring all those who have contributed are named on the manuscript and no non contributor is given credit for the work. The group of authors collectively decides the order of authorship.

The DPU strictly discourages unethical authorship practices such as guest authorship, ghost authorship or gifted authorships.

Department heads are encouraged to promote a culture of publication ethics discouraging the above mentioned unethical authorship practices. The DPU endeavors to positively promote ethical authorship practices by regular awareness meetings and workshops. Confidential reporting of cases of guest, gifted or ghost authorship to the University Research Director is allowed and will be investigated and dealt with appropriately.

#### **7. Conflicts of interest**

The DPU encourages all authors to declare any financial, social, personal interests that may be seen as conflicting with the research conducted. The mandatory requirement to register a manuscript with the Publication Management Committee is a mechanism at DPU to check non declaration of potential conflicts of interest. However in case of intentional or accidental non declaration of conflicts of interest by any DPU affiliate will invite strict disciplinary action and possibly requirement to declare these as an erratum to the publication.

#### **8. Choice of journal for publication**

The DPU strongly discourages publication in predatory journals and participation in conferences or workshops organized by predatory publisher groups. The corresponding author is responsible in ensuring the journal is not a predatory one. It is recommended the authors publish in journals supported by the University Grant Commission (UGC)- Consortium for Academic Research and Ethics (CARE). This is a rolling list updated every quarter, hence the authors are required to confirm inclusion of the journal in this list at the time of submission. Ideally the authors should publish in Group A and Group B journals in the UGC-CARE list.

The following checklist is recommended to be filled for all DPU publications. This is to assist adherence to standard publication practices and investigation in cases of suspected research misconduct.

**Checklist for publications by DPU affiliates:**

Sr. No.	Item	Yes	No	NA
1	Manuscript cleared by Publication Management Committee			
2	Ethics approval letter provided			
3	Ethics approval at all study sites, if multisite study			
4	Approving Ethics Committee registered with DCGI			
5	Trial registered with CTRI			
6.	ICMR guidelines for ethics in human research followed			
7	Copies of signed consent forms stored safely with PI			
8	Plagiarism check done and cleared			
9	Has this data or part of it been published in another form			
10	Has this manuscript been submitted to more than one journal simultaneously			
11	Authors confirm there are no guest authors included			
12	Authors confirm there are no ghost authors included			
13	Authors confirm there are no gifted authorships			
14	All authors have declared all conflicts of interest			
15	Authors confirm the chosen journal is not predatory			

## **EXTRAMURAL FUNDING**

DPU encourages staff to attract research grants from extramural funding agencies. Any researcher fulfilling eligibility criteria of funding agencies is free to apply for external funding. Research proposal is to be routed through Head of the Department and Head of the college /institution and sent to the funding agencies after presenting to college/institutional scientific research committee and getting their approval. DPU gives seed money for completing preliminary work and apply for external funds to pursue his/her research and excel in their field. DPU supports the travel expenses for presenting the research proposal before funding agency task force committee meeting anywhere in India. However, for presenting progress report of the sanctioned project the money is to be utilized from travel grant asked from the project. Principal Investigator (PI) of the project is supposed to give the budget for the project in two important headings [a] Non recurring such as Equipment accessories etc. and [b] Recurring which includes Consumables, Manpower, Travel, Contingency and Overhead expenses.

The Equipment and accessories bought from the project is to be retained in the laboratory, department/college and is to be made available to other researchers as well. It becomes the property of DPU after the completion of the project. In case the equipment cost exceeds from the budget provision made in the project proposal by few thousands up to 1 lac, DPU may consider to pay the difference depending upon the need and utility of the same. However it will be decided on case to case basis.

Consumables brought from the project are to be utilized for research purpose only to complete the objectives of the project and to carry our planned research work. The left over consumables are to be shared with other research in the department /lab.

Manpower (JRF/ SRF/ Project Assistant /Post doctoral fellow) asked for the smooth running of the project will be paid fellowship/salary as per norms of the funding agency in question. However, there is no binding on DPU to pay the same salary to the JRF/ SRF. Project Assistant / Post doctoral fellow recruited by DPU directly. This will depend on the kind of work, nature of the project and qualifications and experience of the person recruited

As per the norms of funding agencies provision is to be made for overhead charges varying from 10 % to 15%. However it will depend on case to case basis or may vary to higher or lower side depending on utilization of infrastructure made available by DPU. The rate at which the institutional charge shall be levied on the extramural project shall be decided by the Head of the Institution in consultation with the principal Investigator based on the expected usage of the Institution's equipment and other facilities.

### **CONCLUDING REMARKS:**

The Dr. D. Y. Patil Vidyapeeth Research Policy will entrench and strengthen a research culture at the institution by developing a strong multidisciplinary research culture and encourage synergy. It will encourage academic staff to undertake research both at National /International level with a specific role in responding to the requirements and needs of the communities.

Through this research policy, it is anticipated that staff will be more oriented to the solution of practical problems rather than instruction in merely scientific and academic subjects. The policy will further ensure an annual allocation of funds for "Research and Development" from the University budget and generate additional external funding to supplement University Research. It is anticipated that the research policy will provide the framework which underpins the conduct of research at Dr. D. Y. Patil Vidyapeeth, Pune



**Annexure-I**

**Dr. D. Y. Patil Vidyapeeth, Pune**

**FORMAT FOR SUBMISSION OF  
PROPOSAL FOR RESEARCH PROJECT**

**PART – A**

1. Broad Subject \_\_\_\_\_
2. Area of Specialization \_\_\_\_\_
3. Principal Investigator
  - (i) Name : \_\_\_\_\_
  - (ii) Sex: M/F \_\_\_\_\_
  - (iii) Date of Birth: \_\_\_\_\_
  - (iv) Qualification: \_\_\_\_\_
  - (v) Designation: \_\_\_\_\_
  - (vi) Address: \_\_\_\_\_
  - (vii) Office : \_\_\_\_\_
  - (viii) Residence : \_\_\_\_\_
4. Co-investigator(s) (if any):
  - (I)** Name : \_\_\_\_\_
    - (i) Address : \_\_\_\_\_
    - (ii) Sex: M/F \_\_\_\_\_
    - (iii) Date of Birth: \_\_\_\_\_
    - (iv) Qualification: \_\_\_\_\_
    - (v) Designation: \_\_\_\_\_
  - (II)** Name : \_\_\_\_\_
    - (i) Address : \_\_\_\_\_
    - (ii) Sex: M/F \_\_\_\_\_

- (iii) Date of Birth: \_\_\_\_\_
- (iv) Qualification: \_\_\_\_\_
- (v) Designation: \_\_\_\_\_

6. Name of the Institution where the project will be undertaken:

- (I) Department : \_\_\_\_\_
- (II) College / Institute \_\_\_\_\_

7. Teaching and Research Experience of Principal Investigator
- a. Teaching experience: \_\_\_\_\_
- b. Research experience: : \_\_\_\_\_
- c. Publication (**Attach separate Sheet if necessary. Please enclose the list of papers and books published and/or accepted during last five years**) :

Particulars	Published	Accepted	Communicated
Papers/Books			
Books			

d. Papers Presented / Published

S. N.	Title of the Paper	Name of the Journal	Details of Publication		
			Volume	Issue	Year

**PART – B**

8. (i) Project Title \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(ii) Introduction / Background

- Origin of the Research Problem
- Interdisciplinary Relevance
- Review of Research and Development in the Subject:
  - International Status
  - National Status
  - Significance of the Study

(iii) Objectives of the project:

(iv) Methodology detailing stepwise activities and sub activities:

(v) Year wise Plan of work and targets to achieve.

(vi) Work plan

(vii) Output of the project

9. Budget estimates

<b>Item</b>	<b>Estimated Expenditure</b>
-------------	------------------------------

**Recurring**

- |                                       |       |
|---------------------------------------|-------|
| (i) Hiring Services                   | _____ |
| (ii) Field Work and Travel            | _____ |
| (iii) Chemicals and Glassware         | _____ |
| Contingency (including special needs) | _____ |
| (iv) Books and Journals               | _____ |
| (v) Contingency                       | _____ |

**Non – Recurring**

(vi) Equipments, if needed \_\_\_\_\_  
( Please specify name and Approx. cost)

**Total** \_\_\_\_\_

10 (a) Institutional and Departmental facilities available for the proposed work:

Equipment:

\_\_\_\_\_  
\_\_\_\_\_

Other Infrastructural facilities:

\_\_\_\_\_  
\_\_\_\_\_

11. Any other information which the investigator may like to give in support of this proposal which may be helpful in evaluating.

To certify that –

- a) General physical facilities, such as furniture/space etc., are available in the Department/College.
- b) I/We shall abide by the rules of the University.
- c) I/we shall complete the project within the stipulated period. If I/we fail to do so and if the University is not satisfied with the progress of the research project, the University may terminate the project immediately and ask for the refund of the amount received by me/us.
- d) The above Research Project is not funded by any other agency.

**Name and Signature Principal Investigator**

**Co-Investigator**

**(i)**

**(ii)**

**( c ) HoD**

**(d) Dean/Principal/Director**

**(Signature with Seal)**

**Annexure-II**

**Dr. D. Y. Patil Vidyapeeth, Pune**

**Annual/Final Report of the work done on the Research Project**

**(Report to be submitted within 1 month after completion of every six months)**

1. University Reference No. \_\_\_\_\_
2. Period of report: from \_\_\_\_\_ to \_\_\_\_\_
3. Title of research project \_\_\_\_\_  
\_\_\_\_\_
4. (a) Name of the Principal Investigator \_\_\_\_\_  
(b) Name of the Co-investigators:
  1. \_\_\_\_\_
  2. \_\_\_\_\_
  3. \_\_\_\_\_
  4. \_\_\_\_\_
- (c) Dept. and College where work has progressed \_\_\_\_\_
5. Effective date of starting of the project \_\_\_\_\_
6. Grant approved and expenditure incurred during the period of the report:
  - a. Total amount approved Rs. \_\_\_\_\_
  - b. Total expenditure Rs. \_\_\_\_\_
  - c. Report of the work done: (Please attach a separate sheet)
- i. Brief objective of the project  
\_\_\_\_\_  
\_\_\_\_\_
- ii. Work done so far and results achieved and publications, if any, resulting from the work (Give details of the papers and names of the journals in which it has been published or accepted for publication, attach separate sheet if necessary)  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

iii. Has the progress been according to original plan of work and towards achieving the objective. if not, state reasons

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iv. Please indicate the difficulties, if any, experienced in implementing the project

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v. Please enclose a summary of the findings of the study. Two bound copies of the final report of work done along with CD may also be sent to the University.

vi. Any other information which would help in evaluation of work done on the project. At the completion of the project, the first report should indicate the output, such as (a) Manpower trained (b) Ph. D. awarded (c) Publication of results (d) other impact, if any

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**Signature of the**

**HOD**

**Dean/Director/Principal**

**Principal investigator**

**Annexure-III**

**Dr. D. Y. Patil Vidyapeeth, Pune**

Project No. : \_\_\_\_\_

Name of the Principal Investigator: \_\_\_\_\_

Name of the College & Department : \_\_\_\_\_

Research work started from : \_\_\_\_\_

Period of report from : \_\_\_\_\_ to \_\_\_\_\_

Date of report submitted: \_\_\_\_\_

**Utilization certificate**

Certified that the grant of Rs. \_\_\_\_\_ (Rupees \_\_\_\_\_ only)  
received from the Dr. D. Y. Patil University under the scheme of  
support for Research Project entitled \_\_\_\_\_

\_\_\_\_\_ vide University letter No. DYPU/\_\_\_\_\_ dated \_\_\_\_\_  
has been fully utilized for the purpose for which it was sanctioned and  
in accordance with the terms and conditions laid down by the  
University.

**Name Signature of the HOD Dean/Director/Principal Finance  
Officer**

**Principal investigator**



Dr. D. Y. Patil Vidyapeeth, Pune

**STATEMENT OF EXPENDITURE IN  
RESPECT OF RESEARCH PROJECT**

1. Name of Principal Investigator :

\_\_\_\_\_

2. College/Institute:

\_\_\_\_\_

3. University approval No. and Date

\_\_\_\_\_

4. Title of the Research Project

\_\_\_\_\_

5. Effective date of starting the project

\_\_\_\_\_

6. (a) Period of Expenditure: From \_\_\_\_\_ to \_\_\_\_\_

(b) Details of Expenditure \_\_\_\_\_

S. N.	Item	Amount Approved Rs.	Expenditure Incurred Rs.
i.	Books & Journals		
ii.	Equipment		
iii.	Contingency		
iv.	Field Work/Travel (Give details in the proforma at Annexure- V).		
v.	Hiring Services		
vi.	Chemicals & Glassware		
vii.	Overhead		
viii.	Any other items (Please specify)		

It is certified that the grant of Rs. \_\_\_\_\_ (Rupees \_\_\_\_\_ only) received from the University under the scheme of support for Research Project entitled \_\_\_\_\_ vide University Letter No. \_\_\_\_\_ dated \_\_\_\_\_ has been Partially/Fully utilized for the purpose for which it was sanctioned and in accordance with the terms and conditions laid down by the University.

**Name Signature of the HOD Dean/Director/Principal Finance Officer**  
**Principal investigator**

**Annexure-V**

**Dr. D. Y. Patil Vidyapeeth, Pune**

**STATEMENT OF EXPENDITURE INCURRED ON  
FIELD WORK**

**Name of the Principal Investigator:**

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<b>Name of the Place visited</b>	<b>Duration of the Visit</b>		<b>Mode of Journey</b>	<b>Expenditure Incurred (Rs.)</b>
	<b>From</b>	<b>To</b>		

Certified that the above expenditure is in accordance with the University Regulations.

**Name Signature of the HOD Dean/Director/Principal Finance  
Principal investigator Officer**

**Annexure-VI**

**Dr. D. Y. Patil Vidyapeeth, Pune**

**Letter of Acceptance for Research Project**

**Name**

No. \_\_\_\_\_ dated \_\_\_\_\_

**Title of the Project** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

1. The terms and conditions related to the grant are acceptable to the Principal Investigator and College/Institution.
2. At present, I have no research project funded by the University or the accounts for the previous project, if any, have been settled.

**Principal Investigator**

**HOD**

**Dean/Principal/Director**

**College**

**Date:**

**Annexure- VII**

**Dr. D. Y. Patil Vidyapeeth, Pune**

**Final Report of the work done on the Research Project**

**(Report to be submitted within 1 month after completion of every six months)**

1. Project report No. 1<sup>st</sup> /2<sup>nd</sup> /3<sup>rd</sup> /Final \_\_\_\_\_
2. University Reference No. \_\_\_\_\_
3. Period of report: from \_\_\_\_\_ to \_\_\_\_\_
4. Title of research project \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
5. (a) Name of the Principal Investigator \_\_\_\_\_  
(b) Dept. and College where work has progressed \_\_\_\_\_
6. Effective date of starting of the project \_\_\_\_\_  
\_\_\_\_\_
7. Grant approved and expenditure incurred during the period of the report:
  - a. Total amount approved Rs. \_\_\_\_\_
  - b. Total expenditure Rs. \_\_\_\_\_
  - c. Report of the work done: (Please attach a separate sheet)
    - i. Brief objective of the project  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
    - ii. Work done so far and results achieved and publications, if any, resulting from the work (Give details of the papers and names of the journals in which it has been published or accepted for publication  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

iii. Has the progress been according to original plan of work and towards achieving the objective. if not, state reasons

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iv. Please indicate the difficulties, if any, experienced in implementing the project

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v. If project has not been completed, please indicate the approximate time by which it is likely to be completed. A summary of the work done for the period (Annual basis) may please be sent to the University on a separate sheet

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vi. If the project has been completed, please enclose a summary of the findings of the study. Two bound copies of the final report of work done may also be sent to the University.

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vii. Any other information which would help in evaluation of work done on the project. At the completion of the project, the first report should indicate the output, such as (a) Manpower trained (b) Ph. D. awarded (c) Publication of results (d) other impact, if any

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**Signature of the  
Principal investigator**

**HOD**

**Dean/Director/Principal**