

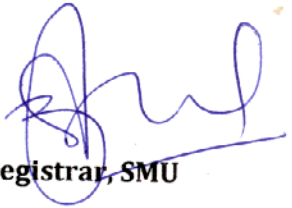


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05.10.2017

**SIKKIM MANIPAL UNIVERSITY: REVISED RESEARCH INCENTIVE POLICY**

- 1 The revised Research Incentive Policy of Sikkim Manipal University as recommended by the Committee constituted as per directions of 51<sup>st</sup> Academic Senate meeting held on 27<sup>th</sup> June 2017 is enclosed herewith.
- 2 This policy supersedes all the previous notifications on Research Incentive Scheme issued by Sikkim Manipal University from time to time.
- 3 The policy will be effective from 1<sup>st</sup> December 2017.
- 4 This has the approval of Vice Chancellor, SMU.

  
Registrar, SMU

**To,**

- ✓ Dean, SMIMS
- ✓ Director, SMIT
- ✓ Dy. Director, SMUDDE
- ✓ Principal, SMCON
- ✓ Principal, SMCPT
- ✓ Coordinator, Humanities & Soc. Sc., SMU
- ✓ Head, HR, SMU
- ✓ Finance Officer, SMU

**Copy to:**

- ✓ Vice Chancellor, SMU
- ✓ Associate Director ( R & D), SMIT
- ✓ Associate Dean (R & D), SMIMS





## SIKKIM MANIPAL UNIVERSITY (SMU)

### RESEARCH INCENTIVE SCHEME (RIS)

#### 1. OBJECTIVE OF THE SCHEME

- To motivate faculty members to concentrate on research related activities, in addition to the teaching, so as to publish research articles in reputed journals which are indexed in **For Technology, Science, Management and Social Sciences**  
SCI / SCI-E / SSCI  
**For Health Sciences**  
Pubmed / SCOPUS / Index Medicus.
- To pursue efforts to write books, monographs for publication by – International and National publishers of repute.
- To evince interest among the faculty members so that they take efforts to establish collaborative research projects with their counterparts in reputed National and International Universities.
- To encourage faculty members to submit proposals and secure funded research projects from various funding agencies in India and Abroad.
- To undertake consultancy projects sponsored by Government & Private, Industrial and other organizations.
- To encourage creativity in the minds of the faculty members, so that they make original contributions by way of products, concepts, etc and obtain patents.
- To reach out to National and International professional societies.

#### 2. SCOPE OF THE SCHEME

This scheme covers fulltime faculty members who are on rolls of Sikkim Manipal University (SMU) and faculty members appointed on contract basis including faculty members appointed under Post Retirement Engagement policy.

#### 3. DETAILS OF THE SCHEME

##### 3.1 Research Publications (Faculty Members)

Publications in indexed journals (*quoted in Para 1*) will only be considered for incentive. Single author publications shall be eligible for incentive amount of Rupees Ten Thousand (Rs.10000). The amount shall be equally divided among authors for multi authored publication.

##### 3.2 Research Publications (Students)

- a. Equal sharing of incentive amount (*as quoted in Para 3.1*) is applicable to student authors also in case the publication is jointly made with teacher/ mentor in the indexed journal (*quoted in Para 1*).
- b. Incentive amount of Rupees Two Thousand (Rs. 2000) is applicable to student authors for publications in any other peer reviewed journals besides journals quoted in *Para 1*.
- c. In case of multi authored publication in *Para 3.2 (b)*, incentive will equally be shared by student authors



3.3 Authors outside the SMU fraternity are not entitled for this scheme.

3.4 Authors also must be aware of Institute policy on academic dishonesty and plagiarism [Annexure I].

3.5 Publication claim under Research Incentive Schemes (RIS) of Sikkim Manipal University (SMU) must be made within a month of publications in the prescribed form in Annexure II.

### 3.6 RESPONSIBILITY

- a. The corresponding author shall take the responsibility to screen the paper for plagiarism, ethics approval, and background checks about the potential, possible, or probable predatory scholarly open access journals before communicating the research publication for Beall's list of predatory publishers. Updated list of Beall's predatory publishers will be periodically circulated or uploaded in [www.smitresearch.in](http://www.smitresearch.in) / [www.smimsresearchunit](http://www.smimsresearchunit) ***Papers published in these journals at the time of communication shall not be considered for incentive points. Please refer [www.bealslist.weebly.com](http://www.bealslist.weebly.com).***
- b. Eligible candidate to inform Head of the Institution with a draft copy of publication.
- c. Publication claim under Research Incentive Schemes (RIS) of Sikkim Manipal University (SMU) must be made within a month of publications in the prescribed form in Annexure III.
- d. Published paper must have 'Sikkim Manipal University' as the affiliation.
- e. Proof of journal paper and its indexing must be submitted while making claim.

### 3.7 Publications of Books

Faculty members who have taken efforts to write and publish books or monographs are encouraged and incentive will be given to the faculty member as per the cap provided:

Amount in INR

Details	Published By	Amount
Full Book	Renowned International Publisher	10000
Full Book	Renowned National Publisher	5000
Edited volume of book with articles or chapters ( <i>with ISSN/ISBN number wherever necessary</i> )	Renowned International / National Publisher	2000
Monographs	National Level / International Level	2000

- (a) If the book / chapter / monograph are contributed by more than one author, the incentive amount will be shared by all the authors equally.
- (b) Published chapters or monographs must have 'Sikkim Manipal University' as the affiliation.
- (c) Incentive claim under Research Incentive Schemes (RIS) of Sikkim Manipal University (SMU) must be made within a month of publications in the prescribed form in Annexure III.
- (d) Study material prepared and distributed as part of course material for University run courses including distance education programs will not be eligible for incentive.





#### 4. Generation of Research Grants or Grants for Upgradation of Research Infrastructure

- (a) Faculty members are expected to submit proposals for research grants from funding agencies.
- (b) It is quite likely, that these projects may involve modernization of laboratories or research infrastructure, acquiring of equipment required specific to the research study or conducting of surveys, etc.
- (c) Research incentive will be 5% of the allocable amount *if the Institutional overheads are less than 10% of the project* and 10% *if the overheads are 10% or more of the project cost*. Research grants with no overheads are eligible for 5% incentive. **However, researchers are encouraged to include institutional overheads while proposing the grant budgets.**
- (d) Principal Investigator will be entitled for 60% of the incentive while remaining 40% shall be equally distributed among the Co-Investigators.
- (e) The maximum limit for any faculty shall be Rupees Five Lakhs (Rs.5.00 Lakhs) per year with taxes as applicable. *The amount will be payable over the period of the grant.*
- (f) There will be only one Principal Investigator and faculty members assisting the Principal Investigator with any other title/s will be treated as Co-Investigators for the purpose of calculation of the incentives.
- (g) If there is no Principal Investigator, the incentive shall be shared equally among the Co-Investigators
- (h) Principal and Co-Investigators from outside University will not be eligible for the incentive.
- (i) Incentive claim under Research Incentive Schemes (RIS) of Sikkim Manipal University (SMU) must be made within a month of sanction of project grant in the prescribed form in Annexure IV.

#### 5. Undertaking Consultancy Projects

Consultancy projects received by the various departments of Institutions under SMU from private or public organizations / agencies have been categorized into two, viz.,

##### 5.1 Total cost of consultancy project is pre-defined

- a. Consultancy project with a substantial contribution by the investigator(s) and no resources of the University (like laboratory, computer, software etc. utilized), the 'consultancy fee' shall be divided between investigator(s) and the Institute in 60:40 ratio. The 60% of the 'consultancy fee' for investigator(s) shall be divided in 2:1 ratio between the Principal investigator and Co-investigators (in case of more than one investigator).
- b. Consultancy project utilising the resource of the Institute such as laboratory facilities, computing facilities, drafting and other facilities, the share of the Institute will be 60% of the total consultancy amount received and 40% will go to the investigator(s) involved in the consultancy work. The 40% of the 'consultancy fee' for investigator(s) shall be divided in 2:1 ratio between the Principal investigator and Co-investigators (in case of more than one investigator).
- c. The Institute share (as stated in *Para 5.1 (a)* and *Para 5.1 (b)*) shall be divided between the Institute and the Department concerned in 50:50 ratio. The 50% of the Department share shall be credited to the Department budget.





**5.2 The work or laboratory tests are chosen by the party (individual / public / private organizations)**

- a. In this case, the 'consultancy fee' refers to the total charges of tests conducted for the particular consultancy project / work. The charge / fee for all and every tests are pre-defined by the Department concerned and must be approved by the Academic Senate.
- b. The 'consultancy fee' shall be divided between investigator(s) and the Institute in 60:40 ratio.
- c. Twenty percent (20%) of the 'consultancy fee' received by the investigator(s) shall be given to the Laboratory Assistant(s) / Junior Engineer(s) involved in the project, if any.
- d. The Institute share shall be divided between the Institute and the Department concerned in 50:50 ratio. The 50% of the Department share shall be credited to the Department budget.
- e. Incentive claim under Research Incentive Schemes (RIS) of Sikkim Manipal University (SMU) must be made within a month of sanction of consultancy project grant as quoted in *Para 5.1* and *Para 5.2* in the prescribed form in Annexure V.

*Note:* \*The maximum limit to be claimed by faculty under 5.1 and 5.2 to be Rs 5 lakhs (rupees five lakhs only) per year including applicable taxes.

**6 Membership of Professional Societies**

- a. All faculty members on roll of SMU acquiring membership for National and International professional societies are eligible for reimbursement of 75% of cost of membership registration fee.
- b. No life membership fees will be reimbursed for any professional society / association.
- c. Maximum of Rupees Eight Thousand (Rs. 5000) will be paid for both National and International society membership.
- d. Incentive claim under Research Incentive Schemes (RIS) of Sikkim Manipal University (SMU) must be made within a month of registration with the professional bodies in the prescribed form in Annexure VII.

**7 PERIOD OF RECKONING**

At the end of every financial year (*from 1<sup>st</sup> April of existing year to 31<sup>st</sup> March of next year*).

**8 PAYMENT OF INCENTIVE**

- a. All claims to be made within a month of same financial year based upon the evidence produced and recommendations of by the Head of the Department followed by the Associate Director (R&D) / Associate Dean (R&D) to the Head of the Institution.

**9 OTHER CONDITIONS / GUIDELINES**

- a. It is the responsibility of the faculty member who is making the incentive claim to produce evidence for any Research Incentive Schemes (RIS) under Sikkim Manipal University (SMU).



- b. The incentive for journal publications shall apply to any number of papers, subject to the condition of Intellectual Property Rights (IPR) policy of SMU. Plagiarised works, claims on duplicated papers with different titles of the same content in different journals, seminars or dailies and such other irregularities shall attract severe disciplinary action as per SMU Policy on Academic Dishonesty and Plagiarism (Annexure I).
- c. Faculty member is expected to submit duly filled form as per the prescribed format attaching copies of evidence duly countersigned by the Head of the Department concerned. *Any additional information may be furnished in a separate sheet during the claim.*
- d. When a paper being presented in National/ International conference has multiple authors, the right of travel for presentation of the paper will be restricted to the presenting author only.
- e. After checking the claim and approval by the Head of Institution, incentive amount will be disbursed to the faculty members.
- f. Appeals, if any, relating to the application of the incentive system, will be addressed by the Head of the Department followed by Associate Director (R&D) / Associate Dean (R&D), with oversight by the Head of Institution.





## Annexure I

### Sikkim Manipal University (SMU) Policy on Academic Dishonesty and Plagiarism

#### **1. Preamble:**

The University is committed to academic excellence and high standards of ethical conduct in research and scientific work.

Scientific misconduct relates to data fabrication, falsification, plagiarism, or any other practice that seriously deviates from those commonly accepted within the national and international scientific community, either in performing or reporting research. SMU expects that its faculty, research scholars and students will adhere to the highest national and international standards of good scientific conduct in their research work. Researchers will be responsible for their work and actions.

Sensitization of researchers / faculty / staff with regard to the Institute policy on Academic Dishonesty and Plagiarism will be implemented through Head of the Institute with the help of research committee of the Institution. Academic excellence of the University shall be maintained on implementation of the Institute Policy on Academic Dishonesty and Plagiarism.

#### **2. Prevention:**

It is the authors' and co-authors' responsibility to prevent any complaint of plagiarism and academic dishonesty while publishing papers / manuscripts, books or making paper presentation in a conference / seminar.

The authors are also responsible for any act of plagiarism, cheating, fabrication, academic dishonesty and research misconduct. Matters related to student plagiarism, authorship issues and actions of research misconduct will be dealt with the Institution concerned. A committee appointed by the Head of Institution will scrutinize authorship, affiliations, acknowledgement, suitability, improvement and other issues.

#### **3. Disciplinary Actions:**

The Head of Institution under SMU will appoint an enquiry committee, in consultation with the Vice Chancellor, SMU, to investigate and suggest punitive actions whenever an act of plagiarism or academic dishonesty is reported. The Head of Institution with the help of the respective Departments will help SMU to prevent and curb any type of plagiarism and academic dishonesty.

Disciplinary action will be taken as per the recommendations of the enquiry committee after approval of the Vice Chancellor.

This policy is framed in order to maintain the academic excellence and honesty at SMU. This policy may be amended from time to time as per the requirements and circumstances.



**Annexure II**  
**Claim Form for Incentive Scheme for Journal Publication**

- PUBLICATION ID:
- Title of the paper: -----

Names of Authors	Type of Author	Department	EMP code / Reg. No.	Corresponding Author (Y/N)

- Name of the Journal:-----
- Volume:----- Issue:----- Month & Year:-----
- Page: From ---- to ----
- Category of article:-----
- Journal article indexed in:-----

**Declaration by the submitting Author:**

I / we certify that I / we have published article which is devoid of plagiarism. I / We have taken due care to ensure that my / our published paper does not contain plagiarism material.

Name:-----

Department:----- Institution:-----

Email ID:----- Signature with date:-----

**For the use of forwarding office only:**

Name & Signature of the HoD

Name & Signature of Institute (R&D) In-charge

For the use of the Head of Institution, only:

Approved / Not approved for incentive

Head of Institution





**Annexure III**

**Claim Form for Incentive Scheme for Book / Chapter / Monograph Publication**

- **Month and Year of Publication:**
- **Title of the book / chapter / monograph:** .....
- **ISSN / ISBN Number (if any):** .....
- **Page Number (for Book Chapter / Monograph):** From..... to .....

Names of Authors	Department	EMP code / Reg. No.	National / International Publisher	Name of the Publishing house	Edition

- **Sample of the Book / Book Chapter / Monograph to be submitted along with the claim form.**

**Author(s):**

1. Name:.....  
 Department:..... Institution:.....  
 Email ID:..... Signature with date:.....
2. Name:.....  
 Department:..... Institution:.....  
 Email ID:..... Signature with date:.....

**For the use of forwarding office only:**

**Name & Signature of the HoD**                      **Name & Signature of Institute (R&D) In-charge**

**For the use of the Head of Institution, only:**

**Approved / Not approved for incentive**

**Head of Institution**



**Annexure IV**  
**Claim Form for Incentive Scheme on Research Grant / Grant on Upgradation of Research Infrastructure**

- **Title of Research Project / Laboratory Upgradation:**
- **Project Granting Agency / Organisation:**
- **Grant Date / Year:**
- **Grant Reference Number:**
- **Total Amount of the Project:**
- **Amount Sanctioned:**
- **Overhead Charge (if any):**
- **Tenure of the Project:**
- **Incentive amount claimed:**

**Investigator (s):**

1. Name of Principal Investigator:-----  
Department:----- Institution:-----  
Email ID:----- Signature with date:-----
2. Name of Co-Investigator:-----  
Department:----- Institution:-----  
Email ID:----- Signature with date:-----
3. Name of Co-Investigator:-----  
Department:----- Institution:-----  
Email ID:----- Signature with date:-----

**For the use of forwarding office only:**

**Name & Signature of the HoD**

**Name & Signature of Institute (R&D) In-charge**

**For the use of the Head of Institution, only:**

**Approved / Not approved for incentive**

**Head of Institution**





**Annexure V**  
**Claim Form for Incentive Scheme on Consultancy Services**

- Title of Consultancy Project / Laboratory Tests:
- Project Granting Agency / Organisation:
- Total Amount of the Project / Tests:
- Amount Sanctioned:
- Overhead Charge (specified if any):
- Tenure of the Project / Tests:
- Incentive amount claimed (60% of the total amount / 40% of the total amount):
- Grant Date / Year:
- Grant Reference Number:

**Investigator (s):**

1. Name of Principal Investigator:-----  
Department:----- Institution:-----  
Email ID:----- Signature with date:-----
2. Name of Co-Investigator:-----  
Department:----- Institution:-----  
Email ID:----- Signature with date:-----
3. Name of Laboratory Assistant / Junior Engineer:-----  
Department:----- Institution:-----  
Email ID:----- Signature with date:-----

**For the use of forwarding office only:**

Name & Signature of the HoD

Name & Signature of Institute (R&D) In-charge

For the use of the Head of Institution, only:

Approved / Not approved for incentive

Head of Institution



**Annexure VI (a)**  
**Claim Form for Incentive Scheme for Conference Presentation / Publication**

- PUBLICATION ID: .....
- Title of the paper: .....

Names of Authors	Type of Author	Department	EMP code / Reg. No.	Corresponding Author (Y/N)

**(a) For Conference Publication**

- Name of the Conference:-----  
 Volume:----- Issue: ----- Month & Year: ----- Page: From ---- to ---
- ISSN/ISBN of Conference Proceeding:-----
- Paper indexed in: .....

**Declaration by the submitting Author:**

I / we certify that I / we have published article which is devoid of plagiarism. I / We have taken due care to ensure that my / our published paper does not contain plagiarism material.

Name:-----

Department:----- Institution:-----

Email ID:----- Signature with date:-----

**For the use of forwarding office only:**

Name & Signature of the HoD                      Name & Signature of Institute (R&D) In-charge

**For the use of the Head of Institution, only:**

Approved / Not approved for incentive

Head of Institution





**Annexure VI (b)**  
**Claim Form for Incentive Scheme for Conference Session Chair / Keynote Speaker / Resource Person**

- Title of the Conference / Workshop: .....
- Title of the keynote speech / Session topic : .....
- Venue and Date of Conference / Workshop: .....
- Conference / Workshop brochure and invitation letter are enclosed (Yes / No)

Name:-----

Department:----- Institution:-----

Email ID:----- Signature with date:-----

**For the use of forwarding office only:**

**Name & Signature of the HoD**

**Name & Signature of Institute (R&D) In-charge**

**For the use of the Head of Institution, only:**

**Approved / Not approved for incentive**

**Head of Institution**



**Annexure VII**  
**Claim Form for Registration with Professional Bodies**

- **Name of the Professional Body:**
- **Registration Date / Month / Year:**
- **Total Amount for Registration:**  
*(Enclose letter of registration)*
- **Name of Faculty Member:**-----
- **Department:**-----
- **Institution:**-----
- **Email ID:**----- **Signature with date:**-----

**For the use of forwarding office only:**

**Name & Signature of the HoD**

**Name & Signature of Institute (R&D) In-charge**

**For the use of the Head of Institution, only:**

**Approved / Not approved for incentive**

**Head of Institution**

