SHRI RAMSWAROOP MEMORIAL UNIVERSITY

Village – Hadauri, Post – Tindola, Lucknow-Deva Road, Barabanki – 225003

Policy for Allocation of University Research Fund

(w.e.f. session 2018-19)

Ref. No: SRMU/RO/Policy/ URF/2018-19/04 Issue No. – 01	Compiled By	Checked By	Approved By
	Deputy Registrar (Academics)	Director, Research & Consultancy	Vice Chancellor
Date of Issue: 11 July, 2018			

1

INDEX

Ref. No: SRMU/RO/Policy/ URF/2018-19/04 Issue No. – 01	Compiled By	Checked By	Approved By
Date of Issue: 11 July, 2018	Deputy Registrar (Academics)	Director, Research & Consultancy	Vice Chancellor

SHRI RAMSWAROOP MEMORIAL UNIVERSITY

Policy for Allocation of University Research Fund (w.e.f. 2018-19)

1. Introduction

The University shall allocate 1% of total revenue generated in that year to the University Research Fund on annual basis. The research fund shall be utilized for the promotion of research in the University based on the recommendations of **'University Research Board'** as per the University Research Policy.

2. Allocation of University Research Fund

In compliance to the research policy of the University, the University Research Fund shall be further allocated under the following budget subheads to serve the purpose of effective research promotion in the University

S. No.	Budget Subhead	Percentage of URF
1	University Research Fellowship	30%
2	Seed Money for Research Project	20%
3	Financial Support for attending Conferences/Workshop, publishing research paper	10%
4	Organizing Conferences/Workshop	16%
5	Usage of External Facilities	04%
6	IPR control	07%
7	Research Books and Software	13%

3. University Research Fellowship

Research scholars are integral part of any University to create and maintain a vibrant research culture. To promote research promotion and create human resource for the development of the society, the University provides University Research Fellowship to the brilliant full time Ph.D. research scholars though selection process.

3.1 Tenure & Entitlements

3.1.1 A fix stipend of Rs 15,000/- per month shall be awarded to the Ph.D. research scholar after the approval of synopsis for the period of two years. The Ph.D. research scholar shall not take any other paid job during the tenure of fellowship.

3.1.2 The rules for working hours and leaves for faculty member of the University shall be applicable to such Ph.D. research scholars.

3.1.3 The rules for financial support for presenting research papers, attending workshop, publishing in UGC approved journals for Ph.D. research scholar shall be same as that for the faculty members of the University.

3.1.4 A teaching load of 8 hrs per week for conducting Laboratory and tutorials for undergraduate students shall be assigned to them.

Ref. No: SRMU/RO/Policy/ URF/2018-19/04 Issue No. – 01	Compiled By	Checked By	Approved By
	Deputy Registrar (Academics)	Director, Research & Consultancy	Vice Chancellor
Date of Issue: 11 July, 2018			

3.1.5 In consensus with their Ph.D. research supervisor, they shall be involved in University examination duties.

3.2 Selection Procedure

The selection of the Ph.D. student for the University Research Fellowship shall be based on the following points

3.2.1 Academic performances at High School, Intermediate, Under Graduate and PG level

3.2.2 NET/ GATE Score

3.2.3 Performance in Pre-PhD course work in the University

3.2.4 Clarity and implications of the proposed research

3.2.5 Personal interview by Research Fellowship Committee

3.2.6 The preference shall be given to Ph.D. students whose research area is same as that of the research project funded by University through seed money.

The Ph.D. research scholar seeking University Research Scholarship shall apply on or before the date notified by Director-Research & Consultancy. The process of selection regarding abovementioned points shall be accomplished by the Office of the Director-Research & Consultancy.

4. Seed money for Research Project

The Seed Grant scheme of the University is designed to stimulate and promote competitive research in strategic areas of national or international importance. Its purpose is to initiate research on new ideas and prepare a ground to take that research for the development of innovative product and technology through external funding.

4.1 Objectives

4.1.1 To aid a faculty member to start a research program that has the potential to sustain by attracting funds from external agencies.

4.1.2 To test a novel idea and to generate preliminary results before submitting proposals to external agencies.

4.1.3 To promote inter-faculty collaboration in emerging areas.

4.1.4 To promote generation of IPR and product/process development.

4.1.5 To attract and retain talent.

4.1.6 To enhance overall research funding - extramural and intramural

4.1.7 To create a positive research environment and ensure excellence in research with an enhanced focus on outcome based research

4.2 Eligibility

4.2.1 Any faculty member of SRMU holding a PhD/M. Tech. degree with a proven track record of quality research and employed in SRMU for at least one semester.

4.2.2 At any time, a Project Investigator (PI) can submit only one application. However, he/she can be a co-investigator in more than one proposal.

Ref. No: SRMU/RO/Policy/ URF/2018-19/04 Issue No. – 01	Compiled By *(signature)* Deputy Registrar (Academics)	Checked By *(signature)* Director, Research & Consultancy	Approved By *(signature/seal)* Vice Chancellor
Date of Issue: 11 July, 2018			

4

4.2.3 Faculty member can avail this opportunity several times during the service period in SRMU given the research outcome of his/her previous intramural research project succeeded in getting extramural research project in the SRMU.

4.3   Award Amounts and Grant Payments

4.3.1 The maximum limit of Seed Money Research Grant is Rs 50,000/- for reasonable and justified research proposals. Amounts awarded shall differ from submitted budget requests at the discretion of the Review Panel.

4.3.2 All awarded funds shall be available for a period of twelve months. No grant funds shall be distributed to investigators until all SRMU regulatory requirements for IPR, Ethics & Safety have been fulfilled.

4.3.3 The granted fund shall be allocated and expenditure from the fund shall be done through the Office of Director, R&C.

4.4   Grant Budgets

Funds shall be utilized for direct expenditures beneficial to the research in the following categories:

4.4.1 Expendable scientific items, services and equipment maintenance needed for the execution of the proposed research project.

4.4.2 Reasonable travel expenses for field based studies.

4.4.3 Stipend to students involved in research project not exceeding Rs 5000/= in entire duration of project.

4.4.4 Funds required for usage of external research facility, publication, paper presentation etc. shall be covered separately by the existing policy of the University.

Funds shall not be budgeted or used for the following:

a) Building construction, alteration, renovation, rent, or utilities

b) Membership dues

4.5   Review Procedures and Evaluation Criteria

4.5.1 Each proposal submitted to this program shall be reviewed by a University Review Panel. The Review Panel shall be composed of SRMU faculty as appointed by the Vice Chancellor on recommendation of Director-Research & Consultancy.

4.5.2 Members of the panel shall be chosen in relation to their expertise and relevance to the research areas encompassed by the submitted proposals.

4.5.3 Submitted proposals shall be evaluated using a standard scoring system. Five review criteria including significance, investigator, innovation, approach and expertise towards the projects shall be used in conjunction with an overall impact score.

4.5.4 Since this is a seed grant program, consideration shall be given to the potential projects which are inclined towards government funding or national/international collaborations.

Ref. No: SRMU/RO/Policy/ URF/2018-19/04 Issue No. – 01 Date of Issue: 11 July, 2018	Compiled By Deputy Registrar (Academics)	Checked By Director, Research & Consultancy	Approved By Vice Chancellor

4.6 Grantee Requirements

4.6.1 The Principal Investigator (PI) on the proposal shall be responsible for conducting the research and monitoring its progress.

4.6.2 The PI shall submit a progress report after six months from the start of the research project on the prescribed format in the Office of Director, R&C. The progress of the research project shall be assessed by the Review Committee constituted by Vice Chancellor on the recommendation of Director, R&C. The remaining grant for next 6 months shall be released on the recommendation of the Review Committee.

4.6.3 After the completion of 1 year, a final report of the research project on the prescribed format shall be submitted in the Office of Director, R&C within the 30 days of completion of the research project. The final report requires a statement of the research objective, a brief report on the research findings, a list of publications from the research work, and a list of potential sponsors to whom grant requests were/shall be submitted (PIs, amount, duration, etc.). The final report of the research project shall be assessed by the Review Committee constituted by Vice Chancellor on the recommendation of Director, R&C.

4.7 Copyrights and Patent Rights

All intellectual property developed during the course of a funded project shall be governed by the policies of SRMU.

5. Financial support for attending Conferences/Workshop, Publishing Research paper

The dissemination of research work by presenting research paper in a conference/seminar/symposia or publishing it in refereed journal is not only important to the Faculty member but also adds to the reputation of the University. Besides this to improve the research and teaching skills of the Faculty member, they should be encouraged to attend summer schools/workshops. The University seeks to improve the research and academic activities of faculty members in direction to raise its international status. This is accomplished by supporting faculty members to attend scientific meetings like national and international conferences, seminars, and hands on workshops, which shall enhance the scientific and technical knowledge of faculty members.

5.1 Eligibility and support for attending the conference/workshop/FDP and publishing research paper

5.1.1 Regular Faculty members/Research students/PG students are allowed to attend the National/International Conference/Seminar/Symposium in India or abroad with support from University as per HR policy of the University if they are presenting a research paper.

5.1.2 Regular faculty members shall be allowed to attend the summer school/workshop/FDP to enhance the research & teaching skills which is aligned to their own discipline or connected to his/her research work and teaching responsibilities. The support for attending such summer school/workshop/FDP shall be provided as per the HR policy of the University.

5.1.3 The financial support towards the publication charges for the research paper published in refereed UGC approved journals shall be provided to Regular

Ref. No: SRMU/RO/Policy/ URF/2018-19/04 Issue No. – 01	Compiled By	Checked By	Approved By
	Deputy Registrar (Academics)	Director, Research & Consultancy	Vice Chancellor
Date of Issue: 11 July, 2018			

Faculty members/Research students/ PG students as per the HR policy of the University

5.2   Process flow for attending the conference/workshop/FDP

5.2.1   Faculty members/Research students/ PG students have to submit the application to the HoD/Dean at least 3 weeks prior to the event along with following documents:

a)   Copy of brochure of the conference/seminar/symposium/summer school/ workshop/FDP

b)   Copy of letter of acceptance for paper presentation (for conference/seminar/ symposium)

c)   Copy of Invitation Letter/Registration Letter (for summer school/workshop/ FDP)

d)   Class arrangement information, if applicable

5.2.2   Dean/ HoD of the Faculty/Department should look into the engagement and duties of the faculty member and alternative arrangements for approval. In case of summer school/workshop/FDP, Deans/HoDs should also write comments about the usefulness of skills and knowledge possibly gained by Faculty member in summer school/workshop/FDP for the Faculty/Department before forwarding the application to the Director of Institute.

5.2.3   Director shall approve/disapprove and forward to Director, R&C with proper justification if any specific responsibility at Institute level has been assigned to the Faculty member during the period of event.

5.2.4   URB/Director(R&C) shall assess the utility of attending/participating in the event to the Faculty and give consent for support/no-support by the University.

5.2.5   On the basis of recommendation of URB/Director, R&C, HR-office should prepare a noting and get approval from the Vice Chancellor/ Pro Chancellor and issue the letter of support/no-support to the concerned faculty member with a copy to Director, R&C and accounts office.

5.2.6   After attending the event, Faculty member shall submit the follow-up report to URB/Director(R&C) on the prescribed format. The follow-up report also contains the conduction of activity such as, seminar, workshop based on the attended event by the faculty member in the University.

5.2.7   URB/Director(R&C) shall assess the follow-up report submitted by the faculty member after the event and endorse for the further process such as releasing financial support/duty leave to the Accounts Office & HR Office.

5.2.8   In case of Faculty member does not adhere to the commitment given in follow-up report his/her support shall be withdrawn.

6.   Organizing Conferences/Workshop/ Seminar/Symposium

Sharing new ideas, enhancing new skills and imparting knowledge is one of the prime objectives of the University. The University encourages such activities by providing supporting faculty members and students to organize scientific events like technical events, symposium, seminars, guest lectures, conferences, workshops and training. It intends to bring together academicians and professionals from various parts of the country and overseas to exchange

Ref. No: SRMU/RO/Policy/ URF/2018-19/04 Issue No. – 01 Date of Issue: 11 July, 2018	Compiled By Deputy Registrar (Academics)	Checked By Director, Research & Consultancy	Approved By Vice Chancellor

their ideas and knowledge. This shall enable the students and faculty community to have an in-depth analysis of different courses and update their knowledge by interacting with the participants from different academic/research institutions attending these scientific events supported by SRMU.

6.1   Objectives

6.1.1   To support the organization of International events (Conferences / Seminars) having themes of global concerns and current interest to facilitate substantive discussions / deliberations / interaction and exchange of information and ideas.

6.1.2   To support the organization of National Events (Conferences / Seminars) having themes of current national interest to facilitate substantive discussions/ deliberations/ interaction and exchange of information and ideas shall take place.

6.1.3   To support the organization of Workshop to create awareness/ skill development/ training in the areas of academic, social, industrial and scientific importance. The workshop shall be a part of the Conference too.

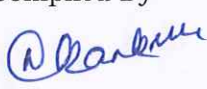**6.2   Financial Support for conducting Conferences /Symposium/Seminar/Workshops**

6.2.1   Token Provision should be made in the budget of the Institutes /Department for initial planning of conferences / Workshops and for holding one local level event during the fiscal year as mentioned below.

Event Type	Maximum Financial Support
International Conference	Rs. 1,00,000
National Conference	Rs. 50,000
Symposium/Workshop/Seminar	Rs. 20,000

6.2.2   This funding opportunity through the University Research Board (URB) shall vary, as subject to availability and on discretion of URB.

6.2.3   Priority shall be given to those conferences that arise out of reputed national or international agreements/obligations.

6.2.4   The Institute / Faculty are required to seek financial sponsorship from appropriate external funding agencies in order to conduct these events.

6.2.5   The organizers of Conference, Seminar, and Symposia should have in-house expertise in the subject field of the proposed event. However, workshops shall be organized only involving external experts with proper justification.

6.3   General guidelines for organizing Conference/ Symposium/Seminar/Workshop

The Institutes/Faculty shall complete sufficiently in advance all preparations for holding conferences/workshop/symposium/seminar (National/ International) and other related formalities. Any such event shall be organized after getting the approval from URB through the Office of Research & Consultancy by submitting application on the prescribed format along with a concept note elaborating; (i) A brief mention of the need for holding the event (ii) The in-house expertise in the subject field of the proposed event (iii) List of agencies who can be approached for sponsorship. The following time-frame is suggested by URB.

Ref. No: SRMU/RO/Policy/ URF/2018-19/04 Issue No. – 01	Compiled By	Checked By	Approved By
	Deputy Registrar (Academics)	Director, Research & Consultancy	Vice Chancellor
Date of Issue: 11 July, 2018			

Event Type	Approval time frame	First Announcement brochure	Second Announcement brochure	Registration to close
National Conference/ Symposium	4 months prior to conference date	2 months prior to conference date	-------	2 weeks prior to conference
International Conference/ Symposium	A year ahead of Conference date	10 months prior to conference date	3 months prior to conference	3 weeks prior to conference
Workshop	4 months prior to workshop date	2 months prior to workshop date	-------	2 weeks prior to workshop

6.4   International conferences / 'Conference visa' for foreign delegates

The organizing Institute/Faculty of SRMU conceiving an idea of holding an event shall be required to submit the proposal to the nodal Ministry of the Government of India, through the Registrar, SRMU. Proposal shall contain information like:

6.4.1   Name of the organizer with complete mailing address.

6.4.2   Topic/Topics to be covered in the event.

6.4.3   Venue of the event.

6.4.4   Date of the event.

6.4.5   Tentative lists of the participating countries and participants with nationality, brief background suiting participation in the event, address, personal and passport details. Proposal should invariably be submitted to the Nodal Ministry. The nodal Ministry shall obtain clearance of Home Ministry or other agencies.

Note: Nodal Ministry or other agency is one which is coordinating / regulating framing rules etc. in respect of subject matter chosen for the event.

Generally, the organizers are required to submit their proposal to administrative/nodal Ministry at least 8 weeks before the commencement of the event. Websites of the relevant Ministry/funding agency shall be checked for further information.

6.5   Visa to the Foreign Participants

Once an event is cleared by the Nodal Ministry, organizers shall send invitation to foreigners who wish to participate in the event. Foreigners should invariably be advised to opt for **'Conference Visa'** only. In the Invitation letter, the organizers should mention the details of clearance accorded by the nodal Ministry for conducting the event. With invitation letter, the participants should approach the Missions abroad for grant of conference visa.

6.6   Closing Report of the Event

The Convener of the Conference/Seminar/Symposium/Workshop shall submit a closing report to the Office of Director, R&C elaborating on the following points*

6.6.1   The total fund generated through various means such as internal grant, sponsorship, registration fee etc.

6.6.2   Statement of expenditure under various budget sub heads as proposed in the approved proposal.

Ref. No: SRMU/RO/Policy/ URF/2018-19/04 Issue No. – 01	Compiled By	Checked By	Approved By
Date of Issue: 11 July, 2018	Deputy Registrar (Academics)	Director, Research & Consultancy	Vice Chancellor

9

6.6.3   A report on event which includes

6.6.4   Details of keynote speakers actually delivered lectures in the event

6.6.5   Total number of participants along with categorized list of participants under the category from; (a) SRMU (student/faculty member) (b) HEIs/Laboratory of National importance (student/faculty member/scientist) (c) Foreign HEIs/Laboratory (student/faculty member/scientist) (d) Corporate Sector.

6.6.6   Number of papers received and number of papers accepted.

6.6.7   Details of Proceeding/Special Issue of the Journal in which conference paper published

Documentary evidences and bills of above mentioned points shall be submitted with closure report

7.   Usage of External Facilities

Following activities shall be considered for financial support under the usage of external facility

7.1   Usage charges of the experiment/fabrication using external facility which is not available in the University.

7.2   Field work for data collection

Faculty member shall take prior approval by URB/Vice Chancellor through the Office of Director, R&C by applying on prescribed format with proper justification. The financial support shall be reimbursed after submitting the report and the bills.

8.   IPR Control

An IPR cell shall be established in the University to protect the IPR of the University as per the National and International laws whichever is applicable. The fund allocated to IPR Cell shall be mainly utilized for the following activities:

8.1   In order to get rid of plagiarism in academic/research documents, internationally accepted software shall be purchased. The software shall be used to ensure the implementation of the University guidelines regarding the plagiarism.

8.2   This fund shall be used to meet the expenses towards filing the patent by faculty member.

8.3   For conducting workshop/seminar to create awareness about IPR among faculty members and students.

9.   Research Books and Software

To promote research, it is very important to equip the faculty members with latest software and books. To achieve the vision and mission related to research and innovation, the University has a separate budget for purchase of books and software.

Faculty member shall acquire the research related books and software by raising its demand in the prescribed format and forwarded by the competent authorities to the Office of Director, R&C. The final purchase process shall be initiated after the approval by the University Research Board/Vice Chancellor.

Ref. No: SRMU/RO/Policy/ URF/2018-19/04 Issue No. – 01 Date of Issue: 11 July, 2018	Compiled By Deputy Registrar (Academics)	Checked By Director, Research & Consultancy	Approved By Vice Chancellor