

Policy for

**PROMOTION OF RESEARCH
SIDDHARTH UNIVERSITY, KAPILVASTU**



**SIDDHARTH UNIVERSITY, KAPILVASTU,
SIDDHARTHNAGAR, UTTAR PRADESH, 272202**

PROTSAHAN

POLICY FOR PROMOTION OF RESEARCH



Siddharth University Kapilvastu (SUK)

Siddharth Nagar-272202

Uttar Pradesh, India

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POLICY FOR PROMOTION OF RESEARCH

1. Preamble

Research is the foundation of knowledge creation and development of the society and nation. The institutional focus on research brings in new energy that is required for building state-of-art facilities and promoting publications and innovation amongst faculty members. Siddharth University, Kapilvastu (SUK) is committed to providing the environment for all faculty members and research scholars to conduct excellent research on local, regional, national, and global issues. The research promotion policy of SUK aims to help its faculty members, research scholars, and other stakeholders achieve excellence in "research, innovation, and entrepreneurship," contributing to the upliftment of the University, society, and the country.

2. Objectives

- To encourage the faculty members to formulate specific research projects based on their area of specialization for financial support by different funding agencies.
- To collaborate with national and international institutes/universities to develop state-of-art technologies relevant to different disciplines.
- To motivate the faculty members and Ph.D. scholars to publish the outcomes of their research in highly reputed journals with impact factors, publish books with national and international publishers, obtain copyrights, file patents, and transfer the technologies to industries through commercialization.
- To recognize both, faculty members and students for their significant research outcomes by awards/rewards and recognitions.

3. Structure of Research Promotion Committee (RPC)

The constitution of the committee is as follows:

1. Vice-Chancellor or his nominee (Chairman)
2. Dean (Faculty of Arts)
3. Dean (Faculty of Commerce)
4. Dean (Faculty of Science)
5. Director (R&D Cell SUK) – (Convener)
6. Registrar
7. Finance Officer

8. One Professor of the University Campus based on seniority and rotation.
9. One Associate Professor of the University Campus based on seniority and rotation.

(The quorum of the committee shall be fifty percent of the members along with chairman and convenor)

* Duration of the working committee shall be for Two Years from the date of constitution of the committee.

4. Roles and Responsibilities

1. RPC shall be responsible for drafting and proposing changes in the research promotion policy of the University, to facilitate the promotion of quality research and protection of invention/innovation of research scholars and faculty.
2. RPC of the University shall propose fellowships/ awards for selected Ph.D. research scholars based on their performance and monitor the overall performance of the impact of the research based on such research promotion initiatives.
3. The RPC shall propose the Seed money for research to the faculty members at the Siddharth University campus. Seed money will be released as per the guidelines of SUK.
4. The RPC shall propose research promotion initiatives at the university and monitor the financial support that shall be provided to the faculty members for the development of the research activities.
5. The RPC shall focus on providing provisions and guidelines for the award/ honors/ rewards/ research project grants for the faculty members and well as research scholars (as the case seems appropriate) and shall be responsible for the continuous monitoring and evaluation of all such initiatives.

5. Best Researcher Award for the Research Scholars

The Siddharth University Kapilvastu proposes the "Best Researcher Award" only for the full-time Ph.D. research scholar from each faculty (Science, Arts, Commerce) who is doing extraordinary research and publishing research work in reputed international/national journals.

5.1 Criteria for Research Award

1. The research scholar must apply for the " Best Researcher Award" through proper channel with documentary evidence of publication/ patent.

2. The full-time research scholar should be enrolled in the Siddharth University Kapilvastu under the faculty member of the Siddharth University Kapilvastu campus.
3. The publication should be indexed in SCI/SSCI/SCIE/ESCI/SCOPUS/ABDC/ABS Journals/ UGC Care List/Peer-reviewed journals. The research score of the applicant shall be calculated as per Annexure-I.
4. The research paper should be published with the affiliation of Siddharth University Kapilvastu.
5. The assessment period shall be the last academic session (July to June every year).
6. A research scholar will be awarded with the Best Researcher Award only once during his/her PhD tenure.

At the faculty level, the committee chaired by the Dean, of respective Faculty and HoDs as members at the faculty level will recommend the names of a maximum of three suitable candidates to RPC. The committee may not recommend any candidate if a suitable candidate is not found. The applications will be adjudicated by RPC. Each Siddharth Researcher awardee will be honored with a certificate on a Research Day to be celebrated in the University/ or on a suitable occasion.

6. Honoring Faculty Members

Siddharth University Kapilvastu (SUK) encourages and motivates its faculty members to publish quality research/innovative work and participate in various professional and social activities. The SUK honors those faculty members who have received International/National/State awards or published papers in quality research Journals. These honors will be considered during the academic session. Faculty members will receive certificates and citations.

6.1 Honoring Faculty Members for Awards and Recognition

Teachers receiving the following awards/recognition shall be considered for a Commendation Certificate in an SUK annual function/ Research Day.

- i. National/International Awards by Government / Government Recognized Body.
- ii. Awards/Recognition by Regional/National/ International Societies / Institutions / Universities/ Fellow of Gov. recognized Institution.
- iii. Research/Social Awards/citation.

6.2 Best Faculty Researcher Award

The Siddharth University Kapilvastu proposes the Best Faculty Researcher Award to honor the faculty member for their research contribution. The faculty member needs to apply for this award through proper channels with documentary evidence of publication and patent to the convenor of RPC.

The publication should be indexed in SCI/SSCI/SCIE/ESCI/SCOPUS/ABDC/ABS Journals/ UGC Care List/Peer-reviewed journals. The research paper should be published with the affiliation of the Siddharth University Kapilvastu.

The research score of the applicant shall be calculated as per Annexure-I.

At the faculty level, the committee chaired by the Dean, of respective Faculty and HoDs as members at the faculty level will recommend the names of a maximum of two suitable candidates to RPC.

One best researcher from each faculty (Science, Arts, and Commerce) will be awarded the Best Faculty Researcher Award.

7. Policy for Seed Money at Siddharth University Kapilvastu (SUK)

The seed money grant policy of SUK is designed to stimulate competitive research in emerging areas of national/international importance and to promote innovative product and technology development. It will facilitate the infrastructural development and guide the research in emerging areas. The University faculty members are encouraged to submit research proposals to the Dean of the concerned faculty based on their innovative ideas through proper channels. The applicant must clearly and convincingly demonstrate that the proposed project presents a new research direction in an area likely to generate external funding.

7.1 Objectives

- To support faculty members in developing research resources and expertise and to create innovative or interdisciplinary approaches or methodologies.
- To create an enabling research environment within SUK.
- To nurture an environment of undertaking socially beneficial research with potential for commercialization.

- To create opportunities for faculty members of the University and to involve themselves in real-life research projects.
- To aid a faculty in starting a research program that has the potential to sustain and attract funds from external agencies.
- To test a novel idea and to generate preliminary results before submitting proposals to external agencies.
- To promote inter-departmental collaboration in emerging areas.
- To promote the generation of IPR and product/process development.

7.2 Eligibility Criteria

- A newly joined faculty member can apply for the seed money within the first six months of joining to the university. However, for the first time all the regular faculty members of the campus can apply.
- Faculty must have a Ph.D. degree and evidence of published research work.
- The seed money can be availed through the project proposal sent to the RPC through the proper channel as per the notification of the University.
- At any time, a faculty member can submit only one application. However, for interdisciplinary research, there can be co-investigator(s). However, the seed grant shall be issued in favor of the principal investigator against their respective research proposal.

7.3 Process of Application

- Faculty members of SUK can apply the seed money in the defined format (Annexure II).
- The duly filled proposal form should reach RPC through the proper channel in due time as notified for the call of proposals.
- The proposal should be of a maximum of 10 pages.
- The RPC will review the proposals. The applicant will be invited to present the proposal before the committee (if required).
- The decision on the award will be announced on the university website.
- A sanction letter shall be issued by the Director (R&D) cell of SUK, with the details of terms and conditions.
- The faculty members issued the grant shall be given consent for the acceptance of terms and conditions and sanction letter.

- The date of issue of the sanction letter shall be deemed to be the date for the initiation of the project.

7.4 Criteria for Evaluation of Proposal

The received proposals shall be evaluated based on the following criteria:

- Fulfillment of the necessary conditions of the proposal in the due format and duly forwarded by the Head of department and the Dean of Faculty.
- Proposal has the potential for innovative interdisciplinary research.
- The promise of sustainable research and development that attracts external funds.
- Budget matches to claimed outcomes.
- Potential to generate intellectual property (Including product and process development).
- The committee shall provide their recommendations in the format as per annexure III.

7.5 Expected Outcome

- Publication in peer-reviewed journals/intellectual property generation, including product/ process development.
- Receive grants/ funds from external agencies in terms of projects/ consultancies.
- Social outcomes in terms of benefit to society
- Copyrights/ Patents
- At least 02 publications in SCI/SSCI/SCIE/ESCI/SCOPUS/ABDC/ABS Journals/ UGC Care List/Peer-reviewed journals from the seed money research project and related to the project topic.
- If two research papers are not published from the seed money research project the faculty member may not considered for the Research Promotion Grant in future.
- Seed money grants must be acknowledged in the Research Publications.

7.6 Fund Allocation

- The faculty members can apply for the seed money grant for a maximum limit of 3 lakhs. The minimum grant that shall be available for allocation towards each project proposal shall be Rs. One lakh only.
- The seed grant shall be sanctioned for a period of not less than one year and a maximum three years.
- This fund can be utilized to purchase the primary requirements of faculty, like computers/printers/Almirah and other chemicals/software/periodicals/ Research Activities. All assets shall remain the property of the University.

- The second year's fund will be released after submitting the Annual Progress Report (Annexure-IV) and utilization certificate (Annexure-VI) along with the original receipt of expenses, presentation of work, and further approval of the RPC.
- The third-year fund will be released after submitting the Annual Progress Report (Annexure-IV) and utilization certificate (Annexure-VI) along with the original receipt of expenses, presentation of work, and further approval of the RPC.
- PI shall make a presentation of the progress of the project performance in front of the duly constituted committee by RPC every year.
- In case of unsatisfactory performance, the committee can cancel seed money and ask the beneficiary to surrender unused money sanctioned as an advance within three months. In case of non-refund in three months, an interest of 10% shall be payable on the unused advance amount released in favor of PI.

The annual allocation of sanctioned seed money shall be as follows:

Years	Fund Allocation
First Year	50 %
Second Year	30 %
Third Year	20 %

7.7 General Guidelines

- The RPC of Siddharth University, Kapilvastu, shall be the final authority for approving the sanction of the seed money grant. Manpower will not be provided for the seed money project.
- Faculty members are required to complete their seed money project in the existing university facilities.
- The sanction of the grant amount shall depend on the funds allocated for the scheme for the given year and other factors such as the number of applications, quality of the proposal, etc.
- A faculty member may use 25% of the seed money to present papers in conferences, seminars, and or for all types of travel needs required for the project-related research.
- If the faculty leaves the University, all items procured (computer, printer, almirah, books, equipment, stationery, furniture, etc.) will become the property of the University. Such

faculty members shall have to take a no-dues certificate from the R&D cell of the University.

- SUK will own any intellectual property generated during such a project.
- The faculty will submit the closure report and utilization certificate (Annexure-V &VI), along with the original receipt of expenses to the Research Promotion Committee. The RPC will call for the final presentation within 30 days from the date of the submission of the closure report.
- GST Bills for all the purchases made under the grant scheme have to be submitted.

8. Research Promotion Grant

The Research Development Cell (RDC) of the University can accept a few research proposals on a merit basis. The maximum budget for the approved research proposal shall be Rs. 5 Lakh for three years. The annual allocation of the fund for the 1st, 2nd, and 3rd year will be 50%, 30%, and 20% respectively. The total allocation of the budget may vary from time to time as per the direction of the RPC. The grant amount depends on the funds allocated for the scheme for the given year and other factors such as the number of applications, quality of the proposal, etc.

8.1 General Guidelines for Research Promotion Grant

- Interested faculty members can apply for a research promotion grant through the proper channel as per the notification of RPC.
- The research promotion grant shall be available for the faculty members who have not received the seed grant or have a gap of at least one year from the acceptance of the closure report of the seed grant or research grant received from the University.
- The process of application, criteria of evaluation, and fund allocation of the project proposal are the same as that of the seed money policy -7.3, 7.4 & and 7.6 respectively.

9. Other Research Promotion Schemes

Siddharth University Kapilvastu encourages sponsored research projects to be undertaken by the faculty members of the University campus. Principal Investigators (PIs) of such projects are supported and encouraged through the following measures and facilities:

- (i) Free and on-the-call extension of Institutional facilities.
- (ii) Dedicated laboratory space allocation to PIs.

- (iii) Freedom to PIs in matters of procurement, selection of project staff, and utilization of contingency and overhead funds.
- (iv) Simplified speedy sanction of purchases.
- (v) Timely auditing of project accounts and providing utilization certificates

9.1 Funds for Organizing Conference/Workshop and Training

The University will provide approximately Rs 1.0 Lakh of financial support for organizing national conferences/seminars/workshops/training programs and 1.5 Lakh of financial support for organizing international conferences/seminars/workshops/training programs. The financial support may vary subject to the number of days of conference/workshop/training program. The application for financial support along with the brochure should be submitted 2 months before the commencement of the program, in normal circumstances. The audit report is necessary upon the completion of the workshop/conference/training program.

9.2 Interdisciplinary Research: SUK promotes collaborative research with national/international organizations/institutions of high repute.

9.3 Provision of Duty Leave: As per university norms.

9.4 Institute facilitates Researchers of Eminence to visit the Campus: Renowned academicians will be invited from premier institutions of India and abroad to sensitize faculty and research scholars towards the need for individual, group, interdisciplinary, and sponsored research. The remuneration for the invited speaker shall be as per the University norms.

9.5 National and International Conferences: The University shall organize national and international conferences in various disciplines where eminent Scientists and Scholars from India and abroad shall participate.

N.B. The University shall have the right to modify the Research Promotion Policy as and when required with the approval of the competent authority of the University. In case of any dispute the decision of the competent authority of Siddharth University shall be final.

Methodology for University Teachers and Research Scholars for Calculating Academic/Research Scores

Academic/Research Activity	
Faculty of Sciences/Engineering / Agriculture/ Medical /Veterinary Sciences (08 marks per paper)	The Research score for research papers would be augmented as follows: Peer-Reviewed or UGC-listed Journals (Impact factor to be determined as per Thomson Reuters list)
Faculty of Languages /Humanities / Arts / Social Sciences / Library /Education / Physical Education / Commerce / Management & other related disciplines (10 marks per paper)	<ul style="list-style-type: none">i) Paper in refereed journals without impact factor -5 Pointsii) Paper with impact factor less than 1 - 10 Pointsiii) Paper with impact factor between 1 and 2 - 15 Pointsiv) Paper with impact factor between 2 and 5 - 20 Pointsv) Paper with impact factor between 5 and 10 - 25 Pointsvi) Paper with impact factor >10 - 30 Points <p>(a) Two authors: 70% of total value of publication for each author. (b) More than two authors: 70% of total value of publication for the First/Principal/Corresponding author and 30% of total value of publication for each of the joint authors.</p>

Format for Proposal for Seed Money Grant/ Research Promotion Grant

1. Name:
2. Employee ID:
3. Department:
4. Date of joining:
5. Status of employment: Permanent/On Probation
6. Research profile (attach separate sheet giving details of doctoral research, publication, seminars, and conferences attended, and details of previous grants if any):
7. Name of project:
8. Project duration:
9. Details of collaborators (if applicable. Add more sets if required):

Collaborator 1:

Name:

Whether faculty at SUK: Yes/No

If yes, Provide:

- Employee ID:
- Affiliation (University):
- Date of joining:
- Status of employment: Permanent/On Probation

In case of No, Provide:

- Institute of affiliation:
- Designation

Research profile (attach separate sheet giving details of doctoral research, publication, seminars, and conferences attended, and details of previous seed money grants if any): _____

10. Description of research work (attach a separate sheet with a clear description of the research problem, its conceptual frame, the scope of the research, the scope for attracting external research funding in the future, Methodology, Expected outcome, and its implications for society.

11. Proposed Budget:

Recurring expenses

Sr. No.	Name	1. Amount			Justifications
		1 st Year	2 nd year	3 rd year	

Non-recurring

Sr.No..	Name	Amount	Justification

12. Total Budget (Recurring + non-recurring): _____

13. Project Timeline:

Month/Year	Activities Planned

14. Declaration:

I declare that the particulars detailed above are accurate to the best of my knowledge. I know that if any of the information is false, my application may be disqualified. I have read the policy for Seed Money/ Research Promotion Grant and agree to all the rules mentioned therein.

Signature:

Date:

15. Forwarding remarks of the Head

Signature:

Date:

16. Forwarding remarks of the Dean

Signature:

Date:

17. Forwarding remarks to the Chairman, RPC (If approved)

Other comments (if rejected)

Signature:

Date:

The Recommendation of the Committee for the Grant of Sanction of the Seed Money

- 10. Name of the Faculty member: _____
- 11. Employee ID: _____
- 12. Department: _____ Faculty _____
- 13. Proposal ID: _____
- 14. Title of the Proposal: _____

- 15. Amount of Grant Requested: _____

The proposal fulfil the necessary conditions

The proposal is in the due format: YES/ NO

The proposal is duly forwarded by the Head of the department and the Dean of Faculty: YES/ NO

1.	The proposal has the potential for innovative interdisciplinary research.	
2.	The promise of sustainable research and development that attracts external funds.	
3.	Budget matches to claimed outcomes.	
4.	Potential to generate intellectual property (Including product and process development).	

Recommendation of the Committee:

- 1. Accepted
- 2. Accepted with modifications
- 3. Rejected

Comments (if any):

Amount sanctioned: _____

Signatures of Committee members:

Signature of the Chairman (RPC)

ANNUAL PROGRESS REPORT

- 1. Grant Number and Year.**
- 2. Name of the P.I:**
- 3. Faculty:**
- 4. Department:**
- 5. Proposal Title:**
- 6. Statement of the Problem**
- 7. Number of objectives achieved:**
- 8. Introduction:**
- 9. Percentage of amount utilized against sanctioned amount:**

S.No.	Particular	Total amount sanctioned. (Rs)	Amount utilized. (Rs)	Percentage of amount utilized against sanctioned amount
1.	Books and Journals			
2.	Equipment/software			
3.	Contingency			
4.	Travel			

Signature of the P.I

Signature of the HOD/Dean

Closure Report

1. Name of Principal Investigator:
2. Name of Project:
3. Project start date:
4. Period of report:

5. Work planned in the proposal (attached separate sheet):
6. Work completed (attached separate sheet):
7. Outcome (if any, like papers, articles, patents, etc., Attach separate sheet):
8. Details of expense (Rs):

Sr. No.	Item /Head	Sanction (Rs)	Expense (Rs)	Comments
Total				

Signature of PI:

Date:

9. Review by the External Expert: (if required, an expert will be appointed by Chairperson, RPC and review report may be requested and attached before the issue of Project Completion report).

10. Comment by Chairperson, RPC

Signature of Chairperson, RPC:

Date:

UTILIZATION CERTIFICATE

Program Name: _____

Project Title: _____

Certified that _____ of grant-in-aid under _____ was released by Siddharth University Kapilvastu in favour of _____ vide letter No. _____ as stated above during the year _____. The above grant was sanctioned towards Project Title _____.

Out of sanctioned grants, a sum of _____ has been utilized for the purpose of which it was sanctioned and _____ remained unutilized at end of the financial year _____ to be refunded. Expenditure incurred for the purpose for which the grant was sanctioned is verified with the vouchers produced before me. Certified that I have satisfied myself that the conditions on which the grant-in-aid was sanctioned have been fulfilled and that I have exercised the following checks to see that the money was utilized for the purpose for which it was sanctioned.

Signature of the Principal Investigator

Signature with Seal of the Chartered Accountant/ Internal Auditor

Signature of the Finance Officer, Siddharth University Kapilvastu

Signature of the Registrar, Siddharth University Kapilvastu
