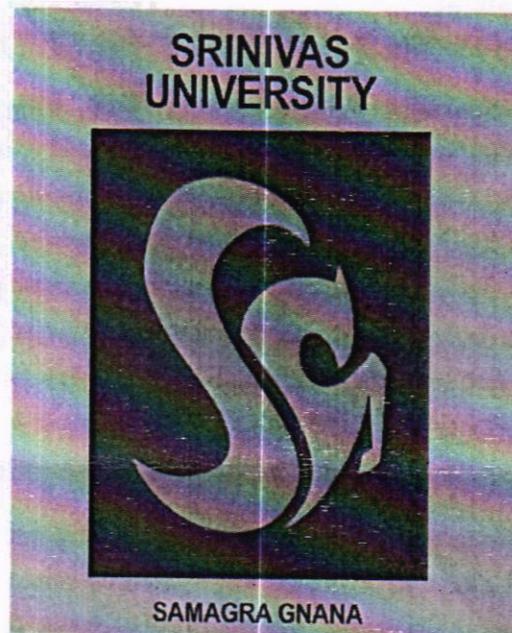


SRINIVAS UNIVERSITY



RESEARCH & DEVELOPMENT POLICY

2017



1. PREAMBLE

In the light of the changing economic scenario and increased thrust towards building design, manufacturing and support services capability within the country, the role of research and development is taking on greater significance. Research and development is eventually targeted towards developing new technologies meeting societal and global requirements. In addition to fundamental research in engineering, management, health and basic applied sciences, great emphasis is being given to the development of product and systems that meet these requirements.

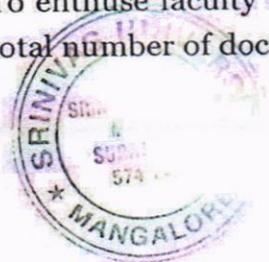
The National Institutional Ranking Framework (NIRF), approved by the MHRD outlines a methodology to rank institutions across the country. Research is one of the major parameters outlined in the framework covering *publications* (in particular their quality), *patents* (filed, published, granted and licensed), *projects*, *professional practice* and *executive development programs*. A total of 100 marks are awarded for research alone out of the total of 500 with a 30% weightage. Even within the 100 marks, publications and their quality accounts for 75% of the marks. It is very important to gradually implement a strong foundation for research, development and innovation in the institution to address the requirements of the next decade.

Faculty of the institution play a vital role in making this transition from a 'teaching-only' institution to a world-class institution that fosters research and development inter-twined into teaching and learning. While faculty have to handle their regular requirements of teaching and learning, they are also increasingly being required to take up quality research and development work. Quality research and development work requires time, concerted effort and a focused environment. The University is committed on its part to provide the necessary environment to take up this task. This document puts forth the policy of the University towards research and development activities. In order to enthuse and motivate faculty to spend quality time in a concerted manner, the university also feels it necessary to incentivize all such R&D effort

2. OBJECTIVES

The following are the objectives of the university in the arena of research and development:

1. To create an environment that fosters a culture of innovation and research leading to development of processes, tools, products or services
2. To enthuse faculty to pursue and complete their PhD thereby enhancing the total number of doctorates in the university



3. To motivate faculty to carry out quality research leading to publication in quality journals
4. To motivate faculty and staff to continue learning further through live/on- line courses/skill training programs and thereby significantly enhance their capabilities and exposure
5. To motivate faculty to actively guide scholars towards their PhD work
6. To motivate faculty to build strong industry-institute partnerships
7. To motivate faculty to become a sought-after resource in the country

3. OUTCOMES

With the above objectives in place, the university aims at focused efforts on the part of the administration and faculty to achieve significant and quantifiable results in the area of research and development over the next 3 years. The following outcomes are envisaged:

1. Establishment of at least 5 centers of research through facilities established as a result of extra-mural funding
2. Development of at least 5 products/processes/services/tools as a result of facilities created through extra-mural funding
3. Award of at least 10 patents preferably at the international level
4. Increasing the number of faculty members in the institution with PhD to 100 percent.
5. Ensuring that the faculty actively pursue courses or certification courses leading to significant enhancement in subject knowledge and course content development
6. Ensuring that at least 20% of the non-teaching staff take up additional skill development training and certification
7. Ensuring that the faculty are actively guiding scholars (internal or external) towards their PhD
8. Ensuring that at least 20% of the faculty build strong networking with industry as demonstrated through joint projects/case studies/consultancy etc.
9. Ensuring that at least 10% of the faculty build strong connectivity leading to their being invited as resource persons

4. RESEARCH POLICY

With the above mission in perspective, the policy of the institution with regard to conduct of research and development activities is presented herein.



4.1 PUBLICATIONS

Although there are several different outlets for publication of one's research work, there is a need to encourage open access publication where the faculty retains the copyright even as the information is disseminated freely

- All faculty who have been awarded PhD shall publish at least 2 paper per year.
- All faculty who are currently pursuing their PhD shall publish at least 3 papers per year in journals.
- All faculty guiding Post Graduate dissertations shall ensure that their students publish at least 1 paper in a peer reviewed journal.

4.2 Projects

In order to ensure qualitative publications, there is need for creating a favorable ambience primarily in terms of equipment and facilities for carrying out cutting edge research. Extra-mural funded projects are a major source of funding for establishment of such research infrastructure.

- All faculty who have been awarded PhD shall aim for at least one extra-mural funded project at any point of time.
- The University shall provide seed money of upto Rs. 15,00,000/- to faculty members after the probationary period to start research activities and support procurement of funding from other agencies. Proposal has to be submitted at the beginning with budget break up. Duration of the project will be 1-3 years. At the end of each financial year SE and UC have to be submitted. A report along with list of publications have to be submitted at the end of each year.
- To support individual faculties in their professional development, the faculties are provided with Cumulative Professional Development Allowance (CPDA).

Norms: Rs. 5000-10000/- per faculty per year

List of activities for which the CPDA expenditure can be incurred are for presenting papers in conferences, attending workshops, membership fees of professional bodies, contingent expenses. Prior approval shall be taken for any expenditure and the amount will be sanctioned on reimbursable basis. In the case of conferences and workshops, participation should be restricted to quality events beneficial to the Institute. A committee constituted for the same will overlook all the matters concerning to the CPDA.

- To encourage furthering of educational qualification of the employees, 50 % waiver in Fees for internal registrants for Ph.D. will be made.



- In addition to the above, heads of department shall put up proposals for purchase of specialized research equipment for their respective departments. Such equipment shall be versatile to carry out effective research leading to good publications. The institution will review the proposals received and approve them on a merit basis. Heads of department shall put forward detailed research vision document identifying the following:
 - Research objectives envisioned by the department
 - The areas of research pursued by the department
 - Available research infrastructure in these areas
 - Utilization of these equipment and outcomes achieved
 - Proposed additional equipment requirement and its justification in the light of the research objectives of the department

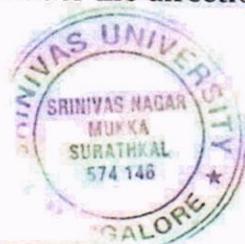
4.3 Patents

One of the key metrics being adopted for ranking institutions is the number of patents published and granted. The university has been actively collaborating with various organization, in its efforts to provide patenting service. In order to ensure that a steady stream of ideas is generated and developed possibly leading to patentable technologies, the following approach shall be adopted:

- The university shall establish an Innovation Centre. This centre will serve as a central facility for all innovation related activities
- Sensitization programs will be conducted in all the departments
- Students with innovative ideas and project works that can possibly lead to patenting opportunities will be short-listed
- Active support and mentoring shall be provided to the short-listed students or student group to convert their ideas into patentable products
- Heads of department shall nominate one faculty member to coordinate the innovation activities from each department. The faculty member, along with the student coordinators shall identify potential projects and coordinate with the innovation centre for achieving successful outcomes.

4.4 Consultancy Work

Yet another metric for assessing institutional performance is the level of consultancy undertaken. Consultancy can range from routine testing or certification works to technical design and project implementation work. In order to initiate efforts in the direction of consultancy, each department shall undertake a minimum level of consultancy work in terms of testing or job works etc. Such work shall be executed primarily with the help of non-teaching staff under the direction of a faculty team. The following approach shall be adopted:



- The heads of department shall put forward a consultancy vision document identifying the following:
 - Objectives envisioned by the department
 - The areas of consultancy being pursued by the department or proposed to be pursued
 - Available research infrastructure in these areas and/or the need for additional support
 - Competence of the non-teaching staff in taking up the research
 - Action plan for skill enhancement of the non-teaching staff to meet the requirements of the consultancy work

The sharing of the consultancy proceeds will be based on a mutual agreement between the University and the Faculty depending on the consultancy service provided.

5. INCENTIVE SCHEMES

RPI – 1: Incentive on Extra-mural Funding Received

- Any faculty who submits and is sanctioned a funded project as Principal Investigator from any government funding agency will be eligible for a cash award amounting to 2% of the total project sanction.
- Any faculty who submits and is sanctioned a funded project as Principal Investigator for any private agency shall include a head for remuneration to the PI in the project proposal itself after due approval by the Dean.
- The award will consist of a citation and the above cash incentive.

Note: Faculty claiming incentive under the above scheme shall submit the following documents:

- a. Duly filled applicable forms
- b. Copy of Sanction Order

RPI – 2: Incentive on Patents/Copyrights Awarded

- Any faculty who files for and is awarded a patent will be eligible for the following incentive:
 - Rs. 5000 for a National Patent
 - Rs. 10,000 for an International Patent and an additional 10,000 for US patent.
 - In addition to the above, all patenting charges will be reimbursed/borne by the university on recommendation of the research committee.
- Any faculty who files for and is awarded a copyright will be eligible for the following incentive:
 - Rs. 500 for a National Copyright
 - Rs. 1000 for an International Copyright



- In addition to the above, all copyright filing and search charges will be reimbursed/borne by the university on recommendation of the research committee.
- Copyright for the papers which have been awarded incentives under publication head will not receive any incentives.

Conditions: The following terms and conditions shall apply for the above:

- a. Any patent that demonstrates application of technology leading to the development of an innovative product or enhanced functionality of an existing product alone shall be considered for the scheme
- b. Non-technology-based product patents shall not be eligible for the above scheme
- c. Products/processes/specific software etc. developed and copyrighted shall be considered for the above scheme if they significantly demonstrate technology development
- d. Books/manuals/lecture notes/monographs will not be eligible under the above scheme

Note: Faculty claiming incentive under the above scheme shall submit the following documents:

- a. Duly filled applicable forms
- b. Copy of the Patent/Copyright
- c. Copy of documents filed for claim of patent/copyright

RPI – 3: Incentive on Being Awarded PhD

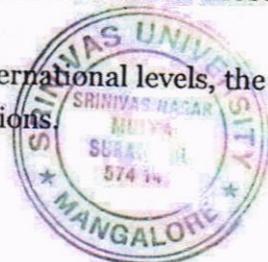
- Any faculty who is awarded PhD in the academic year of the incentive scheme will be eligible for an award in recognition of his/her receiving PhD.
- The award will consist of a citation and three additional increments.

Note: Faculty claiming incentive under the above scheme shall submit the following documents:

- a. Duly filled applicable forms
- b. Copy of the Provisional Certificate
- c. Copy of Proceedings leading to award of PhD
- d. Copy of Original Degree (if issued already)

RPI – 4: Incentive on Publications

- On publishing a paper indexed in Web of Science/Scopus with an impact factor of 5 or higher faculty will be eligible for an incentive of **Rs. 5000** for each publication.
- On publishing a paper indexed in Web of Science/Scopus with an impact factor of 2 or higher faculty will be eligible for an incentive of **Rs. 2500** for each publication.
- On publishing a paper indexed in Web of Science/Scopus with an impact factor of 1 or higher faculty will be eligible for an incentive of **Rs. 1000** for each publication.
- On publishing a paper indexed only in UGC care journals faculty will be eligible for an incentive of **Rs. 500** for each publication.
- For publication in reputed peer-reviewed journals that are not listed in WOS/Scopus/UGC care journals shall be eligible for an incentive of **Rs. 250/-**. The Board of Studies for each stream shall shortlist and ratify all such journals. The collated list will be available with Director(R&D). Only publications in these listed journals will be considered for the above incentive.
- On publishing papers which receive special recognition at international levels, the faculty will be eligible for an incentive of **Rs. 10,000** for such publications.



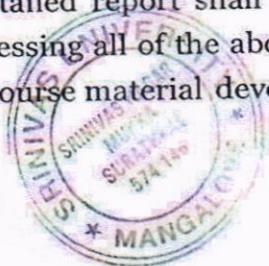
- Conference proceedings even indexed in WOS/Scopus or any other databases will not be considered for any incentives.
- Faculty shall be eligible for incentive only for publications beyond the mandatory 2 papers/year. This clause is waived off in the case of WOS/Scopus indexed journals.
- If more than one faculty of the university holds the authorship in the particular paper, the incentives will be shared among them.
- Mandatory publication by Post Graduate student under guidance of faculty is not eligible for incentive. However, any additional publication arising out of the Post Graduate work shall be eligible for incentive as above.
- Articles in press will not be considered for incentive. The same can be submitted for consideration once the article is published.
- The amount of cash award will vary according to the order of authorship (First Author & Corresponding Author- 100%, Second Author - 75%, Third Author - 50% and Fourth Author - 25%). Beyond fourth authorship, no consideration will be given for award of incentive.
- The award will consist of a citation and the corresponding cash incentive.

Note: Faculty claiming incentive under the above scheme shall submit the following documents:

- a. Duly filled applicable forms
- b. Copy of the publication
- c. Proof of indexing in WOS/Scopus/UGC Care list

RPI - 5: Incentive on Continuing Education

- Faculty who registers, complete and get certified for in any continuing education program (either online or in person) at the national or international level will be eligible for an incentive of **Rs. 1,000/-**.
- The duration of the course (national or international) shall not be less than 40 hours to be considered for incentive.
- The assessment for the course should have been carried out through a formal examination system prior to certification and the faculty must score a minimum of 75% to be eligible for claiming incentive.
- Any faculty shall be eligible for incentive for only **ONE** course per semester directly in-line with the subject being taught in that semester or the following semester.
- Following the completion of the course, the faculty should have developed qualitative study material that can supplement student learning as well as form the basis for compilation into a book in future. The learning outcomes of the course should reflect in enhanced course structure and content development.
- A detailed report shall be submitted by the faculty along with the application addressing all of the above in order to be considered for the incentive along with the course material developed.



- For all **non-teaching staff** who undertake skill development training leading to significant up gradation of their skills enabling them to take up external

Consultancy works will be eligible for an incentive of **Rs. 2,000/-** for each such course. In addition to the above, the registration and certification fees incurred by the staff member will be reimbursed by the institution.

- The duration of the skill development program shall not be less than 60 hours to be considered for incentive. In addition, the staff member should also submit a draft proposal in collaboration with an external agency or industry or other such body seeking to take up jointly some fabrication or development work. An expression of interest to this effect needs to be submitted from the external agency. The staff member will be considered for the incentive only subject to fulfilling the above.
- For all **non-teaching staff** who undertake skill enhancement training in tools vital for the functioning of the institution such as Tally, ERP, MS Office, Oracle Database etc. leading to demonstrated competence in the same will be eligible for an incentive of **Rs. 1,000/-** for each such skill. In addition to the above, the registration and certification fees incurred (if any) by the staff member will be reimbursed by the institution.
- The duration of such training shall not be less than 60 hours to be considered for incentive
- The award will consist of a citation and the corresponding cash incentive.

Note: Faculty/staff claiming incentive under the above scheme shall submit the following documents:

- Duly filled applicable forms*
- Proof of course registration*
- Proof of course and certification fees paid (if any)*
- Proof of course completion and award of certification*
- Details of course content covered and duration*
- Draft proposal for implementation of skills and Expression of Interest by external agency (for non-teaching staff)*

RPI – 6: Incentive on Research Guidance

- Faculty who serve as guides (main supervisor or co-supervisor) for any candidate registered for PhD in the university will be eligible for an incentive of **Rs. 5,000/-** for every candidate who completes and is awarded PhD under his/her guidance.
- The award will consist of a citation and corresponding cash incentive

Note: Faculty claiming incentive under the above scheme shall submit the following documents:

- Duly filled applicable forms*
- Proof of registration as main or co-supervisor*
- Proof of award of degree*



RPI – 7: Incentive on Industry Networking

- Faculty who takes up internship at any industry relevant to their field of teaching or research will be sponsored by the institution for the entire period of their internship in terms of travel, accommodation and other expenses.
- In addition, they will be eligible for an incentive of **Rs. 10,000/-** if they are able to demonstrate serious level of interaction with members of that industry in terms of joint projects or consultancy discussions or collaborative training programs organization.
- In order to be considered for the incentive, a detailed report to this effect shall be submitted by the faculty giving details of the concerned point of contact in the industry and the nature and extent of the collaboration work undertaken.
- All such efforts should have reflected in significant collaborative works that further the mutual interests of the institution and the concerned industry. The incentive will be granted only subject to approval by a committee appointed by the Honorable Chancellor.
- The award will consist of a medal of honor, a citation and the corresponding cash incentive

Note: Faculty claiming incentive under the above scheme shall submit the following documents:

- a. Duly filled applicable forms
- b. Proof of completion of internship
- c. Details of industry point of contact
- d. Proof of collaborative work executed

RPI – 8: Incentive on External Recognition

- Faculty who are on the editorial board of any journal listed in the WOS/Scopus indexed publishing houses will be eligible for one time incentive of **Rs. 10,000/-** for being appointed to the board. This incentive shall not apply to faculty who act as reviewers even for the above-mentioned journals.
- Faculty who receives recognition/award from any reputed state/national or international organization of repute will be eligible for an incentive of **Rs. 5,000/- and 10000/-** respectively for such award. The award will carry a medal of honour, a citation and the corresponding cash incentive.
- Only awards that are in recognition of overall teaching or research or professional achievements will be considered for the above incentive.

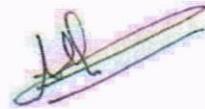
Note: Faculty claiming incentive under the above scheme shall submit the following documents:

- a. Duly filled applicable forms
- b. Invitation letter from external agency
- c. Proof of recognition or award received



6. TERMS AND CONDITIONS

- In order to be considered for incentive, faculty and staff are requested to fill in the corresponding application form and submit all required documents.
- Incomplete applications will strictly not be processed and will be returned.
- Faculty/staff submitting applications for incentive shall carefully check and ensure that the same has not been awarded any incentive earlier.
- The decision of the scrutinizing committee chaired by Chancellor will be final and binding on all claims for incentives. No correspondence for consideration of rejected applications will be entertained.



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