

### **3.5.1 A Institution has a policy on consultancy including revenue sharing between the institution and the individual**

#### **Consultancy Policy**

- 1.** AISECT University has a vision to provide research driven environment and facilities to the students and faculty in the university. This document draws policy guide lines in regard to research activities in the university. This policy has been approved by the first GB meeting.
- 2. Research in Conventional Departmental Programmes** – Doctoral Research, Research in PG courses and Research in UG programmes will come directly under the preview of respective HoD's. However doctoral research will be coordinated through Research Coordinators. VC will appoint two Research Coordinators i.e. one for doctoral research in Technical Courses and one for doctoral research in Non Tech courses including commerce, management, education, agriculture, science, arts, law and languages. A Research & Development Dept (RDD) will be set up under the VC which will be manned by the Research Coordinators and two Record Keepers Cum Operators. R & DD will look after scheduling, conducting, administrative & financial activities/process of Doctoral Research under direct control of VC as per the procedure laid down in Ph D brochure of the university made as per the framework of UGC norms and Regulatory bodies guidelines. The actual research functions for doctoral research will however be under the respective HoD's who will ensure quality of research and quality of thesis. Research work, dissertation, project report in PG & UG research will be totally under the respective HoD's. The documentation, paper work, schedule preparation monitoring and organising Ph D related events will be under Research Coordinators. R & DD will be the custodian of all documents related to PhD research including thesis. For PG and UG research HoD will be custodian of all documents including Dissertation/Project Reports.
- 3. University Research Committee (URC)** – A Research Committee will be constituted under the Chairmanship of Vice Chancellor. All the Deans, Coordinators RDD and HoD's will be members of URC. Faculty in charge Research Lab's and Advanced Research Labs will also be members of URC. The URC will address all the issue related to Research in the university and monitor the progress through Committee members. The Committee will hold its meeting at least once in six month (preferably at beginning of the semester) and additionally at the description of the VC. Funds requirements related to research for UG/PG and Doctoral Research will be examined evaluated and processed by URC.
- 4. Research orientation in UG & PG Courses.** Students will be encouraged for meaningful research, preferably in university focus areas as laid down in para 7 during their programme duration. There will be minor and/or major projects in all UG/PG professional courses as decided by the BoS/syllabus. Literature

survey and study of current status of the field will be carried out by the students for zeroing on to the objective and methodology of their project for which they will be encouraged to refer to journals, study materials visit to industries, fields, library etc. Projects should have adequate component of research knowledge building, application, societal needs, experiments etc. In case for those courses where project is not part of the curriculum the students in the course will be divided in groups with maximum 5 to 6 members in each group and take up at least one research project on social problem, case study, survey etc and submit report/do a presentation in front of class/faculty panel. BoS and/or syllabus will be final authority as regard to research in PG/UG courses and VC may waive off need for formal research work where not laid down in the syllabus.

5. **Formation of CORE RESEARCH GROUP (CRG) for Research Projects.** A Core Research Group (CRG) will be formed directly under chairmanship of the Chancellor to look after all Research Projects other than UG/PG and Doctoral research. The CRG may be formed any time after 5 years when university would have completed setting up of all basic facilities for quality research. Till the formation of CRG, VC will look after the function of CRG.

The CRG will have following functions:-

- (a) Promoting Research Projects in AISECT
- (b) Monitoring ongoing Research Projects
- (c) Work as nodal agency for project research - initiation to completion
- (d) Plan and develop research facilities & environment
- (e) Develop archive to build up research related information
- (f) Research Publication including journals – Quality & Qty of publication
- (g) Build up research network, liaison system, resource building, framework development

6. **Research in Research Projects (other than UG/PG/Doctoral research).** HoD's Dean and VC will encourage faculty to take up research projects in the departments as per following guide lines.

6.1 **Survey & Exploration.** Each department will do extensive surveys to identify areas of research pertaining to their departmental subject and subjects of multidisciplinary nature.

6.2 **Brain Storing, Studies & Projects Ideas.** Research Project Ideas will be discussed on departmental/university level platform to come out with Project Format. A team of PI/CoPI's at departmental/multidepartmental/multi organisations level will be made for Project Report formulation with methodology and budget estimates worked out clearly.

6.3 **Research Project Initiation.** A Core Research Group (CRG) will be formed after completion of five years for AISECT University. All the Research Project other than Doctoral/PG & UG will be under direct control of CRG. Till CRG is formed these research projects will be under the control of VC. Till formation of CRG, VC AU will directly control all the research work in the university.

- 6.4 **Funding of Research Projects.** The PI & CoPI's will explore the possibilities of getting the funds from various funding agencies. The university may also fund some projects or part of the projects. After formation of CRG funding policy will be laid down by the authorities. Till then all the research funds will be monitored and controlled by the VC.
- 6.5 **Monitoring of Research Projects.** Till the formation of CRG, the VC will supervise all the projects from initiation to completion. After CRG is formed all the projects except UG/PG and Doctoral Research will be the responsibility of CRG.
7. **Special Fields for Research.** Though research will be encouraged in all departments in any field, following fields have been identified for establishing world class facilities to develop resources, lab & manpower, to make them Research Centers of Excellence-
- 7.1 **Renewable Energy & Green Technology.** The university will have special focus to conduct meaningful research in the field of renewable energy to gain new knowledge, develop cost effective and efficient energy solutions, establish energy labs and energy park to encourage UG/PG Doctoral student and scholars/faculty to take up energy research as well as provide skill to students (regular & vocational) and take up research projects. A dedicated lab will have wide range of equipment, tools, test bench, material, working models and systems for solar, wind, Hydel and bio energy.
- 7.2 **Material Science & Chemistry.** A state of art Advanced Material Science Lab will be established with the test and experimental set ups for synthesis, characterization, testing, fabricating and development of materials nano materials, to facilitate research in pure science as well as application.
- 7.3 **Earth & Space Science Center-** This center will develop in to a modern observatory cum lab for monitoring, recording and analyzing atmosphere and earth data. Besides the research to enhance and expand knowledge base the facilities should provide platform to take up research work for application in the areas of climate change, seismic activities, weather phenomenon and scientific predication.
- 7.4 **Agriculture Science.** Advanced Research labs will be developed in Agriculture Science with the aim of taking up research in agriculture for serious application to improve productivity in agriculture in terms of quality as well as quantity. Research Projects for crop improvements and irrigation system will be taken up by these labs.
- 7.5 **Water, Environment & Disaster Management.** A multi disciplinary team for this special area of research will be formed. Facilities in labs of various departments will be used and upgraded to take up research projects in the areas of water resources management, environmental studies and disaster management.
8. **Research Motivation/Philosophy.** Research can be taken up in any field in the university – University has identified some research areas as discussed in para 7 above. The effort will be made by respective heads departments, deans, Research Coordinators guides and VC to encourage maximum research in PG/UG and doctoral research in identified fields in which university plans to achieve excellence. VC and CRG (when formed) will ensure that Research Projects are initiated in identified fields of Research for funding from external funding agencies. University will also allocate some budget exclusively for Research Projects annually under the control of CRG. Following will be ensured.

- 8.1 Guides in UG/PG/doctoral programme should encourage students to take up projects in areas identified at para 7.
- 8.2 CRG/VC will encourage. Research Projects in identified areas at para 7 for external funding.
- 8.3 Multidisciplinary approach will be encouraged for research wherever possible.
- 8.4 Lab to land, application, industry linkage and societal aspects be given due emphasis in research process and outcome.
- 8.5 Whenever possible patent be applied for as one of the outcome of Research Projects.

**9. Research Targets.** Following targets are set up for initial 5 years for the AISECT University in respect of Research Activities-

- 9.1 Establish good Material Science. Advanced Research lab, Earth Science and Space lab, and Renewable labs so as to take some projects as early as possible.
- 9.2 Put in effort to formulate at least one or two projects for external funding and one or two internally funded project
- 9.3 Aim for one department one project by 2018.
- 9.4 Constitute Core Research Group after 5 years to tackle Research Projects other than doctoral/ UG/PG independently. This group may have experts drawn from outside.
- 9.5 Encourage faculty to write research papers and publish in journals of repute. At least 5 papers be written in each department annually.
- 9.6 Encourage faculty to write book chapters.
- 9.7 At least one international conference/seminar be organised in every two years. Large number of national/regional/state/university level events be organised. One major and two minor events (workshop, seminar, conference, guest lecture etc) could be organised at faculty/departmental level.
- 9.8 Faculty and students be encourage to take part in research events outside (conference/seminar/workshop etc)
- 9.9 University should enter in research collaboration with organisations/universities/labs abroad and in India. A target of 5 to 10 MoUs each abroad and in India could be set for first 5 years.
- 9.10 In-house journals be published and effort be made for continuous up gradation of quality.
- 9.11 Students be encouraged through Project exhibition once or twice in a year.
- 9.12 Establish good print and e library for research.
- 9.13 Establish good software facilities for research.

**10. Funds Allocation for Research.** Funds for development of research facilities in the university will be allocated under following categories:-

- 10.1 **Annual & Supplementary Funding For Departmental Labs.** Depending on research requirements of Doctoral Research, PG and UG research projects labs in all departments will be upgraded/re equipped with modified eqpt or new equipment and software for which requirement will be proposed by

the HoD's/Deans in consultation with Research Coordinators, Guides and dealing faculty. This will be in addition to normal requirement by dept to conduct routine academic programme as per syllabus.

**10.2 Annually & Supplementary Funds for Research Projects.** A Core Research Group (CRG) will be formed to promote, regulate and supervise Research Projects other than doctoral UG/PG research. For Research Projects funding may come from either external funding agency or internally from the university. After completion of five years the internal budget for Research Projects may be around one crore or more depending on funds availability and merit of the cases.

**10.3 Research Funding for PG/UG & Doctoral Research.** This will be catered for in university annual budget as per projective from departments/faculty and approved by VC.

**11. Research Purchase Policy.** For purchases for research work in UG/PG & Doctoral Research the normal purchase policy will be followed which includes following steps. Initiation of demand by the researcher, scrutiny and recommendation of Guide/faculty then by HoD and Dean, Obtaining minimum 3 quotations. With adequate technical justification single quotation may be accepted technical approval by VC, budgetary allocation by Registrar followed by Purchase Order supply, installation, training and payment clearance. Items purchased will be brought on change in Central Stock Register and issued to the respective department- Consumables for research may be purchases from university registered vendor or after three quotations from supplies or by Local Purchase Committee. Consumables will be brought on change of Stock Register of the Dept. In case of Research Projects will be approval by the CRG. A separate account will be created for Research Projects.

**12. Review & Stock Taking of Research Effort.** Research activities will be reviewed as per the following format:-

**12.1 Research Projects.** CRG main and subgroups will be formed after 5 years who review Research Projects. It will be done quarterly at sub grade level and six monthly at CRG main group level. An annual/6 monthly meeting of CRG will be organised and minutes will be circulated. Till CRG is formed, review will be done by the VC with concerned dept/faculty.

**12.2 Doctoral Research.** VC will review the progress of PhD programme every quarter. The status will be presented in 6 monthly CRG meeting when formed.

**12.3 PG & UG Research.** It will be reviewed quarterly at Dean/HoD level and every six month at VC's level.

**12.4 Research Events.** A Calendar will be drawn at departmental, faculty and university level and every six month progress will be reviewed at respective levels.

**13. Motivational Measures for Research.** Research is a focus area of AISECT University. Effort will be made at all the levels to encourage and motivate students and faculty to do meaningful research. Following will be heads under which motivational allocation will be made by VC by himself or through a specialist committee as provided at annexure II and III of Academic Manual. Relevant extract of Annexure-III is reproduced below which provides details of monetary incentive available to the faculty:-

- 13.1 **Presenting paper in International Conference within India**- Refund of part of registration fees, travel expenses as per status and a cash incentive upto not more than 5000/- International conference should be one of repute, with minimum two foreign delegation. Evidence to be enclosed with the claim. For poster presentation maximum limit is Rs. 3000/-
- 13.2 **Presenting paper in International Conference outside the country** - Registration fees, Part of travel expenses in economy class air travel, local stay for maximum 3 days and cash incentive totalling upto/maximum Rs. 30,000/- .For poster presentation max limit is Rs. 20,000/-
- 13.3 **Presenting paper in national conference of Repute** -Registration fees travel expenses and stay of maximum 2 days for paper presented in conference/seminar/workshop organised by IIT's, NIT's and institute of national repute, totaling not more than Rs. 3,000/- . A prior permission must be obtained before paper sent. For poster presentation it will be Rs. 1,500/-
- 13.4 **Publication of Book related to course curriculum** - cash award upto maximum Rs. 25,000/-
- 13.5 **Publication of Book on any other subject (Fiction/non fiction)** - Cash award upto maximum Rs. 10,000/-
- 13.6 **Publication of research paper in International Journal of Repute with impact factor not less than one** - Cash award upto maximum Rs. 5000/-
- 13.7 **Paper of research paper in national journal**- Publication of minimum one research paper in national journal including in house publication in a year will have direct impact on annual increment in pay package. Faculty who have availed facility under other initiative scheme will be given higher priority in increment.
- 13.8 **Organising and conducting a Faculty Development workshop/seminar with A grade industry experts with satisfaction level of participants over 80% with minimum 50 registrations** - cash award upto maximum Rs. 2000/-
- 13.9 **Qualification Improvement Incentives for sponsored / permitted candidates.**
- (a) Ph D in related field - cash award upto maximum Rs. 20,000/-
  - (b) Ph D in other field-cash award upto maximum Rs. 10,000/-
  - (c) Post graduation with minimum 75% or A + grade - cash award upto maximum Rs. 3000/-
- 13.10 **Undergoing winter/summer Training of minimum one week duration**- Course fees, travel expenses and/or cash award upto maximum Rs. 1000/- for position holders in the course.
- 13.11 **Registration of Patents** - cash award upto maximum Rs. 25,000/-
- 13.12 **Innovation and Research Work recognised at either national level or university level** (genuine with research content and useful to society)
- (a) National level - Cash award upto maximum Rs. 20,000/-
  - (b) University level - Cash award upto maximum 10,000/-
- Incentives will not be permitted post facto. It should be initiated with approval of VC before papers/books are sent for publication/inclusion.

Faculty may submit their application for above award with supporting evidences which will be scrutinized by a panel appointed by VC. **For incentive of Rs. 10,000/- & above faculty is required to give undertaking to continue in the university after receipt of incentive for minimum one year.**

Above award list will be made by the panel appointed by the VC by every 10 August for the last academic year.

## **Consultancy Policy**

### **1. Background**

AISECT University has strong focus on meaningful research activities which should benefit society. It also believes that expertise gained by the university should not only be used in improving teaching - learning and research system within the university but also should be used to benefit larger part of the society. In order to motivate university staff to share their knowledge and expertise for betterment of Society, University shall permit consultancy and project/work in industry, corporate sectors and other organisations by the university staff. The staff may use material resources of the University for such Consultancy Work. The university shall share the monitoring benefits occurring out of such work/association/assignments with the concerned staff.

### **2. Consultation Activities**

Following activities will fall under the consultancy-

- 2.1 For development of a product/part of product or services for any individual industry or organisation external to the university shall fall under consultancy where one or more university staff works for such development for a pre agreed cost and period.
- 2.2 For modification, augmentation or alteration of any product or process or services where one or more university staff extend their active participation for such job.
- 2.3 Any kind of professional advice given by one or more staff of the university to external organisation/firm/individual for a pre decided cost and time.
- 2.4 Any research work undertaken by one or more staff of the university for any external individual or organisation to develop product or process or services.
- 2.5 Conduct of any special courses, chairing/participation in organised activities, delivery expert advice/discourse for a fee to any outside organisation/individual.
- 2.6 Any royalty of fees received for any Intellectual Property by a staff and any fees received from outside.

### **3. Consultancy Process**

Research & Development Department (RDD) in the university will be the nodal agency for any consultancy activity in the university RDD. It will be the custodian of all documents for consultancy. Any staff, department or faculty may initiate the ground work and explore such possibilities. After the basic

ground work it should be reported to RDD who will put it on their record. RDD will do the initial survey/preliminary inquiry and put up the matter to the VC who may form a team for further discussion with the client or he may himself discuss it with the client.

After the negotiation and on arrival on agreement an Agreement Form will be initiated as per the format given at Appendix A by the RDD. The format gives just the guidelines. It may be changed at the description of the Vice Chancellor. It will be signed by the client and Registrar on behalf of the university. The payment received for consultancy will be deposited by the client/RDD in university bank account as per terms of the agreement.

In case of faculty and/or university staff going for chairing an expert session, expert discourse on behalf of the university agreement form will not be raised. Money received from such consultancy event will be deposited in the university Account Section.

#### **4. Contingency and Incidental Expenses**

Any contingency expenses incurred in respect of consultancy project will be met from the funds received from the same consultancy project. The fund left after deducting such expenses will be considered as net gain from the consultancy work.

#### **5. Sharing Policy**

The net gain as worked out (Money Received from the client minus all incidental charges incurred for the consultation work) will be divided in ratio of 60:40 i.e. 60% of the gain will be paid to the faculty/staff who worked for the project and 40% will be retained by the university. University will plough back the share received by it in developing facilities to improve consultancy infrastructure.

#### **6. Appraisal Report**

Consultancy work done by the staff will be entered in the Appraisal Report of the staff and will be given extra weightage in arriving Performance Index.

#### **7. Closing Report**

After completion of the consultancy work a detailed report will be submitted by concerning staff in writing to RDD in which he should mention complete details of work, resources of university used resources from outside, results and feedback of the second party for whom the task was undertaken.

### **Appendix A to the Research & Consultancy Policy**

#### **Agreement for Consultancy**

An agreement is drawn between

**AISECT University  
Village Mendua, Dist Raisen  
(First Party)**



and

.....  
.....

**(Second Party)**

Where in it is agreed that AISECT University shall provide Consultancy Services to the second party as per following terms

**Description of consultancy Services**

**Time From :** ..... **To :** .....

**Coordinators and consultancy providers**

.....  
(From First Party)

.....  
(From Second Party)

**Cost of Consultancy to be Paid by Second Party**

**Payment will be made as per following terms**

.....  
**(Signature of 1<sup>st</sup> Party)**  
Registrar  
AISECT University

.....  
**(Signature of 2<sup>nd</sup> Party)**

For official use by RDD, AISECT University

**Disposal of Consultancy Fees**