



SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)

(Established under section 3 of the UGC Act, 1956)

Re-accredited by NAAC with 'A' grade (3.58/4) | Awarded Category - I by UGC

Founder: Prof. Dr. S. B. Mujumdar, M. Sc., Ph. D. (Awarded Padma Bhushan and Padma Shri by President of India)

Notification No. SIU/U-28/848 dated 1st August, 2019

Sub.: Policy on Evaluating Research Output through Bibliometrics Analysis

It is hereby notified for information of all concerned that the Policy on Evaluating Research Output through Bibliometrics Analysis is enclosed as Annexure 'A' and shall be effective from the date of issuance of this notification.

Authority: BoM Resolution No. A9 dated 27th June, 2019.

SIU/28/19/ 3330
Dated: 1st August, 2019



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Evaluating Research Output through Bibliometrics Analysis

1. Preamble

The productivity of research in a Higher Education Institution (HEI) is commonly measured by assessing a wide variety of research outputs in terms of research papers published in scholarly journals, books, book chapters, conference proceedings, policy reports, intellectual property (patents, design, trademark, etc.), research projects, etc. However, over a period of time, a need has been felt to have a concise approach that improves the understanding of research output. One such approach is the use of Bibliometrics tool. Bibliometrics is defined as “a statistical or mathematical method for counting the number of academic publications, citations, and authorship” and notes that it is frequently used as a measure of academic output (Directorate-General for Research, Assessing Europe’s University-Based Research, 2010). Some of the important Bibliometric measures are citation counts, impact factor, CiteScore, h-index, etc.

Symbiosis International (Deemed University) (SIU) is committed to a better understanding of how to measure and reflect research output and its impact using a range of measures. Key stakeholders such as regulatory bodies (UGC, MHRD, etc.), funding agencies (DST, DBT, ICSSR, etc.), ranking organizations (NAAC, NIRF, THE, QS, etc.) and various accountability organizations, are increasingly using Bibliometrics as one of the way to understand research outputs and their impact. The main purpose of this policy is to provide relevant information and transparency to all SIU faculty members, researchers, scholars, and students into the Bibliometrics analyses made by the University. Moreover, it will help the higher authorities of SIU in framing policy and making decisions pertaining to research.

2. Objectives

- a) To create awareness among the faculty, researchers, scholars, and students of SIU on different types of Bibliometric measures and their applications.
- b) To emphasize the need for Bibliometric analysis as a driver for individual and institutional academic growth.

3. SIU Policy

I. Creating Online Research Profiles

- a) SCRI, a support department of SIU, conducts periodical Bibliometric analysis at various levels (University, Faculty, Institute, Individual faculty member/researcher, etc.) to investigate the research output of SIU, both in terms of quality and quantity.
- b) It shall be obligatory for all the faculty members/researchers of SIU to open their personal online profiles/pages as shown in Table 1 below. All the mentioned online profiles are free of cost. Opening such personal research profiles by each faculty member/researcher will not only help the researcher himself/herself, but will also help SCRI to track the publications, citations, h-index and other related metrics about research. Moreover, it will

give each individual faculty member/researcher and SIU the requisite academic visibility and recognition across the world.

- c) All faculty members/researchers should make all their research profiles 'public' and shall submit their personal profile's URL links to SCRI (Head – Research Publications) for Bibliometric analysis. The affiliation in the profiles shall be Symbiosis International (Deemed University), Pune, for connecting with the profile of the University.

Table 1: List of personal research profiles, its importance and use

List of various personal research profiles (Link)	Importance and use
Google Scholar Citations (https://scholar.google.com/intl/en/scholar/citations.html)	It is a Google Scholar product and takes care of capturing publications and citations from a large number of sources. It is largely used as a primary indicator of research performance. One can get connected to research and researchers across the world using this tool.
Mendeley (https://www.mendeley.com/?interaction_required=true)	Mendeley is a desktop and web program produced by Elsevier for managing and sharing research papers. It tracks the publications listed in Scopus along with Scopus citations and h-index.
ORCID iD (https://orcid.org/)	The ORCID iD (Open Researcher and Contributor ID) is a non-proprietary alphanumeric code to uniquely identify scientific and other academic authors and contributors.
ResearcherID (https://www.researcherid.com/#rid-for-researchers)	ResearcherID, an initiative of Clarivate Analytics (Web of Science or WoS), in which, the researchers can register and receive a unique identification number (ResearcherID). It tracks the publications listed in WoS along with WoS citations and h-index.
Social Science Research Network (SSRN) (https://www.ssrn.com/index.cfm/en/)	SSRN is an open-access online pre-print community providing valuable services to leading academic schools and government institutions. Specializing primarily in social sciences, including economics, law, corporate governance, and humanities, SSRN is branching out into other science disciplines as well, providing opportunities for scholars to post their early research, collaborate on theories and discoveries and get credit for their ideas before peer-reviewed publication.
Research Gate (https://www.researchgate.net/)	Research Gate is a social networking site for scientists and researchers to share papers, ask and answer questions, and find collaborators.
VIDWAN (https://vidwan.inflibnet.ac.in/)	It is a product of INFLIBNET, Govt. of India. VIDWAN is the premier database of profiles of scientists/researchers and other faculty members working at leading academic institutions and other R&D organizations involved in teaching and research in India. It provides important information about expert's background, contact address, experience, scholarly publications, skills and accomplishments, researcher identity, etc.

- d) Similarly, with reference to point 3.I.b as mentioned earlier, each SIU constituent should regularly update the publications on their existing/newly created profiles such as Google Scholar, Mendeley and ResearcherID. This will help SCRI to track the citations, h-index and i-10 index of the institute.

II. Research Publications

- a) Faculty members can refer to Annexure-1 to know about – (i) what shall or shall not be considered as a research publication (**Refer Annexure-1, Part-1**), (ii) standard norms for writing affiliation (**Refer Annexure-1, Part-2**), and (iii) deposition of SIU affiliated publications in FMS (Faculty Management System) for archiving/repository (**Refer Annexure-1, Part-3**).
- b) All the faculty members, researchers and students of the University shall note that SCRI has prepared a comprehensive list of scholarly journals called as “SIU White Journal List” for the ready reference of all. Faculty members/researchers/students can refer to the SIU White List of Journals (available with SCRI) in which they can find reputable journals of their areas of expertise for publishing their research work
- c) All the journal lists world over are dynamic in nature, and therefore, it is necessary for the faculty members/researchers/students to ensure before communicating/publishing that the journal is indexed in Scopus/Web of Science through their respective databases subscribed by SIU. All faculty members/researchers have access to it.
- d) It shall be mandatory for all the SIU faculty members, researchers and students to publish their research findings only in scholarly journals listed in SIU White List. The said list consist of journals that are indexed/abstracted in Scopus, Web of Science/ISI Thomson Reuters, SCI, SSCI, AHCI (including extended versions), ABDC, ABS and FT50.
- e) The University faculty members, researchers and students shall “strictly avoid” publishing in journals that are paid in nature and asks for publishing or processing fees. Majority of these journals are sub-standard in nature, meaning, they have fake editorial board, accepts paper in few days and publish them, provides fake impact factor and indexing, no peer review being carried out, monetarily charges for publishing, etc.
- f) Papers published in paid/sub-standard journals will not be accepted by the University for Performance Appraisal and Review (PAR).
- g) All the faculty members and researchers shall note that there are certain high quality paid journals (such as Nature Communications, Scientific Reports, etc.) in certain disciplines which are considered by the University only for PAR.
- h) SCRI has made every effort to include all the quality journals in the SIU White Journal List from almost all the subjects areas in which SIU researchers are doing research. However, by some means, if any good quality journal not existing in the list which is of researcher’s interest, then the said researcher shall intimate to SCRI about the journal. SCRI will validate the journal and accordingly include/not include in the SIU White Journal List.

Bibliometrics measures used by the University and their definition

The University uses the following bibliometric measures to assess the research output, both in terms of quality and quantity, at various levels:

- a) "Citation" means a 'reference' to a published/unpublished source (not always the original source). A citation is embedded in the body of an intellectual work. It also denotes an entry in the bibliographic/references section for the purpose of acknowledging the contribution by others. 'Number of citations' indicates the relevance and importance of the published work in the respective field.
- b) "CiteScore" means a numeric value based on the average citations received per document. It is the number of citations received by a journal in one year to documents published in the three previous years, divided by the number of documents indexed in Scopus published in those same three years. CiteScore is computed only by Scopus and no other agency. For calculation of CiteScore, journals listed in Scopus are only taken into consideration. CiteScore signifies the relative importance of a journal.

$$\text{CiteScore} = \frac{\text{(Citation count in 2018 for last 3 year publications)}}{\text{(Publications2017 + Publications2016 + Publications2015)}}$$

- c) "g-index (Egghe Index)" is calculated based on the distribution of citations received by a given researcher's publications, such that 'given a set of articles ranked in decreasing order of the number of citations that they received, the g-index is the unique largest number such that the top 'g' articles received together at least g² citations'. To put it simply, it is the square root of the total number of citations obtained for 'g' number of publications. It should be noted that g-index is always greater than h-index (g-index > h-index), but h-index is more valued than g-index.

A g-index of 10 means that an academic has published at least 10 articles that combined have received at least 100 citations. However, unlike the h-index, these citations could be generated by only a small number of articles. For instance Researcher B (See Table 2 given in the section of h-index) with 10 papers, 6 of which have no citations with the remaining 4 having respectively 270, 40, 9 and 3 citations would have a g-index of 17, but a h-index of 3 (three papers with at least 3 citations each).

G-index provides the focussed snapshot of a researcher's performance. It compares the researchers of more or less having similar career length working in the similar field/department.

- d) "h-index (Hirsch Index)" is a numerical value for measuring both the productivity and citation impact of the publications of a scientist/scholar. A scientist/scholar with an index of 'h' has published 'h' papers each, which has been cited in other papers at least 'h' times.

Table 2 below gives an example of three contemporary researchers working in the same field, and each having 10 publications. Depending upon the citations obtained by these 10 publications, they are to be arranged in descending order as shown in Table 2.

An h-index of 8 means that an academic has published at least 8 papers that have received at least 8 or more citations each. The h-index thus combines an assessment of

both quantity (number of papers) and an approximation of quality (impact, or citations to these papers).

H-index rewards consistent stream of high impact publications. An academic cannot have a high h-index without publishing a substantial number of papers. However, this is not enough. These papers need to be cited in order to count for the h-index. Hence the h-index favours academics that publish a continuous stream of papers with lasting and above-average impact.

H-index, similar to g-index, also provides the focussed snapshot of a researcher's performance. It compares the researchers of more or less having similar career length working in the similar field/department.

Table 2: A comparative h-index, g-index and i10-index of three contemporary researchers A, B and C working in the same field and each having 10 publications

Publication No.	Researcher A	Researcher B	Researcher C
1	52	270	23
2	28	40	14
3	22	9	10
4	19	3	10
5	14	0	8
6	11	0	5
7	8	0	3
8	8	0	3
9	2	0	2
10	0	0	1
Total Citations Obtained	164	322	79
h-index	8	3	5
g-index	12	17	8
i-10 index	6	2	4

(Note: Based on the citations obtained, all 10 publications of each researcher have been arranged in descending order)

- e) "i-10 index" means the scientists/scholars number of research papers having minimum ten or more citations each. It is used to measure the productivity of a researcher.
- f) "Impact Factor (IF)" is numeric value and calculated yearly for the journals listed in Journal Citation Reports (JCR), which is an integrated part of Web of Science-core collections. In any given year, the impact factor of a journal is the number of citations, received in that year, of articles published in that journal during the two/three/five preceding years, divided by the total number of articles published in that journal during the two/three/five preceding years. IF signifies the relative importance of a journal.

$$\text{Impact Factor 2018} = \frac{(\text{Citations}_{2017} + \text{Citations}_{2016})}{(\text{Publications}_{2017} + \text{Publications}_{2016})}$$

- g) "Journal Citation Reports (JCR)" is a product of ISI Web of Knowledge/Thomson Reuters and is an authoritative resource for impact factor data. This database provides impact factors and rankings of many journals in the social and life sciences based on millions of citations. It offers numerous sorting options including impact factor, total

cites, total articles, and immediacy index. In addition, JCR provides a five-year impact factor and visualized trend data.

- h) “Margalef Index” Widely used in the field of environmental sciences, Margalef Index has been adapted to produce a score that gives an indication of the diversity of a University or institution’s research collaborations with other Universities or institutions in different locations of the world. This indicator assesses the degree of international openness in terms of research collaboration for each evaluated institution.

$$d = \frac{(S - 1)}{\ln N}$$

Where, d is the Margalef index; S is number of collaborations; N is total number of publications (in Scopus/Web of Science) resulting from collaborations.

- i) “Publication Count” means the total count of published items in scholarly journals, books, book chapters, conference proceedings and case studies. It could be used to measure/assess the research output at various levels such as individual, institution, discipline, university, etc.
- j) “Publications-to-faculty ratio (P/F ratio per year)” means the total number of research papers published in a calendar year divided by the total number of regular faculty members/researchers working in the Institute/University. This measure is computed at various levels such as at Institute, Faculty and University.

$$\text{Publication-to-faculty ratio} = \frac{\text{No. of publications in a particular calendar year}}{\text{No. of regular faculty members in a Inst./Univ.}}$$

- k) “SCImago Journal Ranking (SJR)” It is a measure of scientific influence of scholarly journals that accounts for both the number of citations received by a journal and the importance or prestige of the journals where such citations come from.
- l) “Source Normalized Impact per Paper (SNIP)” It measures contextual or relative citation impact by weighting citations based on the total number of citations in a subject field. The impact of a single citation is given higher value in subject areas where citations are less likely, and vice versa. SNIP is computed by Scopus.

A value of 1.00 indicates that the work performs at the expected global average. A value >1.00 indicates that the publication exceeds the world average.



Part-1

What shall or shall not be considered as a research publication?

The University “**shall consider**” the following as true research publication:

- Full length research papers published in peer reviewed research journal having ISSN and indexed/abstracted in Scopus, Web of Science/ISI Thomson Reuters, SCI, SSCI, AHCI (also includes extended versions), ABDC, ABS and FT50.
- Authored/edited books and book chapters published (having ISBN) by renowned publishers like Elsevier, Springer, Oxford, Cambridge, Sage, Taylor Francis, Emerald, Edward Elgar, etc.
- Full length papers published in Conference Proceedings/special issue of journal such as Procedia/IEEE Transactions & Proceedings/book chapters edited by conference organisers (having ISSN or ISBN strictly)
- Case study published in authentic agencies such as Harvard, Sage, Emerald, Case Centre/ECCH, Ivy, etc.
- Articles published in world renowned magazines such as Harvard Business Review (HBR), Economic and Political Weekly (EPW), etc. are acceptable since they have attained high quality standards.
- Faculty members can refer to the SIU White List of Journals (available with SCRI) in which they can find reputable journals of their areas of expertise for publishing their research work.

The University “**shall not**” consider the following as a research paper:

- Papers presented (and not published) in oral or poster session in any national/international conference/workshops.
- Abstracts or extended abstracts published in conference proceedings (with or without ISSN/ISBN).
- Full length papers published in conference proceedings or e-proceedings (not having ISSN or ISBN).
- White/working/discussion papers/articles uploaded on SSRN (Social Science Research Network) and other popular research networks.
- Any popular articles or poetry published in any local, regional, national or international newspapers/magazines/blogs, etc. with or without ISSN/ISBN.
- Book reviews published in journals (with or without ISSN/ISBN).
- Research papers published in Souvenir or any journals not having ISSN/ISBN.



Part-2

Standard Norms for Writing Affiliation

To identify, retrieve and validate the research publications of SIU faculty without any hassles from different databases and search engines, it is essential for the faculty to maintain certain uniformity about their name(s) in publications. As being from the Symbiosis International (Deemed University) and in order to ensure full credit is given to Bibliometric searches carried out for the any Government (UGC, MHRD, etc.) requirements for the assessment of research or any other purposes. It is, therefore, proposed that all faculty/researchers of SIU should maintain absolute uniformity in mentioning their name and affiliation/address (as depicted below in this Part-2) before submitting any research document for publishing or for conferences. If publishers place constraints on the amount of space given for addresses, then in such cases the phrase "Symbiosis International (Deemed University)" must only be used.

- a) Affiliation means the full name of the constituent institute (with acronym in parentheses) followed by full name of the University (with acronym in parentheses), area, and name of the city, state and country.
- b) Each SIU researcher should identify, standardize and freeze upon their "name" appropriately as per his/her discretion to publish the research manuscript in various publishing documents. For example, if the researchers name is Dr. Amit Govind Desai – then the researcher can freeze upon either - Amit Govind Desai or Amit G. Desai or A.G. Desai or Amit Desai or A. Desai (It is advisable to use researcher's 'first name' and 'last name' for all publications i.e. Amit Desai). This will help the researcher to maintain the uniformity of his/her name throughout his/her research career. It will also help the SIU or any other agency to trace and identify the researcher's publications when searched through different databases and search engines available worldwide.
- c) The researcher should not use any title (Mr., Mrs., Ms., Dr., Prof., etc.) in the prefix of their name; nor the researcher should include his designation (like Director, Assistant Professor, Associate Professor, Professor, PhD Research Scholar, Head of the Department, etc.), while writing the affiliation against his/her name. Title and designation are only mentioned at the bottom (in corresponding author details) of first page just to inform the editor of the journal that who is actually corresponding the research manuscript. However, this title and designation does not appear on any published document.
- d) In case of multiple authors, it is mandatory to mark the corresponding author name with asterisk (*) in superscript.
- e) In case of multiple authors from different institutions, it is mandatory to provide the numerical/alphabet (1, 2, 3, so on... or a, b, c, so on.) in superscript against the name and respective researchers affiliation.
- f) The Faculty/researcher, from day one of joining SIU, should cease to use his/her former place of study or work as an affiliation for any type of research communication and publications. However, the faculty may give due credit to their previous organisation by mentioning their affiliation along with SIU affiliation, only if, the faculty has done full work or part of it in his earlier organisation. Due credit can also be given in acknowledgements.

- g) It is mandatory for all the researchers to write and maintain uniformity of their current affiliations (refer to various templates given below) for all type of research documents before it is communicated to any of the above mentioned publication document.
- h) While writing the full affiliation in a research document, it is mandatory to follow the following sequence (in chronological order) by each researcher:
- Full name of department or division (optional)
 - Full name of the constituent institute with acronym in curved brackets (mandatory)
 - Full name of the University with acronym in curved brackets (mandatory)
 - Name of the area where the institute is located (mandatory)
 - Name of the city (mandatory) with pin code (optional)
 - State name (optional)
 - Country name (mandatory)
 - Email id of only corresponding author (mandatory)
- i) It is mandatory for the full time Ph.D. students of SIU to mention their affiliation with SIU. Part time Ph.D. students of SIU working in other organizations need to mention both the affiliation, that is, Ph.D. student of SIU and the organization in which they are working. In case, if the Ph.D. guide of research scholar is from the university/institute other than SIU then in such case his/her university/institute's affiliation will also appear on the research manuscript.



Institute/Centre wise Affiliation template to be used by all the researchers for all type of research communication & publication

(Note: Simply copy the affiliation of your respective institute and paste it on your research manuscript before communicating; Asterik (*) indicates the Email id of corresponding author)

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Writing Affiliation in case of Multiple Authors (few examples)

Example 1: (when one or more than one authors are from one institute)

Title of the research paper.....

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Example 2: (when two or more authors from different institute/department of same University)

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Research Scholars Working with CRCs

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Example: (If the PhD research guide of research scholar is from SIU and PhD Scholar is from one of the approved centres, let's say Serum Institute of India)

Name of the PhD research scholar¹ and PhD research guide^{2*}

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MSL



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Example of the 'first page' of research manuscript

(Note: Your second page of manuscript will only give "full title" of your paper and the "abstract"; while the third page of manuscript will continue with introduction and then followed by other headings)

Title of the research paper.....

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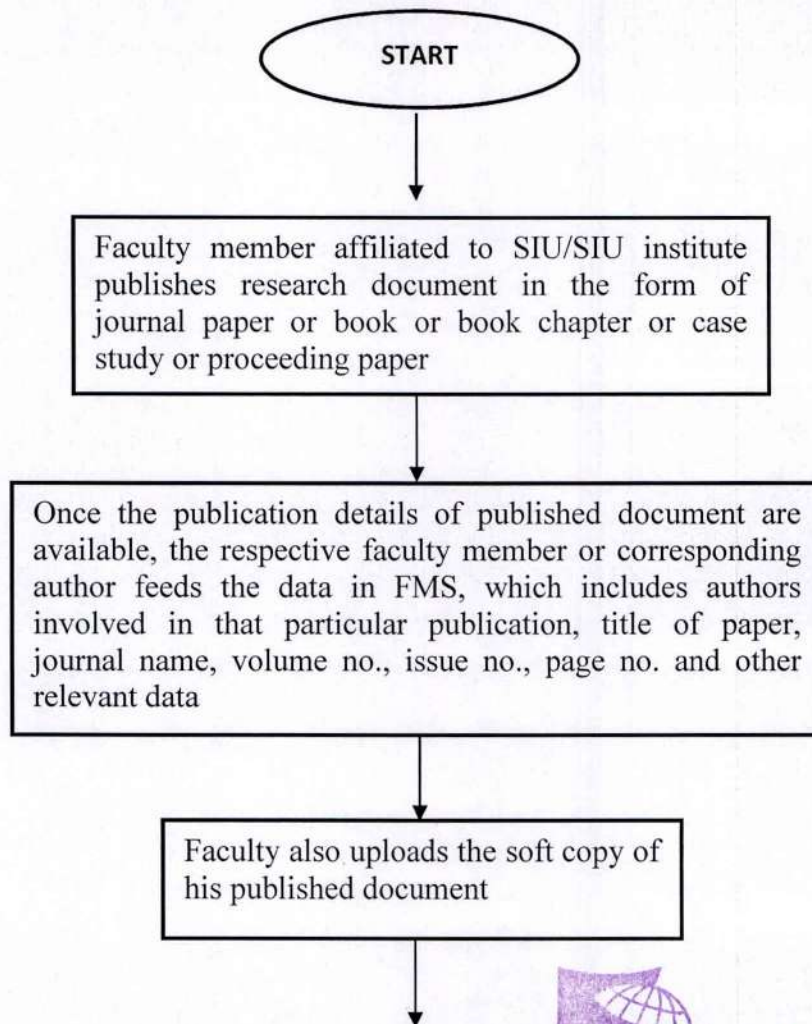
Part - 3

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- c) The credentials for accessing SIU's FIS are provided by respective institute.
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