

# UNIVERSITY RESEARCH POLICY 2022

## 1. PREAMBLE

The ICFAI University Jaipur wishes to foster a culture that encourages research, consultancy, and development interventions that would lead to serving the community by the dissemination of knowledge through teaching and the discovery of knowledge through research. IUJ has a clear objective to become an emerging research-intensive university of India, based on the highest national and international standards, and to actively promote the important role of research in teaching with an assurance of the highest standards of scholarly practice, transparency, responsibility, and ethical conduct.

This policy delivers a set of guidelines for the conduct of research at all levels.

## 2. DEFINITIONS

In this document the following definitions shall apply,

- A. "University" means The ICFAI University Jaipur (IUJ);
- B. "Faculty Member" refers to a person who is teaching and/or guiding students enrolled at IUJ in any capacity whatsoever i.e. regular, ad-hoc, guest, temporary, visiting etc;
- C. "Staff" refers to all non-teaching staff working in IUJ in any capacity whatsoever i.e. regular, temporary, contractual, outsourced etc.;
- D. "Student" means a person duly admitted and pursuing a program of study including a research program in any mode of study (full time or part-time or distance mode);
- E. "Author" includes a student or a faculty or a researcher or staff of IUJ who claims to be the creator of the work under consideration;
- F. "CASR" shall mean the Committee for Advance Studies and Research (CASR);
- G. "Supervisor" shall mean a full-time regular member of the academic staff of the University approved by CASR to guide/ supervise the research/ academic work of the student/scholar.
- H. "Scholar" shall mean a person registered for the Ph.D. Degree and who has successfully completed the course requirement, the qualifying examination for continuation of PhD program and submitted an approved research plan.
- I. "Degree" means any such degree specified by the University Grants Commission, by notification in the Official Gazette, under section 22 of the University Grants Commission Act, 1956;

- J. "Information" includes data, message, text, images, sound, voice, codes, computer programs, software and databases or microfilm or computer-generated microfiche;
- K. "Research misconduct" is defined as fabrication (making up data or results, and recording or reporting them), falsification (manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented), or plagiarism (appropriation of another person's ideas, processes, results, or words without giving appropriate credit) in proposing, performing, or reviewing research, or in reporting research results.
- L. "Program" means a program of study leading to the award of an undergraduate, masters and research level degree conferred by IUJ;
- M. "Researcher" refers to a person conducting academic / scientific research in IUJ;
- N. "Principal Investigator (PI)" to a person who is the primary individual responsible for the preparation, conduct, and administration of a research grant, cooperative agreement, training or public service project, contract, or other sponsored project in compliance with applicable laws and regulations and institutional policy governing the conduct of sponsored research.
- O. "Script" includes research paper, thesis, dissertation, chapters in books, full-fledged books and any other similar work, submitted for assessment / opinion leading to the award of master and research level degrees or publication in print or electronic media by students or faculty or researcher or staff of IUJ; however, this shall exclude assignments / term papers / project reports / course work / essays and answer scripts etc.;
- P. "Year" means the academic session.
- Q. "Alumnus/Alumni" refers to a person/people who has/have graduated from IUJ.

### **3. SCOPE OF THE POLICY**

This document on IUJ Research Policy Guidelines will be applicable to all IUJ full-time, part-time scholars, staff, faculty members, and all contractual employees of the University who may be involved in any form of research and/or innovation activity

### **4. RATIONALE**

A. IUJ encourages its faculty members, and staff to serve these goals through their primary commitment to engaging themselves in teaching, research, including sponsored research,

innovations, and collegial support activities that are consonant with certain degrees of freedoms, obligations, and responsibilities.

- B. The IUJ policy makes sure that faculty members, staff, scholars and students are given the liberty to opt for their preferred area of research discipline. The area can be narrow, broad or interdisciplinary, depending on the researcher. If a researcher wishes to pursue interdisciplinary research, they are permitted to look for support from other schools at IUJ or outside to effectuate their research. The policy also provides them a freedom to establish their individual view, theories, elucidations, and findings in their research document where they reveal specific deductions. Though, the aforementioned deductions must be available for examination by internal and/or external individuals and agencies who will evaluate the work done, proposed research plan or patents.
- C. All research documents and publications should use the correct affiliation (“The ICFAI University Jaipur”) in the credit/address tag lines in the published versions as books, book chapters, technical reports, white papers, research papers, and articles.
- D. IUJ, as an academic institution with emphasis on research provides opportune environment to all candidates who wish to pursue research. The IUJ apportions requisite infrastructural facilities and other resources such as e library. Depending on the merits of both the candidate and the research proposal, IUJ also allocates seed funds. However, the University might not be able to support all research demands owing to infrastructural, funding and manpower limitations.
- E. The University discourages employing research technique or survey methods that are in violation of professional research ethics and conducts. This includes violation of animal rights, or inflicting injuries on any living organisms; also impacting the health, safety of humans or amounting to violation of human rights.
- F. The University strongly objects to hypothesizing or deliberating on any findings from its research on any social media platforms or other mass communication platforms, or indulging in personal comments or discussions pertaining to aforementioned findings; regarding offending the political, social or moral views. The IUJ research findings must neither be used to argue against any national policy of our country nor against any universally accepted international laws and provisions. It is the responsibility of the researcher to ensure that professional ethics, national security and national interest are not compromised owing to any aspect of the research e.g., sources of funding, probable applications of the findings, etc. It is also obligatory to guarantee that IUJ research platforms are not putting forth any argument contradicting universally commended research positions.

- G. In the unfortunate event wherein, any controversy arises owing to aforementioned issues, the decision of the ‘Committee for Advance Studies and Research (CASR)’ will be final and binding.
- H. If the requirement of proposed work involves use of or generation of hazardous material or waste; such research work will be undertaken only with the approval and overseeing by CASR, as per the government or governing bodies’ guidelines.
- I. The aforementioned principles are confined to any research conducted within the purview of IUJ.

## **5. RESEARCH OBJECTIVES**

Research is central to the mission of IUJ. The university always motivates its faculty members, staff, and students to perform leading-edge research in an eclectic assortment of critical disciplines. The research activities must comply with the University Research Policy.

The IUJ research objectives are to –

- A. Encourage research as an essential aspect of teaching and learning at the University;
- B. Conduct state-of the-art research;
- C. Create a conducive environment for promoting research culture;
- D. Encouraging faculties to write projects for obtaining external grants;
- E. Encourage faculties to maximize research outputs and provide continuous support for the same;
- F. Structure research agenda which is socially, morally acceptable and transparent;
- G. Assist and encourage collaborative research (both internal and external);
- H. Inculcate in post graduate and under graduate students research aptitude;
- I. Undertake quality research work in accordance with changing Indian scenario for societal benefit; also amalgamate the aforementioned not only into doctoral research but also in post –graduate and under graduate research activities;
- J. Patent and/or commercialize innovative products and processes developed by research conducted at IUJ for societal benefit;
- K. Formulate research processes in a transparent and easy-going manner; and
- L. Highlight research achievements and activities to improve the University rankings at National and International level.

## **6. RESEARCH AND DEVELOPMENT CELL (RDC)**

Research and Development Cell of the university is responsible for the promotion and development of research activities at IUJ, and is headed by Director (RDC)/Dean (Research)/Research Coordinator. The Cell provides administrative and managerial support for the operation of research programs, sponsored research, consultancy, and related activities of the university. The Cell facilitates

interaction with external agencies, both at national and international levels. The Cell acts as a liaison between the university and funding agency to undertake sponsored projects.

## **7. COMMITTEE FOR ADVANCE STUDIES AND RESEARCH**

Committee for Advance Studies and Research (CASR) which is the principal research body of the University shall frame the research policies and research programs. The CASR shall review as well as supervise the formulation and execution of research proposals by teachers and/or scholars associated with the University. The CASR shall seek the approval of the Academic Council in all matters. The CASR shall consist of the following members, namely: —

- (i) President as Chairman
- (ii) Pro- President
- (iii) Deans of Faculties
- (iv) Directors of institutes/schools
- (v) Two senior teachers nominated by the Chairman as members for the period prescribed in nomination;
- (vi) Controller of Examinations.
- (vii) Research Coordinator/Dean (Research) as Member Secretary.

### **A. Roles and Responsibilities of CASR**

The President shall preside over the meetings of the Committee for Advance Studies and Research. In the absence of the President, the Pro-President shall preside the meeting.

The CASR shall :-

- A. meet at least once in each Semester. It may lay down its own rules of procedure for its meetings, including rules for participation of special invitees without a right to vote.
- B. guide the strategic orientation required to advance research profile of the University.
- C. shall advise Schools, Departments and Centers to evolve their strategic research roadmap.
- D. shall regulate and oversee the formulation as well as conduction of all Post Graduate, Doctoral and Post-Doctoral instructions and all research programs of the University, in accordance with the directions of the Academic Council.
- E. shall consider and may approve recommendations of the Boards of Studies on all academic matters within the scope of Clause (D).
- F. shall formulate procedure for consideration and approval of proposals for registration for M Phil/Ph.D. and other doctoral degrees, and for all other matters concerning the supervision

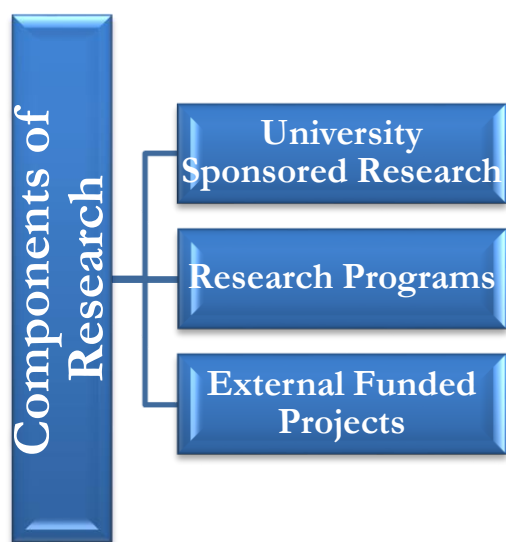
and evaluation of research Work(under such post-graduate and doctoral programs, and recommend them to the Academic Council.

- G. may empower Honorable President to act on recommendation made by examiners on PG. Dissertations and Ph.D. thesis, in accordance with the procedure laid down in this behalf by relevant Ordinances or Regulations made under these Statutes.
- H. may recommend to the Academic Council criteria for formulation and execution of research proposals by teachers and/or scholars attached to the University.
- I. shall submit its periodic reports to the Academic Council.

## 8. RESEARCH CATEGORIES

Research at IUJ is carried out under 3 different categories: (i) University Sponsored Research, (ii) Research Programs, and (iii) Externally Funded Projects.

Figure shows the components of R & D activities.



**University Sponsored Research:** University promotes the research at individual faculty level, group of faculty at the department or inter-department research. Every year University identifies, reviews research proposals and funds are sanctioned to carry out research at individual faculty level, school levels, product design and development groups (if any), etc. The details of these are provided in 15(A) funding head to promote research.

(ii) **Research Programs:** The University offer doctoral programs to foster the research. A separate regulation has been designed for the same.

(iii) **External Funded Projects:** The University has set rules to carry out external funded research and consultancy projects. The faculty as a Principal Investigator (PI) can write and get the external funded research and consultancy projects.

## **9. OVERVIEW: RIGHTS & RESPONSIBILITIES**

- A. Matters related to conflict of interest to be brought to the notice of CASR for immediate resolution.
- B. Individual Schools of IUJ may supplement this policy with policies applicable to their faculty and/or Investigators, because there could be differences in the minute details as per the areas of research. To ensure consistency with the IUJ policies, such Institute/School policies must be approved by the CASR.
- C. Faculties can also engage in external research consultancy, only with prior approval of CASR. Furthermore, credits for all such consultancy work are to be given in the name of IUJ. Publications if any from these consultancies must be affiliated to IUJ. Such consultancies will be carried out without any monetary support from IUJ.
- D. The faculty members and researchers will have the right to decide about publication of their individual or collaborative findings. External sponsors (if any) have to be given due credits.

## **10. RESPONSIBILITIES OF RESEARCHERS**

### **A. Responsibilities of Faculty Members to Both Staff and Students**

Faculty members must be aware of their obligations to staff and students working as part of the research team. It is particularly important that at least annually, each faculty member should review intellectual and tangible property rights and responsibilities (for management of data in all media, for proper authorship attribution, etc.), with all members of the group under his or her direction, including staff, students, doctoral, and visiting scholars.

To promote Academic transparency, each research staff has the right to know about the research sponsoring agency, their methodologies, and the salary or stipend status. Moreover, faculty members are motivated to support research staff for developing opportunities such as FDPs, workshops, special training courses etc.

### **B. Health and Safety**

Each faculty member is responsible for advising and helping members of his or her team in appropriate health, insurance and safety procedures that must be taken to work in a particular area of

research, and for management of those procedures in his or her office or laboratory, studio or other workplaces.

PIs are directly responsible to ensure the periodic inspection of lab facilities, take corrective measures – if required, and to cooperate in any inspections by safety personnel or by external agencies. Faculty members also need to ensure that approved research protocols for the use of human and animal subjects in research are obtained and followed. The policy further recommends that anything which compromises the safety of lab personnel, laboratory subjects, employees, students, the general public, and the environment must be avoided. This also applies to use of potentially hazardous chemicals and radio-active systems in the laboratory.

### **C. Consulting by External Academic Staff – Research Personnel**

The members of the academic staff or research personnel may be allowed to engage in outside consulting activities under conditions outlined in the Clauses under Conflict of Commitment and Interest for Academic Staff and Other Teaching Staff.

### **D. PI's Responsibilities to Sponsors**

Although the legal agreement towards funding a sponsored project is between the sponsor or sponsoring/funding agency and the IUJ, the overall responsibility for management of a particular project within funding limitations rests with the PI. Funds must be spent judiciously to remain within the restrictions of the contract or grant.

If any overdraft should occur, or change of head is needed, it is the responsibility of the PI to get it approved both by within the administration and also by the sponsoring agencies.

### **E. PI's Responsibility for Research Equipment**

The control, upkeep and record-keeping of both IUJ-funded and Government-owned equipment is mandatory under the university rules as well as under the externally funded contracts and grants. PIs are responsible for securing necessary approvals for the purchase of the equipment, proper tagging, and maintaining inventory, utilization of equipment and peripherals, and disposal once the equipment becomes either obsolete or dysfunctional and irreparable or is in excess. The Director, Administration may be contacted to seek advice on how to follow these steps.

### **F. Preparation of Proposals and Application for Extensions or Continuation**

The cost of proposal preparation activities in support of new directions in research or for continuation of the projects could be charged to existing or sponsored projects. Department Heads or School Directors and Faculty Deans must ensure that some research related funds could be made available to create new proposals. It could perhaps come from the earlier project overheads deducted by the



University. The cost of proposal preparation efforts for continuing research is appropriately charged to current projects.

### **G. Utilization Certificates (UCs) and Statement of Salaries under Projects**

All funded projects and their costs or accounts must be reviewed and certified by the PI quarterly. It is also the responsibility of each departmental head or Deans of Schools/Institutes to see that a system is in place to ensure that the PIs fulfill this requirement for review and certification.

Further, certification of salaries charged to sponsored projects are also to be issued to the staff after ensuring that they correspond to efforts expended on those projects by them.

## **11. APPLICATION OF GENERAL PRINCIPLES & OTHER MATTERS**

### **A. Inception, Technical and Invention Reports**

Principal Investigators (PIs) are responsible for submitting sponsor-required reports through the Office of Research and Development Cell and Accounts Officer on a timely basis.

- i. Inception Report:** The report includes the duration, project's workplan, tentative budget, stakeholder assessment, human resource plan, communications plan, and all other essentials for the successful completion of the project.
- ii. Scientific Report:** The report defines the process, progress, or results of technical or scientific research, including recommendations and conclusions of the research project. PIs may be required to submit a Scientific Report from bi-annually/quarterly basis.
- iii. Invention Report:** The report includes the information about the project invention which, provides the assessment regarding the patentability and commercial potential. The PIs may submit and would form the basis of patent application.

The research staffs are expected to submit progress reports bi-annually to the PI anyway.

### **B. Confidentiality Clause**

A research project or program may, at times, need confidentiality for many reasons likewise national security, research ethics, governmental/funding body limits, or patent requirements, etc. Therefore, if such agency or any person associated with it –has made the availability of any confidential information in terms of data, private papers, documents, diaries or analogous materials, etc. to the investigator; provision may be made to preserve the confidentiality of the information for the purpose of protecting the privacy of the external agency/person. In such cases, it is advisable that before publishing the works either obtain an NOC or provide the source of information, the unpublished work for checking intentionally or unintentionally confidentiality breach, if any.

### **C. Patents and Copyrights**

All participating researchers, including faculty members, doctoral scholars, students, and visiting scholars, must sign the Patent and Copyright Agreement of the IUJ/ICFAI Group before the commencement of any research activities.

### **D. Review of General Policies**

CASR shall review the general policies on a yearly basis based on the experiences gained from the projects by the PIs and Program undertaken. The CASR shall recommend the revision in University Research Policy documents based on the same.

## **12. AUTHORSHIP & RELATED ISSUES**

- A. The decision regarding order of authorship lies with the supervisor or the PI for a project. It is realized that the customs prevailing in different fields may show differences in this respect. However, IUJ's research policy is intolerant towards Ghost and Gift authorships. In case of conflicts regarding authorship, it is to be brought to the notice of CASR. All supervisors and PIs must adhere to *University Policy of Academic Integrity and Prevention of Plagiarism*.
- B. For multi-investigator research teams the authorship is to be decided mutually and without conflicting interests, by the investigators themselves.
- C. Disputes and disagreements if arise between students (postdoctoral, graduate, and undergraduate) and their faculty over credit for work to which both may have contributed, the CASR could provide guidance.
- D. The supervisor or PI and the corresponding author (in case the supervisor or PI are not corresponding authors) will owe the responsibility regarding any unethical research behavior or research misconduct associated with any published or to be published work. In the unfortunate event wherein aforementioned is reported the decision of CASR will be final and binding.

## **13. RESEARCH MISCONDUCT**

- A. It is the duty of any researcher (faculty, student, staff) to ensure that none of them get involved in any research misconduct (Section 2 (K)). Cases pertaining to neglect of academic duties, or otherwise professional misconduct, citing research a cause and failure to supervise adequately would come under its purview.
- B. In case of any allegation or reporting, regarding actual or perceived misconduct a detailed inquiry is to be carried out first at university level. The preliminary inquiry will either be carried out by CASR or any sub-committee appointed by it.

- C. The person against whom the allegation is levied will cease to hold all official duties and posts with immediate effect. The office and laboratory of aforementioned person will be sealed till the preliminary inquiry report is declared.
- D. If the allegation is made against any member of CASR, the person with immediate effect will cease to hold the post of CASR member. The suspension will continue till the inquiry proves him not guilty of misconduct.
- E. In the unfortunate event that the allegation is proven or it is evidenced that misconduct was willful; detailed investigation would be conducted by committee formed by CASR or Honorable President.
- F. Final report is to be submitted within 10 working days from the date the matter was reported. The CASR in consultation with Honorable President would decide how and when the funding agencies should be involved. The funding agencies will be notified of the outcome of an inquiry involving funds from their agency only if that outcome includes the recommendation to conduct a full investigation. The funding agencies must be apprised of an interim report until the final report is ready.

#### **14. RETENTION OF AND ACCESS TO RESEARCH DATA**

- A. Researchers/PIs shall ensure that research data is aptly recorded and archived for a reasonable period of time (minimum of five years after the final thesis/project close-out). Although, it is advisable to retain the data for as long as may be necessary to protect any IP resulting from the work or to evade any possible allegations of research misconduct or conflict of interest. Data must be retained until such issues are fully resolved.
- B. For research involving undergraduate and postgraduate students, the data must be retained atleast for duration of three years from the award of degree.
- C. The CASR as it deems fit might ask the researcher/PI or any of his/her team members to bring forth for review any recorded data. It can also ask for original survey forms or survey poll wherever applicable.
- D. The availability of data shall also be ensured in case any other faculty member requires the published data for conducting his/her own research, with the due approval of CASR.
- E. It is further reiterated that the onus of maintenance of original research data lies primarily with researcher/PI and is the resource of IUJ, except where precluded by the specific terms of sponsorship, funding agencies or other agreements.

- F. Records of research conducted under the auspices of IUJ belong to this University. If the PI is no longer associated with IUJ before obtaining his No Objection Certificate/ Relieving Certificate, all scientific records or tangible research equipments must be submitted at the University.
- G. Further, when individuals involved in research projects at IUJ join other universities or institutions, they may be allowed by the PI concerned to take copies of research data for projects on which they have worked but not necessarily all data or associated records. All such requests have to be approved by the Honorable President.
- H. If a PI leaves IUJ, and a project is to be moved to another institution as per the agreement with the funding agency, ownership of the data may be transferred with the approval of the Honorable President, based on a written request from, and agreement with the PI's new institution that would guarantee acceptance of custody of the data so transferred, and grant access to other IUJ faculty in future to the same.

## 15. FUNDING

The funding for research including financial assistance is contained in a separate policy guideline.

## 16. INCENTIVE SCHEME FOR PUBLICATIONS

The incentive scheme to motivate the faculty members to generate intellectual capital and write papers in Journals of repute, both national and international is as follows:

CATEGORY	JOURNALS CATEGORY FOR FACULTIES OF MANAGEMENT, SCIENCE AND TECHNOLOGY AND LAW	INCENTIVE AMOUNT PER ARTICLE (RS.)
I.	A*/Q1 /Nature	40000
II.	A/B/C/Q2/Q3/Q4/ SCI/SCIE/ESCI/SSCI/Scopus/ Web of Science / Indian Bar Review, Journal of Indian Law Institute and AIR	20000
III.	UGC CARE listed International Journal (Not Listed in Group I & II)	10000
IV.	UGC CARE listed national Journal (Not Listed in Group I & II)	5000

### **Terms and conditions of the Research Incentive Scheme:**

1. The Scheme is applicable only to the faculty members of ICFAI University, Jaipur.
2. A faculty member who is the only author of the research paper will be given 100% of the incentive amount.
3. In case of co-authors in the research paper
  - i. When a faculty member is the 1<sup>st</sup> author he/she will be given 60% of the incentive amount.
  - ii. When a faculty member is the 2<sup>nd</sup> or subsequent co-author,  $(n-1)^{\text{th}}$  part of 40% of the incentive amount will be given (where  $n^{\text{th}}$  represents the total number of authors in the paper).
  - iii. The scheme will be operated prospectively.
  - iv. The incentive will be payable on half yearly review (September & March).
  - v. For this scheme to be eligible, the published paper should properly acknowledge the ICFAI University, Jaipur.

## **17. EMPLOYEE ENCOURAGEMENT SCHEME FOR JOINING UNIVERSITY RESEARCH PROGRAMS**

In accordance to the ICFAI Group notification no. ICFAI Group/08-18/001 dated 02.08.2018, any employee of the ICFAI Group can upgrade his/her Qualification by enrolling into the research programs of IUJ which are conducted on part-time basis. It is proposed to offer fee waiver in the program fee.

The details of the scheme are given below:

**Eligibility:** Employees who have completed a minimum of two years of service after confirmation in ICFAI Group are eligible to apply for waiver of program Fee for self, subject to the following terms and conditions:

- A. The employee must be undergoing the part-time program of IUJ.
- B. The employee will be required to carry on his/her assigned duties in the usual manner.
- C. The concessions will be in the form of waiver of a part/whole of program fee only and not any other fees like admission fee, examination fee and any other fee applicable.
- D. Waiver in program fee will be granted as shown below.

S.#	Period of service completed after confirmation	Waiver of Program Fee
1	More than two years	50%
2	More than five years	100%

- E. In case an employee completes the stipulated service any time the period of his/her part-time program, the program fee waiver will be applicable with retrospective effect i.e., from the date of admission into the program. The excess amount of program fee paid will be refunded.
- F. The employee will be required to pay back to the University the entire amount of program fee waived in case he/she leaves the services in the ICFAI Group on his/her own before the completion of the degree program or discontinues the program or does not complete the program within the stipulated duration of the program.
- G. All the employees of the ICFAI Group fulfilling the eligibility criteria and interested availing the facility are required to apply through proper Channel.

**18. INNOVATION ECOSYSTEM**

The IUJ Innovation and Entrepreneurship Cell (Formerly Institute Innovation Council) (IIEC) at The ICFAI University, Jaipur was established on January 8, 2020, to systematically foster the culture of Innovation amongst all students of the university. The primary mandate of IIEC is to encourage, inspire and nurture young students by supporting them to work with new ideas while they are in their formative years.

The IIEC is entrusted with the responsibility of undertaking activities and events that will encourage and enhance the innovation & entrepreneurial spirit amongst the students and faculty of ICFAI University, Jaipur. The IIEC will also be the nodal council on behalf of ICFAI University, Jaipur for interacting with and executing all programs and events constituted by various governments, industrial and other organizations or departments.

A separate Innovation and Startup Policy exists which provides information about objectives, administrative set-up, and roles & responsibilities of the IIEC.

**19. INTELLECTUAL PROPERTY RIGHTS POLICY**

A separate Policy Document exists for Intellectual Property Rights.

## **20. REMOVAL OF DIFFICULTY**

The ICFAI University, Jaipur reserves the right to remove difficulty/difficulties in the course of implementations of these Regulations as per the university norms. The University shall ensure that the decisions concerning shall be made without regard to a person's political, social, or other views not directly related to academic values or to the assumption of academic responsibilities; without regard to the conduct of a person holding an appointment at IUJ in some other capacity, or without regard to an individual's race, ethnic origin, sex, or religion.