



ALLIANCE UNIVERSITY

*Private University established in Karnataka State by Act No.34 of year 2010
Recognized by the University Grants Commission (UGC), New Delhi*

RESEARCH POLICY

Name of the Policy	Research Policy
Description of the Policy	Modified Research Policy for teaching and learning; and Doctoral studies
Policy Applicable to	Faculty members & Research Scholars of the University from April 19, 2024.
Approval Authority	Board of Management
Approval Date	Meeting dated April 8, 2024
Responsible Office / Department	Centre for Academic Research; Dean - Research; Deans of all Schools; Registrar (Examination & Evaluation)



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AU/OOR/Research Policy/2024-02

April 19, 2024

NOTIFICATION

Subject: University Research Policy

The University Research Policy is hereby notified for reference and guidance.




REGISTRAR

To :

1. Pro Chancellor - for kind information.
2. Pro Vice-Chancellor (Acad.)
3. Pro Vice-Chancellor (Incubation & Innovation)
4. Registrar (E&E)
5. Dean Academics
6. Dean Research
7. Deans of all schools
8. Programme Directors – PhD., programs – all schools
9. Dean's Offices
10. Associate Dean (Academic Research)
11. QA
12. Centre for Academic Research (CfAR)



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RESEARCH POLICY



RESEARCH POLICY AT ALLIANCE UNIVERSITY

1.0 The Context

Alliance University has a vision that is learning-centric and is oriented towards knowledge creation and dissemination.

Vision To be a world-class University that nurtures talent and catalytically transforms the lives of millions through excellence in academics, research, service and community development. To uphold a commitment to shaping lives through scholarly teaching and learning, and that which contributes to an equitable and holistic transformation of society at large.

Mission To create and sustain a community of lifelong learners in an environment that emphasizes literacy, critical thinking, and humanistic and scientific inquiry.

The University shall provide a dynamic, challenging, and ethical environment for pursuing high-quality teaching, research, learning and service across all areas of the University, where students, faculty and other key constituents can interact, collaborate, and partner with the global community for the creation and dissemination of knowledge and transform the lives of people through innovation and excellence in Higher Education.

The University shall:

1. Pursue excellence in teaching, learning and scholarships.
2. Prepare students for leadership through enlightened learning partnerships with faculty mentors and the community.
3. Support faculty and other scholars in pursuing world-class research: clinical, theoretical, empirical, experiential and foster creative endeavor.
4. Develop mastery of disciplines and professions and instill confidence among its key constituents in their application for a future of meaningful pursuits and productive work in the service of humanity.
5. Channelize faculty and student talent for professional services to the University, the community and society at large.
6. Promote and preserve academic freedom, diversity, equality, harmony, and justice.

Over the initial years of its formation itself, the University has put in place i) a very progressive HRD scheme for Academic Enrichment that has provided a number of initiatives for the faculty members to improve their knowledge base, acquire proficiency in new areas, interact with peer groups and learn from experts, and ii) a code of Maintenance of Academic Qualifications (MAQ) that attached a high value on scholarly activities and intellectual contributions in basic, applied, and instructional/pedagogical development research. Together, these two approaches have resulted in impressive research productivity at the University.



1.1 Faculty of Doctoral Studies and Research (FDSR)

The Faculty of Doctoral Studies and Research would organise, coordinate, and monitor doctoral studies and research in the University. A statutory FDSR Committee comprising the following members has been created to maintain the standards, and advise the Academic Council, the Research Council and the doctoral studies on the trends and developments in research in various fields.

• The Vice-Chancellor	Chairperson
• Deans of Faculties	ex-officio Members
• 3 renowned experts in specialised fields	Members
• 3 recognised Ph. D. teachers from different faculties	Members
• 1 nominee of Academic Council	Member
• Dean (Research)	Member – Secretary
• The Pro Vice-Chancellor (AA)	Member
• The Pro Vice-Chancellor (I & I)	Member
• Dean (AA)	Member
• Registrar	Member
• Director (CfAR)	Member

The FDSR sets its focus on:

- Centres for Research and Innovation
- Research work that receives in-house and/or external research grants
- Industrial and institutional consultancy work
- Sensitisation of and procedural support for intellectual property rights protection
- Doctoral Studies
- Post-Doctoral Studies

In addition to voluntary research, the FDSR considers sponsored research and industrial consultancy projects as important means for extending benefit of scientific research work at the University to the external world, for broadening the empirical experience of the faculty community and as a tool of its corporate social responsibility. The FDSR encourages all faculty colleagues at the University to undertake research and consultancy work as a measure of scientific/technical collaboration with external world. The FDSR believes that appropriate research and consultancy, primarily contribute to the enrichment of the professional experience and knowledge of the faculty colleagues and thus make them better educators. Research and consultancy projects provide a first-hand knowledge of the current problems of industry and the emerging area which is very helpful in setting the curriculum to the national needs.

1.2 The Research Council

The Research Council shall be the principal research committee of the University and shall provide a larger holistic vision of the kind of research to be undertaken by the University, including prioritization of the research areas. The Research Council shall, subject to the provision of the Alliance University Act, 2010 of the Government of Karnataka, the Statutes, Regulations, and the Rules, co-ordinate, and exercise general supervision over the research policies of the University.



The Research Council shall comprise of the following members of the University.

- | | |
|--|-------------|
| a) The Vice-Chancellor | Chairperson |
| b) Pro Vice-Chancellor | Member |
| c) Dean (Research) | Secretary |
| d) Deans of all Faculties | Members |
| e) Any other members as may be prescribed by the Statutes. | |
| f) Registrar | Member |
| g) Director (CfAR) | Member |

1.3 Research Objectives

The following research objectives have been defined:

1. To promote all aspects of research that benefit teaching and learning, industry and the society as a whole.
2. To develop intellectual thought of students/researchers/faculty members, and make them responsible, innovative, and capable of problem-solving.
3. To create a research culture to provide a good research environment that stimulate the students and teachers to do extraordinary research.
4. To help the researchers in obtaining research grants from various government agencies and private industries.
5. To meet the University's social responsibilities through research that contribute to the economical, technological, and environmental improvement.

1.4 Research Policy

Alliance University's Research Policy will entrench and strengthen a research culture at the institution by developing a strong multidisciplinary research culture. It will encourage academic staff to undertake research both at National and International level with a specific role in responding to the requirement and needs of the community at large.

The following research policies have been defined:

1. Apart from their teaching and academic assignments the faculty members are expected to actively participate in creation and assimilation of new knowledge.
2. The University does not prescribe the nature of research, however attention should be given to relevant applied, problem solving and developmental aspects of research.
3. The Research projects should fall under the thrust areas defined by the respective schools.
4. The Research projects may be undertaken by individual or group of faculty members. Inter-disciplinary research projects is promoted as it provides deeper and holistic understanding of the problem, solutions and interpretations. Inter-disciplinary projects have better chances of funding options as well.
5. Researchers are expected to meet approved national and international standards as defined by peer reviewed publications and patents.
6. All faculty members are expected to conduct research and publish their findings in SCOPUS/WOS (ABDC/ABS/IEEE) after ensuring intellectual property protection.
7. All faculty members should, where appropriate, seek extramural research funds to support their research initiatives/projects.
8. The research conduct policy (Code of ethics on academic research: Alliance University) of the University should be strictly adhered to in all the publications, dissertations, project proposals and other documents of the University.



9. The plagiarism policy of the University should be strictly adhered to and researchers are expected to follow research ethics in spirit and word.
10. All issues will be dealt with as per the guidelines of the University's Code of Ethics on academic research.
11. The office of Centre for Academic Research (CfAR) will publish monthly research outcomes and provide data as required for Research awards constituted by the University.

1.5 Evaluation of Research

The quality of research is evaluated using the following parameters:

- The number and level of faculty who are receiving external funding for research.
- Research outputs measured against the national and international standards as determined by peer reviewed publications and patents.
- Faculty member's involvement as consultants to industries, editorial boards/reviewers of journals as listed in 1.4.6
- Periodic monitoring (every 3 months) of the research project to ensure the progress and quality of research.

1.6 Research Management/Co-Ordination

- The Dean Research has overall responsibility to oversee and monitor research affairs at Alliance University and responsible for the implementation of the Research Policy.
- The Research Council is the statutory body for Research at the University. All policies on Research would be governed by the details as prescribed by the Research Council.
- To ensure that research output is of high quality, all proposals would undergo stringent review by the Dean - Research who would forward the same to the Office of the Vice-Chancellor.
- Final decision on the approval rests with the Vice-Chancellor / Pro Chancellor. This would also include approvals for leave and sabbatical as may be sought by the faculty for their research pursuits.

1.7 HRD Scheme for Academic Enrichment

Alliance University encourages and facilitates its faculty members through a well-structured Academic Enrichment under the HRD scheme. This includes creation of a Faculty Development Fund, Incentives for high quality research publication in classified journals, nomination of faculty for conferences, FDPs of international repute. The details of the Academic Enrichment under the HRD scheme are as follows:

A. Research Financial Support Scheme

Faculty members are encouraged to carry out high quality research and publish in classified journals. The research support scheme is intended to fund early stage, but well thought out research proposal with well-defined deliverables from regular faculty members. It is expected that the research proposal will result in publications in classified journals, filing of patents or other forms of intellectual property rights such as copyrights, design etc. Faculty members have to submit a detailed proposal of their research project to avail this fund in the prescribed format. The amount that any specific research project will be allocated will be based on the evaluation of the research proposal submitted.



1. Research Funding up to Rs.3.00 lakhs (Rupees Three Lakhs)

All faculty members on regular position at the University, can avail seed money of up to Rs. Three Lakhs to carry out their research project. Faculty members will have to submit detailed proposal of their research in the prescribed format to the Dean – Sponsored Research. Faculty members may be asked to make a presentation in front of experts in the Research Committee in an open seminar.

Seed grant funds from the University can be used to pay for salaries of Research Assistants, travel for data collection and interviews, and other miscellaneous expenses such as postal/ telephone.

2. Seed Fund for Case Writing

Case Seed Grants are intended to fund writing case. It is expected that the case proposal will result in a publishable case in Harvard Case Publishing/Ivy League Case Publishers/ European Case Clearing House/Emerald. Faculty members have to submit a detailed proposal of their research project to avail themselves of this fund in the prescribed format. The grant in this case will be limited to Rs. 50,000.

3. Professional Development Budget:

a) Presenting Papers in National Conferences

Faculty members are encouraged to present their research papers in national conferences (refereed) organized only by IIMs / IITs / NITs/ IISERs, top Professional Societies / Bodies such as IEEE, SAE, ISTE, SAE, etc. Faculty members, who have successfully completed probationary term of service and who are confirmed on regular position at the University, can avail an annual budget of Rs. 40,000/- towards reimbursement of allowable expenses (travel, incidental expenses, per diem allowance, accommodation charges, and registration fee) incurred on presenting research papers, chairing conferences/seminars.

b) Faculty Development Programmes

Faculty members may be nominated or recommended by the Head of the Department and the Dean of the respective School/College to attend Faculty Development Programmes in India. Their expenses will be met from the Faculty Development Fund to a tune of Rs. 20,000/- per faculty member for participating in FDPs/MDPs/workshops.

Merger of these two components (3a and 3 b) may be considered to support larger expenses of individual events.

4. Professional Membership

Up to an amount of Rs. 8,000/- per year is earmarked for each faculty towards payment of individual membership fee of renowned professional bodies / associations. List of eligible Professional Societies will be notified by CfAR.

5. Buying Books and Journals

Faculty members can buy books and journals up to Rs.10,000/- per annum from Faculty Development Fund. The purchase of journals and books will be routed through the Library and Purchase Committee.

6. Presenting Papers in International Conferences



Faculty members with outstanding research performance (as may be described from time to time in terms of minimum score for outstanding performance) in the annual performance appraisal cycle can present their research papers in international referred conferences once in two years. The University will fund the participation fee; TA/DA (as per university rules); Visa fee, if any, and the faculty member would be treated on official leave for the duration of the seminar/conference plus journey days.

7. Buying specialised equipment and software

Up to an amount of Rs. 75,000/- per year is earmarked for faculty members to buy software or specialised equipment for their research.

8. Revenue Sharing

Faculty engaged in consultancy activities that are in consistence with the vision and mission of the University are permitted to retain a major portion, i.e., up to 70% of the revenue from such activity, while also being eligible for full pay during the period of such engagement. The extent of such retainable amount will be considered by the FDSR. The Consultancy Policy is detailed in Section - 4.

9. Award for Publication

Faculty publications in refereed journals / book publications are recognised through financial awards, which are announced and made known to the entire faculty community. The amounts of awards for various types of publication will be announced by the FDSR from time to time.

10. Academic Interface Programs

Budget to organise workshops, conferences, consortia, summits, seminars, etc., is put in place to encourage professional development of the faculty.

11. Duty Leave

For the purpose of i) attending conferences and seminars, ii) FDPs, MDPs, and workshops (including training), and iii) research and research related work, the faculty can avail up to 18 days of duty leave in a year with an equal distribution of maximum limit on all three categories. This should not affect any scheduled teaching assignments at the University.

12. Sabbatical Leave

Faculty taking up project consultancy, field research, or any other activity consistent with the vision and mission of the University are eligible for Sabbatical Leave. Recommended by the Head of the Department and the Dean of the respective School/College, every application will be processed by the FDSR.

13. Performance Appraisal

This will be read in conjunction with the **CATEGORY-III of "Faculty Performance Appraisal Form" on Research and Academic contributions :**

For the purpose of calculating the "Faculty Performance Index" and against the "Performance Indices for Research & Publications, the following points earned against each component will be considered.



Journal Publications/Conference publications/Participating: Details of Journal/Conference publications (Between the period of Performance Review) will be taken directly from Scopus and Web of Science.

1	Development of Learning Resource Material Model developed for instruction (LMS)	3 points
2	Preparation of e-content for courses taught	3 points
3	Industrial visit organized per visit	1 point
4	Publication of a Book by International Publishers for each book – sole author	20 points - for each book Joint author: Divided equally by the no. of authors
5	Publication of a Book by National Publishers with ISBN / ISSN Number for each book – sole author	10 points - for each book Joint author: Divided equally by the no. of authors
6	Establishing a new laboratory / Centre of Excellence / Any other new Academic Initiatives	As a Leader :10 points As a member: 2 points
7	Industry Institution Connect: Lecture delivered in Summer / Winter School or in Intensive course organized by Institutions / Industry or in Faculty Development Program - per programme	4 points

Research & Research Activities:

1	Project Guidance: for each P.G. student (MTech / M.Sc.) who was awarded degree	2 points
2	Research guidance: for each candidate awarded degree Ph.D.	5 points
3	Sponsored Research - Preparation and submission of Project Proposal to Funding Agency; for each proposal submitted	2 points
4	Sponsored Project carried out/on going through the institution; for each Major Project over and above Rs. 5.00 lakh	10 points
4a	For each Minor Project	5 points
5	Completed Projects: Quality Evaluation; Completed Project Report (Acceptance report "Satisfactory" from funding agencies to be produced) for each major project	20 points divided equally



		by the number of researchers
5a	For each minor project	5 points
6	Patents: Published Granted Commercialized	5 points 20 points 50 points
7	Research Publication - Journals as specified in 1.4.6	5 points
8	For each full paper in Conference Proceedings	2 points
9	Research monograph published by International Publishers; for sole author book	20 points
9a	For edited book	10 points
9b	For edited book chapter	2 points
10	Research monograph published by National Publishers with ISBN / ISSN Number; for sole author book: 10 points for edited chapter book	5 points

2.0 Policy for the Sponsored Research

A faculty member or a group of faculty members from a school or across schools can approach the FDSR for research funding. After identifying research opportunity, the principal researcher will write a proposal – that is, complete a very specific application for funding – and then submit it to the Dean – Sponsored Research. The award is usually granted for a specific period or a project completion as made in the proposal. The Office of FDSR is responsible for the coordination of proposal submission and the acceptance of awards for grants and contracts. All faculty-initiated requests for support, regardless of funding source, must be processed by the FDSR Office through the Dean – Sponsored Research. The Dean – Sponsored Research would vet the proposal and forward it to the Office of the Vice-Chancellor. The final decision on approval for the faculty / group of faculty to undertake the sponsored research would rest with the Vice-Chancellor / Pro Chancellor. This is to ensure that if the grant is awarded, the University is prepared for award and administer of the funds. The faculty or the research group is expected to make reports on ongoing and pending grants and contracts, and complete data is necessary on completion of three months of each project.

The proposal process is as follows:

1. Researcher(s) identify funding opportunity (for types of proposals).
2. The principal researcher makes the application to the Dean – Sponsored Research and the researcher(s) should be ready for making a presentation to the committee if so requested.
3. Researcher/group reviews and completes the application (“writes the proposal”), using all required forms and formats, providing all required information.



4. In particular, it is beneficial to send a draft budget and other draft portions to the Office of FDSR, well in advance of the deadline (in fact, as soon as possible) for their preliminary review and guidance on helpful insights, time-saving tips and the latest information.
5. Researcher/Group completes the application with the mention of any "Conflict of Interest" within the School or the University, with complete disclosure.
6. Researcher/Group sends the approved and completed proposal to the FDSR Office for a review. This must occur at least ten days prior to the submission deadline announced periodically in order to enable the Office to review and revision of errors and inclusion of additional material, if needed.
7. The Dean – Sponsored Research may submit the proposal to an external funding agency upon approval from the Pro Chancellor / Vice-Chancellor. This may vary with foundations that sometimes will allow the researcher/group to apply directly, but the same must be vetted by the Office of FDSR. The Dean – Sponsored Research must review and approve all proposals before submission regardless of the source of funding.

2.1 Detailed Proposal Process

Preparing a proposal takes a considerable amount of time because of the amount of thought, information and review required and the specific formatting requirements. Because agency deadlines are very specific and strictly adhered to, a researcher and those who are helping him/her are advised to allow enough time for a careful, thorough process, including a thoughtful and timely review by those who must approve the proposal prior to submission. As a guide for lead-time requirements, a researcher should contact signatories (Department Chair, Dean/Director of the School/College, Dean – Sponsored Research, and anyone else whose signature will be required), at least two weeks before the proposal agency submission deadline to indicate that they will need a review and signature, and, if necessary, set up an appointment for the review.

2.2 Types of Proposals and Funding Agreements

A proposal is a request for financial support of a research or training project. It is sent to a potential funding source in hopes of receiving funding in the form of a contract, grant, cooperative agreement, or other sponsored research vehicle.

Proposals (funding requests) come in several forms:

- A. **Solicited Proposal:** A solicited proposal is submitted in response to a request by a funding agency for research or training in a specific subject. The proposal may be in response to a Request for Proposal (RFP) or a Request for Application (RFA). An RFA is a solicitation from a funding agency inviting applications from investigators who are interested in working with the funding agency in designing and carrying out a specific project.
- B. **Unsolicited Proposal:** An unsolicited proposal is a proposal on a subject of interest to the faculty member / group who makes it, which the targeted funding agency may find of interest as well because it is in an area that the agency is exploring, needs more information on whether it fits with other areas of the agency's interest, or has been suddenly deemed a priority. Many organizations and foundations consider unsolicited proposals, as do some government agencies.



- C. **Research Grants:** This is a funding of research projects by Alliance University. The University sets up Research Grants as a budget item and this is available to all Schools and faculty/groups irrespective to their working within the University or their total experience. This would mean that faculty members with a post Ph.D. teaching and research experience of less than a year can also apply for this grant.
- D. **Renewal:** A confirmed renewal is a request for extension of grant time or seeking additional funding for a project that is currently funded, but the period of performance is ending. Renewals generally include new work based on the results of the existing grant and are subject to peer review.
- E. **Resubmission:** A resubmission is an effort to secure funding for a proposal which has been revised in response to critical comments from reviewers when it was previously submitted. Unless otherwise stated specifically in the funding opportunity announcement or RFA, just one resubmission is permitted.
- F. **Revision:** A revision is a request to an agency for additional support for an existing project to expand the project's scope or to meet unforeseen expenses. A revision may be submitted to request support for a significant expansion of a project's scope or research project jurisdiction.
- G. **Renewal with Continuation:** A continuation is a request for extra time without any additional funding. The application is not subject to peer review.

2.3 Types of Funding

If a proposal is accepted, funding may be awarded in one of the following forms, sometimes called "sponsored research grants".

Contract:

The research proposal that has been funded by the agencies external to the University is normally bound by a Contract. The funding agency exercises considerable direction and control over the performance and timing of the work. Contractual agreements with other entities, such as corporations and foundations, use terms somewhat different from the funding agencies. As always, researchers should consult the Dean – Sponsored Research about any proposal for any type of funding with any sponsor.

Grant:

The funding provided by the University for research activity initiated by the applicant that falls within the guidelines and priorities of the University is called a Research Grant.

Cooperative Agreements

A cooperative agreement is an undertaking in which the research or training project is jointly administered by the funding agency and the University. The selection of the researchers or trainers is done by the Dean – Sponsored Research and that will be based on peer review.

Sponsored Research Agreements

Industry-sponsored research benefits the University by allowing investigators and their students to collaborate with industry partners to further develop basic research



discoveries. The Office of FDSR is responsible for negotiating research agreements, which protect the University's interests, particularly rights of publication and intellectual property ownership. These terms are incorporated into a legal contract called a Sponsored Research Agreement (SRA).

3.0 Incentive for Research Publications

3.1 Rewarding Research and Publications Policy

The Rewarding Research and Publications Policy is intended to develop the University's international profile and reward faculty members who publish their work in international journals.

- Research output also forms part of each faculty member's annual assessment and impacts yearly compensation reviews.
- At least 4 publications in journals indexed in the Scopus/FT 50/ABDC, including not less than 2 in journals Q1/Q2 Scopus/UGC CARE per year.

OR

- At least 2 publications (at least 1 of them in Q1 journals indexed by Scopus) per year.

Publication of research papers in top quality journals is key criteria for recognizing and rewarding academic research. In order to identify top quality journals, the categorization of journals will be done with the objective of setting standards for the quality of research papers published by the faculty members. The classification will be made into four quartiles: Q1, Q2, Q3, Q4. This is done because the broad objective of this exercise is to encourage research by faculty but at the same time there is also a need to see that genuinely high-quality research papers be recognized appropriately. Thus, the classification envisages a pyramid structure where very few contributions might be coming to 'Q1' and the highest contributions might be coming to perhaps 'Q2' and 'Q3' journals. However, faculty members should try to raise their own bar to publish in 'Q1' consequently the research rewards structure will also take this perception into account for defining the rewards.

Conditions for Award of Research Incentive:

- a) The article must have been published during the tenure of the faculty member at the University and his/her affiliation with the University should be clearly mentioned.
- b) A Faculty will be eligible for cash incentives only beyond his/her first 2 research papers subject to the condition that he/she has been able to meet the requirement of 4 papers in a calendar year. Papers with higher 'h' index will be considered for award of cash incentives.
- c) The faculty must be the corresponding author or listed among the first 3 authors for the incentive.

The amount of cash award will be as follows:

Research Publications	1 st Author	2 nd Author	3 rd Author
Q1	Rs.1.50 lakh (Rupees One lakh fifty thousand)	Rs.75,000/-	Rs.50,000/-



Q2	Rs.1.00 lakh	Rs.50,000/-	Rs.30,000/-
Q3	Rs.50,000/-	Rs.30,000/-	Rs.20,000/-
Listed in Scopus/ WOS	Rs.20,000/-	Rs.10,000/-	Rs.5,000/-

- Note:**
1. Incentive will be computed basis the no. of authors.
 2. Incentive will be applicable only to the above 2 publications in an academic year.
 3. Maximum of 1 Lakh 50 thousand incentive is applicable per researcher.
 4. Also refer to Chapter 1.7 (Para 14) for Credit points in Performance Appraisal for faculty.

3.2 To Promote Filing Patents / Copyrights

The University endeavours to protect the intellectual property generated and makes efforts that such discoveries are translated into usable products and technologies. All support with respect to with respect to patent-drafting and filing is provided to researchers by Alliance University.

Faculty members should file the patent with the University affiliation and through the Office of Patent Facilitation & Licensing (OPFL). Any faculty member, who is willing to file patent, should approach the OPFL with the invention disclosure form. The OPFL will vet the idea and drafting the claims for filing the patent or copyrights.

100% patent filing fee will be borne by the university.

An amount of Rs. 15,000/- will be given for a patent that is published in the India Patent Journal, World Intellectual Property Organization, and other reputed international patent databases.

3.3 Extramural Funding

Dissemination of cash incentive.

Amount will be equally divided among all the Faculty members associated with the Project and same will be disseminated as per the details mentioned in the below grid in the month of January for the preceding calendar year.

Research project Grant finally credited into university account (INR in Lakhs)	Incentive amount for Research project grant in INR
≥ 100 Lakhs	1 Lakh
50 – 100 Lakhs	Rs.75,000/-
>25 Lakhs	Rs.50,000/-

Incentive for Research will be given to only Alliance university faculty members.

3.4 Research Awards



S. No.	Category	Reward (Rs.)
1	Best Researcher Award (Publication)	10000
2	Best Researcher Award (Citation)	5000
3	Best Researcher Award (Highest Impact Factor)	8000
4	Research Mentorship Award	10000
5	Best Innovator Award (Patents Granted)	10000
6	Young Researcher Award – Latest Completed year University Level-For Assistant Professor with less than 5-year Experience).	7000
7	Technology Innovation Award	5000
8	Interdisciplinary Research Excellence Award (Team Award)	10000
9	Sustainability Research award	5000
10	Social Sciences Research Award	5000
11	Legal research Excellence Award	5000
12	Natural Science Research Award	5000
13	Best Research Paper Award (Research Scholar-Full Time/Part-time External Candidates)	5000
14	Best Thesis Award (Research Scholar-Full Time/Part-time External Candidates)	5000

3.5 Promoting Student- Based Research:

3.5.1 OBJECTIVE:

Promoting Academic Excellence: The primary objective of the financial assistance program is to promote academic excellence by enabling students to participate in seminars, conferences, workshops, and competitions relevant to their fields of study. By attending these events, students gain access to the latest research, industry trends, and best practices, enhancing their knowledge and skills.



Facilitating Professional Development: The program aims to facilitate the professional development of students by providing opportunities for networking, mentorship, and exposure to real-world challenges and opportunities. Participation in such events allows students to interact with experts, practitioners, and peers, fostering the exchange of ideas and experiences crucial for their future careers.

Encouraging Research and Innovation: By supporting student attendance at academic events, the program seeks to encourage research, innovation, and creative inquiry. Students are encouraged to present their research findings, share their insights, and engage in discussions that contribute to the advancement of knowledge and the generation of new ideas.

Broadening Perspectives: Another objective is to broaden students' perspectives by exposing them to diverse cultures, viewpoints, and approaches prevalent in different geographical regions. International events, in particular, offer students the opportunity to gain a global perspective, fostering intercultural understanding and collaboration.

Enhancing Competitiveness: Participation in seminars, conferences, workshops, and competitions enhances students' competitiveness in the academic and professional spheres. It equips them with the skills, knowledge, and networks necessary to excel in their chosen fields and prepares them to navigate the challenges of an increasingly globalized world.

Promoting Equity and Inclusion: The program aims to promote equity and inclusion by ensuring that financial assistance is accessible to all eligible students, regardless of their socio-economic background. By removing financial barriers, Alliance University strives to create a level playing field where every student has an equal opportunity to participate and succeed.

3.5.2 ELIGIBILITY CRITERIA:

At Alliance University, bonafide students are able to avail financial assistance to attend seminars, colloquiums, conferences, workshops, and other Academic, Skill and Research competitions in India or abroad based on various criteria, which may include:

- **Academic Merit:** Students with outstanding academic performance determined based on the GPA score of 8 and above, no backlogs in any of the semester, contribution in research projects, or publications as certified and recommended by the Dean Academic Affairs/Research.
- **Relevance of Event:** The event's relevance to the student's field of study, academic interests, or career goals may be considered. Financial assistance may be more likely to be granted if the event aligns closely with the student's academic pursuits.
- **Contribution to University:** Students who have demonstrated active involvement in university activities, such as clubs, societies, or research projects, may be given preference for financial assistance.



- **Financial Need:** Alliance University may provide financial assistance to students with demonstrated financial need, considering factors such as family income, expenses, and other financial obligations.
- **Leadership and Extracurricular Activities:** Students who have shown leadership skills, involvement in extracurricular activities, or participation in community service initiatives may be considered for financial assistance.
- **Research or Presentation Opportunities:** Students who have been selected to present research papers, projects, or participate in competitions at the event may receive priority for financial assistance.
- **Professional Development Goals:** Financial assistance may be granted to students who can clearly articulate how attending the event will contribute to their professional development, career advancement, or acquisition of specialized skills.
- **Contribution to Diversity:** Alliance University may prioritize financial assistance for students from underrepresented backgrounds or those who can contribute to diversity and inclusion efforts at the event.
- **Potential Impact:** The potential impact of attending the event on the student's academic, professional, or personal growth may be assessed. This could include factors
- **Compliance with Policies:** Students must adhere to the policies, guidelines, and requirements set forth by Alliance University regarding the application process, use of financial assistance, and reporting obligations.

3.5.3 The policy covers all the students studying at Alliance University.

It covers:

1. Domestic Travel for attending Seminars, Workshops, Conferences, Colloquiums, Symposiums & other Competitions.
2. International Travel for attending Seminars, Workshops, Conferences, Colloquiums, Symposiums & other Competitions.

3.5.4 Entitlements:

1. Eligible students can avail the financial assistance for attending seminars, conferences, workshops, symposiums and other competitions in India or outside India with the capping as follows: -
 - (a) Within Bengaluru: No limits with full financial assistance as per prescribed norms.
 - (b) Within State: 04 times in their entire course period with full financial assistance as per prescribed norms.
 - (c) Within India: 03 times in their entire course period with full financial assistance as per prescribed norms.



- (d) Outside India: 01 time in their entire course period with full financial assistance as per prescribed norms.

3.5.4(a) DOMESTIC

- Registration Fee: Actuals (subject to production of valid proof / documents).
- Transportation: The students are entitled to 3-Tier AC travel within India. The travel should be undertaken in the shortest route by rail/road from Alliance University Bangalore to the place of visit. If the travel is undertaken by bus/taxi/any other mode, the traveling expenses will be restricted to the shortest route by 3AC fare.
- Reimbursement of food expenses: Actuals/ restricted to a maximum of Rs. 500/- Per student/day.
- Accommodation: Rs. 1,500/- per student/day.
- Other Miscellaneous (for Printing, Photocopying, binding, etc.,) Rs. 200/- per student/day.

3.5.4(b) INTERNATIONAL:

- Registration Fee: Actuals (submit to production of valid proof/documents)
- The students are entitled to the mode of travel to international destinations by air, Economy class. (Air fare can be reimbursed up to 90% of the actual cost)
- Accommodation & Food: Rs. 8000/- per day (Maximum ceiling to be calculated in equivalent to INR).
- Per diem – as per Category prescribed (refer annexure)

3.5.5 Office of Record:

The Office of Dean (Academic Affairs) will be responsible for maintaining documents relating to this. It is their responsibility to share the consolidated details to the office of the Registrar for all statutory purposes.

3.5.6 Date of event clashing with Examinations/Assessments:

The date(s) of the event(s) to which the student has opted for attending is conflicting with university Semester End Examinations/Assessments etc., in such cases, based on the nature of the nature of the process, it shall be considered on a case-to-case basis on academic records of the students where the faculty may adjust the scores and other parameters accordingly.

3.5.7 Disciplinary Cases:

All cases where a Disciplinary Committee Order (DCO) has been issued in the student record, such cases will not be entertained. In case of any such DCO issued within the period of sanction and start of the programme, such permission will be deemed to have been withdrawn automatically.



3.5.8 International travel on Non-Academic events:

Subject to fulfilment of all terms and conditions laid down in this Policy, students eligible for attending international events for Non-Academic matters shall be considered based on the merit of the event.

3.5.9 PROCEDURE TO APPLY FOR FINANCIAL ASSISTANCE AT UNIVERSITY:

Here's a step-by-step procedure on how students can avail financial assistance from the university/colleges to attend seminars, conferences, workshops, symposiums, and other competitions:

- **Research Opportunities:** Identify relevant seminars, conferences, workshops, symposiums, and competitions related to their field of study or interests.
- **Check the Institution Policies:** Review your university/colleges policies and guidelines regarding financial assistance for extracurricular activities. This information is often available on the university website or can be obtained from Dean, Academics/Dean Research, as the case may be.
- **Prepare a Proposal:** Create a detailed proposal outlining the event the student wishes to attend, including its relevance to his/her academic, research, skill and personal development. Highlight the potential benefits to the University and also how it aligns with their career goals.
- **Estimate Costs:** Break down the anticipated costs associated with attending the event, including registration fees, travel expenses, accommodation, meals, and any other relevant expenses.
- **Meet with Advisors:** Schedule a meeting with your academic advisor or a faculty member who can guide you through the process of applying for financial assistance. They can provide valuable insights and may be able to support your application. Through the concerned faculty/ HoD, the student can reach out to the Dean Academics/Dean Research, for necessary guidance.
- **Complete Application Forms:** Obtain any necessary application forms for financial assistance from the O/o the Dean Academics/Dean Research. Ensure that the student will fill out all required information accurately and provide supporting documentation as needed.
- **Submit Proposal and Application, Approval Process:** Submit the proposal along with the completed application forms to the appropriate Faculty/HoD department well in advance. It will be recommended by the Dean of the School and forwarded to the Dean Academics/Dean Research.
A standing committee of the following composition will evaluate the proposal and recommend the same for obtaining the administrative approval of the Vice-Chancellor/Pro Chancellor.

(a) Pro Vice Chancellor (Academic Affairs) - Chairperson



- (b) Dean of School concerned - Member.
- (c) Mentor/Coordinator/PI – as the case may be - Member.
- (d) Dean Academics / Dean Research – member secretary.

- **Attending the Event:** Student(s) concerned will ensure to make all arrangements for travel, accommodation, registration etc., to attend the seminar, conference, workshop, symposium, or competition as planned. They have to keep records of all expenses incurred for reimbursement purposes if applicable.
- **Submit Expense Report & Providing Feedback:** After attending the event and returning, the students are required to provide detailed feedback to the University regarding their experience and how it has contributed to their academic and personal growth. This information can help inform future decisions regarding financial assistance allocations. Copies of Books/Publications/ Printouts/ course material/ recordings etc., are required to be handed over to the Concerned Dean and for University Library.
- The student should also submit a detailed expense report detailing the expenditures related to the trip. Include receipts for verification purposes.
- **Final settlement / Reimbursement:** These reports will be reviewed by the Dean of the School concerned and forwarded to Vice-Chancellor for approval. Upon approval of the Vice-Chancellor's according to the terms of the financial assistance offer, carried out by the Finance & Accounts department.
- **Auditing requirements:** Office of the Dean Academic Affairs and Office of the Registrar will carry out the pre-audit of the proposal before it is sent to the Finance Department for grant of advance, if any.
Final settlement will be carried out by the Finance Department, after the claim is checked, pre-audited, recommended by the Dean Academic Affairs and the Registrar.

By following these steps, students can effectively seek financial assistance from the University to attend seminars, conferences, workshops, symposiums, and other competitions, enhancing their educational experience, skill, knowledge and personal development.

3.5.10 GENERAL GUIDELINES

1. Students must ensure to the extent possible that expenses are moderate and in line with the guidelines provided in this policy.
2. Students should plan their travel well in advance so as to optimize the cost of travel and hotel cost.
3. It is advisable to exercise prudence and not indulge in excessive or unnecessary expenditure.
4. Any leave taken during the period of travel should be notified to the Concerned department prior to proceeding with travel.
5. In case of any medical exigency, during the period of travel, the students should inform the Head of the department immediately.



3.5.11 DISALLOWED EXPENSES

1. All personal expenses such as toiletries, medicines, consumption from mini bar of a hotel room, sauna, spa, massage, beauty salon, barber charges, and use of health club in the hotel cannot be claimed.
2. Expenses towards visit a recreation center, movie theatre, religious place of worship, tourist spot, etc. cannot be claimed.
3. Purchase of books, videos, stationery items, etc. will also not be reimbursed as per the policy.
4. Alcohol consumed at any time during the travel should not be claimed.
5. Any medical expenses incurred during the period of travel/stay etc., will be borne by the student concerned only.

3.5.12 Non-availability of expense supporting / lost receipt / No proof:

In case of loss of receipt or non-availability of supporting bills, the students will have to get it approved by the HoD / Functional Head/ Dean.



APPLICATION FOR PERMISSION AND FINANCIAL ASSISTANCE FOR ATTENDING CONFERENCE/SEMINAR/SYMPOSIUM/WORKSHOP/ANY OTHER COMPETITIONS FROM DEPARTMENTAL HEAD

1. Name of the student & PRN:
2. Course of Study/Current Semester:
Dept./Section/Centre /details thereof:
3. a) Title of the Conference for which financial assistance is sought
- b) Nature of the Conference (International / National etc.):
- c) Venue: Country:
- d) Period: From: To:
- e) Name of the Organizer(s):
4. Nature of participation: Presenting a paper / poster OR other (please specify):
(enclose all particulars)
5. Estimate of the Financial Assistance requested for the Conference:
 - a) Registration fee (please attach documentary evidence):
 - b) Travel (please attach an estimate of the travel cost from a travel agent):
 - c) Daily Allowances (admissible for the duration of the Conference / Seminar etc. plus two days - one day before and one day after the Conference / Seminar etc)
.....

Total (in rupees, please specify conversion rate used):

- Also please enclose a copy of:** (a) Announcement of call of papers;
(b) Acceptance letter
(c) Full paper / poster
(d) Details of registration & other fees
(e) All other relevant information/details.

6. Details of the assistance sought/available from any other source(s), including project:

Sl. No	Agency/Project (please state the project no. in case of project)	Amount of assistance sought / granted / available	1.7.1.1.1 In case of assistance from project	
			Amount granted	Sign. of Dean, Research



7. a) Advance required: Yes / No If yes, amount required:

b) Bank A/C no. of the applicant

It is certified that my participation in the above Conference/Seminar/Symposium/Workshop/Any other Competitions will be in the interest of learning and/or research at this Institute. It is requested that permission and financial assistance may please be granted to me to attend the said Conference/Seminar/Symposium/Workshop/Any other Competitions abroad as stated above.

Date:

Signature of the student

PRN.: _____

School / department & Section:

Name of the Mentor/ Guide:

Name of the HoD:



TO BE FILLED BY OFFICE OF THE CONCERNED DEPARTMENT:

Name of the student:

Name of the Department:

Application and enclosures checked & found to be in order / not in order		Amount of fund available	
Amount of assistance from the Institute provided			
Financial Assistance granted for the present Conference	Registration Fee		Account Head (will be filled up by the F&A dept).
	Travel Support		
	Dearness Allowance		
	Any other		

1.8

Signature of the concerned HOD / Guide / Mentor

Recommendation of the Dean:

Recommendation of the Standing Committee

Member

Member

Chairperson

APPROVAL OF THE VICE CHANCELLOR / PRO CHANCELLOR

APPROVED / NOT APPROVED:

FOR OFFICIAL USE OF FINANCE & ACCOUNTS SECTION:

1. Application and enclosures checked and found to be in order / not in order.
2. Fund available under the A/C Head as mentioned above.

Finance Officer



Form for Settlement of Expenses
(To be submitted in Accounts Section within ONE MONTH of Travel.)

Name of the Student:	Roll No:
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Name of the Conference/symposium with dates:
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Arrange the documents for settlement of financial assistance in the following order.

1. Covering letter addressed to Dean, giving the details of the conference, additional funding (if any) duly endorsed by Guide and Head of the Department. If the commencement of the travel is not 2 days prior and post the conference date, then approval of Dean to be sought.
2. Sanction letter for financial assistance giving the details of the conference and the sanctioned amount.
3. Conference invitation letter and participation letter

[1] Expenditure Details: Travel/Registration etc. And Documents to be attached	Amount (in foreign currency)	Amount (INR)	For Accounts Calculation	Check List
4 Air Fare invoice/ bill, payment proof (bank statement.) and original Boarding Passes. (90% of Airfare will be reimbursed)				
5 Registration Fees - original receipts and payment proof (bank statement.)				
6 Travel Insurance - original receipts and payment proof (bank statement.)				
7 Visa Fees - Original receipts and payment proof				
8 Poster Printing – Cash memo				
9 Local Transport (In Mumbai)				
Total (A)				

10	Accommodation: Invoice/ bill, payment proof (bank statement.)		
	Check in and check out dates	Amount (in foreign currency)	Amount (INR)
	Check in date _____ Check out date: _____		
	Check in date _____ Check out date: _____		
	Check in date _____ Check out date: _____		
Total (B)			

Country	(a)Maximum permissible DA (amount in US \$) Do not attach food bills & Travel bills.	Amount (INR)	For Accounts Calculation
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GROUP A		With Hotel Bills	Without Hotel Bills
A	Maximum DA	\$100	\$50
B	No of days of Conf. (Include 1 day Prior & 1 Day Post conf.) Example: Conf Date: 02/02/2023 to 04/02/2023 Therefore, Total no. of days: 5 (Counting from 1/02/2023 to 05/02/2023)		
GROUP B		With Hotel Bills	Without Hotel Bills
A	Maximum DA	\$80	\$40
B	No of days of Conf. (Include 1 day Prior & 1 Day Post conf.) Example: Conf Date: 2/02/2023 to 04/02/2023 Therefore, Total no. of days: 5 (Counting from 1/02/2023 to 05/02/2023)		
GROUP C		With Hotel Bills	Without Hotel Bills
A	Maximum DA	\$60	\$30
B	No of days of Conf. (Include 1 day Prior & 1 Day Post conf.) Example: Conf Date: 2/02/2023 to 04/02/2023 Therefore, Total no. of days: 5 (Counting from 1/02/2023 to 05/02/2023)		

Schemes G1 and G2 for Support:

Scheme G1. This is applicable for all UG/PG/Research Scholars. The Support granted would be as follows:

For conferences/workshops/symposia organized within

- **Group A:** North America, Australia, South America, New Zealand: Rs.2,20,000/-
- **Group B:** Europe, Far-East Asia, Japan, China, Hong Kong, Taiwan, Korea, Indonesia, Africa: Rs. 1,70,000/-
- **Group C:** Neighbouring Countries, Sri Lanka, Nepal, Bangladesh, Burma, Pakistan, Gulf Countries, Singapore, Malaysia, Thailand, Maldives: Rs. 1,20,000/-

Scheme G2. This is applicable only to Research Scholars belonging to the Sponsored (SW) not normally resident on campus.

For conferences/workshops/symposia organized within

- **Group A:** North America, Australia, South America, New Zealand: Rs. 1,10,000/-
- **Group B:** Europe, Far-East Asia, Japan, China, Hong Kong, Taiwan, Korea, Indonesia, Africa: Rs. 85,000/-
- **Group C:** Neighbouring Countries, Sri Lanka, Nepal, Bangladesh, Burma, Pakistan, Gulf Countries, Singapore, Malaysia, Thailand, Maldives: Rs. 60,000/-

The above amounts are inclusive of the following:

- I) Travel, II) Registration fees, III) DA (Including local travel, food bills and local stay as given below)

Student Signature: _____



4.0 IP Policy

Applied research and development often results in inventions and/or the design new devices that contribute to the quality of life and economic improvement. Use or exploitation of such technological progress should be limited to the creator and the University through appropriate protection. In order to qualify for patent protection, the invention should be novel and innovative and should have immense practical applications.

The general policies include:

1. The University will encourage all inventions that can lead to patents and help its related protection by arranging for filing the patent application.
2. Establish effective mechanism and procedures in obtaining appropriate protection.
3. The Central research committee will evaluate the invention's practical and commercial values and keep a register of all patents and projects.
4. University may ensure a fair distribution of financial benefits that may arise from the patent obtained under the appropriate invention.
5. The financial benefits that may arise from the commercialization of the invention in which the university has an interest will be distributed as follows (after all costs incurred by the university have been deducted):
 - Inventor - 60%
 - University - 40%

5.0 Consulting and Other Outside Professional Activities

5.1 Principles and General Standards

This policy is applicable to all members of the faculty of the university. The purpose of the policy on consulting and related activities is to state with both clarity and generality the limits on such activities and the reasons for those limits. Consulting and other outside professional activities can provide an important means of continuing education for the faculty and can provide them with a currency and experience in aspects of their professional fields outside the context of the University itself. These activities can also provide a mechanism for transfer of knowledge from the University to the public good. Though such attributes of consulting may make faculty better scholars and teachers, the employer-employee nature of the consulting process has in it the potential for diversion of faculty from their primary activities and responsibilities. Therefore, the basic principle of this policy statement is that there needs to be a limitation upon the time that a faculty member may spend in consulting. The limits set forth below are intended to strike a fair balance between consulting and regular faculty duties within the University and serve to safeguard the interests of both parties.

Though comprehensive, the policy cannot deal unambiguously with every instance of consulting or other outside professional activities. In cases of doubt, the primary guide should have the intention to promote the interests of the University as a place of education, learning, and research. In all cases it is mandatory for the faculty to receive express permission from the FDSR Office. Final decision on the approval rests with the Vice-Chancellor / Pro Chancellor.

5.2 Consulting

In general, consulting is defined as a professional activity related to the person's field or discipline, where a fee-for-service or equivalent relationship with a third party exists. There are many types of consulting relationships and fee arrangements, and the precise



form entered into may vary. The principle is that, in consulting, a person agrees to use his or her professional capabilities to further the agenda of a third party, in return for an immediate or prospective gain. Activities that constitute or imply managerial or supervisory responsibility are not permitted as they would create conflict of interests and are not allowable as consulting relations.

Several types of faculty activity, other than regular University duty, are not "consulting." These are:

A. Publications/ Editors/Reviewers

Scholarly communications in the form of books, movies, television productions, art works, etc., though frequently earning financial profit for a faculty member and for another party (e.g., publisher), are not viewed as consultation. However, faculty may not publish articles or other forms of scholarly communication under their own names in the course of their outside professional activities that are written in whole or material part by employees of the outside entity (i.e., "ghost written"). If a faculty member is listed as an author on any publication resulting from performance of consulting services, a disclosure should be included stating that the work was done as a paid consultant and was not part of the individual's University duties and responsibilities.

B. Professional Service (Other Outside Professional Activities)

Under this silo falls service to national commissions, governmental agencies and boards, granting agency peer review panels, philanthropic organizations or charities, professional societies, visiting committees or advisory groups to other universities, and non-governmental bodies. The fundamental distinction between these activities and consulting is that they are public or University service. Although an honorarium or equivalent sometimes is forthcoming, these professional service activities are not undertaken for personal financial gain. Therefore, such service does not fall within the consulting category. In addition, even activities such as pro bono work, government service in the public interest, and any outside employment unrelated to the faculty member's University responsibilities are not included as "consulting" in the policy on outside consulting. They do not take precedence over a faculty member's primary commitment to the University.

C: Consultancy Training

In-house training programs accepted by individual faculty members on their own account involving more than four hours of external lectures on a single day, or lectures spanning more than a day.

Funded research projects, for which no remuneration will be received, will not come under the purview of either consultancy or related professional activities. Also, assignments such as being examiners/reviewers, for academic research and publications will not come under the purview of either consultancy or related professional activities.

5.3 Research/Human Resource Development Policy

Introduction

Alliance University encourages and facilitates its faculty members through a well-structured Academic Enrichment under the HRD scheme. This includes providing grants to faculty for



conferences, FDPs, MDPs, Workshops, Seminars, Professional Society Memberships. The details of the Academic Enrichment under the HRD scheme are as follows:

Professional Development Budget:

1. Support for Conferences faculty members are encouraged to present their research papers in national/international conferences where the proceedings are indexed in Scopus. Faculty members, who have successfully completed probationary term of service and who are confirmed on regular position at the University, can avail an annual budget of Rs. 40,000/- towards reimbursement of allowable expenses (travel, incidental expenses, per diem allowance, accommodation charges, and registration fee) incurred on presenting research papers, chairing conferences/seminars.
 - a) Registration fee will be considered fully if all the authors from Alliance University.
 - b) Registration fee will be computed on pro rata basis if the authors are from different institutes.

Note: In case the paper is not published /indexed, the entire amount has to be returned.

2. Faculty Development Programmes Faculty members may be nominated or recommended by the Head of the Department and the Dean of the respective School/College to attend Faculty Development Programmes in India. Their expenses will be met from the Faculty Development Fund to a tune of Rs. 20,000/- per faculty member for participating in FDPs/MDPs/workshops.

Merger of these two components (1 & 2) may be considered to support larger expenses of individual events.

Professional Membership:

Up to an amount of Rs. 5,000/- per year is earmarked for each faculty towards payment of individual membership fee of renowned professional bodies / associations, provided the annual plan of action is presented and approved.

Process for Approval

1. Fill in the FDP/ Workshop/ Conference form and submit to HR Department 15 days prior before the commencement of the event.
2. Enclose copies of information Brochure/Communications.
3. Get it recommended by the Area Chair/Department Head and by the Head of the Academic Unit.



4. Submit to HR Department for eligibility verifications.
5. HRD will obtain sanction of financial support/OOD from the PVC/ VC/PC for all eligible applications.
6. The status of sanction will be informed by HRD through email.
7. Only after such affirmative communication, colleagues may proceed for the program.

Note: Any post-dated applications will not be considered.

Process for Reimbursement

1. Employees are required to submit the return form attaching original or duplicate bills for all expenses incurred during the travel for which the reimbursement is sought for including hotel bills, local travel, restaurant bills etc along with copy of certificate.
2. After receiving the reimbursement form, the HRD checks how much of the expenses incurred are eligible for reimbursement as per the policies and allowances of the University within 2 working days of receiving the form.
3. HRD communicates the final amount to be released towards the employee to the Office of Accounts.

5.4 Rules and Operating Procedures

The following rules shall govern all consultancy and related professional activities

1. All consultancy assignments shall be taken in the name of the University. This shall apply to those cases also where the client may approach an individual faculty directly.
2. In a year a faculty member would be permitted to a total of 52 working days for consultancy and related professional activities. Beyond the said limit of 52 working days, the Dean - Research in consultation with the Vice-Chancellor / Pro Chancellor would have the discretion to allow the faculty members to undertake consultancy and related professional activities up to 72 days subject to fulfillment of all academic and institutional requirements of the University.
3. Where the client organization approaches the University, the Dean - Research in consultation with the Vice-Chancellor / Pro Chancellor will nominate a faculty member or, a group of faculty members, to interact with the organization to understand the nature and scope of the proposed consultancy assignment.
4. A suitable proposal, including financial and technical details, would then be developed by the participating team and forwarded to the Dean - Research, who in consultation with the Vice-Chancellor / Pro Chancellor would after scrutiny, will send the proposal to the client organization.
5. Till the time, the proposal is accepted and the necessary payment is made, the point of contact for the client organization shall be the Dean - Research.



6. On the receipt of the advance payment, Dean - Research would intimate the project team leader and assign a project number to the assigned project. Once the project number is assigned, the Office of FDSR will send one copy to the account's office, one to the project team leader, one to the Dean - Research, and retain the fourth copy with itself. This project number needs to be cited for all official correspondence between the stakeholders.
7. Once the project starts, approval requests related to any expenses to be incurred out of the assignment, for which provision exist in the project budget, are to be sent to Dean - Research.
8. Retainership type assignments will also be permitted with the condition that the duration of such engagements does not exceed two days per month or,24 days in a year.
9. For counting the number of days spent on consultancy and related professional activities, the minimum unit will be half a day, implying that any remunerative assignment (other than those that are exempted) up to 4 hours duration would be treated as half a day, even when the actual involvement may be for a lesser duration.
10. The final decision on all consultancy and related professional activities will rest with the Vice-Chancellor / Pro Chancellor.

5.5 Budget

The following elements of cost must be taken into account for preparing the budget.

1. Professional fee (faculty time in terms of the number of days multiplied by the rate to be charged per day)
2. Support staff (project associate, project assistant, field investigator specifically engaged for the project)
3. Fees of external expert/adviser, if any
4. Travel expenses (TA/DA, local conveyance, etc.)
5. Data collection related expenses
6. Communication (courier, etc.)
7. Consumables (stationary, printing, etc.)
8. Charges for secretarial and administrative assistance and other institutional facilities (10% of the professional fee)
9. Applicable tax on total professional fee (at the prevailing rates at the time of each advance/part payment)

The client would normally be required to pay 50% of the total cost in advance along with the letter of acceptance of the terms and conditions detailed in the consultancy proposal document.

5.6 Sharing of Professional Fee

The income sharing for consultancy and related professional activities adding up to Rs. 5 lakhs per annum, will be exempt from sharing and the faculty members will be allowed to retain this amount as additional income. For faculty members who have been on the University's payroll for less than a year, this exemption will be on pro-rata basis.

The professional fee will be shared with the University on the following basis:

Professional fee	X
Expenses	Y
Institutional overheads	10% of (X-Y)
Surplus (Net)	X - Y - (Institutional Charges)



Institutional share	40% of Net
Faculty share	60% of Net

The final disbursement of the faculty share of fees will be made on receipt of a formal report by the Dean – Research in consultation with the Vice-Chancellor / Pro Chancellor from the project leader that the consultancy work has been completed to the satisfaction of the client and all the money has been received from the client. The disbursement is subject to the concerned faculty member fulfilling the minimum workload requirement for the academic year, as per the faculty workload norms, and shall be made at the end of the academic year.

For workload equivalence, professional fees of Rs. 3,00,000 from consultancy, consultancy training, and related professional activities will be treated as equal to one credit. Part amounts shall have pro-rated equivalence.

In case a consultancy project needs to be terminated before its completion due to an inadequate response from the client organization for a year or more (without the receipt of full consultancy fee) then the allocation of the received consultancy fee shall be carried out in the same way as explained above.

All the payments will be received in the University's name.

5.7 Consultancy Report

Normally the consultancy reports of the faculty to a client would be treated in confidence and will not be available to anyone except Dean – Research for perusal and records. As such, a copy of all projects reports should be submitted to the Dean – Research.

5.8 Professional activities

The income sharing for consultancy and related professional activities such as occasional guest lectures, teaching, and training involvement at other institutions/organizations and the honorarium received for such professional activities is up to Rs. 5.00 lakhs per annum, will be exempt from sharing and the faculty members will be allowed to retain this amount as an additional income. For faculty members who have been on the University's payroll for less than a year, this exemption will be on pro-rata basis. Following activities will be treated as professional activities.

1. Faculty members may teach a course, or a part thereof, at IIMs/IITs/NITs/IISC/IISERs/IIITs or IOEs only.
2. Faculty member teaching under the faculty exchange program.
3. Guest lectures.
4. Teaching in FDP and MDP.
5. Any other professional activity that may come up from time to time and is sanctioned by the Dean – Research.
6. The final decision on participation in professional activities will rest with the Vice-Chancellor / Pro Chancellor.

If the total amount earned from professional activities exceeds Rs. 5 lakhs, the balance amount will fall within the purview of consultancy rules in terms of income sharing.



However, no institutional overhead charges of 10 percent will be charged for such engagements.

5.9 Difficulty Resolution

In case any difficulty is experienced, or confusions arise on some matters, those may be brought to the notice of the Pro Vice Chancellor (AA) through the Dean – Research who in consultation with the Vice-Chancellor / Pro - Chancellor will affect any changes/modifications that may be necessary from time to time.

