"Research Promotion Policy"

at

Sankalchand Patel University

from the Academic Year 2023-24

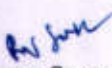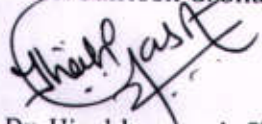| Prepared By (Name and Sign)	Verified By (Name and Sign)	Registrar
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Centre for Research & Innovation

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Research Promotion Policy

1.1 Preamble

The reputation of any Educational Institution depends on scholarship, research productivity, and innovation. The success of a University in attaining its objectives is greatly contingent upon the alignment of the faculty with all the aspects of research initiatives. Therefore, the present research policy aims to help faculty members to achieve excellence and contribute to various organizations and society. A mandatory minimum research requirement structure is currently being identified for implementation and also in Research and Development at SPU, an incentive structure has been defined for all stakeholders to carry out excellent research in their respective fields.

1.2 The purpose

The purpose of the Research Policy is to create a vibrant atmosphere of research among faculty and researchers at Sankalchand Patel University. The policy shall serve as an overall framework within which research activities may be carried out. Building and consolidating on University's research competence is one of the top priorities of the University.

1.3 Objectives

a) Cultivate, promote, and strengthen research activities and foster a research culture and supportive environment through research framework and guidelines.
b) Plan, coordinate, and supervise research activities in the university and all its constituent institutions.
c) Raise funds for research activities in the university and all its constituent institutions.
d) Ensure publications in quality journals, indexed in Scopus/Web of Science having a good impact factor.
e) Nurture an environment of undertaking socially useful research with potential for commercialization.

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f) Encourage interdisciplinary collaborations and partnerships nationally and internationally.
g) Ensure integrity, quality, and ethics in research
h) Ensure high levels of efficient and effective support systems to facilitate faculty and all.

1.4 Custodian of Policy

The implementation and updating of the Research Policy shall be carried out by the Directorate of Research, Sankalchand Patel University. The Research Policy shall have a Research Advisory Body to function under Provost, Sankalchand Patel University, and in coordination with Research Section, to assist and advise in matters related to research within Sankalchand Patel University.

1.5 Promotion of Research

The University shall create a conducive environment for carrying out research. The University shall allocate the space, facilities, partial funding, and other resources for research programmes based on the scholarly and educational merits of the proposed research proposals. It shall also provide developmental opportunities to researchers for writing research proposals, reports, publications, patent filing, etc.

1.6 Identification of Research Areas

Although the researchers have the freedom to choose their own topics of research, it is highly desirable to make research relevant to the needs of Government Agencies, society, and Industry at the State and National Levels. The University expects its constituent institutes especially the Post Graduate departments to prepare a list of research areas/topics. Under each faculty/discipline and department, there shall be an exhaustive list of such topics or areas, as per topics recommended by the Department of Science & Technology (Central and State).

1.7 Research at UG and PG Level

Teaching and research are equally important in any University. After the establishment of the Sankalchand Patel University, it was thought that in order to promote creativity among the undergraduate and postgraduate students, some research component in the curricula, especially in the final or pre-final year of the bachelor's programme and final year in the master's programme, is necessary. Similarly, in the postgraduate programme, research should be emphasized emphatically and students must be trained in robust research skills. The University shall further reinforce research training in both undergraduate and postgraduate programmes in the coming future. It is also required to encourage the Constituent colleges for participation in Unnat Bharat Abhiyan (UBA) as means to engage in research and technology development for rural transformation as chance.

1.8 Establishment of Tinkering/Fabrication Labs

Students may have many innovative ideas and plans of research on which they want to work, but in the absence of the infrastructure, including the place and space, they are unable to work on desired plans. Therefore, the University would encourage a Tinkering/Fabrication Lab in affiliated colleges and in due course of time at the University level, where the students can work on research ideas. The Tinkering/Fabrication Lab also provides the opportunity for the students to ask questions in different areas of knowledge. It shall equip them with the ability to think, build an idea, design research studies, work on it, and report the findings. It shall also encourage research scholars to publish and patent their research work.

1.9 Ph. D. Programme

Sankalchand Patel University has ample resources for conducting research and also for the development of the research infrastructure in different fields, but it is also always open to collaboration with different prominent National Institutions / Laboratories / Universities where they have requisite research infrastructures and also has the expertise to guide the scholars in different areas. It shall also recognize worthy R&D organizations for doctoral research and build bridges between them. The University shall encourage faculty and research scholars to get funding for attending International conferences from external agencies as a matching share so that the quality of the research paper publication and presentation is maintained. It shall encourage research scholars to publish and patent their research work.

1.10 Minor Research Projects

The Minor Research Project helps young faculty think about research, prepare a proposal, conduct research and write a research report. It also helps in capacity building and preparing proposals for major research projects. The University shall take necessary steps to encourage young faculty to take up minor research projects and shall earmark appropriate budgets for this purpose.

1.11 Major Research Projects

The University will identify and publish a list of funding agencies regularly. Faculty can submit Major Research Project proposals to these funding agencies. These proposals should be scrutinized before submitting the same to a particular funding agency. The University plans to evolve a mechanism through which it shall monitor the progress of Major Research Projects funded by an external agency, maintain its accounts and submit the utilizing certificate timely to the funding agency as per the requirement of the funding agency. The University proposes to provide funding on its own for specific important Major Research Projects where funding from an outside agency is not possible. It shall earmark an appropriate budget for this purpose.

1.12 Collaborative Research Projects (Industry and Inter-disciplinary)

University-Industry Interaction is the demand of the day. If we want to contribute to society at large, the University has to closely work with industries and different organizations of the region. To facilitate inter-college/ inter-department/ interdisciplinary research, this would benefit at larger scales for effective research promotion. Industries and business organizations are facing different kinds of problems and many of them would like to have help from the University with an aim to find solutions for their problems. For that, the University plans to promote and undertake (i) Industry Sponsored Research Projects and (ii) Interdisciplinary Research.

1.13 Partnership with Stakeholders

Sankalchand Patel University is committed to Working in partnership with various stakeholders like government, Alumni, Businesses, cultural organizations, local bodies, and NGOs, for creating a research platform, in part, by focusing attention on the emerging issues of greatest importance. Through public engagement, we can enrich society and are committed to enabling our researchers to inspire, consult and collaborate with the public. Sankalchand Patel University aims to recognize as an active partner in the development of open scholarship, providing the tools necessary for researchers to publish and share outputs from their research and to support national and international collaboration.

1.14 Training for Research and Publications

Generally, faculties are eager to conduct research, but because of the lack of knowledge to write a research proposal or insufficient research skills, they are unable to channel their efforts effectively. Hence, in many cases, a research proposal is rejected by a funding agency. Even for publication of papers because of the lack of knowledge about how to write a paper and under which format it should be submitted, the papers may not be accepted. Therefore, the University shall organize rigorous training programmes for researchers in the identified areas To create and maintain a database of research projects carried out by faculty and students as well as collect data by metrics such as citation index, impact factor, h index, SNIP, etc.

1.15 Publication of Papers and Journals

Publication of papers is critical for the effectiveness of the University. Faculty must publish continuously in quality journals. Therefore, the University plans to encourage the publication of papers by the faculty with a targeted aim. A faculty member shall be expected to publish a certain number of research papers in refereed journals at national and international levels. These journals will be identified by University and its Constituent institutes. Research papers to be published in identified journals and to be presented at National and International Conferences shall be scrutinized and guided by a committee of Senior Professors. Each college shall be encouraged to publish a quality journal and organize

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Research Conference, from time to time to boost research activities in the Institute and to contribute to the existing body of research and innovation.

1.16 Patent and IPR – policy

Incentives for outstanding research

Sankalchand Patel University would like to encourage quality research in different thrust areas. For this purpose, outstanding research contributions e.g. Patents, IPR, etc done by faculty members, researchers, and research scholars shall be suitably rewarded to promote institutional research awards according to university norms. Therefore, the University proposes a scheme for providing incentives to researchers and scholars. The incentives are identified as under:

a) Incentive in terms of money

b) Incentive in terms of awards/prizes

c) Incentive in terms of more funding for the ongoing research

d) Incentive in terms of a certificate or giving more weightage to the career advancement scheme, etc.

1.17 Research Misconduct

The University believes that the occurrence of misconduct is a threat to the basic principles of research. The University defines research misconduct, as any fabrication, falsification, or plagiarism in proposing, performing, or reviewing research or in the reporting of research results. Research misconduct does not include an honest error or differences of opinion, authorship disputes that do not involve plagiarism, and violations of other University policies. Misconduct in research damages the integrity of the profession and undermines the credibility of scholars. The research program shall be regarded as required in secrecy and It is also antithetical to the values the University strives to maintain and promote the research. The University shall take seriously all allegations of misconduct and shall ensure that the procedures for the inquiry, investigation, and adjudication of any misconduct are well-defined for all parties involved. Development and implementation of an official code of ethics to check malpractices and plagiarism.

1.18 Responsible conduct of Research

Research policy and procedures on academic integrity prescribe standards of responsible and ethical conduct expected of all persons engaged in research. Research techniques used by the researchers shall not violate established professional ethics, pertaining to the health, safety, privacy, and other personal rights of human beings or to the infliction of injury or pain on animals. Committee / council / panel can be made to support research and compliance of the research for Staff, students and aspirants in all aspects of their research activity should:

- demonstrate integrity and professionalism, fairness and equity, and intellectual honesty;
- effectively and transparently manage conflicts of interest or potential conflicts of interest;

- ensure the safety and well-being of those associated with the research; and
- Record and publish their methods and results in ways that are open to scrutiny and debate.

  Researchers are encouraged to refer to the University's policies and guidelines and use them as a resource.

2. Full-Time Ph.D. fellowship (WEF July 2023 Batch)

2.1 Eligibility criteria: A Full-Time Ph.D. scholar of SPU

  i.   **Fellowship:** Rs. 25,000/- per month, upon recommendation by the Fellowship Approval Committee.

  ii. **Duration:** Maximum of 3 Years (No extension will be permitted under any circumstances).

  iii. Candidates shortlisted for this fellowship must apply for the SHODH scholarship mandatorily.

  a. *Scholars selected for SHODH:* Rs. 15,000/- will be paid by SHODH and the remaining Rs. 10,000/- will be paid by the Institution/University for the period of these 2 Years. For the third year Institution or University will pay Rs. 25,000/-.

  b. *Scholars not selected for SHODH:* The institution/University will pay the complete Fellowship amount based on the proposed Research work and his/her performance in the subsequent research project.

Scholars selected for the fellowship may be provided financial support for their research (requirements for the experiment) up to a maximum of Rs 1 lakh throughout the research period from the University's SEED Money.

Candidates selected for SHODH: Rs. 40,000/- will be paid by SHODH and Rs. 60,000/- will be paid by University.

Number of fellowships to award will be decided by the competent authority, depending on the vacancy and budget provision available for the fellowship.

The selected candidates need to report to their Supervisor and to the Head of the concerned Department on a daily basis. The candidates need to undertake the teaching assistant load/Administrative support or 50 percent academic load as per the assignment.

He/she will be eligible to avail of 12 Casual leaves in a year. No other types of leave will be permissible.

The University has all the rights to place the candidate in the departments as per the requirement, with the concern of the Department/Institution's Head.

The candidate needs to submit an undertaking that he/she will be completing the tenure without any hassle.

If the candidate discontinues the fellowship in any circumstances, he/she needs to reimburse the complete fellowship amount to the University along with interest.

No concession will be provided in the Tuition Fees.

The Institution or University makes no commitment to Employment in the future after completing the fellowship. In case any vacancy arises, the candidate has to apply and follow the process of Direct Recruitment.

If the candidate is working as a regular employee in any organization, then a NOC from the employer is mandatory for the three years Full-time fellowship.

Important Note

* Minimum One Research Publication in Scopus/Web of Science/Pubmed indexed (Journal or Conference) needs to be produced as an outcome in every 6 Months or two in a year (Mandatory).

* Progress of the research work and other assignments will be monitored every six months by the Fellowship Monitoring Committee. (Mandatory)

* The University/Institution has all the rights to continue or discontinue the Fellowship based on the Performance of the candidate.

The committee for the screening and monitoring:

1. Chair   : Provost
2. Co-Chair   : Dean of concerned Faculty
3. Member 1   : One Representative from Centre for Research & Innovation
4. Member 2   : Ph.D. Supervisor of the concerned candidate
5. Member 3   : Head of the Institution / One Senior Faculty
6. Member Secretary   : Deputy Registrar/Assistant Registrar – Ph.D.

3. Incentive Policies for Research & Development Activities (Revised V.02)

3.1 Objective of Policy

➤ To excel in research and development (R&D) activities namely, research projects, consultancy projects, intellectual property rights, publications of research papers/books/book chapters, organization of conferences, workshops, seminars, and establishment of various cells/centers

➤ To motivate for carrying out effective and high-standard R&D activities.

➤ Strengthen PG and Ph.D. programs

➤ Creating new innovations, procuring skilled human resources, fetching research grants, acquiring sophisticated equipment /instruments, and developing a brand of the University.

3.2 Directives

The University Grants Commission (UGC), All India Council for Technical Education (AICTE), Medical Council of India (MCI), Dental Council of India (DCI), National Assessment & Accreditation Council (NAAC), National Institutional Rating Framework (NIRF), Pharmacy Council of India (PCI) and State Institutional Rating Framework (SIRF) had given importance to R &D activities at University and Institutes to improve in the national level grading system and creating uniqueness in the educational system.

3.3 Guidelines

A research review committee has been formed as per the directions of the Hon'ble Provost. The committee is chaired by the Hon'ble Provost. The committee includes the Associate Director (R), Dean-R&D, respective dean, principal, and head of department, associate dean – R&D (member secretary), and two co-opted subject experts as per the direction of the Hon'ble Provost if required. The committee should form general rules of each scheme. The committee ensures the impact of research work, originality of work, impact of journal, objective of the policy and eligibility of the applicant. It should be a scrutiny committee in every faculties, institutes.

3.4 Scheme and Approved Incentives

3.4.1 Publication of Research Paper
i.   1,000/- per publication in UGC Care Journals/ABDC Journals
ii.   Rs. 3000/- per publication in web of science or Scopus or Medline / Thomson Reuters /SCI/ SCIE/ SSCI/ AHCI/ ESCI/PUBMED
iii.   Rs. 6000/- per publication in Q1 and Q2 Scopus Journals

Note

- The UGC-approved journal and specific to his/her research area.
- The journal must be indexed by Web of Science or Science Citation Index (SCI) or Scopus Index or PUBMED index, and specific to his/her research area
- If more than one author is from SPU, it should be claimed by only one author.
- All Publications claimed under this should have "Sankalchand Patel University" as affiliation.
- Once the paper is published online the claim can be made along with proof of indexing. Once the article is added to Scopus/ WoS database with the Author ID same needs to be submitted to the Research Coordinator.

3.4.2 Publication of Book/Book Chapter in Standard and Recognized Publisher

1. Rs. 1500/- for a Book Chapter (National Publication),
2. Rs. 2,500/- for a Book Chapter (International Publication), Rs 3000/- if indexed in Scopus
3. Rs. 5,000/- for a Book (National Publication) and
4. Rs. 10,000/- for a Book (International Publication), per Book.
5. Rs. 5000/- for the edited book (National/International)

Note

- Max 4 chapters per book shall be permitted. (For Points 1 & 2 of 3.4.2).
- All Books to have ISBN.
- All Publications claimed under this should have "Sankalchand Patel University" as affiliation.
- If more than one author is from SPU, it should be claimed by only one author.

3.4.3 Presentation of the Research paper at National/International Conferences as an author

- ➢ Incentives as actual cost including registration fee and travel expenses. For National Conference held in India per presentation (Max Rs. 15,000/-)
- ➢ Incentives as actual cost including registration fee, and travel expenses. For International Conference held in India per presentation (Max Rs. 25,000/-)
- ➢ Incentive as actual cost including registration fee, Visa fee and travel expenses. For international conference held at Abroad, per presentation (Max Rs. 75,000/-)

Note

- In National Conferences 1 per year, International Conference 1 per every 2 year
- Per paper only one author can claim for incentive
- Proceedings should be published with ISBN or need to be published in any journal as a full paper
- Abstract Proceedings will not be considered.
- All Publications claimed under this should have "Sankalchand Patel University" as affiliation.

3.4.4 Sponsored Research Projects/Grant from Government and/or Private Body/Organization

➤ 10% of the total grant received to the investigator if only PI there
➤ If PI/Co-PI is present in the project, this incentive needs to be distributed among them. In the case of Co-PI, this amount (10%) to be shared as 60% to PI and 40% among all Co-PI(s).

Note:

• The amount of research project/grant must be over Rs. 5, 00,000/-
• Seed Money or any other internal funding will not be considered

3.4.5 Consultancy Projects from Industry, Institutions, and Organizations

➤ 20% of the total grant received to the investigator/Coordinator if only PI there
➤ If PI/Co-PI is present in the project, this incentive needs to be distributed among them. In the case of Co-PI, this amount (20%) is to be shared as 60% to PI and 40% among all Co-PI(s).

3.4.6 Organization of Seminars/Workshop/Conferences from grants received from Government/Private organizations

➤ 5% of the total grant received per grant to the Coordinator if only one Coordinator.
➤ If the Coordinator / Co-Coordinator is present in the project, this incentive needs to be distributed among them. For the Coordinator 60% and the remaining 40% of the incentive need to be shared among all Co-Coordinator

3.4.7 Establishments of Centre / Cell / MODROBS / RPS / MPS from grants received from external agencies

➤ 10% of the total grant received per center/cell to the Coordinator if only one Coordinator
➤ If the Coordinator / Co-Coordinator is present in the project, this incentive needs to be distributed among them. For the Coordinator 60% and the remaining 40% of this incentive needs to be shared among all Co-Coordinator.

3.4.8 Intellectual Property Rights in Terms of Patent, Trademark, Copyright, Design

➤ Rs. 25,000/- for published/granted patent at the National level
➤ Rs. 50,000/- for published/granted International level
➤ Rs. 8,000/- for Copyrights
➤ Rs. 12,500/- for Trademarks
➤ Rs. 50,000/- for International Registration of Marks
➤ Rs. 9,000/- for Industrial Design

Note:

• Either "Sankalchand Patel University" must be the applicant or one of the Applicant must be "Sankalchand Patel University" in any of the IP Document
• Revenue sharing will be based on the IP Policy of our University
• If more than one inventor from SPU, it should be claimed by only one inventor and can be shared with other inventors

3.5 Approval Procedure

i. **Publication of Research Papers in UGC approved Journals (National & International Level)**

Objective: To improve the quality of research from PG., Ph.D. programs, and faculty members.

Eligibility
- Full-time, permanent, faculty members as a first author or corresponding author or co-author.
- The UGC-approved journal and specific to his/her research area.
- The paper must contain the affiliation of an applicant as "Name of the Faculty, Sankalchand Patel University, Visnagar, Gujarat, India"
- Maximum two applications per year by an individual.

Selection Procedure
- The eligible faculty member has to intimate well in advance by an application along with the details of the title & abstract of the paper, research area, name of the journal, and proof of UGC-approved journal through proper channels on or before the publication of the research paper.
- The research review committee has to scrutinize the applications and ensure the originality of the work, eligibility criteria, and objectives of the policy.
- Decision of the committee is final and reasons for denial are not entertained. If the application is approved then, the decision with remarks made available to the applicants.

Submission of documents for incentive approval
- Copy of the approval from the research review committee.
- Copy of research publication.
- Proof of Journal, Indexing

ii. **Publication of Research Paper in Indexed Journals (National & International Level)**

Objective: To improve the quality of research and strengthen P.G. and Ph.D. programs

Eligibility
- Full-time, permanent, faculty members as a first author or corresponding author or co-author.
- The faculty members must be PG and/or Ph.D. Guide/Co-guide.

- The journal must be indexed by Web of Science or Science Citation Index (SCI) or Scopus Index or PUBMED index, and specific to his/her research area.
- The paper must contain the affiliation of an applicant as "Name of the Faculty, Sankalchand Patel University, Visnagar, Gujarat, India

Selection Procedure
- The eligible faculty member has to intimate well in advance by an application along with the details of the title & abstract of the paper, research area, name of the journal, and proof of impact factor of the Journal through proper channels on or before the publication of the research paper.
- The research review committee has to scrutinize the applications and ensure the originality of the work, eligibility criteria, and objectives of the policy.
- Decision of the committee is final and reasons for the denial are not entertained. If the application is approved then, the decision with remarks is to be made available to the applicants.

Submission of documents for incentive approval
- Copy of the approval from the research review committee.
- Copy of research publication.
- Copy of Proof of eligibility criteria.

iii. **Publication of Book/Book Chapter in Standard and Recognized Publisher (National & International Level)**

Objective: To improve the involvement of faculty members, the University in teaching methodology, and knowledge sharing in worldwide.

Eligibility
- Full-time, permanent, faculty members as a first author or corresponding author or co-author.
- The faculty members must be PG and/or Ph.D. Guide/Co-guide.
- The author must contain the affiliation of an applicant as "Name of the Faculty, Sankalchand Patel University, Visnagar, Gujarat, India

Selection Procedure
- The eligible faculty member has to intimate well in advance by an application along with the details of the title & abstract of the chapter/Book/Research area, Name of the publisher through proper channels on or before the publication of the research paper.
- The research review committee has to scrutinize the applications and ensure the originality of the work, eligibility criteria, and objectives of the policy.
- Decision of the committee is final and reasons of denial are not be entertained. If the application is approved then, the decision with remarks made available to the applicants.

Submission of documents for incentive approval

- Copy of the approval from the research review committee.
- Copy of book publication.
- Copy of Proof of eligibility criteria.

iv. **Research Financial Grants from Government and/or Private Bodies/Organizations**

Objective: To upgrade research work, and procure sophisticated equipment/instruments, to uplift the recognized grading system of the University/Institute.

Eligibility

- Full-time, permanent, faculty members as a Principal Investigator (PI), Co-Principal Investigator (Co-PI).
- Maximum four applications per year by an individual.
- All the resources, and outcomes are the sole property of the University.

Selection Procedure

- The eligible faculty member has to intimate well in advance by an application along with the details of the title & abstract of the project, research area, name& type of funding agency, and amount through proper channel on or before sanctioning of the research project.
- The research review committee has to scrutinize the applications and ensure the originality of the work, eligibility criteria, and objectives of the policy.
- Decision of the committee is final and reasons of denial are not entertained. If the application is approved then, the decision with remarks is to be made available to the applicants.

Submission of documents for incentive approval

- Copy of the approval from the research review committee.
- Copy of sanctioned letter, grant reimbursement statement, and approved progress report.
- Copy of Proof of eligibility criteria.

4. Plagiarism Policy

In accordance with the UGC Notification on University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018, the plagiarism policy of the institute has been formulated with a view to ensure that the institute ensures zero tolerance for plagiarism in the research work carried out by its faculty or the students.

4.1 Plagiarism

'Plagiarism' is the unacknowledged use of another person's work as one's own work. Plagiarism involves copying phrases, clauses, sentences, paragraphs, or longer extracts from published or unpublished work including from the internet without acknowledgment of the source. Self-Plagiarism Copying / reproducing, in part or whole one's own published work without giving proper reference to that work.

4.2 Plagiarism Check

Be sure to edit the research paper carefully and check for plagiarism before turning it into the final one. Using plagiarism software services is a great way to assess your paraphrasing and other anti-plagiarism skills. Most educators and educational institutions are using plagiarism checker software to check faculty or students' papers.

The proper attribution, seeking permission of the author wherever necessary, acknowledgment of source compatible with the needs and specificities of disciplines, and in accordance with rules and regulations governing the source is essentially required.

1. Each and every research work or student project work report shall go through the institute's plagiarism detection cell which will be done through a plagiarism check. Any thesis, dissertation, or any other such documents submitted by the students, scholars, or faculty members to the Research and Development Centre and submit an undertaking indicating that the document has been prepared by him or her and the document is his/her original work and free of any plagiarism.
2. The undertaking shall include a declaration that the work is free from plagiarism and has been checked by the approved plagiarism detection software.
3. Each supervisor to the students shall submit a certificate with the work of the students that the work is free from plagiarism.
4. All the UG and PG coordinators are added as instructors and they are provided with an account in plagiarism checker software with username and password. Training will be given for all the instructors on how to use plagiarism checker software.

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5. The entire UG and PG thesis should be tested by the respective Head of the departments before the students submit the hard copy of their thesis to the Research and Development Centre.
6. Considering the diversity of the various programs offered in the institute, the level of plagiarism can be decided by the respective departments, though 20% can be the maximum level of admissible similarity in any department. (For Ph.D. and Post Doc. 10%).

The similarity checks for plagiarism shall exclude the following:
i)   All quoted work reproduced with all necessary permission and / or attribution.
ii)   All references, bibliography, table of content, preface, and acknowledgments.
iii)   All generic terms, laws, standard symbols, and standards equations.

Note: The research work carried out by the student, faculty, researcher, and staff shall be based on original ideas, which shall include abstract, summary, hypothesis, observations, results, conclusions, and recommendations only, and shall not have any similarities.

To uphold academic integrity and curb plagiarism in research, Sankalchand Patel University procured a plagiarism detection tool, TURNITIN in December 2021.
Turnitin Login: https://www.turnitin.com/login_page.asp?lang=en_us

5. Research Ethics

5.1 Scope

This Research Ethics Policy applies to all researchers at the University engaged in research, and any individual who is not a member of staff or student at the University but is undertaking research using University premises and facilities, and/or in the University's name. This also applies to the work done by any faculty or student outside the university, in collaboration with any external expert or institution/organization.

5.2 Objectives

The Research Ethics Policy is intended to:
- Provide the ethical framework within which the ethical review process will operate across campus;
- Promote exemplary ethical standards in research and scholarship;
- Direct researchers to adhere to best practices relating to the ethical development, implementation, and dissemination of research, creating awareness about the responsible conduct of research for a thesis/ dissertation.
- Promotion of academic integrity and prevention of misconduct including plagiarism in academic writing among students, faculty, researcher, and staff;
- Establish institutional mechanisms through education and training to facilitate responsible conduct of research for a thesis/ dissertation, promotion of academic integrity, and deterrence from plagiarism;
- Develop systems to detect plagiarism and to set up mechanisms to prevent plagiarism and take appropriate action against a student, faculty, researcher, or staff of the University committing the act of plagiarism permitting only for Undergraduate, Post Graduate, and Ph.D. thesis.

5.3 Awareness Programs and Trainings

(a) SPU shall instruct students, faculty, researcher, and staff about proper attribution, seeking permission of the author wherever necessary, acknowledgment of sources compatible with the needs and specificities of disciplines and in accordance with rules, international conventions, and regulations governing the source.

(b) SPU shall conduct sensitization seminars/ awareness programs every semester on responsible conduct of research, writing of thesis/ dissertation, promotion of academic integrity and ethics in education for students, faculty, researcher and staff.

(c) Sankalchand Patel University shall
   i.   Include the cardinal principles of academic integrity in the curricula of Undergraduate (UG)/Postgraduate (PG), etc. as a compulsory course work/module.

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ii.   Include elements of responsible conduct of research and publication ethics as a compulsory course work/module in Master's and Research degree programmes.

iii. Include elements of responsible conduct of research and publication ethics in Orientation and Refresher Courses organized for faculty and staff members of the SPU.

iv.   Train students, faculty, researchers, and staff in using plagiarism detection tools and reference management tools.

v.   Establish a facility equipped with modern technologies for the detection of plagiarism.

vi.   Encourage students, faculty, researchers, and staff to register on international researcher's Registry systems.

5.4 Research Misconduct

Non-compliance with the Research Ethics Policy, whether deliberate or negligent, will usually be deemed as research misconduct.

Fabrication: Fabrication means falsifying or misusing data including presenting falsified data in a paper, manuscript, or presentation and making up a source for a citation.

Unethical practices: it is the use or attempts to use any unauthorized assistance in any academic exercise.

Impeding fair and equal access to the educational and research process: including tampering with, damaging, and impeding access to academic resources.

Misrepresentation: includes Falsifying, misusing, or tampering with information such as test scores, transcripts, letters of recommendation, or other materials required for admission to and continued enrollment and access to the University's programs or facilities.

- Altering, forging, or misusing academic records or any official University form regarding self or others.
- Presenting false information at an academic proceeding or intentionally destroying evidence important to an academic proceeding.
- Making a bad faith report of an academic integrity violation.
- Offering bribes to any University representative in exchange for special favors or consideration in an academic proceeding.

Facilitation: Facilitation occurs when one knowingly or intentionally assists another person in committing a violation of any of the previous sections of the Research Ethics policy.

Role of whistleblowers: Individuals who complain about unethical practices may find themselves in a difficult or sensitive position. A negative impact on their career is one among many possible risks following their actions. It is important to safeguard the interests of the whistleblowers against any retaliatory repercussions.

On the other hand, deliberately making false accusations is itself highly unethical and must be dealt with

5.5 Conduct of Research

Ethical responsibilities: In experimental research projects there is usually a Principal Investigator (PI) mostly along with a set of co-PIs who lead the project. They should especially ensure the supervision and appropriate mentoring of researchers. Research supervisors should display the highest ethical standards when dealing with researchers and students. Potentially troublesome issues should be identified and dealt with as soon as possible with fairness and clarity.

Despite the above, all individuals participating in a research project are responsible for their own actions and should make sure these are consistent with, and uphold high ethical standards. Unethical behavior on their part cannot be justified by the claim that they were following a mentor's instructions.

Data management: Steps must be taken to retain all research materials gathered (including physical and visual data), in a safe and confidential space. Particularly with experimental work, defending the publication requires properly recorded raw data to be produced. Its absence will typically be treated as suspicious. A well-maintained lab notebook provides not only a permanent record of results and protocols for future publications but also serves as critical evidence for a claim of priority in the case of patent applications and as proof of adherence to appropriate ethical standards. Tampering with or manipulating records in a laboratory notebook is unacceptable. Through the informed consent process, participants should be informed about how study data should be managed and how long it will be retained.

Ownership: Physical materials including lab notebooks, data sets, etc. arising out of research performed at SPU, will remain the property of the University unless explicitly decided otherwise. The same holds for software and processes having commercial value.

Responsible use of funds: Efforts should be made to ensure reasonable and efficient use of resources following transparent and fair processes. Researchers must not use funding for purposes other than that specified in their grant award.

Sharing of facilities: Equipment installed at SPU are expected to be shared in a collegial spirit with colleagues who require access for their own research, as long as such access does not impede the original purpose for which the equipment was purchased. In such situations, the PI can decide on details such as who actually operates the equipment and at what times, as long as sharing is willingly facilitated and transparent procedures are in place.

Experiments involving animals: All experiments that involve the use of animal and human research subjects require ethical permission and approval. Experiments involving animals come under the purview of the Institutional Animal Ethics Committee (IAEC) which functions based on the guidelines of CPCSEA (Committee for the Purpose of Control and Supervision of Experiments on Animals, http://cpcsea.nic.in).

Safety and environment: Research activity must not endanger other people or the environment in any way. SPU expects all its members to incorporate safety and environmental concerns into their research practices. Environmental guidelines, regulations, and laws must be followed and appropriate licenses/permits and clearances obtained for the handling, storage, or disposal of hazardous material. Within experimental laboratories, the University and PIs have joint responsibility for ensuring that the work area is safe and that the research practices of the group do not endanger the research team, visitors, or the public.

Publication of research findings: Researchers must share all research findings with appropriate parties unless major confidentiality issues arise and are subject to the guidelines mentioned above or contractual provisions.

When publishing research all reasonable steps must be taken to ensure that published reports, statistics, and public statements about research activities and performance are complete, accurate, and unambiguous. Researchers are responsible and accountable for the accuracy and completeness of their reports.

The nature of financial support must be acknowledged in all reports of research outcomes, both to acknowledge the support and ensure transparency.

The University is committed to adhering to the expectations of regulatory bodies relating to open-access data of publicly funded research and expects all researchers to duly comply.

All researchers who have contributed to the development of results and dissemination should be appropriately acknowledged in accordance with the particular publication's definition of authorship.

5.6 Regulatory norms: implementation, handling policy violation

5.6.1. Curbing Plagiarism

a)   SPU shall declare and implement the technology-based mechanism using appropriate software so as to ensure that documents such as thesis, dissertation, publications or any other such documents are free of plagiarism at the time of their submission.

b)   The mechanism as defined at (a) above shall be made accessible to all engaged in research work including students, faculty, researcher, staff, etc.

c)   Every student submitting a thesis, dissertation, or any other such documents to the SPU shall submit an undertaking indicating that the document has been prepared by him or her and that the document is his/her original work and free of any plagiarism.

d)   The undertaking shall include the fact that the document has been duly checked through a Plagiarism detection tool approved by the SPU.

e)   SPU shall develop a policy on plagiarism and get it approved by its relevant statutory bodies/authorities. The approved policy shall be placed on the homepage of the SPU website.

f) Each supervisor shall submit a certificate indicating that the work done by the researcher under him/her is plagiarism free.

g) SPU shall submit to INFLIBNET soft copies of all PostGraduate, Research program dissertations and theses within a month after the award of degrees for hosting in the digital repository under the "SHODH Ganga e-repository".

h) SPU shall create an Institutional Repository on the institute website which shall include dissertations/thesis / papers /publications and other in-house publications.

Implementation: It is essential to prevent unethical practices in the first place by suitable ethical training, promoting a culture of professionalism, and a clear statement that unethical behavior is not tolerated in the institution. To this end, the institution must create or adopt suitable ethics documents and impart direct ethical training to its staff through lectures and interactive workshops on a regular basis, so that the community is fully aware of these issues.

Despite all this, if ethical violations are found then they must necessarily be addressed on an urgent basis and for this purpose, it is recommended that the institution should set up a committee which ensures timely and impartial redressal of all grievances alleged to arise out of policy violations.

Handling policy violations: Institution should employ formal mechanisms and procedures for dealing with allegations of research misconduct, as well as any other kind of misconduct as described in this document, against its staff and students based on the following fundamental principles:

Corrective action: If a publication is found to contain plagiarism or manipulated data, the institution must ensure that a correction or retraction is published in the same place as the original paper. On the administrative side, if a decision is found to have been made based on a bias or conflict of interest, then it should be overturned and the process repeated if necessary. In general, every effort must be made to ensure that an unethical action does not succeed in propagating false knowledge or incorrect decisions.

Punitive action: This covers not just misconduct involving data and publication, but also harassment, discrimination and other issues covered in this document. Punitive action communicates not just to the violator, but also to society at large, that unethical behavior is unacceptable. The degree of punishment should be carefully calibrated in proportion to the offence. First-time offenders, particularly if the offence is minor or unintentional and the offender is inexperienced, may be let off with a warning. Serious, multiple or repeat offences must be treated with utmost seriousness. Large-scale ethical violations should be met with severe disciplinary action and, if appropriate, dismissal. SPU should endorse the following principles when implementing disciplinary procedures:

- The responsibilities of those dealing with the allegation should be clear and understood by all concerned parties.
- Measures should be in place to ensure an impartial and independent investigation and to ensure that the interests of those dealing with the allegation do not conflict with these procedures.
- The SPU should safeguard the rights to confidentiality of the concerned parties.
- All concerned parties should be informed of the allegation at an appropriate stage in the proceedings.
- Anyone accused of misconduct should have the right to respond.
- SPU REC to ensure that no employee who makes an allegation in good faith against another employee shall suffer a detriment, but equally that disciplinary procedures are in place to deal with malicious allegations.
- The allegation should be dealt with in a fair and timely manner.
- Proper records of the proceedings should be kept.
- The outcome should be made known as quickly as possible to all concerned parties.
- Appropriate sanctions and disciplinary procedures should be in place for cases when the allegation is upheld.
- If appropriate, efforts should be made to restore the reputation of the accused party if the allegation is dismissed.

5.7. Penalties

Penalties in the cases of plagiarism shall be imposed on students pursuing studies at the level of Master's and Research degree programs and on researchers, faculty & staff of the SPU only after academic misconduct on the part of the individual has been established without doubt, when all avenues of appeal have been exhausted and individual in question has been provided enough opportunity to defend himself or herself in a fair or transparent manner.

Penalties in case of plagiarism in the submission of thesis and dissertations
The committee shall impose a penalty considering the severity of the Plagiarism.
i.   Level 0: Similarities upto 10% - Minor Similarities, no penalty.
ii.   Level 1: Similarities above 10% to 40% - Such students shall be asked to submit a revised script within a stipulated time period not exceeding 6 months.
iii.   Level 2: Similarities above 40% to 60% - Such student shall be debarred from submitting a revised script for a period of one year.
iv.   Level 3: Similarities above 60% -Such student registration for that programme shall be cancelled.
Note 1: Penalty on repeated plagiarism- Such student shall be punished for the plagiarism of one level higher than the previous level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative.
Note 2: Penalty in case where the degree/credit has already been obtained - If plagiarism is proved on a date later than the date of award of degree or credit

as the case may be then his/her degree or credit shall be put in abeyance for a period recommended by the CRI team and approved by the Provost.

5.7.1 Penalties in case of plagiarism in academic and research publications

I.   Level 0: Similarities up to 10% - Minor similarities, no penalty.
II.   Level 1: Similarities up to 40%
      i)   Shall be asked to withdraw the manuscript.
III. Level 2: Similarities above 40% and up to 60%
      i)   Shall be asked to withdraw the manuscript.
      ii)   Shall be denied a right to one annual increment.
      iii) Shall not be allowed to be a supervisor to any new Master's, Ph.D. Student/scholar for a period of two years.
IV.   Level 3: Similarities above 60%
      i)   Shall be asked to withdraw the manuscript.
      ii)   Shall be denied a right to two successive one annual increments.
      iii) Shall not be allowed to be a supervisor to any new Master's, Ph.D. Student/scholar for a period of three years.

Note 1: Penalty on repeated plagiarism - Shall be asked to withdraw manuscript and shall be punished for the plagiarism of one level higher than the lower level committed by him/her. In case where plagiarism of the highest level is committed then the punishment for the same shall be operative. In case the level 3 offence is repeated then the disciplinary action including suspension/termination as per service rules shall be taken by the SPU.

Note 2: Penalty in case where the benefit or credit has already been obtained - If plagiarism is proved on a date later than the date of benefit or credit obtained as the case may be then his/her benefit or credit shall be put in abeyance for a period recommended by COMMITTEE and approved by the Provost

Note 3: SPU shall create a mechanism so as to ensure that each paper publication/thesis/dissertation by the student, faculty, researcher or staff of the SPU is checked for plagiarism at the time of forwarding/submission.

Note 4: If there is any complaint of plagiarism against a Head of the Department at SPU, the matter shall be dealt with by the COMMITTEE, and suitable action, in line with these regulations, shall be taken by the Provost after approval by the Board of Management.

Note 5: If there is any complaint of plagiarism against the Head of Department the Chairperson or any member of COMMITTEE/or any of the Authorities of the University at the institutional level the matter shall be dealt with by the Standing Committee, and a suitable action, in line with these regulations, shall be recommended by the COMMITTEE taken by the Provost after and being approved by the Competent Authority of Management..

Note 6: If there is any complaint of plagiarism against any member of COMMITTEE or COMMITTEE, then such member shall excuse himself/herself from the meeting(s) where his/her case is being discussed/investigated.

5.7 Amendment

The University shall review its ethics policy from time to time (every 2 years) so as to amend the policy whenever required to suit the national-level policies / directives issued by appropriate apex bodies.

5.8 Publication of the Research Ethics Policy

The CRI shall publicize the Research Ethics Policy by circulating among the research guides/supervisors, registered research candidates, teaching staff of the University as well as published in the Sankalchand Patel University Website in a prominent manner so as to attract the attention of the interested persons.