



RESEARCH POLICY AND PROCEDURES



**SHAILABALA WOMEN'S AUTONOMOUS COLLEGE
CUTTACK
2022-23**

A Model Guideline on the Conduct of Research in SHAILABALA WOMENS AUTONOMOUS COLLEGE, CUTTACK: Policy & Procedures

1. Preamble

The higher education institutions (HEIs) provide the foundation of research and development of a country. India has nearly 1000 universities and 40,000 HEIs of varying categories. Amongst the major stakeholders, the faculty and the research scholars actively contribute to research-development-innovation tasks whereas the students stay engaged in learning activities with research remaining marginal. The research scholars are the mainstay of all R&D activities in SBWAC and must be provided with due facilities, guidance, and clarity in administrative processes that impact their activities. In actuality, the entire gamut of Research, Development, and Innovation activities in this HEI are a complex mixture of many diverse components, such as guiding UG and PG projects, teaching/mentoring M.Phil. and Doctoral students, carrying out sponsored research, dissemination of research outcomes through publications, looking after instruments, management of IPR, consultancy, etc. to name a few.

Though each HEI has evolved its research policy and implementation protocol, the rapid development of technology, increased dependence of socioeconomic development on research and fast-changing student aspiration level for competing in the global arena have necessitated new directions in research policies at SBWAC. The critical issues that must find a place in research policy at the level of HEI are plagiarism, periodic rigorous review, individual research committee, timely implementation of guidance, maintaining strict timelines for registration, thesis submission, evaluation, and viva voce examinations, etc. Therefore, there is an urgency to develop general guidelines and procedures to manage the research ecosystem in the HEIs in Odisha.

Keeping in view the above preamble, it is proposed to place a suggestive model research guideline for SBWAC. The aim of this research guideline on procedures is not to supersede the pertinent ordinances and regulations of the HEI related to the quality of work. Rather, this document will focus on the standard operating procedure (SOP) that will be helpful to the HEI and students in the long run.

2. Scope of the Model Research Guideline

1. To set procedures for UG and PG students' research through funded projects or collaborative research with faculty.
2. To set procedures and guidelines for anti-plagiarism check and uploading of research work to UGC designated portals
3. To set procedures and guidelines for the management of faculty research (with external or internal funding), publications, other intellectual properties, consultancy, etc.

3. UG-PG dissertations

1. As depicted in the model CBCS regulations issued by the department of Higher Education, Govt Of Odisha and adopted by all HEIS, all faculty must put up UG and/or PG projects to be worked under their supervision for students well in advance of the final semester.
2. The eligible students will then be working with the Supervisor during the final semester wherein the respective supervisor will guide them to acquire relevant skills like library search, literature survey, fieldwork, data analysis, and thesis writing, etc. as required under the project.
3. The project report must be duly checked by the supervisor who will make sure that the material has not been lifted from the internet or other existing sources.
4. In case of good quality original work, the supervisor will try to publish the material in an appropriate peer-reviewed journal/ UGC Care journal.
5. The Project report/dissertation needs to be submitted by [before the commencement of the final Semester examination] March/April of the degree completion year. Assessment of the Project report/dissertation will be done as per the model curriculum and result/grade published within one month of submission.

4. Completion of M. Phil. Degree

- The entire process of award of M. Phil. degree starting from the date of examination is to be completed within 30 days.
- For a candidate who has completed an M.Phil. degree from the any State University of Odisha, there will be no need of doing an additional Pre Ph.D. coursework in the same subject.

5. Place of Research

The HEI will recognize the place of research at the affiliated colleges if the following conditions are met:

1. The college imparts PG teaching in the subject of the research.
2. The college has at least one qualified Ph.D. guide in the subject concerned as per the UGC guidelines and has at least two teachers with a Ph.D. degree in the same subject including the eligible guide.
3. The basic requirements for conducting a Ph D. Program in a specific subject are available in the college.
4. The place of research will be candidate-specific.

6. Benefits of Colleges being declared as Place of Research

- The recognition and declaration of the place of work for Ph.D. research will enable qualified teachers at the affiliated colleges to guide doctoral research.
- The students will be benefited from the opening of the new place of research.
- The decentralization of the place of research will fetch a considerable number of dividends to the parent University at the time of NAAC accreditation and NIRF rankings.
- Faculty posted in SBWAC recognized as guides with any State University will maintain their guideship status with the existing university on transfer to any other college within the state.
- The incumbent PRINCIPAL, if they are eligible guides in their parent institution will continue in their status as an M.Phil./Ph.D. guide in that institution.

7. Submission of Electronic copy of the Thesis/ Dissertation (ETD) to INFLIBNET

It is mandatory to submit an ETD at the time of submission of the Ph.D. thesis. The HEI shall submit a soft copy to the UGC within a period of 30 days after the award of the degree for hosting the same in INFLIBNET, accessible to all Institutions /Universities.

8. Anti-Plagiarism Policy

1. 'Plagiarism' means the act of copying or paraphrasing others' work or ideas into your work without full acknowledgment.
2. All academic documents, such as theses, dissertations, project reports, field study reports, and project proposals, etc. have to be checked for plagiarism.
3. 'Collusion' means involvement of unauthorized collaboration of students with others in a piece of academic work. This is another form of plagiarism. For example, the publications in support of the Ph.D. thesis should be authored by the Ph.D. student herself/himself along with her/his supervisor/co-supervisor. If it is necessary to have collaboration in some instances then prior approval should be sought from the competent authority of the HEI.
4. Broadly the act of plagiarism will include all or any one of the following: (a) Verbatim quotation without clear acknowledgment; (b) Paraphrasing; (c) Cutting and pasting from online sources; (d) Collusion; (e) Inaccurate citation; (f) Failure to acknowledge
5. The students and their guides/ supervisors, before submitting the thesis, or synopsis, or any kind of academic document, related to the curriculum of the university, must follow the below-given criteria for plagiarism checking.
6. The candidate will submit a declaration that the thesis is free from plagiarism or produce a certificate from the institutional plagiarism cell to that effect.
7. Plagiarism check should be carried out using the iThenticate/Ouriginal software or any other software, like Copyleaks provided to each supervisor by the Controller of Examination (CoE).
8. The supervisors are herewith advised to follow the exclusion criteria outlined below at the time of actual checking of the document.
 - (a) Quotes ('...' Or "...") used in the manuscript
 - (b) Bibliography or References
 - (c) Common words or Phrases like ("the," "an," "a," "and," "but," "of" and so forth)
 - (d) Small word matches up to 10 words
 - (e) Similarity up to 10% or less than 10%
 - (f) Author name(s)
 - (g) Affiliation details
 - (h) Mathematical or statistical formulae
 - (i) Anything that is considered 'common knowledge.'
9. The cumulative similarity matching up to a maximum of 15% shall be permitted. However, the supervisors should encourage the students to limit similarity matching below 10%.
10. The supervisors are also advised to do away with self-plagiarism. However, the materials and methods section and the results section of previously published research papers/articles [if they contribute to the similarity] of the candidate who is submitting the thesis or dissertation shall be excluded, provided the findings reported in the paper relates to her/his Ph.D. work.

11. The plagiarism report along with the thesis/dissertation should be forwarded by the guide through the head of the Department to the CoE. The CoE is the ultimate authority to check the plagiarism status, and his report shall be final for taking action as deemed fit.
12. The certificate obtained after plagiarism checking by the CoE has to be submitted, along with the thesis/dissertation at the time of its final submission.

9. Execution of Funded Research Projects for faculty and Institution

Externally funded research is the lifeblood of many of the top research HEI'S in the world. As both fundamentals, as well as societally useful applied research and innovations, remain one of the major components of any HEI, there is a need of securing continued external funding to support sustained research activities in identified thrust areas. The extramural funding for research is normally available from two major sources, namely Government and Industry. In India, considering the ground situation and the need to build up a research ecosystem, Government is the major source of funding. The various major funding is channelized through the Department of Science and Technology (DST and DST- SERB), Department of Biotechnology (DBT), UGC/MHRD, ICSSR, and various Ministries like Atomic Energy, Space, Defence, Steel, Environment, and state DST, etc, for directed basic and applied research projects. In addition, one can ally with the Government of India bilateral collaboration projects, IAEA, and other international grants/funds including UN organizations. Lately, a few Industries, like NALCO, SAIL, and TATAs have also initiated funding through their R&D Departments. Innovation funding is available through various innovation and start-up initiatives of the Government of India. It is necessary therefore that the faculty in SBWAC take advantage of these sources to develop a significant research footprint. The HEI will create a Research and Development Cell (RDC) to actively promote, facilitate and manage the funded research schemes and the corresponding investigators. It will also assist the researcher who is a recipient of the funded research scheme in the execution of the project. The cell will be managed by the director of research or equivalent and will be supported by appropriate clerical staff.

- 9.1 The RDC will work in coordination with the IPR cell of the HEI. In case the HEI does not have an IPR cell, RDC will also be mandated with the IPR facilitation task.
- 9.2 The various development works towards research sensitization, facilitation workshops on proposal writing, etc. will be funded from the overhead amount (Institute share) received from the extramural project from the funding agencies. 50% of the overhead amount will be utilized towards improving the quality of facilities in the PI's department and 50% is to be shared with RDC.
- 9.3 The following guidelines may be implemented for the financial management of the external funding received by the HEI:
 - a. The sanction letter is to be shared amongst the researcher (PI), Accounts and Academic Bursars, Officer in Charge Research/Head RDC.
 - b. After receipt of funds by the HEI, the amount received minus overhead amount if any must be transferred to a separate bank account to be operated by the PI.
 - c. Expenditures on the project and generation of annual audit as well as timely UC submission to the funding agency must follow the due process at the HEI on time. Under no circumstances, an undue delay that affects the project adversely must be tolerated.
- 9.4 The RDC should provide minor grant support to the teachers and researchers for writing grant proposals and for attending project review meetings, thematic research meetings, etc.
- 9.5 Any files related to research projects should not be kept pending for more than three working days by the RDC or the Finance Cell of the HEI.

- 9.6 The HEI administration should provide all technical support to the PI and Co-PIs. The research grants minus the overhead must be transferred to an official account of the PI who will follow due process for expenditure on the project and will submit the audited account to be approved by the RDC, Principal.
- 9.7 The HEI should facilitate procurements of equipment, glassware, chemicals, and other items without any delay.
- 9.8 The administration of the HEI should ensure timely submission of the UC and Project Completion Report to the funding agency.

10. Publications

Researchers at the HEIs should practice the aphorism, "Publish and Flourish" in place of "Publish or Perish." Researchers should publish their findings following the UGC guidelines.

1. They should use all appropriate means to publish their papers in Web of Science (WoS) and Scopus journals. It will be appropriate to mention here that both WoS and Scopus journals are included in the UGC-CARE list. They should publish their findings in UGC-CARE list journals.

2. The UGC-CARE List has only TWO groups, instead of the original FOUR groups to simplify the search process. These are NOT hierarchic or ranked groups.

UGC-CARE List Group I

Journals found qualified through UGC-CARE protocols

UGC-CARE List Group II

Journals indexed in globally recognized databases

The information given above is excerpted from the following link.

<https://ugccare.unipune.ac.in/apps1/home/index>

3. Researchers should ensure that their research articles are free from data fabrication, falsification, and plagiarism
4. Researchers should not suppress negative findings as they are as important as the positive findings.
5. Include appropriate acknowledgment and declare a conflict-of-interest statement at the end of the article/review.
6. Researchers must avoid duplicate publications. This is considered an extreme form of plagiarism. It means the publication of the same (identical) article in two different journals.
7. Researchers must avoid multiple publications, i.e., writing and publishing multiple papers based on the same research/study. It is considered a piecemeal publication.
8. Researchers must avoid multiple submissions of articles. The same article is submitted to different journals simultaneously.

11. Authorship and Ethics

Authorship ethics is one of the most important aspects of academic integrity in research. Therefore, periodic briefings on the authorship practices should be carried out for the students and researchers. The UGC has also given different weights for authors at different positions in a research article. As per the UGC Regulation 2018 [https://www.ugc.ac.in/pdfnews/4033931_UGC-Regulation_min_Qualification_Jul2018.pdf], the First/Principal/Corresponding author gets 70% credit, whereas other co-authors get 30% credit.

11.1 Institutional Ethics Committee for Human Research (IEC-HR)

SBWAC has IEC for human research. Ethical clearance from the IEC is mandatory for researchers, who are using humans as the subjects of their research. Even people using inventories/ questionnaires directed towards human subjects in their research need to get approval from the IEC for human research.

While constituting the IEC for human research following web pages should be referred to:

[https://main.icmr.nic.in/sites/default/files/guidelines/ICMR Ethical Guidelines 2017.pdf](https://main.icmr.nic.in/sites/default/files/guidelines/ICMR_Ethical_Guidelines_2017.pdf)

[https://www.icmr.gov.in/pdf/covid/techdoc/EC Guidance COVID19_06052020.pdf](https://www.icmr.gov.in/pdf/covid/techdoc/EC_Guidance_COVID19_06052020.pdf)

<https://cdsco.gov.in/opencms/opencms/en/Clinical-Trial/Ethics-Committee/Ethics-Committee-Registration/>

11.1 Institutional Animal Ethics Committee (IAEC)

Ethical clearance from the IAEC is mandatory for the researchers working with animals as experimental models. While constituting the IAEC, the following web pages should be referred to:

<http://cpcsea.nic.in/Auth/index.aspx>

http://cpcsea.nic.in/Content/%2055_1_GUIDELINES.aspx

Institutional Plant and Microbes Ethics Committee (IPMEC) need also to be constituted and the HEI should develop this in line with the IEC for Human Research and IAEC.

12. Patents and Consultancy

Patents are an important milestone and have their value as intellectual property. The RDC or patent cell in every HEI must work towards sensitizing researchers on relevant guidelines on patenting and procedures.

A researcher working in the HEI and desirous of patenting a product or a process must apply to describe the invention and intent of patenting to the Head of the HEI through the RDC or IPR cell. The cell will be instrumental in checking and assessing the viability of the patent through an expert committee.

For Patents that are the outcome of funded research, prior permission of the funding agency regarding the patent application, ownership, and royalty sharing must be obtained.

In the case of the HEI, the following revenue sharing may be considered

The revenue generated from the consultancy, IPR, technology transfer, and licensing should follow the following scheme of sharing among all the stakeholders.

Inventor/Consultant	70.0%	Incentives
HEI linked to the Consultant and Inventor	30.0%	Infrastructure development and administrative costs

REFERENCES

1. Common Research Policy & Procedures For State Universities Of Odisha By Odisha State Higher Education Council (OSHEC) 2021

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20/08/22
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