



National Institute of Educational Planning

Policy Documents



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Code of Ethics and Conduct for Students

Preamble

Code of ethics and conduct enforces punctuality, discipline, co-operation and academic work culture in the Institute. All students enrolling with the National Institute of Educational Planning and Administration in different programmes must know that it is incumbent upon them to abide by this Code of Ethics and Conduct (hereinafter referred to as the 'Code') and the rights, responsibilities, including the restrictions flowing from it.

1. Jurisdiction

1.1 The Institute shall have the jurisdiction over the conduct of the students associated/enrolled with the Institute and to take cognisance of all acts of misconduct, including, incidents of ragging or otherwise which are taking place on the Institute campus or in connection with the Institute-related activities and functions.

The code of conduct of students shall cover the following areas:

- a) Sexual harassment and misconduct as defined in the Government of India Act, UGC Regulations and Court Orders.
- b) Physical, emotional and mental harassment against any person.
- c) Possession or use of weapons, explosives, or destructive devices.
- d) Production/procurement, sale, distribution and use of prohibited drugs, alcohol and other such substances.
- e) Maintenance of clean, smoke-free, noise-free and healthy environment.

2. Ethics and Code of Conduct

2.1 The code of conduct mentioned in the following clauses shall be adhered to by students of the Institute.

2.2 At the time of admission, each student shall sign a statement accepting the Code of Conduct by giving an undertaking that,

- a) He/she shall be regular and shall complete his/her studies in the Institute.
- b) In the event of his/her discontinuing studies for any legitimate reason, he/she may be relieved from the Institute following its due procedure.

2.3 The student shall uphold academic integrity, respect all persons and their rights and property.

2.4 The student shall deter from indulging in all forms of misconduct, including any act of discrimination (physical or verbal) based on gender, caste, race, religion or religious beliefs, colour, region, language, disability, sexual orientation, marital and family status.

2.5 The student shall deter from other forms of misconduct, including, among others, the following:

2.5.1 Organising meetings and processions without the permission of the Institute.

2.5.2 Accepting membership of all types of organisations, bodies and groups banned by the Institute and the Government of India.

- 2.5.3 Unauthorised possession or use of harmful chemicals and banned drugs.
- 2.5.4 Smoking in the campus of the Institute.
- 2.5.5 Possessing, consuming, distributing, selling of alcohol in the campus of the Institute.
- 2.5.6 Theft or unauthorized access to others' resources.
- 2.5.7 Damage to or destruction of any property of the Institute or any other private/public property.
- 2.6 The student shall not interact on behalf of the Institute with media representatives, or invite media persons on to the campus without the permission of the Institute.
- 2.7 The student shall use the social media responsibly.
- 2.8 The student shall switch off his/her mobile phones/ other audio/video equipment in lecture halls, library and during any other academic engagements.
- 2.9 The student shall be punctual and regular in his/her classes and other academic engagements. He/she shall maintain the decorum of the classroom, library and cafeteria and other Institutional spaces.
- 2.10 The student shall not engage himself/herself in any manner in any anti-social and anti-National activity.
- 2.11 The student shall adopt environment-friendly practices.

3. Code of Conduct in Library

- 3.1 The student shall make effort to minimise noise and disturbance in and around the library.
- 3.2 The student shall not take out any book/material from the library without authorisation.
- 3.3 The student shall return the borrowed library materials on or before the due date.
- 3.4 The student shall treat the books/materials with care. He/she shall not make any mark by pen or pencil in the books/materials.
- 3.5 The student shall abide by the rules of the library, including the right of the library staff on duty to request the user to leave the premises for violating any of the library rules.

4. Academic Integrity

- 4.1 As a premier institution focusing on educational planning and administration, the Institute values academic integrity and is committed to fostering an intellectual and ethical environment based on the principles of academic integrity.
- 4.2 Academic integrity encompasses honesty and responsibility and awareness relating to ethical standards for the conduct of research and scholarship. The Institute believes that in all academic work, the ideas and contributions of others must be appropriately acknowledged. Academic integrity is essential for the success of the Institute and its research missions, and hence, violations of academic integrity constitute a serious offence.
- 4.3 The principles of academic integrity require that a student acknowledges and cites use of ideas, results, material or work of others and acknowledges contributions to a given piece of work.

- 4.4 The student shall abide by the UGC (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018, and modified from time to time, in his/her academic work.
- 4.5 The student shall abstain from cheating which includes, but is not limited to the following:
- (a) Copying in examinations, homework assignments, term papers, theses, and any other manuscript.
 - (b) Facilitating copying in writing a report/examination, and impersonating in an examination.
 - (c) Using unauthorised material, collaboration, purchase, and borrowing of papers or material.
 - (d) Fabricating (making up) or falsifying (manipulating) data and reporting them in thesis and publications.
 - (e) Creating sources, or citations that do not exist.
 - (f) Altering previously evaluated and re-submitting the work for re-evaluation.
 - (g) Signing another student's name on an assignment, report, research paper, thesis or attendance sheet.

5. Anti-ragging Policy

The student shall abide by the anti-ragging policy of the Institute which is based on the 'UGC Regulation' on *Curbing the Menace of Ragging in Higher Educational Institutions, 2009*.

6. Disciplinary Action

The student violating any of the codes of conduct shall be subject to disciplinary action as per the rules of the Institute.

7. Appeal

If the student is aggrieved by the disciplinary action, he/she may appeal to the Vice-Chancellor. The Vice-Chancellor shall decide the manner in which the appeal may be addressed. The decision of the Vice-Chancellor shall be final and binding in all the cases.

Code of Professional Ethics for Teachers

1. TEACHERS AND THEIR RESPONSIBILITIES

NIEPA adopts the code of professional ethics as notified by UGC.

Whosoever adopts teaching as a profession assumes the obligation to conduct himself/herself in accordance with the ideal of the profession. A teacher is constantly under the scrutiny of his/her students and the society at large. Therefore, every teacher should see that there is no incompatibility between his/her precepts and practice. The national ideals of education which have already been set forth and which he/she should seek to inculcate among students must be his/her own ideals. The profession further requires that the teachers should be calm, patient and communicative by temperament and amiable in disposition.

Teachers should:

- (i) Adhere to a responsible pattern of conduct and demeanour expected of them by the community;
- (ii) Manage their private affairs in a manner consistent with the dignity of the profession;
- (iii) Seek to make professional growth continuous through study and research;
- (iv) Express free and frank opinion by participation at professional meetings, seminars, conferences, etc. towards the contribution of knowledge;
- (v) Maintain active membership of professional organisations and strive to improve education and profession through them;
- (vi) Perform their duties in the form of teaching, seminar and research work conscientiously and with dedication;
- (vii) Co-operate and assist in carrying out functions relating to the educational responsibilities of the university such as: assisting in appraising applications for admission, advising and counselling students as well as assisting the conduct of university examinations, including supervision, invigilation and evaluation; and
- (viii) Participate in extension, co-curricular and extra-curricular activities, including community service.

2. TEACHERS AND THE STUDENTS

Teachers should:

- (i) Respect the right and dignity of the student in expressing his/her opinion;
- (ii) Deal justly and impartially with students regardless of their religion, caste, political, economic, social and physical characteristics;
- (iii) Recognise the difference in aptitude and capabilities among students and strive to meet their individual needs;

- (iv) Encourage students to improve their attainments, develop their personalities and, at the same time, contribute to community welfare;
- (v) Inculcate among students scientific outlook and respect for physical labour and ideals of democracy, patriotism and peace;
- (vi) Be affectionate to the students and not behave in a vindictive manner towards any of them for any reason;
- (vii) Pay attention to only the attainment of the student in the assessment of merit;
- (viii) Make themselves available to the students even beyond their class hours and help and guide them without any remuneration or reward;
- (ix) Aid students to develop an understanding of our national heritage and national goals; and
- (x) Refrain from inciting students against other students, colleagues or administration.

3. TEACHERS AND COLLEAGUES

Teachers should:

- (i) Treat other members of the profession in the same manner as they themselves wish to be treated;
- (ii) Speak respectfully of other teachers and render assistance for professional betterment;
- (iii) Refrain from lodging unsubstantiated allegations against colleagues to higher authorities; and
- (iv) Refrain from allowing considerations of caste, creed, religion, race or sex in their professional endeavour.

4. TEACHERS AND AUTHORITIES

Teachers should:

- (i) Discharge their professional responsibilities according to the existing rules, and adhere to procedures and methods consistent with their profession in initiating steps through their own institutional bodies and/or professional organisations for change of any such rule detrimental to the professional interest;
- (ii) Refrain from undertaking any other employment and commitment, including private tuitions and coaching classes which are likely to interfere with their professional responsibilities;
- (iii) Co-operate in the formulation of policies of the institution by accepting various offices and discharge responsibilities which such offices may demand;
- (iv) Co-operate through their organisations in the formulation of policies of the other institutions and accept offices; and

- (v) Co-operate with the authorities for the betterment of the institutions keeping in view the interest, and in conformity with dignity of the profession.

5. Give and expect due notice before a change of position is made; and

- (i) Refrain from availing themselves of leave except on unavoidable grounds and, as far as practicable, with prior intimation, keeping in view their particular responsibility for completion of the academic schedule.

6. TEACHERS AND NON-TEACHING STAFF

- (i) Teachers should treat the non-teaching staff as colleagues and equal partners in a cooperative undertaking, within every educational institution; and
- (ii) Teachers should help in the functioning of joint staff-bodies covering both teachers and the non-teaching staff.

7. TEACHERS AND GUARDIANS

Teachers should:

- (i) Try to see through teachers' bodies and organisations, that institutions maintain contact with the guardians, their students, send reports of their performance to the guardians whenever necessary, and meet the guardians in meetings convened for the purpose for mutual exchange of ideas and for the benefit of the Institution.

8. TEACHERS AND SOCIETY

Teachers should:

- (i) Recognise that education is a public service and strive to keep the public informed of the educational programmes which are being provided;
- (ii) Work to improve education in the community and strengthen the community's moral and intellectual life;
- (iii) Be aware of social problems and take part in such activities as would be conducive to the progress of society and hence, the country as a whole;
- (iv) Perform the duties of citizenship, participate in community activities and shoulder responsibilities of public offices; and
- (v) Refrain from taking part in or subscribing to or assisting in any way activities, which tend to promote feeling of hatred or enmity among different communities, religions or linguistic groups but actively work for National Integration.

9. INSTITUTIONAL CODE OF CONDUCT FOR STAFF AND SUPPORT STAFF

1. All staff members of the Institute are responsible for protecting and taking reasonable steps to prevent the theft or misuse of, or damage to the Institute assets, including all kinds of physical assets, movable and immovable property.
2. All the staff Members should follow the rules and regulations of the Institution as prevalent from time to time.
3. All staff shall devote their time and their best efforts for the progress of the Institute.
4. Staff should contribute to the vision, mission and goals of the Institute through engagement of working hours.
5. Staff must be punctual, sincere and regular in their approach.
6. Staff must attend all functions of the Institute as required by the head of the department.
7. Staff must refrain from any form of harassment or unlawful discrimination based on existing legislative requirements relating to: (i) gender/sexuality/age/marital status, (ii) pregnancy or likelihood of pregnancy, (iii) physical features, disability or impairment (physical disability or medical status).
8. Staff should work in cooperation and collaborative manner with others through academic and administrative activities to achieve the Institutional goals.
9. Every staff member should maintain the confidentiality regarding the Institute's affairs, and the affairs of its constituents, and should not divulge, directly or indirectly, any information of confidential nature either to a member of the public or of the Institute's staff, unless compelled to do so by a judicial or other authority or unless instructed to do so by a superior officer in discharge of his/her duties.
10. The staff should show no partiality to any segment / individual student.

LEAVES

Staff shall get casual leaves, medical leaves; earned leaves and vacations as per Rules of NIEPA.

ADMINISTRATIVE STAFF

1. Confidential report of the department should be part of the personal file of that employee and should be kept confidential by staff members working with this department.
2. Staff should take additional responsibilities if required, as assigned by the authority.
3. Administrative staff should maintain service books of all staff of the Institute.
4. Administrative staff should maintain the Institute level/department level all document files.

ACCOUNTANT

1. Accountant should prepare, examine, and analyse accounting records, financial statements, and other financial reports.
2. Accountant should prepare accounts, taxes and tax returns, ensuring compliance with payment, reporting and other tax requirements.

3. Accountant should establish tables of accounts, and assign entries to proper accounts.
4. Accountant should report to the Vice Chancellor regarding the financial status of the Institute at regular intervals.
5. Accountant should assess accuracy, completeness, and conformance to reporting and procedural standards.
6. Accountant should provide all the necessary account statements and documents for various committees of the Institute.
7. Accountant should provide all necessary accounting documents and financial statements for yearly account audits.

STUDENT SECTION

Student section should

1. Ensure the eligibility of the students and prepare related documents to submit them to Registrar's office within the prescribed time limit.
2. Ensure the student document verification by Registrar's office within the time limit.
3. Ensure caste certificate/caste validity from the concerned divisional office.
4. Provide all necessary student data to prepare various committee reports.

MTS

1. MTS should report to the Institute half-an-hour before the Institute time.
MTS should maintain cleanliness of class and staffrooms.
2. MTS should do all the work assigned by the head of the department and other staff members.
3. MTS should not leave the office until and unless the higher authority permits.

Institutional Code of Ethics to Check Plagiarism and Malpractices

1. Guiding Principle of Institutional Codes of Ethics

The institutional code of ethics of NIEPA to check plagiarism and malpractices for students, staff and researchers has been formulated with the following guiding principles:

- (i) To **create awareness** about responsible conduct of research, thesis, dissertation, promotion of academic integrity and prevention of misconduct, including plagiarism in academic writing among students, faculty, researchers and staff.
- (ii) To establish **institutional mechanism** through education and training to facilitate responsible conduct of research, thesis, dissertation, promotion of academic integrity and deterrence from plagiarism.
- (iii) To **develop systems to detect plagiarism** and to set up mechanisms to prevent plagiarism and take punitive action against a student, faculty, researcher or staff of NIEPA committing the act of plagiarism.

2. Code of Ethics for Checking Plagiarism and Malpractices

NIEPA shall take up appropriate measures to establish mechanisms to promote academic integrity and prevent malpractices in academics and research endeavours. Towards this objective, the Institute shall conduct awareness programmes, sensitise its students, faculty, researchers and staff about issues related to plagiarism and their implications. The Institute shall procure the software **Turnitin or any other related software**, a plagiarism detector on permanent basis.

2.1 Awareness Programmes and Trainings

The following measures shall be taken to sensitise students, faculty and staff about plagiarism and malpractices and their consequences as well as building their capacity to deal with the issues of plagiarism and malpractices:

- (i) The students, faculty, researchers and staff shall be instructed about proper attribution, seeking permission of the author wherever necessary, acknowledgement of source compatible with the needs and specificities of disciplines and in accordance with rules, international conventions and regulations governing the source.
- (ii) The sensitisation/ awareness programmes shall be conducted on responsible conduct of research, thesis, dissertation, promotion of academic integrity and ethics in education for students, faculty, researchers and staff.
- (iii) NIEPA shall :

- a) Include elements of responsible conduct of research and publication ethics as a compulsory course work/module for M. Phil. and Ph.D. programmes.
- b) Include elements of responsible conduct of research and publication ethics in Orientation and Refresher Courses organised for its faculty and staff members.
- c) Train students, faculty, researchers and staff for using plagiarism detection tools and reference management tools.
- d) Establish facility equipped with modern technologies for detection of plagiarism which is usage of software **Turnitin /similar software**.
- e) Encourage students, faculty, researchers and staff to register on international researchers' registry systems.

3. Curbing Plagiarism

- 3.1 NIEPA shall declare and implement the technology-based mechanism using appropriate software, for example, **URKUND**, so as to ensure that documents such as theses, dissertations, publications or any other such documents are free of plagiarism at the time of their submission.
- 3.2 The mechanism, as defined at Clause 3.1 above, shall be made accessible to all engaged in research work, including students, faculty, researchers and staff.
- 3.3 Every student submitting a thesis, dissertation, or any other such documents to NIEPA shall submit an undertaking indicating that the document has been prepared by him/her and that the document is his/her original work and free of any plagiarism.
- 3.4 The undertaking shall also state that 'the document has been duly checked through a plagiarism detection tool approved by NIEPA'.
- 3.5 Each supervisor shall submit a certificate indicating that the work done by the researcher under him/her is plagiarism-free.
- 3.6 NIEPA shall submit to INFLIBNET the soft copies of all dissertations and theses within a month after the award of degrees for hosting in the digital repository under the "Shodh Ganga e-repository".
- 3.7 NIEPA shall create Institutional Repository on its website which shall include dissertations/theses/papers and other research documents.

4. Similarity Checks

The following shall be exempted from the similarity checks:

- i. All quoted work reproduced with all necessary permission and/or attribution.
- ii. All references, bibliography, table of content, preface and acknowledgements.
- iii. All generic terms, laws, standard symbols and standards equations.

It may be underlined that the research work carried out by a student, faculty, researcher and staff shall be based on original ideas, which shall include abstract, summary, hypothesis, observations, results, conclusions and recommendations only and shall not have any similarities. It shall exclude a common knowledge or coincidental terms, up to fourteen (14) consecutive words.

5. Levels of Plagiarism

Plagiarism shall be quantified into the following levels in ascending order of severity for the purpose of its definition:

- i. Level 0: Similarities up to 10% - Minor similarities; no penalty.
- ii. Level 1: Similarities above 10% to 40%
- iii. Level 2: Similarities above 40% to 60%
- iv. Level 3: Similarities above 60%

6. Detection/Reporting/Handling of Plagiarism

If any student, faculty and staff of NIEPA suspects, with appropriate proof, that a case of plagiarism has happened in any document, he/she shall report it to the concerned Committee/authority having the responsibility of checking plagiarism and malpractices at NIEPA. As recommended in the UGC Regulations 2018, Institutional Academic Integrity Panel (IAIP) of NIEPA shall be constituted that takes cognisance of such a complaint or allegation. The Committee shall investigate the matter and submit its recommendations to the IAIP.

The NIEPA authorities can also take *suo moto* notice of an act of plagiarism and initiate proceedings under these guidelines. Similarly, proceedings can also be initiated by the Institute based on the findings of an examiner. All such cases will be investigated by the IAIP.

7. Penalties

Penalties shall be applicable on students, researchers, faculty and staff only after academic misconduct on the part of the individual has been established without doubt, when all avenues of appeal have been exhausted, and the individual, in question, has been provided enough opportunity to defend himself or herself in a fair or transparent manner.

7.1 Penalties in case of Plagiarism in Submission of Theses and Dissertations

Institutional Academic Integrity Panel (IAIP) shall impose penalty considering the severity of the plagiarism, which shall be as under:

- i. Level 0: Similarities up to 10% - Minor similarities; no penalty.
- ii. Level 1: Similarities above 10% to 40% - Such student shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.

- iii. Level 2: Similarities above 40% to 60% - Such student shall be debarred from submitting a revised script for a period of one year.
- iv. Level 3: Similarities above 60% - Such student's registration for that programme shall be cancelled.

Penalty on repeated plagiarism: Such student shall be punished for the plagiarism of one level higher than the previous level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative.

Penalty in case where the degree/credit has already been obtained: If plagiarism is proved on a date later than the date of award of degree or credit, as the case may be, then his/her degree or credit shall be put in abeyance for a period recommended by the IAIP and approved by the Head of the Institution.

7.2 Penalties in case of plagiarism in academic and research publications

- I. Level 0: Similarities up to 10% - Minor similarities; no penalty.
- II. Level 1: Similarities above 10% to 40% - Shall be asked to withdraw manuscript.
- III. Level 2: Similarities above 40% to 60% -
 - i) Shall be asked to withdraw manuscript.
 - ii) Shall be denied a right to one annual increment.
 - iii) Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. student/scholar for a period of two years.
- Level 3: Similarities above 60% -
 - (i) Shall be asked to withdraw manuscript.
 - (ii) Shall be denied a right to two successive annual increments.
 - (iii) Shall not be allowed to be a supervisor to any new Master's, M.Phil., Ph.D. student/scholar for a period of three years.

Penalty on repeated plagiarism - Shall be asked to withdraw manuscript and shall be punished for the plagiarism of one level higher than the lower level committed by him/her. In case where plagiarism of the highest level is committed, the punishment for the same shall be operative. In case level 3 offence is repeated, the disciplinary action, including suspension/termination as per service rules shall be taken by NIEPA.

Penalty in case where the benefit or credit has already been obtained - If plagiarism is proved on a date later than the date of benefit or credit obtained, as the case may be, then his/her benefit or credit shall be put in abeyance for a period recommended by IAIP and approved by the Head of the Institution.

Note 3: NIEPA shall create a mechanism to ensure that each of the paper publication/thesis/dissertation by the student, faculty, researcher or staff of NIEPA is checked for plagiarism at the time of forwarding/submission.

If there is any complaint of plagiarism against the Institutional Head of NIEPA, a suitable action shall be taken by the Controlling Authority of NIEPA.

If there is any complaint of plagiarism against the Head of Department/Authorities at the institutional level, a suitable action shall be recommended by the IAIP and approved by the Competent Authority.

If there is any complaint of plagiarism against any member of IAIP, such member shall excuse himself/herself from the meeting(s) where his/her case is being discussed/investigated.

8. Guidelines for Plagiarism Check

The following guidelines shall be adhered to for submission of the plagiarism reports generated by **Turnitin software** at the time of submission of Ph.D. thesis and M. Phil dissertation:

8.1 M.Phil./Ph.D. thesis and dissertation must undergo a plagiarism check by **Turnitin software**.

8.2 The exclusion at the time of performing the check shall be limited to the following:

A. Quotes

B. Bibliography

C. Phrases

D. Small matches up to 10 words

E. Small similarity less than 1%

F. Mathematical formula

G. Names of the Institutions, Departments, etc.

8.3 Regarding self-plagiarism or cases where published work of the student is shown as plagiarism in the check, a certificate (Plagiarism Self-exclusion Certificate, attached) has to be issued by the Supervisor specifying and attaching the articles that have been published by the student from his/her thesis work. Only these articles should be excluded from the check. No other article of the Supervisor or the student shall be excluded from the check. This shall be for reference of the library for performing the final check.

8.4 The final Plagiarism check from the library and documentation centre is essential so that the correct report is submitted at the time of thesis submission.

8.5 The NIEPA library shall issue the final certificate of plagiarism check called the 'Plagiarism Verification Certificate', certifying and authenticating the check performed by the

student/Department. This certificate shall be submitted to the Examination Branch at the time of submission of the thesis.

- 8.6 Any publication of NIEPA shall be subject to the plagiarism check as outlined above.
- 8.7 NIEPA shall provide training and any other facilitation to the faculty and students for ensuring plagiarism-free publication.

Consultancy & Resource Generation Policy of NIEPA

1. Preamble

In order to motivate faculty to share their knowledge and expertise for the betterment of society, and to strengthen institutional networking, the Institute shall promote consultancy services, both national and international, in educational planning and administration as well as related areas. The consultancy services of NIEPA may cover research, technical support, programme/project evaluation studies, and other related activities in relevant areas with government and non-governmental organisations in India and abroad.

2. Scope of Consultancy Services

The consultancy services of NIEPA may cover a variety of activities and shall include activities such as sponsored research material preparation, in-service training programmes, the use of different aids (print material, audio-video aid, teleconferences), consultancies on staff development/human resource development, developing plans and strategies, IT, media and social awareness programmes, undertaking collaborative research, case studies, feasibility studies, programme/project/scheme evaluation studies, technology assessments, assessment of designs of educational administration, systematic changes, organisational designs, training of trainers, capacity building, turnkey projects of establishing institutions, policy planning, or any other activities related to NIEPA's mandate.

3. Activities not to be considered part of Consultancy

There are some activities which are undertaken by faculty such as chairing sessions in meetings, acting as an expert in meetings/lectures/presentations in seminars and conferences on behalf of the Institute or on their own behalf, shall not be considered part of this consultancy. The remuneration received on account of these activities shall not become part of consultancy.

Similarly, services, which may involve use of Institute's computational facilities/software/hardware and other technical, physical infrastructure for the benefit of students, researchers, scientists, faculty - outside or within NIEPA - for educational purposes and without profit motive, shall not be the part of the policy on consultancy services.

4. Eligibility to Undertake Consultancy

Full-time regular faculty, core researchers, if any, of Departments/Centres, etc., who are

employees of the Institute, shall take up the consultancy work individually or collectively.

5. The Standard Operating Procedure

The following standard operating procedures shall be adopted for delivering institutional and individual consultancy services of NIEPA:

- A Committee for Consultancy & Resource (C&R) shall be established at NIEPA.
- The Committee shall be the nodal agency for any consultancy activity in the Institute.
- The Committee shall also be the custodian of all documents for consultancy.
- Any faculty, department or centre may initiate the ground work and explore such possibilities. After the basic ground work, it would be reported to C&R Committee.
- The C&R Committee shall examine and put up the matter to the Vice-Chancellor, who may approve or seek approval, if need be, from the concerned statutory body..
- If a client approaches individual faculty member/ department for consultancy services, it may be put up for approval of the C&R Committee.
- Related payments shall be routed through the Registrar, NIEPA or through the concerned faculty to be managed by the Institute.
- The payment received for consultancy shall be deposited by the faculty in bank account as per terms of the agreement in a separate budget head entitled 'C&R' to be maintained at NIEPA.
- The concerned faculty will sign an undertaking with respect to the time spent on the activity.

6. Financial, Leave and Academic Performance Rules

The following norms relating to financial management leave and academic performance of the faculty engaged in delivering consultancy services shall be adopted:

- 6.1 The payment received by the concerned faculty for delivering consultancy services equivalent to up to his/her one month's salary in a financial year shall be exempted from resource sharing by the Institute.
- 6.2 The payment/remuneration received by the faculty from such consultancy exceeding his/her one month's salary shall be deposited with the Institute. This amount, after deducting cost incurred in the execution of the consultancy activity, shall be shared between the faculty and NIEPA in the ratio of 60:40, i.e. 60% of the net consultancy fee (i.e. net of all expenses incurred in delivering the service) shall be paid to the faculty/staff who worked for the consultancy service and 40% shall be retained by the Institute. The Institute shall plough back the resources generated through consultancy services in augmenting facilities to improve infrastructure, IT and other facilities at NIEPA.
- 6.3 The fees from consultancy services of an individual faculty shall not exceed more than his/her total salary for six months in one financial year.

6.4 The C&R Committee shall develop a format of undertaking to be submitted by the faculty engaged in consultancy services. The faculty shall not undertake consultancy at the cost of basic teaching and research functions expected of him by the Institute. However, academic leave and other types of leave due to the faculty can be availed to carry out consultancy assignments.

6.5 The faculty shall report the output of the consultancy assignment in the academic performance reports such as the performance appraisal report and annual reports of the Institute.

Policy for Professional Development of Teachers

1. Preamble

Faculty development is an essential pre-requisite of an organisation development. NIEPA shall promote personal, social, teaching and research skills of the faculty. It shall enable the faculty to use technology in teaching, training and research. It shall promote managerial skills of the faculty. Overall, it will promote an academic culture conducive for the professional development of faculty and the growth of an organisation.

2. Objectives

The major objectives of the faculty development programmes are:

1. To promote interpersonal skills, team building and leadership.
2. To develop capacity for course and curriculum design, instructional technology and course delivery.
3. To provide opportunities for research.
4. To promote academic culture to lead the organisation for 21st century

3. Guiding Principles

All the faculty members shall be provided opportunities for participation in international and national conferences, short- and long-term training programmes in the institutions/universities of international repute, diverse committees and decision-making process of the Institute, faculty development programmes of UGC and other professional development programmes, and sabbatical and other leaves for the promotion of professional development without any discrimination on grounds of caste, gender and religion.

4. Capacity Development Programmes

In view of the interdisciplinary nature of NIEPA faculty, the continuous capacity building programme shall be provided to all the faculty members in the area of educational planning and administration.

4.1 Induction through attachment with senior faculty shall be provided to the newly recruited faculty.

4.2 Faculty shall be imparted training on new methodologies like designing and transaction of online courses. Faculty may select courses/programmes from among the categories of Refresher Courses, Research Methodology Course, Syllabus Upgradation Workshop, Teaching-Learning-Evaluation Workshop, Learning Management Workshops in house or outside NIEPA.

4.3 Participation in the national and international seminar and conferences:

- i. International seminars and conferences: NIEPA shall extend support (financial and academic) to all faculty members if their paper/abstract is selected for presentation in an international conference(s). A faculty may avail of this support once in two years. However, to avail this, the faculty must submit their full paper to the Institute.
- ii. NIEPA shall extend support (financial and academic) to all faculty members if their paper/abstract is selected for presentation in a national conference/seminar. A faculty may avail it twice in an academic year. However, to avail this, the faculty must submit their full paper(s) to the institute.
- iii. The financial support needs to include, travel grant, boarding and lodging, daily allowances as per the entitlement of concerned faculty member and registration fees.

4.4 Faculty exchange and visiting faculty programmes:

- i. A faculty may be given up to 4 weeks of academic leave in a year to work as a visiting faculty/scholar in other national and/or international higher education institute.
- ii. NIEPA must facilitate academic collaboration, engagement of faculty members in faculty exchange and visiting faculty programmes for career advancement.

4.5 Dissemination of academic contribution/ publication/ research reports:

Provision to disseminate research results/work in progress/findings shall be facilitated by NIEPA at regional/national/international levels. The funding provisions for the same should be integral to the research proposal.

4.6 Development of courses, planning for a programme:

The development of courses, planning for a programme, the theme selection for conducting a programme and the course material and training material development for a training programme are some of the most important activities for a faculty member to learn and imbibe in NIEPA. Carrying out such an activity requires understanding of the field situations and also the need of the clientele for whom the programme is being designed/organised.

- i) The faculty members of NIEPA shall contribute in designing course material and training material for the programmes in accordance with their expertise.
- ii) The senior faculty shall also provide in-depth understanding and adequate inputs for carrying out such an activity effectively.
- iii) It is important for the development of the university that all the faculty members are associated with various committees, so that they also feel the responsibility of the university and work to achieve the objectives. There shall be equal distribution of tasks through different committees.
- iv) The committees shall be created with both senior and junior faculty members. It is important to initiate collaborative research programmes with desired expertise.

5. Teaching, Training and Research Guidance

- 5.1 Teaching and training are two important activities for NIEPA faculty. Faculty members shall be given opportunities to engage classes in all teaching and training programmes of NIEPA so as to earn API score for the professional development.
- 5.2 Senior faculty shall mentor junior faculty by allowing them the opportunity to teach through the joint course delivery.
- 5.3 Faculty members shall be given an opportunity to guide and evaluate M.Phil./ Ph.D. programme on the basis of their specialisation.

6. Research, Innovation and Publication

NIEPA is a research-oriented higher education institute. Hence, the faculty is expected to conduct/participate in research and innovation of various nature, scale and timelines.

- 6.1 Faculty shall be given an opportunity to conduct research in NIEPA after having duly completed the research proposal process and the sanction of the research proposal by the academic council.
- 6.2 Faculty shall be given an opportunity to collaborate/coordinate with any existing/new research of the department/Institute. They shall also be allowed to have collaborative research work within the department and/or with other departments or with other universities/institutions.
- 6.3 All faculty members may be encouraged to publish their research work and present it in seminars/conferences and other forums of academic nature for their professional growth.
- 6.4 All faculty members shall be given an opportunity to publish in NIEPA journal and occasional papers, policy briefs or any other NIEPA publication.

7. Linking Academic Performance Indicators (API) to Career Advancement

- 7.1 All academic programmes such as teaching/training/research/dissemination of research work/presentation in conferences and seminars, etc. shall be linked with the API scores for the career advancement of faculty(s).
- 7.2 If required, NIEPA specific API score may be devised/revised to reflect all the academic/administrative contributions of the faculty.

Research and Innovation Policy of NIEPA

1. Preamble

One of the major agenda of NIEPA is to undertake and promote research and innovation in areas related to policy, planning, administration, financing, and management of development programmes at all levels of education. Given the unique role of NIEPA as a national level resource organisation extending policy and technical support to the national and sub-national governments, the research at NIEPA assumes profound importance in generating new and innovative ideas and promoting strategic management of education in the country. With changing contours of public sector reforms and to improve efficiency and effectiveness of public expenditure, research at NIEPA is expected to feed into decision-making processes. It is, in this context, NIEPA gives renewed emphasis on its research and innovation function. Keeping in view the need for deepening research for promoting evidence-based management of education, and at the same time, considering the provisions in the UGC Regulations, 2018 "Minimum Qualifications of Teachers - "governing the research load and outputs of the faculty", NIEPA shall adopt the following policy for promoting research and innovation.

2. Nature and Scope of Research to be pursued at NIEPA

- 2.1 NIEPA shall engage in all sorts of research – i.e. inductive, deductive, action research, surveys, and assessment and evaluation studies.
- 2.2 Given its dual mandate as a university and an organisation that acts as a ‘think tank’ for the Central as well as the State Governments, NIEPA shall look for the ‘right mix of research studies’ to be implemented in a given medium-term plan period. However, too much of descriptive research (documentation of a given phenomenon) in the absence of correlation and explanatory research may not help much in improving policy planning and management practices, which shall be kept in view while reviewing research proposals for consideration for funding by NIEPA.
- 2.3 As a national level resource organisation, NIEPA shall adopt “what works clearing house approach (WWC)” for identifying the scope and priority areas of research in education. NIEPA shall pursue research (i.e. practice-oriented, action research, small scale exploratory studies, evaluation studies, etc.) not only to support practitioners, particularly at the sub-national levels but also use this as the best way to be in touch with states.
- 2.4 It is important to promote large-scale, multi-stage, longitudinal and collaborative research at NIEPA. It is more critical to promote small scale empirical research in order to promote individual identity and areas of specialisation of the faculty, and more importantly, to make research feasible. At the same time, inter-disciplinary perspective and approach to research design (mixed design) shall also be encouraged.

3. Promoting In-house and Sponsored Research

- 3.1 The medium-term research perspective of NIEPA, indicating thematic areas/topics of research, shall be developed in every planning cycle based on the research perspectives of individual departments.
- 3.2 A timeline for developing and processing research proposals keeping in view the faculty engagement in teaching, and capacity development programmes, etc. (i.e. to enable individual faculty to plan his/her time on task) shall be decided and disseminated to the faculty well in time.
- 3.3 NIEPA shall not exclude the possibility of submitting and processing research proposals at any point of time in a given financial year. However, it would be better to follow a front loading strategy in developing and submitting research proposals by the faculty, i.e. most research proposals shall be developed in the first quarter of the financial year. However, this policy shall not apply for NIEPA-sponsored research.
- 3.4 Relevant guidelines and generally accepted formats/templates for developing and submitting research proposals shall be developed by the Project Management Unit (PMU) following a consultative process. The same shall be applicable for promoting NIEPA-sponsored research.
- 3.5 The PMU shall be responsible for managing in-house as well as sponsored research at NIEPA right from the submission of the research proposal to review, approval, notification, implementation, monitoring progress and closure of the research project/study with submission of the final research report.
- 3.6 NIEPA shall develop commonly accepted criteria for evaluating in-house as well as NIEPA-sponsored research proposals, focusing on rationale, specification of research questions, research design, data and analysis plan, budget estimates and expected findings/deliverables. The faculty/external agencies seeking funding support from NIEPA shall be made aware of evaluation criteria for processing the research proposal, which shall help them firm up their research proposals right from the very development stage.
- 3.7 Project staff recruitment process shall be institutionalised where the concerned Department and the Project Investigator shall have a larger say in the selection process.
- 3.8 Copy rights/patents of innovative ideas and developmental research at NIEPA producing new educational planning and management techniques, tools and methodologies, etc. shall be ensured by NIEPA.

4. Development of Research Capacity

- 4.1 NIEPA shall develop rules and regulations guiding research at NIEPA, which shall contribute towards creating an enabling environment for promoting research. It is better to have these institutional arrangements in the form of by-laws, guidelines, monitoring frameworks, dissemination/ publication policies, etc. NIEPA shall not only help institutionalise research but also make management of research at NIEPA transparent, accountable and effective.
- 4.2 Capacity development activities for faculty, including skill-oriented research workshops on specific research methods, data processing skills, training in the use of software like SPSS, STATA, GIS, research design, quantitative modelling skills, etc. shall be a regular feature at NIEPA and find a place in its Calendar of Activities.
- 4.3 Besides, individual faculty members shall be encouraged to attend research-related capacity development programmes and courses organised by national and international organisations/universities. As far as possible, NIEPA shall sponsor their participation in such professional development programmes as per its rules.

5. Medium-term Priority Areas of Research at NIEPA

- 5.1 While research at NIEPA shall focus on educational planning and management- related areas, each Department shall go for identifying a manageable number of priority areas for research, including fundamental and large scale collaborative and longitudinal studies.
- 5.2 The experiences of Departments' engagements in their core areas of work and various education development programmes, together with the feedback received from the Departmental Advisory Committee Meetings, shall be considered in identifying the key areas of research. Each Department shall have its own research perspective. While doing so, individual faculty interests and specialisation shall be taken into consideration.
- 5.3 At the beginning of every medium-term planning cycle of NIEPA, research workshops considering the research perspectives of individual Department shall be undertaken to articulate NIEPA's research agenda.
- 5.4 In the current medium-term period (2020-25), NIEPA shall prioritise the following broad thematic areas for undertaking research and innovative interventions:
 - (i) ICT in Planning and Management of Education, including Teacher Management and Professional Development;
 - (ii) Managing Diversity in Education and Quality of Learning Outcomes;

- (iii) Educational Governance, including Managing for Results; and
- (iv) Equity and Inclusion in Education.

5.5 Given the broad thematic areas identified, each Department shall identify and prioritise 2-3 sub-themes for developing its medium-term research perspective. Once developed, the research plan of each Department shall be placed before the Departmental Advisory Committee for consideration and approval.

5.6 Sponsored research by the MHRD and other national and international organisations, if any, shall also be considered by each Department while developing its medium-term/annual plan for implementing its research programme.

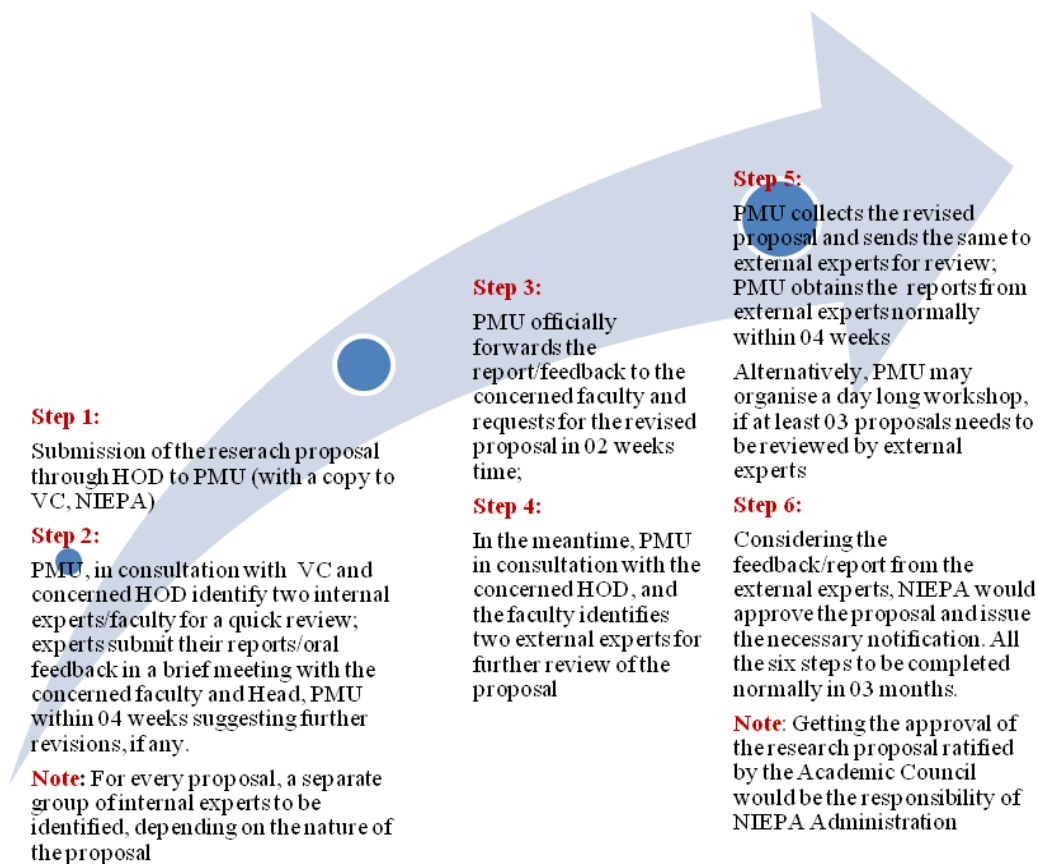
6. Institutional Arrangements for Streamlining Research Approval, Monitoring and Closure Procedures

6.1 The screening and approval procedures of research proposals, in-house as well as sponsored shall be streamlined by formulating appropriate norms, standards and procedures. It shall include the maximum timeline (in months) to be taken by NIEPA to process research proposals following a transparent method of evaluation of research proposals and allocation of research studies to individual faculty and external agencies.

6.2 Once an in-house full-fledged research proposal is submitted, normally three months shall be taken to process and sanction the proposal. This period would take care of the revisions to be carried out in the proposal on the basis of comments from internal and external experts and the administrative procedures to be followed to sanction a research proposal.

6.3 Similarly, NIEPA shall take around three months to process research proposals received from external agencies/individuals.

6.4 NIEPA while processing the research proposals, both in-house and sponsored, shall adopt the following procedures not only to reduce the time currently taken to approve a research proposal but also to ensure transparency in the allocation of research studies (*see Figure 1*). The PMU shall take full responsibility for processing in-house as well as NIEPA-sponsored research proposals.



- 6.5 About two weeks shall be given for revising the proposals on the basis of comments and suggestions received from the external experts or made in the research workshop. Further, around two weeks from the date of receiving the revised research proposal (on the basis of external experts' comments/comments in the workshop) shall be sufficient to sanction a research proposal.
- 6.6 NIEPA shall decide the starting and finish time of approved research studies and closely monitor the duration of implementation of these studies. The date of issue of notification, sanctioning the research study with budgetary provisions, shall be considered as the starting date of the research study subject to appointment of related project staff within a month from the date of notification.
- 6.7 The finish date of the study shall be the starting date plus the study duration. However, extension of the project duration can be sought with genuine reasons, including any delay in appointing the research staff.
- 6.8 Ordinarily, no extension shall be given to a sanctioned project. In other words, efforts shall be made to complete the project within the approved project duration. If it is absolutely unavoidable, any delay in the completion of the research study shall be officially informed, and approval from the competent authority, stating the compelling circumstances for extension of the project duration, will be sought.

- 6.9 A framework for monitoring progress in the implementation of research at NIEPA and reporting/feedback system for the same shall be developed. Individual Department shall make available quarterly progress report on research to the PMU, which, in turn, shall compile the same and report to the concerned authorities. The feedback on the monitoring report shall also be communicated to the individual Department by the PMU.
- 6.10 The project/research study shall be officially closed after its report is presented in a faculty meeting/research workshop/NIEPA Colloquium and the revised final report is submitted to VC, with a copy to Registrar and PMU.
- 6.11 The PMU shall ensure the closure of the research study by coordinating with the concerned faculty/Principal Investigator for sharing of the research findings in a faculty meeting/research workshop/NIEPA Colloquium, and reviewing the final research report on the basis of comments and suggestions received in the faculty meeting/research workshop/NIEPA Colloquium. A quality assurance mechanism for ensuring minimum standard in the research report shall be developed by the PMU following a participatory method.
- 6.12 The PMU shall provide necessary support in terms of making research staff available in time and organising research review and sharing workshops, capacity development workshops, etc. to facilitate research at NIEPA.
- 6.13 A Project Management Information System (PMIS) shall be put in place to build a database on research at NIEPA as well as to facilitate effective management of research studies.
- 6.14 The accounts of individual research study shall be kept separately. At the end of the research project/study, its accounts details shall form part of the PMIS.

7. Dissemination of NIEPA Research

- 7.1 All in-house as well as sponsored research shall result in some sort of publications/monographs. NIEPA shall take appropriate measures to facilitate dissemination of research, including publications, uploading of the final research report in NIEPA website, development of training materials on the basis of research studies, wherever appropriate.
- 7.2 As far as possible, outputs of a research study shall be diversified in the form of books/monographs, policy briefs, articles in journals and occasional papers.
- 7.3 Appropriate editorial and related services shall be made available to the faculty for finalising research reports/publications.
- 7.4 NIEPA shall organise national and international research seminars to share and disseminate research in specific thematic areas.
- 7.5 E-dissemination strategies, including uploading of research reports and publications at NIEPA website shall be developed.