SHRI VISHWAKARMA SKILL UNIVERSITY

POLICY FOR PROMOTION OF RESEARCH

(Under Section 7(a,r&x) of Svsu Act 2016)

POLICY FOR PROMOTION OF RESEARCH

Shri Vishwakarma Skill University (SVSU) is a State university established under Act 25 of 2016. The objective to establish the Skill University is to facilitate and promote skill, entrepreneurship development, skill based education and research in the emerging areas of manufacturing, information technology, textile, design, logistics and transportation, automation, agriculture, maintenance, etc. and to raise skill level in various fields related to these areas. This policy aims to promote research ecosystem and conducive environment for conducting quality research by the faculty members and students of the University. The policy applies to all the faculty members, research scholars and students of SVSU University, Palwal who are engaged in any form of research & innovation activity. All research activities will be undertaken in accordance with the university's regulatory and ethical considerations.

Objectives

1. To strengthen the institutional capacity for research and encourage researchers for industry connect, collaborations and research networking
2. To organize research promotion events like summits, conferences, seminars, workshops, expert lectures and panel discussion through talks with eminent personalities from reputed institutions and industries etc.
3. To identify the problems faced by the industry and find effective solutions for their improvisation in terms of productivity, improvising product design, development of new products, product quality, cost reduction, employee engagement through research projects and consultancy work, etc.
4. To motivate faculty members, research scholars, staff and students to apply for patent and also encourage to present research papers in national and international conferences/ workshops.
5. To encourage faculty members to make efforts in securing extramural research grants for research funding
6. To encourage faculty members for developing the research ecosystem by providing Seed Money Grant for conceptualizing the research ideas
7. To recognise and incentivise the best performers in research, consultancy and qualification development.
8. To take Initiatives for signing MoU's with reputed national/international institutions and industries for collaborative consultancy and research projects, etc.
9. To promote Intellectual Property Right (IPR) culture and protect IPRs arising out of the research conducted by the University fraternity

Custodian of the Policy

The implementation and updating of Research Policy shall be carried out by Research and Development cell. The University shall have a Research Advisory Board to advise and supervise research related matters of the university. The research output shall be assessed by internal and external audit committees. The external audit committee shall have external subject expert(s).

A. Undertaking Research

Faculty members of the University are expected to undertake quality research leading to publications in Journals of international repute and presentations in leading International/National conferences. Established open' scientometric indices such as publications in Journals indexed in Web of Science (SCI, SCIE, SSCI, AHCI, ESCI), UGC Care and Scopus databases, impact factor (by Clarivate™) of the Journal, citations of the publication, h-index, i-

index of the faculty shall be used to assess the quality of research in a uniform and transparent manner. It is the responsibility of the individual faculty member to maintain an updated account of research activities in an appropriate manner.

B. Recruitment and Promotion

Participation in research activity is mandatory for all faculty members and research output will be an important criterion for faculty recruitment and promotion along with other academic indicators. Norms for measuring the required quantum of research output will be as per UGC rules and/or as prescribed by the University from time to time. The quality of research output may be assessed on the transparent and established scientometric indices or as revised by the University from time to time

C. Research Administration

- A Research & Development Cell (RDC) to function under the Vice-Chancellor with a Research Advisory Council and five committees as mandated by UGC guidelines dated March 4, 2022 and June 8, 2022 (notified vide ACM-l/App.22 dated 27-07-2022). RDC is expected to play a lead role in catalysing research culture mandated in NEP 2020 while creating an enabling environment for attainment of targets of Atmanirbhar Bharat. Vibrant Research Ecosystem also aims to provide a meaningful trust for sustainable research and innovation besides promoting collaboration between University, Industries and Government.
- Research activity of each Faculty/Department/Institute is coordinated by the respective Dean/Chairperson/Director/Principal with designated authority/responsibility for Pls/Co-Pls.

D. Resources for Research Support

A separate Budget Head for research be created for the purpose of earmarking generation and allocation of resources for research with a potential to catalyse innovative and entrepreneurial success stories.

i) Intramural Funds- Innovation Fund, Research Fund/Seed Money

To strengthen research & innovation and promote entrepreneurial culture a corpus may be created for faculty members. Fund from the corpus amount will be sanctioned to the faculty members with at least one year of service with SVSU.

a) Innovation Fund:

An innovation fund of Rs. 500000 in each skill faculty is recommended to be created, which may be utilised by faculty/instructor. The amount will be provided with a block of 2 years or till it is utilized whichever is earlier. It is recommended that each skill faculty will get the budget approved for same under their respective budget head. The distribution, monitoring and accounts of the innovation fund will be taken care by the Dean of respective Skill Faculty of the University. The Fund may be utilised for:

- Prototype development and collaborative Projects/Research-Prototype development for Industry or collaborative projects/research or social immersion projects with students/different faculties/staff members leading to collaborative publications/prototype development/solution to industry based problems or society to the selected projects by the competent authority.
- To identify the problems faced by the industry and find effective solutions for their improvisation in terms of productivity, improvising product design, development of new products, product quality, cost reduction, employee engagement through research projects, and consultancy work, etc

- Intellectual property rights grant/ publication/social immersion projects.

Skill Faculties may combine their funds if required. In addition, the matching grant may also be looked for from the industry partner by respective researchers.

b) Research Fund/Seed Money:

To promote the overall research ecosystem and fund research problems of impacting nature, it is proposed to grant funds in the form of seed money to university teachers, researchers and skill instructors under the University Funded Research Program (UFRG). A flexi- Research Fund will be created which may be provided to Skill Faculties along with a flexi - provision that in case a Skill Faculty requires more money than the allotted budget then it may be provided from the other Skill Faculties unutilised fund on the approval by competent authority. The university proposes to incur a total expenditure of Rs. 50 Lakhs for the University Funded Research Program (UFRG) to be disbursed in the form of a limited number of research grants/seed grants to promote the research and innovation culture. There will be a provision of 10 percent increase in amount of UFRG after every three year depending upon the number of projects completed/ No. of publications/No. of prototype developed/ No. of patents followed by the number of projects submitted by Skill faculty to outside funding agency.

The seed money granted will be of maximum three lakh rupees with a block of 3 years or till it is utilized whichever is earlier. Such a fund may be utilised on

a) Conducting research
b) Conference participation with publication in quality indexed conference proceedings (Scopus/SCI/SCIE/SSCI/WoS/IEEE/AHCI/NASS/ABDC/UGC care List)
c) Intellectual Property Rights grant/ publication
d) Prototype development and collaborative projects -Prototype development for Industry solution to industry based problems.
e) Multidisciplinary Projects by faculty members'/skill instructors of different faculties solving Industry/societal problems

All regular faculty members/Instructors of the University are eligible to apply for University Research Grant. The regular faculty/Instructors member should have at least three years' service remaining before the date of superannuation. Faculty member/Instructor have an ongoing UFRG project can not apply; however, they can submit a new proposal one year after the completion of UFRG project.

The proposals for fund shall be submitted in prescribed Performa which shall be evaluated by an expert committee for recommendations for funding. Faculty/Instructors availing fund are required to publish their research work in at least one research paper in reputed international/national journals which are SCI/SCIE/SSCI/Scopus/AHCI/UGC Care list/NASS/Web of Science indexed for the Faculties of Science, Life Sciences, and Engineering & Technology; and SCI/SCIE / SSCI / AHCI / NASS/ Web of Science / UGC Care list journals for all other Faculties or patent award/publication or start-up commercialisation. The Faculty member shall submit final project report and utilisation certificate along with published research papers or the status of research papers on the completion of tenure of Seed Money Grant/Minor Research Project.

Application Process

- Interested faculty member shall submit the proposal in the prescribed format along with Bio-Data to the Research and Innovation (R&I) Cell.

• Proposals submitted must be original in ideation and content. Plagiarism in any form will not be acceptable as per University Academic Integrity and Misconduct Policy and liable to be rejected if found plagiarized.

Evaluation & Selection Criteria

• The Project Monitoring Committee (PMC) will be constituted for selection of fresh proposals and review of ongoing project

• The PMC shall comprise of following members:

- ✓ Dean (Research and Innovation), Chairman
- ✓ All Deans of the skill faculties, Member
- ✓ Two Professor's (one may be external) nominated by the Vice Chancellor
- ✓ Associate Dean/In charge (Research Cell), Member Secretary

• The PMC will meet twice a year (1st week of March and 1st week of Sept) to review ongoing projects and consider new proposals. The committee will shortlist the candidates to be called for presentation and finalize the proposals to be recommended for the UFRG for approval of Vice- Chancellor.

ii) Extramural funds

The faculty members are expected to submit Research Projects to appropriate funding agencies for extramural research grants, sponsored projects and fellowship programmes. They are' also expected to generate consultancy funds from the State / National / International funding bodies. Government or private (corporate and NGOs / trusts / individuals). Necessary documents to support the research proposals are made available through the accounts branch, Research and consultancy office and Registrar office (as the case maybe). The University shall monitor the progress of Major Research Projects and all other extramural funding as per guidelines of the specific funding agency and help in submitting the utilisation certificate in time as per the requirement of the funding agency in order to facilitate timely release of subsequent yearly grants.

E. Publications

Publication of research papers and filing of patents, designs, trademarks, copyright etc. is considered critical for effective research visibility of the University besides the main task of generation and dissemination of new knowledge. The University encourages these activities by the faculty with this broad targeted aim and the faculty/instructors/staff must publish continuously preferably in the SCI/SCIE/SSCI/NASS/AHCl/Scopus indexed journals or at least in the UGC approved journals.

F. IPR & Technology Transfer

IPR and technology transfer cases will be processed as per IPR policy of the university.

G. Research Incentive Schemes

The University need to motivate faculty/instructors/staff members to publish regularly, to innovate and to generate patentable work. Also to keep pace with the world and to improve the rankings, a progressive improvement in the quality of publications and scale of innovation is imperative. Providing Awards and Incentives is considered as a positive stimulation to improve research performance and accelerate research efforts. Following Awards and Incentives are therefore designed with this precise purpose.

a) Research Awards

Five Best Researcher Awards per Faculty of rupees 5100/- each award shall be presented annually to the regular faculty/instructors of SVSU based on the excellence achieved in a particular category.

BEST RESEARCHER AWARDS

1 Best Researcher: Publications

- Maximum number of published papers in SCI/SCIE/SSCI/AHCI/NASS/ABDC/UGC Care/ Scopus Indexed Journals in a calendar year. A granted patent would be considered equivalent to a publication.
- In Case of tie the researcher with total higher impact factor of the publications will be adjudged as the winner
- If the tie still persists, the researcher with the highest impact factor of a single publication will be adjudged as the winner
- If the tie still persists, the researcher having higher number of collaborative publications with international and National Universities/institutes other than SVS University, Palwal will be adjudged as the winner.
- It will be the responsibility of the applicant to submit hard copy of the documents, if asked for, substantiating the indexing of Journals in SCI/SCIE/SSCI/AHCI/NASS/ABDC/UGC Care/ Scopus Indexed as well as the impact factors

2. Best Researcher: Impact Factor

- Highest cumulative impact factor of the papers published in SCI/SCIE/SSCI/AHCI/NASS/ABDC/UGC Care/ Scopus Indexed journals in a calendar year.
- In Case of tie the researcher with total higher impact factor of an individual publications from the same calendar year will be adjudged as the winner
- If the tie still, persists, the researcher having higher number of collaborative publications with International and National Universities/institutes other than SVSU, will be adjudged as the winner.
- It will be responsibility of the applicant to submit documents substantiating the indexing of journals in SCI/SCIE/SSCI/AHCI/NASS/ABDC/UGC Care/ Scopus Indexed as well as the impact factors.
- As mentioned under definitions, journal impact factor as calculated by Clarivate Analytics will only be considered.

3. Best Researcher; h-index/i-index

- In the absence of a perpetual subscription to Scopus or Web of Science, h-index/i-index provided by the open platform, Google Scholar would be considered.
- The teachers applying for the award under this category must have their Google Scholar profiles in public domain and the link to their profiles need to be provided.
- The h-index of the applicant till the last date of submission of applications will be considered as submitted by the applicant.
- In case of a tie, the researcher with higher number of papers with citations equal to or more than the SVSU h-index/i-index for the year under consideration will be adjudged as the winner. The h-index/i-index of the University will be provided by the Director-IQAC for this purpose.
- It will be the responsibility of the applicant to ensure the inclusion of research publications belonging only to the applicant in the Google Scholar profile. Inclusion of any publications not organically belonging to the applicant would lead to disqualification for being considered for the award.

4. Best Researcher: Projects

- Highest value of research project(s) awarded by an external funding agency in a calendar year. At least one project with a sanctioned value above Rs. 3.0 lakh only would be considered for the Award, in case of multiple projects in a calendar year, the condition of minimum sanctioned value of Rs. 3.0 lakh will not apply to additional projects.
- In case of a tie, cumulative total amount of the research projects in entire career of the teacher funded by external agencies (other than SVSU) would be taken into account.
- In case of a research project having Principal Investigator as well as Co-Principal investigator(s), both the Investigator(s) of the project would be considered for this award and the money will be distributed equally. If there are more than two Invigilators, the award of 50% will be given to the principal invigilator and the 50% award money will be distributed equally to other invigilators.

5. Best Researcher: Collaboration.

Maximum number of research collaborations as evidenced by joint publications in SCI/SCIE/SSCI/AHCI/NASS/ABDC/UGC Care/ Scopus indexed journals or joint research projects.

Weightage criteria for collaborations with other Universities/Institutes would be as under:

Publications	**Points**
Joint with an International University/Institute	10
Joint with an industry or Indian University/Institute with NAAC Grade 'A++', or, IITs, IIMs etc	7
Joint with an Indian University/Institute with NAAC Grade 'A', or National Labs/Institutes such as CSIR Labs, NITs etc.	5
Joint with an Indian University with NAAC Grade below 'A' or no Grade	2
Joint with a Institute/college with NAAC Grade or no grade	1
Projects	**Points**
Joint with an International University/institute	10
Joint with industry	7
Joint with an Indian University/Institute with NAAC Grade 'A' or higher, or National Labs/Institutes such as CSIR Labs, IITs, NITs, IIMs etc.	5
Joint with an Indian University with NAAC Grade below 'A' or no Grade	2
Joint with a Institute/college with NAAC Grade or no grade	1

• Each collaborating University/Institute/College can be counted for weighted only once irrespective of the number of joint publications/projects.

• In case of a tie, the researcher with highest impact factor of a single publication will be adjudged as the winner

b) Lifetime Achievement Award

- Applications for this Award can be submitted up to April 30 of a calendar year by a teacher who is going to retire in between October 01 of the same calendar year and September 30 of the next calendar year.
- Chairperson/Director of the Department/Institute or Dean of the Skill Faculty or Dean Academic Affairs can also nominate a teacher who is retiring as per the timeframe mentioned above. Emeritus Professors of SVSU may also be considered for this Award by invitation only for the first time after the notification for this award.
- The applicant/nominator must submit a detailed CV-depicting the Journey of the teacher from the beginning of his/her career at SVSU mentioning his/her contributions towards the growth of SVSU as well as his/her professional achievements.

c) Membership Fee to join professional Societies/Bodies

- The provision of Membership Fee to join professional Societies/Bodies to the faculty members'/skill instructors of the university should be as per SVSU FDP policy.

H. Consultancy to the Government, Industry and other Organizations

Faculty/Instructors/Staff members are encouraged to gradually move towards monetizing the research/academic/technical capabilities by way of undertaking consultancy or providing technical services to Industry and other organizations utilizing the facilities available in the University. A separate policy for carrying consultancy work is included in University Consultancy Policy 2022. It is recommended that of reward Rs. 5100 will be given to each faculty/instructor/staff member for consultancy work done. It is recommended to make a budgetary provision of Rs. 1.0 Lakh/year in the R&D budget head for this reward.

- Highest value of consultancy awarded by an external funding agency in a calendar year. At least one project with a sanctioned value above Rs. 3.0 lakh only would be considered for the Award, in case of multiple projects in a calendar year, the condition of minimum sanctioned value of Rs. 3.0 lakh will not apply to additional projects.
- In case of a tie, cumulative total amount of the consultancy in entire career of the teacher funded by external agencies (other than SVSU) would be taken into account.
- In case of a consultancy having Principal Investigator as well as Co-Principal investigator(s), both the Investigator(s) of the consultancy would be considered for this award and the money will be distributed equally. If there are more than two Invigilators, the award of 50% will be given to the principal invigilator and the 50% award money will be distributed equally to other invigilators.

I. Qualification Development

Qualifications being important component in skill education, faculty/instructor/staff members are encouraged to develop the qualifications as per National Council for Vocational Education and Training guidelines. It is expected that the staff members of the university must develop the qualification's those are focused for future job roles. The University will incentivise such faculty members'/Instructors/Staff members for development such future oriented job role qualifications in emerging areas every year (areas/sectors in which fewer or no qualifications are available). It is recommended to keep a budgetary provision of Rs. 1,00,000 in the budget head of each skill faculty every year. The accounts, and expenditure of the qualification development fund will be taken care by the Dean of respective Skill Faculty/Department of the University.

- Award money of maximum Rs 20000/- will be given for each qualification developed in emerging areas/sectors for futuristic job roles, the qualifications considered should not be improvement/modification of existing qualification for existing job roles. The award shall be equally distributed among the faculty members, skill instructors involved in development of the qualification.
- In case of more than five such qualifications developed in futuristic skills in a Skill Faculty in a year, the award money can be distributed equally for all such qualifications by respective Dean of Skill Faculty keeping the total budgetary amount as Rs 1,00,000/-.

J. Supporting Policies, Guidelines and Regulations

It is expected that each member involved in research adheres to the highest ethical standards of conduct including data integrity and ethical guidelines in place from time to time. The University shall have supporting policy frameworks for promotion of research in conjunction with this policy such as Ph.D. Ordinance, policy on research ethics, guidelines for research on human subjects (as adopted from ICMR), guidelines for biosafety committee (as adopted from DBT) and

guidelines for animal ethics committee (as adopted from DST) and all applicable regulations and guidelines.

GUIDELINES FOR CARRYING OUT SPONSORED RESEARCH PROJECTS

1. Introduction

Shri Vishwakarma Skill University, Palwal considers the need to facilitate the research and development activities systematically to lay strong foundation and register growth in research by generation of resources, research collaborations and establishing links with industry as well as with social organizations. The University will handle the project management aspects related to accounts, purchases, recruitment, audits, liaisons with sponsors, and prepare the status reports, by the following rules and regulations.

2. Scope

The rules and regulations are applicable to all activities stated therein.

1. The proposals submitted by a Department/ Center/ Employee of the University or by the University as such.
2. Sponsored Research Projects involving external funding sources.
3. International Research Collaborations involving international funding sources or international collaborators
4. Industry/ Organization Sponsored Projects, involving funding from industry

3. Definitions

1. *Sponsored Research Project* means a time and cost bound project sponsored by government, public, private, national/international agencies or autonomous bodies.
2. *Sponsor* means the organization that offers a sponsored Project to the Shri Vishwakarma Skill University, Palwal and provides necessary financial support for successful completion of the project in time.
3. *Principal Investigator (PI)* means a member of the faculty/instructor/staff who submits the project proposal and negotiates with the sponsor and is instrumental in getting the project funding.
4. *Co-Investigator or Co-Principal Investigator* means a working/retired faculty/instructor/staff member co- opted by the PI to work jointly with him/her and approved by the funding agency. In the absence of PI (PI goes abroad for long time, PI gets retired, PI leaves the university) Co-PI, working in the university, will become in-charge of project as per norms of funding agency. In case Co-PI has also retired then another faculty member of the university from the same department will act as PI subject to recommendation of DEAN RESEARCH and approval of competent authority and funding agency.
5. The project staff includes research technical and office personnel.
6. Dean Research means Dean Research and Innovation of SVSU.

ИGSubmission of the Project Proposals

The PI will complete the project initiation form as per Annexure for submission of 'Research Project' to the various funding agencies and submit to Dean Research through the Dean of the concerned Skill Faculty and for non-teaching faculty the Head of the department shall ensure that it would be possible for the department to accommodate the work of the research project.

In case, the project is to be sponsored by a non-government agency, a statement on the terms and conditions of the project including the rights of patents and royalties must be spelled out clearly through a MoU/Agreement (to be vetted by Legal officer of the university) to be signed by the

Registrar, Dean Research of the university and PI and the competent authority of the funding agency.

5. Sanction of the Project

The sanction letter and details of the amount sanctioned under different Budget heads, duration of the project and other terms and conditions shall be communicated to the Account Branch for entering the grant in the grant register by the PI.

The date of the start of the Project will be taken as the date when the first instalment of the Grant is received. In case of any conflict, the guidelines of the funding agency shall supersede.

6. Operation of the projects

6.1 Procedure for purchase of equipment, consumables, up gradation, repairs, annual maintenance contracts (AMC), renovation and TA/DA expenses as per the University norms.

6.2 All purchases shall be executed by a Committee called the 'Project Purchase Committee (PPC)' for each project consisting of the Dean Research nominee, chairperson of the department, PI (convener), Co-PI (if any) and one/two members of the Teaching Faculty/Staff.

6.3 An imprest amount equivalent to 5% of the total contingency grant with a ceiling of Rs. 10,000/- will be provided to the PI for smooth running of the Project. The Finance Policy of University will be followed for purchase of any items in the project.

6.4 The University TA/DA rules/rules will normally be applicable to all sponsored research projects for field work and visits in Haryana or outside Haryana (in India or abroad). However, keeping in view the time-bound nature of the projects, the PI/Co-PI/research staff will be allowed to travel by taxi/own car/ by air irrespective of their entitlement on the approval of Vice Chancellor.

6.5 Imprest amount for the field work: For the payment required for field work connected with the sponsored research increase in imprest amount will be allowed by the DEAN RESEARCH upto Rs. 10000/- and beyond that by the Vice Chancellor.

6.6 The Secretarial assistance: To look after the processing of bills, preparation of accounts reports, utilization certificate and other project related secretarial work a person may be hired on the Govt. Approved rates by PI in consent with Dean Research.

6.7 The appointment of clearing agent: The clearing of the imported equipment and other items at the air-port is a very tedious and time consuming process. In order to save time and energy of the PI, the University shall appoint a clearing agent. The charges of the agent for each case shall be met out of the corresponding project budget head. Further, the University will provide a suitable vehicle if needed to bring the imported items from the airport.

6.8 Annual statement of expenditure and utilization certificate: The PI shall prepare the statement of expenditure and utilization certificate of every project by 30th March of the relevant year and send the same to the Dean Research /Accounts Branch for confirmation or reconciliation for onward transmission to the funding agency, or vice-versa.

6.9 All expenditures will be as per university Accounting policy.

7. Management of Overhead Charges

The funds under this head can be utilized by the PI during the Project period on items of expenditure as per prescribed procedures of the University.

Infrastructure:

Expenses related to

- ✓ Laboratory maintenance & renovation
- ✓ Purchase/ repair of furniture, air conditioners, Personal Computers, Laptops and Printers

7.2 Repair and up-gradation of scientific equipment and purchase of minor accessories of equipment.

7.3 Advertisements in the newspapers of vacant positions in the project as well as other public notices.

7.4 Hiring of manpower including secretarial assistance (typing /computer operation/accounting /bills etc.) shall be subjected to approval by the Dean Research as appropriate at university/State Govt. approved rates. Assistance of student of Ph.D., Masters, Bachelors course not getting any financial support can be provided at the rate of Rs. 125, Rs.100, Rs.75/- hour with a maximum limit of 30 hours per week after getting approval of the Dean Research.

7.5 Expenses to meet local, domestic or international travels, hotel expenses, DA registration fee for participation of PI, Co-PI and project staff in conference/symposia and for visit to other laboratories (in India and abroad) for discussion or for collaborative research work subject to prior approval of the PI (upto Rs. 5000/-), Dean Research (upto Rs. 10,000/-) and Vice-Chancellor for the expenses above Rs. 10,000/-. Expense to meet filing of Indian patent will be as per University/ State Govt. rules. The expense of the membership fee of various professionals/academic societies can also be met out of PIs share.

7.6 Provision of communication facilities including installation and the periodical bills payment of mobile of the PI/ Co-PI, dongle Wi-Fi charges, charges for ISD call made from actual telephone or public call office and E-mail charge if any for project work may be paid from this head on actual basis.

7.7 Annual maintenance contract (AMC) fee/charges for the equipments, computers/printers, air conditioner etc. The allotment of AMC of the technical instruments upto Rs. 10,000/- shall be executed by the PI after the approval of Dean Research. Beyond Rs. 10,000/- the AMC will be awarded by the PI after the approval of Vice-Chancellor.

8. Appointments

For appointments under the project, the PI will send the draft advertisement to the DEAN RESEARCH for approval through establishment branch, who will return it to the PI for notification/advertisement after giving approval. Application should be invited after giving wide publicity/as per the funding agency rules regarding the vacancies. The terms and conditions of the appointments can be decided by a committee duly constituted by the Vice-Chancellor on the recommendation of Dean Research, if required.

9. Maintenance of Stock Registers

Each project should have separate stock register for consumable and non- consumable items to be maintained by PI or his/her office. The non-consumable items/equipment's shall be transferred to the regular stock register of the department/university after completion of the project unless otherwise stated by the funding agency.

10. Interim Progress and Accounts Reports of the Project

The PI shall prepare the progress report along with the statement of accounts which will be submitted to the Accounts Branch through Dean of concerned Skill Faculty and Dean Research. These statements will be used by the Accounts Branch for preparing the utilization certificates (UC) to be submitted to the funding agency. It will be the responsibility of PI to submit and maintain the accounts correctly.

11. Final Technical and Financial Report of the Project

11.1 The final technical report shall be prepared by the PI in accordance with the requirements of the funding agency and submitted to the Dean Research for approval. However, the submission of the technical report to the funding agency will be the responsibility of the PI.

11.2 The final financial report including UC shall be prepared by the Accounts Branch in consultation with PI as per the requirements of the funding agency and submitted to the Registrar for approval. The submission of the required financial reports, approved by the Registrar, to the concerned agencies will be the responsibility of the PI.

12. Filing of Patents

In case of the PI creates/invents a novel product having commercial significance or develops a technique which may have industrial application, Dean Research will send recommendation to initiate the process for filing a patent through a negotiated settlement involving the PI, the funding agency and the University. All costs related to filing as well as maintenance of patent (Indian, International or any other patent) will be paid by the University.

Annexure/ Form – 1

FORMAT FOR FORWARDING RESEARCH PROJECTS PROPOSALS

(Enclose two copies of project proposal with this form)

1. Name of the Investigator :
2. Designation :
3. Date of Birth/Retirement :
4. Department/Centre :
5. Name of the Co-Investigator (if any) :
6. Designation :
7. Date of Birth :
8. Department/Centre :
9. Title of the Project :
10. Duration of the Project from To
11. Funding Agency :
12. Total Funds requested including salaries without overhead charges :

13. Whether the account of the earlier
    Completed projects finally closed :
14. If not, the reasons for the same :
15. Information to be provided by the Principal Investigator
    i) Total number of ongoing Projects:
    ii) Total number of Projects completed in the last 10 years:
    iii) The following information for each project should be given on separate sheet:

Title of the project:
Funding Agency:
Total Grant of the project:
Date of Commencement,
Date of completion.

I understand that (i) University will not provide any funds for the project work, equipment, salaries or contingencies, (ii) Any electrical wiring, water pipes and drains, etc. within the laboratory, renovation and air conditioning has to be met out of the budget, (iii) Any extra space for the project has to be settled within the Department, University may not provide any additional space.

The investigators will follow the norms for the operation of the project framed from time to time by the DEAN RESEARCH.

Signature of the Investigator: Date:

Signature of the Co-Investigator (if any): Date:

Dean of Skill Faculty

Signature Date:
:Seal

Notes:

a) Two copies of the project proposal, one for the signature of the competent university authority and one for the records will be sent to the office of DEAN RESEARCH. The investigator should get the signed copy collected within 5-7 days of submission, required copies with forwarding letters to the funding agency, directly or through the office of concerned Dean of Skill Faculty.
b) Co –Investigator who is not retiring before the date of the completion of the project is essential if the investigator is retiring before the date of completion of the project.
c) A copy of the norms for operation of the project will be sent along with the acknowledgement of the first instalment of the money to the DEAN RESEARCH.

Annexure– II

Formats For Submission Of Research Proposal for seed money

(To be filled by applicant)

1. Project Title
2. Broad Subject:
3. Sub Area:
4. Duration in months:
5. Project summary (maximum 150 words)
6. Key words (maximum 6)
7. Technical details
8. Introduction
9. Review of status of Research and Development in the subject
10. Importance of the proposed project in the context of current status
11. Methodology
12. Details about Principal Investigator

Name			
Exact designation			
Appointment Type			
Department			
Qualifications			
Experience in years			
Students guided			
Publications			
Relevant experience			
Other information			
Cell number			
Email			
Signature			

13. Details about Co-Investigator

Name			
Exact designation			
Appointment Type			
Department			
Qualifications			
Experience in years			
Students guided			
Publications			
Relevant experience			
Other information			
Cell number			
Email			
Signature			

14. Facilities/equipment available in the area of research proposed in the Department

Name of equipment	Make and model	Cost in Rs.	Year purchased

15. Budget Estimates – Non Recurring

Proposed equipment/s	Specifications	No ofunits	Cost in Rs.	Justification
Total(INR)				

Budget Estimates –Recurring		
	Estimate for Year 1	Estimate for Year 2
AMC/Service charges	Nil (warranty period)	
Consumables & Contingencies		

By signing this certificate, I/We undertake to

i. Abide by all the rules / regulations regarding utilization of amount that may be granted by the Institute.

ii. Submit timely progress reports about grant utilization.

iii. Submit utilization certificate duly authenticated by CA on/before project period is over.

iv. Return full/partial unutilized grant amount to the institute.

Signature of the Applicant

Date Signature of Dean of the Skill Faculty

Scrutiny report format for the project

Title of the project:
Department:
Name of Principal Investigator:
Area of Project:
Date of Scrutiny:

Reasons of selections/rejection:

- ✓ a viable and researchable problem
- ✓ an acceptable plan of action for undertaking the research
- ✓ done sufficient preparation to establish the rationale for the research
- ✓ a feasible chance of completing the research
- ✓ originality
- ✓ creative thinking
- ✓ Budget and cost: Cost effectiveness/ cost Any other comment:

Research Proposal Scoring

Evaluation comments	**Score**
All relevant aspects of the criterion are successfully addressed.	5
The criterion is well addressed, although certain improvements arepossible.	4
The criterion is broadly addressed, yet significant weaknesses need to becorrected.	3
There are serious weaknesses in relation to the criterion	2
The criterion is addressed in an unsatisfactory manner.	1

Project: Selected/ Rejected

Signature of the expert
Name of the expert
Designation

Report format of the work done on the Research Project.
(Report to be submitted after every 6 months)

1. Project report No. 1st /2nd/3rd/4th:
2. Period of report: from to
3. Title of research project:
4. (a) Name of the Principal Investigator
   (b) Deptt.
5. Effective date of starting of the project
6. Grant approved and expenditure incurred during the period of the report:

a. Total amount approved Rs.
b. Total expenditure Rs.
c. Report of the work done: (Please attach a separate sheet)
i. Brief objective of the project
ii. Work done so far and results achieved and publications, if any, resulting from the work (Give details of the papers and names of the journals in which it has been published or accepted for publication.
iii. Has the progress been according to original plan of work and towards achieving the objective? If not, state reasons
iv. Please indicate the difficulties, if any, experienced in implementing the project
v. If project has not been completed, please indicate the approximate time by which it is likely to be completed.
vi. If the project has been completed, please enclose a bound copy of the final report of work done.
vii. Any other information which would help in evaluation of work done on the project.

At the completion of the project, the first report should indicate the output, such as
(a) Manpower trained
(b) Ph. D. awarded
(c) Publication of results
(d) other impact, if any

Signature of
Principal investigator

Signature of
Co-investigator

Dean (Skill Faculty)

Dean (Research)

UNIVERSITY GRANTS COMMISSION
NOTIFICATION
UNIVERSITY GRANTS COMMISSION (PROMOTION OF ACADEMIC INTEGRITY AND PREVENTION OF PLAGIARISM IN HIGHER EDUCATIONAL INSTITUTIONS) REGULATIONS, 2018

New Delhi, the 23rd July, 2018 F. 1-18/2010(CPP-II).—

Preamble

Whereas, University Grants Commission (UGC), as per UGC Act, 1956, is mandated to coordinate and determine the standards of higher education;

And whereas, assessment of academic and research work done leading to the partial fulfillment for the award of degrees at Masters and Research level, by a student or a faculty or a researcher or a staff, in the form of thesis, dissertation and publication of research papers, chapters in books, full-fledged books and any other similar work, reflects the extent to which elements of academic integrity and originality are observed in various relevant processes adopted by Higher Educational Institutions (HEIs);

Therefore, in exercise of the powers conferred by clause (j) of Section 12 read with clauses (f) and (g) of subsection (1) of Section 26 of the University Grants Commission Act, 1956, the University Grants Commission hereby makes the following regulations: -

1. Short title, application and commencement –

a. These regulations shall be called the University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018.

b. They shall apply to the students, faculty, researchers and staff of all Higher Educational Institutions in the country.

c. These regulations shall come into force from the date of their notification in the Official Gazette.

2. Definitions - In these regulations, unless the context otherwise requires—

a. "Academic Integrity" is the intellectual honesty in proposing, performing and reporting any activity, which leads to the creation of intellectual property;

b. "Author" includes a student or a faculty or a researcher or staff of Higher Educational Institution (HEI) who claims to be the creator of the work under consideration;

c. "Commission" means the University Grants Commission as defined in the University Grants Commission Act, 1956;

d. "Common Knowledge" means a well-known fact, quote, figure or information that is known to most of the people;

e. "Degree" means any such degree specified by the University Grants Commission, by notification in the Official Gazette, under section 22 of the University Grants Commission Act, 1956;

f. "Departmental Academic Integrity Panel" shall mean the body constituted at the departmental level to investigate allegations of plagiarism;

g. "Faculty" refers to a person who is teaching and/or guiding students enrolled in an HEI in any capacity whatsoever i.e. regular, ad-hoc, guest, temporary, visiting etc;

h. “Higher Educational Institution (HEI)” means a university recognized under section 2(f) of the UGC Act, 1956 or an institution deemed to be university under section 3 of the UGC Act, 1956 or an affiliating college / institution or a constituent unit of a university;

i. "Information" includes data, message, text, images, sound, voice, codes, computer programs, software and databases or microfilm or computer generated microfiche;

j. “Institutional Academic Integrity Panel” shall mean the body constituted at Institutional level to consider recommendations of the departmental academic integrity panel and take appropriate decisions in respect of allegations of plagiarism and decide on penalties to be imposed. In exceptional cases, it shall investigate allegations of plagiarism at the institutional level;

k. “Notification” means a notification published in the Official Gazette and the expression “notify” with its cognate meanings and grammatical variation shall be construed accordingly;

l. “Plagiarism” means the practice of taking someone else’s work or idea and passing them as one’s own.

m. “Programme” means a programme of study leading to the award of a masters and research level degree;

n. “Researcher” refers to a person conducting academic / scientific research in HEIs;

o. “Script” includes research paper, thesis, dissertation, chapters in books, full-fledged books and any other similar work, submitted for assessment / opinion leading to the award of master and research level degrees or publication in print or electronic media by students or faculty or researcher or staff of an HEI; however, this shall exclude assignments / term papers / project reports / course work / essays and answer scripts etc.;

p. “Source” means the published primary and secondary material from any source whatsoever and includes written information and opinions gained directly from other people, including eminent scholars, public figures and practitioners in any form whatsoever as also data and information in the electronic form be it audio, video, image or text; Information being given the same meaning as defined under Section 2 (1) (v) of the Information Technology Act, 2000 and reproduced here in Regulation 2 (l);

q. “Staff” refers to all non-teaching staff working in HEIs in any capacity whatsoever i.e. regular, temporary, contractual, outsourced etc.;

r. “Student” means a person duly admitted and pursuing a programme of study including a research programme in any mode of study (full time or part-time or distance mode);

s. “University” means a university established or incorporated by or under a Central Act, a Provincial Act or a State Act, and includes an institution deemed to be university under section 3 of the UGC Act, 1956;

t. “Year” means the academic session in which a proven offence has been committed. Words and expressions used and not defined in these regulations but defined in the University Grants Commission Act, 1956 shall have the meanings respectively assigned to them in UGC Act, 1956.

3. Objectives

3.1 To create awareness about responsible conduct of research, thesis, dissertation, promotion of academic integrity and prevention of misconduct including plagiarism in academic writing among student, faculty, researcher and staff.

3.2 To establish institutional mechanism through education and training to facilitate responsible conduct of research, thesis, dissertation, promotion of academic integrity and deterrence from plagiarism.

3.3. To develop systems to detect plagiarism and to set up mechanisms to prevent plagiarism and punish a student, faculty, researcher or staff of HEI committing the act of plagiarism.

4. Duties of HEI:

Every HEI should establish the mechanism as prescribed in these regulations, to enhance awareness about responsible conduct of research and academic activities, to promote academic integrity and to prevent plagiarism.

5. Awareness Programs and Trainings:

(a) HEI shall instruct students, faculty, researcher and staff 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.

(b) HEI shall conduct sensitization seminars/ awareness programs every semester on responsible conduct of research, thesis, dissertation, promotion of academic integrity and ethics in education for students, faculty, researcher and staff.

(c) HEI shall:

i. Include the cardinal principles of academic integrity in the curricular of Undergraduate (UG)/Postgraduate (PG)/Master's degree etc. as a compulsory course work/module.

ii. Include elements of responsible conduct of research and publication ethics as a compulsory course work/module for Masters and Research Scholars.

iii. Include elements of responsible conduct of research and publication ethics in Orientation and Refresher Courses organized for faculty and staff members of the HEI.

iv. Train student, faculty, researcher and staff for using plagiarism detection tools and reference management tools.

v. Establish facility equipped with modern technologies for detection of plagiarism.

vi. Encourage student, faculty, researcher and staff to register on international researcher's Registry systems.

6. Curbing Plagiarism

a) HEI shall declare and implement the technology based mechanism using appropriate software so as to ensure that documents such as thesis, dissertation, publications or any other such documents are free of plagiarism at the time of their submission.

b) The mechanism as defined at (a) above shall be made accessible to all engaged in research work including student, faculty, researcher and staff etc.

c) Every student submitting a thesis, dissertation, or any other such documents to the HEI shall submit an undertaking indicating that the document has been prepared by him or her and that the document is his/her original work and free of any plagiarism.

d) The undertaking shall include the fact that the document has been duly checked through a Plagiarism detection tool approved by the HEI.

e) HEI shall develop a policy on plagiarism and get it approved by its relevant statutory bodies/authorities. The approved policy shall be placed on the homepage of the HEI website.

f) Each supervisor shall submit a certificate indicating that the work done by the researcher under him /her is plagiarism free.

g) HEI shall submit to INFLIBNET soft copies of all Masters, Research program's dissertations and thesis within a month after the award of degrees for hosting in the digital repository under the "ShodhGanga e-repository".

h) HEI shall create Institutional Repository on institute website which shall include dissertation / thesis /paper / publication and other in-house publications.

7. Similarity checks for exclusion from Plagiarism.

The similarity checks for plagiarism shall exclude the following:
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.
Note:
The research work carried out by the 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.

8. Levels of Plagiarism

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

i. Level 0: Similarities upto 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%

9. Detection/Reporting/Handling of Plagiarism

If any member of the academic community suspects with appropriate proof that a case of plagiarism has happened in any document, he or she shall report it to the Departmental Academic Integrity Panel (DAIP). Upon receipt of such a complaint or allegation the DAIP shall investigate the matter and submit its recommendations to the Institutional Academic Integrity Panel (IAIP) of the HEI. The authorities of HEI can also take suomotu notice of an act of plagiarism and initiate proceedings under these regulations. Similarly, proceedings can also be initiated by the HEI on the basis of findings of an examiner. All such cases will be investigated by the IAIP.

10. Departmental Academic Integrity Panel (DAIP)

i. All Departments in HEI shall notify a DAIP whose composition shall be as given below:
a. Chairman - Head of the Department
b. Member - senior academician from outside the department, to be nominated by the head of HEI.

c. Member - A person well versed with anti-plagiarism tools, to be nominated by the Head of the Department.

The tenure of the members in respect of points 'b' and 'c' shall be two years. The quorum for the meetings shall be 2 out of 3 members (including Chairman).

ii. The DAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff.

iii. The DAIP shall have the power to assess the level of plagiarism and recommend penalty(ies) accordingly.

iv. The DAIP after investigation shall submit its report with the recommendation on penalties to be imposed to the IAIP within a period of 45 days from the date of receipt of complaint / initiation of the proceedings.

11. Institutional Academic Integrity Panel (IAIP)

i. HEI shall notify an IAIP whose composition shall be as given below:
a. Chairman - Pro-VC/Dean/Senior Academician of the HEI.
b. Member - Senior Academician other than Chairman, to be nominated by the Head of HEI.
c. Member - One member nominated by the Head of HEI from outside the HEI
d. Member - A person well versed with anti-plagiarism tools, to be nominated by the Head of the HEI.

The Chairman of DAIP and IAIP shall not be the same. The tenure of the Committee members including Chairman shall be three years. The quorum for the meetings shall be 3 out of 4 members (including Chairman).

ii. The IAIP shall consider the recommendations of DAIP.
iii. The IAIP shall also investigate cases of plagiarism as per the provisions mentioned in these regulations.
iv. The IAIP shall follow the principles of natural justice while deciding about the allegation of plagiarism against the student, faculty, researcher and staff of HEI.
v. The IAIP shall have the power to review the recommendations of DAIP including penalties with due justification.
vi. The IAIP shall send the report after investigation and the recommendation on penalties to be imposed to the Head of the HEI within a period of 45 days from the date of receipt of recommendation of DAIP/ complaint / initiation of the proceedings.
vii. The IAIP shall provide a copy of the report to the person(s) against whom inquiry report is submitted.

12. Penalties

Penalties in the cases of plagiarism shall be imposed on students pursuing studies at the level of Masters and Research programs and on researcher, faculty & staff of the HEI only after academic misconduct on the part of the individual has been established without doubt, when all avenues of appeal have been exhausted and individual in question has been provided enough opportunity to defend himself or herself in a fair or transparent manner.

12.1 Penalties in case of plagiarism in submission of thesis and dissertations

Institutional Academic Integrity Panel (IAIP) shall impose penalty considering the severity of the Plagiarism.

i. Level 0: Similarities upto 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 registration for that programme shall be cancelled.

Note 1: 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.

Note 2: 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.

12.2 **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%
i) 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.
iv) 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.
Note 1: 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 highest level is committed then the punishment for the same shall be operative. In case level 3 offence is repeated then the disciplinary action including suspension/termination as per service rules shall be taken by the HEI.

Note 2: 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: HEIs shall create a mechanism so as to ensure that each of the paper publication/thesis/dissertation by the student, faculty, researcher or staff of the HEI is checked for plagiarism at the time of forwarding/submission.

Note 4: If there is any complaint of plagiarism against the Head of an HEI, a suitable action, in line with these regulations, shall be taken by the Controlling Authority of the HEI.

Note 5: If there is any complaint of plagiarism against the Head of Department/Authorities at the institutional level, a suitable action, in line with these regulations, shall be recommended by the IAIP and approved by the Competent Authority.

Note 6: If there is any complaint of plagiarism against any member of DAIP or IAIP, then such member shall excuse himself / herself from the meeting(s) where his/her case is being discussed/investigated.

13. Removal of Difficulty

UGC reserves the right to remove difficulty/difficulties in the course of implementations of these Regulations in consultation with the Government of India/ Ministry of Human Resource Development.