

# **Policy Document on Research Promotion in the University**



**'A' Grade  
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(3<sup>rd</sup> Cycle)**

**Prepared by**

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## **Background and objectives**

Research and innovations are integral to the mission of the University and cornerstone for creation of scientific knowledge to build fundamentals of all discipline but also contribute towards socio-economic development of society. Hence, the University has prime responsibility to establish and promulgate a conducive eco-system to nurture research in different areas of study.

Established on 15<sup>th</sup> August, 1990 by the Maharashtra Universities Act XXIX of 1989, vide Maharashtra Government notification no. UNM 1489/8233-uni-3-Cell; dtd. 14<sup>th</sup> August, 1990, the KBCNMU has HQ at Jalgaon and jurisdiction spread over three revenue districts, (i) Jalgaon, (ii) Dhule and (iii) Nandurbar- a tribal dominated district. In a short span, the university has moved from strength to strength as adjudged by a variety of parameters, be it extramural funding, number of patents filed/granted, quality publications, technologies transferred and no of Ph.Ds. awarded annually. The University (i) has partnered with Universities across the world for research and capacity building of faculty members through ERASMUS+ programme, (ii) provides seed money for research to the beginners and (iii) motivates young and budding researchers by organizing Research Aptitude Cultivation workshop every year. Hence, the KBCNMU, Jalgaon envisions to create a research niche culture for attaining its objectives and achieving international distinction through excellence in research and innovation by exploring novel research paradigms. Towards this endeavor, the University is committed to foster a research environ through various initiatives across four faculties and different disciplines of studies on campus and in colleges affiliated to it.

## **Purpose**

The research policy document provides a general framework for the conduct of quality research in the university. The policy shall be interpreted in consonance with the vision of the University and committed to the principles of academic freedom, integrity, ethics, accountability and collegiality. However, it does not have any intent to replace the policies and guidelines of funding agencies.

## **Definition of terminologies**

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

- (i) **“Agency”** refers to the funding agency/organization, sponsor public/private, national/international supporting, in whole or in part, any research.
- (ii) **“Corresponding author”** means the one who submits a manuscript for publication.

- (iii) **“Data”** refers to the recorded factual information and material both physical and electronic, commonly accepted in the scientific domain as necessary to validate research findings including, but not limited to, research proposals, laboratory record books, progress reports, internal reports and presentation.
- (iv) **“Research”** means all forms of funded and unfunded scholarly, scientific work and related activities based on intellectual investigation aimed at new finding, interpretation, disseminating or publishing knowledge. Research does not include activities that are part of routine standard practice or output of routine testing, data collection, professional activities, preparation for teaching, legal and administrative aspects.
- (v) **“Researcher”** means any member of University community (UG/PG/Ph.D./PDF/teacher) who engages in or supervises research/project.
- (vi) **“Research misconduct”** includes fabrication, plagiarism, misappropriation of intellectual property rights of another or any conduct that constitutes significant departure from ethical and other standards accepted for performing, reporting, reviewing research, but does not include honest errors or differences of interpretation or judgement relating to data or results.
- (v) **‘Fabrication’** refers to reporting of experiments never conducted.
- (vi) **‘Falsification’** refers to misrepresentation or suppression of data to project the desired results.
- (vii) **‘Plagiarism’** refers to copying data/results/text from other researcher’s work without his/her knowledge/consent or without acknowledging or giving due credit to him/her.
- (viii) **‘Fraud’** refers to deliberate and willful suppression of previous work of other researcher to claim originality of one’s work.
- (ix) **‘Breach of confidentiality’** represents intentional deviation with malafide intention from a written agreement between the two parties.

### **Scope**

This policy applies to all research conducted by a researcher from the University campus and affiliated colleges.

### **Objectives**

The prime objectives of this policy are to:

- (i) Create a vibrant research environment, entrepreneurship culture, innovative spirit leading to excellence in research with enhanced focus on outcome-based research.
- (ii) Provide infrastructural support for quality research, innovation and entrepreneurship
- (iii) Encourage the faculty to undertake cutting-edge and interdisciplinary research.
- (iv) Enhance overall research funding through Extramural agencies and intramural sources.

- (v) Strengthen linkages with academic institutions, industry and R&D labs at both national and international level.
- (vi) Motivate the faculty for sponsored consultancy and contract research projects and invigorate the researchers for publication of quality research work.
- (vii) Enhance the awareness for protecting and leveraging Intellectual Property Rights (IPR).
- (viii) Foster systematic integration of research culture among learning graduates.
- (ix) Support student research fellowships to nurture research on the campus and affiliated colleges.
- (x) Ensure compliance with all legislative framework associated with Good Research Practices (GRPs).

### **Curator**

The implementing and monitoring authority of the 'Research Policy' shall be the Pro-Vice Chancellor of the university as per section 37(2) of Maharashtra Public Universities Act, 2016 and shall be supported by statutory committees and ordinances/statutes. In order to upkeep the mission of the University, the following Good Research Practices (GRPs) shall be observed.

### **Basic obligations of the researcher and general guidelines for research outcome**

- (a) The selection of topic/area and conduct of research in it for degree (in part or full) /project/consultancy shall rest with the researchers and he/she, in turn, shall:
  - (i) Maintain honesty, integrity, ethical behavior in all research pursuit.
  - (ii) Obtain approvals including protocols, standard operating procedure, etc. before engaging in research activity.
  - (iii) Conduct research in compliance with all the University rules and guidelines in force
  - (iv) Comply any ethical obligations in case of animal experiments as well as safety rules, institutional biosafety & risks management policies, chemical hazards & biodiversity guidelines.
  - (v) Maintain confidentiality in case of contract research or non-contractual research which is under consideration for patent protection.
  - (vi) Keep clear and accurate records of the procedures followed, approvals if any, and maintain notebook as evidence when establishing ownership of research outcome/ conduct of research.
  - (vii) Handover the material, chemicals, cultures, bioactive compounds, software system, notebooks, recorded data, electronic dedicated notebook, machine printout as an attachment in separate wire binds that is cross indexed to the research guide/supervisor/college/university school after completing of research or before leaving the project as the case may be.

- (viii) Retain data in conformity with best practice for the period specified by funding agency or for a period of 5 years from publication of the data.
- (ix) Take all reasonable efforts in written agreement before the commencement of research collaboration with industry for future use of data/rights of intellectual property.
- (x) Never knowingly engage in the act of plagiarism or scientific misconduct
- (xi) Use archival material in accordance with the rules of archival source.
- (xii) Use research funds with integrity and accountability and for the purpose they are meant for/provided by the funding agency.

*Note : Those who are registered for a degree (UG/PG/Ph.D.) shall also abide by rules/guidelines governing them as notified by the university from time to time.*

- (b) For research outcome (publication/patent/technology/monograph/book/book chapter/thesis/dissertation/project completion report etc.), the following general guidelines shall be applicable:
  - (i) The publication shall not misrepresent data/images or results or copy data or result of another manuscript.
  - (ii) It shall acknowledge affiliation with the University
  - (iii) It shall ensure authorship to all those who have made significant scholarly contributions to the work and shared responsibility and accountability for the results.
  - (iv) In case of research publication, the corresponding author shall ensure that the consent of all the co-authors for it has been obtained in writing.
  - (v) Persons or agency(ies) who do not qualify for co-authorship, but made useful contributions in manuscript must be appropriately acknowledge in accordance with standard practice.
  - (vi) The financial assistance of any type/funding agencies shall be duly acknowledged in all type of research output.
  - (vii) The guidelines of university regarding IPR shall be followed wherever applicable.
  - (viii) A proper MoU with well-defined terms and conditions shall be signed with the party to whom the technology is being transferred/consultancy is being offered or collaborative research has been planned.
  - (viii) All types of publication shall bear a 'University Publication Number' to be obtained at the time of first communication for publication from the office of the Pro V C.

#### **Research Support (Funds/facility/Infrastructure/administrative)**

The university shall provide all round support to promote and sustain research on its campus and affiliated colleges. Some of the initiatives for this purpose are listed below.

- (i) The University shall establish a separate central Sophisticated Analytical Instrumentation Facility (SAIF) equipped with high end advanced instruments and manned by technically qualified personnel to facilitate quality research in cutting edge of science and technology. The facility shall be available to all the researchers in jurisdiction of university, incubatee enrolled in incubation center of the university and industries on predetermined terms.
- (ii) The university shall earmark funds in its budget for supporting research activities. It shall provide intramural funding under the name “**Vice Chancellors Research Motivation Scheme (VCRMS)**” to deserving researchers in its jurisdiction.
- (iii) The University shall facilitate research activities in affiliated colleges/institutes and recognized R&D centers by recognizing and approving their labs in a given subject as per the norms laid down by it.
- (iv) The University shall facilitate the researchers, either individually or in a team, with innovative idea/design for business incubation by setting up an Incubation Centre on the campus. It shall also assist in mustering support from venture capitalists/angel financiers for setting start-ups, further scale up of protocols and marketable products and services.
- (v) Principal Investigator of the extramural project shall be given permission to utilize 30% of overhead expenses for meeting analytical expenditure, travel for attending conference, payment of registration fees of conference, seminars etc., purchase of laptop or small instrument for research purpose with prior permission of Vice Chancellor.
- (vi) The university shall provide a matching grant required for purchase of a specialized instrument in case of shortage of grants allocated in the research project sanctioned to the researcher.
- (vii) The University shall provide financial support to researchers to file the patents through Intellectual Property Right (IPR) Cell as per the IPR policy. The University shall make appropriate allocation for this purpose in its budget every year.
- (viii) The university shall earmark funds for organizing national/international conferences/seminars/workshops by the schools/departments on campus and affiliated colleges.
- (ix) The university shall make provision in its budget for providing financial assistance to members of faculty, both on campus and working in affiliated colleges for attending and delivering oral/invited talk/presentation in national/ international conferences/seminars/workshops/symposia.
- (x) The university shall provide financial assistance under its Teaching Associateship Program (TAP) to short listed and registered students for pursuing Ph. D. every year.

- (xi) The university shall provide financial assistance to registered Ph. D. students for making oral presentation in national/international conference/seminar/workshop.
- (xii) The University shall arrange intensive practical based scientific training programme in each summer for meritorious students pursuing graduation in science stream to inculcate research approach under '**Summer Research Aptitude Cultivation Workshop**' initiative.
- (xiii) The University shall periodically extend Mobile Science Exhibition Van in the remote rural and tribal villages to boost the scientific view point, popularize science and inculcate research attitude among undergraduate students of its jurisdiction.
- (xiv) The university shall endeavor to suitably incentivize outstanding research work and researcher.
- (xv) The university shall provide suitable administrative and accounting support for the smooth operation of R & D projects/contract research/consultancy programs of the researcher.

#### **Research Incentives**

The university shall institute research awards/ incentives to motivate researchers working on the campus and affiliated colleges/institutes for undertaking quality research related activities and reward the outstanding performers. The research awards shall be given to the researchers annually based on credits earned through various research activities (notified separately). The type of awards to be given are listed below.

- (i) Research Excellence Awards (REA), one, to the most outstanding researcher of the university. This award can be given up to 2 times to an individual in his/her career.
- (ii) Best Researcher Award, four, one from each faculty.
- (iii) Best Research School Award shall be given to the University School /Institute for securing maximum funding in a calendar year from various sources (extra mural R & D projects, departmental projects such as UGC-SAP or DST-FIST, contract research grant or consultancy project).
- (iv) Best Research Scholar Award shall be given to Ph. D students (first author) for a single publication in more than 2.0 impact factor/ journal (National, International) based on Thomson Reuter/Scopus and recommendation of his/her Supervisor/Head/Principal.
- (v) Best Research Faculty Award shall be given to faculty members for publication(s) having cumulative impact factor of more than 5 (as per Thomson Reuter and Scopus) in a calendar year or for publication of a reference book by a reputed international publisher upon recommendation by Director/Head/ Principal.

- (vi) Collaborative Research Award shall be given to the faculty for successfully completing a collaborative research project with Indian/foreign University/Institute/Industry or a sister school/department on campus or affiliated college.
- (vii) Industry Inspired Applied Research/Consultancy Promotion Award shall be presented to the researchers who completes a contract research or consultancy project of Rs. 1,00,000/- or more in a calendar year.
- (viii) Best VCRMS Fellow award shall be given to the faculty/non-teaching staff for effective utilization of VCRMS grant as evident from research outcome.
- (ix) The Calendar year for calculating the credit points earned by researchers for awards listed above shall be from 1<sup>st</sup> January to 31<sup>st</sup> December every year. The last date for submission of application for research award in prescribed format shall be 30<sup>th</sup> June of succeeding year.
- (x) The university shall constitute a 'Research Award Committee' under the Chairmanship of Pro-Vice Chancellor including Deans of each faculty and Director Innovation, Incubation and Linkages which shall scrutinize the applications submitted by researchers. The awards shall be presented on the Foundation Day of the University, i.e. 15<sup>th</sup> August every year. The decision of the Committee shall be final and binding to all the concerned and no Right to Information (RTI) be entertained in this matter.

### **Research misconduct**

The Research Policy of the university has been prepared to establish and promote quality research eco-system in the university wherein outstanding research and performers shall be motivated and incentivized on one hand and any intentional 'misconduct' shall be dealt with strict punitive action on the other hand. The university shall endeavor to upkeep the highest ethical/moral and scientific standards in all its research activities on campus and affiliated colleges.

### **The Statement**

- (i) Each researcher shall adhere to ethical/moral/scientific standards of conduct for carrying out research.
- (ii) Research misconduct shall also include facilitating concealment or involvement in such actions by others and any plan or conspiracy or attempt to do any of these things.
- (iii) Research misconduct shall not include honest error or honest differences in interpretation or judgement in evaluating research methods or results, or misconduct unrelated to the research purpose.



- (iv) The University shall organize seminars/workshops at regular intervals for creating awareness among the researcher(s) on the issues related to integrity, ethics in the conduct of research.
- (v) The research supervisor/guide shall verify that each thesis or dissertation submitted by researcher(s) or students is checked for plagiarism as per UGC guidelines before submission to the Research Section of the University.
- (vi) The University shall initiate procedure for registration under Shodhganga and shall ensure the theses are duly uploaded as per UGC norms.
- (vii) The University shall remain committed to protect its researchers from malicious accusations and shall take action against any individual(s) responsible for such allegations.

**The process (reporting and investigation)**

- (i) The pro V. C. or the Director, Board of Research shall be the first point of contact for reporting any research misconduct as defined above.
- (ii) In case of informal allegation, Director, Board of Research or Pro-V. C shall ask the complainant(s) to put allegation pertinent to scientific misconduct in writing. The identity of the complainant shall not be disclosed when the research misconduct has been reported by the staff.
- (iii) Pro-V. C. shall prepare a preliminary evaluation report in consultation with expert colleagues either independently or through the constitution of committee.
- (v) Pro-V. C. shall dismiss the allegations if the findings indicate no substantial evidences for the said allegations and written report with reasons for dismissal shall be kept in the office and never be kept in the personal/confidential file.
- (vi) Pro-Vice Chancellor shall intimate the decision about dismissal of the allegations in writing to the complainant(s).
- (vii) Pro-Vice Chancellor shall initiate separate full investigation with appropriate records of procedures in case the preliminary evaluation report indicates substantial evidences of scientific misconduct committed by the individual or coworkers and shall appoint a committee with the approval of Vice Chancellor to conduct a full investigation into the allegation of misconduct.
- (viii) The Pro-Vice Chancellor shall inform the allegation about scientific misconduct to a person or coworkers against whom the complaint was made and preliminary investigation found substance in it (hereafter referred as respondent).

### **The scope of the committee**

- (i) The scope of the constituted committee shall be : (a) to investigate the accuracy of charge of research misconduct, (b) to assess the nature of alleged misconduct, (c) to investigate the relevance of information revealed during the course of investigation into the alleged instance of misconduct.
- (ii) The constituted Committee shall be given access to all documents (reports, primary data, electronic records, manuscript and allied materials) that is necessary to complete the investigation.
- (iii) The committee shall be given access to laboratory and permitted to conduct in camera inquiry of complainant and respondent(s), laboratory staff if deemed suitable for conclusion.
- (iv) The committee shall complete the investigations and prepare a detailed report for submission within a period of 60 days (extendable based on the gravity of the misconduct) to the Pro V C.
- (v) The investigation related to the review of alleged misconduct shall be kept utmost confidential and caution shall be exercised to distinguish between differences in interpretation or unintended errors from the misrepresentation of information and shall be determined on a case to case basis.
- (vi) The respondent(s) shall co-operate during review of allegations, investigations and the conduct of assessments. The respondent(s) shall provide relevant evidence to the Committee.
- (vii) The committee shall maintain utmost confidentiality till the completion of investigation and shall not be permitted to dialogue with Press or other faculty members individually during the course of investigation.
- (viii) The committee shall function within the full cognizance of the rights of the respondent as well as the complainant.

### **The Outcome of committee**

- (i) The committee shall submit the report with clear recommended course of action with explanation about modalities of investigation, source, relevant information, and basis of conclusion to the Pro-Vice Chancellor.
- (ii) The Office of Pro-Vice Chancellor shall provide a copy of report to the respondent who may be asked to submit a clarification, point by point, within next 21 days as annexure to the report.

- (iii) The Pro-Vice Chancellor shall put the matter before Vice Chancellor with clear recommendations, if the respondent(s) is/are proved to have committed research misconduct.
- (iv) The Vice Chancellor shall propose appropriate action with the approval of Management Council and the decision of Management Council shall remain final and binding on the respondent(s). The decision shall be communicated to the respondent(s).
- (v) In case, the complaint itself proved to be false, baseless and made with malafide intentions, Vice Chancellor shall formulate appropriate action against the complainant.
- (v) The University shall consider the research/scientific misconduct as a serious offense in case proved and shall hand out strict punitive action to the researcher so that these actions are not repeated.

**Review of Policy**

This policy shall be reviewed at the end of five full year of its operation by the committee appointed by Vice Chancellor.

**Vice Chancellor**  
Kavayitri Bahinabai Chaudhari  
North Maharashtra University, Jalgaon

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**For approval purpose**

- # Website address of this Policy : [www.nmu.ac.in](http://www.nmu.ac.in)
- # History of Document: Issued with approval of Vice Chancellor.

Approved by	Date	Resolution No.
(i) Academic Council	22.08.2019	A-112/2019
(ii) Management Council	-	-

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