



SOP FOR FINANCIAL SUPPORT OFFERED TO FACULTY
MEMBERS FOR PROFESSIONAL DEVELOPMENT
(Applicable from AY 2024-25 onward)

REVISED 18 FEB 2025

Introduction

This Standard Operating Procedure (SOP) has been issued for enhancement of quality and quantity of scholarly publications within the academic community of NCU. It consists of three research Schemes A, B and C, the details of which are given below.

SCHEME A: SCHOLARSHIP TO FACULTY MEMBERS **FOR ATTENDING NATIONAL/ INTERNATIONAL** **CONFERENCES/SEMINARS/SYMPOSIA/WORKSHOPS/SHORT** **TERM TRAINING PROGRAMS/COURSES**

General

This scheme is for providing scholarship to the regular faculty members of The NorthCap University, Gurugram for attending National/International conferences/Seminars/Symposia within India and abroad, for online courses and for workshops/short term training programs/courses within India.


However, over a period it has been observed that the utilization of this facility by faculty is not satisfactory and after discussion on the issue at various forums, simplification of procedure for reimbursement and making the scheme more attractive have been suggested. The scheme has been revised accordingly.

Some of the significant changes proposed are in the following areas:

- i. The amount of scholarship as a financial support has been enhanced from Rs 10,000/- to Rs 30,000/- per year for participation in National and from Rs. 30,000 to Rs 1,00,000/- for international events.
- ii. The process of approval for participation and for reimbursement/imprest is at HOD level only, subject to final financial approval by competent authority.
- iii. Reimbursement/imprest of registration fee for participation, travel and also accommodation shall now be permissible.
- iv. Applications forms have been simplified.

The scheme is effective from the current academic year 2024-25.

Eligible candidates are required to submit the applications in the prescribed format available from the website (<http://www.ncuindia.edu/rdil>), the format of which is attached as **Annexure-I**. The application for approval should be directly submitted to the Head of the Dept.

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1. Eligibility criteria for seeking Scholarship as a financial assistance.

- (a) For events (organized) within India and for online courses, the faculty member should be a regular faculty member. Teachers on contract or visiting faculty members are not eligible for availing this financial assistance from the university.
- (b) For events (organized) within India and for online courses, the hosting/offering institute should preferably be any of the IITs or NITs, Central Universities, government owned Central Research Laboratories or any other institution of repute including private institutions of preferably with a ranking appearing in the current National Institutional Ranking Framework (NIRF).
- (c) For seeking financial assistance for international travel, the faculty member should hold a PhD degree and also should have completed 3 years of regular service in the university and should have a minimum of two 'Good' appraisal ratings.
- (d) International conferences/seminars/symposia/online courses should preferably be supported by reputed international societies/bodies and/or the hosting/offering institute should preferably have a place within top 500 in World University Rankings or Times Higher Education (THE) or QS world University Ranking.
- (e) For courses (online or otherwise) it is mandatory to produce a valid completion/passing certificate. In exceptional cases, HOD with approval of Vice Chancellor may allow scholarship for participation also for certain courses as per university requirements.
- (f) The paper presented in conference should be a part of the conference proceedings or published in Journal through conference, the indexing of which should be web of science or Scopus.
- (g) Faculty members who received scholarships under this scheme will submit a brief report of 1-2 pages to HOD Office within 7 days of the conclusion of the event or course.

2. Quantum of financial assistance and its periodicity

- (a) Faculty members attending conference/symposia/seminar/workshops/short term training programs/courses within India and/or online course are eligible to avail registration fee and travel expenses (Air/AC train as applicable/approved) and economy accommodation with total limited to a maximum amount of ₹ 30,000/- (Rupees Thirty thousand only)/per year. There is no limit on the number of times this facility can be availed by a faculty member.



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- (b) The papers published by the faculty members of the SOM and SOL in the conference proceedings of the Institutes of National importance such as IIM, IIT, ISB, NLU or any other institute as approved by the Vice Chancellor will be considered for reimbursement irrespective of the indexing. In such cases, the amount of reimbursement shall be limited to Rs 5,000.
- (c) Faculty members attending conference/symposia/seminar abroad are eligible to avail support for registration fee and travel expenses limited to a maximum of ₹ 1,00,000/- (Rupees one lac only). A faculty can avail this facility once in block of three academic years).
- (d) During any academic year, faculty member can avail this facility either for events within India (including online courses registered abroad) or for an event which involves traveling abroad; the reimbursement will be limited to Rs 1 lakh.
- (e) If there are two authors for the same paper and both have applied for availing the financial assistance from the university, preference will be given to the first author of the paper. Multiple faculty members may be permitted for a conference if they have different papers to present. Sending multiple faculty members for an event shall be at the discretion of HOD, with proper justification.
- (f) The faculty member can draw an imprest amount against the estimated expenditure for the visit, as approved by HOD and Vice Chancellor.

3. Budget Allocation

- a) As per the year's budget, a specified financial amount will be made available to the Departments/Schools at the beginning of the academic year (July). This budget should be got approved by Dy Dean (RDIL) before start of the Academic Year
- b) For the academic year (AY) 2024-25, we are proposing an initial budget of Rs. 10,00,000/- (Rupees Ten Lacs only). The competent authority has the flexibility to enhance the budget based on the increasing outcome-based utilization.
- c) The amount shall be utilized on a first cum first served basis and each dept./school will be encouraged to use this grant to the maximum extent.

4. Submission of claim / settlement details

To ensure early settlement and account regularization, the faculty should ensure arranging for the following documents and submit it to HOD Office for forwarding it to Accounts Office (*at the earliest once the required documents are arranged*):

- (a) Approval letter from the competent authority obtained before attending the event including letter of acceptance of paper/ invitation to the event.




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- (b) A Statement of account giving full details of expenditure incurred on various items viz., travel, airport tax, registration fee, visa fee, accommodation etc. as enclosed in **Annexure – II**.
- (c) Original cash memo/receipt should be enclosed with the claim. No photocopy will be allowed to be submitted.
- (d) Along with the reimbursement claim proof of publications in Scopus index proceedings, pass certificates in case of courses done and completion / participation certificates for other events as applicable should also be enclosed and verified by HOD.
- (e) The amount due to the candidate shall be disbursed in one installment within 15 days of submission of relevant documents duly approved by the concerned authorities.
- (f) In case financial assistance is received from the organizers or any other agency, an equivalent amount paid by the university will be refunded by the faculty.

5. Authority for modification

The scheme can be modified/amended at any time by the competent authority.

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ANNEXURE – I

APPLICATION FORM FOR FINANCIAL ASSISTANCE TO ATTEND CONFERENCE/SEMINAR/COURSES ETC.

A. DETAILS ABOUT THE APPLICANT

1	Name of the applicant with faculty code	
2	Designation & Category	
3	Department/School	
4	Date of joining the University	

B. EVENT/CONFERENCE/COURSE DETAILS

1	Type of event (Conference/Seminar/Symposia/Online course/Workshop/Short Term Training Program/Course).	
2	Within India or abroad	
3	Name/title of the conference/event/course (attach the copy of Brochure)	
4	Name of the organizers with complete address	
5	Name of the country/city/town where the conference/event/course will be held	
4	Whether the conference/event/course is supported by anybody. If so, specify and provide details of conference/event/course. For conference, attach abstract of the paper and acceptance letter/ invitation letter for other events. Confirm that the conference is Scopus indexed.	
5	Duration of the conference/event/course [date/ month/ year (from – to)]	
6	Indicate the amount of expenditure expected in attending the conference/event/course. Give brief break up. Whether any other agency is giving any financial assistance for this and amount	
7	When was the last financial assistance received by the applicant for attending the conference/workshop/symposia/course etc. under this policy?	
8	Whether any imprest money required and amount	

Place:

Date:

Signature of the applicant

HOD (with comments on usefulness of this participation and approval)



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ANNEXURE – II

**PROFORMA FOR CLAIMING RE-IMBURSEMENT OF THE
EXPENDITURE INCURRED TO ATTEND
CONFERENCE/SEMINAR/SYMPOSIA IN INDIA OR ABROAD AND
WORKSHOP/SHORT TERM TRAINING PROGRAM/COURSE IN INDIA
OR ONLINE COURSE**

1. **Name of the applicant:**
2. **Name & place of the conference/event/course:**
3. **Duration of the conference/event/course:**
4. **Details of actual expenditure incurred on travel & Accommodation (With original receipts)**
Travel =
Accommodation =
5. **Registration Fee Paid (Yes/ No) [receipt enclosed] =**
6. **Brief report of participation (enclosed Yes / No):**
7. **Certificate of Participation /Completion/Passing/ Paper Indexing as applicable (Yes/ No) (enclosed):**
8. **Enclose copy of approval letter: (Annexure-1)**
9. **Imprest amount taken already:**

Certified that

1. The details given above are correct and if the information is found to be incorrect on a later date, entire amount paid by the university will be refunded.
2. The expenditure has been utilized for the purposes for which it has been approved in accordance with the terms and conditions laid down.
3. No financial assistance is received from the organizers or any other agency / Financial assistance received from other agency _____ for an amount of _____ may be deducted from my reimbursement.

Signature of applicant

Name:

HOD - (Thru: Dy Dean (RDIL)- For reimbursement of National/ International conference only)

VC:

GB:



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ENHANCING RESEARCH OUTCOMES

Research Outcomes form an important and significant component in Rankings and Accreditations like NIRF & NAAC etc. On analysis of our score in recently announced NIRF rankings, it is noted that although we were among top 100 in 'Engineering' category till 2022 but in 2023 we slipped to the band of 100-150. In 'overall' category we continue to be in 150-200 band. Detailed analysis of NIRF results show that one of the areas where our score is very low is in "Research and Professional Practice" parameter. Number of publications and citations have very heavy weightage in this segment. The number of publications and citations need to be boosted if we must improve and regain our rankings.

For mobilising research grants from DST and other funding agencies, the h-index of the university is considered. Increase in number of publications increases the citation index and h-index of the university.

Therefore, it has become increasingly important that the number of research publications from the University should be increased and be in good quality journals with SCIE/ESCI/ Scopus and other recognised indexing. This is required because most of the rating/accreditation agencies accept research publications which are published in the specified indexed journals only. Our current level of publications is very low with an annual average of less than 1 journal paper per faculty. This needs to be brought up to at least 2 Journal Publication and 2 book chapters over next 1-2 years.


Although, the University gives credit for these publications in annual appraisals, but it is not proving very effective as the annual publication numbers are far below the desired levels. This needs a focussed push. It has been our experience that cash incentives help in increasing the outcomes as has been seen in the case of patent publications where number of patents published annually has multiplied in one year only, after cash reimbursement of the fee was introduced.

It is therefore proposed to work on the following two schemes as Scholarships for supporting and rewarding the research publication effort.

SCHEME B: Open Access Publishing Scholarship-Indexed Publications.

SCHEME C: Scholarly Contribution Rewards Program-Scholarship for publishing in unpaid indexed journals.

Detailed proposals are presented in subsequent pages.

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Scheme B: Open Access Publishing Scholarship

Objective:

Reimbursement of processing fee granted as Scholarship to faculty members towards research publications in Scopus/SCIE/ESCI indexed open access journals.

A few reputed, peer reviewed journals are now going online (Open Access) to increase their reach to a wider set of scholars and cut down on delays in bringing out printed issues.

For research scholars/faculty this offers an opportunity for faster publication of their research outcomes and wider readability. This can result in an increase in the number of publications per faculty per year and increase the number of citations, an important indicator of research quality.


However, most of these journals charge a processing fee from authors for publishing as these journals are offering free access to readers foregoing their subscription revenues. The processing fee ranges typically from \$200 -\$1000 per paper for various categories of journals.

Many universities in India and around the world are supporting their faculty and scholars publishing in such journals to increase their publication counts and citations and have set aside annual budgets for promoting research in this way.

As NCU also needs to substantially increase its publication numbers and citations to secure and maintain its rankings / accreditations, the university needs to introduce a **scholarship scheme for such research expenditure** also, subject to certain quality checks.

B.1 The Proposal

- i. The faculty/ research scholars of the university whose papers have affiliation to NCU shall be eligible for the reimbursement of the processing fee.
- ii. The journals where the paper is being published should be Scopus/SCIE/ESCI indexed and should be verifiable from Scopus/SCIE/ESCI websites. The publications should preferably be in journals listed under Q1-Q4 categories.
- iii. The department/School shall maintain a list of suggested open access journals for such publishing. Faculty may also publish in journals beyond this list with prior approval of HOD. The list of journals shall be publicized in the dept. and also shared by the Dept. with RDIL to verify current indexing.
- iv. The scholarship available to faculty/research scholar shall be 50% of the processing fee as indicated in the invoice from the journal. However, the

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maximum scholarship amount from the university shall be limited to Rs. 50,000/- per journal publication.

- v. Any requirements beyond this limit may be considered on a case-to-case basis by the competent authority.
- vi. The scholarship amount shall depend upon the category /quality of journal in which paper is being published.
- vii. A faculty member can apply for the scholarship after acceptance of the paper by the journal.
- viii. A committee, duly constituted by the Hon'ble Vice Chancellor, shall scrutinize the application to check quality and the amount of subsidy. The committee shall give its recommendation within one week of application for approval of the competent authority.
- ix. The amount shall be reimbursed to the corresponding author on production of fee receipt from the journal.

Scheme C: Scholarly Contribution Rewards Program

Objective:

Scholarship to faculty member for publishing in unpaid recognized indexed journals.

The university encourages its faculty to also publish in unpaid peer reviewed indexed journals. Currently faculty members are publishing mostly in unpaid journals, and this also needs to continue. The following is proposed:

C.1 The Proposal

- i. Firstly, out of the annual publication target of faculty of 2 journal papers per year, at least one should be in unpaid journals.
- ii. Second, it is proposed to provide scholarships to the faculty members publishing in unpaid journals/conferences.
- iii. The following incentive amounts are proposed:

Journal Paper:

Rs. 7500/- for each SCIE indexed publication (Counted both in NIRF and NAAC)

Rs. 5000/- for ESCI/ Scopus publications (Counted both in NIRF and NAAC)

Rs. 2500/- for ABDC journal publication (Applicable to SoM faculty only)

Book Chapters:

Rs. 2000/- for each SCIE/ESCI/Scopus indexed publication



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- iv. The scholarship shall be given to first faculty author and can be shared if there are multiple faculty authors.
- v. The scholarship shall only be for refereed, indexed journals as above.
- vi. All eligible research papers carrying duly University assigned PCN nos. shall be considered for awards automatically. All faculty to provide details of their publications on ERP as per the ERP format. The PCN will be issued only after the publication of the paper. RDIL to verify the details including current indexing of journals and assign PCN nos. in accordance with ERP process.
- vii. This scholarship will help faculty not being totally dependent on paid journal subsidy for publications.

THE BUDGET

- i. The university may set aside an annual budget for this research promotion. The budget shall be put up for approval by Dy Dean (RDIL) before the start of the academic year. For the AY 2023-24, the budget amount for these schemes was suggested to be Rs 10 Lacs. For the AY 2024-25, the budget amount for Scheme A and for Scheme B & C combined is suggested to be Rs 10 Lacs each.
- ii. The budget can be used on first cum first served basis. Based on the experience, the budget amount can be varied next year.

After approval, detailed modalities for implementation shall be worked out.

The Schemes are effective from the date of notification-