



RESEARCH PROMOTION POLICY

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1. INTRODUCTION

Vivekanand Education Society wishes to establish itself as one of the pioneer research universities, expanding realms of knowledge in select focus areas. This policy document describes various incentives to encourage and promote the culture of research and innovation amongst the staff and indirectly amongst students.

2. SCOPE

This policy is applicable for Higher Education Institutes (HEIs) offering programs in Arts, Science, Commerce and Technology.

3. OBJECTIVES

To encourage staff of Vivekanand Education Society to:

- i. Publish high quality and original research articles and thus have more citations per article.
- ii. File and publish patents having good commercialization potential.
- iii. Write and submit research proposal inviting extramural funding and establish state-of-art research facilities.
- iv. Provide consultancy services to industry and other organizations.
- v. Edit books published by reputed Publishing Houses.
- vi. To promote quality research for full-time PhD through fellowship support.

3. EXPECTED OUTCOME

- i. Enhancement in quality of research and innovation related activities
- ii. Expansion of frontiers of knowledge and thus contribute to the IP worth of the nation

4. ELIGIBILITY, TERMS & CONDITIONS

- i. For the calculation of incentives, the start and end dates will be defined by the academic year.
- ii. Any Research Award/Grant/Cash Incentive/Leave benefit cannot be claimed as a right.
- iii. All the achievements requested for incentives should be with the affiliation of “Vivekanand Education Society”.
- iv. The decision of the Research Promotion and Incentive Committee (RPIC) will be final
- v. The policy can be withdrawn at any point of time without any formal notice to anybody. Vivekanand Education Society reserves the right to modify or amend this policy in whole or in part at any time – with or without notice.
- vi. All benefits will lapse if the faculty member leaves the organization.
- vii. If even after disbursement of the incentive, if the awardee is found supplying wrong, incorrect or incomplete information, whole amount of cash incentive will be reclaimed back.
- viii. For any research activity, which is done in collaboration with other Institute/Lab or University, only the faculty member of Vivekanand Education Society shall be entitled for Research Awards or Cash Incentives. The external member shall not be entitled for any benefits.

5. RESEARCH PROMOTION INCENTIVE COMMITTEE (RPIC)

Research Promotion Incentive Committee (RPIC) duly comprising of following will be meeting on a regular basis to take decisions and submit its final recommendations to the President, VES for final approval. The minimum quorum of the meeting is 2/3rd of the members.

- i. President, VES
- ii. Secretary, VES
- iii. Treasurer, VES
- iv. Trustee-in-charge of the institution
- v. Principal/Head of the institution (HoI)
- vi. One HOD by rotation as member
- vii. Two Senior professors as members

Roles and functions of RPIC:

1. To make recommendations to the academic council on matters related to research promotion and infrastructure.
2. While it is expected that the researchers will generate their funds for undertaking the research activities, the Society may also support the research activities. The extent of support will be decided based on the potential of research outcome on peer review. It is expected from the researcher to ensure potential benefits to the University.

Rights and responsibilities:

1. Ideally, there should be no conflict between the commitment of faculty and research staff of the Institute and other activities in which faculty and research staff members may engage themselves. It is expected that faculty and Project Investigators (PIs) will conduct their affairs so as to avoid or minimize such conflicts of interest, and should there be any actual, potential or perceived conflicts between one's private beliefs and interests and her/his professional obligations to institution, such matters should be properly and promptly revealed by the Faculty, Staff and PIs to the institution administration so as to resolve any issues before engaging in research, development and innovation activities and/or application for incentives.
2. Faculty members have the right to disseminate the results and findings of their individual or collaborative research without suppression or modification from external sponsors beyond the specific undertakings or provisions that may be written down and agreed upon by the sponsoring agencies, Universities and researchers.
3. The Faculty and Researchers could also engage in external consulting activities, subject to the institution's rules, regulations and limitations. But it is important that faculty adhere to both the spirit and the letter of the policy. Along with these freedoms come corresponding responsibilities.

Research misconduct:

1. The provisions under this heading namely, “Research Misconduct” deals with the procedures to be followed in the event of Allegations, Counter-Allegations, Investigations, and Reporting of any actual or perceived misconduct, for which the required notifications to the funding agencies may also have to be sent. There is no doubt that each member of the University, whether faculty or administrator or research staff, or technical personnel and students, has a responsibility to foster an academic environment conducive to free and fair research. Therefore, research misconduct can be extremely troubling – even if it is raised infrequently.

2. Institutes’ definition of research misconduct, and procedures for investigating and reporting allegations of misconduct, will conform to the regulations of the governmental and other funding agencies which may have some elaborate policies on this subject. These will be applicable to the research proposed as well as to the research conducted or reported at. "Research misconduct" is defined as fabrication (making up data or results, and recording or reporting them), falsification (manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented), or plagiarism (appropriation of another person's ideas, processes, results, or words without giving appropriate credit) in proposing, performing, or reviewing research, or in reporting research results.

3. If the misconduct is committed intentionally, or knowingly, and if the allegation is proven by the RPIC or any of its sub-committees set up to look into such allegations, even instances of failure to supervise adequately, and other lapses from professional conduct or neglect of academic duties could come under its purview. Findings (with respect to research misconduct) of serious academic deficiencies are to be addressed by the concerned HOD, or by the Principal, initiating the relevant disciplinary processes, as may be deemed appropriate. A proper inquiry should be held based on preliminary information gathered and preliminary fact-finding to ascertain the merit of the case.

6. ANNUAL RESEARCH EXCELLENCE AWARDS

Subject to approval of Research Promotion Incentive Committee (RPIC), two awards will be announced by each HEI in different categories as given below:

Best Publication Award: based on the JCR impact factor and/or number of citations. This recognition can be in the form of certification with or without a cash award.

7. TO PROMOTE RESEARCH PUBLICATIONS,#**

- i. Rs.10,000/- for each paper published in any of the Scopus/ Web of Science/UGC Care indexed journals with Journal Citation Report (JCR) impact factor ≥ 5 .
- ii. Rs.7,500/- for each paper published in any of the Scopus/ Web of Science/UGC Care indexed journal with JCR impact factor ≥ 3 .
- iii. Rs. 3,000/- for each paper published in any of the Scopus/ Web of Science/UGC Care indexed journals with JCR impact factor ≥ 2
- iv. Rs. 2,000/- for each paper published in any of the Scopus/ Web of Science/UGC Care indexed journals with JCR impact factor 0-2
- v. The cash reward would be equally distributed among all the contributing faculty members of the host institute (Note: students/research scholars are not entitled for this reward)

- vi. The comprehensive list of Scopus/ Web of Science/UGC Care indexed journals is available at <https://ugccare.unipune.ac.in/apps1/home/index>

8. TO PROMOTE RESEARCH PRESENTATIONS**

- i. Cash award of Rs.1,500/- to the faculty member, who is the presenting author, in case of a paper presented at a Seminar/Conference at an institute of repute outside India, recognized by the statutory body.(Once in two years)
- ii. Cash award of Rs.1,000/- to the faculty member, who is the presenting author, in case of a paper presented at a Seminar/Conference at an institute of repute within India, recognized by the statutory body.(Once in two years)
- iii. Cash award of Rs. 500/- to the faculty member, who is the presenting author, in case of a paper presented at an International/ National Seminar/Conference at an institute of repute in Mumbai limits, recognized by the statutory body (Once in two years).

** Subject to approval of Research Promotion Incentive Committee (RPIC)

Affiliation as one of the institutes under Vivekanand Education Society

9. RESEARCH GRANTS (SEED MONEY) FOR FACULTY MEMBERS

(Proposed name: Hashu Advani Research Fund (HARF))

Category I: Early career research grant for Principal Investigator (PI)

Purpose

To support faculty members at the early part of their career to nurture them in the field of research.

Eligibility

- ☐ A Faculty member of VES Institute below the age of 40 years as of 1st January of the year in which the research grant is sought.
- ☐ Younger applicants who have not received external funding will be preferred, depending on their potential and topic of importance.
- ☐ Maximum 02 faculty members per year will be eligible for the grant.

Funding level

Normally up to a maximum of Rs. 50,000/-

Duration

Maximum 2 years. Extension by six months in justifiable cases.

Selection process and timeline

- ☐ Applications in the prescribed format will be submitted to RPIC on or before the specified date
- ☐ The RPIC will evaluate the proposals and the recommendation of the RPIC will be placed to the Management for approval.
- ☐ The Management shall approve the research proposals based on the RPIC's recommendation.

Post-award processes

- ☐ Projects have to be initiated within 1 month of approval.
- ☐ The progress report has to be submitted to the RPIC through HEI every 6 months. The progress of the report would be reviewed by RPIC and the next instalment of the grant would be released by management on the recommendations of the RPIC.

- ☐ If an extension of duration is sought, the request should be submitted in the prescribed format, at least two months before the originally scheduled end of the project through HoI to the RPIC

Deliverables

- ☐ Deliverables as projected in research proposal
- ☐ A final report in the prescribed format has to be submitted through HoI to the RPIC within three months of completion of the project.
- ☐ At least one manuscript (original research article) shall be submitted to an indexed (Scopus/Web of Science/UGC CARE) Journal along with the final project report.
- ☐ There may be a follow-up grant proposal for funding from any external funding agency.
- ☐ Last 10% installment of the total grant will be released only after publication of at least one original research article in an indexed journal.
- ☐ One patent filed in the name of the Institute will be desirable.

10. TO PROMOTE FILING PATENTS

i. Eligibility and frequency Staff member should have filed the patent with the Affiliation as one of the institutes under Vivekanand Education Society and through the individual institute's patent cell

ii. Process

- Any staff member, who is willing to file patent with institution's name as an applicant, approaches the patent cell of the institute with the invention disclosure form
- The patent cell approaches the panel of patent attorney for vetting the idea and drafting the claims for filing the patent
- The draft is approved by the staff members and innovators
- The innovators decide their share of commercial benefits while signing the MoU with the university
- The patent is filed.

iii. Dissemination of the cash incentive

- If granted, 100% patent filing fee is borne by the society.
- In case of technology licensing: The revenues earned will be shared between the inventor(s) and host institute in 70:30 ratios. The 70% due to the inventor(s) will be distributed as per the separate inventor's agreement entered into between the inventors. In the case of multiple inventors, the default inventor's royalty share is done on the basis of contribution of the individual inventors in the absence of an alternate revenue sharing agreement. The inventor (s) / creator(s) share would be declared annually (or as revenues are received) and disbursement will be made to the inventor (s) / creator(s), their legal heir, whether or not the inventor (s) / creators are associated with VES COP at the time of disbursement.
- For an IP which has not been licensed to any party, the creator(s) may also contact potential licensee(s) on their own initiative, maintaining confidentiality and taking

all necessary care so as not to affect the value of the IP, through appropriate agreements such as Non-Disclosure Agreement (NDA) with the potential licensee(s) during technology marketing discussions. Any VES employee CANNOT work or submit similar projects to two different industries. This would be considered conflict of interest and breach of policy.

11. TO PROMOTE CONSULTANCY

- i. Consultancy Projects: In case of consultancy projects from industries, wherein the PI is involved in literature review, material procurement and data generation, the PI is entitled to assign a maximum up to 30% of total project cost towards consultancy. Of these 30% consultancy charges, revenues earned will be shared with the inventor(s) and the institute under VES in 70:30 ratios.
- ii. Consultancy Projects: In case of consultancy projects from industries, wherein the PI is involved in literature review and data generation, the PI is entitled to assign a maximum up to 30% of total project cost towards consultancy. The entire 30% of consultancy charges would be shared among the inventors with no share to the institute under VES.
- iii. Consultancy Projects: In case of consultancy projects from industries, wherein the PI is involved only in literature review, revenues earned will be shared with the inventor(s) and the institute under VES in 70:30 ratios.

12. AFFILIATIONS TO BE USED WHILE COMMUNICATING RESEARCH PAPERS

Any Faculty member say, 'XYZ' from Department of Computer Science and Engineering or Department of Electronic & Communication Engineering or Department of Applied Sciences should write his / her affiliation as

XYZ, Vivekanand Education Society's Institute of Engineering and Technology,
Affiliated to University of Mumbai, India

Similarly, any Faculty member 'ABC' from College of Pharmacy should write his/ her affiliation as

ABC, Vivekanand Education Society's College of Pharmacy, Affiliated to University of Mumbai, India.

13. VES College of Arts, Science and Commerce (Autonomous) is committed to fostering a research culture and conducive environment for enhanced research productivity among faculty and students. VESASC has constituted research cell which seeks to develop and encourage all students and learners to enhance scientific temperament and research ability to accomplish the vision and mission of our Institution and to contribute to society at large as well as contribute to national growth. The research cell also strives to ensure that the research activities of the college adhere to all applicable rules and regulations of the affiliating university i.e., University of Mumbai and U. G in addition to the existing norms.

The objectives of Research cell:

1. To extend guidance in preparation and submission of project proposals to maintain the quality and post-sanctioning of the grants to oversee adherence to timelines.
2. To create an awareness about Intellectual Property Rights as well as patents and motivate researchers to apply for the same.
3. To develop an Institutional Research Information System for sharing the status of
4. ongoing/completed research projects/Programs, expertise and resources and building up of Information and the database of in-house experts to provide industrial consultancy and services. To make accessible, standard plagiarism checks software for all the research papers and projects to all researchers to maintain quality standards.
5. To motivate and incentivize faculty members to take up research with greater passion and publish their work in journals listed in UGC CARE list, Web of Science or Scopus as well as edit and publish monographs and books on subject-specific domains.
6. To motivate the faculty members by giving duty leave to present their research papers(offline) in national /international conference To felicitate the Ph.D. recipients amongst its faculty and students at the annual Convocation and Valedictory ceremony.
7. Encouraging faculty to apply for recognition as research guides both for MSc by research & Ph.D. Research Advisory Committee (RAC):

The Research Cell has constituted a Research Advisory Committee (RAC) headed by the Principal of the college which provides guidance in the preparation and submission of Ph.D. Proposals to Mumbai University. RAC also conducts Ph.D.-related activities.

Research Cell has constituted a Research Ethics committee (REC) which ensures that researchers understand the importance of ethics and integrity and comply with ethical codes of research and publishing practices at institutional, national, and global levels. The committee safeguards the dignity, rights, safety, and well-being of all actual and potential research participants.

Constitution of research cell

The Research Cell consists of active researchers from Arts, commerce & Science. Amongst the Science faculty, at least one will be from the biology departments and one from the non-Biology departments. Among the Arts faculty, at least one will be from the Humanities and one from the Social Sciences.

The members of research cell are

Dr. Ritika Makhijani [Convener]

Dr. Varsha Ganatra [Co-Convener]

Dr. Malay Shah

Dr. Sarla Rathi

Dr. Sadhana Singh

Dr. Radhika Mohan

Dr. Dinesh Nawale

Dr. Heena Ganatra

Dr. Prasanna Ranade

Dr. Bharti Valechha

Dr. Urmila Sonawane

Members of Research Advisory committee RAC

Dr. Ritika Makhijani

Dr. Varsha Ganatra

Dr. Radhika Mohan

Members of Research Ethic committee (REC)

Dr. Radhika Mohan [Convener]

Dr. Malay Shah

Dr. Sarla Rathi

Dr. Meghana Sanjeeva