

## **INTEGRAL UNIVERSITY, LUCKNOW**

### **Research Promotion Policy**

#### **1. Background:**

Quality research is one of the key drivers for achieving socio-economic transformation, reaping demographic dividends and to foster global knowledge society. Research is the foundation of knowledge that brings new energy, help build state of the art facilities, enhances research publications, and develop collaborations and linkages with industry for realizing the common objectives. Research and developmental activities create and disseminate new knowledge in a wide range of fields, promotes innovation, which eventually accentuate the learning-teaching ecosystem in academic institution. Thus, Integral University also focuses on fostering a scientific outlook, critical thinking, analytical approach and reasoning apart from developing specialized subject knowledge. Considering the science, technology and innovation as core activities at Integral University, this Research Policy has been developed.

#### **2. Purpose**

The purpose of the Research Policy is to create a clean and vibrant ecosystem for research and environment of free enquiry among faculty and researchers in the Integral University, Lucknow. The policy shall serve as an inclusive framework developed in consonance with the University Act, Statutes, Ordinances and Regulations within which the research activities shall be carried out.

#### **3. Scope**

This policy shall be implemented in all Faculties, Centers and constituent Colleges and will serve as broad guideline for all in-house and collaborative research programmes and activities.

#### **4. Objectives**

- a. To create an enabling environment within Integral University in order to foster a research culture as well as provide required support through research framework and guidelines.
- b. To captivate the research attention towards priority of national/regional/local interest.

- c. To ensure high level of efficient and effective support system to facilitate faculty and researchers in their research activities.
- d. To ensure accuracy, precision, authenticity, validity, reliability and confidentiality of research data and record.
- e. To ensure publications in quality journals, indexed in Scopus/Web of Science and/or with impact factor.
- f. To nurture an environment for undertaking socially useful research with potential for commercialization.
- g. To establish Research Centers with potential for Excellence.
- h. To forge interdisciplinary collaborations and partnerships nationally and globally.

## **5. General Guidelines**

- a. All eligible (Non-Ph.D) faculty shall register for doctoral program either internally or in other reputed Universities/Institutions as part-time teacher candidate under Quality Improvement Programme (QIP). Ph.D program for students shall be regulated as per Integral University Admission policy and Ph.D ordinances.
- b. Faculty of each Department shall conduct research in focused/thrust areas of research identified by State/Central funding agencies in addition to research areas/aspects. of local importance. They should also be encouraged to identify inter-disciplinary research in their chosen fields of specialization or research area.
- c. Faculty research is expected to lead to quality publications, presentations in National/International conferences of repute, generation of Intellectual property with potential for commercialization, socially useful outcome and other similar research activities.
- d. Faculty publication are expected preferably in Web of Science or SCOPUS or indexed peer-reviewed UGC-CARE journals.
- e. Research output shall be considered one of the criteria for faculty recruitment and promotion along with other academic responsibilities.
- f. The University shall recruit such faculty members and researchers who have demonstrable/demonstrated capability in research. Faculty promotion shall significantly depend on research undertaken by them. The quality of research output, especially research publications, may be assessed on the established yardsticks such as Impact Factor (IF), Citations and h-index, extra-mural projects, Patents, National and International collaboration, which will be revised from time-to-time as appropriate in accordance with research exigencies.
- g. The University endorses admission of Post-doctoral fellows in focused areas of research.
- h. Faculty with Ph.D degree shall apply for at least one extra-mural/government funded project.
- i. The University shall provide the basic infrastructure required to conduct research.

- j. All eligible Departments shall strive for recognition by National/International agencies through schemes/funding such as DST-FIST, SAP, CAS etc.
- k. The faculty of all the Departments of the University shall tie-up with industries and corporate bodies to undertake sponsored research in emerging areas and those relevant to industry.
- l. All innovative and product-oriented research projects shall be extended support by University for filing patents on successful completion, suitable recognition and financial support/appreciation shall be given to those faculty with patents.
- m. All research conducted shall be governed by IPR policy.
- n. The faculty and research students/fellows/associates should strictly adhere to ethical practices. This applies to all activities including, Experimental design, data recording and analysis, funding, publishing results, acknowledgement of contribution of research partners, scholars, collaborators and funding agencies, etc.
- o. The faculty and researchers must refrain from plagiarism, deception or the fabrication and/or falsification of data or any other research misconduct.
- p. The faculty and researchers should report cases of suspected misconduct in a responsible and appropriate manner for investigation of allegations of research misconduct.
- q. The faculty and researchers should identify, declare and rectify well in time, any real or potential conflict of interest whether legal, ethical, moral, financial, personal or of any other nature.
- r. Eminent and enterprising professionals from the industry shall be invited to take up joint resource projects with the University faculty.
- s. The faculty are encouraged to select society specific problems and conduct research and provide feasible solutions. Such research topics could include problems related to environment and climate change, chronic diseases and health care, women and child welfare and protection, etc.,
- t. The faculty shall adopt villages in the neighborhood, investigate the problems, find solutions and implement the same using technology expertise.
- u. Faculty and Students shall be encouraged to participate in the extension and outreach programmes organized by the University.
- v. The faculty shall act as resource persons in workshops and conferences conducted outside Integral University premises and also to train school/colleges teachers/NGOs/government employees/industry personnel's.
- w. The University shall sign MoUs with Research Institutions for sharing research facilities and to work in other educational institutions as part of faculty exchange programme.

## 6. Guidelines for Extra-mural Research Projects

- a. All research will be carried out according to the guidelines of respective funding agency and/or the principles and policies laid out by Integral University
- b. Primary responsibility for research data and account management during any research project or programme lies with the Principal Investigator (PI).
- c. The PI will be responsible for clarifying responsibilities where data ownership may be ambiguous (in case of a multi-institutional project). If a PI leaves Integral University, the concerned Co-Investigator or if no Co-investigator or Co-investigator is from other University/Institute, the concerned Head of Department should ensure that appropriate provisions are made for project completion/surrender/refund of balance funds/Utilization certificates/expenditure statement, inventory of all major or minor equipments/furniture, etc. project progress report, data access and project staff.
- d. Every member of a research team should be familiar with the data requirements of the research funding agency/organization and of Integral University policy.
- e. The PI involved in a joint research project, including overseas, an agreement must be reached in writing with the collaborating organizations on issues pertaining to intellectual property, confidentiality and copyright, sharing commercial returns, responsibility for ethics and safety clearances, and reporting to appropriate agencies
- f. The research collaborators must identify a person to be involved in the management of research data, primary materials and other items to be retained at the end of the project.
- g. The PI shall follow established financial procedures of University for expenditure. The PI/Co-PI with overall responsibility for an individual research project should ensure that it runs within its allocated budget, and that no penalties are incurred by failure to meet the funder or sponsor's requirements.
- h. Each project shall have a data management plan that is produced at funding application stage or at the beginning of the project.
- i. All research data shall be stored in either electronic or paper form for a minimum of 08 years after the end of a project. The research data to be archived must be associated with metadata which meets minimum standards. The metadata should be sufficient to enable other researchers to understand how it was created or acquired.
- j. Research data may be submitted to national or international data services and repositories where available or as required by the funding agency or publishers and this will replace the need for local archiving;
- k. Exclusive rights to reuse or publish research data should not be handed over to commercial publishers or agents without retaining the rights to make the data access for re-use, unless this is a condition of the funding.

## 7. Research Guidance: Roles and Responsibilities

- a. The faculty and research staff should ensure that a research climate of mutual co-operation is created in which all members of a research team are encouraged to develop their skills and open exchange of ideas are fostered. Research good practice includes effective mentoring of young, motivated and inexperienced researchers for development of qualified and skilled human resources for Higher education, Research and Innovation.
- b. The supervision of research must be carried out as described in the University's Ordinances and Regulations.
- c. The research guide will supervise the research work at all stages including developing of hypothesis, protocol design, data recording, data analysis, preparation of manuscripts, reading drafts and commenting on these in detail both in writing and verbally and the presentation of research output.
- d. In case the record of supervision is poor or where his or her students have regularly failed to submit or complete dissertation/thesis, the University will consider barring the research guide from further supervision.
- e. Research students must provide their supervisors with all files of raw data, appropriately labelled, before submission of the thesis.

## 8. Ph.D. programme

The Degree of Doctor of Philosophy may be awarded in all such disciplines/programmes of the University as are recognized for the purpose as per Statutes, Ordinances and regulations governing Degree of Doctor of Philosophy in the Integral University.

### I. Research and Development Committee for each Department shall consist of the following:

- |    |                                                                                                |                    |
|----|------------------------------------------------------------------------------------------------|--------------------|
| a. | Dean, Doctoral Studies or Vice-Chancellor Designate                                            | (Chairperson)      |
| b. | Dean, Research & Development                                                                   | - Vice-Chairperson |
| c. | Dean, Faculty Concerned                                                                        | - Member Secretary |
| d. | Head of the Department                                                                         | - Convener         |
| e. | One Internal Expert from the University                                                        | - Member           |
|    | (To be nominated by the Vice Chancellor or his designate on the recommendation of Chairperson) |                    |
| f. | One External Expert of the field to be                                                         | - Member           |
|    | (To be nominated by the Vice Chancellor or his designate on the recommendation of Chairperson) |                    |
| g. | Supervisor(s)                                                                                  | - Member           |
| h. | Special invitee(s) by the Chairperson                                                          | - Member           |

The meetings of the Research Development Committee will be convened twice a year by the Head of the Departments and Chaired by the Dean, Doctoral Studies or Vice-Chancellor Designate (Chairperson). Majority of the members shall form the quorum.

- II. Examination Sub-Committee/Review Committee: All the details research work, reports of the examiners including the report on viva-voce exam shall be placed before the Examination Sub-Committee consisting of the following:
- a. Vice-Chancellor (Chairperson)
  - b. Registrar
  - c. Dean, Doctoral Studies
  - d. Dean, Research & Development
  - e. Dean, Faculty of Health & Medical Sciences
  - f. Dean, Faculty of Science
  - g. Dean, Faculty of Engineering
  - h. Dean, Faculty of Pharmacy
  - i. Dean, Humanities & Social Sciences
  - j. Dean, Faculty of Agricultural Science & Technology
  - k. Controller of Examination (Member Secretary)
  - l. Any other person whom the Vice-Chancellor may like to co-opt.

## 9. University Support for Promoting Research

- (i) **Provision for Seed grant** to young faculty for initiating research through in-house funded research projects  
**Seed Grant to New Faculty:** The University shall offer seed grant as a one-time grant on competitive basis to faculty members in the University. This is done to help initiate their research engagement through the establishment of requisite research facilities.
- (ii) **Publication Charges:** Financial Support will be provided towards publication charges of papers that are published in peer reviewed journals of high impact factors. Also, the publication charges of Books from Renowned Publishers: The faculty members who get acceptance for publication of their high quality work with prestigious publishers may be provided partial financial support for publication (quantum of minimum/maximum amount shall be approved by Vice Chancellor on case to case basis).
- (iii) **Dedicated bench/person in Finance section for Major and Minor Research Projects:** The University has allocated responsibility to distinct finance branches and dedicated staff for handling major research projects, minor research projects, university grants and other aspects related to research projects.

- (iv) **Awards, Fellowships and Recognitions**

***Excellence Awards for Faculty and students:***

University faculty and students shall be encouraged with Excellence Awards on the Foundation Day (3<sup>rd</sup> November) of the University every year for outstanding contribution in research and Innovation.

- (v) **University Research Fellowships:** The University shall award University Research Fellowship to all such candidates who secure top rank in each academic programme in the University PhD Entrance Examination every year.
- (vi) **Financial Assistance to participants in Conferences/Seminars/Symposia/Workshops:** The faculty will be provided financial support out of the allocated funds for attending Conferences, Seminars & Workshops in order to keep them updated with the innovations & development going on in the field of research & development.
- (vii) **Participation in Faculty Development Programme:** The faculty without Ph.D. degree will be motivated to register for Ph.D. programme either in-house or at some other prestigious institutes as part-time teacher candidate.
- (viii) **Promotion and Funding of Research Activities:**
  - a) Promotion of research, academic excellence and innovations will be the top priority of the university. The university will consider individual researchers and/or research groups for various incentives and recognition for publication of research papers, undertaking of research projects and initiating work of advance studies, leading to innovation in their respective fields.
  - b) The University may also fund the publication cost only if the publication has good impact factor, and the university is acknowledged properly and have prior permission. Fund will be granted only after publication of the paper and submission of transaction receipt for publication cost.
  - c) In order to encourage the best practices, innovation, research, and to promote healthy competition amongst the Faculty members and Students, the University will institute the following awards which will be conferred to the winners during Foundation Day Function of the University each year.
    - 1) **Outstanding Researcher of the Year Award (for Teachers):** (Arts/ Social Sciences/ Management (Award: Trophy, prize of Rs. One lakh as Research Grant & Citation).
    - 2) **Outstanding Researcher of the Year Award (for Teachers):** (Sciences/Biological Sciences/Engineering) (Award: Trophy, prize of Rs. Two lakh as Research Grant& Citation).
    - 3) **Best Innovation Award (for Teachers):** For developing innovative product/prototype and displayed by individual or group/consortium during the academic year (Award: Trophy and prize of Rs. Fifty Thousand as Research Grant).

- 4) **Budding Innovator Award (for University Students):** For developing any innovative product/ novel prototype/ path breaking research carried out by individual or group during academic year (Award: Trophy and Cash prize of Rs. Ten thousand).

For the awards listed above, the eligible participants are required to submit the biodata along with publications, articles, books etc. pertaining to the particular award for the last two academic sessions. The documents shall be thoroughly scrutinized by the Expert Committee constituted by Hon'ble Vice Chancellor of the University for making recommendation for awards.

- IX. **To create a road map for establishment of Centres of Excellence in defined research areas:** Efforts may be made for collaborative research with other institutes/agencies of national relevance to conduct research in strategic areas of national importance and ensure joint funding for cutting-edge research. Adequate space may also be provided to set up such centres and drive benefits from extramural support.
- X. **Expansion and Upgradation of Central Instrumentation Facilities/Departmental Central Research Facilities:** The centralized facility shall be accessible to all Departments and Centres. The existing facilities shall be enriched with sophisticated analytical and other advanced equipment's to be developed as State-of-the-art research facility to support cutting edge research in Science & technology.
- XI. **Promoting Effective Documentation of Research on the Departmental & University websites:** Data related to Projects, Progress reports, publication details to be uploaded and updated on quarterly basis.
- XII. **Access to Turnitin or other originality check software:** Faculty members to ensure that the articles being published are original and faculty and students are sensitized about it.
- XIII. **Establishment of IPR Cell:** To facilitate faculty and researchers of the University for patent filing and searches, GI registration, Copyrights, Industrial design, Electronic circuit copyrights, New drugs, New Plant Varieties NPVs, etc. Building up capacity of subject specific patent landscaping has been envisioned. The patent cell will assist the University to file patent applications in India/abroad and execute other documents; execute license, and material transfer agreements; enter into confidentiality and non-disclosure agreements. The nature of assistance in terms of logistics, financial and legal support is specified in the Integral University Intellectual Property Management policy guidelines.



10. **Academic Integrity and Prevention of Plagiarism:** Plagiarism is defined as an 'act of academic dishonesty and breach of ethics. It involves using someone else's work as one's own'. The University Grants Commission, Govt. of India, has set guidelines to ensure academic integrity and eliminate plagiarism from higher educational institutions in India as per the University Grants Commission (**Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018**. These apply to all Faculty, research students, and staff of Integral University.
  
11. **Publication and Intellectual Property Right (IPR) issues**
  - a. The University encourages its researchers to be as open as possible in discussing their work with other researchers and with the public, of course protecting their own research interests, and to seek protection for any intellectual property identified during the course of the research.
  - b. For published work, the University expects researchers to make available relevant data and materials to other researchers, on request, with ethics approvals and consents which cover the data and materials and any intellectual property rights.
  - c. Researchers must adhere to the requirements of research funders regarding the handling, preservation and deposit of research data.
  - d. Intellectual property includes patents, registered designs, copyright, design rights, creative work, including research and development.
  - e. According to Indian Patent act 1940, the intellectual property created during an employee's normal or specifically assigned activities belongs to the employer. Where work is being carried out under contract with an outside agency, specific provisions about IPR may apply.
  - f. The agreement of all co-authors/contributors must be sought as to the convention of authorship and the order of names to appear on publications resulting from work prior to any submission for publication.
  - g. The lead author on any paper must ensure that all co-authors are familiar with, and approve of, the contents of the paper and can identify their contributions prior to submission for peer review.
  - h. Anyone listed as an author on a paper should accept responsibility for ensuring that he/she is familiar with the contents of the paper and can identify his/her contribution to it.
  - i. The practice of honorary authorship is discouraged.
  - j. Legal framework/ Ethics/ Research involving human subjects and other experimental animals be strictly adhered to and in compliance with the statutory, ethical and contractual obligations. All research projects that involve

human or animal subjects, must secure the prior approval of the ethics committee.

**12. Conflicts of Interest**

Disclosure of any potential conflict of interest is essential for the responsible conduct of research.

- a. Researchers have an obligation to disclose any affiliation with, or financial involvement in, any organization or entity with a direct interest in the subject matter or materials of researchers.
- b. If a conflict of interest arises at the time of reporting or proposing research, and this conflict of interest has the potential to influence research and investigations, publication and grant applications, the researcher must disclose the details "in confidence" to the RDC/Dean, Research & Development who will examine whether a conflict of interest exists and, if so, what further action should be taken.
- c. In the case that a conflict of interest is identified will include consultation with the concerned PI/researcher and may also involve consultation with the funding agency or other parties to ensure that the conflict of interest does not compromise the research, or the University's interests.
- d. Under some circumstances, it may be necessary to reject or terminate a research project, or to disclose the conflict of interest to the editors of journals or the readers of published work arising from the research.

After considering the reports of the examiners, the Committee shall make such recommendation to the Executive Council as it deems proper.

**13. Custodian of Policy**

The implementation and updating of Research Policy shall be carried out by the office of the Dean, Research & Development of the University until regulations for custody and electronic archiving of all approved policy documents and amendments are framed and adopted.

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