

RESEARCH AND INTELLECTUAL PROPERTY RIGHTS POLICY

of

D Y Patil Deemed To Be University

School of Pharmacy (DYPUSOP)

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1.PREAMBLE:

Research is a serious academic activity with a set of objectives to explain or analyze or understand a problem or find a solution(s) for the problem(s) by adopting a systematic approach in collecting, organizing and analyzing the information relating to the problem. Scientific research is an integral part of DYPUSOP and plays an important role in the development of the institute. This policy has been designed to sensitize, enhance and promote research at DYPUSOP.

The policy shall serve as an overall framework within which research activities may be carried out.

2 OBJECTIVES

This research policy provides a broad framework to guide scholarly research with the following objectives:

1. To create and promote a culture of research among the faculty, students and research scholars.
2. To identify research areas and specify research topics of academic, practical and socially relevant to the local needs.
3. To enhance the research sphere of the students in order to make them ready at the global platform, for dissemination and inculcating of knowledge.
4. To promote the innovations, patents, and translational research in health.
5. To organize seminars / symposia / workshops / conferences on research topics and training programs in research methodology.
6. To ensure quality, integrity and ethics in research.
7. To facilitate and provide guidance for publication of reports submitted by the research scholars.
8. To promote publication of research findings in quality journals indexed in PubMed / Scopus / Web of Science / WHO/ notified on the UGC website or other indices having good impact factor and in appropriate media.
9. To create a knowledge pool and research idea library within the institute.
10. To bring about an annual/periodic compendium of abstracts/papers presented by the staff and students in various seminars / conferences / workshops.
11. To serve as a facilitator providing professional guidance, technical support and recommendation for financial assistance.
12. To promote interdisciplinary collaborations and partnerships in the departments and institutions both nationally and globally.

3 CUSTODIAN OF POLICY

The chairperson and member secretary Research Advisory Committee (RAC) will be custodian of this research policy.

4. POLICY & GUIDELINES:

Research Advisory Committee (RAC)

A Research Advisory Committee (RAC) of the Institute shall be constituted and approved from IQAC of the institution.

- All the research projects (institutional/ Collaborative/ Outsourced) shall be routed through the RAC.
- The funds for all sponsored/funded projects shall be routed through the RAC.
- The consultancy charges (%) and Institutional charges (%) for all research projects shall be approved through the RAC.
- The RAC shall meet as and when required, however frequency of meetings shall be minimum 3 times a year.

The main objectives of the RAC shall be:

1. Promote research by faculty and students of the institute.
2. Promote research collaboration with external agencies and organizations.
3. Organization of working groups and research groups.
4. Provide support to academics and research students in pursuing research excellence.
5. Assistance in education and training programs.
6. Advance knowledge in academia and transfer knowledge to the relevant stakeholders.
7. Conduct the annual conference to facilitate research communication.
8. Disseminate research outputs scientifically, rigorously, and ethically and to ensure that the outputs carry practical impact and meaningfulness to the target populations.

Research Management

Overall management of research activities may be coordinated by RAC under the guidance of the Principal of the Institute.

Research activity of each department will be coordinated/ monitored by head of the department (HOD) from the department.

Obligations of Researcher and Ethics in Research

1. All researchers involving in biomedical research shall comply with the ethical principles set forth in the Declaration of Helsinki, Ethical Guidelines for Biomedical Research on Human Subjects laid down by the Indian Council of Medical Research (ICMR), and the principles of Good Clinical Practice (GCP). Favorable approval from the respective Institutional Ethics Committee (IEC) needs to be obtained before starting any study related procedures in human participants. In case of use of small animals for experiments, approval from CPCSEA approved Institutional animal ethics committee (IAEC) should be obtained.
2. All research involving new drugs shall be followed as per the “New Drugs and Clinical trials
3. Rules, 2019 laid down by CDSCO” of the Drugs and Cosmetics Act, 1940 (23 of 1940).
4. The researcher is required to register all clinical studies involving new drugs with the clinical trials registry of India on www.ctri.nic.in as per the Drugs and Cosmetics Rules.
5. The researcher must archive the statement detailing the name of the ethics committee and the reference number wherever required for the publication of the research outcomes.
6. The studies performed in countries other than India must comply with ethical guidelines for studies involving human subjects or laboratory animals applicable in those countries.

Undertaking Research

Faculty members of the institute are expected to undertake research, leading to quality publications, presentations in national / international conferences of repute, generation of Intellectual property with potential for commercialization, socially useful outcome and other similar research activity.

Academic Dishonesty and Disciplinary Committee

It is expected that each member involved in research will adhere to highest ethical standards of conduct.

Each faculty member and researcher shall follow academic honesty in his/ her research work. Faculty and researchers shall be careful not to fall prey to academic dishonesty.

Resources for Research Support

The institute may provide intramural funding through seed money based on the quality and impact of research which may be scrutinized and recommended by the RAC of the institute.

The institute may also extend the support by reimbursement of publication charges, where manuscripts are communicated to quality journals.

The institution may also provide additional manpower in departments with higher research intensity and research output, depending on specific justifiable requirements.

Research Consultancy

The institute shall encourage its faculty to undertake consultancy projects from industry and academia; and to provide research consultancy to health care, technical, biomedical, food industries etc. The proposal of the research consultancy shall also be reviewed by the RAC.

Recruitment and Promotion

Research output will be considered as one of the criteria for faculty recruitment and promotion along with other academic responsibilities.

The quality of research output, especially research publications, may be assessed on the established yardsticks such as Impact Factor (IF) and which will be revised from time-to-time as appropriate.

5. COLLABORATIVE RESEARCH

Interdisciplinary Research

Interdisciplinary Research shall be promoted in collaboration with national, international agencies and organizations. For the long term benefits of sharing knowledge between institutes and establishing a vibrant intra-university, interdisciplinary academic collaboration, joint activities will be undertaken in their respective fields of research. The financial allocations relating to each joint research project will be in accordance with the nature of the project. The finances shall be disbursed as per the role of the respective institution and the type and design of the research project.

Interdepartmental Research

Interdepartmental research will be promoted across all departments to facilitate high impact research and generate funds for research.

Exchange Programs for Research

Exchange programs for research by faculty and students shall be promoted and may be supported by the institute.

6. STUDENT RESEARCH

To enhance quality research output, student mentorship / internship shall be facilitated to encourage students to pursue research activities leading to tangible output. The financial support may be provided by the institute.

7. DATA INTEGRITY AND MANAGEMENT

Plagiarism in research shall be unacceptable and discouraged at all the levels. The

The RAC shall ensure the integrity and ethics in research.

- Level 0: Similarities up to 10% - Minor similarities, no penalty.
- Level 1: Similarities above 10% to 40% - Researchers shall be asked to prepare a revised script within a stipulated time.
- Level 2: Similarities above 40% to 60% - Such researchers shall be asked to prepare a revised script For submitting within a stipulated time.
- Level 3: Similarities above 60% - Such researcher shall be subjected to disciplinary action.

8. INTELLECTUAL PROPERTY AND COMMERCIALIZATIONS

All the faculties and students are encouraged to conduct innovative research. The institute shall support the faculty and students to file their patents.

The institute owns all the Intellectual Property (IP) and the associated rights (IPR) that is produced by all the institute (DYPUSOP) personnel. The institute reserves the right to apply for IP protection in India/throughout the world/specific countries for suitable protection of the IP generated.

The institute shall be the owner, with the creators specially stated as inventors for all the intellectual property inventions, product development, process development, and software designs created by the creators who include faculty members, research scholars, students and those who make use of the resources of the institute. The revenue generated out of such creations shall be shared in the ratio of 50:50 between the creator and the institute respectively.

The inventions created by the institute personnel, without using institute resources and created outside their assigned/normal duties/areas of research/ teaching shall be owned by the creators and the revenue generated out of such creations shall be shared in the ratio of 75:25 between the creator and the institute respectively.

If an IP has emerged as a result of an Institutional/Industrial consultancy, the concerned industry and the institute shall own the IP. This however will not apply to those IP that are covered under specific MoU's where the action shall be carried out as per the provisions of the MoU's. If the IP is a result of funds sponsored by an outside agency, then the IP will be shared between the institute and the sponsoring agency on case to

case basis and as per MoU / Agreement / Undertaking between the institute and the outside agency.

9. PERIODIC REVIEW OF RESEARCH OUTPUT

Periodic review of research progress and output shall be carried out by the RAC and provide such information to Principal periodically (preferably 6 monthly) for assessment and required corrective actions, if any.

10. POLICIES FOR PUBLICATIONS

Research Publication:

Institute affiliation in the publication must be D Y Patil School of Pharmacy.

Faculties shall also publish joint research papers with experts from other institutions /industries.

All faculties are encouraged to publish their research results in the journals indexed in

PubMed/ Scopus/ Web of Science / Copernicus/ notified on the UGC website.

Results of research shall be published as early as possible preferably within 6 months of completions of study and analysis of data.

Publication support may be provided by the institute as appropriate based on the quality of research work.

Dissertations and P h. D. Thesis:

The Ph. D. students and guides are required to ensure that the dissertation/thesis work shall be submitted as per the university guidelines.

11. RESEARCH INCENTIVE POLICY:

The faculty members are central to the sustenance of the institute. To retain talent and promote research, it is proposed that we will provide incentives to faculty for their contribution towards intellectual capital.

While performance measurement is required for any system driven organization, there is a possibility of subjectivity in evaluation that may lead to biases and avoidable comparisons. It is therefore, proposed that for extraordinary contribution, the faculty should be rewarded in terms of monetary benefits, awards, prizes or promotions.

Revised research incentive policy to be implemented as revised from time to time.

The following scheme covers the areas where the research contribution of a faculty member, may be rewarded:

Faculty Incentives for Publication

Category Type of Publication	Category	Research funding support for open access Publication
A). <u>International Publication in Peer Reviewed Indexed Journal</u>		
Original Article	Scopus/PubMed/ Web of Science/ Copernicus/ UGC Care List/ Science Direct	Actual or Rs. 3,000/- whichever is less
	Other Index	Actual or Rs. 2,000/- whichever is less
Review Article	Scopus/PubMed/ Web of Science/ Copernicus/ UGC Care List/ Science Direct	Actual or Rs. 2,000/- whichever is less
	Other Index	Actual or Rs. 1,000/- whichever is less
B). <u>National/University Publisher Publication in Peer Reviewed Indexed Journal</u>		
Original Article	Scopus/PubMed/ Web of Science/ Copernicus/ UGC Care List/ Science Direct	Actual or Rs. 3,000/- whichever is less
	Other Index	Actual or Rs. 2,000/- whichever is less



Review Article	Scopus/PubMed/ Web of Science/ Copernicus/ UGC Care List/ Science Direct	Actual or Rs. 2,000/- whichever is less
	Other Index	Actual or Rs. 1,000/- whichever is less

Faculty Recognition Incentives:

Category	Points	Incentives
Citation Index	< 100	Rs.1000/-
	101-200	Rs.2000/-
	201- 400	Rs.3000/-
	More than 400	Rs.4000/-
h-index	1 to 10	Rs.1000/-
	11-20	Rs.2000/-
	21- 50	Rs.3000/-
	More than 50	Rs.4000/-
i 10 Index	1 to 20	Rs.500/-
	21- 50	Rs.1000/-
	More than 50	Rs.1500/-

Criteria: Incentives will be awarded once every year for each faculty

Faculty Incentives for Projects:

Category	Paid leave to attend meetings for Principal Investigator (PI) or Co-Investigator (CI)	PI Privileges	Incentives for PI & CI on completion of project
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	Maximum per project per year				
Projects with funding from International agencies	10		Project value < 50 Lakhs	Project value > 50 Lakhs	
			Bonus of Rs.10,000	Bonus of Rs.12,000	
Project with funding from National / State Agencies	8	As decided by RAC time to time	Project value < 10 Lakhs	>10 Less than 25 Lakhs	> 25 Lakhs
			Rs. 3,000/-	Rs. 5,000/-	Rs. 8,000/-
Project funded from University	2		Not Applicable		

Paper Presentation in Conferences: Criteria for availing incentives:

- 1) Faculty should present paper / poster.
- 2) Faculty can avail incentives for maximum of two conferences per year
- 3) Registration fees will be provided, subject to maximum limit of Rs, 5,000/- per year
- 4) Registration fee will be reimbursed after submission of Certificate of attendance and original receipt of registration fee.

Book/ Book Chapter/ Monograph

The e-book and hard copy books are considered for research incentive. The pocket books or booklets and books having less than 20 pages are not considered for research incentive.

- I. For each Book (Reference or Text) authored/edited singly or jointly and published by International Publisher (McGraw Hills, Taylor Francis, Springer, Elsevier, CBS Publisher etc. or Apex bodies/Societies with ISBN (International Standard Book Number), the Authors/Editors will be given one time incentive maximum of Rs. 5,000/-
- II. For each Book (Reference or Text) authored/edited singly or jointly and published by DYPU/ National Publisher (McGraw Hills India, JP publisher, Springer India, Elsevier India, etc.) or Local/ Regional Publisher (Nirali Publication, or Pragati Publication, etc) with ISBN, the Authors/Editors will be given one time incentive maximum of Rs. 5,000/-
- III. For each “Chapter/ monograph” in Book published by International Publisher with ISBN, the Author/s will be given one time incentive maximum of Rs. 3,000/-
- IV. For each “Chapter/monograph” in Book published by National Publisher with ISBN, the author/s will be given one time incentive maximum of Rs. 3,000/-

Patent Granted:

The expenditure for filing the patent and its subsequent granting process shall be borne by the institute if the patent is taken on the name of the institute.

The incentive of Rs. 10,000/ - for International/ Indian Patent will be given for successfully granted patent. For more than one investigator, the disbursement of incentive will be as per the RAC.

Guiding research scholars for Ph.D. or PG

Rs. 5000/- for each Ph.D. awarded from University

Rs. 3000/- for each Master degree awarded from University

For being editor of In-house/National Journal: Rs. 5,000/- per annum

For being editor of an International Journal: Rs. 10,000/- per annum

For international travel to institutes of repute by arranging funds on their own for establishing collaboration/signing of MoUs, etc.: Rs.10, 000 (One time)

Recognition for Faculties Getting International Research award:

A reward of Rs.10,000/- will be given along with certificate for international award received by faculty for their outstanding performance and innovative work.

Recognition for Faculties Getting National Research award

A reward of Rs.5,000/- will be given along with certificate for national award received by any faculty for their outstanding performance and innovative work.

Recognition for Faculties getting any regional or other award

A reward of Rs.5,000/- will be given along with certificate for national award received by any faculty for their outstanding performance and innovative work.

Best Researcher Award

Each year institute will give this award to researcher for their outstanding performance in research. It will contain a certificate along with cash award of Rs. 5,000/- The researcher should have at least 02 international publications and 02 national publications in indexed journal under his/her name and at least 01 projects as PI with funding outside agency.

Incentives for Postgraduate and Undergraduate Students

- 1) A reward of Rs.1,000/- for international publication and Rs.500/ - for national publication in indexed journal as a first author.
- 2) A reward of Rs.1,000/- for international project and Rs.500/ - for national project as principal Investigator with funds generated from outside provided the project should not be duplication of dissertation.
- 3) A reward of Rs. 1,000/- for Best Paper / poster award

Incentives for organizing Research Conference by the students



Student organizing conference every year by inviting experts from outside will be given financial assistance for organizing the conference as per the budget sanctioned.