# SHRI RAMSWAROOP MEMORIAL UNIVERSITY

Village – Hadauri, Post – Tindola, Lucknow-Deva Road,
Barabanki – 225003

# Policy

# for

# Research Promotion

# (w.e.f. session 2018-19)

| Ref. No: SRMU/RO/Policy/ Research/2018-19/01 Issue No. – 01 | Compiled By | Checked By | Approved By |
|---|---|---|---|
| | Deputy Registrar (Academics) | Director, Research & Consultancy | Vice Chancellor |
| Date of Issue: July 11, 2018 | | | |

1

# INDEX

| Ref. No: SRMU/RO/Policy/ Research/2018-19/ 01 Issue No. – 01 <br><br> Date of Issue: July 11, 2018 | Compiled By <br><br> Deputy Registrar (Academics) | Checked By <br><br> Director, Research & Consultancy | Approved By <br><br> Vice Chancellor |
|---|---|---|---|

**SHRI RAMSWAROOP**
MEMORIAL UNIVERSITY

**Policy for Research Promotion
(w.e.f. 2018-19)**

## 1. Introduction

Research is a core element of the higher education and its promotion reflects both in the Vision & Mission statements of the University. Research not only fulfills the basis of the fundamental concept of the 'University' i.e. to contribute for the economic and social development of the region and nation but also has role in determining the status and the quality of the University.

The objectives of the Research Policy of the University for establishing thriving research culture and environment in the University as follows:

a) Establishment of the Research Facilities

b) Resource Mobilization for Research

c) Compliance of Research Ethics

d) Dissemination of Research Work

e) Innovation Ecosystem

f) Academic, Research & Industrial Collaboration

g) Outreach programs for Society & Industry

h) Faculty recruitment, appraisal & training

i) Incentives & Awards for Research Achievement

To achieve the above mentioned objectives, Director, Research & Consultancy along with the University Research Board shall be responsible through various policies and plans.

## 2. University Research Promotion Fund (URPF)

A University Research Promotion Fund (URPF) shall be created to promote research environment in the University. The general principle governing the allocation of all Research funding in the University is that it is an investment intended to maximize the range of research outcomes that the University expects to result from faculty members and students research work. The fund shall be utilized for various research promotional activities and research scholarship on the recommendations of University Research Board (URB).

## 3. Constitution of University Research Board

The purpose of University Research Board shall be to enhance the long-term quality and quantity of research related activities by recognizing the key areas of research feasible with the available expertise in the University. The Board's scope encompasses faculty research, sponsored research, collaborative research and student research.

**3.1** The URB shall promote and support basic, innovative and applied research; inter-and multi-disciplinary research; as well as the production of scholarly and creative works. In compliance of the mission of the University, the Research Board shall also support the research specific to changing needs of the industry and society with interdisciplinary approach, and collaborations with the national and international centers of excellence.

**3.2** The URB shall recognize the crucial importance of freedom of thought and expression in the pursuit of research excellence and the innovation of knowledge.

| Ref. No: SRMU/RO/Policy/ Research/2018-19/01 Issue No. – 01 | Compiled By | Checked By | Approved By |
|---|---|---|---|
| | Deputy Registrar (Academics) | Director, Research & Consultancy | Vice Chancellor |
| Date of Issue: July 11, 2018 | | | |

**3.3** It shall serve as an advocate for observance to high standards of research ethics, integrity and conduct.

The broad objectives of the research board are as follows:

i.   To review and develop the University's Research Strategy, in accordance with the University Plan, for approval by Academic Council.

ii.  To advise University Executive Board on the allocation of resources to deliver the aims and objectives articulated with respect to the University's Strategic Plan.

iii. To monitor internal and external developments & trends, and take account of them in developing strategy and policies.

iv.  To oversee the development of policies necessary for the responsible conduct of research.

v.   To monitor the implementation of the strategy and to evaluate its impact.

vi.  To provide guidance to Ph.D. degree Program and ordinance related to it.

vii. To make reports to Academic Council on its activities and plans.

viii. To explore funding sources in India & abroad and create linkages as desirable.

ix.  Periodical Review the overall Research Profile of the University to identify the gaps areas and examine means of supporting research in deserving cases and emerging areas.

x.   To grant academic approval to National and International Conferences to be organized by the Institute/Faculty of the University.

xi.  To grant the approval for the financial support to the faculty members of the University for attending the National/International Conferences/ Workshop/ Symposia as per the University policy.

xii. To facilitate activities related to Intellectual Property Rights.

## 4. Composition of University Research Board (URB)

### Ex-Officio Member(s)

| | |
|---|---|
| Pro-Vice Chancellor (Research) | Chairman *(Ex-Officio)* |
| Director-Research & Consultancy | Member *(Ex-Officio)* |
| Chairperson- Collaboration Cell | Member *(Ex-Officio)* |
| Deputy Registrar (Research) | Member Secretary *(Ex-Officio)* |

*In the absence of Pro-Vice Chancellor, Vice Chancellor shall be the Chairman of the URB.*

### Co-opted Members

| | |
|---|---|
| Director(s) of Institute(s) | Co-opted Member(s) |

**Nominated Members:** *Academic and External Members*

### Academic Members

| | |
|---|---|
| 1 Faculty member *having excellent track record in research from each Institute/Faculty, nominated by the Vice Chancellor of the University for the period of 2 years.* | Member(s) |

| Ref. No: SRMU/RO/Policy/ Research/2018-19/o⌡ Issue No. – 01 | Compiled By | Checked By | Approved By |
|---|---|---|---|
| | *Rankishe* | | |
| | Deputy Registrar (Academics) | Director, Research & Consultancy | Vice Chancellor |
| Date of Issue:  July 11, 2018 | | | |

*External Members*

4 Professor/Associate Professor/ Senior Scientist
of reputed University/Institute/ Laboratory
*having excellent track record of research,*                    Member(s)
*nominated by the Vice Chancellor of the University*
*for the period of 2 years.*

**Quorum and Meeting**

- The minimum one third members are required for forming quorum.

- At least half of the committee members shall be present in case of voting.

- URB should meet at least twice in an academic year as well as whenever required.

- The minutes of all URB meetings shall be prepared by Member Secretary and put up to the next Academic Council by the Chairman for ratification.

## 5. Establishment of the Research Facilities

The University shall establish Research Centre(s) on the recommendation of URB to raise the Research profile of the University. The focus strengths of the Research Centre shall be in areas where there is a concentration of Research excellence and to maximize external Research funding. Research Centre(s) help position and promote the University's areas of Research excellence and build the University's Research reputation. They also serve as vehicles for engaging with other Research institutions and industry and facilitate interdisciplinary and multidisciplinary relationships.

## 6. Resource Mobilization for Research

To promote and excel research in the University, the URB shall recommend the allocation of research fund under following categories:

- "Seed Money" to Faculty member(s) for starting research work in the field of his/her specialization. The research work by faculty member(s) in such cases should lead to a project capable of getting funding from external funding agencies.

- For establishing centralized research facilities.

- To support faculty members/students for attending the Conference/Workshop.

- Allocation of funds for Research Scholarship for PG and Ph.D. students.

- To conduct International/National Conferences/Workshops.

The Director, R&C shall conduct seminar/workshop for the faculty members and research students for awareness to get research funding from external agencies. All applications for any external Research funding shall be submitted through the R&C Office.

## 7. Compliance of Research Ethics

University shall have Research Ethics Committee, which shall ensure the good research practices in the University. Research Ethics Policy of the University shall be developed by URB incorporating points such as:

*Basic research ethics* ensuring the academic honesty in the conduction and dissemination of the research work in the University by Faculty members and students.

| Ref. No: SRMU/RO/Policy/ Research/2018-19/ 01 Issue No. – 01 | Compiled By | Checked By | Approved By |
|---|---|---|---|
| | Deputy Registrar (Academics) | Director, Research & Consultancy | Vice Chancellor |
| Date of Issue: July 11, 2018 | | | |

5

**Compliance with Legislation, Guidelines and Codes** such as legislation for Copy Right, Intellectual Property Right, Human Rights, Animal Protection and Environmental Protection for research. In addition to legislation, the guidelines and codes issued by the governing agencies such as University Grants Commission (UGC), Indian Council of Medical Research shall also be complied by the University for Research Activities.

**Ethics for research involving Human Participation** in research fields of Social Sciences, Law, Media Studies, Management and Medical should comply with the codes and practices issued by Government of India.

**Ethics for research involving Animals** in the experimentation on animals should comply with the codes and practices issued by Government of India.

Research projects that involve human or animal subjects, including those undertaken as part of a teaching programme, must be approved in advance by the competent committee/authority.

In order to curb the menace of plagiarism, the University shall develop a policy on plagiarism as per the guidelines issued by UGC (Promotion of academic integrity and prevention of plagiarism in higher education institutions) regulations – 2017 issued on 1st September, 2017 and get it approved by the Academic Council for implementation in the University.

## 8. Dissemination of Research Work

Sharing outcome of the research work at right platforms is of prime importance as it maximizes transparency, accountability and scrutiny of research findings. The publishing research papers in good journals and presenting research work in good conferences increases the impact and visibility of research. It also provides credit to the researcher as well as increases the status of the University.

- The URB shall prepare the Intellectual Property Policy of the University as per the IPR-law of Govt. of India and get it approved by Academic Council. Faculty members and PG research students are required to comply with the University's Intellectual Property Policy.

- The faculty members shall be make aware about publishing in peer reviewed indexed journals in the list of UGC approved journals. If the faculty member/ research student does not have research funding then the expenditure towards the publication in journal (UGC approved only) shall be supported by URPF on the recommendations of URB.

- The faculty members shall be encouraged to present their research work in the conferences organized by premium HEIs/Laboratories/Research Centers/Societies. If the faculty member/ research student does not have research funding then the expenditure for presenting the research paper in conference shall be supported by URPF as per the University's HR policy for Faculty Development Program on the recommendations of URB.

## 9. Innovation Ecosystem

The innovative ecosystem in the University evolves by promoting and providing support to the Faculty members and students who come up with unique ideas which results in business propositions.

The URB shall make a proposal for governance and function of University's 'Incubation Center' to initiate & incubate innovative ideas and develop & commercialize the resulting product. The University's Incubation Center shall work with the mission of stimulating the establishment of technology & socio-economy based startup companies catering the growth of local industrial & agricultural products and providing solution to the socio-economic issues.

| Ref. No: SRMU/RO/Policy/ Research/2018-19/01 Issue No. – 01 | Compiled By | Checked By | Approved By |
|---|---|---|---|
| | Deputy Registrar (Academics) | Director, Research & Consultancy | Vice Chancellor |
| Date of Issue: July 11, 2018 | | | |

## 10. Academic, Research & Industrial Collaboration

A collaboration policy considering the academic, research and industrial collaboration to share the knowledge, practices, experimental facilities for the purpose of the growth of the University to create new knowledge and human resource shall be developed by Director-Research & Consultancy.

## 11. Outreach programs for Society & Industry

An 'Extension Policy' is required by the University for working in the local, regional, national and global societies and contributing positively to community life. Such policy shall be developed by Director-Research & Consultancy of the University.

## 12. Faculty recruitment, appraisal & training

### 12.1 Recruitment:

12.1.1 In the faculty recruitment process, the Research related Academic Progress Index (API) defined by UGC (guidelines for appointment of Faculty members) issued in May, 2016 shall be used by Faculty Recruitment Committee(s) in screening and appointment process of the Faculty members.

12.1.2 At the time of appointment, the research interest of the recruited faculty member along with a short proposal of research work he/she want to pursue in the University shall be submitted to Office of Director-R&C through HR-Office.

### 12.2 Appraisal:

12.2.1 Research is an integral part of the faculty member's duty in University therefore, API related to research work shall be considered for appraisal. The annual appraisal of the faculty members shall be based on total API score attained by faculty member in the assessment year. To motivate the faculty members for research work, URB shall frame a policy for API based performance dependent appraisal policy for faculty members.

12.2.2 The teaching load of faculty members with good research related API shall be relaxed so that they can devote more time for research.

### 12.3 Training:

12.3.1 Faculty members shall be duly supported by URPF on recommendation of URB for attending the summer schools organized by UGC, DST and premium organizations to enhance the research skills. Duty leave shall be provided to Faculty members as per the HR policy of the University.

12.3.2 It is expected from the faculty members, attending such workshop, summer school to give a seminar or conduct a workshop in the faculty for students and faculty members to transfer the knowledge and information gained in those workshops, summer school.

## 13. Incentives & Awards for Research Achievement

Incentive and awards are motivators. In order to promote research activities, the University shall reward the faculty members for their achievements in any field as mentioned below:

**13.1 Research Publications in UGC approved Journals:** A letter of appreciation along with a cash reward based on the indexing and SCI impact factor may be awarded to Faculty member publishing research paper from SRMU in UGC approved journal.

| Ref. No: SRMU/RO/Policy/ Research/2018-19/01 Issue No. – 01 <br><br> Date of Issue: July 11, 2018 | Compiled By <br><br> Deputy Registrar (Academics) | Checked By <br><br> Director, Research & Consultancy | Approved By <br><br> Vice Chancellor |
|---|---|---|---|

7

**13.2** **Research Project:** Faculty member who submitted/granted research project for funding by external funding agencies may be issued a letter of appreciation as well as teaching load may be adjusted to look after the research project. In case the awarded research project has overhead charges, a certain percentage of the overheads charges, as fixed by the University authorities, may be divided monthly for the period of the research project and credited to the faculty member with salary.

**13.3** **Organizing Conference:** If a faculty member succeeds in getting partial or full funding from government bodies/agency to organize conference/workshop, a letter of appreciation and an honorarium may be provided to the faculty member as fixed by the University authorities.

**13.4** **Consultancy:** If a faculty member gets a research consultancy, a letter of appreciation may be issued to faculty member. The additional duty leaves and profit sharing shall be done as per the consultancy policy of the University.

**13.5** **Patent:** If a patent is granted to a faculty member, a letter of appreciation along with a suitable cash reward as fixed by University authorities may be awarded to the faculty member.

**13.6** **Book Publication:** A letter of appreciation along with a cash award as fixed by the University authorities separately for 'book chapter' and 'book' published by reputed publisher may be awarded to the faculty member.

**13.7** **Citation:** The importance of research work reflects in the number of citations received by a research paper. A letter of appreciation along with a cash award fixed by University authorities on the basis of number of citations may be awarded to the faculty members.

**13.8** **Best Researcher Award:** The University shall establish a "Best Researcher Award", at the University/ Institute/Faculty/Department level and felicitate the faculty member(s) in every Academic Year for their research achievements in that academic year. The selection process shall be based on quantitative metrics and benchmark set by University authorities. A cash reward as fixed by University authorities and a Certificate/Trophy may be awarded to the winner of this award.

......................................................................................................
......................................................................

| Ref. No: SRMU/RO/Policy/ Research/2018-19/01 Issue No. – 01 | Compiled By | Checked By | Approved By |
|---|---|---|---|
| Date of Issue: July 11, 2018 | Deputy Registrar (Academics) | Director, Research & Consultancy | Vice Chancellor |

8