



THE NORTHCAP UNIVERSITY

Research and Consultancy Policy

The NorthCap University has a Research and Advisory Committee and the Research Development and Industrial Liaison (RDIL) office and Research & Advisory Committee (RAC) that facilitates and monitors research activities. The Research and Development activities are organized as follows:

- Academic Research Work
- Seed Money Grant
- Sponsored Research Work
- The Centre of Excellence
- Consultancy
- Intellectual property rights (IPR)
- Research Publications
- Research Promotion
- Ethics Policy

The above research areas are monitored by Deputy Dean (RDIL) who reports the progress and prospectus to the Vice Chancellor. RAC is headed by the Vice Chancellor, and it has a mandate of 5 years.

I. ACADEMIC RESEARCH POLICY:

- a) The eligible faculties have the option to register for doctoral program in the NCU.
- b) Faculty of each department shall conduct funded research in focused areas of research aligned with National vision identified by central/state government in addition to research areas preferred by the faculty.

- c) Faculty publication indexed in peer reviewed journals, Conference, Books and book chapter allotted publication number code (PCN) for authentication, documentation and use.
- d) NCU promotes admission of research scholars with university Teaching cum Research Fellowship (TRF) in all schools.
- e) The faculty is given the opportunity to pursue research work leading to a PhD degree in reputed institutions under Quality Improvement Programme (QIP).

II. SEED MONEY POLICY

- a) All faculty members are eligible to apply for funds from the seed money grant scheme. The fund is primarily intended to support faculty members to carry research in technologically challenging thrust areas. The applications from faculty will be invited once a year.
- b) The research proposal can involve collaboration with one or more persons/departments from NCU or any other reputed educational/research institution.
- c) The funding will be granted for one-year extendable for another six months as per the RAC.
- d) The selection of the proposals to be funded through seed money would be based on the recommendations of RAC that will carry out a strict process of evaluation.
- e) The quantum of financial grant during each academic year under the research grant scheme would depend upon the merit of the project.
- f) The projects under seed money grant are evaluated once a year by a scrutinizing committee headed by Vice Chancellor.
- g) The utilization certificate and the statement of expenditure need to be submitted at the end of the project to deem it close.
- h) The deliverable includes prototype/research publication/patents.

III. SPONSORED RESEARCH POLICY:

- a) The faculty members with the doctorate degree are encouraged to apply for the government funded project (i.e. DST, CSIR, DRDO, etc.)
- b) The university shall provide the basic infrastructure required to conduct in-house research/externally funded research.
- c) All departments shall strive for mobilizing funds from National/International agencies like UGC, DST, Miety, CSIR, and INSA, etc. through various schemes.

- d) The faculty is encouraged to pursue inter-disciplinary research in their chosen areas of interest.
- e) The faculty members of all the departments of the university shall tie-up with industries and corporate bodies to undertake funded research in emerging areas and industry needs.
- f) The university shall create Special Interest Groups (SIG) to conduct research in areas aligned with National mission.
- g) All innovative projects of faculty are encouraged for filing patents on successful completion and suitable recognition, and reward is given to that faculty as per the University norms.
- h) Procurement of equipment by the faculty working on funded projects should be done as per the Government norms/funding agency.
- i) Awards and incentives are given to the faculty for high quality research for publishing in high quality peer reviewed journals.
- j) All research conducted shall be covered by IPR and copyright protected.

IV. EXTENSION AND EXTRAMURAL RESEARCH AND ACTIVITIES:

- a) Eminent and enterprising professionals from industry are invited to take up joint resource projects with the university faculty members.
- b) The faculty members of the university are encouraged to select socially relevant problems and conduct research and provide feasible solutions.
- c) The University shall organize educational programmes relevant to a community and society outside NCU campus through the National Service Scheme (NSS) of the university.
- d) The university faculty shall visit at least one village in the neighborhood, investigate the problems, find solutions and implement the same using technology.
- e) Students shall be encouraged to participate in the extension and outreach programmes organized by the University.
- f) The faculty of NCU shall be permitted to act as resource persons in events such as webinars, workshops and conferences conducted outside university premises.
- g) NCU shall encourage senior faculty to mentor the junior faculty members.
- h) The university faculty is engaged with other educational institutions as part of faculty exchange programme.

V. CENTRES OF EXCELLENCE:

The University has developed Centers of Excellence in the frontier areas of research (Daikin Centre of Excellence, Mitsubishi Centre of Excellence, Centre of Excellence in Data Science and Cybersecurity) and are open to faculty, students and industry people to conduct research.

VI. CONSULTANCY:

1. INTRODUCTION: Consultancy is well recognized as an effective way for universities to disseminate knowledge, generate revenue, provide expertise to external agencies and make an early and direct impact on society. However, the balance between consultancy and the traditional roles of the academic staff needs to be managed and the interests of the University must be protected. This Policy provides provisions for conducting consultancy to ensure that the tasks undertaken by staff are consistent with the University's strategic and operational objectives and the revenue is generated for the University. The NorthCap University is committed to making its expertise available to industry, government, and other educational and research organizations.

1.1. University Research Consultancy: A Research Consultancy exists where an academic staff member provides research skills or expertise in return for remuneration from an external funder. A Research Consultancy may be the outcome of a tender or an individual negotiation.

1.2. University Non-research Consultancy: The Non-research Consultancies include non-research activities performed under contract for a third party. Non-research Consultancy would include the provision of professional services provided to external agencies for a fee. This would include, but not be limited to, routine laboratory and other testing of materials, devices or products, analysis of data such as market surveys, opinion surveys etc., the provision of professional services such as designing, legal and medical advice undertaken by members of faculty and staff.

1.3. Private Consultancy: In Principle a faculty or staff member is not supposed to undertake a Private Consultancy unless it is approved by Vice Chancellor of NCU, Dy. Dean RDIL and the Registrar. However, the faculty or staff conducting private consultancy shall ensure that such work does not affect their allocated duties or obligations to the university. None of the benefits set out for University Consultancy are available to faculty and staff

undertaking a Private Consultancy. It is the responsibility of the staff member undertaking a Private Consultancy to make clear to the person or agency for which the Private Consultancy is undertaken that it is the staff member and not the University who is carrying out the work, and that the University has no responsibility or liability whatsoever in the matter. A staff member conducting a Private Consultancy must ensure that the following criteria are met:

- a) The carrying out of tasks associated with the Private Consultancy will be accomplished without unduly affecting the duties of the position.
- b) The use of university trademarks such as letterheads, brands etc. or University intellectual property is strictly prohibited in Private Consultancies.
- c) No University facility (including library resources, power, space, equipment, consumables and telephone facilities) will be used to fulfill the requirements of the Private Consultancy.
- d) The Private Consultancy is not within an area in which the University might be contracting to provide a service on a commercial basis, possibly utilizing the skills of the staff members involved.
- e) The NorthCap University is not bound by any agreement (written or otherwise) relating to Private Consultancy.
- f) The staff members agree to indemnify The NorthCap University and its representatives from and against all actions, claims, loss, damage, costs, charges, liabilities and demands arising directly or indirectly from or in respect of the Private Consultancy activity.
- g) The staff member shall declare any real or potential conflict of interest to their reporting officer.

2. THE POLICY: All Research and non-research consultancies as described in this Policy are governed by the following guided principles.

- a) There should be demonstrated benefit to the University from the consultancy through income, enhanced reputation, and/or expanding the expertise of the staff member.
- b) The Consultancy must not be in conflict with the University policies including those governing employment such as the Code of Conduct Policy. The Consultancy must not be in conflict with the functions, objectives or interests of the University or damage the University's reputation.

- c) At a minimum, the salary and on-cost charges set by the University must be applied to all project budgets. All Consultancies are required to include overheads.
- d) Staff members shall not undertake external research activities where no formal agreement has been authorized by the University unless they are on leave without pay.
- e) Such faculty may not use their NCU affiliation or academic title when providing research services that are not approved by the University.

3. **STAFF ENTITLEMENTS:** The University allows staff to engage in Research, Non-research and/or Private Consultancies provided they do not interfere with the discharge of their duties. Consultancies shall be undertaken only with the approval of the designated Dean RDIL. No limit is placed on earnings. However, there is a limit on the time spent on consultancy.

3.1. Academic Staff may spend one day per week on approved Consultancies, with a maximum of 48 days per year. Variations to this time commitment require the approval by the Dean concerned. A lesser time commitment may be approved when the proposed Consultancy interferes with the discharge of responsibilities.

3.2. HoDs and Deans are required to obtain written permission from the Vice-Chancellor to undertake consultancies.

3.3. Benefits of University Consultancy:

The University provides the following benefits to staff undertaking University Research or Non-Research Consultancies:

- a) Protection under the University's professional indemnity and public liability insurances, subject to the terms, conditions and exclusions within those policies.
- b) The faculty or staff member will be protected under the terms of the current Insurance Policy held by the University in the event of a claim against the faculty or staff member undertaking the Consultancy or Grant (provided that the claim is not because of fraudulent, dishonest, criminal, willful or malicious acts by the staff member).
- c) Access to the University's financial management processes to support and enable invoices to external organizations for funding and expenditure of project costs.

- d) Access to the University's resources such as technical and administration staff equipment and telecommunications, subject to approval by the concerned Faculty or Office.
- e) Entitlements to use the University's name and reputation, providing they are not brought into disrepute.
- f) Ability to make reference to their university position and title in connection with the work.

The University does not extend these benefits to Private Consultancies. Any Consultancy conducted by a faculty or staff member that accesses any of these benefits in the course of undertaking the work will be regarded as a Research or Non-Research Consultancy and subject to the fulfillment of conditions of this Policy.

3.4. All Consultancies are required to include overheads.

3.5. The revenue generated from the consultancy project is shared by the members and the university in a ratio as describe in 'General guidelines for consultancy projects' after deducting the overheads and all other expenses met by the university.

3.6 If more than one member takes up the consultancy project the prescribed amount shall be shared equally.

4. APPROVAL:

All University approved Consultancies are required to be managed in accordance with this Policy, associated documents, and other University policies. Applications to conduct consultancy are required to be approved through Dean RDIL and VC.

4.1. Exemptions and Variations: Exemptions to the above and variations to the standard overhead charge must be determined at the time of application, explicitly noted on the Research Funding/Consultancy Application coversheet, and approved by the relevant University Officer.

4.2. Transfers in from other Institutions in cases where a Research or Non-research Consultancy or grant is transferred to the University from another research organization, the overhead will not be taken from the funds where the awarded budget did not include an overhead component. In cases where a grant is being transferred to NCU from another research organization and overheads are permissible in accordance with the

funding schedule, the agreed overheads awarded will be withheld by the NorthCap University, Sector-23A, Gurugram

5. CONFLICT OF INTEREST:

Engagement in consultancies must not create a conflict of interest, perceived or actual. Any conflict of interest, actual or perceived, must be reported to the relevant University Officer for a resolution. A conflict of interest may arise where an employee engages in consultancies at the expense of the University's interests or the interests of other employees or students. An example of a potential conflict of interest includes, but is not limited to:

- a) Financial or non-financial interests.
- b) Teaching or course work for another institution.
- c) The work performed for a supplier of goods or services to the University;
or
- d) The work undertaken with an organization to which the University supplies goods or services.
- e) Consultancies with other tertiary Institutions, full-time members of the University staff should not accept regular Consultancies with other institutions without first obtaining the permission of the Vice-Chancellor, Dean RDIL or delegated University Officer.

6. INTELLECTUAL PROPERTY RIGHTS:

Any intellectual property arising from any Research and Non-research Consultancies will be governed by the Intellectual Property Policy.

7. INNOVATIONS, INCUBATIONS, ENTREPRENEURSHIP DEVELOPMENT, PATENTS, IPRs AND COPYRIGHTS:

- a) The university shall create an innovative culture by organizing various kinds of programs such as ideation programs, collection of innovations from research undertaken in respect of academic, extension, extramural and outreach.
- b) Every major invention achieved out of conducting research and innovation shall be incubated in the incubation center which will be augmented from time to time.
- c) Students shall be allowed to select an incubated product and use the same to be developed on a large scale through separately established start-

up as per companies act. All training required for the students to become entrepreneurs shall be imparted.

- d) The University has an incubation centre that has all the facilities for incubating the start-up
- e) Every innovation shall lead to filing a Patent.
- f) The university shall provide the support required for filing the patents and also for completing the groundwork required to get the patents registered and licensed.
- g) The university shall provide the required support to the faculty for filing IPRs and copyrights when it has been proved by the competent authority that such a filing is necessary to protect the value of the research done.

VII. Research Publications

- a) The University follows the UGC Regulations 2018 on Promotion of Academic Integrity and prevention of plagiarism in Higher education Institution.
- b) Turnitin is a tool designed to promote academic integrity by detecting and preventing plagiarism. Grasp the functionality of Turnitin and recognize its benefit in streamlining the benefits in streamlining originality and citations. The PhD supervisors and the faculty should guide the scholars and students, respectively, how to use Turnitin software. Avoid the use of Turnitin software to check for the similarity score/AI score of a very short assignment or a report which is less than 500 words.
- c) There are guidelines for assigning unique publication code number (PCN) to a publication. PCN is allotted to the article after it has been published in which at least one authors has NCU affiliation. Only one PCN is allotted to one publication. The process of applying for PCN is online through ERP.

VIII. Research Promotion

The below-mentioned three schemes have been introduced for the faculty members for promotion of research.

SCHEME A – Scholarly Engagement Grant (SEG)

(Scholarship to regular faculty members for attending conferences/seminars/symposia/online courses/workshops/STTP)

The amount of scholarship as 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.

SCHEME B - Open Access Publishing Scholarship (OAPS)

(Scholarship to corresponding author towards publications in paid SCIE/Scopus indexed journals)

The scholarship available to faculty shall be 50% of the processing fee as indicated in the invoice from the journal. However, the maximum scholarship amount from the university shall be limited to Rs. 50,000/- per journal publication.

SCHEME C - Scholarly Contribution Rewards Program (SCRCP)

(Scholarship to First faculty author towards publications in unpaid indexed journals & indexed Book chapter)

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

These policies have been strategically framed to improve the quality and number of research publications of the NCU. The objective is to motivate and support faculty members in achieving improved research outcomes through scholarly activities.

IX. Ethics Policy

- a) NCU is committed to the highest ethical and professional standards of conduct in pursuit of its mission to provide rigorous high-quality research. The ethics policy applies to all members of The NorthCap University. The code of conduct is to uphold the highest standard of intellectual honesty and integrity in conducting research.

- b) The research Integrity must be maintained at all costs and that includes the honesty and Objectivity, transparency, data integrity, informed consent, and responsible publications.
- c) Researchers must protect the privacy and confidentiality of participants' data and identities. Researchers must implement robust data security measures to prevent unauthorized access or disclosure of sensitive information.
- d) There must be informed consent from the participants in research. It should tell the participants what they are being asked to do, by whom, and for what purpose. Participants must know the identity of the researcher, his or her affiliations if any, and whom to contact for information if they have problems with the research process.
- e) Follow ICMR guidelines in case of animal and human trials.

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