



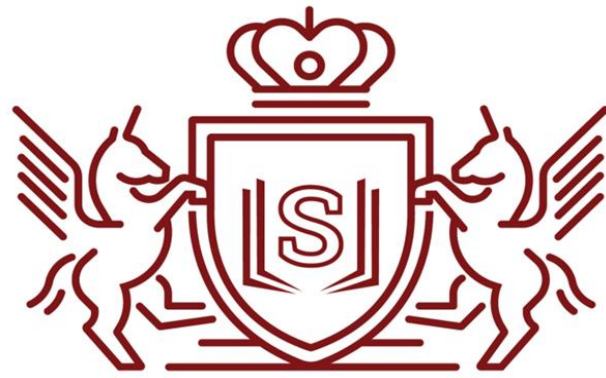
Research & Development Policy

Sanjivani Group of Institutes, Kopergaon

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**Research &
Development
Policy Document**

2023

Dear Colleague,

Warm greetings from Sanjivani Group of Institutes, Kopargaon!!!!

It is our privilege to cordially welcome you to this progressive and growth-oriented organization. This is a matter of pleasure for you and us as well. We are pleased to present you Research & Development Policy Handbook which we have originated and produced for you, so you may clearly understand our Research & Development policies. The policy is effective from June 2023. And will be revised at every academic year as per the requirement. It is expected that staff members of SGI strictly adhere to the rules and regulations spelled out in this document. The management & R&D department reserves the right to change/modify the policies as and when necessary and apply their discretion in specific cases.

This Handbook will serve you as a ready guide of our R&D Policies and its various facets. We hope this handbook will help you to know us in a better way with utmost clarity. In case you have any doubts, queries or need any assistance please feel free to contact the R&D Department /Dean, R&D.

We wish you a highly successful career ahead at Sanjivani Group of Institutes, Kopargaon.

With Warm Regards,

R&D Department

Sanjivani Group of Institutes

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SGI Research and Development (R&D) Policy

1. Definitions

- **University:** University means affiliated institute university
- **Institute:** - Various Institute under Sanjivani Group of Institutes, Kopargaon
- **School:** All Schools under Sanjivani group of institutes will be covered by the word "School," or the purpose of these rules.
- **Department:** All academic departments will be covered by the word "department" for the purpose of these rules.
- **Dean (R & D):** Dean Research and Development, Sanjivani Group of Institutes, Kopargaon
- **Head (HoD):** Head of the Department
- **Research and Development Department/Cell:** The Research and Development Department is responsible for the formulation of the overall guidelines related to research and publication.
- **Corporate Research Committee (CRC):** Committee have been appointed for initiating various research and development related activities. Also to plan, implement and monitor R&D activities.
- **Institute Research Committee (IRC):** Committee have been appointed for policy making and initiating various research and development related activities.
- **Departmental Research Coordinator (DRC):** Faculty member appointed by the department as a coordinator for departmental R&D activities to plan, implement and monitor. DRC is responsible for all the R&D related data & after him dean of concern institute. He/she is a person who coordinates with the central level research committees and R&D department.
- **PI:** Principal Invigilator of research project.

2. Introduction

Sanjivani Group of Institutes, Kopargaon is a well-recognized and highly appreciated Institute imparting quality technical education since last three decades. For accomplishment of the Vision & Mission of the Institute laying foundation for high quality research and inculcating research culture among all the stake holders of the institute is necessary. The objective of Research & development initiatives undertaken by Sanjivani Group of Institutes is to establish research culture and facilitate development of faculty and students.

Institute total 193 faculty members out of which 57 are Ph.D. holders and more than 77 are pursuing their Ph.D.'s. We have Ph.D. research centers of Savitribai Phule Pune University (SPPU) at Mechanical Engineering, Civil Engineering, Electronics and computer engineering, Computer Engineering, Pharmacy & MBA. We have a total of 61 Ph. D. scholars pursuing their Ph.D. work here at SGI. We also have Master program at all engineering departments and Pharmacy course. This together forms our research workforce. Improving high-quality scientific research is a necessary requirement for creating successful applications for society needs. All research and innovation of this Institute should aim to be of a high standard. The goal of creating technological and social innovations has emerged alongside R&D-based activities. Our relentless effort is always to foster research to contribute towards societal benefits.

Following are some initiatives undertaken by the institute for strengthening research culture

1. As part of Cooperate management committee Dean (Research and Development), Dean (Industry Relations) and Dean (Academics) have been appointed for policy making and initiating various research and development related activities.
2. To percolate the policies and vision related to research in every department of the institute, institute wise (Research and Development), Dean (Industry Relations) and Dean (Academics) has also been appointed.
3. For development of the faculty, efforts such as deputing faculty for internship in industry, deputing for collaborative research, encouragement for PhD, facilitating for knowledge creation, trainings, organizing various faculty competitions are undertaken. Based on individual expertise every faculty is encouraged to generate funds through consultancy/research projects/training/patents.
4. Faculty contributing in research is appreciated by the institute through awards and recognition.
5. To bring out research potential of the students, institute is doing significant innovations in the Teaching – Learning process such as project centric learning, student conferences, technical activities, semester long internships to industry/research organizations.

3. Objectives of R&D Department/Cell

1. To promote research culture in institute through research awareness among the faculty members and students.
2. To ensure smooth and effective functioning of research and development activities.

3. To create awareness about Patents & IPR Knowledge.
4. To enhance the research awareness by organizing national and international conferences, symposia, workshops on research methodology, IPR and patents, talks and discussions with eminent researchers.
5. To facilitate necessary resources and facilities like laboratory, library/e-library and internet facilities for research
6. To collaborate with different academic universities/institutes of national/international repute, Industries, research and development organizations/Laboratories to facilitate research activities.
7. To promote research activities for benefit of society through outreach programme.
8. To encourage faculty members to undertake research projects based on thrust areas in relevant discipline funded by various agencies.
9. To encourage and guide faculty members to seek grants from various governments, private agencies for promoting and supporting the research work.
10. To encourage faculty members & students to publish their research work in renowned journals

4. Responsibilities of Research and Development Department/Cell

R & D Cell shall have the responsibility of regulating the research activities of faculty members, scholars and students of the institution and its responsibilities include: -

1. Establish research committee/forum to coordinate all the activities of the Research and Development of the SGI.
2. Promotion of research culture in various institutes of SGI through various activities and events related faculty and student development.
3. Identification of thrust areas of research in each department
4. Provide need based financial support for research activities / projects.
5. Offering research facilities like research equipment's, laboratories, access to online journals, etc. to facilitate a conducive research environment.
6. Provide incentives and study leaves and encourage research related activities.
7. Establish incubation centers/ Research centers/ Centers of excellence.
8. Developing a Research policy.
9. Arrange expert lectures by outside eminent personalities.
10. Advice and/or arrange Seminars / Conferences / Conclave / Symposium / Workshops at

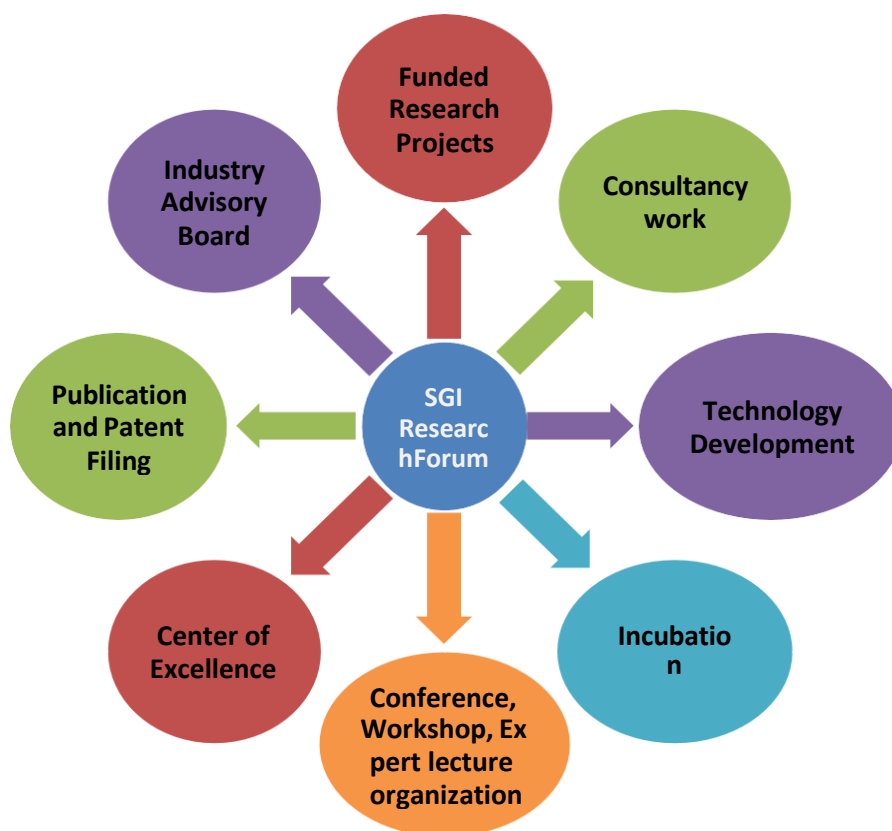
- national or international level for faculty and students.
11. Visit various Schools / Departments and meet the faculty to encourage and Encouraging faculty for submitting research proposals for government and non-government funding agencies by disseminating the information on funding schemes from Government/Private funding agencies and providing support in enhancing the quality of proposals.
 12. Scrutinize the proposals before submitting to funding agencies and supporting faculty members to pursue research in their respective areas of expertise.
 13. Advise and encourage the faculty to carry out research in-house and in collaboration with other organizations.
 14. Promote and encourage interdisciplinary research.
 15. Propose and monitor budget for promotion of research activities at corporate level.
 16. Disbursement of funds from university to faculty for research activities.
 17. Formalizing Training Need Identification, Deputation and Feedback Process for faculty.
 18. Supporting faculty for pursuing consultancy work, developing incubation centers and writing patents.
 19. Monitoring the quality of publications.
 20. Research collaborations with national / international laboratories / organizations, academic universities/ institutions and industries.
 21. Setting up Industry Advisory Board (IAB) to help faculty interact with industry, present their work and projects, get their projects commercialized, fetch consultancy work or finding student internship opportunities.
 22. Developing IPR cell providing sponsorships to help faculty file patents and commercialize them.
 23. Protection and commercialization of the intellectual property.
 24. Providing incentives, awards for excellent performance in research related activities such as fetching research grants, having consultancy projects, generating IRG, publishing high quality journal / conference publications, etc.
 25. Establishing research-based faculty appraisal policy.
 26. Establishing SGI research grant policy to encourage young faculty to pursue research work.
 27. Developing incubation centre to encourage entrepreneurship activities and providing a fertile ground for students and faculty to cultivate new research ideas, developing prototypes, getting seed funding from investors to help them realize their dream products.

5. Establishment of Research & Development Department/Forum:

The Research Department implements wide ranging activities such as promoting applied and basic research, technology development, establishing centers of excellence, honing and cultivating appropriate research skills within faculty by deputing for Ph.D. studies, Conferences, Workshops and Short Term Training Programs (STTPs), promoting faculties to submit research proposals for different funding agencies viz. Savitribai Phule Pune University, All India Council for Technical Education (AICTE), University Grants Commission (UGC), Department of Science & Technology (DST), Indian Space Research Organization (ISRO), Defense Research & Development Organization (DRDO), Council for scientific and Industrial Research (CSIR), Rajiv Gandhi Science and Technology Commission (RGSTC), etc.

Establishment of research Department/ forum for various activities such as

1. Sharing of research by internal faculty members
2. Arranging expert lectures by outside eminent personalities
3. Developing training modules
4. Arranging conferences and workshops
5. Submitting research proposals for government and non-government funding agencies
6. Pursuing consultancy work, developing incubation centers.
7. Writing patents
8. Established research steering committee to coordinate the activities of the research forum.
9. Arranging Training/ Discussion Sessions for the research forum:
10. Formalizing the procedure for Departmental research data collection
11. Formalizing Training need Identification, Deputation and Feedback Process
12. Formalizing the Research Appraisal Scheme for faculty members
13. Developing a policy for SGI Research Grant
14. Developing Conference and Workshop Deputation Policy
15. Conferences and workshops organized by research forum



5.1 Research & Development Department/Forum Structure: -

a) Corporate Research Committee/forum (CRC)

Academic Year: -----

S.N.	Name of the Member	Category	Designation
1)		Managing Trustee	Chairman
2)		Corporate Dean- Research & Development	Vice-Chairman
3)		Principal/Directors/HoD from various institutes of SGI (<i>Any 5</i>)	Member
4)		Corporate Dean-Academics	Member
5)		Corporate Dean- Industry institute interaction	Member
6)		Corporate Dean IQAC	Member
7)		Institute Dean R & D (<i>1 Member from any institute</i>)	Member
8)		Institute Dean III (<i>1 Member from any institute</i>)	Member
9)		Institute Dean Academics (<i>1 Member from any institute</i>)	Member
10)		Nominated member from industry (<i>Any 2</i>)	Member

***** *Minimum 15 Members are expected in corporate research committee (CRC).*

b) Institute Research Committee/forum (IRC)

Academic Year: -----

S.N.	Name of the Member	Category	Designation
1)		Director/Principal	Chairman
2)		Institute Dean R & D	Vice-Chairman
3)		Head of Departments (All HoD)	Member
4)		Institute Dean Academics	Member
5)		Institute Dean T&P	Member
6)		Institute Dean IQAC	Member
7)		Institute Dean III	Member
8)		Departmental R & D Coordinator	Member
9)		Nominated member from industry (<i>Any 2</i>)	Member

******* Minimum 15-20 Members are expected in institute research committee (IRC).**

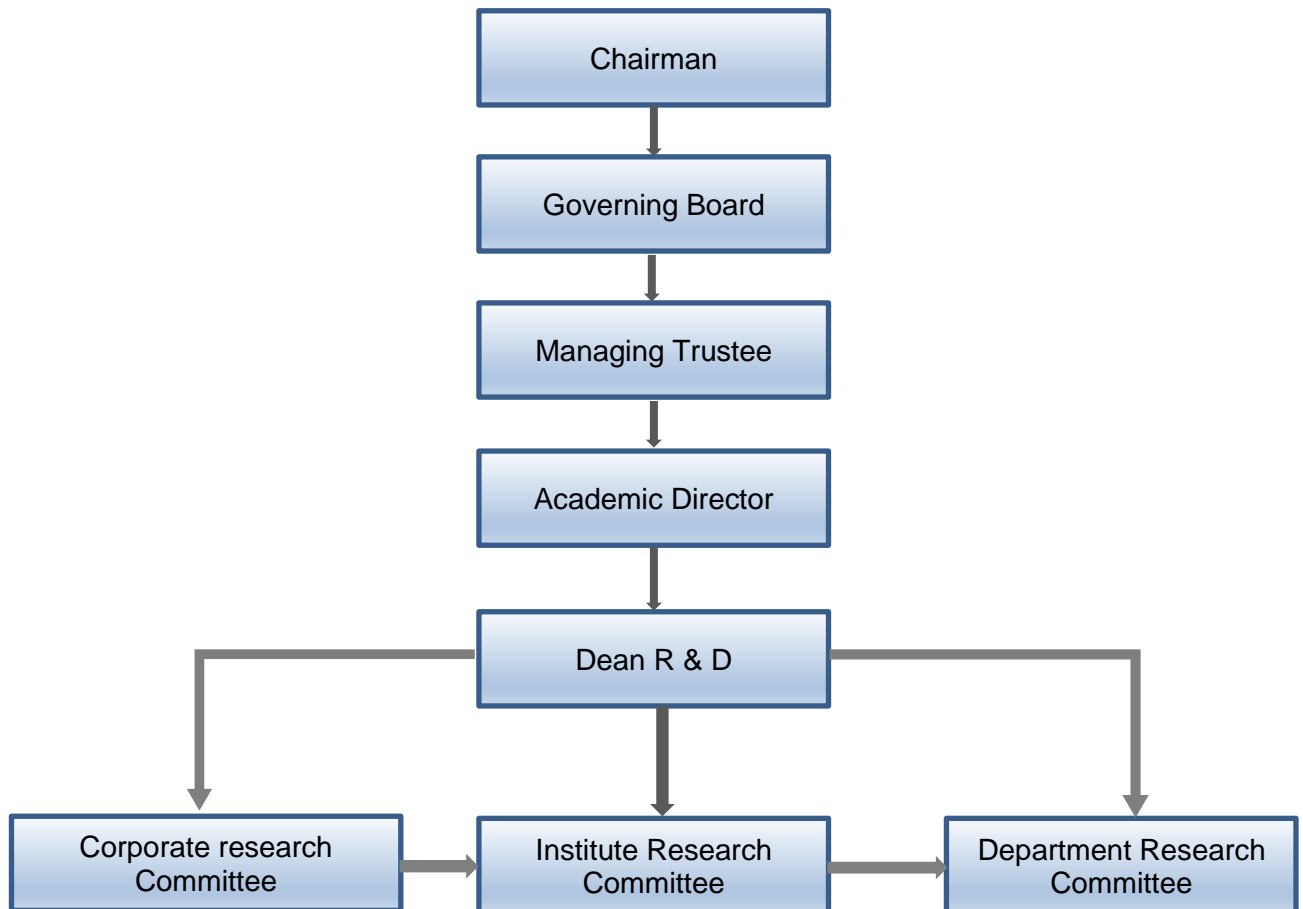
c) Departmental Research Committee/forum (DRC)

Academic Year: -----

S.N.	Name of the Member	Category	Designation
1)		Head of Department	Chairman
2)		Departmental R & D Coordinator	Vice-Chairman
3)		Departmental Academic Coordinator	Member
4)		Departmental T & P Coordinator	Member
5)		Departmental III Coordinator	Member
6)		Departmental IQAC Coordinator	Member
7)		Departmental Faculty (<i>Any 5 as per faculty expertise</i>)	Member
8)		Nominated member from industry (<i>Any 2</i>)	Member

******* Minimum 10-15 Members are expected in Departmental research committee (DRC).**

6. Structure of R&D Department



7. Roles and Responsibilities of Dean (Research and Development)

Authorities of Dean (Research and Development)

1. To motivate faculty to write projects.
2. To monitor the effective utilization of funds of externally funded projects and related
3. financial matters.
4. To monitor and administer consultancy work in various departments of the college.
5. To maintain and update records of research projects.

Responsibilities of Dean (R & D)

Dean- Research and Development is working as the Head of the Research & Development Unit. The Dean R&D has full responsibility for project administration including-

1. Acceptance of sponsored research and consultancy projects from the sponsor.
2. Recruitment, extension, assessment, termination and invoking disciplinary procedure against project staff and full financial power related to all projects covered

under the R&D Regulations.

3. Other important responsibilities of Dean R &D are-
 - a. To formulate policy for sponsored research and consultancy projects.
 - b. To finalize all matters related to sponsored research and consultancy services in consultation with the Principal of college.
 - c. Selection of junior research fellow / senior research fellow /research associate as per guidelines provided by the sponsoring agency and with the approval of Dean R&D.
 - d. Any other relevant work assigned by the Principal of college related to research, development, consultancy and testing activity.

The specific responsibilities of Dean (R&D) are as follows:

I. Planning of research activities, resource mobilization and management of R & D projects

1. Identify opportunities for externally funded R&D projects, apply for funding, submit project proposals, follow up with the funding agencies, for securing sanction of projects.
2. Identify R&D projects to be taken up with college funding.
3. Prepare R&D budget including, among others, seed money for faculty for research, incentives, project cost; obtain funds for budget proposals.
4. Prepare annual R &D plan of activities including externally funded projects and college funded projects.
5. Manage R & D projects
6. Submit quarterly reports to Principal/Management on the progress of R & D activities, status of sponsored research project proposals, and action proposed to meet/exceed targeted performance.
7. Identify infrastructure requirements for research work, start-ups, prototype development, plan for procurement and installation of facilities in a phased manner.
8. Identify external facilities where part of research activities, prototype development can be carried out; enter Into MoU with such organizations.
9. Ensure that the lab facilities and other installations and capital equipment's are used optimally through R & D/ consultancy related activities
10. Form a research committee composed of distinguished faculty members having aptitude for research and, members from industry/R&D organizations to address the

issues of research.

II. Promotion of research

1. Develop and establish a policy to promote research culture in the college
2. Stimulate and enhance the research ability and potential of students, having the aptitude for innovative research.
3. Identify prioritized research areas based on the expertise available with the college.
4. Organize visits by eminent researchers to interact with the faculty and students.
5. Organize national and international conferences with the participation of eminent scientists/technologists in specialized/emerging areas.
6. Take initiative and develop mechanism for gathering the findings of research in the areas relevant to community problems/needs and transferring the same to the students and the community.
7. Develop plans, and co-ordinate efforts of departments of college, to obtain recognition for their research activities by national, international agencies such as UGC, DST, ICSSR, ICHR, ICPR, AICTE etc.

III. Research Publications

1. Co-ordinate setting of yearly targets for research publications by the department faculty in national, international journals, major paper presentations in regional, national, and international conferences, regularly monitor the progress, and take steps, as required, for achievement of targets.
2. Publish a research journal of the college, develop publication policy, constitute editorial board, and function as editor-in-chief of the journal.
3. Maintain data base of paper presentations, paper publications, publication of books, by the faculty of all the departments of the college including research awards, recognition received by them from reputed professional bodies and agencies.
4. Develop and establish policy to check malpractices and misconduct in research.
5. Develop and establish policies for instituting research awards, and for giving incentives to faculty for receiving State, national and international recognition for research contributions.

IV. Collaboration and Consultancy

1. Develop and establish consultancy policy for
 - Identifying and recognizing the areas of expertise of the college.

- Publicizing the expertise of the college for consultancy services.
 - Encouraging the faculty to utilize their expertise for consultancy services.
 - Costing of consultancy projects.
 - Revenue sharing as between institution and the consultants- including faculty consultants, external consultants, technical services staff of the college.
2. Initiate and co-ordinate signing of MoUs with other institutions, industries, corporate houses, for collaborative research and/or development, for synergetic benefit with the overall objectives of enhancing the quality and output of teaching-learning, research and development activities.
 3. Evaluate the impact of the linkages, periodically, on:
 - Curriculum development
 - Faculty exchange and development
 - Research, Publication
 - Consultancy
 - Student placement.

8. Norms and Standards for the Research Grant Policy

The Management of SGI has allocated budget to fund research projects to be undertaken by the faculty pursuing research in various areas. The aim of the scheme is to strengthen the research activity especially among the young faculty members which will act as a catalyst for them to apply to the various funding agencies for major grants.

The norms and guidelines of the scheme are given below to help the faculty in the preparation of the proposals.

1. The maximum grant available for each project is Rs. 3 lakhs and the duration of the project is for maximum two years.
2. Research proposals from faculty of lecturer, Assistant professor, associate professor cadre would consider for acceptance.
3. Proposals written in collaboration with faculty from within and other Departments (intra and interdepartmental) involving interdisciplinary research areas are given preference.
4. Number of research proposals to be sanctioned per Department would be as per faculty strength of the Department on the prorata basis.
5. The selection of the projects will be based on peer review and presentation of short-listed proposals in front of Expert Committee.

6. All assets generated out of the fund for the project including equipment, books and journals will become the property of the institution and an entry in the dead stock / consumable stock / library is mandatory for sanctioning the bills.
7. A publication in the form of a research paper in an international peer reviewed conference or journal is mandatory. The affiliation of the institute and an acknowledgement there in is essential to be mentioned in the research paper. One copy has to be submitted to the Dean R&D office.
8. Students of Diploma, UG or PG are required to be associated with the project.
9. A bound copy of the final report of the work done on the project in thesis form along with CD / Floppy must be submitted to Dean R&D office on completion of the research project.
10. A copy of the “Final Report” of the work done should be kept in the library of the respective department.

9. Guidelines for Research Proposal

Research proposal is an opportunity to faculty members to start or continue their research work in the Institute. The guidelines for the research proposal are as follows:

1. The proposal should clearly state the objectives, indicate current national and international status, methodology employed, plan of the research work, expected results and outcome of the project along with the budget estimate for two years.
2. The budget estimate should provide the details under different heads such as equipment, consumables / chemicals / reagents / supplies, contingency, books, etc.
3. For purchase of equipment's, follow the procedure as per institute purchase procedure.
4. The Principal Investigator should present their project work six monthly in front of project evaluation committee.
5. The release of the funds as a second installment will depend on quality as well as the performance of the work done at first stage and also utilization of 75% funds released for the first stage.
6. The Principal Investigator should submit annual progress report along with the statement of accounts and utilization certificate at the end of financial year for the release of the subsequent grant to the to the Dean R&D office.
7. All Principal Investigators are supposed to publish their work in an international peer reviewed conference or journal of repute.
8. Every bill must be signed by HOD of the concerned department and the Principal before

submission of Research projects for audit.

9. Expenditure towards the purchase of air-conditioners, or renovation of laboratories or the purchase of Mother Board, DVD writer, Hard Disk, RAM, Antivirus, Pen drive, Computer, Laptop, Mobile, DVD, Steam Oven, Home Theatre, Mixer, Handy cam, Printer, Scanner, Fridge, Cupboard, Books rack, Furniture, stationery item, etc. will be not allowed.
10. Dead stock/consumable stock entry is necessary for purchase on Research project.
11. Library's Accession No. is important on purchased books
12. Travelling expenditure will not be sanctioned. from this grant. Air ticket & other expenditure like food items, beverages, snacks, meals, local travel will not be sanctioned for attending National & International conference from this grant
13. The final report of research project should include
 - Technical Report along with conclusions (two hard bound copies) / and published, presented, accepted paper(s) (a soft copy)
 - Statement of accounts
 - Utilization certificate
14. The central audit will be organized at the end of financial year for financial assessments of research projects.
15. In spite of these guidelines, any additional thing which will help in strengthening the research culture in Institutes shall be allowed after due sanction from the Honorable Director/Dean R & D.

10. Faculty Deputation and Sponsorship Policy

a) Deputation Training/ STTP/ Workshops/ Seminar:

1. The departments are allotted a budget of Rs. 3000 * n, where n is the number of faculty members working in that department. Head of the Department can use this budget for the departmental faculty. This cost includes registration, travel, and other expenses, if any for the faculty training.
2. No students will be sponsored for attending conferences, workshops, trainings, seminars, etc.
3. For deputation to training for STTP/ Workshops/ Seminar the departments are allotted a budget on prorata basis.
4. The deputation cost includes the registration, travel, and other expenses, if any, for the faculty training.

5. The Head of the Department can use this budget to recommend departmental faculty for deputation by considering the training needs identified by the faculty.

For faculty deputation following are the norms:

1. For events within India the faculty will be considered for providing TA/DA at actual according to the college norms along with the On-Duty leave for the days required.
2. For the events outside India the faculty will be granted On-Duty leave. But, no registration charges, VISA/ passport fees, TA/ DA, insurance charges will be borne by the institute. The faculty can apply for the international travel grants to take care of these expenses. On-Duty leave will be sanctioned only when the faculty provides the proofs of the event and medical insurance taken.
3. Students will be sponsored for any events only when the institute deputs them for the same.
4. For deputation of all the events the faculty needs to apply for the deputation and/or sponsorship. The director will approve expenses after considering recommendation by the Head and the Dean R&D.

Apart from the above norms following are the norms which are more specific to the event of deputation:

I] Publications:

1. ***For a faculty publishing a paper in a journal having non-zero impact factor provided by Thompson Reuter’s Journal Citation Index (JCI):*** Publication charges at actual or up to Rs. 10,000 per financial year, whichever is less, will be considered for sponsorship by the college
2. ***For a faculty publishing a paper in a journal or a conference cited by Scopus:*** Publication / registration charges at actual or up to Rs. 5,000 per financial year, whichever is less, will be considered for sponsorship by the college

For the above the faculty must be:

- The first author, with SGI affiliation. **OR**
- If the faculty is not the first author; then the first author must be a registered student of SGI and the paper is published with SGI affiliation. **OR**
- If the faculty affiliation is not SGI, then the faculty must be the first author and he or she must be a research scholar deputed by SGI officially.

II] Patent:

1. For filing a patent 50%-100% charges will be considered to be sponsored by the college.
2. Depending on patent quality and significance, 0-50% charges will be equally shared by the inventors.
3. The patent has to be filed with SGI as the owner of the patent.

11. Policy for Research Expenditures for funded projects

a. Research Projects: Received research grants by Govt. or private funding agencies

- The faculty will be deputed for presenting the shortlisted research proposals only if the faculty has applied to the research grant scheme through SGI with SGI as affiliation on the proposal.
- Under this scheme Principal investigator will be eligible to get 2.5 % amount of the received fund within the financial year as the incentive.
- When more than one person is working on the project the decision regarding distribution of incentive amount will be taken case to case basis by the Managing Trustee on the recommendation of Dean R&D.

b. Publications:

- ***For a faculty publishing a paper in a journal having non-zero impact factor provided by Thompson Reuter's Journal Citation Index (JCI):*** Publication charges at actual or up to Rs. 10,000, whichever is less will be provided by the college per financial year
- ***For a faculty publishing a paper in a journal cited by Scopus:*** Publication charges at actual or up to Rs. 5,000, whichever is less will be provided by the college per financial year
- ***For a faculty publishing a paper at a conference within India cited by Scopus:*** TA/DA as per the college norms will be provided along with On-Duty leave for the days required to attend the conference. The registration charges have to be provided by the faculty.
- For conferences outside India no sponsorship will be provided by the college. The faculty can apply for the international travel grants.
- For all the 3 above the faculty should be the first author with SGI affiliation.

c. Patent:

- For filing a patent 50%-100% charges will be considered to be sponsored by the college.
- Depending on patent quality and significance, 0-50% charges will be equally shared by the inventors.
- The patent has to be filed with SGI as the owner of the patent.

d. Research Projects:

- For presenting the shortlisted proposals the faculty will be paid TA/DA at actual according to the college norms along with On-Duty leave for the days required.

12. Policy for Distribution of Overhead Charges by SGI

Based on individual expertise every faculty is encouraged to generate funds through consultancy. To network with industries and create opportunities for obtaining consultancy projects, Dean (Industry Relations), Dean (R &D) are appointed. Every department has to formulate Industry Advisory Board to bridge the gap between academia and industry. Also, faculty contributing in revenue generating through consultancy is appreciated by the institute through awards and recognition. The policy for sharing the revenue generated after deducting all expenses from sanctioned consultancy grant is as follows.

- 30% to the Institute.
- 70% of the surplus amount to the coordinator/Activity owner

13. Books, Edited chapter in book, Monogram and related literary works

Sanjivani Group of Institutes, Kopargaon encourages its staff to publish and assimilate the knowledge in the form of books, edited chapter(s) in book, monogram & related literacy works. In this respect, SGI does not claim ownership of copyright on books authored by SGI family members.

In cases of institute designated works and other works like the content development programme, the ownership rests with SGI.

Incentives towards publication of Books will be based on the reputation of publisher and the decision will be take case to case basis by the Managing trustee on the recommendation of Dean R & D. However, R & D policy recommends reputed national and international publisher while giving incentives towards book publication.

Use of SGI logo on any personal publications by the faculty member / staff /student is prohibited, unless and otherwise it is required by design with authority permission.

14. Purchase Procedure Policy for funded projects and consultancy grants

1. Requirement should be forwarded to Dean, Research & Development through Head of Department.
2. This requirement should be forwarded to Managing Trustee with recommendation of Director for approval.
3. The requirement of all such items should be as per the approval of the Funding Agency (Attach Funding Agency approval letter)
4. The procurement of all these items / services shall be carried out as per the following details:

1. All equipment's:

1. Principal Invigilator should call minimum 3 quotations based on the required specifications and make minimum 3 vendors.
2. In case the item is of proprietary nature only one quotation will suffice. Due justification for the item being proprietary should be attached.
3. Principal Invigilator should prepare comparative statement including special technical basic price, taxes, freight charges, installation, training charges, payment and delivery terms, inspection terms, etc.
4. This comparative statement should be forwarded to Dean, Research & Development through Head of Department.
5. Dean, Research & Development should forward above document to purchase department.
6. After approval from Managing Trustee, PI should arrange a meeting of vendors with Institute and Purchase department for negotiations and finalization of other purchase terms and conditions.
7. After approval of the vendor from purchase department, the purchase order will get prepared by purchase department with due terms and conditions.
8. The Purchase Order should be forwarded to Dean, Research & Development.
9. Dean, Research & Development should forward above Purchase Order to Director.
10. The copy of Purchase Order duly signed by the Director should be issued to the vendor and Office copies of the same should be retained with PI and Department.
11. PI should do necessarily follow up for procurement of the equipment's and ensure that entire transaction is done as per terms and conditions of Purchase Order.

12. PI should further carry out the bill settlement process as per the Institute procedure.

2. Computer and IT related products/Consumables:

1. PI should workout required technical specifications for Computer and IT related products.

2. This requirement should be forwarded to Dean, Research & Development through Head of the Department.

3. Dean, Research & Development should forward above requirement to Managing Trustee through Director/Principal.

4. PI should call minimum 3 quotations based on required technical specifications. In case the item is of proprietary nature only one quotation will suffice. Due justification for the item being proprietary should attached.

5. PI should prepare comparative statement including special technical basic price, taxes, freight charges, installation, training charges, payment and delivery terms, inspection terms, etc.

6. This comparative statement should be forwarded to Dean, Research & Development through Head of Department.

7. Dean, Research & Development should forward above document to purchase department.

8. After approval from Managing Trustee, PI should arrange a meeting of vendors with Institute and Purchase department for negotiations and finalization of other purchase terms and conditions.

9. After approval of the vendor from purchase department, the purchase order will get prepared by purchase department with due terms and conditions.

10. The Purchase Order should be forwarded to Dean, Research & Development.

11. Dean, Research & Development should forward above Purchase Order to Director.

12. The copy of Purchase Order duly signed by the Director should be issued to the vendor and Office copies of the same should be retained with PI and Department.

13. PI should do necessarily follow up for procurement of the equipment's and ensure that entire transaction is done as per terms and conditions of Purchase Order.

14. PI should further carry out the bill settlement process as per the Institute procedure.

3. Stationery Items:

1. PI should workout required stationery purchase of the Institute.

2. This requirement should be forwarded to Dean, Research & Development through

Head of the Department.

3. Dean, Research & Development should forward above requirement Stationary store through the Director/Principal.
4. Stationary department should carry out the further process as per purchase department guidelines.

15. Policy for Review and research audits

- Review of research work will be done on continuous basis i.e., once in semester for this review committee will be DRC.
- DRC should submit departmental research report to IRC.
- IRC Should submit compiled report of institute to CRC.
- Similarly review of all funded projects will be carried out once in semester and guidelines will be given for future course of action.
- Every department must submit the detail R&D annual report duly signed by Departmental coordinator and HoD through DRC to institute R&D department, latest by 31st of May every year without fail.
- Every Institute must submit the detail R&D annual report duly signed by Institute Dean R & D and Director/Principal through IRC to Corporate Dean R & D, latest by 10th of June every year without fail.
- Corporate Dean R & D must submit the detail R&D annual report duly signed by Corporate Dean R & D and Chairman (CRC) through CRC to Management, latest by 20th of June every year without fail.
- Every Institute must submit R&D budget utilization report (of financial year) duly signed by Institute Dean R & D and Director/Principal through IRC to Corporate Dean R & D, latest by 15th of March every year without fail without fail to get eligible for next year R&D budget/incentives.

16. Responsibilities of a Principal Research Investigator

A Principal research investigator who leads a research group has leadership and supervisory responsibilities with respect to the research performed by members of the group. A principal investigator must not only put together the research group but also arrange for the assembly of an adequate financial and administrative structure to support the research. A supervisor not only provides guidance and advice to individual members of the group in the responsible conduct of the research but also has ultimate responsibility for the scientific integrity of the whole research

project. He or she should thus take all reasonable steps to check the details of experimental procedures and the validity of the data or observations reported by members of the group, including periodic reviews of primary data in addition to summary tables, graphs, and oral reports.

17. Policy of the College to check malpractices and misconduct in research

The organization has a corporate research committee (research forum) at corporate level, Institute level and Department research committee to monitor the progress of research work. The faculty/Students are counseled for the consequences of malpractices and misconduct in research. The final submission of research work is approved and forwarded to concern body (university, industry, sponsored organization) only after the satisfactory presentation before institute level committee (with one external subject expert) and publications based on the study carried out as per norms of Sanjivani Group of Institutes. Publications in peer reviewed journals are mandatory and thereby check any possible malpractice and misconduct in research.

The purpose of this policy is to set of guidelines is to provide a positively oriented set of practical suggestions for maintaining integrity in research. Not only does the ethical conduct of science satisfy a scientific moral code; it also leads to better scientific results because the adherence to ethical research practices leads to more attention to the details of scientific research, including qualitative analysis and quantitative and statistical techniques, and to more thoughtful collaboration among investigators. Also, the credibility of science with the general public depends on the maintenance of the highest ethical standards in research.

1. Plagiarism:

At SGI, Kopargaon, we suggest plagiarism check to ensure that documents such as thesis, dissertation, reports, publications are free of plagiarism at the time of their submission.

As per guidelines of UGC following similarity checks for exclusion from Plagiarism

- All quoted work either falling under public domain or reproduced all necessary permission and/or attribution.
- All references, bibliography, table of content, preface and acknowledgements.
- All small similarities of minor nature.
- All generic terms, laws, standard symbols and standards equations.

In case Plagiarism is established in the core work claimed then Corporate Research Committee of the SGI will impose maximum penalty in accordance with UGC norms.

- The core work shall include abstract, summary, hypothesis, observations, results, conclusions and recommendations.

Levels of Plagiarism

SGI will quantify plagiarism levels using standard software and databases and levels in ascending order of severity for the purpose of its definition:

Similarities up to 20 % - excluded

Level 1: Similarities between 20% to 45%

Level 2: Similarities between 45% to 70%

Level 3: Similarities above 70%

Departmental research committee of the Department will submit a report to the Corporate Research Committee. Based on the observations of Departmental research committee (DRC) Corporate Research Committee (CRC) will take appropriate decision after giving a hearing to the accused person. The penalties will be in line with UGC norms.

A) Penalties for Students

Level 1: Similarities between 20% to 45% - Such student shall not be given any mark and/or credit for the plagiarized script and shall be asked to submit a revised script within a stipulated time period not exceeding 15 days.

Level 2: Similarities between 45% to 70% - Such student shall not be given any mark and/or credit for the plagiarized script and shall be asked to submit a revised script after a time period of 6 month but not exceeding 1 year.

Level 3: Similarities above 70% -Such student shall not be given any mark and/or credit for the plagiarized script and his/her registration for that course to be cancelled.

B) Penalties for faculty, staff, researcher of the Institute

Level 1: Similarities between 20% to 45% - Shall be asked to withdraw' manuscript Submitted for publication and shall not be allowed to publish any work for a minimum period of 3 month.

Level 2: Similarities between 45% to 70% - shall be asked to withdraw' manuscript submitted for publication and shall not be allowed to publish any work for a minimum period of 6 month and shall not be allowed to be a supervisor to any UG, PG, Ph.D student/scholar for a period of one years.

Level 3: Similarities above 70% - shall be asked to withdraw manuscript submitted for publication and shall not be allowed to publish any work for a minimum period of one years and shall not be allowed to be a supervisor to any UG, PG, Master's, M. Phil., Ph.D. student/scholar for a period of two years.

C) Enhanced penalty on repeated plagiarism

- Shall be punished for the plagiarism of one level higher than the lower level committed by him/her. In case where plagiarism of highest level is committed then the punishment for the same shall be operative. In case level 3 offence is repeated then show cause notice issued to concerned person.
- **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 reimbursed from his salary.
- If there is any complaint of plagiarism against the Head of an Institute, a suitable action, in line with these regulations, will be taken by the Competent Authority/Governing Board/Governing Council as the title may be.

2. Data

A) Integrity of Data

Fabrication and falsification of research results are serious forms of misconduct. It is a primary responsibility of a researcher to avoid either a false statement or an omission that distorts the research record. A researcher must not report anticipated research results that had not yet been observed at the time of submission of the report. In order to preserve accurate documentation of observed facts with which later reports or conclusions can be compared, every researcher has an obligation to maintain a clear and complete record of data acquired.

In many fields of laboratory research, it is standard practice to record data in ink in an indexed permanently bound laboratory notebook with consecutively numbered pages. Research methods, including statistical treatments, should be either described in the e-record, notebook or referenced by citation to some other primary or secondary source. Information on materials used, along with their sources, should be recorded. Entries should not be erased or white out. If mistakes are to be corrected, a thin line should be drawn through the erroneous entry so as not to obscure it and an initialed dated correction written separately, along with an explanatory note, near the original entry or in the margin. Inspection and or calibration report is required.

All data should be recorded contemporaneously with the production or observation of the data. If some data are obtained as printouts from instruments or computers, these printouts should be appropriately labeled and pasted into the notebook or, if pasting is not possible,

stored securely and referenced in the notebook as to storage location. If unique critical materials, such as cell lines, archeological artifacts, or synthetic chemical intermediates, are prepared or discovered, they should be preserved and appropriately labeled, and explicit instructions should be written in the notebook as to where they are stored. Extensive data sets may be stored either as hard copy or on disks. In such cases, carefully documented definitions for codes should be included, together with rules for applying them to the experimental, clinical, or field data and notes.

Research in social sciences and in some clinical biomedical fields poses specific problems with respect to the availability of primary data for use by other researchers or by reviewers of allegations of possible scientific misconduct. The protection of human subjects requires that data be used, stored, and disclosed in a way that ensures the privacy of individual research subjects. Furthermore, while for purposes of analysis these data are frequently coded and entered into computer files with only code numbers identifying the individual subjects, there is often an interest of the researcher in reviewing the coding procedures in order to identify either random or systematic mis- entry of data into files. To satisfy these guidelines fully, the primary data - clinical or laboratory records, questionnaires, tapes of interviews, and field notes - should be available for review. (In some research areas, anthropology for example, field notes are viewed as the product of the researcher rather than as data, and are thus customarily not made available to others.) Where possible, questionnaires should be stored without identifiers, using only code numbers to link them to computerized files. Records, including transcripts of taped interviews, can be redacted to remove names and other key identifiers. The rules and procedures for carrying out such redactions should be available to anyone who reviews the data

B) Use and Misuse of Data

Researchers should acquaint themselves with the relevant quantitative methods available for processing data, including graphical and tabular methods of presentation, error analysis, and tests for reliability. Research integrity requires not only that reported conclusions are based on accurately recorded data or observations but that all relevant observations are reported. It is considered a breach of research integrity to fail to report data that contradict or merely fail to support the reported conclusions, including the purposeful withholding of information about confounding factors. If some data should be disregarded for a stated reason, confirmed by an approved statistical test for neglecting outliers, the reason should be stated in the published accounts. A large background of negative results must be reported. Any

intentional or reckless disregard for the truth in reporting observations may be considered to be an act of research misconduct. Special care must be taken in the use of photo-images not to misrepresent the underlying data. When using imaging-processing software, like Adobe Photoshop, for example, in preparing a blot for viewing it is improper to add or delete a band, to differentially adjust the intensity of one or more bands, to label an image from one experiment as representing a different experiment, to splice lanes without using a line indicating the deletion, or to juxtapose pieces from different gels onto a single image.

Modifying an approved protocol in the midst of a clinical or epidemiological study or changing the character of an approved study (e.g., from an exploratory to a confirmatory study) without prior approval is improper and could be viewed as research misconduct. Expenditure of government grant funds for fabricated or falsified research is not only a violation of research ethics but also a federal crime, and those responsible may be subject to prosecution for fraud with the possibility of a demand for restitution of funds to the government, a fine, and/or imprisonment.

C) Ownership of and Access to Data

Research data obtained in studies performed at SGI, Kopargaon and/or by employees of the SGI are not the property of the researcher who generated or observed them or even of the principal investigator of the research group. They belong to the SGI, which can be held accountable for the integrity of the data even if the researchers have left the Institute. Another reason for the Institute’s claim to ownership of research data is that the Institute, not the individual researcher, is the grantee of sponsored research awards. Reasonable access to data, however, should normally not be denied to any member of the research group in which the data were collected. If there is any possibility that a copyright or patent application might emerge from the group project, a written agreement within the group should specify the rights, if any, of each member of the group to the intellectual property. A researcher who has made a finding which may be patentable should file an Invention Disclosure with the IPR Cell of SGI.

D) Storage and Retention of Data

Data should be stored securely for at least seven years after completion of the project, submission of the final report to a sponsoring agency, or publication of the research, whichever comes last. Some agencies that sponsor research may specify a longer period for which data must be retained. Some types of data are expected to be deposited in an Institute library.

E) Authorship and Other Publication Issues

Publication of research results is important as a means of communicating to the scholarly world so that readers may be informed of research results and other researchers may build on the reported findings. In fact, it is an ethical obligation for an investigator at the Institute to make research findings accessible, in a manner consistent with the relevant standards of publication. The reported data and methods should be sufficiently detailed so that other researchers could attempt to replicate the results. Publication should be timely but should not be hastened unduly if premature publication involves a risk of not subjecting all results to adequate internal confirmation or of not considering adequately all possible interpretations. A commercial sponsor of a research project may not have a veto over a decision to publish, but a delay of publication for an agreed period, not to exceed six months, may be allowed in order to permit filing of a patent application.

F) Criteria for Authorship

Publication must give appropriate credit to all authors for their roles in the research. If more than one person contributes significantly, the decision of which names are to be listed as co-authors should reflect the relative contributions of various participants in the research. Many professional associations and research journals have specified criteria for authorship. One common standard appearing in many of these statements is that each author should have participated in formulating the research problem, interpreting the results, and writing the research paper, and should be prepared to defend the publication against criticisms.

G) Order of Authors

Customs regarding the order in which co-authors' names appear vary with the discipline. Whatever the discipline, it is important that all co-authors understand the basis for assigning an order of names and agree in advance to the assignments. A corresponding, or senior author (usually the first or last of the listed names in a multi-authored manuscript) should be designated for every paper, who will be responsible for communicating with the publisher or editor, for informing all co-authors of the status of review and publication, and for ensuring that all listed authors have approved the submitted version of the manuscript. This person has a greater responsibility than other co-authors to vouch for the integrity of the research report and should make every effort to understand and defend every element of the reported research.

H) Self-citations

In citing one's own unpublished work, an author must be careful not to imply an unwarranted

status of a manuscript. A paper should not be listed as submitted, in anticipation of expected submission. A paper should not be listed as accepted for publication or in press unless the author has received galley proof or page proof or has received a letter from an editor or publisher stating that publication has been approved, subject perhaps only to copy-editing.

I) Duplicate Publication

Researchers should not publish the same article in two different places without very good reason to do so, unless appropriate citation is made in the later publication to the earlier one, and unless the editor is explicitly informed. The same rule applies to abstracts. If there is unexplained duplication of publication without citation, sometimes referred to as self-plagiarism, a reader may be deceived as to the amount of original research data. It is improper in most fields to allow the same manuscript to be under review by more than one journal at the same time.

J) Reporting Suspected Misconduct

Reporting suspected research misconduct is a shared and serious responsibility of all members of the academic community. Any person who suspects research misconduct has an obligation to report the allegation to the Dean (R&D). Allegations are handled under procedures described in the Institute's Research Policy. All reports are treated confidentially to the extent possible, and no adverse action will be taken, either directly or indirectly, against a person who makes such an allegation in good faith.

K) Special Obligations in Human Subject Research

Research protocols involving human subjects must be approved in advance by the Institute, which determines whether risks posed to subjects are acceptable and whether information describing risks and benefits of subject participation is conveyed to subjects in an accurate and intelligible manner.

18. Extension activities for neighboring community

Faculty is continuously encouraged for submission of research projects on problems of regional and global importance which will satisfy the needs of neighboring community. Faculty is not only provided with special leave facilities but also encouraged to attend the national and international seminars, workshops and conferences. Academic achievements of the staff are encouraged by providing publicity and recognition. The Institute has established an Institute Industry Interaction cell for contextual research, training, campus interview and consultancy. The guidelines are prepared for sharing the revenue earned through consultancy

on 30:70 basis. The sharing policy as 30% to the Institute and 70% of the surplus amount to the coordinator/ Activity owner only for consultancy work. The college share will be used for infrastructure development of the concerned faculty laboratories.

19. Entrepreneurship Development Cell (EDC)

The seed of the innovation ecosystem at Sanjivani Group of Institutes, Kopargaon was sown in 2016 with formation of Entrepreneurship Development Cell (EDC) with the active support college management. The aim of the EDC is to build a successful and profitable business, the incubates will be working with various partners (such as investors, industries and research labs) and service providers (such as industry, corporation, hospitals, consultants, IT, HR etc.). In this regard, centre is conducting several workshops for students to make them aware about funding opportunities, start-up ecosystem, and incubation and services. EDC invites new ideas and proposal from students for incubation. After screening of proposals, they are processed for further evaluation. Finally, identified and evaluated based on their potential, feasibility, value proposition and market assessment. In essence, these activities will trigger Innovation & Entrepreneurship ecosystem in the region.

All above are guidelines for all the staff members and students of SGI, Kopargaon related to research. As per the requirement these guidelines may get changed or modified by the R&D Committee as per the research trends or university norms and changes will be communicated to all the staff members and students.

For more details, staff members and students of institute can contact to R&D department or Dean R&D.

*****This R&D Policy Draft is approved by all the competent authorities in Sanjivani Group of Institutes, Kopargaon, Academic Council & Governing Body meeting for implementation w. e. f, AY 2023-24.***

Corporate Dean R & D

Academic Director

***Chairman
(CRC)***