



UNIVERSITY OF KASHMIR, SRINAGAR

Office of the Dean Research

Notification

It is notified for the information of all concerned that the University Council at its meeting held on 05-06-2020 has approved Research Policy for adoption/implementation in the University of Kashmir. The approved University Research Policy is available on the University website.

By order,



Assistant Registrar
Research

No: F (Research Policy)Res/KU/20
Dated September 10, 2020

Copy for information to the:-

- Dean Academic Affairs, University of Kashmir, Sgr;
- Dean College Development Council, University of Kashmir, Sgr
- Deans of all Schools, University of Kashmir, Sgr;
- Heads of Teaching Departments/Co-ordinators of Deptts/different courses, University of Kashmir, Sgr;
- Librarian, Allama Iqbal Library, University of Kashmir, Sgr;
- Directors of various Research Centres/Institutions, University of Kashmir, Sgr;
- Director, Admissions & Competitive Examinations, University of Kashmir, Sgr;
- Director, IT & SS, University of Kashmir. **He is requested to have the notification uploaded on the University website;**
- Special Secretary to Vice-Chancellor for kind perusal of the Vice-Chancellor;
- P.A. to Controller of Examinations for information to the Controller of Examinations, University of Kashmir, Sgr;
- P. A. to Registrar for information to the Registrar, University of Kashmir, Sgr;
- File.

Research Policy

1. Purpose

This policy envisages to create and promote an enabling research ecosystem within which the faculty members, researchers and research students carry out their research. It also provides an overarching framework for the development and implementation of all research policies and frameworks at the University of Kashmir.

2. Organizational Scope

This is a University-wide policy which includes satellite campuses, constituent and affiliated colleges of the University of Kashmir.

3. Definitions

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

- a. "Act" means the Kashmir and Jammu Universities Act, 1969 (as amended);
- b. "University" means the University of Kashmir as defined under Section 2(k) of the Act;
- c. "Statutes" mean Statutes as defined under Section 2 (h) of the Act;
- d. "Regulations" mean Regulations as defined under Section 2 (h) of the Act;
- e. "Syndicate" means the Syndicate as constituted under Section 2 of the Act;
- f. "Academic Council" means the Academic Council as defined under Section 2 (a) of the Act;
- g. "College" means a College as defined under Section 2 (c) of the Act;
- h. "Constituent College" means the Constituent College as defined under Section 2 (d) of the Act; and includes autonomous college designated so by the competent authority;
- i. "Affiliated College" means an affiliated College as defined under Section 2(b) of the Act;
- j. "DRC" means Departmental Research Committee as constituted under Statute 4 of these Statutes and would mean the Department/ Centre/ Institute where the candidate is being or has been registered;
- k. "BORS" means the Board of Research Studies as defined under Section 2(e) of the Act;
- l. "BOE" means the Board of Examiners appointed to evaluate and assess Dissertation /Thesis of scholars for M.Phil/ Ph.D/ Integrated M.Phil & Ph.D programme.

- m. "External Examiner" means an examiner who is not on the pay rolls of the University of Kashmir;
- n. "Registration" means registration of candidates for M.Phil/Integrated Ph.D. programmes granted by the BORS under the relevant Statutes and includes re-registration/fresh registration also;
- o. Research Progress Assessment Committee (RPAC) means a Committee constituted under the relevant Statutes to evaluate and assess the research progress of the registered scholar;
- p. M.Phil means M.Phil as conferred under the Statutes;
- q. "Ph.D." means Doctor of Philosophy as conferred under the Statutes;
- r. Integrated M.Phil & Ph.D means the Integrated M.Phil & Ph.D Degree as conferred under the Statutes.
- s. "Research Council" means the body approved by the competent authority to formulate policies and programmes for promotion of research in the University.
- t. Research: 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 rigorous assessment by experts in a given discipline. Research results into output 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.

Research may include: contributions to the intellectual underpinnings of subjects and disciplines, the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products, communications or processes, and the synthesis and analysis of previous research to the extent that it is new and creative.

Research findings must be open to scrutiny or formal evaluation by experts within the field. This may be achieved through various forms of dissemination including, but not limited to, publication, manufacture, construction, public presentation, or provision of confidential reports.

Research does not include activities that are part of routine standard practice or outputs that do not embody original research.

4. Research Management

The activities related to research in the university are governed by a set of norms formulated by the University Research Council (URC) which has following powers/functions and composition:

Powers and functions

1. To advise on matters related to improving 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.
2. To suggest ways and means of supporting, promoting, encouraging and assessing research activities and output in the University and its adjuncts.
3. Provide a forum for discussion on new, innovative and strategic research initiatives, including proposals for augmentation of R&D infrastructure in the University.
4. To discuss, debate and recommend to the Syndicate and University Council amendments, modifications, changes etc. in the statutes and rules for various research programmes in the University, including fee structure, number and emoluments of university research scholarship/fellowship etc.
5. To consider proposals from Boards of Research Studies, Deans of various Schools and other relevant bodies/authorities regarding capacity building in R&D, new initiatives for promotion of research and research output, ethical conduct, technology transfer, utilization of research grants and make appropriate recommendations for consideration of competent bodies.
6. To counsel on matters related to inter-disciplinary, trans-disciplinary and collaborative research at local, regional, national and global level and identify opportunities for partnerships to support research interests of the University of Kashmir.
7. To consider policies regarding Intellectual Property (IP) including ownership, sharing of licenses, technology transfer and royalty resulting from IP created by the University of Kashmir and other activities related to IP and recommend to the competent authority for their adoption.

8. The URC shall be a recommendatory/advisory body and shall not take any decision on any matter falling within its competence which involves financial and administrative implications, without obtaining prior approval of the Syndicate or the University Council, as the case may be.
9. The URC shall have powers to appoint standing committee with appropriate members with power to invite distinguished researchers for advice on matters of urgent nature.
10. To advice and suggest ways and means to develop linkage with various stakeholders like industry, judiciary, corporate world or other research institutions.
11. Advise and guide the University on matters related to mobilization of financial assistance for research from sources like government agencies, NGOs, industry etc.
12. Periodical review of monitoring and evaluation mechanism for research and suggesting modification for making it more effective.

Composition

The URC shall consist of the following members, all of whom shall be members ex-officio

1. The Vice Chancellor
2. Two distinguished researchers nominated by the Chancellor
3. One distinguished researcher not associated with the University of Kashmir to be nominated by the Vice-Chancellor
4. Dean Research
5. Dean, Academic Affairs
6. Deans of Faculties/Schools
7. Dean Research or equivalent of the Universities/Institutes in the State of Jammu and Kashmir
8. One Head of Department/Director of a Centre, University of Kashmir by rotation to be nominated by the Dean of the Faculty/School.
9. Nodal Principal, Kashmir Province
10. Three Principal Investigators/Coordinators who have brought in significant research grants from national international agencies
11. Chairpersons of the Subcommittees that report to the University Research Council

12. Representatives of Govt. departments/agencies such as Science and Technology, Agriculture, Forests, Industries, State Pollution Control Board etc. to be approved by the Vice Chancellor on the recommendation of Dean Research.

Terms of reference

1. The term of office of the members (other than ex-officio members) will be three years from the date of nomination.
2. The University Research Council shall meet at least once in a year or after six months depending upon the available business.
3. Fifty percent of the total membership shall form the quorum for any meeting.

Subcommittees to report to the University Research Council

1. **The Standing Operations Sub-committee**, comprising faculty from across campuses to be nominated by the Vice Chancellor on the recommendation of Dean Research that investigates specific aspects of research and its infrastructure in depth, makes recommendations to the URC for improvement, and provides a forum for faculty input into the overall research environment of the University.
2. **Research Ethics Sub-committee**, comprising selected faculty members to be nominated by the Vice Chancellor on the recommendation of Dean Research to look at all ethical aspects of research including plagiarism, ethical clearance wherever required.
3. **Biosafety Sub-committee** – comprising selected faculty from across the School of Biological sciences to be nominated by the Vice Chancellor on the recommendation of Dean Research to look at biosafety related issues including impediments to the conduct of clinical and translational research, and provides recommendations to the URC regarding solutions and best practices.
4. **Research Extension/Awareness Sub-committee** – Members to be nominated by the Vice Chancellor on the recommendation of Dean Research and the Committee ensures that the research mission of the KU is highly integrated into overall societal development and plays important role in Government's policy planning.

5. Requirement to Undertake Research

- a. Each teacher/scholar will carry out independent research, and/or creative activities that are appropriate to his/her discipline. In doing so they will individually or in collaboration with colleagues:
 - i. supervise research students;
 - ii. broadly disseminate research results (i.e. through more than one medium or one audience) through their teaching practices and, wherever appropriate, protect the results of their research;
 - iii. contribute to the research environment and culture in the University of Kashmir through activities, such as mentoring, engaging in new research initiatives and strengthening the research infrastructure; and
 - iv. participate in initiatives designed to secure financial support for research activities from external sources (including for example, government funding, industry partnerships and contracts, philanthropic gifts, research translation and commercialization opportunities).
- b. The requirement to undertake research is a prerequisite for professional growth and will be balanced with other obligations of academic staff including teaching and administrative responsibilities.
- c. Nothing in this policy is to be construed so as to prevent Deans of Schools/Heads of Departments/Coordinators etc. from allocating teaching and other responsibilities in the light of the research record of academic staff.

6. Statutory and Ethical Obligations

- a. Faculty, scientists and research scholars are required to carry out their research in compliance with all the University's obligations under legislation and other ethical and contractual obligations.
- b. 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 committees.
- c. All academic staff, students, and visitors of the University are required to make themselves aware and follow the contents of the University Act, Statutes and other policies duly approved by the competent authority.
- d. While formulating research projects, the Scientists are expected to keep not only the national and regional priorities into consideration but also generate research output that augments the efforts to address some global issues.

7. Resources Support for Research

(a) University Research Fund

- i. The general principle governing the allocation of funds for research 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 Council for approval by the competent bodies/authority.
- ii. The University Research fund shall be exclusively used for promotion of research preferably on local issues in whatever manner possible with due approval of the competent authority.

(b) Faculty and School Research Grants

Various departments, Research Centres will be allocated grants as per their requirements and such requirements are assessed through a rigorous process inviting different sections of University e.g. Budget, Development, Research etc.

(c) External Research Funding

- i. All applications for any external research funding are to be submitted to the funding agencies through the office of Dean Research.
- ii. All the research projects or any other research contracted by an external party is administered by the office of Dean Research.
- iii. The office of Dean Research provides financial and non-financial management services to Investigators, Coordinators etc.
- iv. The researchers are encouraged to submit projects to different funding agencies and the Dean Research maintains a record of such proposals and remains in touch with the External Funding agencies for completing necessary formalities.

(d) Compliance with project guidelines of the University and funding agencies

Faculty and other researchers are expected to comply with the management of external research, consultancy and other contracts in accordance with prescribed guidelines of the funding agency, General Financial Rules (GOI), Procurement Guidelines (GOI) and other norms and procedures notified from time to time by the Central and State Government agencies.

- (e) Faculty members are eligible to apply for leave** in order to defend their research projects besides, Study Leave, Overseas Conference Leave etc which shall be considered for approval by the Competent Authority after fulfilling the requirements in terms of the leave rules of the University of Kashmir.
- (f) University Research scholarships** are available through the Faculties and Schools to support M.Phil and Ph.D scholars.

8. Research Planning

Each faculty/school and its constituent academic units are required to develop and implement their own research plan that is consistent with and delivers to the University Research Strategy and the University Strategic Plan.

9. Evaluation and Monitoring of Performance

- a. Dean Research has the responsibility for evaluating the University's Research performance. Boards of Research Studies of each School/Faculty advise the University Research Council on the University's performance, its alignment with external research funding sources available, opportunities for development and the impact and intensity of its research.
- b. The Dean of the concerned School/Faculty monitors the performance of Departments and research centres in accordance with the evaluation procedures of the University.
- c. Staff (including teachers, researchers etc) are required to participate in the external assessment of performance through DIQA and other similar bodies.
- d. Staff (including teachers, researchers etc) are required to provide full and accurate details of their research outputs as required by their Head/Coordinator of Department /Director/Rector of the Centre/Campus. This shall be done at least annually. The information is supplied to the DIQA/Office of Dean Research.
- e. DIQA publishes an Annual Report wherein the research outcomes, research publications, extra-mural funding, etc. are presented.

4.7 Recruitment and Staff Development

- a. An important characteristic of a university is to engage in quality research. Therefore, the appointment of new academic staff must give appropriate consideration to the quality of their research record and ensure that it commensurate with the requirements of the position. Responsibility for oversight of this rests with the relevant Selection Committees and competent bodies.
- b. Academic staff are required, as part of the annual process, to prepare a research plan and to review that plan annually in consultation with their Head/Coordinator of Department or Director and Dean of the School/Faculty. Consultation should include a review of: Research objectives, anticipated applications for external research funds, details of other initiatives to secure financial support for their research activities, opportunities for collaboration, timelines and expected outputs for the dissemination of their research results, protection of their research results where appropriate, supervision opportunities, activities within the Research community, activities to enhance the impact of their Research.
- c. Deans of School/Faculties should ensure that newly appointed staff are familiar with research evaluations, research training and funding opportunities and the importance of publishing in suitable journals, both within the University and external to it.

10. Publication and Intellectual Property

- a. The University expects that all research outputs are publicly available.
- b. Research outputs may be withheld by the University where "good reason" exists.
- c. To the extent permitted by law, research outputs may be embargoed as required by the University's Intellectual Property Policy.
- d. University has a mechanism in place to check the plagiarism of publications. Plagiarism and other scientific misconduct is not only checked but is also made punishable.

11. Research Centres and Institutes

Characteristics of Research Centres and Institutes

- a. The University establishes Research Centres to raise the research profile of the University, focus on areas where the University has made substantial progress (or the University wishes to develop) and to maximise external research funding. Research Centres help position and promote the University's areas of research excellence and build the University's research reputation. These Centres also engage with other research institutions and industry and facilitate interdisciplinary and multidisciplinary relationships.

12. Distinctive Thrust Areas/Themes

Like Research Centres and Institutes, a plethora of multidisciplinary themes may be identified that augment the academic policy and framework of the University. They promote an outlook that goes beyond disciplinary, school, faculty and other traditional boundaries and frame and develop research and public engagement endeavours of the University of Kashmir.

13. Statutory Compliance

The University is required to manage its policy documentation within a legislative framework. The legislation directing this policy includes the:

The Jammu & Kashmir Universities Act, 1969 (as amended)

University Grants Act, 1956

Any other relevant legislation enacted from time to time either by the Central Govt. or the State Govt.