



# PRESIDENCY UNIVERSITY

Presidency University Act, 2013 of the Karnataka Act No. 41 of 2013 | Established under Section 2(f) of UGC Act, 1956



## POLICY ON RESEARCH PROMOTION





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Approved by AICTE, New Delhi

## POLICY ON RESEARCH PROMOTION

(As Approved in 19<sup>th</sup> BoM Meeting held on 04-08-2022 – Agenda 19.12)

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PRESIDENCY UNIVERSITY  
POLICY FOR RESEARCH PROMOTION

(Under Section 11.1 of the Presidency University Regulation No. R-4 )

1. PREAMBLE

The Presidency University aims to contribute by becoming a global knowledge superpower through quality education, research, and innovation. In order to achieve this goal, the University seeks to strengthen research and innovation activities by motivating faculty members and students who may not get external funding in the beginning of their research career. The Seed money scheme and grants offered by the University will enable an early start of research work until sponsored projects from outside agencies are secured by the faculty. To retain and motivate the faculty to contribute towards achieving the University research goals, incentives are granted for research activities.

2. SHORT TITLE AND APPLICATION

2.1. This document shall be called the “Presidency University Policy on Research Promotion” 2020.

2.2. This document shall come into effect from the date of approval by the Academic Council of Presidency University and ratified by appropriate higher bodies.

3. EXTENT AND APPLICABILITY

This shall apply to all the researchers and to all the research related activities of the University.

The 'researchers' are defined to include:

- 3.1 All staff, permanent, probationary and Adjunct, who are active in teaching, research, administration, and provision of any form of support to the core functions of the University;
- 3.2 All students registered with the University;
- 3.3 All mentors, guides, external experts, and sponsors associated with any of the research activities of the University;
- 3.4 All academic and administrative departments of the University.

#### 4. RESEARCH PROMOTION

##### 4.1. Research Support for Faculty

##### 4.1.1. Internal Funding -Seed Grants

4.1.1.1. The R & IC has mandated Research Funding Schemes Through Seed Grants to encourage faculty researchers to set up the basic infrastructure through development of research centers/institutes and to carry out research achieving the outcomes such as:

- i. Research paper publications
- ii. Patents
- iii. Book / Book Chapter publications
- iv. Collaborations with National and International Institutions of repute
- v. Applying for grants from External Agencies.

This seed grant scheme shall offer financial assistance to individual or to team of faculty (Interdisciplinary/Multidisciplinary Research Centers) in establishing basic research infrastructure.

##### 4.1.2. Processes for Seed Grant Scheme

4.1.2.1. R&D division will put out a call for research proposals annually for grant of seed money

4.1.2.2. Individual/ Joint Proposals to be submitted through their respective Deans of the Schools to Dean, R&D Division.

4.1.2.3. All the Research Proposals submitted by the faculty Call for grant for seed money will be put forward to Expert Committee constituted by Dean (Research) comprising of external experts in various disciplines in which these proposals have come. This committee will first review the proposal in written form and based on their recommendations there would be an opportunity given to the proposers to clarify the comments of the experts through presentation.

4.1.2.4. Based on above process the proposals will be shortlisted. These shortlisted proposals would be put forward to Seed Grant Committee consisting of School Dean, Dean Research and Vice Chancellor.

4.1.2.5. Following the Approval, a sanction letter indicating the title of the project, name of the Principal Investigators (PI and Co-PIs), Duration of the Project, Sanctioned

Amount and date of commencement will be issued by R&D Division to all the successful applicants.

- 4.1.2.6. PI should acknowledge the receipt of the Sanction letter mentioning the actual date of Commencement of the Project and the budget outlay for this financial year. The PI and Co PIs will sign an undertaking that they will not leave the employment of the University prior to completion of the sanctioned project.
- 4.1.2.7. The procedure in procuring capital equipment and raw materials / Labor Charges/Transportation will be as per the Regular Purchase rules of the Presidency University. PI shall comply with these policies and will coordinate with concerned officers.
- 4.1.2.8. PI and his/her team are collectively responsible in achieving the proposed objectives of the sanctioned Project within the stipulated period of the Project.
- 4.1.2.9. PI and his/her team should be present for bi-annual Project Review meetings chaired by Dean (R&D) without fail and ensure that the recommendations of the Expert members are incorporated. Review meetings are held twice a year and the schedule of the Review meetings shall be conveyed by office of R & D Division to all the Concerned PIs two weeks ahead of the meeting dates.
- 4.1.2.10. Dean Research along with the duly constituted committee shall judge whether the outcomes of the Project are patentable or publishable in peer reviewed journals/conferences. In case it is Patentable, the University shall assist the PI and his/her team in filing the required patent in the name of Presidency University with PI as the Patent Investigator.
- 4.1.2.11. In the event of PI going on long leave, Co-PI shall be responsible for completing the project. In case, Co-PI does not exist for the concerned Project, the Dean (Research) in consultation with respective School Deans will be responsible in identifying the authorized and competent Co-PI.
- 4.1.2.12. The equipment procured under the sanctioned projects will be the property of PU. It is the responsibility of the PI to ensure that all the details of procured equipment/raw materials are recorded in the Stock registry of the concerned Research Centre. In future this equipment is open to be used by any researcher of the University.
- 4.1.2.13. PI should submit three copies of yearly Progress report to Dean Research in the

standard format as issued by R&D Division along with Expenditure statement duly signed by FO.

4.1.2.14. Five Copies of the project report on completion should be submitted by the PI to the office of R&D Division in the standard format.

4.1.2.15. The Dean Research reserves the right to terminate the project in the event of PI and his/her team not working on the proposed deliverables/ unsatisfactory progress/ lack of commitment in meeting the project schedule/ not implementing recommendations of the Review Experts or under some unforeseen circumstances.

4.1.2.16. The seed grant money provision would be available to faculty members only once during their tenure at the University. Further under section 4.1.2.15 if the project of a faculty member is terminated, he/she will lose the opportunity to seek the grant again.

#### 4.1.3. External Funding to be raised by Faculty Members

Faculty members are encouraged and supported to apply for Research Grants/Infrastructure to various funding agencies of both Government and Private Organizations. He/She shall take utmost care in preparing a funding budget with clear understanding that the project will not burden the University. They should also include adequate overheads for utilizing shared services/resources of the University.

##### 4.1.3.1. Processes for External Funding

Faculty members from the University can formulate the research project proposals in their areas of expertise. An Individual project Proposal shall have one Principal Investigator (PI) preferably with one Co-PI. However, in case of multi/inter disciplinary field of research, a maximum of three Co-PIs is permitted. Emphasis shall be on Inter/multi-disciplinary research to achieve Innovations through research.

- i. All the Research Proposals should be forwarded through School Deans to Dean Research well in time to meet the deadline of the funding agency. The office of R&D Division will examine these proposals and suggest modifications, if required, and conformance to the stipulated conditions of the funding bodies.

- ii. Upon approval of Dean Research, the PI will forward the proposal under the aegis of Presidency University to the funding agency. A copy of the submitted proposal is to be submitted to School Dean and Dean Research for records without fail.
- iii. The PI shall intimate the sanction/ rejection of the submitted proposals to the Dean Research.
- iv. PI is authorized and responsible for all the financial transactions complying to fiscal norms of the University. He/she shall submit a Copy of the Annual Audited financial statement and Utilization Certificate duly certified by FO to the R&D Division.
- v. In case the research funding provides funds for appointment of temporary project staff (JRF, SRF, Research Assistants, Lab Assistants etc.) the PI in consultation with Dean Research shall have the right to appoint such staff conforming to the HR policy of University.
- vi. PI shall get a copy of the Annual Progress report duly approved by Dean Research before submitting to the funding agencies.
- vii. PI shall submit the Progress reports duly approved by the Dean Research as and when due to the Funding agencies and attend all the Review Meetings without fail.
- viii. PI shall constitute a Purchase Committee as per the norms of the University to oversee the purchases of equipment/Items as listed in the sanctioned letter of the Project Proposal.
- ix. PI is responsible for installation and maintenance of all the equipment procured under the sanctioned grants in a place allotted by the University to operate the respective Research Centers. He/She shall put in place mandatorily all the necessary safety and environmental protection measures to safeguard all the users from any accidents.
- x. In case of survey Projects, PI shall have prior appropriate and necessary permissions by the concerned authorities.
- xi. PI is responsible for successful completion of the Sanctioned Projects within the allotted timeframe. He/She should submit a closure report duly approved by Dean, Research in the standard format as suggested by the Funding agency.



- xii. In the event of PI unable to continue execution of the sanctioned project due to unforeseen reasons (resignation, ill-health, long leave), the designated Co-PI shall be the PI and will be responsible for the successful completion of the project
- xiii. PI and Co-PIs are encouraged to publish the outcomes of research of sanctioned projects in Refereed Journals/ Conferences after seeking the necessary permission from the funding agencies. In all the Publications, PI should acknowledge the funding agency as well as the University. Wherever, there is a possibility of Innovation in the outcomes, PI and Co-PI's should not publish the results but are encouraged to apply for patent(s).
- xiv. In case there is a possibility of Co-owned Intellectual Property rights in the Sanctioned project, it is the responsibility of the PI to protect it by applying for Joint Patent in consultation with the concerned authorities of the funding agency. The University shall also have joint right as a Patent Owner with PI and Co-PIs as Investigators.
- xv. PI is responsible for maintaining the data/records of observations/Trials/ Experiments/Simulation results, Action Plan records, Audited Financial Statements, Problems faced, Progress reports and Closure Reports with due professional ethics.

## 5. INCENTIVES FOR FACULTY MEMBERS TO ACCELERATE RESEARCH PROMOTION

To retain and motivate the faculty to contribute towards achieving the University research goals, the following incentives are being proposed.

### 5.1. Incentives for External Grants for Research and Establishment of Research Centers

To encourage the faculty to actively participate in applying for research grants from outside agencies, it is proposed that a faculty succeeding in getting the grants shall be entitled for the following incentives.

- 5.1.1. PI of sanctioned Project shall get an appropriate incentive based on the size of the sanctioned project. These incentives would be payable in parts over the course of the project. (Refer Annexure – I).

### 5.2. Incentives for Research outcomes: Journal Publications/Books/Book Chapters/Patents

The disbursement of the incentives described as under shall be prerogative of a committee constituting of VC, Respective School Dean and Dean Research, after ascertaining the reputation of the journal and publishers. (Refer Annexure – I).

- 5.2.1. Faculty members publishing papers in peer reviewed Journals.
- 5.2.2. Faculty members contributing a Book Chapter in Books published by reputed National/ International Publishing House.
- 5.2.3. Faculty members publishing full Book with reputed National/International Publisher.
- 5.2.4. Faculty members publishing the Patent, shall receive an incentive.
- 5.2.5. On award of the Patent, the contributing faculty shall receive an incentive.

5.3. Incentives for Conference Publications/Technical Session Chairperson/Invited Speaker To ensure dissemination of research activities in the right forum, to create networking opportunities for collaborations, to be abreast with the latest developments in cutting edge technologies and domains, faculty are encouraged to attend Conferences, Seminars, Workshops, Faculty Development Programme organized by reputed National and International Scientific/Academic/Research/Professional Bodies.

The nominations of the faculty members to the conference / seminars/ FDPs as duly approved by School Deans under the faculty incentives scheme shall be prerogative of a committee constituting of VC, Dean Academics and Dean Research, after ascertaining the reputation of the organizers and quality of the events.

- 5.3.1. Annually a Professor is entitled for a maximum of Rs.1,00,000/- (Academic year from August to July)
- 5.3.2. Annually an Associate Professor is entitled for a maximum of Rs.75,000/- (August-July)
- 5.3.3. Annually an Assistant Professor is entitled for a maximum of Rs.60,000/- (August-July)
- 5.3.4. Academic Leave of 10 days.
- 5.3.5. Faculty members can attend not more than Four Events in one academic year
- 5.3.6. Application for the Participation needs to be forwarded by School Dean. Faculty members should submit the following documents for seeking approval prior to attending the Event:
  - i. Acceptance Letter and Event Brochure
  - ii. Copy of Abstract with Full Paper (Accepted Version)
  - iii. Invitation Letter
  - iv. Estimated Expenditure

A sanction letter from the office of the Dean Research shall be issued to the successful applicant.

5.3.7. After the event, the following documents need to be furnished by the faculty participant to the office of the Dean Research routed through School Dean. A copy of the following documents needs to be submitted to the Finance Dept. for final settlement of accounts:

- i. Travel Documents
- ii. Proof of participation
- iii. Proof of Expenditure
- iv. Brief Report on the event Attended and Benefits to Department/School/University

However, faculty are encouraged to seek financial assistance for Travel and Registration from Funding Agencies like DST, AICTE, CSIR for International conferences outside India specially under policies which promote young faculty researchers.

#### 5.3.8. National Events

The Faculty Members may attend Inter-State, National-level Events of repute for which the following support will be rendered:

- a. Registration Fee (reimbursement up to a maximum of Rs.2000/- per event)
- b. Travel Allowance (as per Policy)

#### 5.3.9 International Events

The Faculty Members are encouraged to seek Financial Assistance, in as much as possible, from Funding Agencies like DST, AICTE, CSIR for International Conferences outside India, especially under Policies which promote young Faculty Researchers. Presidency University will, however, provide support in the following manner:

- a. Travel Allowance (as per policy- Shortest route To and Fro Economy Airfare)
- b. Partial Registration fee

Note: All other Expenses shall be borne by the Faculty Member.

#### **Incentives for Conference Proceedings**

1. Rs. 3000/- Per Paper published through Conference Proceedings with **ISBN No.**

## 2. Rs. 10,000/- for **Best Paper Award in Conferences** Conducted/Organized in other Institutions

### 5.4. Sabbatical Leave

As per HR leave policy, it is proposed to permit faculty to take up Overseas Sabbatical assignments in Universities and National sabbatical assignments with Industries. This is to promote global exposure to faculty and to enhance their research and teaching capabilities.

A Faculty member may apply for sabbatical leave as per the HR Policy.

### 5.5. Academic Leave

As per HR leave policy the faculty members are provided with academic leave for a maximum of 10 days in a year to enable them to disseminate his/her research activities, to promote networking opportunities and updating the latest knowhow in their domain by attending/presenting research papers in conferences/seminars.

- 5.5.1. The faculty members interested in availing the academic leave should route his/her application forwarded by the school dean well in advance of at least Two Weeks prior to the event dates.

### 5.6. Faculty Appraisal and Development System (FADS)

The University has an appraisal system in place to encourage and reward faculty members to contribute towards research and consultancy activities as detailed in the FADS Policy.

## 6. RESEARCH SUPPORT FOR STUDENTS

### 6.1. Research Incentives for UG students

To inculcate the spirit of research amongst UG students and to encourage them to involve in the research activities of the University, it is proposed to introduce a scheme "Undergraduate Research Experience" (URE).

- 6.1.1. To be eligible he/she shall have a minimum CGPA of 8.0.
- 6.1.2. Students desirous of opting this scheme should apply through Research mentors of the Departments/School either in even or odd semester to the office of Dean, Research. The application should mention the Research topic and Specific Outcomes.
- 6.1.3. The Research Interns shall work closely with their research mentors and publish their

research outputs in reputed Seminars/Conferences.

6.1.4. The URE can consists of following set of activities:

- i. Assisting the PI or Co-PI who has an internally or externally funded project in terms of data collection, data analysis, conduct of experiments and report writing. Based on the judgment of the PI, he/she will be given a token stipend. These research experiences will run concurrently with the academic semester. However, onus is on the students to work on these assignments outside of class timetable.
- ii. Summer Research Experience: In this case, interested students may spend an entire summer with the research centers or within the university or outside the university and undergo such research activities.
- iii. Selected students who have potential to go for higher education may also opt for research internship in which case an internship amount of Rs.5000/- for their internship period of Eight Weeks.

6.1.5. A report highlighting the research experience during the course of any of above three research activities should be submitted to the office Dean Research, duly forwarded by the Research mentor.

6.2. Research Incentives for Ph.D. Scholars.

Research scholars are encouraged to keep abreast with latest know how of research knowledge and dissemination of their research outcomes by attending workshops/seminars/symposium /conferences at National and International levels.

6.2.1. Full Time Research Scholars are entitled for contingency grant of Rs.10,000=00 per annum as per the University Research Fellowship based on recommendation by the Research Supervisor and School Dean, approved by Dean Research.

6.2.2. Research Scholars should submit the following documents for seeking approval prior to attending the Event.

- i. Acceptance Letter and Event Brochure
- ii. Copy of Abstract with Full Paper (Accepted Version)
- iii. Invitation Letter
- iv. Estimated Expenditure
- v. A sanction letter from the Dean, Research shall be issued to the successful applicant.

6.2.3. After the event, the following documents need to be furnished by the research scholar to the office of Dean, Research routed through School Dean. For final settlement of accounts, the following documents to be submitted to the Finance Officer of PU:

- i. Travel Documents
- ii. Proof of participation
- iii. Proof of Expenditure
- iv. Brief Report on the event Attended and Benefits to Department/School/University.

### 6.3. Research Incentives for Post-Doctoral Research Fellows

To encourage young Ph.Ds. to continue their research work and to strengthen the R&D efforts of the faculty in contributing to the research activities, the university will provide Post-Doctoral Fellowship in specific domains. The guidelines for the award of Post-Doctoral fellowship will be announced from time to time.

## 7.0 Subscription to Professional Bodies

The University believes that Employees should be given opportunities to create networking bases for future collaborations and to be kept abreast with the latest developments in cutting edge technologies and domains. In this direction, the University perceives a need to encourage Members of the Academic Fraternity to subscribe to at least one Professional Body, which is related to their respective Domain-expertise.

### 7.1 Guidelines

7.1.1 The University will compensate the Employee for Professional Subscription or Membership Fee where it is deemed necessary for the discharge of their respective roles in the University or is a pre-requisite to help them enhance the quality of Academic/ Research-pursuits.

7.1.2 The Faculty Members are entitled to a maximum of two subscriptions to Professional Bodies which have advisory or regulatory control over the domain or discipline in which the eligible Employee is teaching or whose professional qualification and nature of work is relevant to the Professional Body to which Membership/Subscription is sought.

7.1.3 The Professional Body shall be on the Approved List of Professional Bodies as published by the University. Where the Professional Body is not on the Approved List of the University, a special recommendation can be taken from the Dean – R&I and HR, on a case to case basis. Such request and approval will be routed through the Offices of the respective Dean of the School to which the Eligible Employee is attached and that of the Vice Chancellor

7.1.4 The Subscription/ Membership Fee shall not exceed Rs. 4,500 per year. In circumstances where the duties of the Position in the Organization span more than one professional discipline and are not covered by the existing subscriptions or where membership of other respected and reputed Associations/Bodies will add value to the University, the Dean – R&I and HR may recommend the necessary grant, for final approval from the Vice Chancellor.

7.15 The Fee, once approved can, on the advice of the Vice Chancellor, be either paid as Institutional Membership or reimbursement can be claimed, by the Employee, post payment from his/her personal account, as evidenced by a valid Receipt from the relevant Professional Body.

7.16 To be eligible for reimbursement, Employee must demonstrate some form of correlation between the use of the Professional-body Membership and the Performance of the Duties or for Higher Learning or Career-enhancement purpose like completing a professional qualification, publishing papers, inclination to act as a Mentor to Junior Faculty who are working towards full membership of the applicable Institution or such membership is essential to carrying out the duties of the position,

## 8.0 AMENDMENTS

This policy will be reviewed periodically to rectify anomalies, if any, and to incorporate feedback received from the stakeholders, impact analysis and deliberations of the focus group constituted by the Vice Chancellor.

ANNEXURE-I

**Guidelines for Incentives\* to Faculty Members for Accelerating Research**

**Note: \* The corresponding Incentive percentages are applicable only to PU faculty members.**

1.0 Incentives for External Grants for Research and Establishment of Research Centers			
Sl. No.	Type of Grant	Incentive to PI (Rs.)	Note
1	Research Projects	10% of the sanctioned grant	In case of Co-PI(s), 5% of the sanctioned grant is for the PI and the remaining 5% will be shared equally among the Co-PI(s)
2.0 Incentives for Journal Publications			
Sl. No.	Journal Quality	Single Author Incentive (Rs.)	Multiple Author Incentive (Rs.)
1	A*/ Q1 with TR IF >1.50	35,000/-	In case of Co- Authors, 50% of the Single Author incentive is for the first author and remaining 50% will be shared equally among the other Co-Authors
2	A/ Q1/Q2 with TR IF 1.0-1.49	25,000/-	
3	B/ Q2/ Q3 with TR IF 0.5-0.9	15,000/-	
4	D/C/Q1/Q2/ Q3/Q4/ with TR IF <0.50/ & Scopus/WoS, UGC CARE Indexed but Non Ranked	5,000/-	
3.0 Incentives for Books			
Sl. No.	Books Publisher	Single Author Incentive (Rs.)	Multiple Author Incentive (Rs.)
1	National	10,000/-	In case of Co- Authors, 50% of the Single Author incentive is for the first author and remaining 50% will be shared equally among the other Co-Authors
2	International	15,000/-	
4.0 Incentives for Book Chapters			
Sl. No.	Books Chapter Publisher	Single Author Incentive (Rs.)	Multiple Author Incentive (Rs.)
1	National International	5,000/- 10,000/-	In case of Co- Authors, 50% of the Single Author incentive is for the first author and remaining 50% will be shared equally among the other Co-Authors
5.0 Incentives for publication of the Patent			
Rs. 10,000/- (In case of Co- Authors, 50% is for the first author and remaining 50% will be shared equally among the other Co-Authors)			
6.0 Incentives for Award of the Patent			
Rs. 50,000/- (In case of Co- Inventors, 50% is for the first Inventor and remaining 50% will be shared equally among the other Co-Inventors)			
7.0 Incentives for Conference Proceedings			
1. Rs. 3000/- Per Paper published through Conference Proceedings with ISBN No.			
2. Rs. 10,000/- for Best Paper Award in Conferences Conducted/Organized in other Institutions			



