

Research Policy

Preamble

Academic Institutions are considered crucible for fostering research. Research is becoming paramount among academic institutions globally as universities are ranked based on their research performance. Teaching and research are inseparable components in academia

As The Apollo University (TAU) aspires to spur research among its faculty members and stakeholders, it is important to sensitize faculty members and researchers about robust research environment, facilitating ecosystems and key aspects related to research. To create this support system thereby improving research performance and corresponding indicators for faculty members, researchers, postgraduate research students and other stakeholders, The Apollo University establishes its Research Policy.

1. Aim

The aim of this Research Policy is to create a vibrant atmosphere and promote quality research output among faculty members and researchers at TAU. The policy shall serve as an overall framework within which research activities may be carried out.

2. Scope

This is a university wide Research Policy. It is implementable in all campuses of TAU. It may also be adopted by the educational institutions under the Apollo Knowledge Umbrella including the AIMSRs at Hyderabad and Chittoor. An annexure to this policy, provides greater detail pertaining to research incentive policy.

3. Objectives

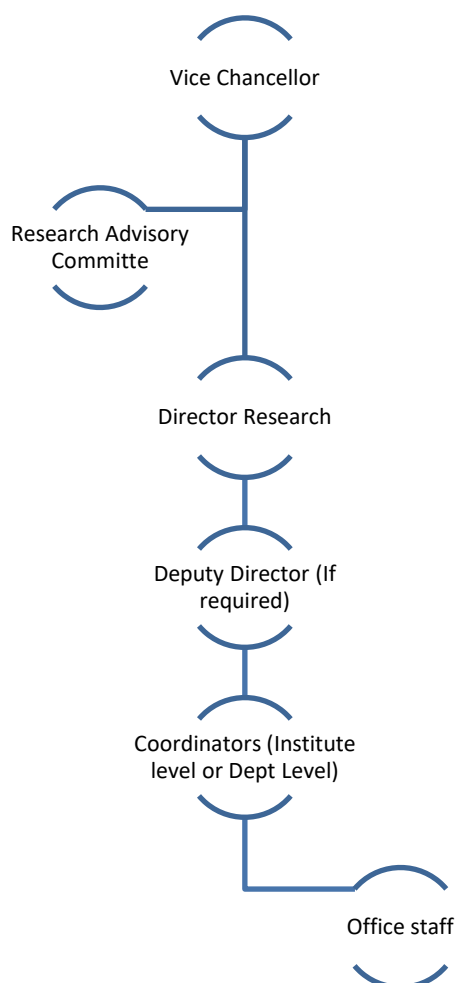
- To create a framework and guidelines for carrying out quality research
- To create and nurture an enabling environment within the university to foster a research culture and provide required support
- To provide support system to facilitate research activities
- To improve university rankings

- To increase quantum of extramural funding from various funding agencies
- To encourage publications in quality journals, indexed in reputed indexing agencies
- To foster an environment of undertaking socially useful research with potential for commercialization
- Establish Research Centers within University with potential for Excellence
- Collaborate and partner nationally and globally with institutes of repute

4. Custodian of Policy

The implementation and updating of Research Policy shall be carried out by Directorate of Research, TAU. The Research Policy shall have a research advisory body to function and administrative committee, to assist and advise in matters related to research, under the leadership of the Vice Chancellor, TAU.

5. Research Advisory Board and Administrative Committee



6. Policy Guidelines

6.1 Undertaking Research

Faculty members of TAU and research departments shall undertake high quality research, leading to publications in quality journals (discussed in Section 7), presentations in National/International conferences of repute, generation of Intellectual property with potential for commercialization, socially useful outcome and other similar research activity. The quantum of time devoted for research activity may vary among faculty members and researchers.

6.2 Obligations of faculty members and researchers (including student researchers)

All faculty members and researchers are strongly encouraged to devote significant time for research adhering to highest ethical standards of research. Research output may be considered as one of the important criteria for faculty recruitment and promotion.

6.3 New Appointments and Promotion

The University shall recruit and promote such faculty members and researchers who have demonstrable/demonstrated capability in research. Faculty promotion will significantly depend on research undertaken. Recruitment of new faculty within group institutions shall provide due emphasis on research potential of applicants. The quality of research output, especially research publications, may be assessed on established yardsticks such as Impact Factor (IF)/ journal quartiles. However, with changing times, new criteria to judge quality of research have been proposed. (Discussed in Section 7). The University may also apply new yardsticks to judge quality of research during hiring and promotion of faculty, if deemed necessary.

6.4 Research Management System

Overall management of research activities may be coordinated by Directorate of Research, TAU administrative committee shall be responsible for overall functioning of research activities within the University. They shall also

facilitate research among various institutions through research coordinators appointed by each institution of the group.

6.5 Matters related to Academic Dishonesty and Plagiarism

It is expected that each member involved in research – faculty members, researchers and postgraduate researchers - will adhere to highest ethical standards as laid down by government, and national and international agencies. Highest ethical standards of conduct include data integrity, adhering to ethical guidelines, given from time to time, for carrying out research. Each faculty member and researchers shall follow academic honesty in their research work. Faculty and researchers shall be careful not to fall prey to academic dishonesty. More guidelines pertaining to academic integrity is provided as part of Annexure 2 and would be updated periodically to reflect acceptable national and international standards.

A disciplinary committee, appointed by the Vice Chancellor, shall be formed in order to carry out inquiry when academic dishonesty is reported against an individual/group. If individuals/groups are found guilty of academic dishonesty or plagiarism, the Vice Chancellor, based on the recommendation of the disciplinary committee, may initiate severe disciplinary action including termination of services or candidature against such individuals/group.

6.6 Research Funding and Support (Intramural and Extramural Funding)

TAU shall consider providing intramural funding in the form of seed money based on the quality and impact of research. It is expected that recipients of intramural funding utilize this amount to conduct and publish quality research. University also extends facility by supporting publication charges, where manuscripts are communicated to quality publishers (more about predatory publishers in section 7 and 8) following open access models.

Faculty members and researchers are encouraged to scout for extramural funding, which are available nationally and globally, from various sources including government funding agencies, private funding agencies, industry, Trusts and Societies etc.

6.7 Scopus and Web of Science

Scopus and Web of Science are two large abstract and citation databases of peer reviewed literature which include publications, books, conference proceedings in the field of science, mathematics, engineering, technology, health and medicine, social sciences, and arts and humanities. Scopus is developed by Elsevier and Web of Science is a product from Clarivate Analytics.

Scopus provides a comprehensive overview of global interdisciplinary scientific information to researchers. For content coverage of Scopus please see http://www.elsevier.com/data/assets/pdf_file/0007/69451/sc_content-coverage-guide_july-2014.pdf. Scopus has coverage of records of about 57 million Journal publications, more than 86,000 books, 6.8 million conference papers from 83,000 global conferences and 27 million patent records from five major patent offices of United States of America, the United Kingdom, Japan, European Patent Office and World Intellectual Patent Office (WIPO).

Web of Science also provides comprehensive information about journal records, books, conference proceedings and patents.

More about Scopus and Web of Science can be accessed from “A Comparison between Two Main Academic Literature Collections: Web of Science and Scopus Databases”, Asian Social Science; Vol. 9, No. 5; 2013 (Refer <http://arxiv.org/ftp/arxiv/papers/1305/1305.0377.pdf>) and Scopus and Web of Science.

Scopus and Web of Science are increasingly used to assess publication and its impact on readers. TAU shall incentivize research publications which are published in Scopus indexed journals. Research Publications in predatory journals are discouraged and faculty publishing in predatory journals will not be incentivized. It is the responsibility of a faculty/researcher to ensure that the research publications are published in quality journals indexed by Scopus and/or Web of Science. A policy to incentivize quality publications is provided as part of the Annexure. As can be noted from the same, publication of original research work in the top Q1 and Q2 quartile is strongly encouraged through this incentive policy.

7. Publication requirements

- i. It is mandatory for faculty members, post-doctoral researchers and PhD scholars to publish a minimum of two publications annually in Scopus and/or Web of Science journals.
- ii. Students of post-graduation in medical sciences are required to publish a minimum of one publication annually in Scopus and/or Web of Science journals.
- iii. Mandatory publications shall include only research and review articles in Scopus and/or Web of Science journals.

7.1 Quality of Publications

The research carried out in university system should be of good quality adhering to highest standards of ethics. Various assessment and accreditation agencies, as well as ranking agencies duly emphasize on quality and quantum of research arising from university system. In order to assess “quality” of research publications various metrics are used, prominent among them is Impact Factor. However, Impact Factor is not the only metric to assess quality of articles. Number of citations, journals in which the articles are cited may also be used as alternatives to Impact factor while assessing a research paper.

Faculty may also note that some of the agencies/committees that have provided guidelines on adhering to quality standards for publishing are listed below.

7.2 Committee On Publication Ethics (COPE) Guidelines

COPE is a forum for promoting integrity in research publication. COPE guidelines are available at <http://publicationethics.org>. It is imperative that faculty members and researchers of the University are sensitized and made aware of these guidelines to adhere to highest ethical standards in publishing. COPE has also provided “Responsible research publication: international standard for authors”. The standards provide information on research to be conducted in ethical and responsible manner, presenting results clearly, honestly and without fabrication, falsification or manipulation of research data, describing methods clearly and unambiguously, adhering to publication requirement confirming the originality of

work and without plagiarism, collective responsibility of all authors, accurately reporting each author's contribution and reporting sources of funding and relevant conflict of interest.

7.3 Declaration on Research Assessment (DORA)

Impact factor has been accepted as a metric to assess quality of articles. However, over the years due to its limitation and advances in technology, many other indicators have been used by well-known and reputed publishers. Some of the major publishing groups and journals have hence given San Francisco Declaration on Research Assessment, which is an outcome of meeting of group of editors and scholarly journals during Annual Meeting of The American Society for Cell Biology (ASCB) in San Francisco, CA, on December 16, 2012. Several individuals and organizations of repute are signatory to DORA. A total of more than 12,000 individuals and 500 organizations have signed DORA. The Declaration states “the Journal Impact Factor has a number of well-documented deficiencies as a tool for research assessment. These limitations include: A) citation distributions within journals are highly skewed; B) the properties of the Journal Impact Factor are field-specific: it is a composite of multiple, highly diverse article types, including primary research papers and reviews; C) Journal Impact Factors can be manipulated (or “gamed”) by editorial policy; and D) data used to calculate the Journal Impact Factors are neither transparent nor openly available to the public”. DORA provides a set of recommendations to assess individuals and institutions on metrics other than Impact factor and the way in which quality of research output is evaluated. The recommendations of the declaration are aimed at funding agencies, academic institutions, journals, organizations that supply metrics, and individual researchers. A total of eighteen recommendations are provided which include General Recommendations, For Funding Agencies, For Institutions, For Publishers, For Organizations that supply metrics, and For Researchers. DORA can be accessed at <http://www.ascb.org/dora-old/files/SFDeclarationFINAL.pdf>

8. Faculty development for research supervision

- i. Faculty are encouraged to devote significant amount of time towards mentoring research students under their supervision.

- ii. Prior to taking up PhD students' supervision, faculty are required to attend a suitable online training program (some examples are listed below) and communicate completion of the same to the office of Directorate of Research.

[Teaching Science at University | Coursera](#)

[Supervising Projects & Dissertations \(Online Course\) \(nottingham.ac.uk\)](#)

[Supervising projects and dissertations - Introduction · Epigeum Online Course System](#)

Annexure 1 to TAU's research policy

Incentive for Research Publication

1. Objectives:

- i. To encourage faculty members and students of TAU to publish their research outcomes in quality Scopus and/or Web of Science indexed journals.
- ii. To improve the quality and citations of research publications from TAU
- iii. Clearly lay down guidelines for award of incentives for research publications in the form of incentive points.

2. Applicability:

- i. The period during which journals should have been published for this incentive policy to be applicable will be notified by the directorate of research.
- ii. Short survey, letter to the editor, erratum, replies to articles, conference abstracts and articles in press do not qualify for incentive points.
- iii. Applicability of the incentive policy to retired/resigned faculty and graduated students will be decided by the directorate of research.

3. Eligibility:

- i. Fulltime faculty members, faculty members appointed under post-retirement engagement policy, post-doctoral researchers, PhD scholars, post-graduate and under-graduate students are eligible for incentive points.
- ii. Incentive points will be awarded to Fulltime faculty members, faculty members appointed under post-retirement engagement policy, post-doctoral researchers, PhD scholars, and post-graduate students only for the articles published beyond the minimum number of required publications.
- iii. All undergraduate students are eligible for incentive points for research publications published in Scopus and/or Web of Science indexed journals.

4. Responsibility:

- i. The corresponding author(s) shall take the responsibility to screen the paper for plagiarism, ethics approval, if approval, and background checks about the potential, possible, or probable predatory scholarly journals before communicating the manuscript.
- ii. The names of the authors eligible for incentive points must be furnished by the first author or corresponding author while uploading the paper on Research Data Management System within a month from the time of publication.
- iii. TAU shall reserve the rights to revise the research policy applicable to their members periodically.
- iv. Incentive points shall be awarded only after the paper (with volume and page number) appears on Scopus and/or Web of Science.
- v. Publications having no proper/correct affiliation of eligible authors shall not be awarded incentive points.

5. Maximum Incentive:

- i. Only original research articles and review articles published in Scopus and/or Web of Science indexed journals qualify for the maximum award incentive as per the cap provided.

Percentile as per Cite Score	First Author (a)	Corresponding Author (b)	Co-Author(s) (c)**	Maximum incentives (per paper)
Q1 (top 1%)	36	36	36	108
Q1 (top 10%)	24	24	24	72
Q1 (75-89%)	18	18	18	54
Q2 (50-74%)	12	12	12	36
Q3 (25-49%) [#]	6	6	6	18
Q4 (0-24%) ^{\$}	3	3	3	9

[#] For papers published in Q3 journals, authors can claim incentive for a maximum of three papers in a calendar year

^{**} Incentives will be equally shared among all the co-authors

\$ Only student (UG/PG) authors are eligible for claim of incentive points for articles published in Q4 journals after the mandatory student publications.

Note: In case of single author paper, an author can claim incentives either as first author or corresponding author; Faculty members can publish in Q4 journals of approved list, towards meeting their minimum 2 annual publication requirements. There shall no reimbursement of Article Processing Charges (APC; details follow) and incentive points for these papers published in Q4 journals; Quartile score would be considered from Scopus based on the date of publication (with volume and page number).

- ii. The maximum incentive award for short communication and case reports published in the approved list are given below. The papers published in this category will now attract additional reward incentive

Percentile as per Cite Score	First Author	Corresponding Author	Co-Author(s)**	Maximum incentives
Q1 and Q2	4	4	4	12

** The incentives to be equally shared among co-authors

Note: In case of single author paper, an author can claim incentives either as first author or corresponding author

- iii. Additional points or reward incentives are given to the papers published as listed below. The additional incentive points shall be equally distributed among all authors affiliated to the relevant institute.
- Corporate collaborations (National/international) – (10%)
 - International collaborations with universities ranked among top 500 in QS rankings (at the time of publication; subject and overall rankings) – (15%)
 - International collaborations with universities ranked among top 100 in QS rankings (at the time of publication; subject and overall rankings) – (25%)
 - Authors who publish 08 or more papers (only original research articles) in a calendar year – (20%)

Note: Additional points or reward incentives for the articles published in the calendar year will be credited by March of next calendar year.

- iv. Additional incentive points would be given to authors for papers published in journals 'Nature' and 'Science' as listed below. The additional incentive points shall be equally distributed among all co-authors.

Note: In case of a single author paper, an author can claim incentives either as first author or corresponding author; These research incentive points would be carried forward to the next calendar year.

6. Books/Book Chapters:

Books/Book Chapters published in Scopus and/or Web of Science indexed books shall receive points as mentioned below.

Type of publication	Author
Book Chapter**	03
Book (Edited*/Authored**)	09

*For an Edited book, only TAU affiliated faculty members who are editors shall receive incentive points. In the case of more than one Editor for a particular book, maximum points shall be equally distributed among all TAU affiliated editors.

**TAU affiliated author shall receive full incentive points. In case of multiple authors from TAU for the same book/book chapter, the maximum points will be equally distributed among TAU affiliated authors.

7. Plagiarism and related issues:

In the event of any conflict about authorship or complaints related to scientific misconduct, a committee shall be appointed by the Directorate of Research under the direction of the university to investigate the matter as per the policy adopted by TAU. Annexure 3 pertaining to research conduct may be consulted for more information on this topic.

8. Incentive points for attendance in international conference:

- i. Accumulated incentive points can be redeemed with the approval of the Head of the Institution and the Registrar TAU. Once incentive point is equivalent to Rs 1000 (one thousand only).
- ii. The points when not redeemed could be accumulated to attend specialty conference(s) (conference organized by professional bodies/associations or conference based on TAU guidelines on attending conferences) only after approval from the head of institution and the registrar of TAU.
- iii. Scheme for redemption of accrued points for participating in international conferences is detailed in a tabular format below
- iv. Only economy airfare and conference registration charges will be covered under this scheme.
- v. The accommodation charges and per diem allowance shall be covered by TAU's policy applicable at that point in time.

Points* required	Country/Region
30	Within SAARC and middle eastern countries excluding Turkey and Egypt
48	Within SE Asian countries, Africa, Turkey, Egypt and other Asian countries
72	Within Europe, Australia and New Zealand
96	Within North America, South America, Central America, Latin America and Caribbean countries.

* Points earned through publications and granted patent incentive

9. Article Processing Charges (APC):

The faculty author(c) can utilize the incentive points/annual conference entitlement to meet APC for approved journals (excluding Q4 journals) only, upon approval from the Directorate of research, TAU, as per the SOP provided by the university.

Annexure 2 to TAU's research policy

Guidelines for Research Grants, Consultancy and Conduct of Clinical Trials

1. Preamble:

TAU has put together the following incentive structure in order to encourage faculty to attract research funding from external funding agencies – government and private.

2. Research grants:

Grants received for undertaking any research projects are considered as research grants. Research grants by any member of TAU entitles them to be considered for receiving incentives. Grants received for charities or establishment of chairs are not considered as Research Grants and hence are outside the purview of these guidelines. Research Grants are to be procured in the name of TAU or its constituent schools and never in the name of any individual department.

3. Allocable amount of Research Grants

The admissible amount of Research Grant qualifying for computing the incentive shall include:

- i. Equipment cost – Actual
- ii. Consumable cost – Actual
- iii. Expenses incurred during field work
- iv. Contingencies and institutional overheads

And shall exclude:

- i. Fellowships and travel costs
- ii. Salaries for Research Fellows

4. Award and distribution of Research Incentives

- i. Research incentive will be 5% of the allocable amount if the institutional overheads are less than 10% of the project cost and 10% if the overheads are 10% or more of the project cost. Research grants with no overheads are eligible for 5% incentive. However, researchers are encouraged to include institutional overheads in the grant budgets.

- ii. Principal Investigator will be entitled for 70% of the incentive while the remaining 30% shall be equally distributed among the co-investigators.
- iii. The maximum limit for any faculty shall be Rs 20 lakhs per year. The amount will be payable over the period of the grant.
- iv. There will be only one principal investigator and faculty members assisting the Principal Investigator with any other title/s will be treated as Co-investigators for the purpose of calculation of the incentive.
- v. If there is no Principal Investigator, the incentive shall be shared equally among the co-investigators.
- vi. Principal and Co-investigators from outside University institutions will not be eligible for the incentive.

5. Clinical Trials and Consultancies:

- i. For clinical trials and consultancies, the Principal Investigator/Consultant/Project Coordinator/Co-investigator will be paid 60% of the incentive payable to him/her and the balance 40% shall be retained with the parent institution.
- ii. Out of the 40% retained by the institution, 50% shall be credited to the department's account maintained by the Head of the Institution and the remaining 50% shall be added to the institutional corpus.
- iii. The maximum limit for any faculty shall be Rs. 20 lakh per year

6. University Research Committee:

The University Research Committee will approve the award and its distribution and will consist of the following members:

(Requesting VC to constitute the committee)

- i. Suggested members
- ii. Vice Chancellor
- iii. Registrar
- iv. Director of Research
- v. CFAO

(other members to be nominated by Vice Chancellor)

7. Maintenance of research Project Accounts and Audit:

The Research project accounts will be maintained by the institution concerned and will be subjected to audit. A separate audit report will be submitted to the granting authority as per the terms attached to the Research Grant. All assets/equipment acquired for the research project will be accounted as assets of the department concerned.

Annexure 3 to TAU's research policy

TAU policy on Academic Dishonesty and Plagiarism

1. Preamble:

TAU is committed to academic excellence and the highest standards of ethical conduct in research work.

Scientific misconduct relates to data fabrication, falsification, plagiarism, or any other practice that seriously deviates from those commonly accepted within the national and international scientific community, either in performing or reporting research from TAU. TAU expects that its faculty, research scholars and students will adhere to the highest national and international standards of good scientific conduct in their research work. Researchers will be responsible for their work and actions.

Sensitization of researchers/faculty/staff with regard to university policy on Academic Dishonesty and Plagiarism will be implemented through Research Directorate of TAU. Academic excellence of the University shall be maintained on implementation of the University Policy on Academic Dishonesty and Plagiarism.

Academic dishonesty includes and is not limited to plagiarism, fabrication of data, willful mis-interpretation of data, and denial of authorship/credit to deserving co-workers that will lead to dis-repute to TAU for instance through retraction of papers and associated negative publicity.

2. Prevention:

It is the authors' and co-authors' responsibility to prevent any complaint of plagiarism and academic dishonesty while publishing papers/manuscripts, books or making paper presentations in a conference/seminar.

The authors are also responsible for any act of plagiarism, cheating, fabrication, academic dishonesty and research misconduct. Matters related to

student plagiarism, authorship issues and actions of research misconduct will be dealt with by the departments and institutions. A committee appointed by the Vice Chancellor will scrutinize authorship, affiliations, acknowledgement, suitability, improvement and other issues.

3. Disciplinary Actions:

The Registrar of TAU will appoint an enquiry committee, in consultation with the Vice-Chancellor, TAU, to investigate and suggest punitive actions whenever an act of plagiarism or academic dishonesty is reported. The directorate of research with help of school and department helps will endeavor to educate members, and prevent and curb any type of plagiarism and academic dishonesty.

Disciplinary action will be taken as per the recommendations of the enquiry committee after approval of the Vice-Chancellor.

This policy is framed in order to maintain the academic excellence and honesty at TAU. This policy may be amended from time to time as per the requirements and circumstances.

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