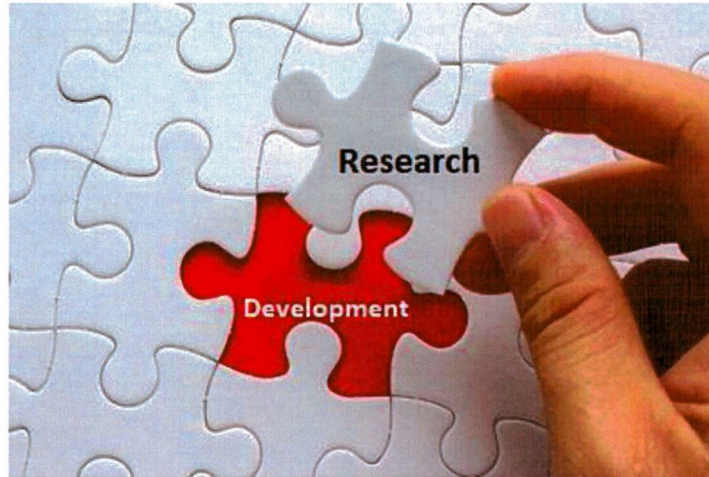


Policy on Research and Development



Preamble

Research and Development Is an important and an integral component of the mission of Jain University. Research policy thus is a vital instrument for realising the mission of this university. The objective of this document is to provide an overview on research related policies at JU. Jain University (hereafter referred to as JU or 'University') herewith provides the necessary research framework with a commitment to conform to the following tenets concerning Research and Development (hereinafter termed as R&D) activities:

- JU encourages varying points of view, inquiry, thought and expressions free of ideology or coercions of any type for the benefit of mankind.
- JU members engaged in R&D are open to select topics/domains in their area of competence or in collaboration with other faculty members, seek financial assistance from genuine sources with the approval of the university (as specified hereunder) and be solely responsible for their outcome and conclusions.
- JU shall attempt to provide an atmosphere conducive to undertaking R&D to all interested and motivated faculty to undertake the same.
- JU shall sensitize all concerned to ensure authorship rights & responsibilities of students, co-investigators and others associated with the research outcome. JU shall conduct regular surveys to verify on academic authorship of any publication/patent with regard to the research outcomes.
- JU affirms to provide research opportunities to all concerned without bias to gender, caste, creed, religion and race.
- JU advocates the philosophy of sharing with respect to Intellectual Property Rights (IPR) with regard to all scholarly pursuits.



- JU through its research policy aims to maximise the positive and beneficial impacts of R&D by encouraging, facilitating and ensuring acquisition of intellectual property and their working to the benefit of society, the university and the personnel involved.
- JU shall endeavour to promote new centres of research and any new proposal for the same shall be placed before the Research Committee of the University for due diligence and approval. Such approval will be communicated by the Competent Authority with the concurrence of the President - Jain University Trust. [The composition and the terms of reference of the Research Committee will be set forth and communicated by the university from time to time] **Refer Annexure I**
- This policy shall apply to all JU members involved in Research and Development and be applicable to all research initiatives being undertaken at JU. This policy on R&D is subject to review by the Research Committee at its annual meeting. The University may update and announce any detailed implementing procedure(s) on this policy from time to time as necessary. Any revision in the policy shall be announced publicly through the University website and /or other suitable means.

Privileges of Faculty Members

JU faculty members have the right to academic freedom in pursuit of research in their areas of specialisation, competence and interest.

JU members can engage in Research and Development as long as the same is within the framework of being labelled ethical and it does not involve any unresolved conflict of interests.

JU members can undertake funded projects, present findings of research outcomes, subject to compliance with any requirement of funding agency or the University for protection of IP, journal publications or presentation at conferences, seminars and workshops.

Responsibilities of Faculty Members, Research Scholars and Research Staff

Project Proposal Creation, Project Management and Support

Faculty members as PI/Co-PI need to route the project proposal to the sponsoring or funding agency through constituent unit head duly signed by the Registrar with prior concurrence of the President - Jain University Trust. A copy of the proposal is to be sent to the office of Registrar, Joint Registrar and Dean (Research). If the proposal requires online submission, a prior approval for content submitted shall be obtained by PI/Co-PI from above authorities.

The Principal Investigator (PI) shall be responsible for the overall management of the project and recruitment of project staff as per procedure that may be prescribed by sponsoring agency/ University.

PI is responsible for certification of salary paid to project staff.

PI's are to encourage and support other faculty members of the University to engage in research leading to upgradation of their qualifications.

Fiscal Control

PI shall ensure that all requirements of sponsoring/ funding agency in respect of reports, financial statements and other deliverables are met in a timely manner. These include keeping separate stock registers for each project with a detailed account of expenditure incurred (equipment, consumables of all types, chemicals, glassware, fabrication items, COTS, travel, contingency etc).

Copy of Utilization certificate, Statement of accounts along with annual progress report, closure report shall be sent to the University Record Office (URO) in addition to the respective funding agencies. As far as practicable, (that is for all direct expenses other than for overheads) separate account for each project will be maintained and operated. Guidelines on institutional overheads are in **Annexure II**

Copy of Tax invoices and all other expenses incurred with respect to the research activity (includes project and consultancy) shall be maintained and made available as and when required.

Financial misdemeanour by whomsoever of any kind should be brought to the notice of the Registrar of University immediately and the University shall take appropriate steps to curb the same.

Safety

PI shall endeavour to ensure the safety of all their team members and safety of environment during the discharge of their duties when undertaking any activity pertaining to the pertinent R&D in the laboratory or in the field.

Equipment and Consumable Control

PI should secure requisite approval for the purchase of capital equipment through the purchase committee duly constituted by the Director of the respective constituent unit. PI's would also take necessary steps for procurement of consumables under the guidance of the Director of the respective constituent unit. Any requirements of funding and sponsoring agencies with respect to procedures shall be ensured by PI's.

PIs are responsible for tagging and inventorization of all equipment.

A separate register is to be maintained for issue of chemicals and other consumables to all members engaged in R&D.

A register is to be maintained to account for obsolete, unserviceable and non-repairable equipment. Disposal of such equipment's is subject to the discretion of the University authorities (namely, the Vice Chancellor or authority designated by him/her).

Data Management

PI must maintain appropriate records of all research work. Records will include lab diary and any other material in either soft or hard copy format in sufficient detail (for recording purposes) that are essential for the reconstruction and verification of any research outcome. The same shall be

maintained for adequate periods of time, generally at least for three years subsequent to publication and in the case of students at least for two years after award of degree. If, Research involves a Survey, the accepted standard Protocols of a survey needs to be adhered to. The norms relating to the first rights to the use of data would need to be clearly defined as per the norms as defined in the contract by the funding authorities. The PI's would have the exclusive rights to the data for a period of one year after its collection, or until such time as the norms of the project and funding agencies decide.

The procedure for recording and protecting data should be well documented and communicated to all group members prior to initiation of any research activity.

The data pertaining to any IPR related protection should be maintained for the entire life period of IPR.

Ethics and Protocols

Principal author should ensure that Co-Authors have access to the manuscript prior to being submitted for publication and give their acceptance to be the co-authors. (JU suggests the INSA document on Ethics as a model. For details refer to INSA website).

All research staff should mandatorily ensure that the necessary approvals and protocols are followed in the use of research involving human and animal subjects (JU follows the GOI document on IAEC: **Refer Annexure III** and website of Ministry of Environment and Forests, Govt. of India).

Publications including Technical Reports

Faculty member/s (including research scholars, post docs etc) wanting to undertake publication of their research outcomes must mandatorily clear the publication/report through the IPR cell of the University to check for patentable material and plagiarism (including self-plagiarism).

Faculty members are strongly encouraged and advocated to publish research findings in journals of repute, both National and International. It is desirable that these journals are indexed in major databases and have an impact factor. Authors of books, book chapters, monographs too are encouraged to publish through publishers of repute. Recommended Database and Publishing House details are provided in **Annexure IV**.

As a guideline it is preferred that the sequence of authors in publications should generally be in approximate order of extent of contribution and the final judgement is left to the concerned PI.

Discipline

The faculty members shall not accept gifts/grants from unknown sources or anonymous donors.

To reduce the viral growth of publications in journals that do not merit, reporting on not so significant research findings and in the rush to produce extraordinary large number of publications in short spans of time, it is advised that the faculty members refrain from doing so

and request senior members to counsel junior members and students on the ill effects of the same and ensure to exercise due restraint and discipline.

Members are required to immediately inform the Registrar of University in case of any of the following:

An impending health hazard, Possibility that an act/incident is likely to be made public, indication of likely unethical activity, defacing the reputation of the University, misappropriation of funds or damage to equipment.

Termination / Resignation / Superannuation

Members on resigning / termination / superannuation may have the right to take copies of their research outcomes after getting approval from the Registrar with the concurrence of the President – Jain University Trust. The originals will be retained by the University.

If a PI resigns and leaves to join another institution, Co-PI will take over the project responsibilities with the approval of the Registrar. However, Jain University reserves the right to copies of research data. Wherever, there is no Co-PI, the PI shall complete the project before leaving the University.

Confidentiality and Secrecy

Ensure to maintain confidentiality of all research work being carried out including information made available by outside agencies and third party necessary for completion of the research work/program, and fulfilling compliance with requirements on confidentiality by funding/sponsoring agencies.

Rights of individual to privacy shall be the modicum on research involving human subjects living or otherwise.

A research topic for award of degree shall be considered as requiring secrecy if the funding agency confirms that the outcome is not freely publishable. In such cases the final decision with regard to any outcome shall rest with the University Research Committee and the concerned funding agency.

IPR

All individuals engaged in R&D must sign the JU IPR policy at the time of joining the University. As per JU IPR policy on R&D the PI and all other contributors (as decided by PI) shall be inventors with JU being the assignee. Any pecuniary gains arising from either royalty earned from TOT or commercialization of the IPR shall be shared between the inventors and assignee (JU) in the ratio of 20:80. This is applicable to IP generated based on funding supported entirely from JU.

IP based on funding from Governmental agencies shall be as per their regulations and any pecuniary gains resulting from TOT/commercialization shall be shared between the funding

agency, inventors and JU in the ratio 33 1/3 % each as per GOI guidelines, and as amended from time to time.

PI should review the IPR, authorship, acknowledgements, report generation with all members working under their direction (Co-Pi, research scholars, students, RA, PDRA etc.) and give due credit to all concerned.

Conflict of Interest

JU policy with regard to conflict of interest rests on the premise of “trust & faith” and integrity of respective members to disclose any information that could lead to conflict thereby ensuring that any conflict of interest could be resolved in appropriate manner befitting all concerned.

Misconduct

No faculty member/researcher shall indulge in fabrication/falsification of data in either recording or reporting, resort to plagiarism knowingly or intentionally and all other such acts normally not conducive of being considered ethical.

Failure to supervise leading to the above shall also be construed as acts of misconduct.

Faculty member/s having no contribution to a research outcome but present findings of the outcome of others involved in the research shall also be considered as an act of plagiarism.

Irrational behaviour to produce large amounts of publications annually to maintain one’s status as a productive faculty, claiming author credit where not due, marginalizing contributions of co-workers, scholars, attempts to exclude others from authorship where due, claiming credit under JU through publication for work carried out elsewhere shall all be considered as acts of misconduct.

All individuals are advised to report of any research misconduct to the Research Dean with copies to the office of VC, Pro VC and Registrar.

Grievance

Any faculty member/Research scholar/Post Doctoral Fellows feeling aggrieved by either a decision or on violation of any rules & regulations as per the research policy of the University has the right to make a representation to the University Research Committee.

Solace

The University upon receipt of any allegation relating to any of the above shall constitute a committee duly appointed by the President, Jain University to inquire into the same and present the findings to the University within 30 days for necessary action.

Seed Funding and Research Scholarships

Seed Funding shall be sanctioned to qualified faculty for various purposes such as Initiation of research into an emerging area, conducting pilot studies leading to applications to funding

agencies and promotion of research aptitude among young faculty and scholars. The quantum of funding shall normally be limited to Rs. 5 Lakhs per annum per faculty. Higher allocation may be considered on need basis, based on the merits of the proposal. The budget towards seed funding shall be approved on an annual basis by the Statutory bodies of the University.

A limited amount of scholarships from Jain University shall also be made available to research scholars wanting to pursue high end research. The value of the scholarship shall be limited to a max of Rs 10,000/- per month per scholar and five scholarships per Faculty. Total support per year shall not exceed Rs 30/- lakhs. In case of non-availability of requisite and qualified scholars in a particular Faculty the same may be transferred to other Faculties if the situation so warrants. The award of such scholarship shall be through a selection process based on interviews conducted by the research committee subsequent to the scholars being selected for pursuing Ph.D through the regular examination process conducted by the University.

Research funding from governmental funding agencies to support JRF/SRF/RA/PDF are restricted to scholars of Indian citizenship.

Research Incentives

To promote and encourage high quality research, incentives in different modes may be proposed by the University annually. Research outcomes in publications indexed in major databases with impact factor, book chapters, books, and monographs from prominent publishing houses only shall be considered. Members eligible for the same shall be intimated by the university research committee.

Travel Support

To be eligible for travel support, Faculty must be full time employees of the University and have completed the Probation period.

Faculty are strongly encouraged to apply to various funding agencies to enlist for travel and registration support to attend International conferences. They can use part of research grant for the same, if so specifically included in the proposal for grant and sanction by the funding agency.

The University shall provide limited support for travel to International conferences provided the faculty member is presenting a paper and the conference is of International repute. Members desirous of availing the same should make a representation to the University Research Committee 3 months in advance. Members are eligible to apply for the same once every three years. The support per member shall not exceed Rs 1.20 lakh. A maximum of five such support will be made available annually faculty wise. Total support per year shall not exceed Rs 30/- lakhs. While disbursing these grants efforts will be made that fair representation is given to all the different Faculties in the University. Any faculty provided financial support for an international conference, would need to sign a bond that they will continue with the institution for at least one year subsequent to availing the benefit. In the event of their leaving the institution prior to the completion of the bond period, they will reimburse the financial support provided for attending

the conference. Before a faculty is awarded such a grant the second time, he/she would provide visible proof of research output based on the first such grant received.

In respect of National conferences/seminars/workshops within the state local travel allowance and registration fee will be borne by the University. The same is available for presenting a paper at the conference. In special cases, it can be permitted for participation in a conference. **A maximum support of Rs 10,000/- per member will be made available. A maximum of 10 such support will be made available annually faculty wise. Total support per year shall not exceed Rs 5/- lakhs.** A faculty member can avail of this support only once in a year. In a subsequent year if a faculty member applies for financial support, he/she should have published a paper in a reputed research journal since award of previous financial support. In normal circumstances, the support will be for I Class train fare.

In case of outstation events the same shall be made available only for members presenting with a maximum support of Rs 20,000/- per member. A maximum of 10 such support will be made available annually Faculty wise. Total support per year shall not exceed Rs 10.0 lakhs. Members desirous of availing the same should make a representation to the University Research Committee 2 months in advance. In a subsequent year if a faculty member applies for financial support, he/she should have published a paper in a reputed research journal since award of previous financial support.

The faculty member may apply on prescribed format (Annexure A) with brief justification of the seed money / financial assistance to their respective heads anytime during the year.

Approval committee: The committee comprising of (i) Vice Chancellor (ii) Pro Vice Chancellor (iii) Head, HR (iv) Chief of Finance (v) Registrar will meet on need basis and give their decision on the applications.

The bills and receipt related to all of the above should be submitted.

Membership towards professional bodies

The University constantly encourages the faculty members to get better exposure by providing memberships in various recognised professional bodies.

Conferences/Workshops/Seminars/Exhibitions (Organizing)

Schools and Centres are encouraged to obtain support from funding agencies to organize conferences/seminars/workshops. The University depending on the activity shall provide limited support for organizing the same and proposals for the same shall be routed through the Research Committee.

Conclusion

The above principles ascribe the university's policy to research. However the individual members are equally responsible and accountable to the fair follow and conduct of R&D alongside all of their colleagues who may be directly or indirectly involved, receipt of funding from various sources, research outcomes and their target applications that are well established with their conscience of being ethical by all possible means.

RESEARCH COMMITTEE

As envisaged in the Jain university policy on Research and Development, a Research Committee is constituted. The composition of the committee is as follows:

1. Vice Chancellor (Chairman)
2. Pro Vice Chancellors
3. Dean – Research
4. Director – Academics and Planning
5. Registrar (Convenor)

The terms of reference of the above said committee are listed below:

1. To consider the viability of any proposal to establish a new Centre for Research.
2. To review all project proposals of faculty members before submission to the Funding Agencies.
3. To review periodically the progress of the Research projects of the Departments / Research Centres.
4. To ensure ethical standards in all the Research and Development activities of the University.
5. To take appropriate steps to resolve any conflict of interest related to Research and Development activity.
6. To oversee proper utilization of any financial support / infrastructure facility extended to the R & D activities by the University.
7. To address the grievances of any faculty member / Research Scholars / Post Doctoral fellow involved in R & D activities.
8. To oversee all similar issues related to Consultancy Projects.
9. The Research Committee shall meet once in six months or as and when necessary to promote the best interest of the policy on R & D.

The following document deals with the methodology of calculating the overheads with respect to projects, consultancy and courses.

Part A: Methodology for calculation and deduction of overheads from sponsored projects, consultancy projects, and conferences / workshops / symposia.

I. Background:

- i) *Project cost* refers to the expense incurred by the PI for the duration of the project. It includes equipment, salaries, travel, consumables, and contingency.
- ii) Overheads refer to the payment due to the Institute from the grant approved by the funding agency-organization-industry
- iii) *Sponsored* project refers to one in which there is only R&D effort. Such projects, generally, do not have a provision for payment of honoraria to the PI or any other investigator.
- iv) Consultancy projects utilize prior skill and competence of the PI. They allow the PI to charge honoraria (including payments to employees of the University).
- v) *Service tax* is required to be paid for all consultancy and testing projects.

II. Calculation of overheads:

1. **SPONSORED RESEARCH:** Proposals submitted for sponsored research must show overheads of 15% on the project cost. [Example: If the project requirement is X units, overheads would be 0.15X units and the total budget would be for 1.15X units].
 - a. When money is received from the funding agency, overheads as approved would be deducted. For funds received from private organizations the overheads can be negotiated.
2. **COURSES:** For short-term courses, conferences, workshops, and symposia, 15% of the total receipts (registration as well as grants) will be transferred to the CRDP account of the University.
 - a. For QIP, ISTE, and DST-type courses, prescribed norms would apply.
 - b. 15% overheads will be charged for courses conducted by the University.

3:

Sl. No.	Nature of the Project	Overheads %
1.	Sponsored	15%
2.	Courses (within Jain University)	15%
3.	Conferences/ workshops/ symposia	15%
4.	Courses (outside Jain University)	15%
5.	Testing Fee	25%

Annexure III

- For experiments involving animals, formation of an Institutional Animal Ethics Committee (IAEC) is a mandatory requirement under the Prevention of Cruelty to Animals (PCA) Act, 1960 of the Govt. of India. The Central Govt. has constituted a Committee for the Purpose of Control and Supervision of Experiments on Animals (CPCSEA) which is the main regulating body for monitoring experiments involving animals. The institutes interested in research involving the use of experimental animals or creation of an animal house facility have to strictly follow the guidelines given by CPCSEA, which is empowered to constitute a subcommittee IAEC, on the institution's request, having the following composition:

1. A biological scientist
2. Two scientists from different biological disciplines
3. A veterinarian involved in the care of the animals
4. Scientist-in-charge of the animal house facility of the concerned institute
5. A scientist from outside the institute
6. A non-scientific socially aware member
7. A nominee of CPCSEA

The Chairperson of the committee and the member secretary would be nominated by the institution from amongst the 8 members. Members 5,6 and 7 are nominated by CPCSEA, with a provision of a link nominee for CPCSEA nominee.

The primary duty of IAEC is to review and approve research proposals involving small experimental animals and monitor the research for compliance with all regulatory requirements

- Projects involving large animals have to be referred to CPCSEA for approval.
- Appointment of IAEC members is for a period of 3 years only. New committee has to be formed after the expiry of the term of the members.
- The guidelines for formation and functioning of IAEC are available on the website of Ministry of Environment and Forests, Govt. of India.

List of Databases

Option A

Science Direct, Scopus, Scirus, Thomson Reuters, Ebsco, IEEE, IET, Google Scholar, Reed Elsevier (Law), Royal Society of Chemistry, Index Copernicus, Wiley Interscience, Emerald, Sage, Mathscinet.

Option B

SCI, Proquest, Pubmed, Pubchem, Science Accelerator, Journal Seek, Index Copernicus, Econlit (Economics), Eric (Education), Phil Papers, Indian Citation Index (ICI), World Wide Science, Compendex, Merck Index, International Directory of Philosophy.

List of Publishing Houses

aWiley, Macmillan, Oxford, Prentice Hall, Cambridge, Harvard, Elsevier, Penguin, Pearson, Academic, Kluwer, Sage, Routledge, McMillan, Orient Longmans, Blackwell Swan.

Kadron. N.V.V

