RESEARCH CELL
UNIVERSITY OF LUCKNOW
LUCKNOW-226007

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Research Policy
2020

1. Preamble

Research is concerned with increasing our understanding and provides us with information and knowledge required for problem solving and decision making. Research is usually categorized as basic and applied in order to make a distinction between research that is carried out to further our knowledge, and that which seeks to apply pre-existing knowledge to real world problems. Universities are the highest seats of creation and dissemination of knowledge. Therefore, it is imperative for the universities to be actively engaged in research in which knowledge is applied for general well being of the society and the nation.

2. Purpose

The purpose of Research Policy document is to establish an administrative structure within the university to support the planning, conduct and application of research. The policy is intended to lay down the norms for undertaking research work and facilitate the administrative processes, make them logical, smooth and transparent. This would enable and enhance research activities in the University of Lucknow (UoL) and improve the overall quality of research.

3. Scope

This policy applies to all the faculty members, students or other personnels of UoL involved in independent or collaborative research involving different departments, institutions or organizations funded either through university or any other source.

4. Research Framework and Strategy

a. Research in UoL will be conducted by application of knowledge for overall improvement of quality of life and development of the nation at large.

b. The Research Policy will be implemented by Research Cell for specific purpose of governance, administrative and financial facilitation and control.

c. The functions of Research Cell will be integrated with all academic bodies of the university (BoS, DRC, Academic Cell, Faculty Board, Academic Council *etc.*) as required.

d. The Research Cell will make appropriate recommendations on research related issues to administrative authorities for final decision making and execution. This system will enable collection and compilation of all the data and information related to research in the university. Books.

e. All stakeholders will be sensitized to route all research related documents to administrative authorities through the Research Cell for processing.

f. The research in university will be primarily funded by government agencies, industry or any other component or assemblage of society such as Trusts, NGOs *etc.*

5. Responsibility

a. All stakeholders will be committed to promoting research and innovation in all walks of life, and make sincere efforts to enable the University to become an epitome of knowledge, technology and skill.

b. The University shall provide basic infrastructural and administrative support.

c. Extramural funding is inevitable for supporting research in University. However, all the research grants/funds will be utilized in consonance with the university, government and funding agency rules as amended from

time to time.

d. The overhead charges in research grants as per respective funding agency will be utilized as per university rules *i.e.* the University will utilize 40% of the overhead grant with its own discretion for strengthening general research infrastructure.

e. The University may consider making financial contribution for promotion of research depending on it's financial health, but it will not be obligatory.

6. Objectives

1. Motivate Faculty to apply for research projects to different funding agencies.
   - To encourage quality research in all disciplines.
   - To disseminate information about research project grants.
   - To facilitate despatch of research proposals to funding organisations/agencies after a speedy approval by Head of Institution.
2. Promotion of inter/multidisciplinary research activities of direct relevance to the local region and the nation.
3. Smoothening project related file movements by suggesting, supporting and creating procedures in the system.
   - Extend hassle free administrative support for completing the research project and payment of fellowships to research personnels after receiving the grant.
   - Expedite the selection procedure of Research Personnels in sanctioned projects.
   - Lay down purchase procedures either through Tender or Purchase Committee as per university rules.
   - Facilitate the procurement of equipments sanctioned in projects.

- Develop a mechanism to complete the paper work in Registrar office within stipulated time.
- Ensure timely completion of projects and sending Project Completion Report and Utilization Certificates/Statement of Expenditure (UC/SE).
- Look into all issues related to research projects of Faculty, Postdocs and Research students.

4. Promote safety, good laboratory practices, and precautions in procurement, storage, handling and disposal of hazardous substances.

5. Ensure proper functioning of Institutional Ethical Committees (IECs) for the use of animals, human subjects, recombinant DNA, biological agents and radioactive materials.

6. To facilitate activities related to Intellectual Property Rights (IPR), Technology transfer, Biosafety and various waste management issues.

7. Ensure compliance with the terms and conditions of sponsored research projects.

8. Create awareness about plagiarism and enhance the general integrity, honesty and responsibility of researchers.

9. Promote ethical value in research and ensure that research in university remains focused on positive aspects, and in no way, even potentially, relates to any disturbance in social, communal or regional harmony.

10. Work towards creating an interactive research environment by providing platforms such as conferences, seminars, workshops, invited lectures from eminent personalities from all fields including science, engineering, management, social sciences, law, literature, art and culture *etc.*

11. Promote active participation of faculty members and students in national/international conferences, seminars, workshops.

12. Facilitate research internship/training programmes/workshops for scholars, young faculties and professionals from both inside and outside University of Lucknow, Lucknow.

13. Secure and protect the intellectual property rights of the university and researchers.

14. Look into the issues such as academic misconduct, conflict of interest. Resolve disputes between researchers over data or access.

15. Find ways to provide incentive for carrying out innovative research work of high quality.

16. Keep record of each and every research project of university and publications/awards by faculty and students.

17. **Any other activity as advised by Hon'ble Vice Chancellor.**

7. Research material, data and intellectual property

Research data would mean facts, materials or physical items or articles, artefacts, observations, experiences, responses to questionnaires *etc* collected by researcher which are used for making inferences or drawing conclusions and on which an argument, theory or test is based. Data may be numeric, descriptive, visual or virtual. Data may also be raw or processed, experimental or observational. Data will also include all kinds of laboratory and/or field notebooks, maps, photographs, audio-video recordings or any other thing collected or generated by researcher. Research material in addition to hardware and equipment would include books, consumables, apparatus, computer, digital media *etc.* Provenance information such as how, when, where the data were collected and the means of collection, the software code and license used to generate, annotate or analyze the data are also included in research material and property. All these will always belong to the university

which may demand its surrender anytime.

8. Publications and IPR

a. The researcher will have the right and responsibility to ensure that research is accurately reported to scientific and academic community and to choose the appropriate mode of publicationor presentation of data and results.

b. Researchers can take due credit and publish the research outcome or method/process/technology developed, file patent or claim its intellectual property right in any other form, but affiliation with university for carrying out research has to be prominently mentioned/exhibited and acknowledged at appropriate place(s).

c. Under special conditions, the university may restrict a researcher from putting anything related to a research in public domain.

d. Any transfer of copyright having a financial implication will have to be executed only upon permission from the university.

e. Both the researcher and university will hold the right in the intellectual property generated from research. However, the decisions of university will be binding in all cases of transfer of IPR for any productive purpose.

f. If any financial income arises out of a research, the income distribution will be in accordance with the Consultancy Policy of UoL.

9. Security of Research Data

a. Research data that incorporates confidential information such as, personally identifiable human participant data, trade secrets *etc.* must be adequately secured and kept confidential.

b. Suspected or proven disclosure or exposure of confidential or otherwise

restricted data must be immediately reported to the university.

10. Access to Research Data

a. The university has the right to access research data or take their custody that is performed at the university or under its auspices, or conducted using university facilities.

b. When faculty members leave the university, they may take copies of research data for projects on which they have worked. The primary research data must be retained at university unless the Vice Chancellor specifically authorizes moving it to another institution.

11. Dispute Redressal and Resolution

These are broad policy guidelines and principles. It should be borne in mind that policy documents evolve in due course of time, spirit holds greater importance than words. All cases of lack of clarity on any issue, or any ambiguity, or subjectivity in interpretation, must be reported to the university, whose decision will be final and binding. The Vice Chancellor may, at any point of time, call for its amendment or revision as deemed appropriate.