	<b>PROCEDURES MANUAL</b>	<b>ISSUE NO.: 01</b>	<b>REV. NO.: 001</b>	<b>PAGE NO.: 1/9</b>
	<b>SECTION NO.21 PROCEDURE NO.COP/QP/17</b>	<b>PROCEDURE DESCRIPTION: - INCENTIVES AND AWARDS FOR RESEARCH AND PUBLICATION</b>		

## 1.0 PREAMBLE

The purpose of this document is to present a policy framework taking into consideration of various constituent units of Shivalik Group of Colleges (SGOC), in the diverse field of research and development.

## 2.0 AIMS OF THE POLICY:

- Provide a guideline for the conductance and publication of research work
- Define and prioritize the areas for research to be conducted in Shivalik
- Provide essential infrastructure support for research work
- Establish rational, transparent, merit based decision-making system for the allocation of financial, Rewards, Awards and Incentives and other support for research.
- Promote the quality research and motivate the faculty members

## 3.0 CUSTODIAN OF POLICY

All research related activities and policy of Shivalik Group of Colleges (SGOC) are governed through the Office of Dean Research Promotion and Monitoring (DRPM). Office of DRPM functions under the BOM Representative.

## 4.0 PROMOTION OF RESEARCH

The Institute believes that researchers are free to choose the subject of their research, to seek support from any funding source for their research work, and to report their findings and conclusions. However, research shall be available for scrutiny to the Institute and constructive criticism of peers. Research techniques used by the researchers shall not violate established professional ethics, pertaining to the health, safety, privacy, and other personal rights of human beings or to the infliction of injury or pain on animals. The Institute shall create conducive environment for research. Due to limited resources, the Institute may not support fully all research likely to be undertaken, but it shall allocate the space, facilities and other resources for research programs based on the scholarly and educational merits of the proposed research. It shall also provide development opportunities to researchers for writing research proposals and reports, publications, patent filing etc

## 5.0 IDEA LAB

Students have many ideas on which they want to work, but in the absence of the infrastructure, including the place and space, they are unable to work on them. Therefore, the Institute would encourage establishing a centralize Idea Lab, where the students can research on an idea. The Idea Lab also provides the opportunity to the students to ask questions in different areas of knowledge. It shall equip them with an ability to think, concretize the idea, design study, work on it and report the findings. It shall also encourage research scholars to publish and patent their research work.

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## 6.0 VC's FUND FOR MINOR RESEARCH PROJECTS

From the very beginning, the Institute encouraged young faculty (up to the age of 40 / Assistant Professor) and students to conduct research. Thus, it has developed a scheme for providing financial assistance to Minor Research Project. According to this scheme, a faculty member prepares Minor Research Project, which is submitted to a committee at Department/Institute level and on the recommendations of this committee the Institute gives financial assistance up to Rs. 1.00 Lakh to the faculty concerned. A committee constituting of minimum 4 members including one member outside the institution and headed by head of institution/ BOM Representative will be constituted for the scrutiny of the proposals received under this scheme. To have the periodical assessment for all such research projects and with an aim to guide the researcher, the departmental or institutions level committee is constituted. It is also mandatory to send a quarterly progress report of such Minor Research Project to the Dean RP&M. For this purpose, every year the Institute earmarks financial budget under this scheme. The Minor Research Project Scheme helps young faculty think about research, prepare the proposal, conduct research and write a research report. It also assists them in preparing proposals for major research projects.

## 7.0 MAJOR RESEARCH PROJECTS

The Institute has identified a list of more than 150 funding agencies (**Annexure 1**). Faculty can submit Major Research Project proposals to these agencies. These proposals are scrutinized before submitting the same to a funding agency. The Institute provides all kinds of infrastructure facilities available for conducting a Major Research Project. The Institute plans to evolve a mechanism through which it shall monitor the progress of Major Research Projects funded by an external agency, maintain its accounts and submit the utilization certificate in time to the funding agency as per the requirement of the funding agency.

## 8.0 INITIATIVES FOR PROMOTION OF RESEARCH IN COLLEGE OF PHARMACY (COP), SHIVALIK CAMPUS, DEHRADUN

In order to meet and fulfill research objectives, College of Pharmacy (COP) has following initiatives, and that are being implemented.



### 8.1 RESEARCH EMPHASIS ON RECRUITMENT OF FACULTY:

COP has a well-defined faculty recruitments of faculty at levels; wherein teaching experience, emphasis is also therein terms of paper published, research students' guidance, and sponsored research projects.

### 8.2 FINANCIAL SUPPORTS FOR ATTENDING CONFERENCES/ WORKSHOP/ STTP:

Financial support to all faculties is provided to attend National/International conferences from Institute funds. The institute shall encourage participation of its faculty in National / International conferences and provide financial support for the same. However it should be clearly understood that this support is not an offer by Institute, and the faculty members should not assume any automatic claim for the same.

The request for financial assistance/ support for attending conferences shall be routed through the DRPM, which shall recommend the case for final approval by the Director/ BOM.

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The request for financial support by the faculty member shall be considered as per the following norms:

**REGISTRATION FEE:** The institute shall reimburse the registration fee paid for presentation of paper in National/ International on submission of fee receipt. Maximum of 20% of total department faculty strength can apply for grant at a time. Faculty can apply for financial support under this only once a semester. The upper limit of reimbursement is as follows:-

**TABLE-1**

Place of Conference	Amount of Reimbursement
Conferences in India	Rs 4,000
Conferences outside India:	Rs 30,000

**OTHER GUIDELINES:**

These expenses shall be reimbursed to the faculty after his /she return from the conference held in India. However, in case of conferences held outside India, the reimbursement shall be made 6 months after the return of the faculty member, provided he stays with the institute and serves it with commitment for 6 months.

The support for participation in conferences shall be subject to the following eligibility norms:

- The paper submission should be routed through the Dean Research Promotion and Monitoring (DRPM).
- The faculty member should have the first authorship in the paper, and his affiliations should be clearly shown as COLLEGE OF PHARMACY, SHIVALIK CAMPUS, DEHRADUN, UTTARAKHAND.
- In a period of 2 years, a faculty member can get support for a maximum of 2 conferences (**any category mentioned in Table -1**).
- The support for conferences held within India shall only be given to faculty members, who have completed at least 6 months of service at the institute. For conferences held outside India, this minimum eligibility period shall be 1 year.

**8.3 RESEARCH FUNDING/ CONSULTANCY AWARD SCHEMES:**

Faculty members (Only PI i.e. Principal Investigator/ Main Consultant) are rewarded based on the following research/ Consultancy activities:



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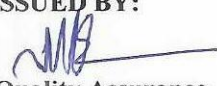

TABLE-2

Activities	Funding Amount	Reward Amount
Award of Sponsored Research Project from Funding Agencies such as UGC/ AICTE/ CSIR/DST/ ICAR/ PCI/ State Govt. / Central Govt Agencies etc.	FM $\geq$ 20 lakhs	Rs 20,000
	10 lakhs $\leq$ FM < 20 Lakhs	Rs. 15,000
	05 Lakhs $\leq$ FM <10 Lakhs	Rs. 10,000
	Upto 5 lakhs	Rs. 5,000
Consultancy project granted from the Industry/ State Govt. / Central Govt. Agencies or other agencies.	Any amount received as Consultation fee (CF)	<ol style="list-style-type: none"> <li>1. Faculty shall be is paid 60% of grant received under consultancy projects.</li> <li>2. 10% of the fund (or actual cost involve) shall be paid to the institute against overhead charges.</li> <li>3. Rest 30% shall be paid to the corpus fund* of the department.</li> </ol>

**\*Corpus Fund:** A corpus fund of educational institutions is non-refundable, including money contributed by its founders or promoters, donations or contributions received from different sources, including government as well as income through consultancy services and research projects. The fund can be utilized for the following activities:

### 8.3.1 SCHOLARSHIP:

- Meritorious students for innovative entrepreneurship
- Needy people who are economically weak
- Encouraging higher studies in research
- Innovative projects
- Health related research works
- Participating in National and International research conferences
- Alumni who intend to go for research
- Permanent constructive innovative projects
- Organize or conduct mega events in innovative and research fields

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### 8.3.2 RESEARCH ACTIVITIES:

- To encourage the students to involve themselves in research activities
- Establishing centers of excellence in the field of research
- Innovative project works

### 8.3.3 GENERAL:

- To support the Institute during the financial crisis or any Unforeseen contingencies
- For any other constructive research and innovative activities
- The Corpus Fund works as a backbone for the institutions
- Specific purpose viz., award of scholarship, financial reward for excellence, creation of permanent activities, and achievements in the current year

## 9. INCENTIVE FOR PAPER PUBLICATION:

9.1 If a faculty/ staff member publishes a research article/ review article in an indexed journal as first author, the incentive amount will be awarded as under -



**TABLE-3**

Incentives towards the Publications in Indexed Journals			
Type of Publication	Category	Impact Factor	Incentive
Original Research Article	SCI, SCIE, Thompson, SCOPUS, PubMed Indexed, UGC Care listed	3.01 and above NAAS 9.01 and above	Rs 8,000
		0.75 to 3.0 NAAS 6.75 to 9.00	Rs 6,000
		0.5 to 0.749 NAAS 6.5 to 6.749	Rs 5,000
		UGC Care	Rs 4,000
Review Article	SCI, SCIE, Thompson, SCOPUS, PubMed Indexed, UGC Care listed	3.01 and above NAAS 9.01 and above	Rs 6,000
		0.75 to 3.0 NAAS 6.75 to 9.00	Rs 5,000
		0.5 to 0.749 NAAS 6.5 to 6.749	Rs 4,000
		UGC Care	Rs 3,000

9.2 The benefits of research incentives mentioned in Table-3 may be extended to the co-authors/ corresponding author of a research/ review article, with Shivalik affiliation as per the criteria framed below-

9.2.1 Corresponding author (*who is not the first author*) is liable to get 80% of the incentive amount as mentioned in Table-3.

9.2.2 Co-author(s) (*who are not the corresponding author also*) are to be given a total of the 60% of the incentive as indicated in Table-3, which is to be distributed on a pro-rata basis.

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9.3 However, if all the authors of a research/ review article are affiliated to any of the Shivalik institution, then the 50% of the incentive amount as mentioned in the item no. 9 of existing research policy is to be awarded to the first author, rest 50% is to be distributed among co-authors on a pro-rata basis.

9.4 If a student publishes a research/ review article with Shivalik affiliation, same incentive should also be provided to him/ her, with a condition that the affiliation appearing in the published article is strictly with any of the Shivalik institution.

**Note: Article Published in the Indexed journal through International conference shall not be considered for reward as the same paper is rewarded for its presentation in conference (as registration amount).**

## 10. FACULTY RESEARCH RECOGNITION INCENTIVE BASED ON GOOGLE SCHOLAR CITATIONS

Category	Points	Incentive
Citation Index	3-50	Rs. 3000
	51-100	Rs. 4000
	101-200	Rs. 5000
	201-400	Rs. 6000
	More than 400	Rs. 7000



**Criteria: Incentives will be awarded once every year for eligible faculty.**

### 11.0 Award for Publications of text books in relevant discipline

11.1 Rs. 25,000/- if the text book is published by an international publishers like McGraw Hill, Prentice Hall, Oxford University Press or other internationally reputed publishers.

11.2 Rs. 15,000/- if the text book is published by a national publisher like Tata McGraw Hill, Prentice Hall of India, MacMillan India, Sage.

11.3 Rs. 5,000/- if the text book is published by Regional / Local publishers.

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**12.0 INTELLECTUAL PROPERTY RIGHT (IPR) SUPPORT:** Faculty is encouraged to file patent and for it 50% of the cost involved shall be contributed by the Institute against the expenses required to file the patent.

### IPR Cell SGOC

The objective of IPR Cell at SGOC is to create awareness and provide guidance to academic/nonacademic staff, and students on the practices and the rules of institute regarding intellectual property rights and obligations within the frame work of the IPR policy of the institute.

### Members IPR Cell

Name	Designation	Role
Dr. Santosh Joshi	Dean (RPM)	Convener
Mr. Khushal Juneja	General Manager, IPR, Ennoble IP Consultancy	External Member

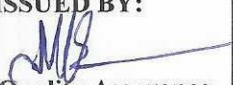

### Intellectual Property Right (IPR) Policy

- All Patents shall be submitted to **IPR Cell SGOC** for its filing and publication (**As per Annexure-2**) at [patents@sce.org.in](mailto:patents@sce.org.in)
- The Intellectual Property right (IPR) policy shall be applicable to the faculty and students of COP.
- IPR support shall be process only if the Primary applicant is Faculty/Student of COP.
- If any patent is filed in collaboration with outside research agency /Institute the IPR support shall only bedone if the primary applicant faculty is a member of COP.

**13.0 RECOGNITION FOR FACULTIES GETTING INTERNATIONAL RESEARCH AWARD:** Each year a reward of Rs.10,000/- will be given along with certificate for international award received by faculty for their outstanding performance and innovative work.

**14.0 YOUNG RESEARCHER AWARD:** Each Year institute will give this award to young researcher for their outstanding performance in research. It will consist of a certificate along with cash award of Rs.10,000/-. The researcher should not be more than 35 years of age, not above Associate Professor Level, should have at least 2 research papers in international indexed journals under his/her name as first author and at least 1 project as PI with funding from outside agency.

**15.0 BEST RESEARCHER AWARD:** Each Year institute will give this award to researcher for their outstanding performance in research. It will contain a certificate along with cash award of Rs. 15,000/- The researcher should have at least 02 international publications and 03 national publications in indexed journal under his/her name and at least 01 projects as PI with funding outside agency

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## 16.0 RESEARCH MISCONDUCT

Research misconduct will be dealt with very strictly by SHIVALIK GROUP OF COLLEGES. Fabrication that involves manipulation of data generated by the reported research is serious forms of research misconduct. Such cases of research misconduct identified at the time of manuscript submission or even after publication will invite strict disciplinary action from the SHIVALIK GROUP. Authors are required to safely store all research records including raw data for long period after publication. A committee constitutes by Director headed by Dean Research Promotion and Monitoring will have the authority to investigate and recommend action in case of suspected research misconduct.

### 16.1 WHAT CONSTITUTES MISCONDUCT?


Research misconduct or fraud in science refers to the fabrication, falsification, plagiarism and deception in proposing, carrying out or reporting results of research. Misconduct does not include honest error or honest differences in interpretation or judgment in evaluating research methods or results, or misconduct unrelated to the research process.

- Fabrication – reporting of experiments never conducted
- Falsification – Misrepresentation or suppression of data to project the desired result
- Plagiarism – reporting another’s data as one’s own

## 17.0 Monitoring Progress and Performance of Department in Research Promotion

Office of Research Promotion and Monitoring is also responsible to monitor the progress of research related activities being conducted by institutes/departments as per the approved SGOC research plan. The department will release annual action plan and schedule of department wise audit. The criteria for assessment of department’s performance and progress in research related activities will be

- No of workshops/seminars conducted by the department to promote research
- Participation in workshops/ seminars/sessions organized by Office of RP&M to promote research in the institute.
- No of faculties in a department who have attended at least one session /seminars etc organized at India and International level
- No of student and faculty involved in research
- No of research publications from that department (student and faculty) in an academic year.
- No of MOUs signed with industry or leading research institutions at India or International level.
- No of patent application and successfully filed.

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## 18.0 PROCEDURE FOR CONDUCTING RESEARCH AUDITS

- Audit of department will be carried out adhering to the schedule prepared by Office of RP&M
- Notification to the concerned department for Research audit in line with the published research monitoring schedule will be given.
- Finalizing the team for conducting upcoming research audit and organizing workshop with them on conducting research audit
- Research Audit will be conducted as per schedule.
- Preparation of Report on the research audit conducted and sharing it with BoM and concerned departments. Dean RP&M will share report with BOM

## 19.0 REVIEW OF THE POLICY

The policy will be reviewed after a period of three years.

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