

Name of the Policy/ Guidelines	Research Support and Incentives Policy
Short Description	Policy and guidelines on intramural research grant and incentives for faculty and student research
Scope	This policy is applicable to all faculty, research scholars and students of the constituent colleges and departments of Nitte (Deemed to be University).
Policy status	<input type="checkbox"/> Original <input checked="" type="checkbox"/> Revised
Date of approval of Original Policy	17-10-2015 (Academic Council Sub Committee)
Revision No.	1
Brief description of last revision	<p>Changes in Intramural Faculty Research Grants</p> <ol style="list-style-type: none"> 1. Removal of NUFR3 - Support for PhD Guides for PhD Research projects 2. Changes in NUFR1 - Start-up grants for young first-time faculty researchers <ul style="list-style-type: none"> • Reduction in maximum limit from Rs. 3 Lakhs to Rs. 2 Lakhs • Reduction of maximum duration from 3 years to two years • Increase total outlay from Rs. 23 Lakhs to Rs. 24 Lakhs per year, with Institutional limit of Rs. 7 lakhs 3. Changes in NUFR2 – Short-term research grants for faculty researchers <ul style="list-style-type: none"> • Increase in maximum limit from Rs. 1.2 Lakhs to Rs. 2 Lakhs • Increase of maximum duration from 1 year to 2 years • Increase in total outlay from Rs. 20 Lakhs to Rs. 60 Lakhs per year, with institutional limit of Rs. 20 lakhs <p>Changes in PhD fellowships</p> <ol style="list-style-type: none"> 1. Increase in number of PhD fellowships from 15 to 25 per year

	<p>Changes in Incentives for obtaining External Research Grants</p> <ol style="list-style-type: none"> 1. Increase in incentive from 3% to 5% of external grant received. 2. 3:1 sharing between PI and CoI in projects where there is only one CoI. 1:1 sharing of more than one CoI. <p>Changes in Incentives for publications</p> <ol style="list-style-type: none"> 1. Shift from eligibility based on blacklist of predatory journals to white list of UGC approved Journals. No changes in incentive structure.
Date of approval of current revision	20-04-2018
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Responsible officer	Registrar

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Research Support and Incentives Policy

Purpose

Research and scholarships are crucial aspects of the functioning of a University. Nitte (Deemed to be University) is committed to create an academic environment that is conducive for research and thereby cultivate a scientific temper in its faculty and students. The NU Research Support and Incentive Program pursues this goal through the following broad actions:

1. Offer financial support to encourage faculty members to initiate research projects that have the potential to gain extramural funding
2. Strengthen the Ph.D program by offering fellowships to meritorious candidates and financial support for their thesis related research
3. Encourage undergraduate / post-graduate student research through short-term fellowships and linkage with research grants
4. Encourage research productivity and instil quality consciousness through an incentive program for faculty

The following section outlines the research grants for faculty, research fellowships and awards for students and the research incentives for faculty / students. Details are provided in the enclosed Annexures.

Overview of Research Grants for Faculty

Table 1: Overview of Research Grants for Faculty*

	NU Start-up Research Grants (NUFR1 grants)	NU Short-term Research Grants (NUFR2)
Purpose	Seed money for first time researchers	Support for preliminary studies / PG research
Who can apply?	Early stage researchers < 40 years) with no prior funding from NU	Any faculty member with no currently active NUFR2 grant
How much funding?	Up to Rs. 2,00,000 over 2 years for equipment / personnel / consumables	Up to Rs. 2,00,000 over 2 year for equipment / personnel / consumables
How many grants?	Up to a total of Rs.24 Lakhs of funding each year, not more than a total of Rs.7 lakhs per Institution	Up to a total of Rs.60 lakhs of funding each year, not more than Rs.20 lakhs per Institution
Deliverables	Project report, at least one manuscript for publication, Follow-up grant proposal for external funding	Project report, Follow-up grant proposal for external funding OR a paper presentation at a National / International Conference

* See Part 1 for details.

Overview of Research Fellowships / Awards for Students

Table 2: Overview of Research Fellowships / Awards for Students*

	NU Ph.D Fellowships (NUSR1 grants)	NU Short Term Undergraduate Fellowship Award (NUSR2 grants)
Purpose	Stipendiary support for meritorious Ph.D candidates	Support for Short-term Undergraduate research projects
Who can apply?	Full time Ph.D candidates with no other financial support	Undergraduate students who have completed their first year
Selection process	Entrance test / interview for full-time Ph.D applicants	Evaluation of research proposals
How much funding?	Rs. 15,000 per month for a maximum duration of 3 years	Up to Rs. 10,000 for consumables
How many grants?	Up to 25 per year, not more than 7 per Ph.D faculty	Up to a total of Rs. 2 Lakhs of total funding each year, not more than Rs.70,000 per institution
Deliverables	Ph.D dissertation	Project report

* See Part2 for details

Overview of Research Incentives

Table 3: Overview of Research Incentives*

Sl. No.	Type of Incentive	Quantum of incentive
1.	Incentives for obtaining external research funding	5% of total grant amount shared in a 1:1 ratio between Principal and Co-investigators from NU(3:1 in case of single CoI)
2.	Incentives for publications – Journal articles Incentives for publications – Book chapters / Books	Ranging from a total of Rs.1500 per publication to Rs.22,500+ per article to be shared between First Author, Corresponding Author and Co-authors in 1:1:1 ratio. Ranging from Rs. 5,000 to Rs.10,000 per contribution

* See Part 3 for details

Part 1: Nitte University Research Grants for faculty

NU Start-up Research Grant (NUFR1 grants)

Purpose

To support early career, faculty members to initiate a research project that has the potential to be developed into an externally funded program.

Eligibility

- A Faculty member of Nitte University below the age of 40 years.
- Can be availed only once by an individual during service at Nitte university
- Younger applicants who have not received external funding will be preferred.

Funding level

Up to a maximum of Rs.2,00,000/-

Duration

Up to 2 years with a no-cost extension of 1 year in justifiable cases.

Number of grants

A total of Rs. 24Lakhs is earmarked for this type of grant. The total funding for each Institution shall not exceed Rs. 8 lakhs in a year under this scheme.

Budget norms

The total funding of Rs. 2,00,000 lakhs can be used for equipment purchase / Personnel / Consumables / Contingencies with the following conditions / limits:

Equipment including computers and software.	<ul style="list-style-type: none">• No sub-limit• Due processes and procedures as specified by NU to be followed in equipment procurement• Equipment procured under the project will be property of NU and will be under the administrative control of the concerned Head of Department / Institution. During and after completion of the project, it will be shared and made available for any other project / program if such use will not interfere with the work on the project for which the equipment was originally acquired
Personnel	<ul style="list-style-type: none">• A Research Assistant OR Technical Assistant OR Field Assistant may be recruited purely on a temporary basis for one year, extendable to a maximum of two years.• Maximum remuneration of Rs. 12,000 per month for Research Assistant, Rs. 8,000 per month for Technical / Field Assistants.• Qualifications and procedures as laid down by NU to be followed for recruitment.
Consumables	<ul style="list-style-type: none">• No sub-limit• Only for consumables directly required for the project. Expenses on stationery not acceptable.
Payments towards	<ul style="list-style-type: none">• No sub-limit.

charges for in-house investigations	
Payments towards charges for investigations / services by external agencies	<ul style="list-style-type: none"> • Only if the investigations / services are crucial for the study and are unavailable in-house. • Not more than 50% of total grant may be used for such purposes
Publication charges	<ul style="list-style-type: none"> • Publication charges for publications arising from project to be sourced from this heading.

Selection process and timeline

- Applications in prescribed format will be submitted to the respective Dean / Principal on or before specified deadline.
- An Institutional Research Committee (or equivalent panel constituted by Dean / Principal) and Ethics Review Committee will evaluate the proposals based on the following criteria:
 1. Significance of research objectives
 2. Validity of research design and proposed methods
 3. Potential of project to receive subsequent external funding support
 4. Feasibility
 5. Clarity of the proposal
- The evaluations will include an objective assessment using a prescribed checklist and an overall recommendation. The proposals with evaluation will be forwarded by each Institution to the University by the specified date.
- The shortlisted proposals received from all Institutions will be evaluated by a committee in the Research Directorate at Nitte University and a final list of the selected proposals will be prepared.

Post-award processes

- Projects have to be initiated within 3 months of approval
- An interim project report in the prescribed format has to be submitted to the University at the completion of one year.
- If an extension of duration is sought, the request should be submitted in prescribed format, at least two months before the originally scheduled end of the project.

Deliverables

- A final report in the prescribed format has to be submitted to the University within three months of completion of the project.
- At least one manuscript submitted to a indexed (PubMed / Scopus / Web of Science) Journal along with final project report
- A follow-up grant proposal for funding from any external funding agency

Evaluation form for NU Start-up Research Grant (NUFR1 grants)

Name of PI:

Institution:

ApplicationID:

Title of Project:

Eligibility criteria

1. Applicant is below age of 40 years on date of application: YES NO
2. Applicant has not availed the NUFR1 grant earlier: YES NO

Evaluate the merits of the proposal on each of the following criteria:			
	Criterion	Max	Awarded
1.	Originality	10	
2.	Significance of research objectives	10	
3.	Validity of research design and proposed methods	20	
4.	Appropriateness of statistical methods	10	
5.	Feasibility	10	
6.	Potential of project to receive subsequent external funding support	20	
	Total	80	
Evaluate the clarity of the proposal based on each of the following criteria:			
1.	Research objectives, hypothesis stated clearly	5	
2.	Need for study established with appropriate background	5	
3.	Methods including statistical approach described clearly	5	
4.	Timeline for project presented clearly	2	
5.	Budget requirements presented clearly	1	
6.	References formatted according to guidelines	1	
7.	Adherence to recommended style guidelines	1	
	Total	20	
	Grand total*	100	

* Minimum of 55 points required for proposal to be recommended

Has candidate received research funding earlier?

From Nitte university From External Funding Agency None

Comments (attach additional sheet if required):

Ethics review

Approved

Not Approved

Overall recommendation:

Recommended

Not recommended

Name & Signature of Chairperson of Review Board

NU Short-term Research Grant (NUFR2 grants)

Purpose

1. To help initiate projects that could in the near future lead to a Grant proposal for external funding.
2. To support post-graduate/Ph.D dissertation research
3. This grant may be used for the following types of studies:
 - Pilot studies or feasibility studies
 - Studies aimed at collecting preliminary data
 - Exploration of novel research tools
 - Post-graduate/ Ph.D dissertation related research of Applicant student.

Eligibility

- A Faculty member of Nitte University with no other currently active NU funded project.
- Faculty members who are eligible to be PG/Ph.D guides are encouraged to apply for this grant to support their students' dissertation research. In such cases, the grant proposals should be planned for current prospective students who can be involved in the study in the upcoming academic year.
- Applicants who have not received external funding will be preferred.

Funding level

Up to a maximum of Rs. 2,00,000/-

Duration

Up to 2year with a no-cost extension of 6 months in justifiable cases.

Number of grants

A total of Rs. 60 Lakhs is earmarked for this type of grant. The total funding for each Institution shall not exceed Rs. 20 lakhs in a year under this scheme.

Budget norms

The total funding of Rs. 2,00,000/- lakhs can be used for equipment purchase / Personnel / Consumables / Contingencies with the following conditions / limits:

Equipment including computers and software.	<ul style="list-style-type: none">• No sub-limit• Due processes and procedures as specified by NU to be followed in equipment procurement• Equipment procured under the project will be property of NU and will be under the administrative control of the concerned Head of Department / Institution. During and after completion of the project, it will be shared and made available for any other project / program if such use will not interfere with the work on the project for which the equipment was originally acquired.
Personnel	<ul style="list-style-type: none">• A Research Assistant OR Technical Assistant OR Field Assistant may be recruited purely on a temporary basis for one year, extendable to maximum of two years. The need for such

	<p>personnel should be clearly justified.</p> <ul style="list-style-type: none"> • Maximum remuneration of Rs. 12,000/- per month for Research Assistant, Rs. 8,000/- per month for Technical / Field Assistants. • Qualifications and procedures as laid down by NU to be followed for recruitment. • Applicants who are eligible to be PG guides are encouraged to involve their PG students instead of recruiting personnel under these grants.
Consumables	<ul style="list-style-type: none"> • No sub-limit • Only for consumables directly required for the project. Expenses on stationery not acceptable.
Payments towards charges for in-house investigations	<ul style="list-style-type: none"> • No sub-limit.
Payments towards charges for investigations / services by external agencies	<ul style="list-style-type: none"> • Only if the investigations / services are crucial for the study and are unavailable in-house. • Not more than 50% of total grant may be used for such purposes
Publication charges	<ul style="list-style-type: none"> • Publication charges for publications arising from project to be sourced from this heading.

Selection process and timeline

- Applications in prescribed format will be submitted to the respective Dean / Principal by the specified deadline.
- An Institutional Research Committee (or equivalent panel constituted by Dean / Principal) and Ethics Review Committee will evaluate the proposals based on the following criteria.
 1. Significance of research objectives
 2. Validity of research design and proposed methods
 3. Potential of project to receive subsequent external funding support
 4. In case of proposals by faculty who are PG guides, opportunities and intention of involvement of PG students in project
 5. Feasibility
 6. Clarity of the proposal
- The evaluations will include an objective assessment using a prescribed checklist and an overall recommendation. The recommended proposals with evaluations will be forwarded by each Institution to the University by the specified date
- The shortlisted proposals received from all Institutions will be evaluated by a committee in the Research Directorate at Nitte University and a final list of the selected proposals will be prepared.

Post-award processes

- Projects have to be initiated within 3 months of approval. In case of projects linked to post-graduate research, project initiation may be synchronized with the PG calendar requirements.
- If an extension of duration is sought, the request should be submitted in prescribed format, at least two months before the originally scheduled end of the project.

Deliverables

- A final report in the prescribed format has to be submitted to the University within three months of completion of the project.
- A follow-up grant proposal for funding from any external funding agency AND / OR a paper presentation at a National / International Conference.

Evaluation form for NU Short-term Research Grants (NUFR2 grants)

Name of PI:

Institution:

ApplicationID:

Title of Project:

Eligibility criteria

1. Applicant does not have any currently active NUFR2 grant: YES NO

Evaluate the merits of the proposal on each of the following criteria:			
	Criterion	Max	Awarded
1.	Originality	10	
2.	Significance of research objectives	10	
3.	Validity of research design and proposed methods	20	
4.	Appropriateness of statistical methods	10	
5.	Feasibility	10	
6.	Potential of project to receive subsequent external funding support	20	
	Total	80	
Evaluate the clarity of the proposal based on each of the following criteria:			
1.	Research objectives, hypothesis stated clearly	5	
2.	Need for study established with appropriate background	5	
3.	Methods including statistical approach described clearly	5	
4.	Timeline for project presented clearly	2	
5.	Budget requirements presented clearly	1	
6.	References formatted according to guidelines	1	
7.	Adherence to recommended style guidelines	1	
	Total	20	
	Grand total*	100	

* Minimum of 55 points required for proposal to be recommended

Has candidate received research funding earlier?

From Nitte university From External Funding Agency None

Comments (attach additional sheet if required):

Ethics review

Approved

Not Approved

Overall recommendation:

Recommended

Not recommended

Name & Signature of Chairperson of Review Board

Part 2: Nitte University Research Grants for students

NU Ph.D Fellowships (NUSR1)

Each year, 25 Fellowships will be available for full-time PhD candidates selected through the procedures described in the NU Ph.D Regulations. Each fellowship will carry a consolidated stipend of Rs. 15,000 per month for a maximum duration of three years.

NU Short Term Undergraduate Fellowship Award (NUSR2)

1. A total of 20 short-term student fellowships (total funding of Rs.2 Lakhs is earmarked for type of grant) will be offered each year on a competitive basis for undergraduate students. The total funding for each Institution shall not exceed Rs. 70,000 in a year under this scheme.
2. One faculty guide to be specified. No Co-guides.
3. Duration of project will be 6 months.
4. Funding up to Rs. 10,000 which may be used (with prior approval) for any research related expense other than travelling / registration for conferences / workshops etc.
5. Applications in prescribed format will be submitted to the respective Dean / Principal. Institutional research committees will evaluate the proposals and forward the best proposals to the Universities by the specified deadline.
6. A final list of selected applicants will be prepared after evaluation by a committee in the University. The maximum number of fellowships awarded to any one Institution will be restricted to seven (or a total grant amount of up to Rs.70,000 for the Institution). The final list will be prepared by Nitte University.
7. Project completion report to be submitted in prescribed format within 9 months of approval date.
8. On acceptance and approval of project completion report, the Student Investigator will receive a Certificate from NU.

Evaluation form for NU Short Term Undergraduate Fellowship Award (NUSR2 grants)

Name of SI:

Institution:

ApplicationID:

Title of Project:

Eligibility criteria

1. Applicant does not have any currently active NUSR2 grant: YES NO

<i>Evaluate the merits of the proposal on each of the following criteria:</i>			
	Criterion	Max	Awarded
1.	Originality	05	
2.	Significance of research objectives	05	
3.	Validity of research design and proposed methods	20	
4.	Appropriateness of statistical methods	10	
5.	Feasibility	20	
6.	Opportunity for student to gain hands on experience in research	20	
	Total	80	
<i>Evaluate the clarity of the proposal based on each of the following criteria:</i>			
1.	Research objectives, hypothesis stated clearly	5	
2.	Need for study established with appropriate background	5	
3.	Methods including statistical approach described clearly	5	
4.	Timeline for project presented clearly	2	
5.	Budget requirements presented clearly	1	
6.	References formatted according to guidelines	1	
7.	Adherence to recommended style guidelines	1	
	Total	20	
	Grand total*	100	

* Minimum of 55 points required for proposal to be recommended

Comments (attach additional sheet if required):

Ethics review

Approved

Not Approved

Overall recommendation:

Recommended

Not recommended

Name & Signature of Chairperson of Review Board

Part 3: Incentives for Research

Section 1: General Guidelines

Faculty members of Nitte University will be eligible for incentives for research activities.

1. The incentives will be calculated as per guidelines detailed in the following sections (Section 2 & 3)
2. Submissions of details of activities eligible incentives are to be made by individual faculty members in the prescribed format as notified by the University. The submission will be scrutinized and forwarded by the head of the Institution to the University.
3. All publications should clearly indicate the Departmental, Institutional and University affiliations of the NU faculty members to be eligible for incentive claims.
4. Incentives will be disbursed once each year as notified by the University. Calculation of Incentives will be for contributions over the previous calendar year.

Section 2: Incentives for obtaining external research funding

Faulty members of Nitte University are eligible to claim incentives for obtaining research grants from external agencies.

1. A total of 5% of the external grant received may be awarded as incentive to the Principal investigators (PI) and Co-investigators (CI) who are faculty members in Nitte University.
 - a. PI will receive 50% of the incentive (i.e., 2.5% of the research grant)
 - b. CIs will share the other 50% (2.5% of the research grant) equally
 - c. In case where there is only one PI, the PI will receive 75% (3.75 % of research grant) and CI will receive 25% (1.25% of the research grant) as incentive.
 - d. For external grants for infrastructure development where the University provides a matching grant / co-sponsorship, the incentive is limited to 2 % of the external grant received.
2. The incentive will be calculated on the actual amount actually received and utilized for the project.
3. The incentive can be claimed on completion of the research project and submission of the completion report to the Funding agency, a copy of which is to be furnished along with the claim.
4. Grants received for Student projects / fellowships in which faculty members are guides / mentors will not be eligible for this incentive.

Section 3: Incentives for publications

1. Faculty members of Nitte University are offered incentives for publications in scientific journals and contributions to textbooks / monographs.
 - a. Incentives will be calculated detailed below in Tables 1 and 2
 - b. Only publications in legitimate peer-reviewed journals in the UGC Approved Journals¹ list or in PubMed /Scopus/Web of Science are eligible for incentives.
 - c. Calculation of incentives will be based on the information updated on a research contributions database / portal maintained by the University. Claims will be verified by the Head of the institution or designated authority.
2. In addition to the above, reimbursement of publication charges for papers published in journals with an Impact Factor³ of 0.5 or more may be claimed by the Corresponding Author⁴ of such a paper. Actual charges up to a maximum of Rs.20,000/- may be claimed for each such publication.
3. Both/Book chapter of reviewed publication will be eligible for incentive as per Table². Publication in “Vanity Press” will not be eligible. Evidence for actual sale of the books will need to be provided to claim the incentive.

Table 1: Articles / papers in peer-reviewed scientific journals

Sl.No	Type of Publication	First Author (Rs.)	Corresponding Author ⁴ (Rs.)	Co-Author(s) ⁵ (Rs., to be equally divided)
1.	Original research paper / Case Study Report / review / letter to editor / invited editorial in indexed ¹ journals with an Impact Factor (IF) ³ of 0.5 or more			
	IF >5.50	7,500+*	7,500+*	7,500+*
	IF 4.50 to 5.50	6,500	6,500	6,500
	IF 3.51 to 4.50	5,500	5,500	5,500
	IF 2.51 to 3.50	4,500	4,500	4,500
	IF 1.51 to 2.50	3,500	3,500	3,500
	IF 0.50 to 1.50	2,000	2,000	2,000
2.	Original research paper / Case Study Report / review / letter to editor / invited editorial in indexed ² journals with IF<0.5	1,500	1,500	1,500

3.	Other original research paper / review in other peer-reviewed non-indexed journals(UGC approved Journals list)	500	500	500
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* Rs. 7500 + Rs. 150 for every additional 0.1 impact factor value over 5.50

Table 2: Authoring / Chapter Contributions to Books.

Sl.No	Description	Amount (Rs.)
1.	Editor / Section Editor / Single Author of academic textbook / monograph ⁶	10,000
2.	Contributor to Chapter(s) in an academic textbook / monograph ⁶	5,000

Foot notes

- UGC Approved list of Journals may be accessed at <https://www.ugc.ac.in/journallist/>
- Indexed in PubMed (NLM) OR ISI Web of Science (Thomson Reuters) OR Scopus (Elsevier). The following links maybe used to search for journals indexed by these databases:
PubMed: <http://www.ncbi.nlm.nih.gov/pubmed/citmatch>

ISI Web of Science: <http://ip-science.thomsonreuters.com/cgi-bin/jrnlst/jlresults.cgi?PC=K>

Scopus: http://www.elsevier.com/_data/assets/excel_doc/0015/91122/title_list.xlsx
- Impact Factor assigned by ISI Web of Science, Thomson Reuters in the Journal Citations Report (http://wokinfo.com/products_tools/analytical/jcr/). Librarians of the respective Institutions will assist in finding the Impact Factor.
- Corresponding Author as specified in the article, irrespective of author position (order), provided s/he is not also the First Author.
- Co-Author(s) – Author(s) other than First Author and Corresponding Author. Points shown in this column are to be divided between all Co-Authors irrespective of affiliation or student/faculty status.
- May be claimed once in the year of publication of first edition / revised edition(s). Reprint not eligible for new claim. Soft copy of contribution will need to be submitted.