

## 1. PURPOSE

The research policy of Islamic University of Science and Technology, Kashmir, IUST shall promote values and principles that govern and promote quality research. It shall define both basic and seminal standards that the University and researchers shall be expected to adhere to. Further, it shall lay down the procedure of governance and managerial framework to help create a professional environment for responsible and ethical research.

## 2. ORGANIZATIONAL SCOPE

This is a University-wide policy that includes; Departments, Research Centers and constituent colleges of the Islamic University of Science and Technology, Kashmir.

## 3. DEFINITIONS

For purposes of this policy, unless otherwise stated, the following definitions shall apply:

- i. "Act" means the Islamic University of Science and Technology, Kashmir Act, 2005;
- ii. "University" means the Islamic University of Science and Technology as defined under Section 2(j) of the Act;
- iii. "Statutes" mean Statutes as defined under Section 2 (i) of the Act;
- iv. "Regulations" mean Regulations as defined under Section 2(i) of the Act;
- v. "Executive Council" means the Executive Council as constituted under Section 11 (1) of the Act;
- vi. "Academic Council" means the Academic Council as defined under Section 12 of the Act;
- vii. "College" means a College as defined under Section 2 (d) of the Act;
- viii. "Research Advisory Council" (RAC) means the body approved by the competent authority to formulate policies and programmes for the promotion of research in the University.
- ix. Research: It is an original, independent investigation undertaken to contribute to the existing body of knowledge. Research particularly involves inquiry of an experimental or critical nature driven by hypothesis or intellectual positions subject to a rigorous assessment by experts in a given discipline. Research results into work that has direct relevance to the social, intellectual or ethical needs of communities, government, industry and commerce. In some disciplines, research may be in the form of artistic works, performances or designs that lead to new or substantially improved insights.

## 4. POLICY STATEMENT

Research at IUST is committed to uphold values like honesty, transparency and accountability in order to achieve worldwide recognition in the fields of Science and Technology, Social Sciences, Arts and Humanities through innovative and empirical research.

## 5. VISION :

Islamic University of Science & Technology shall strive to achieve excellence in research and innovation for the growth and development of society, industry and other stakeholders in the larger ecosystem.

## 6. MISSION :

- To create an intellectual environment for generating new knowledge with relevance to the present needs and futuristic requirements.

- To provide a framework for promoting disciplinary, multidisciplinary, and interdisciplinary research by adopting best practices and leveraging tie-ups with national and international institutions of repute.
- To develop state-of-the-art infrastructure facilitating researchers to undertake quality, reliable, impactful research and innovate products & processes.

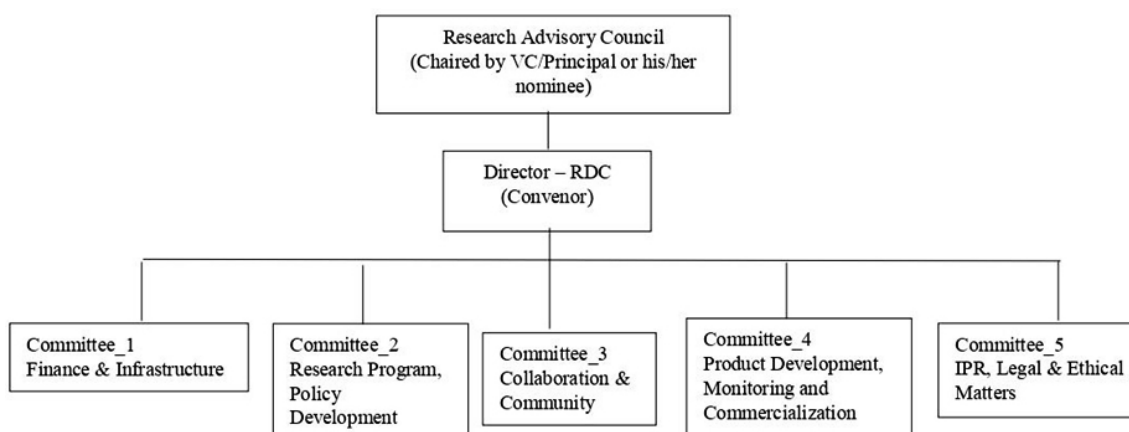
## 7. OBJECTIVES :

Research at the University shall aim:

- to promote quality research
- to foster a vibrant intellectual environment by providing the essential framework and guidelines for interdisciplinary, cross-departmental and collaborative national and international research in the areas of Sciences, Engineering and Technology, Social Sciences, Arts and Humanities.
- to build and enhance the reputation of the University, researchers and research as a profession.
- to instill ethical conduct and integrity among researchers.
- to ensure that the research work carried out at the University is published in quality journals recognized by regulatory institutions or with reputable international publishers or else is indexed in PubMed, Scopus, Web of Science, Index Copernicus with an impact factor

## 8. RESEARCH MANAGEMENT:

The research activities at the University shall be monitored and supervised through a four-tier management system i.e., Research Advisory Council (RAC), Board of Research Studies (BORS), Departmental Research Committee (DRC) and Students Research Advisory Committee (SRAC).



### 8.1 Research Advisory Council (RAC):

The Research Advisory Council shall be the apex advisory body with the following powers/functions and composition:

#### 8.1.1 Powers and Functions

- a. to advise on matters related to improving the overall research environment of the University, including need assessment for research administration, research

- infrastructure, quality benchmarking of research output and R&D needs of the University
- b. to suggest ways and means of supporting, promoting, encouraging and assessing research activities and output in the University and its adjuncts
  - c. to provide a forum for discussion on new, innovative and strategic research initiatives including proposals for augmentation of R&D infrastructure in the University
  - d. to counsel on matters related to inter-disciplinary, trans-disciplinary and collaborative research at the local, regional, national and global level and identify opportunities for partnerships to support research interests of the University
  - e. to consider policies regarding Intellectual Property (IP) including ownership, sharing of licenses, technology transfer and royalty resulting from IP created by the University and other activities related to IP and recommend these to competent authorities for their adoption
  - f. to formulate rules and regulations for the creation of “Research Facilitation Fund” for assistance of research projects.
  - g. to consider proposals for the establishment of new research centres/ programmes & research related infrastructure.

### **8.1.2 Composition of the Research Advisory Council (RAC)**

The RAC shall consist of the following members:-.

1. The Vice-Chancellor (**Chairman**)
2. Representatives of relevant Govt. departments/ funding agencies
3. Two distinguished scientists not associated with the University to be nominated by the Vice-Chancellor on the recommendations of Dean Research
4. Dean Research/ Director Research and Development Cell (RDC) (Convener)
5. Dean, Academic Affairs
6. Deans of Schools
7. Registrar
8. Finance Officer
9. Five Industrialists or their representatives as co-opted members
10. All Heads of Departments/ Centers (Special Invitees)

### **8.1.3 Terms of references**

- a. Members (excluding ex-officio members) will have a three-year term of office from the date of nomination to the Council
- b. The Research Advisory Council shall meet twice a year
- c. A quorum of more than 50% of the total membership shall be required for every meeting of the Council

### **8.1.4 Research and Development Cell (RDC):**

RDC has been created under Research Advisory Council (RAC) which functions as the apex advisory body for matters related to improving the overall Research environment of the University. The establishment of RDC shall enable attainment of targets of Aatma-Nirbhar Bharat and is expected to play a pivotal role in establishing research ecosystem in the University as envisaged under NEP 2020. The overarching role of RDC would be to integrate research, innovation, technology development, industry connect and community outreach.

To put in place a robust mechanism for developing and strengthening the research ecosystem with in University, aligned with the provisions of NEP-2020, University Research and Development Cell (RDC) with Research Advisory Council (RAC) as the apex body has the following objectives:-

- a) To create an organizational structure with role-based functions of RDC, formulate Research Policy, identify thrust areas of research, and form related cluster groups/ frontline teams/consortia of researchers.
- b) To create enabling provisions in Research Policies for recruitment of research personnel, procurement of equipment, and financial management with adequate autonomy to the Principal Investigator(s) and disseminate research outcomes to stakeholders and the public at large.
- c) To establish a special purpose vehicle to promote researchers and innovators, identify potential collaborators from industry, research organizations, academic institutions & other stakeholders for cooperation and synergistic partnerships.
- d) To act as a liaison between researchers & relevant research funding agencies, extend guidance in preparation & submission of project proposals and post-sanctioning of the grants to oversee adherence to timelines.
- e) To have better coordination among other cells/centers dealing with University-Industry Inter Linkage, Incubation, Innovation and Entrepreneurship Development and Intellectual Property Rights (IPR).
- f) To develop an Institutional Research Information System for sharing the status of ongoing/ completed research projects/Programmes, expertise & resources, etc., making effective use of Information & Communication Technology (ICT) for preparing the database of in-house experts to provide industrial consultancy and services.
- g) To engage & utilize the services of superannuated active faculty/scientists in research capacity building of talented young minds and promote mobility of researchers across institutions and R&D Labs.
- h) To serve as nodal center for ideation and conceptualization of research topics/themes by organizing workshops and training programs and ensuring the integrity and ethical practices in research activities including clearance of bioethical committee wherever required.

## **8.2 Board of Research Studies (BORS)**

The Board of Research Studies (BORS) shall be a statutory body. The Board shall recommend for recognition any department/research center with adequate human resource and infrastructural facilities to offer programmes leading to the award of Degree of Doctor of Philosophy (Ph.D.) in the relevant subject/allied subjects.

### **8.2.1 Composition**

The Board shall consist of the following members:

- |                                 |                  |
|---------------------------------|------------------|
| 1. Dean Research                | Chairperson      |
| 2. Dean of the Concerned School | Member Secretary |

3. Heads of Departments/ Directors of Centers
4. All Professors of the Concerned Schools
5. All Associate Professor of the Concerned Schools
6. One Assistant Professor from each department to be nominated by Dean of the School for a period of one year.
7. One Scholar to be nominated by the Dean of the Concerned School.
8. At least one external subject expert for each Department/Centre (*Nominated by the Department through concerned Dean of School and approved by the Vice Chancellor*)

## 8.2.2 Terms of references

- a. The BORS shall meet twice a year
- b. A quorum of more than 50% of the total membership shall be required for every meeting of the Board
- c. The term of each Assistant Professor shall be one year.
- d. The terms of subject experts shall be for a period of three years.

## 8.2.3 Powers & Functions

BORS shall –

- a) Approve and confirm the registration of research scholar or candidate based on the recommendations of concerned DRC
- b) Approve the topic/areas of thesis in the subject.
- c) Approve the synopsis recommended by DRC
- d) Approve supervisors for supervising the research programmes on the recommendations of DRC
- e) Advise the DRC on measures to improve courses of studies/research work at the doctoral level.
- f) Coordinate the teaching and research work in the research programmes
- g) Consider any other matter related to conduct/ supervision of Research as recommended by DRC.

## 8.2.3 Dean Research: Role and Responsibility

The Dean Research shall provide strategic direction to research programmes and implement new and interdisciplinary research initiatives and collaboration. S/he shall also be responsible for the following duties and functions:

1. to facilitate and promote quality research in schools and centres of the University
2. to promote collaborative and multi-disciplinary research among different departments both within and outside the University
3. to manage, oversee and propose to the HVC for approval the admission of students to PhD, Post Doctorate Fellows or any other research-oriented programme in various schools and centres of the university in accordance with the rules and regulations laid down by the University
4. to chair, coordinate and facilitate timely meetings of the Board of Research Studies (BORS) and other research-related committees
5. To recommend to the Vice-Chancellor the allocation and distribution of research grants to departments and centers on the basis of their need and contribution
6. To receive and disburse finances offered by various funding agencies or incurred through research-related projects for academic growth and infrastructure development

7. To remain updated with research related opportunities/notifications and schemes of various national and international funding agencies for disseminating the same to faculty and other stakeholders within the University
8. To coordinate and facilitate submission of research proposals from schools, centers and faculty in accordance with the guidelines and policy of the University. Grant Review Committee – GRC, to be constituted separately under the chairpersonship of the Dean Research shall review, recommend and approve projects up to Rs 10 lacs.
9. To motivate faculty/researchers to write research grants, research proposals and high impact publications. The sharing of overheads charges from research projects shall be distributed in the ratio of 60 percent to the Dean Research with 40 percent to the Principal Investigator for his/her office /lab space/ conference travel/ consumables/ society fee/ Registration.
10. To issue Utilization Certificates (UC) for timely submission to concerned funding agencies for effective grant utilization and development of research infrastructure
11. To identify and prioritize key research areas related to societal needs/issues and constitute focused research groups in consultation with Deans and Heads of Departments
12. to promote the application of research findings for creation of effective start-ups and entrepreneurial innovations
13. to facilitate and promote filing of patents through innovative research
14. to prepare an Annual Research Report and disseminate research output in the form of publication
15. to recommend deputation of university faculty/scholars endorsed by Deans and Heads of Departments to the Vice-Chancellor for approval for participation in conferences, seminars and workshops. The deputation of the said faculty/scholars who intend to present research papers related to projects in a conference shall be recommended by the Dean Research to Vice-Chancellor for approval.
16. to create and maintain a department-wise database for faculty/researcher expertise, instrumentation and research publication
17. to facilitate the meeting of Research Advisory Council (RAC) twice a year and propose/recommend members for the Council in consultation with the Deans for the approval of the Vice-Chancellor
18. to devise a mechanism for the nomination of the best researcher (faculty/student) and the award of the best thesis in accordance with the UGC guidelines
19. to operate Research Facilitation Fund created by the University for need-based short term research projects of students, scholars and faculty after consultation with the Deans and Heads of Departments
20. to recommend to the Vice-Chancellor for approval, the signing of MoU's with national and international organizations with regard to research
21. to select research related human resource including Research Assistants/ Project Assistants/ JRF/SRF/Post Docs/Fellows. The constitution of the committee for the recruitment shall be as:

Dean Research (Chairman), Dean of School, Head of the Department, PI/CoPI and Nominee of HVC. In case of the up gradation of JRF to SRF, one external expert should be included in the committee.

22. to create and maintain a database of research work and research projects completed, ongoing and proposed from time to time.
23. to facilitate allocation of space, facilities, equipment IT services and other resources to departments, centers and research personnel/projects based on research needs
24. to ensure that project funds are managed in accordance with the policies and procedures of the University and sponsoring agency
25. Applications for external research projects to funding agencies are to be submitted through the office of Dean Research
26. All the research projects/sponsored research projects/consultancy projects or any other research contracted by an external party is administered by the office of Dean Research.
27. The office of Dean Research provides financial and non-financial management services to Investigators, Coordinators etc.

### **8.3 Departmental Research Committee (DRC): Powers and Functions**

The Departmental Research Committee shall be responsible for monitoring, facilitating and conducting quality research with strict adherence to ethics in the department/center. The committee shall be entrusted with the following duties and functions:

1. to consolidate the number of vacancies for PhD as indicated by individual supervisors and forward these to Dean Research.
2. to decide whether the scholar can pursue his/her research problem as per the available specialization.
3. The procedure of question paper setting, moderation and other details shall be governed as per Regulations governing PhD Entrance Test. The Departmental Research Committee shall arrange for the logistics of the test as per Regulations
4. DRC shall conduct viva-voce of the candidates and shall have the powers to recommend candidates for selection to Ph.D. programme.
5. to review and recommend the research synopsis of candidates selected for PhD to Dean Research for placement before BORS, after the candidates have defended their synopsis and incorporated all those changes recommended by the DRC
6. to prescribe the syllabus for Course Work for Ph.D.
7. to recommend candidates to research programme on provisional basis subject to the confirmation of BORS. The candidate's admission to the programme shall be reckoned from the date of his/her joining the department
8. to address all complaints/grievances of the scholars/supervisors with regard to misconduct/misbehavior and make apposite recommendations to Dean Research
9. to admit provisionally candidates to research programme and reckon their admission from the date of their joining the department/center subject to the confirmation of their formal registration in BORS.

10. Allotment of supervisors to scholars based on mutual preferences by scholars and eligible supervisors.
11. The DRC shall meet at least once a semester.

### **8.3.1 Composition of the Committee**

The DRC shall consist of the following members:

1. Head of department/ Director of Center  
Chairperson
2. All approved supervisors of the department/center
3. One observer to be nominated by Dean Research from other departments/Centres within the University.
4. External experts approved by HVC on the recommendations of Head/Director of the Centre and Dean Research (applicable to Research Centres only).

### **8.3.2 Chairperson DRC: Role and Responsibility**

The chairperson DRC shall have the following duties and functions:

1. to recommend to Dean Research an extension in the candidate's period of registration if s/he is not able to complete/submit his/her thesis after the stipulated period of five years. The scholar's representation for the extension must be recommended by his/her respective supervisor.
2. to seek academic clearance in respect of the Research Scholar before accepting the submission of thesis.
3. to arrange to send the thesis to two examiners approved by the Vice-Chancellor from a panel of eight routed through the Dean Research
4. to consolidate and submit the reports and definite recommendations received from the two external examiners and the concerned supervisor to Dean Research who shall then forward these to the Vice-Chancellor for approval of conducting viva-voce by one of the external examiners
5. to arrange the *viva-voce* of the scholar that shall be open to DRC members, faculty, research scholars and PG students
6. to make sure that the corrections/recommendations by the external experts are incorporated in the thesis

### **8.4 STUDENT RESEARCH ADVISORY COMMITTEE AND ITS FUNCTIONS (SRAC):**

There shall be a Student Research Advisory Committee (SRAC) for each Ph.D. scholar which shall be proposed by the research supervisor concerned to the Departmental Research Committee (DRC) for approval. The Research Supervisor of the scholar shall be the Convener of this Committee and two eligible supervisors its members. The members can be from the same department or from other Department of the University relevant to the research problem of the scholar. A co-supervisor shall automatically be a member of the SRAC.

The SRAC Committee shall have the following responsibilities:

- a. To review the research proposal and finalize the topic of research
- b. To guide the research scholar to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
- c. To periodically review and assist in the progress of the research work of the research scholar.



- d. A research scholar shall appear before the SRAC once in six months to make a presentation of the progress of his/her work for evaluation and further guidance.
- e. In case the progress of the research scholar is unsatisfactory, the SRAC shall record the reasons for the same and suggest corrective measures.
- f. If the research scholar fails to implement these corrective measures, the SRAC may recommend to the DRC with specific reasons for cancellation of the registration of the research scholar.

## 9. RESEARCH FUND AND SUPPORT:

The objective of the research support will be to give boost to the Research activities within the University by providing the seed grant, carrying out research and development programs or any other activities that have direct bearing on creating the favorable ecosystem for research.

### 9.1 University Research Fund (URF):

- 9.1.1 An Annual Research Fund to be provided under Dean of Research for promotion of the research in the university.
- 9.1.2 60 % of overhead charges of all the research projects will be pooled in URF
- 9.1.3 30% consultancy charges of all the consultancy projects will be pooled in URF
- 9.1.4 Policy for appointing Post-doc Fellows: Postdoctoral fellows with their own fellowships or through external funded projects will be encouraged to join Islamic University of Science and Technology in any of its departments or research centers. Further university may frame a policy for providing a post-doc position in each department for improving the research output of the departments on recommendation of concern Dean and Dean Research.

### 9.2 Research Support:

- 9.2.1 Research support to faculty members: Seed Grants/Startup projects, patent filing, publication, travel support for national/overseas conferences including travel support to visiting scientist etc. This shall be regulated as per terms of Islamic University of Science and Technology/ UGC.
- 9.2.2 University Research fellowships: Should be provided to scholars as per the policy of the University who are not in receipt of fellowship from any other funding source.
- 9.2.3 Incentives of Good Research: University shall suitably incentivize and recognize quality research amongst faculty / scholars.

### 9.3 External Research Funding:

- 9.3.1 Matching Grants for Projects submitted for funding. This is an additional grant to make up for a short-fall in the funding of high-end equipment due to reduction in the proposed budget by an external agency. Under such circumstances, the office of Dean Research will consider request of a PI and an Institute level committee will be appointed by the Vice Chancellor to decide about the amount of matching grant on a case-by-case basis.

## 10. GUIDELINES FOR UTILIZATION OF URF:

The sharing of overheads accumulated under URF from research/consultancy projects, shall be permitted after authorization from CA.

The general principle governing the allocation of all research funding in the University is that it is an investment intended to maximise the research outcome from faculty, scientists and research scholars. Proposals for allocation of funds for research will be finalized in the Research Development Council (RDC) for approval by the competent bodies/authority.

The University Research fund shall be exclusively used for promotion of research in whatever manner possible with due approval of the competent authority. Departments and Research Centres will be allocated grants as per their requirements and such requirements are assessed through a rigorous process by involving committee(s) constituted for the purposes under Research and Development Cell (RDC).

10.1 40% of the overhead grants may be utilized by the PI after authorization from the Competent Authority for :

- a. Purchase of items like furniture, storage cabinets, computer and other accessories or any other item needed for project or up gradation of laboratory
- b. Travel of PI/Co-PI and/or JRF/SRF /Research Assistant etc. for attending seminars/conferences/ workshops if not covered under the project. Similarly research scholars can also be considered by the respective departments for providing such support.
- c. Payment of Audit fee for the concerned project.
- d. Processing Charges for filing of patents
- e. Membership of Professional Societies and Journals.

10.2 60 % of overhead grants may be utilized by the University and will be pooled in University Research Fund under Dean of Research exclusively for promotion of research, augmentation of research infrastructure with the permission of the competent authority. The over-head charges can be utilized for:

- a. Procurement and maintenance of equipment for general use by faculty members, scholars and students.
- b. For providing the seed grant/ startup projects for promotion of research through approved Research Promotion Policy
- c. A contingent expense of the office of Dean Research
- d. Conduct of research/skill enhancement/ training programs, workshops or conferences.
- e. Any such other activity for promotion of research.

## 11. RESEARCH STAFF APPOINTMENTS

The appointment of the research staff is very crucial and important to carry out any research project/sponsored research project /consultancy project successfully. Research and technical competence will be main consideration for appointment of the research staff in the university. All research appointments will adhere to the guidelines of the University & funding agency under extramural funded projects for the appointment of research staff.

## 12. MALPRACTICES AND PLAGIARISM IN RESEARCH

Malpractices and plagiarism include manipulation, false credit, and distortion of the research process by fabrication of the data, hypothesis, or methods from other

researchers' manuscripts. Plagiarism includes but is not limited to steal and pass of the ideas or words of another as one's own; to use another's production without acknowledge the original source. The UGC regulation on Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions Regulations, 2018 with amendments from time to time shall be followed.

### **13. POLICY FOR ETHICAL CLEARANCE**

The Institute Ethics Committee (IEC) shall carry out the ethical review of all the research proposals involving the use of animal models and/or human samples/participants) in accordance with the ICMR guidelines and the SOP of the Institute Ethics Committee framed by the university.

### **14. CONSULTANCY POLICY**

Consultancy policy of the University covers technical, engineering, scientific or other professional advice / assistance based on the available knowledge/expertise in the University and envisaging use of University facilities (without disturbing the academic schedule) for essential discharge of duties including experimentation needed to meet the objectives of the consultancy assignment.

### **15. INTELLECTUAL PROPERTY RIGHTS (IPR)**

The purpose of the IPR Policy of Islamic University of Science and Technology is to set up apt principles for creation, protection, ownership and supervision of intellectual property in the Institute. The endeavor is to provide an intellectual property environment that encourages the development of inventions and other intellectual creations for the best interest of the public, the creator, and the research sponsor, if any, and will permit the timely protection and disclosure of such intellectual property either by development and commercialization after securing available protection, by publication, or both.

### **16. RESEARCH CENTERS**

The University will establish the new research centers to enhance the research profile of the university, based on the inputs and recommendation of the Research Advisory Council. The focus of such centers will be on areas where there is (or the University wishes to develop) research excellence (including areas of applied research) and to maximize external research funding. They also serve as vehicles for engaging with other research institutions and industry and facilitate interdisciplinary and multidisciplinary relationships.

16.1 Criteria for recognizaiton of Department/Center for starting of Research Program:

16.1.1 University Department:

Any University Department established with the permission of Competent Authority should fullfill the following requirements:

- a. Should have at least one eligible supervisor as defined in the Research Policy.
- b. should have the basic infrastructure to conduct the research.

## 16.1.2 University Centers/Chair:

Any research center/chair established with the permission of the Competent Authority should fulfill the following requirements:

- a. Should have at least one eligible supervisor as defined in the Research Policy however in case the Research Center doesn't have any eligible supervisor as per the eligibility criteria, then the Center may identify a supervisor from allied Departments/Centres.
- b. The re-employed teacher (if any) of the centre can function as Co-supervisor.
- c. The center should have the basic infrastructure to conduct the research.