

# **RESEARCH AND DEVELOPMENT (R & D) GUIDELINES**

**AISECT UNIVERSITY**

Vill- Jhonhiya, P.O.-Daru, Thana- Daru, Distt. Hazaribag (Jharkhand)

## 1. Objectives

These guidelines aim to provide a positively oriented set of practical suggestions for maintaining integrity in research. An ethical conduct of science satisfies a scientific moral code and also leads to better scientific results. This is because, adherence to ethical research practice leads to more attention to the details of scientific research including qualitative analysis, quantitative & statistical techniques and to more thoughtful collaboration and interactions among investigators. Also, the credibility of science and its applications with the general public depends on the maintenance of the highest ethical standards in research.

Hence, to enforce and implement ethical and quality research, AISECT University (AU) has set forth certain R & D guidelines which will not only help an investigator avoid departures from accepted ethical research practice and prevent serious deviations that constitute research misconduct, but will also encourage more multidisciplinary and collaborative research.

## 2. Composition of the R & D Cell

The R & D cell shall consist of:

Sl. No.	Composition	Designation
1.	External Member(s) with considerable experience in research and research administration	Advisor
2.	VC	Advisor
3.	Director, Research	Chairperson
4.	Director, Project	Member
5.	HoDs/ Faculty Members from each department	Members & 2 joint Conveners
6.	Director, IQAC	Member

## 3. Quorum

The R & D cell shall meet at least twice a semester and the quorum for the R&D cell meetings shall be the nearest whole number above 50% of the membership of the R&D cell. The coordinator may decide for any additional meetings as per need basis.

## 4. Accountability and Reporting

- The R & D cell shall submit reports of the progress and research work being done in the University annually to the Academic Council and IQAC. The cell shall also assist the Academic Council in the performance of the Council's responsibilities in respect of the establishment and promotion of excellence in the Institute's research and development, and academic and research training activities.
- The R & D cell shall keep the university informed about its efforts in seeking grants/funding from national and international agencies based on the research status provided by the university.
- Progress report of the research of the student being done shall be submitted periodically or as and when called for by the university. The cell should provide consolidated information to the academic council and other relevant institutional bodies about various research and related activities viz. the various research initiatives across departments, seed grants, higher degree research etc.
- Number of research students registered shall be informed.

## 5. Responsibilities

The R & D Cell shall be responsible for:

- The development and enhancement of the Institute's research profile.

- b. The protection and commercialization of the Institute's intellectual property following the IPR norms and regulations.
- c. Overseeing all consultancy activities.
- d. Creating awareness among faculty and staff members about various research funding schemes and their sources and how to apply for the same.
- e. Promoting projects and research that can be easily identifiable with the public and helpful to the local community and community at large.
- f. Promoting emerging areas of research and technological advancements.
- g. Developing a conducive environment for the motivating and engaging staff with a knack for innovations and research in their respective areas of expertise.
- h. Building research capacity and mentoring researchers.
- i. Setting up systematic procedures for the administration of research programs.
- j. Monitoring the mobilization of research funds and ensuring that they are properly utilized and accounted for.
- k. Promoting and building strategic partnerships and developing funding solutions with industries/research institutions/funding agencies for progressive and advanced research.
- l. Encouraging multi-disciplinary research across departments and schools.
- m. Monitoring the performance in research and development of individual researchers, departments through the maintenance of a structured database of research and developmental activities.
- n. Monitoring the progress of research scholars.
- o. Monitoring and enhancing the quality of research projects, programs and infrastructure within university, including the training of research scholars.
- p. Providing review for proposals and appointing review committee and scrutiny committee.
- q. Overseeing that code of ethics in research is followed at all levels in the University.

## 6. Rules

- a. Teaching staff of all departments are encouraged to participate in Seminar/Workshop/Conference/ Orientation Programme/Refresher Course/Faculty Development Programme subject to screening of the application through Research & Development Committee.
- b. This facility may be availed by a faculty member once in every semester which will not be carry forwarded.
- c. Staff members who are going to present papers in conferences should give an oral presentation of their papers in their respective departments, within a month after returning from the conference. The seminar shall be kept open to all interested and notification of the same should be sent by the HoD to all departments, IQAC, Registrar, VC and Pro-VC.
- d. A register/record shall be maintained in the R&D center to furnish the details of faculty members presenting papers in conferences, attending workshops and publishing papers in abstracted journals which will be taken into account by the management during the member's evaluation/appraisal process.
- e. Application for on-duty to attend any research activity including paper presentation should be submitted to the Coordinator, R&D Center through H.O.D in the prescribed format.
- f. Faculty members shall submit a detailed report on the seminar/conference attended by them to the R & D cell within a month of attending the same.
- g. Faculty members who are interested to present latest publication/information in science and technologies are welcome to make presentations with prior intimation to Director, R&D.
- h. The activities of the R&D center shall be displayed on separate notice board.
- i. Faculty members are highly encouraged to write projects and involve in consultancy services which will bring visibility of the University at national and international level. The R&D cell will provide all possible help to the individual member showing interest to involve in such activity.

- j. The University will provide seed money to kick-start her/his research to newly appointed Assistant Professors based on the quality and impact of the proposed research. Interested faculty can request for seed money provision through the application form given in Appendix II and submitted to R & D cell. Such requests will be scrutinized through a committee appointed by Vice-Chancellor and finalized for approval/disapproval.
- k. Maximum 4 on-duty (OD) leaves per semester will be sanctioned to individual faculty members for participating in seminar/conferences with prior & proper adjustment of workload. Leaves taken for the purpose of paper presentation, project presentation to concerned funding agencies will be decided by the R&D cell as per project basis, its relevance, importance and other factors.
- l. **Registration fees:**
  - For National Conference/Seminar/Workshop:** Registration Fees up to INR 3000/- (Rupees Three Thousand only) and to and fro AC 3-tier train fare will be reimbursed by providing relevant documents.
  - For International Seminar/Conference/Workshop held:**
    - In India:** Registration Fees up to INR 3000/- (Rupees Three Thousand only) and to and fro AC 3-tier train fare will be reimbursed by providing relevant documents.
    - Abroad:** 50% of the registration fees (not exceeding INR 6000/-) will be paid to any faculty member in one year towards presenting paper to conference/seminar/workshop.
  - The faculty members are encouraged to apply for TA/DA funding from various funding agencies like CSIR, DST etc.
- m. The facilities (regarding reimbursement of publication charge, proposal of fund for paper presentation in conference/workshop/seminar) can be availed by any faculty member who are confirmed employee of the University.
- n. **Publication Incentives to Faculty:** In order to encourage the academic staff of AU towards high-quality scientific publications, they will be given incentives for their publications (Books as well as journals) as per the following guidelines.
  - i. For applications for publication incentives in a certain year, the research papers/books published within that academic year (1<sup>st</sup> July to 30<sup>th</sup> June) shall only be considered.
  - ii. A faculty should submit two copies of books published by him/her, during his/her tenure at the university and/or under University affiliation, to the University library for display and record keeping.
- iii. **Journal Publications:**
  1. The publications must be full text articles (case presentations, short papers, letters to the editor etc. not included) with AISECT University address published in the journals covered by Science Citation Index (SCI)/ Scimago Journal Rank (SJR)/Scopus Indexed Journals/Social Science Citation Index (SSCI)/UGC CARE list indexed and Arts & Humanities Citation Index Journals; for Pharmacy -PubMed/SCOPUS/Index Medicus indexed journals. Faculty members are encouraged to publish papers only in reputed journals and **avoid publications in un-listed paid journals.**
  2. A maximum of two such publications in an academic year will be considered.
  3. Authors outside the AU fraternity are not entitled for this scheme.
  4. The faculty asking for incentive must be the first/principal author in the research paper. Full amount as per the scheme will be given to the author in a single-authored publication. The amount shall be equally divided among authors for a multi authored publication.
  5. For all such papers, wherein a paper is jointly written by a student from AU and a AU faculty, only BWU faculty will get the incentive as per the policy mentioned above.
  6. In order to encourage the faculty and appreciating the long gap between acceptance and publication of the paper in acclaimed journals, the research paper published or accepted should be claimed only once (i.e. either at the time when it is accepted – with the submission of acceptance proof – or when it is published).

7. For the accepted papers, AU faculty shall have to submit: (a) the copy of the paper, (b) the copyright form and, (c) the acceptance mail/proof, which should all clearly indicate affiliation to AU.
8. The faculty will be paid the following incentives based upon the impact factor (as per Thomson Reuter List) of the Journals in which the research paper has been published.

Sl. No	Impact Factor (as per Thomson Reuter List)	Incentive
	0 – 0.5	INR 1000/-
	0.5 – 1.5	INR 1500/-
	1.5 – 2.5	INR 2000/-
	2.5 – 3.5	INR 2500/-
	> 3.5	INR 3000/-

9. To avail the incentives the faculty members
  - a. Should be confirmed employees of BWU
  - b. Should apply in the prescribed format (refer APPENDIX I) to the R & D Cell with the relevant documents for consideration.

### iii. Book Publications

Faculty members who have taken efforts to write and publish books or monographs are encouraged and incentive will be given to the faculty member as per the cap provided:

Sl. No.	Details	Published by	Amount
1.	Full Book	Renowned International Publisher	INR 5000/-
2.	Full Book	Renowned National Publisher	INR 2500/-
3.	Edited volume of book with articles or chapters (with ISSN/ISBN number wherever necessary)	Renowned International/National Publisher	INR 2000/-
4.	Monographs	National Level/International Level	INR 1500/-

1. If the book/chapter/monograph are contributed by more than one author, the incentive amount will be shared by all the authors equally.
2. Published chapters or monographs must have 'AISECT University' as the affiliation.

## 7. Approval of Research Proposals

- a. The design and methodology of research undertaken by a member of staff or student, must be submitted to R&D Cell for evaluation and approval, especially if legislation, professional councils or institutions affected by the research require it.
- b. When students hand in research essays, mini-dissertations, dissertations and theses, they must declare that their research has complied with the Code of Research Ethics of AU.

## 8. Code of Ethics in Research

- a. Researchers at AU are required to demonstrate intellectual and moral honesty in proposing, conducting, and reporting research.
- b. Any student, faculty member, researcher, staff should be responsible in the conduct of research, thesis, dissertation, promotion of academic integrity and prevention of misconduct including plagiarism in academic writing
- c. All members undertaking research should adhere to the University Grants Commission (Promotion of Academic Integrity and Prevention of Plagiarism in Higher Educational Institutions) Regulations, 2018

- a. All researchers, students, staff should open an account in URKUND via the University coordinator and get their written research documents checked for plagiarism.
- d. M.Phil/Ph.D students need to fill up a self-declaration form that the contents of the thesis/dissertation are not plagiarized, wherever required necessary citations have been given. In case, they have any doubts regarding citations, they must discuss with their research guides in detail.
- e. All researchers should be careful in making no misrepresentation in the dissemination of research information and findings and not fabricating data or information in their presentations/publications/reports.
- f. The researcher, faculty staff or student undertaking research should designate authorship of consulted research sources clearly, accurately and justly and assign authorship of research publications accurately and justly.
- g. The members must take responsibility for their actions and their commitments to research.
- h. All members undertaking research are expected to conduct themselves with the interests of the University and their own professional integrity in view and uphold the same to the scientific community and society at large. Bias, prejudice, conflict of interest or undue influence must not be permitted to supersede the professionalism of their conduct.
- i. All researchers must ensure that their personal views, convictions, previous experiences or future ambitions do not compromise the objective scientific process, the performance of their official duties or the interests of AU.
- j. The researchers should not resort to self-plagiarism or unexplained duplication of publication i.e., they should not publish same article in two different places. The same is applicable for abstracts.
- k. Students or faculty members while going for data collection to other institutes must carry a Letter under University letter head signed by the concerned head (guide/project director/director research) and their University ID Cards. They need to maintain a record of the institutes visited, persons interviewed/met for research data collection etc.

## **9. Finance and Accounts:**

- a. A separate book of accounts shall be maintained for each project.
- b. R&D Unit shall be responsible for submission of statement of accounts as and when required by the sponsors.
- c. In general, for sponsored research projects, the percent of the project cost that shall be charged towards Institutional charges (overheads) for utilizing the infrastructural and other facilities of the Institute, will be decided by the concerned authorities depending on the norms of the funding agency and project budget.
- d. In the event, any project utilizes Institute's manpower and other supporting facilities beyond office hours, the expenses towards the same shall be charged to the respective project. For this purpose, on the recommendations of the PI, the coordinator (R&D) may approve suitable honorarium for the supporting staff of the Institute.
- e. Any cash advance required for the project, shall be drawn in the name of PI/Co-PI of the project.
- f. All expenditures shall normally be made within the proposed date of completion (PDC) of the project. Exception may be permitted with the consent of the sponsor.
- g. PIs shall normally be allowed to draw another advance only after adjusting the previous one taken by them unless otherwise agreed by the coordinator (R&D cell).

**APPLICATION FORM FOR FACULTY PUBLICATION INCENTIVE**

**AUTHORS BASIC INFORMATION:**

1. First Author's Name: \_\_\_\_\_
2. Designation: \_\_\_\_\_ 3. Mobile/Landline: \_\_\_\_\_
4. Department: \_\_\_\_\_ 5. E-mail id: \_\_\_\_\_
6. Present Academic Year: \_\_\_\_\_

**SECONDARY AUTHORS**

Name and Designation	Department	Contact No./E-mail

**PAPER PUBLICATION INFORMATION:**

1. Title of the Paper: \_\_\_\_\_
2. Field(s) of study or subject specialization of the research work: \_\_\_\_\_
3. Is the publication from a funded research project? \_\_\_\_\_
- If yes, please mention the funding source: \_\_\_\_\_
4. Has your paper been published? \_\_\_\_\_
- If yes, please provide the following:
- (a) Name of the Journal Publication: \_\_\_\_\_
- Volume: \_\_\_\_\_ Issue No.: \_\_\_\_\_ Date of Publication: \_\_\_\_\_
- URL / Web address of the online journal: \_\_\_\_\_
- If no, please provide the acceptance letter and:
- Name of the Journal Publication: \_\_\_\_\_
- Date of Acceptance: \_\_\_\_\_
5. Status of the Journal Publication (Please check all that applies):
- ☐ SCI/SCI-E/SJR/Scopus/SSCI/UGC CARE indexed ☐ PubMed/SCOPUS/Index Medicus indexed
6. Impact Factor of the Journal (as per Thomson Reuter List) on the year of publication: \_\_\_\_\_

*I hereby certify that the above information given are true and correct as to the best of my knowledge. Furthermore, I agree to abide by the rules, policies and procedures pertaining to this undertaking and do hereby fully respect the result or decision of this application made by the approving body. I also hereby declare that no publication fee was paid to the journal.*

\_\_\_\_\_  
First/Principal Author's Full Name and Signature

\_\_\_\_\_  
Date

**CHECKLIST OF DOCUMENT REQUIREMENTS** (to be submitted with the application form to the R & D Cell):

**RESEARCH AND DEVELOPMENT CELL**  
**AISECT UINVERSTY, HAZARIBAGH**

**APPENDIX I**

- ☐ Letter of Acceptance for Publication or Certification of Publication
- ☐ Full Published Paper (taken from the Journal)
- ☐ Journal Cover Page and Table of Contents (if available)
- ☐ Journal Metrics Info (if available)
- ☐ Impact Factor Info

*Note: All documents must be in printed copies.*

\_\_\_\_\_  
Name and Signature of HOD of the first/Principal author

\_\_\_\_\_  
Date

**FOR OFFICE USE ONLY**

**(To be filled out by the R & D Cell Director)**

A. Faculty Applicant: \_\_\_\_\_

B. Title of the Research Incentive Paper: \_\_\_\_\_  
\_\_\_\_\_

C. Recommendation:

The applicant's paper is accepted for grant of incentive (YES/NO): \_\_\_\_\_

If YES/granted, please specify the grant scheme under which it is selected: \_\_\_\_\_  
\_\_\_\_\_

If NO, please specify the reason for the same: \_\_\_\_\_  
\_\_\_\_\_

D. Please indicate other comments/reactions on the paper submitted  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Name & Signature of Director R & D Cell

\_\_\_\_\_  
Date

*Copies of this form with the recommendations should be forwarded to:*

- i. Registrar
- ii. Vice-Chancellor
- iii. HOD of the concerned Department



**APPLICATION FORMAT FOR FACULTY SEED GRANT**

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**BASIC FACULTY INFORMATION:**

1. Name of the Faculty: \_\_\_\_\_ 2. Department: \_\_\_\_\_  
3. Date of Joining: \_\_\_\_\_ 4. Designation: \_\_\_\_\_  
5. Mobile/Landline: \_\_\_\_\_ 6. E-mail id: \_\_\_\_\_  
7. No. of publications:  
(a) *Journals*: National: \_\_\_\_\_, International: \_\_\_\_\_.  
(b) *Conferences*: National: \_\_\_\_\_, International: \_\_\_\_\_.  
8. Highest Academic Qualification: \_\_\_\_\_  
9. Professional achievements in Brief (with special mention to any research work, grants received (if any) other than Ph.D.)

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**PROJECT RELATED INFORMATION:**

1. Title of the Project: \_\_\_\_\_
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2. Name of other faculty (in case of joint proposal):

Faculty 1	Faculty 2
Name: _____	Name: _____
Department: _____	Department: _____
Designation: _____	Designation: _____

3. Whether project activities require any clearance form relevant authorities in respect of any environmental/legal/ethical issues? Yes / No \_\_\_\_\_.  
4. Broad Subject area/field of classification: \_\_\_\_\_.  
5. Project Type(s) (Basic Research/Applied Research/Developmental/Demonstration/Others): \_\_\_\_\_
- 

6. Problem Statement (*Define the problem and why is it important to solve it in approximately 150 words*)  
7. Suggested Solution (*Not more than 200 words*):  
(*Describe how the proposal will lead to a novel and effective solution, based on a scientifically and technically sound concept and keeping in view the user needs and local availability of resources; outline your idea or solution you plan to develop*)  
8. Proposed Objectives (*Not more than 5 precise objectives*):

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**AISECT UNIVERSITY, HAZARIBAGH**

**APPENDIX II**

9. Literature review/Status review (*Not more than 200 words*): (*Background research on any other similar/related initiative taken and outcomes*)
10. References:
11. Duration of the project (*in months*): \_\_\_\_\_
12. Methodology and Detailed work plan (*200 words with a PERT diagram/work flow chart*):
- i. **Phase wise work plan of action with time line and deliverables in tabular form:**
- ii. **Technology Development/Adoption/Modification, if applicable:**  
As applicable (Provide information on the new R&D/adapted, R&D to be carried out for technology development/adoption/modification and brief description of the technology or training package(s) to be used. Information should be provided on the scale of operation, minimum economic viable scale, estimated cost and likely benefits of the proposed technological intervention):
- iii. **Institutions/place where detailed lab/field testing or experiments will be carried out:**
- iv. **Expected outcome (100 words):**
13. Particulars of equipment/facilities required (*in tabular form*):
14. Particulars of the facilities that will be provided by the University where this project will be implemented (*in tabular form*):
15. Budget Estimate for the project:

Sl. No.	Items	Amount (in Rs)
1.	Consumables	
2.	Equipment	
3.	Travel	
4.	Research Literature	
5.	Others (specify)	
6.	Contingency	
<b>TOTAL</b>		

16. Declaration:
1. I/We certify that the details furnished above are correct to the best of my knowledge and belief and that the amount of financial assistance, if granted, will be utilized for the purpose for which it is granted within the time prescribed by R & D Cell. I also undertake to abide by the rules and other conditions prescribed by the grantee.
2. I/We did not submit this or a similar project proposal elsewhere for financial support.

\_\_\_\_\_  
Name & Signature of the Investigator

\_\_\_\_\_  
Name & Signature of the HOD

Place: \_\_\_\_\_

Date: \_\_\_\_\_

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**DOCUMENT REQUIREMENTS:**

1. Three copies of proposal to be submitted to R & D Cell.
2. Endorsement of the Chairperson – *One* to Registrar, *one* to Department.

**ENDORSEMENT FROM THE CHAIRPERSON, R & D CELL**

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1. Project title : \_\_\_\_\_  
\_\_\_\_\_
2. Relevance of the Project (*Socio-Economic/Academic/Application/Research/Cultural/Utilization and management of natural resources, etc.*) (Highly Relevant/Moderately Relevant/Not Relevant): \_\_\_\_\_

Remarks: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**A. RECOMMENDATION:**

The project proposal submitted by Dr(s). \_\_\_\_\_  
is Approved/Not Approved for a duration of \_\_\_\_\_ month(s), for a sanctioned amount of INR \_\_\_\_\_.

It is agreed that the equipment, other basic facilities and such other administrative facilities as per terms and conditions of the grant, will be extended to investigator(s) throughout the duration of the project.

\_\_\_\_\_  
Name and signature of Chairperson, R & D Cell.

\_\_\_\_\_  
Name and signature of Registrar

Date & Seal: \_\_\_\_\_.