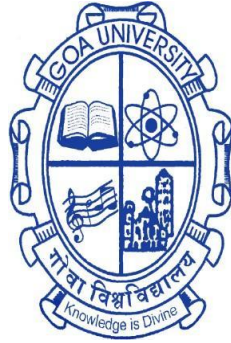


# Goa University



**2025**

**NAAC -SSR CRITERION VI**

**6.3.2 Research Policy**

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# 1. Research Policy (on website)

## **Research Policy**

### **Preamble**

The present research policy aims to help Goa University (hereafter GU) achieve excellence in research and contribute to societal upliftment. The policy will be implemented by Directorate of Research Development and Resource Mobilization (DRDRM) of GU.

### **Objectives**

This policy provides an overarching framework for all research and scholarly inquiries carried out at the GU. The objectives of policy are as follows:

- i) To promote research and innovation,
- ii) To ensure integrity, quality and ethics in research,
- iii) To incentivize the enhancement of intellectual capital, and
- iv) To facilitate national and international research collaborations and partnerships
- v) To encourage consultancy and industry-academe collaboration

### **Promotion of Research and Innovation**

The GU grants freedom to its students and faculty, (I) to carry out research in their chosen field, (II) to approach any funding agency to seek support for their research work, and (III) to report their findings and conclusions freely. However, the GU reserves the right to (a) scrutinize the research proposal and the findings, and (b) make it available for constructive criticism of peers. GU also expects that researchers shall not violate established professional ethics, norms pertaining to the health, safety, privacy, and other personal rights of human beings or to the infliction of injury or pain on animals.

The University shall strive to create a conducive environment for research. The University to the extent feasible, support all research to be undertaken, by allocating the space, facilities and other resources for research programmes based on the scholarly and educational merits of the proposed research. It shall also provide development opportunities to researchers for writing research proposals and reports, publications, patent filing, etc.

### **Identification of Thrust Areas**

Although the researchers have the freedom to choose their own topics of research, it is highly desirable to make research socially relevant. The University expects the different departments to have a thrust area of research, with a view to be focused in their efforts.

### **Seed Money for Research**

To initiate research activities of its young faculty members University provides a startup grant at the time of their joining. The University shall also provide administrative and financial assistance to submit and defend research projects funded by external agencies.

### **Research Projects**

A faculty member can submit a research project to any government or non-government agency. Every research proposal has to be submitted for GU's approval through the DRDRM which will maintain an up-to-date record of all submitted as well as sanctioned research projects. The University may monitor

the progress, maintain its accounts and submit the utilization certificate in time to the funding agency for all funded research projects.

University encourages students and faculty members to report findings from a research project either as a publication or patent.

#### **Publication of Papers in Journals**

Faculty members shall be expected to publish their research in refereed national and international journals. Except in case of Indian languages, it is expected that the journals are indexed in SCOPUS (Elsevier) and/or Web of Knowledge (Clarivate Analytics).

In order to improve the quality of research publications, University shall provide incentive for all such publications that appear in SCOPUS (Elsevier) and/or Web of Knowledge (Clarivate Analytics) indexed journal.

#### **Consultancy and sponsored research**

Goa University encourages its faculty to take up sponsored research and consultancy assignments and projects. All consultancy activities will be governed by statutes as updated from time to time (currently SA-38). Any intellectual property arising out of sponsored research will be owned jointly by the University and the sponsor.

#### **Patent and IPR**

The University encourages its research community to file for patents arising out of their work for which a separate statute is already available (currently SA-39). The application for filing patent will have to be submitted to GU's Intellectual Property Assessment Committee for a scrutiny.

Expenses for filing patent, sharing of revenue in case a patent is commercialized shall be done as per statutory provisions. The University shall create awareness about intellectual property rights among faculty, researchers and scholars from time to time.


#### **Collaborative National & International Research**

University encourages its faculty members to conduct collaborative research with their peers from reputed national and international Universities and Institutions. The University may also sign Memorandum of Understanding (MoU) with prominent Universities and Research Institutions, for conducting joint research in the areas of common interest.

#### **Research Misconduct**

Research misconduct is defined as any fabrication, falsification or plagiarism in proposing, performing or reviewing research or in the reporting results of research. Research misconduct does not include an honest error or difference of opinion, authorship dispute that do not involve plagiarism, and violations of other University policies (e.g., sexual harassment policy). The University believes that the occurrence of misconduct is a threat to the basic principles of research. The University shall put in place a mechanism for taking action on all allegations of misconduct, and shall ensure that the procedures for the inquiry, investigation and adjudication of any misconduct are well defined and just for all parties involved.

## 2. Research Policy Approval by Academic Council

<b>गोंय विद्यापीठ</b> ताळगांव पठार गोंय - ४०३ २०६ फोन : +९१-८६६९६०९०४८ फॅक्स : +०९१-८३२-२४५११८४/२४५२८८९		<b>Goa University</b> Taleigao Plateau, Goa - 403 206 Tel : +91-8669609048 Fax : +091-832-2451184/2452889 Email : registrar@unigoa.ac.in Website : www.unigoa.ac.in
(Accredited by NAAC with Grade 'A')		

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GU/46/Acad-PG/RPIS/2018/ 1045 Date: 25/10/2018

**CIRCULAR**

The Academic Council at its meeting held on 25/07/2018 has approved the Research Policy of Goa University. The said Policy is available on the website at the following link.  
[https://www.unigoa.ac.in/uploads/config\\_docs/20181022.154950~RDRM\\_GU-Research-Policy\\_final.pdf](https://www.unigoa.ac.in/uploads/config_docs/20181022.154950~RDRM_GU-Research-Policy_final.pdf)

Y.V.Reddy 25/10  
(Prof. Y.V Reddy)  
Registrar

Copy to:

1. All the Heads of University Teaching Departments.
2. All Faculty of University Teaching Departments.

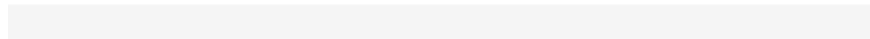
### 3.AC resolution on RIF approval

GOA UNIVERSITY
Taleigao Plateau, Goa 403 206
REVISED MINUTES
of the 7 <sup>th</sup> Meeting of the
IX ACADEMIC COUNCIL
<u>Day &amp; Date</u>
6 <sup>th</sup> December 2017
<u>Time</u>
10.30 a.m.
<u>Venue</u>
COUNCIL HALL
Administration Block
(Confirmed by the Academic Council in its 7 <sup>th</sup> Meeting and approved by the Executive Council in its meeting held on 26.3.2018 with proposed changes)
1

## Agenda Item

D 7.2	<p>To consider the Research Publication Incentive Scheme.</p> <p>The Academic Council approved the Research Publication Incentive Scheme and informed that the old scheme which was earlier approved by the Academic Council and the Executive Council will be withdrawn and replaced by the new one.</p> <p>It was also informed that after this scheme is approved by the Executive Council and the Honourable Chancellor, the State Government would be requested to start a</p>
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7




	<p>similar scheme for the College teachers.</p> <p>(Action: AR-PG)</p>
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## Link:

[https://www.unigoa.ac.in/uploads/document/ac-meetings-minutes/20210108.102211~IX\\_ACAD\\_EMIC\\_COUNCIL\\_MINUTES.pdf](https://www.unigoa.ac.in/uploads/document/ac-meetings-minutes/20210108.102211~IX_ACAD_EMIC_COUNCIL_MINUTES.pdf)

## 4. Circular on Executive Council Approval of RIF

  
**GOA UNIVERSITY**  
Taleigao Plateau, Goa

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No. GU/43/Acad-PG/Fin-Asst.2018/34420/8/2018

**CIRCULAR**

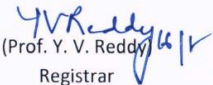
Pursuant to the decision of the Academic Council and the Executive Council of Goa University, the Research Publication Incentive Scheme (RPIS) was notified vide Circular No.GU/64/Acad-PG/RPIS/2018/616 dated 4/5/2018 as a replacement to the Scheme for Grant of Financial Support to Faculty members of Goa University to present paper in International conferences/Seminars abroad.

However, due to the non-availability of Scopus or Web of Knowledge, Journals in the Indian Languages of Hindi, Marathi and Konkani, Faculty from these departments are not in a position to take advantage of the RPIS and consequently do not have an opportunity to receive funds to attend International Conferences.

Under the above circumstances, it has been decided to permit Faculty from the Departments of Hindi, Konkani and Marathi apply for financial support under the earlier Scheme.

Consequently, the Scheme for Grant of Financial Support to Faculty members of Goa University to present paper in International Conferences/Seminars abroad, notified vide Circular No. GU/24/Acad-PG/Fin-Asst/2017/1324 dated 17/5/2017 shall continue to be applicable to only the Faculty Members of the Departments of Hindi, Konkani and Marathi of Goa University.

All Heads of Department are requested to bring the above to the notice of the Faculty members of their respective Departments.

  
(Prof. Y. V. Reddy)  
Registrar

To,

1. All the Heads of Departments
2. Director, DRDRM
3. Director, DIQA
4. Finance Officer
5. JR-Administration

Copy to:

1. PS to VC
2. PA to Registrar



**CONFIDENTIAL**

**GOA UNIVERSITY**  
**Taleigao Plateau, Goa**

**Minutes of the Eighth Meeting of the Tenth Executive Council held online on Monday, 31<sup>st</sup> May, 2021 at 10:30 a.m. via Google Meet under the Chairpersonship of the Vice-Chancellor, Goa University.**

**Members Present**

Shri Arjun Chowgule	Member
Shri Ratnakar Ganesh Lele	Member
Shri Seshadri Chari	Member
Dr. Sudhir Singh	Member
Prof. (Dr.) Gopal Singh Nayal	Member
Shri Shrinivas Vasudeva Sinai Dempo	Member
Dr. Ajit Parulekar	Member
Shri Rajendra Arlekar	Member
Prof. H. B. Menon	Member
Prof. Ramrao Wagh	Member
Dr. Neena S. P. Panandikar	Member
Prof. Malapati K. Janarthanam	Member
Officiating Registrar	Member Secretary (Ex-Officio)

**Members who conveyed their inability to attend/could not attend.**

Shri Sudin Nayak	Member
Secretary (Higher Education)	Member (Ex-Officio)
Secretary (Finance)	Member (Ex-Officio)

The Vice-Chancellor welcomed all the Hon'ble members to the Eighth meeting of the Tenth Executive Council. The Vice-Chancellor welcomed the new member Prof. Ramrao Wagh appointed in place of Prof. R. G. Wiseman Pinto whose term as Dean ended on 30/05/2021. The House also placed on record its appreciation to Prof. Wiseman Pinto for his valuable contribution during the deliberations of the Executive Council.

**D 1.8 (i)** Report of the Goa University RIF Scheme Performance period: 2018-2020.

**RESOLUTION IX:** The Executive Council approved the report of the committee appointed to look into the matter regarding Research Incentive Fund (RIF) Scheme of Goa University with the following observations.

- To ensure that predatory journals are not involved, a written undertaking/Affidavit stating that the publisher was not paid to publish the article is to be obtained from the concerned teacher(s).
- The faculty to be encouraged to do research and publish articles in general and in social sciences and humanities in particular.
- The House appreciated Dr. Ajit Parulekar and the other members of the Committee for the recommendations and the detailed report regarding the RIF Scheme.

(Action: Assistant Registrar-Acad(PG))

4

X<sup>th</sup> E.C. 8<sup>th</sup>  
31-05-2021

**R1 (i)** Minutes of the urgent meeting held to discuss issues relating to the damage caused to Block-E of the Goa University due to the recent Cyclone that hit the State of Goa.

**LINK**

[https://www.unigoa.ac.in/uploads/document/executive\\_council\\_proc/20230908.095251~8\\_Meet\\_X-EC.pdf](https://www.unigoa.ac.in/uploads/document/executive_council_proc/20230908.095251~8_Meet_X-EC.pdf)

## 5. Circular on revision of RIF Scheme

गोंय विद्यापीठ

ताळगाव पठार 403206

गोंय, भारत

Tel: 8669609093

Fax: +91-832-2452889



State Public University since 1985  
Recognized by UGC u/s 12-B  
(Accredited by NAAC with A Grade)

Goa University

Taleigao Plateau 403206

Goa, India

Email: [registrar@unigoa.ac.in](mailto:registrar@unigoa.ac.in)

Website: [www.unigoa.ac.in](http://www.unigoa.ac.in)

Ref. No. GU/D-RDRM/RIF-Circular/2021/ 32

Date: 07/10/2021

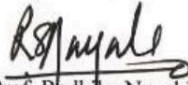
### CIRCULAR

In pursuance with the resolution of the Executive Council in its meeting held on 31-05-2021, relating to the RIF Scheme and in the partial modification to Circulars Nos.GU/64/Acad.PG/RPIS/2018/616 dated 04-05-2018 & GU/64/Acad.PG/RPIS/2018/816 dated 02-08-2018 issued earlier the following is informed:

- To be eligible for credit of RIF points for the WoK/Scopus journal publications, an Undertaking (Format attached at **Annexure A**) needs to be signed and submitted to the DIQA by one of the authors from any Department/School of Goa University.
- The Undertaking shall be required to be submitted for all the pending publications for which the RIF points are yet to be credited.
- The redeeming of accrued RIF points for the payment of journal fees stands discontinued.
- On receiving the Undertaking, the RIF points shall be credited to the author's table and will be made available online at <http://info.unigoa.ac.in/incentives.html>.

This is issued with the approval of the Vice-Chancellor.

All the Deans / Heads of University Teaching Departments on campus are requested to bring the contents of the Circular to the notice of the faculty members of their respective Schools/ Departments.

  
(Prof. Radhika Nayak)  
Officiating Registrar

To,

1. All Deans of Schools / Heads of Departments
2. Director, DRDRM
3. Director, DIQA
4. Finance Officer
5. AR-PG
6. PS to VC
7. PA to R

## GOA UNIVERISTY

## RIF POINTS CLAIM UNDERTAKING FOR A PUBLICATION

*I/We, the undersigned, hereby state and declare that the author/s has/ have not paid any amount to publish the article whose details are given below:*

1. Name of the Author claiming RIF:	
2. Title of the Research Paper:	
3. Name of the Journal in which Published:	
4. Name of the Publisher of the Journal:	

Name of the Author (Faculty Member)	Name of the Department, Faculty / Discipline, School	Signature and Date
a.		
b.		

## 6. Report of the Goa University RIF Scheme Performance (Period: 2018-2020)

C/20

### Report of the Goa University RIF Scheme Performance Period: 2018-2020

The Goa University Research Incentive Scheme was introduced in May 2018.

This scheme has completed around 3 years and the Executive Council of the Goa University appointed a committee Chaired by Prof Ajit Parulekar, Member GU Executive Council and included Dr Gopakumar Nair, Librarian and Assistant Registrar (PG) as members of the committee.

The committee was asked to review the overall impact of the RIF scheme on the research output of the university and suggest course corrections on the following dimensions:

1. List of journals eligible for RIF points
2. Utilization of RIF points
3. Monetary value of a RIF point

The committee has perused several documents (listed in Appendix 1), met several functionaries of the Goa University associated with the scheme (listed in Appendix 2) in the process of compiling this report.

#### The RIF Scheme:

According to the RIF scheme, every research paper authored by a regular faculty member of the university in a Scopus/Web of knowledge listed journal (in rest of the document we will use the term Scopus-Indexed or SCI to include Scopus & web of knowledge listed papers) would fetch certain incentive points. The points earned would vary depending upon in which quartile of the index the journal is. For example, publication in the top 25% (Quartile 1) would earn 100 points while publication in the other quartiles would earn 50 points. Each point would be worth Rs 1000 and the number of points earned would vary depending upon the number of authors and whether the university faculty member is the first/ corresponding author or not.

The RIF points thus earned can be used for any academic activity such as purchasing equipment, consumables such as chemicals, databases, funding travel for conferences and for data collection, inviting research collaborators or meeting journal/ book publication charges.

#### Impact on Total Publications at Goa University:

The number of publications by faculty of Goa University has steadily increased over the last 3 decades.

Decadal trend of publications at GU:

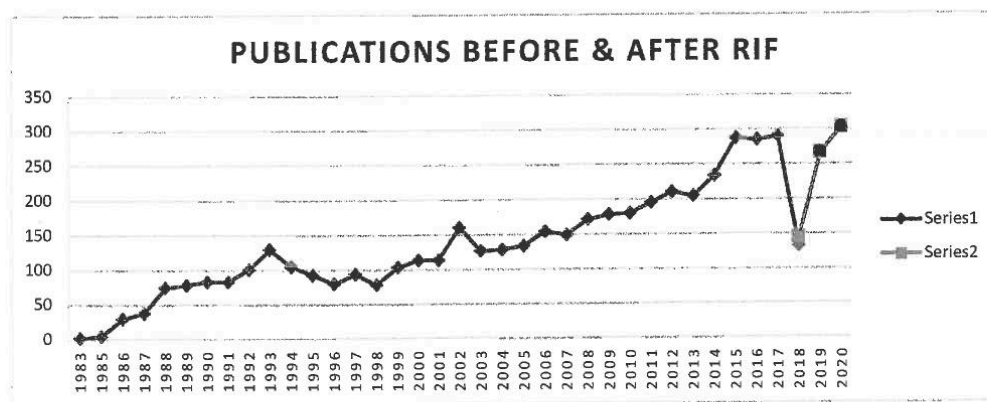
Period	Number of Publications	Increase
1991-2000	975	-
2001-2010	1492	53.0%
2011-2020	2548	70.8%

Five-yearly trend of publications:

Period	Number of Publications	Increase
1986-1990	301	-
1991-1995	509	69.1%
1996-2000	466	-(8.4)%
2001-2005	660	41.6%
2006-2010	832	26.1%

2011-2015	1129	35.7%
2016-2020	1419	25.7%

The RIF scheme doesn't appear to have had a significant impact on total number of publications as can be seen in the year-wise number of publications in this period.



Year-wise number of publications by Goa University faculty from 2016-2020:

Year	2016	2017	2018	2019	2020
No. of publications	285	290	275	266	303

There are several factors that influence the total number of publications, especially the total number of faculty on the rolls of the University (which is a result of faculty retiring, resigning etc and the university did have a large number of vacant faculty positions in the 2016-2019 period). Given the more than doubling of faculty strength in 2020, the total number of publications should substantially increase in 2021-22 and beyond.

#### Impact on Quality of Publications Goa University:

While the RIF scheme hasn't had an impact on the total number of publications, the quality of publications has increased. This is evidenced by the number of publications in Scopus indexed journals has increased noticeably from 18.5% of all publications being Scopus-indexed in 2018 to 45% in 2019 & 2020. Moreover, the number of publications in the Quartile 1 & Quartile 2 of Scopus-indexed journals has also increased substantially over this 3-year period.

Quartile details	2018 No. of Papers	2019 No. of Papers	2020 No. of Papers	Total (2018-2020)	% of all GU publications
Q1	17	40	59	116	13.7%

Q2	19	48	39	106	12.6%
Q3	13	23	22	58	6.9%
Q4	2	10	17	29	3.4%
All Quartiles	51	121	137	309	36.6%
% of all GU publications	18.5%	45.5%	45.2%	36.6%	

Unfortunately, records were not available of the number of Scopus-indexed publications of the university prior to the RIF scheme (it is recommended that this record is created). However, over the 3-year period of the scheme, there is clearly an increase in quality of publications w.r.t to Scopus indexation.

#### Analysis of performance of RIF at Department/ School level:

The science departments have done well in terms of publishing in Scopus-indexed journals and consequently earning RIF points. The following table presents the department-wise break-up of publications in each of the 4 Quartiles over each of the 3 years (2018, 2019 & 2020).

Year	Quartile details	No. of Papers	Details	Remark
2018	Q1	17	Biotechnology (1), Chemistry (9), SEOAS (3), SPAS (1), GBS (1), Zoology (1), Microbiology (1)	Only 10 Depts/ Schools published in Q1-4 in 2018 and this didn't increase in 2019 but increased to 12 in 2020.
	Q2	19	Biotechnology (3), Botany (2), Chemistry (5), SEOAS (4), SPAS (2), GBS (1), Microbiology (2)	
	Q3	13	Biotechnology (1), Chemistry (2), GBS (4), History (1), SEOAS (4), Zoology (1)	
	Q4	2	Botany (1), Zoology (1)	
2019	Q1	40	Biotechnology (1), Chemistry (23), SEOAS (4), SPAS (6), GBS (2), Microbiology (4)	Significant increase in total number of Q1-4 papers over 2018 (up from 51 to 121). The increase has come in each of the 4 quartiles. The increase has been led by Chemistry (16 in 2018 to 54 in 2019), SEQAS (11 to 16), SPAS
	Q2	48	Biotechnology (3), Botany (4), Chemistry (19), SEOAS (9), SPAS (6), GBS (5), Microbiology (2)	
	Q3	23	Biotechnology (1), Botany (1), Chemistry (11), SEOAS (1), SPAS (1), GBS (3), Microbiology (3), Political Sci (1), Zoology (1)	

	Q4	10	Biotechnology (1), Botany (3), Chemistry (1), SEOAS (2), SPAS (2), GBS (1)	(2 to 16), Botany (3 to 8) & GBS (6 to 11).
2020	Q1	59	Biotechnology (4), Chemistry (30), SEOAS (8), SPAS (5), GBS (9), Microbiology (1), Political Sci (1), Women's studies (1)	For four articles incentives have not been credited. Waiting for approval.
	Q2	39	Biotechnology (2), Botany (6), Chemistry (15), SEOAS (4), SPAS (4), GBS (4), Microbiology (3), History (1)	For three articles incentives have not been credited. Waiting for approval.
	Q3	22	Biotechnology (1), Botany (4), Chemistry (4), SPAS (2), GBS (10), Portuguese (1)	For eight articles incentives have not been credited. Waiting for approval.
	Q4	17	Botany (2), Chemistry (5), SEOAS (2), SPAS (3), GBS (4), Portuguese (1)	For two articles incentives have not been credited. Waiting for approval.

The observations from the above table are:

- The number of departments/ schools publishing in Q1-4 journals increased over the 3 year period from 10 to 12.
- Chemical Sciences, SEOAS, GBS, Biotechnology, Botany & SPAS have done well w.r.t earning RIF points (publishing in Scopus indexed journals). Their contributions in Q1-4 have been good over the last 3 years.
- Philosophy, Portuguese, History Political Science & Women's Studies departments have only 1-2 Q1-4 papers in the 3-year period of the RIF.
- The Zoology department has progressively declined in their RIF related performance over the last 3 years with 3, 1 & nil Q1-4 papers in 2018, 2019 & 2020 respectively.
- Several schools/ departments have not published even a single Q1-4 paper (and their publication record has been poor even prior to the introduction of RIF). These include the linguistics departments other than Portuguese (i.e French, Hindi, Marathi, Konkani & English), Sociology, International Relations and Centre for Social Exclusion & Inclusion Policy.

The next table details out the contribution by each Department, separately in each of the 4 Quartiles, the sum-total of all Scopus-indexed articles & the per-capita publications for each RIF earning faculty member from the respective department in the combined 2018-2020 period.



Department	No of Q1#	No of Q2#	No of Q 3#	No of Q4#	All Scopus indexed (Q1-4)#	No of faculty earning RIF	Per Capita* publicns
Biotech	5	8	5	1	19	6	3.2
Botany	1	14	3	5	23	6	3.8
Chemical Sci (SCS)	85	59	21	9	174	18	9.7
SEOAS	23	28	7	8	66	13	5.1
Goa Biz School	13	12	17	6	48	16	3.0
History	0	1	1	0	2	1	2.0
Man Parrikar Sch	3	0	0	0	3	2	1.5
Microbiology	7	8	5	0	20	7	2.9
SPAS	16	15	5	8	44	12	3.7
Political Science	1	0	1	0	2	1	2.0
Portuguese	0	0	1	1	2	1	2.0
Zoology	1	0	2	1	4	2	2.0
<b>TOTAL</b>	<b>155</b>	<b>145</b>	<b>68</b>	<b>39</b>	<b>407</b>	<b>85</b>	<b>4.8</b>

Pure Science	138	132	48	32	350	64	5.5
GU minus Pure Science	17	13	20	7	57	21	2.7
Non-science minus GBS	4	1	3	1	9	5	1.8
GU minus SCS	70	86	47	30	233	67	3.5

\* Per capita publications only for those faculty from the department who earned RIF points.

# Includes duplication (if a paper has 2 authors from GU, it will be counted two times). Hence, total number of instances of Q1-4 publications (407 nos) will not match the total number of Scopus indexed publications from GU over the same period (309 nos).

There is a substantial variation in the contribution by different departments/ schools in Goa University. The School of Chemical Sciences contributes 43.2% of Goa Universities Scopus-indexed publications while they have a much lesser representation in terms of faculty size or number of PhD students.

The Pure Science departments & schools contribute 86% of all Scopus-indexed publications of the Goa University with only 14% of Scopus-indexed publications coming from other departments (Linguistics, International Relations, Sociology, Philosophy, Political Science & Business).

Even among the schools & departments other than the pure sciences, Goa Business School has a dominant contribution of 80.7% of the 14% of publications contributed.

There could be several factors that result in this discrepancy in contributions (or lack of contributions) from different departments/ schools such as availability of journals in the respective

domain (this is a problem faced by most of the Indian languages departments), inadequacy of the number of Scopus-indexed journals in their fields (a challenge faced by most linguistics departments as well as many of the specialized Internal Relations areas) & faculty size (number of unfilled vacancies).

There is no compulsion on faculty to publish in Scopus-indexed journals as part of their annual KRAs. Publications are important as far as promotions and RIF incentives are concerned.

#### Analysis according to designation:

The committee also looked at RIF points earned by faculty at different levels/ designations. The table below is a tabulation of the Scopus-indexed publications by designation and includes details on department-wise performance by designation as well as considers the per-capita number of papers by designation.

Designation	No of Papers	Departments	Q1	Q2	Q3	Q4	Q1-4 Total	No of authors	Papers/ Authors
Senior Professor	33	Tilve/Chem (17), Reddy/GBS (10), Menon/SEOAS(4), Rodrigues/Botany(2)	12	10	7	4	33	4	8.25
Professor	200	Chem (74/ 6 Fac), SEOAS (27/ 4 Fac), GBS (26/ 8 Fac), SPAS (27/ 6 Fac), Botany (19/ 4 Fac), Biotech (16, 4 Fac), Micro (6, 2 Fac), Zool (4, 2 Fac), MPS (1, 1 Fac)	55	88	34	23	200	37	5.41
Associate Professor	13	SPAS/ Parab (8), MPS/ Lolayekar (2), History (2, 2 Fac), SEOAS/ Viegas (1)	3	3	2	5	13	5	2.60
Assistant Professor	78	Chem (28/ 8 Fac), SEOAS (15/ 6 Fac), GBS (12/ 7 Fac), SPAS (2/ 2 Fac), Botany (2/ 1 Fac), Biotech (3, 2 Fac), Micro (12, 4 Fac), PolSc (2, 1 Fac), Portuguese (2, 1 Fac)	28	22	22	6	78	32	2.44
UGC Professor	48	S.V Bhosale (Chemical Sciences)	38	9	1	0	48	1	48.00
SERB Scientist	18	S. Ganguly (SEOAS)	11	7	0	0	18	1	18.00
Others	16	DST Inspire/ Chem(7/ 2 Fac), UGC Asst Prof/ SPAS (7, 2 Fac)/ Micro (2, 1 Fac)	8	6	2	0	16	5	3.20
TOTAL	406		155	145	68	38	406	85	4.78

Key observations from this table are:

Contributions are much higher at higher designations and per capita number of Scopus-indexed papers published in this 3-year period increases from 2.44 by Assistant Professors to 2.6, 5.41 & 8.25 by Associate Professors, Full Professors & Senior Professors.

There is a big skew in the number of publications by the 2 special category Professors – the UGC Professor & the SERB Scientist. The number of publications by these 2 Professors seems unusually high at 48 & 18 Scopus-indexed publications in a 3 year period.

Given that Goa University has completed a large round of faculty recruitment (and filled in a large proportion of vacancies) with most of the recruits at the level of Assistant Professor, there must be a conscious effort to improve the productivity from Assistant Professors by a combination of mentoring as well as providing adequate support for their research (both in terms of time availability for research as well as making infrastructure & funding available).

#### PhD Scholars & Size of the Faculty:

Faculty size is one of the key factors that can influence the quantum of publication and number of Phd scholars (though this could be related to the number of faculty in a school/ department) also are expected to have a similar effect given the fact that the Goa University ordinances for PhD mandate a certain number of publications that a Phd student must have for being eligible for award of the degree. However, the ordinance doesn't specify any quality requirement for the article (neither does it specify that the journal should be Scopus-indexed or from the UGC Care list).

The number of active PhD scholars (department-wise):

Dept.	PhD Scholars	Scopus indexed papers (2018-20)
Dept of Biotechnology	18	19
Dept of Botany	25	23
Dept of English	17	0
Dept of French and Francophone Studies	3	2
Dept of Hindi	13	0
Dept of History	12	2
Dept of International Relations	4	0
Dept of Konkani	3	0
Dept of Marathi	6	0
Dept of Microbiology	12	20
Dept of Philosophy	10	0
Dept of Political Science	17	2
Dept of Sociology	8	0
Dept of Zoology	3	4
Goa Business School	100	48
Manohar Parrikar School of Law, Governance and Public Policy	6	3
School of Chemical Sciences	35	174
School of Earth, Ocean and Atmospheric Sciences	18	66
School of Physical and Applied Sciences	30	44

The number of Scopus-indexed publications do not seem to be related to the number of PhD scholars in the department. However, in the pure science departments, there is a substantially higher value for the ratio between number of SCI papers relative to the number of PhD students.

It is surprising to note that several departments haven't published a single Scopus-indexed paper despite having over 10 PhD scholars in the department (English, Hindi & Philosophy for example).

As research & publication is driven by faculty, we also looked at the department-wise faculty strength. As the objective was to use this number to understand the performance of the University over the period of 2018-2020, we decided not to include the recent round of recruits in these numbers as this would paint an erroneous picture (as new recruits would take time to settle in and publish papers with the GU affiliation). The faculty strength was considered as on 1st August 2019.

Even during the period from start of the RIF scheme to August 2019 and even after that, there would a fluctuation in the number of faculty in several departments owing to retirement, promotion, deputation & resignation of faculty.

Department	Faculty by designation	No of Faculty
Biotech	3 Professors + 1 Asst Prof + 1 UGC Asst Prof	5
Botany	1 Senior Prof + 4 Profs + 1 Asst Prof	6
Sch Chem Sci	1 Senior Prof + 4 Profs + 6 Asst Profs + 1 UGC Prof + 1 DST Inspire Faculty	13
SEOAS	1 Senior Prof + 3 Profs + 2 Assoc Profs + 5 Asst Prof + 1 SERB Scient	12
Goa Biz School	1 Senior Prof + 10 Profs + 4 Assoc Profs + 8 Asst Prof	23
History	2 Profs + 1 Assoc Prof + 1 Asst Prof	4
Man Parrikar Sch		
Microbiology	1 Profs + 4 Asst Profs + 1 UGC Asst Prof	6
SPAS	3 Profs + 1 Assoc Prof + 3 Asst Profs + 3 UGC Asst Prof	10
Political Science	1 Profs + 3 Asst Profs	4
Portuguese	4 Asst Profs + 1 UGC Asst Prof	5
Zoology	1 Prof + 2 Asst Profs	3
Others (English, French, Marathi, Hindi, Sociology, Konkani, Philosophy, Internal Relations, Women Studies, CSocial ExclIncl)	10 Profs (E3, F1, H1, Soc1, Phil2, Int1, WS1) + 2 Assoc Prof (M1, K1) + 16 Asst Profs (E3, F3, Soc3, H2, M1, K1, Int1, CSocIncl1, WS1)	28
<b>TOTAL</b>		<b>119</b>

All the departments clubbed together as 'Others' (that number 23.5% of the total GU faculty size) have not published a single SCI journal article in the 3 year period of the scheme.

#### Utilization of RIF points:

The RIF points redemption/ utilization varied according to the departments/ schools needs. The following table presents the % utilization by each school under different categories such as equipment purchase, assistance to attend conferences etc. Data is presented only for those schools which utilized RIF points over this period.

% Contribution	Chem	SEOAS	Goa Biz School	SPAS	Micro-Biotech	TOTAL (10%)
Equipment	37.0	79.6	3.1	32.6	45.8	40.3
Stipends/ Manpower	31.8	0	0	35.9	0	22.9
Travel/ Conference	8.8	0	53.5	0	7.3	11.3
Patent fee/ License renewal	10.0	0	0	23.6	0	7.6
Publication/ Submission fee	12.4	20.4	36.3	0	0	14.8
Any other	0	0	7.1	7.8	46.9	3.1
<b>Total (%)</b>	<b>68.2</b>	<b>14.5</b>	<b>9.2</b>	<b>3.4</b>	<b>4.7</b>	<b>100</b>

The school of chemical sciences (which contributed to 43% of the total number of SCI publications of the GU, has a disproportionately high number of RIF points utilised. They are responsible for 68% of all the RIF points utilised.

All the science departments (Chemical, Earth Ocean & Atmospheric, Physical, & Microbio-Biotech) have utilized the largest portion of the RIF points for buying equipment (between 330% to 80% of the RIF points used) followed by supporting research staff & students through stipends/ fellowships.

Expectedly, the only non-science school (Goa Business School) among this sample of 5 schools, has used their RIF points very differently. They have spent 54% on supporting travel & conference participation and 36% on publication & submission fees.

#### Year-wise purpose of utilisation (Amounts)

	Equipment	Stipend/ Manpower	Travel/ Conference	Patents/ License renewal	Publication/ Submission fees	Others	TOTAL
2018	9,454	0	70,957	0	0	0	80,411
2019	10,14,500	3,82,000	2,14,684	1,57,500	14,000	64,500	18,47,184
2020	4,16,506	5,25,000	2,77,479	1,68,500	4,60,180	62,000	19,09,665

2021 so far	3,77,250	72,000	0	17,700	1,92,200	15,000	<b>6,74,150</b>
<b>TOTAL</b>	<b>18,17,710</b>	<b>9,79,000</b>	<b>5,63,120</b>	<b>3,43,700</b>	<b>6,66,380</b>	<b>1,41,500</b>	<b>45,11,410</b>

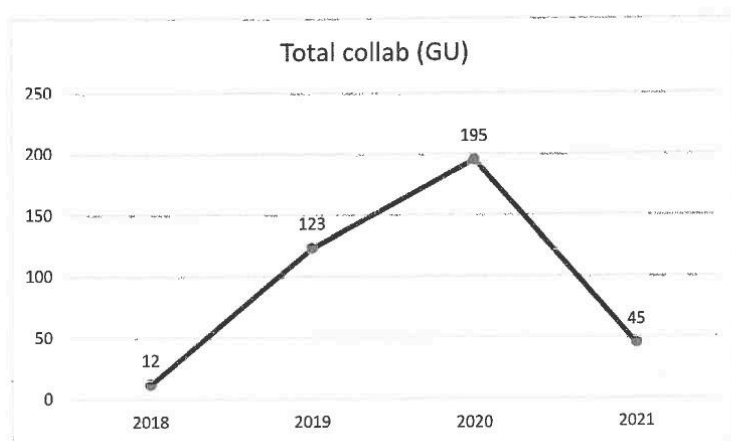
The total amount of RIF points utilised in each of 2019 and 2020 is quite small at Rs 18.5 L and Rs 19.1 L p.a. For a faculty size of 119, the amount of spend to support academic activity is very small and needs to be increased. The Schools of Chemical Sciences, Earth Ocean & Atmospheric sciences and a few other schools of the university also earn sizeable monies from sponsored projects.

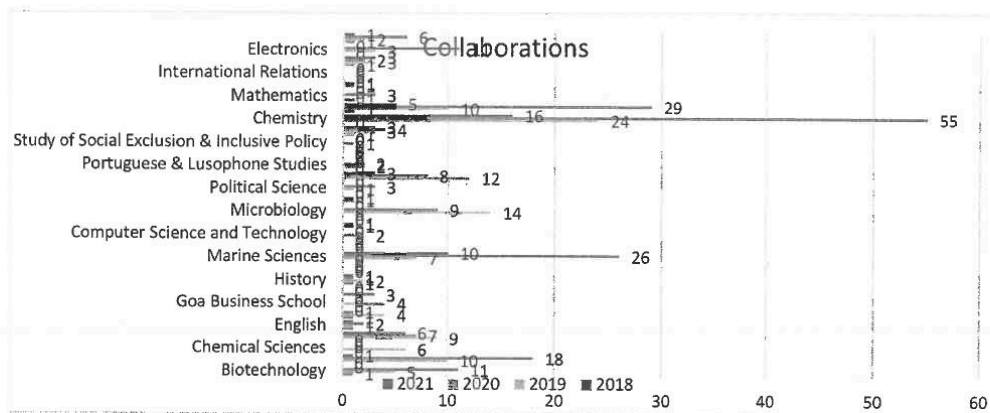
The spend is highest on purchase of equipment (Rs 18.2 L out of the total Rs 45.1 L) followed by spend on stipends/ manpower.

The expense head that has seen the highest percent increase over this period is publication/ submission. There has been a lot of discussion among the Deans of the University on some instances of misuse of the RIF points and paying fees to predatory journals. More details on this matter and other inputs from Deans of various Schools is presented later in this report under the section "Comments from Deans".

#### Research Collaborations:

We also examined if the RIF had any influence on research collaborations. We looked at the quantum of collaborative research projects in this 3-year period and found a substantial increase in the number of collaborative research projects. This augurs well for the university and it expands the network of influence of the university as well as increases the visibility of its research as well as increases access to resources.





The increase in number of collaborations was witnessed across most schools and departments. During the discussion with Deans of schools, several Deans mentioned that the RIF has promoted collaborations as it increased the access to untethered funds for inviting scholars, participating in combined research projects, travelling to conferences etc.

#### Comments from Deans of Schools & Departments:

On 29<sup>th</sup> December 2020, a meeting was held by the DRDRM with Deans of schools/ departments to seek their views on the RID scheme. The following points were expressed by the Deans:

- Publication fee payment must not allowed from RIF points and publication fees (publishing in predatory journals) must be strongly discouraged (including punitive action).
- Submission fees are different from publication fees and are charged by many top journals in several disciplines. Submission fee payment using RIF points must be permitted.
- Open access journals do ask for a fee after acceptance of the paper. This may be permitted depending upon the quality of the journal.
- Impact factor may be considered as a good quality measure for classifying journals for the purpose of RIF point accumulation, and can be use in combination with Q index of Scopus especially Q4 journals.
- The RIF scheme is a good scheme and should be continued in its present form with few needed modifications.

We called a meeting of all Deans (and a representative of the RDRM) with our team after we had gone through various documents related to the RIF scheme including details of RIF points earned and utilized, and after having one-on-one conversations with a few of the officials concerned with the scheme. This meeting was a an online meeting held between 3-5 pm on May 2021 and was attended by 8 Deans (Chemical Sciences, Earth Ocean & Atmospheric Sciences, Physical Applied Sciences, Lifesciences, Goa Business School, Manohar Parrikar School, International Relations School & Sociology), Dr Dhuri from RDRM, Dr Gopakumar & Dr Parulekar. There was no representation of Deans from Linguistics and that could have been an important perspective that was missed. The following points were expressed by the Deans:

- The Deans were unanimous in expressing that they felt the RIF has benefitted the research & publication at the university.
- They felt that the freedom that the scheme provides in spending on a variety of academic related activities is desirable and should continue including purchasing equipment, buying consumables, attending conferences etc.
- The Deans were unanimous in strongly discouraging payment of publication fee or publication by GU faculty in predatory journals.
- Several Deans were of the opinion that supporting fellowships through RIF should not be used as an alternative to students trying for NET/ SET fellowships. The fellowship support through RIF should not be extended in the early years (in which time the student should get support through NET/ SET) and can be extended if the research extends beyond the 4 years of the fellowship.
- Some Deans opined that sponsored research should continue to be the mainstay of research funding, especially for senior faculty such as Professors & Associate Professors and the RIF scheme should focus on Assistant Professors who do not have the same access to other funds. However, Deans of schools that are new and schools that are currently not performing well in terms of research & publication suggested that the RIF scheme should be available for all GU faculty, irrespective of rank.
- Deans mentioned that till the recent faculty recruitment drive, the University was more 'top heavy' (i.e had many more senior faculty such as Professors compared to the number of Assistant Professors). The recent recruitment will now bring into the faculty a much larger number of younger & junior faculty who need to be mentored in the need to publish in top journals and also supported through the RIF to conduct their research.

### Conclusions:

Overall impact of the RIF scheme on the research output of the university:

1. The RIF scheme doesn't seem to have had a significant impact on the number of research papers published by the Goa University.
2. The RIF scheme has undoubtedly had a significant impact on the quality of publications by the university as evidenced by the increase in the number & % of papers published in Scopus-indexed journals as well as the number & % of papers published in Q1 & Q2 Scopus-indexed journals.
3. The RIF scheme has benefitted departments & schools that were already the largest contributors to the research output of the university and has had almost no impact on most of the schools & departments that had no contribution or an insignificant contribution to the research output of the university.
  - a. The Schools that were already contributed the lion share to the quantum of publications of the university have now moved up on the quality of publications parameter.
  - b. However, the schools that were not contributing, have not changed either in terms of quantity or quality of publications.

List of Journals eligible for RIF points:

1. Scopus-indexed journals are an important criterion in terms of NIRF ranking as well a standard comparator across institutions. However, this list has some limitations, some of these are listed below:
  - a. Scopus indexed journal list does not exclude predatory (pay to publish) journals.



- b. Scopus indexed journals do not adequately represent several disciplines and hence areas such as political sciences, linguistics & international relations are not adequately represented by Scopus/ Web of Knowledge indexation.
- c. Impact factor was suggested as a better indicator of quality than Scopus-indexation.
- d. The university can consider developing its own list of higher tier of journals (with higher RIF points earned) that target top journals across disciplines (like Nature, Academy of Management, Lancet etc).

#### Utilization of RIF points:

1. The budgets have been utilized for a variety of different activities ranging from buying equipment to supporting research staff/ students to paying for IPR/ licensing fees and to conference travel and paying journal fees.
2. The science departments utilize the funds for equipment, consumables and IPR/ fees whereas these are generally not relevant for most of the social science departments. These schools are likely to utilize the funds for conference travel, sometimes for some facilities for research, and for paying journal fees.
3. Deans are happy with the freedom & flexibility in the way these funds are used. They did feel that access to funds is much easier for senior faculty such as Professors, Associate Professors & Senior Professors – through sponsored research projects and other sources of funding. They did mention that Assistant Professors need much more support financially in order to facilitate their research plans.
4. Across Deans of Schools, they were concerned with the use of RIF funds for publication fee (to predatory journals). They strongly felt that this must be eliminated and only payment of submission fees (and not publication fee) to reputed journals be allowed.

#### Monetary value of RIF points:

1. The total amount utilized for academic activities over these 3 years is Rs 45 Lacs and has not been more than Rs 20 L in any of the 2 years. This is a very small sum of money compared to the overall budget of the Goa University as well as compared to the total faculty size or volume of research output of the university.
  - a. The value to each RIF point can be considered for an upward revision. It is difficult to mention the extent of the upward revision – the guiding principle should be to align the point value and expected earning of points to the total budget to be allocated to research.
  - b. The RIF point value should be revised at regular intervals (every 2-3 years) to factor in inflation over the period of the time.

#### Way forward:

The RIF scheme has benefitted research output of the Goa University, especially in terms of quality of publications. In light of this, **the scheme must be continued.**

In light of the large faculty recruited in the last 18 months, the quantum of publication at the Goa University should see a sizeable increase. Since a large proportion of the new recruits are younger faculty (and the RIF scheme performance so far seems to suggest that senior faculty benefit more from the scheme), **the scheme can be tweaked to make it easier for younger faculty to earn points** (they are less likely to get PhD students as well as get access to external sources of funding). Examples of such tweaks could include a slightly higher value of each point or higher points for a

publication for an Assistant Professor (or a new recruit) or an initial RIF point deposit for faculty on completion of their probation period.

The RIF scheme needs to be modified to **encourage and enable schools & disciplines such as linguistics, sociology, philosophy, political science and international relations (and new schools such as Indic studies) to publish in good quality journals**. The Goa University can constitute a task force of Deans from these schools and some external experts (who publish in top journals in these disciplines) as mentors to draw up a strategy to facilitate the faculty from these schools to publish in top journals.

The philosophy of **flexibility in utilization of points for academic work** has been appreciated and must be continued.

**Payment of publication fees must be discontinued and strongly discouraged** through punitive measures if necessary. However, there must be a system created to enable to utilize the RIF points for paying submission fees (for the review process) to top journals. The University can institute a prior approval process in such cases where a committee examines the application by a faculty member for paying a submission fee to a journal.

**Appendix 1: Artefacts examined**

The RIF scheme document from the Executive Council agenda notes.

List of publications by Goa University faculty since inception.

Minutes of meeting of Deans/ Heads of Schools/ Departments in December 2020 regarding performance of the RIF scheme.

Faculty & school-wise RIF points earned and utilized since inception of the RIF scheme

School-wise details on number of faculty and number of PhD students

## **Appendix 2: Functionaries Met**

Dr Gopakumar Nair, Librarian

Dr Jyoti Pawar, Goa Business School

Dr Murari Tapaswi, Formerly associated with Goa University Library & Former Librarian, NIO

Dr Sunder Dhuri, RDRM

Dr Vishnu Nadkarni, Dean, School of Chemical Sciences

Dr K.S Priolker, Dean, School of Physical Applied Sciences

Dr Harilal Menon, Dean, School of Earth, Ocean & Atmospheric Sciences

Dr Prabhat Sharma, Dean, School of Life Sciences

Dr M S Dayanand, Dean, Goa Business School

Dr Sheila D'Souza, Dean, Manohar Parrikar School of Law, Governance & Public Policy

Dr Aparajita Gangopadhyay, Dean, School of Internal & Area Studies

Dr Ganesh Somayaji, Dean, School of Social Sciences

cfm

X <sup>th</sup> E.C. 8 <sup>th</sup> 31-05-2021
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**D 1.8 (i)** Report of the Goa University RIF Scheme Performance period: 2018-2020.

**RESOLUTION IX: The Executive Council approved the report of the committee appointed to look into the matter regarding Research Incentive Fund (RIF) Scheme of Goa University with the following observations.**

- To ensure that predatory journals are not involved, a written undertaking/Affidavit stating that the publisher was not paid to publish the article is to be obtained from the concerned teacher(s).
- The faculty to be encouraged to do research and publish articles in general and in social sciences and humanities in particular.
- The House appreciated Dr. Ajit Parulekar and the other members of the Committee for the recommendations and the detailed report regarding the RIF Scheme.

(Action: Assistant Registrar-Acad(PG))

# गोंय विद्यापीठ

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State Public University since 1985  
Recognized by UGC u/s 12-B  
(Accredited by NAAC with A Grade)

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GU/164/Acad-PG/RIF/2021-22/1003

Date: 08.03.2021

## ORDER

In pursuance to the Resolution of the Executive Council in its meeting held on 05<sup>th</sup> February 2021, the Vice Chancellor is pleased to constitute a Committee comprising the following members to review the Research Incentive Fund (RIF) Scheme.

- |  |                   |
|--|-------------------|
| 1. Dr. Ajit Parulekar,<br>Member, Executive Council, Goa University<br>Director, Goa Institute of Management,<br>Poriem, Sattari, Goa<br>Email. director@gim.ac.in | -Chairperson      |
| 2. Dr. Gopakumar,<br>Librarian, Goa University   | -Member           |
| 3. Assistant Registrar (PG),<br>Goa University   | -Member Secretary |

The Committee is requested to submit its Report within a period of one month from the date of issue of this Order.

  
(Prof. Rachika S. Nayak)  
Offg. REGISTRAR

To,  
All the above members concerned.

Copy to:

1. P.S. to Vice Chancellor
2. P.A. to Registrar

X<sup>th</sup> E.C. 2<sup>nd</sup>  
05-02-2021

48  
C/60

**D 1.8 (xiii)** Matter regarding Research Incentive Fund (RIF) Scheme.

**RESOLUTION XXX: The Executive Council suggested the following committee to look into the matter regarding Research Incentive Fund (RIF) Scheme.**

- 1. Dr. Ajit Parulekar – Chairperson  
Member of Executive Council**
- 2. Dr. Gopakumar – Member  
Librarian**
- 3. Assistant Registrar (PG) – Member Secretary**

**The Committee is requested to submit the recommendations in order to place the same before the Executive Council for consideration.**

(Action: Director-RDRM / Assistant Registrar-Academic (PG))