

Research & Development Policy

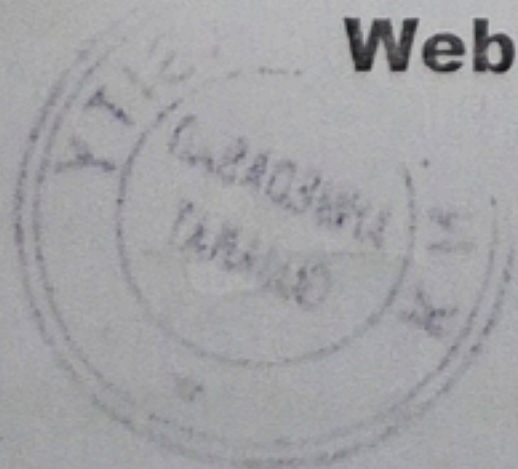


KN UNIVERSITY

(Established Under section 2(f) of the UGC Act, 1956)

S.G. Highway, Gota, Ahmedabad, Gujarat

Website: www.knu.edu.in



Research & Development Policy

1. Preamble

KN University (KNU) is committed to the pursuit of excellence in research and aims to achieve international recognition through inter-departmental and inter-institutional collaborative research program in various streams like, Business and Management, Computer Sciences, Technologies, Liberal Studies, Pharmacy, etc. KNU shall ensure that research in all domains grows exponentially, keeping the ethical norms and research standards intact. It is equally important to ensure that the products and outcomes of the research are appropriately disseminated to reach the widest possible audience at both national and global levels. This policy provides a set of guidelines for conduct of research at all levels and is applicable to all faculties and students of the University who may be involved in any form of research activity.

2. Vision

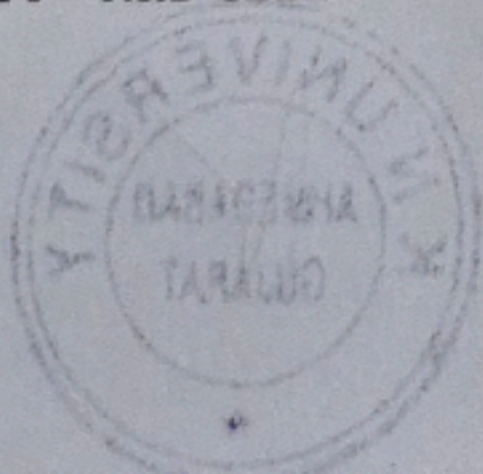
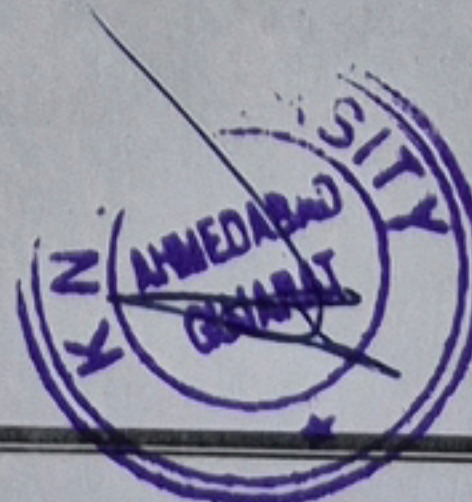
To put in place a robust mechanism for developing and strengthening the research ecosystem within KNU, aligned with the provisions of NEP-2020

3. Mission

- To create a conducive environment for enhanced research productivity.
- To encourage collaboration across industry, government, community-based organizations, and agencies at the local, national, and international levels.
- To facilitate greater access to research through mobilization of resources and funding.

4. Scope

The policy is intended for all the academic, research and supporting staff (permanent or temporary), and students of KN University engaged in teaching-learning and R & D activities.



5. Key Objective

- a) The primary aim of this policy document is to cultivate, promote and strengthen research and scholarly activities among the faculty and the students of the University, and to enhance the quality of R & D activity undertaken by them.
- b) To integrate research activities with the thrust areas of research of the university which are drawn keeping in view the local, regional, national, and international needs, present and future and sustainable development goals (SDGs) of united nations.
- c) To create, strengthen and maintain state-of-the-art research infrastructure to facilitate cutting-edge research activity.
- d) To create an enabling academic freedom environment within university to foster intensive research culture as well as provide required support through research framework and guidelines.
- e) To augment research funding through extramural research grants.
- f) To nurture an environment of undertaking socially useful research with potential for commercialization.
- g) To provide research seed money to freshly recruited young faculty.
- h) To incentivize the best performers in research and innovation.
- i) To translate new knowledge, technology, innovations emerging out of the research at university into processes, products, and services for benefit of the society.
- j) To ensure effective dissemination of research outcomes in the form of research publications in quality journals, UGC-CARE list, indexed in Scopus/Web of Science and/or with impact factor.
- k) To protect Intellectual Property Right (IPR) in the form of patent, copyright etc., arising out of the research conducted by the university fraternity.

6 Promotion of Research

The University believes that researchers are free to choose the subject of their research, to seek support from any funding source for their research work, and to report their findings and conclusions. However, research shall be available for scrutiny to the University and constructive criticism of peers. Research techniques used by the researchers shall not violate established professional ethics, pertaining to the health, safety, privacy, and other personal rights of human beings or to the infliction of injury or pain on animals.

The University shall create conducive environment for research. Due to limited



A handwritten signature in blue ink, located at the bottom right of the page.

resources, the University may not support fully all research likely to be undertaken, but it shall allocate the space, facilities, partial funding, and other resources for research programmes based on the scholarly and educational merits of the proposed research. It shall also provide development opportunities to researchers for writing research proposals and reports, publications, patent filing, etc.

7 Research & Development Program

7.1 Research at UG/PG level

There is a limited scope of research at UG level in most of the disciplines except for those disciplines which have 'Project' work in the final year of the UG programs. Project is normally a part of teaching-learning process for these students but sometimes an observation may lead to some new finding. However, PG courses in many disciplines have a project work for full two semesters (one year) where in the students undertake Research & Development work. This project work need to be taken more seriously so that it can lead to some innovations/development of new technology, but at least should provide some quality publications. The University has a well-defined policy on research paper publication resulting out of each dissertation, which shall be adhered to. Best PG dissertation awards are given to the selected candidates from individual faculties.

7.2 Research at Doctoral program

Ph.D. degree program: It is understood without saying that Ph.D. is a purely research oriented program. 'Research' can be defined in different ways but is nothing but unraveling the mystery of nature, creating new knowledge/technology or redefining the existing knowledge. It also includes the use of existing knowledge for the development of new devices, products, processes or improved materials. But it excludes standard routine activities like data collection, preparation of teaching materials, routine testing, or other professional activities devoid of basic tenets of research components. Research findings are always open to scrutiny or formal assessment by subject experts. KNU has a large pool of PG and Ph.D. scholars who need to channelize their energy and efforts by undertaking quality research work which should be applicable to the society and for nation building. Apart from the self-financed Ph.D. scholars, the University supports the Ph.D. degree seeking scholars financially by extending financial assistance falling under the following four categories:

- a. Ph.D. Scholarship/Fellowship is provided to some selected applicants registered in the University as full time research scholars.



- b. JRF/SRF Fellowship on UGC pattern is provided to a limited number of fulltime Ph.D. registered candidates in the University who are NET/GATE/GPAT qualified.
- c. The University teachers registered for Ph.D. in the University can avail intramural research project assistance on the basis of merit for pursuing their Ph.D. degree programs.
- d. Ph.D. scholars are provided financial support to purchase chemicals/glassware/small equipment's, testing/analysis charges etc. for their research work.
- e. Fee-waiver scheme (for a limited number) is available to faculty members of KN University who are registered for their Ph.D. programme in the KNU.

7.3 Research by Faculty members:

Faculty members are supposed to involve themselves in R & D activities along with their normal academic and administrative duties. Faculty members are encouraged to protect the intellectual property generated by their R & D activities undertaken in the University using their intellectual capability by applying for patenting of their innovations. They should also try to disseminate their research findings by publishing in peer-reviewed journals of high repute and by presenting their work in National/International conferences. Faculty members are also encouraged to upgrade their knowledge by attending QIPs/SDPs or workshops. Faculty members are encouraged to share their expertise in delivering invited expert lectures on different platforms in and outside the University. For encouraging the faculty for R & D activities, faculty members have the options for applying for the following research schemes:

7.4 Extramural projects: Due to the constraints of financial resources, the University can fund research proposals in a limited manner. It is expected that faculty members would strive for research funding from extramural sources by applying to various government funding agencies like MHRD, AICTE, UGC, DST, DBT, ICMR, CSIR, AYUSH, DAE, GUJCOST and GSBTM or private funding agencies/International funding agencies. Incentives are given to faculty members for bringing projects from externally funding agencies.

7.5 Major-Minor Research Projects

From the very beginning, the University encouraged young faculty to conduct research. Thus, it has developed a scheme for providing financial assistance to Major-Minor Research Project. According to this scheme, a faculty member prepares Major Research Project, which is submitted to a committee at Department/University level and on the



[Handwritten signature]

recommendations of this committee the University gives financial assistance to the faculty concerned (as per university norms). To have the periodical assessment for all such research projects and with an aim to guide the researcher, the departmental or institutions level committee is constituted. It is also mandatory to send a quarterly progress report of such Major Research Project to the University. For this purpose, every year the University earmarks financial budget under each institution.

The Major-Minor Research Project Scheme helps young faculty think about research, prepare the proposal, conduct research and write a research report. It also assists them in preparing proposals for major research projects. The University shall continue to encourage young faculty to take up minor research projects and shall earmark appropriate budget for this purpose.

8 Responsibilities of Researchers

8.1 Responsibilities of Faculty 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, postdocs, and visiting scholars.

Each member has the right to know who is sponsoring the research and supporting his or her salary or stipend because KNU believes in academic transparency. The University is committed to demonstrate support and appreciation for its research staff. To that end, faculty members are encouraged to provide staff development opportunities (such as FDPs and special Training Courses or Workshops) and, if possible, a mentor relationship for those in their research group

8.2 Health & 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.

Principal Investigators (PI) are directly responsible to assure 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.

8.3 PI's Responsibilities to Sponsors

Although the legal agreement funding a sponsored project is between the sponsor or sponsoring/funding agency and the KNU, 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.

8.4 PI's Responsibility for Research Equipment

The control, upkeep and record-keeping of both KNU 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

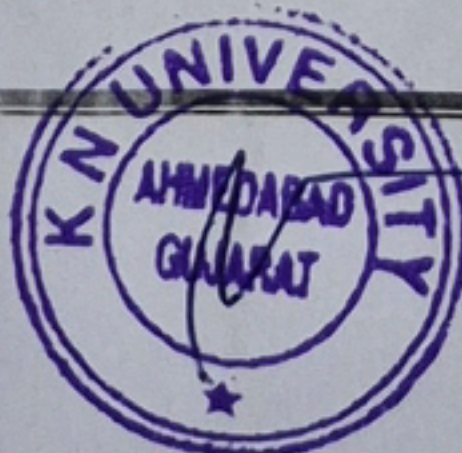
8.5 Preparation of Proposals and Application for Extensions or Continuation

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 Head or Faculty Dean (college-wise) 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.

9 Ethical values and legal implications: KN University respects Indian traditions and professional ethics. It expects all its researchers to take into consideration the ethical and legal implications of their research and be aware of their responsibilities to their profession, regulatory/sponsoring agencies, society and the environment.

10 Recognizing and Showcasing the R & D output of the Faculty Members

- **Publication in journals:** Faculty members are encouraged to publish their research work in reputed International/National journals with high impact factors (SCI). Preference shall be given to publication of research articles in journals publishing the articles free of cost.
- **IPR protection:** If the research work has potential for industrial application then the



faculty members shall not disclose their findings on any public platform by publishing in journals or by presenting the work in conferences, public display or in any other manner, before filing a patent application/other forms of IPR protection.

- **Writing of books:** Faculty members are also encouraged to disseminate their knowledge/expertise by writing books or book chapters in edited books, and publishing them with publishers of repute.
- **Research excellence/promotion awards:** The University has instituted Research Excellence Awards and Research Promotion Awards for the faculty and the students respectively, for recognizing and honoring good researchers in the University. The awards shall be given away every year (calendar).
- **Expert lecture delivering/attending training programs/paper presentation:** In order to showcase and disseminate their expertise the faculty members are encouraged to deliver invited expert lectures in and outside the University and present their research work in conferences. Faculty members are also encouraged to upgrade and refine their professional knowledge and skills by attending QIPs/SDPs/workshops organized by other institutions.

11 Promoting and Incentivizing Research

The faculty members are encouraged to undertake and execute research projects, file patents, publish their research outcome in good quality research journals and participate in paper presentations, QIP/FDPs/workshops and other similar activities. Different schemes/incentives* are made available for this purpose as mentioned below:

(*All schemes/Incentives/assistance are subject to changes from time to time and following due scrutiny by expert committee)

11.1 Promoting Patent filing:

Research involving industrial application is encouraged to be protected by patent filing. The full expenditure for patent filing shall be borne by the University. Apart from this, the following incentives* shall be offered to the inventors.

- i) Patent application filing with full specifications: Rs. 2000/-
- ii) Grant of patent : Rs. 5000/-

*The incentive shall be offered to the mentor (it may be distributed among other collaborating inventors. All assistance are subject to changes from time to time and following due scrutiny by expert committee).



11.2 Promoting Research Publication:

Publication of research/review articles or letter to the editor in peer reviewed journals is a recognized scale for measuring the outcome of R & D activity. Incentives are offered to the authors of publications as given below.

a:	UGC/NAAC listed journals	:- Rs. 2000/-
b:	SCOPUS indexed/listed journals (without impact factor)	:- Rs. 2500/-
c:	Web of Science/ SCOPUS/SCI, ESCI/PubMed Journals having SCI impact factor), with impact factor less than 2.5	:- Rs. 3500/-
d:	Journals with SCI Impact Factor (IF) >2.5 (with every increase in IF of one, there would be enhancement of Rs. 1000/- with a maximum of Rs. 10,000/-)	:- From Rs. 5000/- to Rs. 10,000/-
e:	Additional Rs. 1000/- per research paper shall be given beyond publication of two research papers (this is applicable for the two research papers published in journals listed in SCI/SCOPUS/Web of Science) in a year. For research papers in other journals, this augmentation shall not be done.	

12 Research Misconduct

The University believes that the occurrence of misconduct is a threat to the basic principles of research. The University defines research misconduct, as any fabrication, falsification or plagiarism in proposing, performing or reviewing research or in the reporting of research results. Research misconduct does not include an honest error or differences of opinion, authorship disputes that do not involve plagiarism, and violations of other University policies. Misconduct in research damages the integrity of the profession and undermines the credibility of scholars. It is also antithetical to the values the University strives to maintain and promote.

The University shall take seriously all allegations of misconduct, and shall ensure that the procedures for the inquiry, investigation and adjudication of any misconduct are well defined and just for all parties involved.

13 Review of the Policy

The policy will be reviewed after a period of three years.

