



**G-53**

**UNIVERSITY RESEARCH  
POLICY GUIDELINES**



## G-53<sup>1</sup> UNIVERSITY RESEARCH POLICY GUIDELINES

*(In exercise of its powers conferred under the provisions of Section 6(a), 6(d), 7(n), 7(x) and 27 (2) (p) of the Amity University Uttar Pradesh Act, 2005 and Art. 20 of First Statutes, Amity University Uttar Pradesh, here by notifies these policy Guidelines).*

### Introduction

#### 1. Scope/ Applicability of the Policy

This is a University policy which applies to all AUUP faculty, staff and students involved in any form of research activity.

#### 2. Policy Statement

Amity University is committed to be a Research and Innovation Driven University and contribute to India becoming a global knowledge superpower through education, research and innovation. To attain this goal, it is imperative to pursue cutting-edge basic, targeted, and applied research in all domains/ faculty of studies in a transparent, responsible and ethical manner for advancement of knowledge and development of novel processes, technologies and products. It is equally important to ensure that the products and outcomes of such research are appropriately disseminated to reach the widest possible audience for the benefit of mankind at both national and global levels.

#### 3. Rationale

This policy provides guidelines for conduct of research at all levels and is applicable to all full-time, part-time and contractual employees of the University as well as all students, whether full-time or part-time, of the University who may be involved in any form of research activity.

#### 4. Research Objectives

- 4.1.1 Affirm research as an integral activity at the University;
- 4.1.2 Maintain and enhance the quality of research undertaken;
- 4.1.3 Maximize funding support for research through external and internal sources; create transparent, effective and efficient systems for maximizing research outputs;

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<sup>1</sup> Guideline G-53 approved vide 14<sup>th</sup> Executive Council meeting held on 17<sup>th</sup> July 2015 {Item No. 14.25}

- 4.1.4 Integrate research activities undertaken by the undergraduate , post-graduate and doctoral students with the research focus of the University in alignment with the national thrust areas ;
- 4.1.5 Create, maintain and enhance infrastructure to enable conduct of state-of the-art research;
- 4.1.6 Provide a framework for conduct of research in a transparent, socially responsible and ethical manner;
- 4.1.7 Ensure a facilitating environment for conduct of high-quality original research by all individuals affiliated with the University and provide continued and effective support for pursuit of research activities;
- 4.1.8 Translate new knowledge, innovations, technologies and tools emerging out of research conducted at Amity into products and processes for commercialization or for societal benefit;
- 4.1.9 Protection of intellectual property (IP) generated as a result of research conducted at Amity;
- 4.1.10 Integrate research activities undertaken by the students with the research focus of the University;
- 4.1.11 Create a rational, transparent and efficient system for management of all research processes;
- 4.1.12 Encourage and facilitate research collaborations within different Institutes of the University along with reputed Institutes, Universities and Research Organizations both in India and abroad;
- 4.1.13 Ensure effective dissemination of research activities and achievements of the University both internally and externally.
- 4.1.14 Enhance the research profile of the University by effective dissemination of research activities and achievements of the University at all levels to maximize the impact and recognition of research done at Amity at national and international levels

### ***Policy Elaboration***

All faculty members of Amity are expected to undertake research activities in addition to their teaching and administrative responsibilities, and should seek funding resources for the same, where appropriate. All research activities should be undertaken in compliance of the University's obligations under legislation, and in accordance with regulatory and ethical considerations. To achieve the objectives defined in **Section 4**, the following steps would be taken:

#### **4.1.15 Research Management:**

There will be a two-tier management of all research activities at the University. There will be Research Advisory Committee that will have an

advisory role, and an Executive Research Committee for regular monitoring of all research activities.

**A) The composition of the RAC will be as under:-**

The **Research Advisory / Apex Committee (RAC)** will include 12 leading scientists from Amity and 15 eminent experts from outside the University. It will meet at least once a year to review research progress, offer critical comments and suggest corrective measures to enhance the research activities of the University. The term of the RAC will be for a period of 3 years after which the same members may be opted for another term of 3 years. The members may be replaced in case of non-availability of existing member(s) for any reason.

**B) The role and function of the RAC will be:-**

**To make recommendations to the academic council on matters related to research promotion and infrastructure.**

**There will be Domain Specific Research Committees for research with the following composition:-**

**The responsibilities of the Domain Specific Research Committees will be:**

<b>Dean of Faculty/ Domain Head</b>	<b>-</b>	<b>Chairperson</b>
<b>2-3 HoIs by Rotation</b>	<b>-</b>	<b>Members</b>
<b>2-3 Sr. Professors</b>	<b>-</b>	<b>Members</b>
<b>2-3 Senior Faculty on External Experts</b>	<b>-</b>	<b>Member Secretary</b>

- a) Short and long term research Planning**
- b) Monitoring and Reviewing of Research**

## **4.2 Human Resource Development & Management:**

**4.2.1 Competency Mapping and Faculty Development:** A comprehensive mapping of the core and ancillary competencies of individual faculty members should be undertaken along with other soft skills to identify strengths and weaknesses. This will enable identification of research potential maximizing the output from each individual. It will also facilitate designing of custom-made faculty development programs to improve their skills and help faculty to overcome their weaknesses in order to maximize their contribution to the University.

To keep pace with the fast pace of technology change and research advancement at the National and Global level, up-grade and remain

competitive, it is essential for all researchers to be continuously updated also to enhance their knowledge and skills. While it is expected that the researchers will generate their funds for undertaking the research activities, the University may also support the research activities. The extent of support will be decided based on the potential of research outcome on peer review. It is expected from the researcher to ensure potential benefits to the University .

- 4.2.2 Chair/Honorary/Adjunct Professors:** There are a number of distinguished scientists, researchers, academicians and other persons of eminence who may be associated with Amity in different capacities. Based on the relevant research expertise, a corresponding full-time faculty of Amity may be identified who may be made responsible for maintaining regular interaction. These luminaries may be invited to deliver Guest Lectures/

Trainings/Workshops or similar activities on a regular basis. These opportunities may be utilized for cross-fertilization of concepts/ideas and development of national/international research collaborations.

- 4.2.3 Amity Research Fellowships:** To attract brilliant, young minds to pursue research, Amity University will offer fellowships for undertaking projects for doctoral and post-doctoral studies **under “Amity Research Fellowship (ARF) scheme”** as detailed separately.

- 4.2.4. Research Projects Undertaken by Students:** All Amity faculty members are also expected to guide undergraduate, postgraduate and/or doctoral students during their training/ research projects/ dissertation; as detailed under the **policy “Student Research Projects”** separately.

### **4.3 Generation and Utilization of Funding Resources for Research**

All faculty members are expected to seek funding from external sources to support research activities, where appropriate. In exceptional cases, University may provide financial support/ seed money for testing feasibility of new ideas/concepts and/or potential conversion of research ideas/concepts into products/technology for economic and/or societal benefits, as detailed under the **policy “University Funding for Research”** separately.

- 4.3.1 Collation and Dissemination of Information regarding External Funding Opportunities:** To keep Amity researchers updated with information regarding schemes for funding opportunities announced by different national or international government/ semi-government/ private agencies

from time-to-time. The concerned Directorate for Research and Innovation shall collate all such information, and disseminate the same to the researchers for whom the schemes are most appropriate (identified on the basis of competency mapping). While disseminating the information, The concerned Directorate shall clearly define the objectives, purpose, deadlines and other critical information to the researchers along with a link to the website (if available) for detailed information. The Directorate may also identify individual researchers with the most appropriate competency and credentials and encourage them to apply for funding opportunities; The Directorate will also help researchers to identify most appropriate collaborators from within or outside the University from reputed Institutions/ University/Organizations from India or abroad to improve the chances of successful award of research grants.

**4.3.2 Training Workshops for Writing of Research Projects:** To improve the quality of research proposals Directorates shall organize training workshops for young researchers on a regular basis to sensitize them on the art of writing research proposals for improving the chances of success. These workshops will be organized on a regular basis at various locations involving experts from both within and outside the University.

**4.3.3 Pre-submission Assessment of Research Proposals:** Prior to submission to the funding agency, all research proposals must be submitted to concerned Directorate for review **at least 2 weeks before the proposal submission deadline. The Directorate will also ensure the quality of the proposal through peer review/ area experts.** -The research proposal for funding shall be submitted through the University (Registrar).

**4.3.4 Research Project Management:** It is the responsibility of the Principal Investigator (PI)/ Project Coordinator to ensure smooth management of research project and implementation as per the procedures laid down by the relevant funding agency. It may include, but is not limited to:

- (a) Hiring of manpower
- (b) Purchase of equipment and consumables
- (c) Utilization of Contingency and Overhead Expenses
- (d) Timely submission of technical and financial reports

**To facilitate researchers in proper execution of research projects, training workshops will be conducted by the directorate DSI on a periodic basis, covering various aspects including, but not limited to proper book-keeping, maintenance of records of experiments, etc.**

**4.3.5 Project Monitoring and Assessment of Project Outcome:** The progress of all research projects, funded by external or internal sources, will be monitored by a Committee comprising of 3-5 experts from either within or outside the University so constituted by the directorate / faculty of studies will monitor the progress of the funded projects on a periodic basis . The Committee will evaluate the progress of the project as per the timelines detailed in the project proposal, identify bottlenecks if any, and offer suggestions for better research outcomes.

**A Committee nominated by the Directorate comprising experts within the University, will also evaluate determine the Research Outcome(s) of the completed project in consultation with researcher, and suggest future course of action.**

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**4.3.6 Utilization of Project Funds:** All funds allocated in the research project will be utilized for the specific purposes for which they have been allocated (for e.g., manpower, equipment, consumables, travel, contingency, etc). All activities will be as per the rules and regulations of the University, and as per the guidelines laid down by the relevant funding agency.

**4.3.7 Research Infrastructure:**

It is imperative that state-of-the-art research facilities are developed, maintained and continuously upgraded to enable and facilitate cutting-edge research for generation of new knowledge, products, tools and technologies. **University Policy for Research Infrastructure Development and Maintenance** has been detailed separately.

**4.3.8 Utilization and Dissemination of Research Outcomes:**

While it is important to create a research-friendly environment and encourage all forms of research (basic, directed and applied) at all levels (students, faculty and staff) in various domains (social sciences, biomedical sciences, basic sciences, life sciences, engineering and technology, etc ), it is equally important to optimally utilize and disseminate research outcomes to enhance the research profile of the University, both at national and global levels. This may include

(a) **Protection of Intellectual Property (IP)** generated as an outcome of research, and conversion of the same for commercial benefit and/or societal use under the University guidelines as detailed separately in the **Policy for Intellectual Property Research**.



**(b) Publication for peer-reviewed Articles:**

To publicize the research outcomes and gain recognition among peers for the quality of research being undertaken at the University in time with the University Guidelines and Regulations as detailed separately in the policy for Publication of Research.

**(c) Publication of popular articles** to highlight the research outcomes and their potential benefits and to create awareness among the common public of India and abroad following the University Policy for Publication of Research.

**(d) Presentation of Research Findings at Symposia/Conferences and similar forums** for sharing research outcomes, inviting comments and suggestions from peers in related fields, and forging collaborations with eminent researchers outside the University, following the guidelines as detailed in the University **Policy for Publication of Research**.

**(e) Publication of Monographs/Books/Book Chapters** for compiling advances in a specific area of research and its dissemination to specific target audiences.

## **5. Rules & Regulations**

All research is required to be conducted in accordance with the rules and regulations of the University in compliance with all the obligations of the University under statutory body/ University regulation and meeting any other ethical and contractual obligations.

- (a) All research involving genetically modified organisms (GMO)/ living modified organisms (LMO) and recombinant DNA (rDNA) materials shall be conducted in compliance with “Rules for the manufacture, use/import/export and storage of hazardous microorganisms/ genetically engineered organisms or cells, 1989” (herein referred to as Rules, 1989) notified by the Ministry of Environment and Forests (MoEF) Government of India under the Environment (Protection) Act, 1986, Recombinant DNA (rDNA) Safety Guidelines, 1990 and other guidelines issued by DBT from time to time. Such research will be undertaken with the approval and oversight of the statutory

Institutional Biosafety Committee (IBSC) set up at the University level to ensure compliance with the Rules, 1989, Recombinant DNA (rDNA) Safety Guidelines, 1990 and other guidelines issued by Department of Biotechnology (DBT), Ministry of Science and Technology, Government of India **(See Guidelines and Handbook for**

**Institutional Biosafety Committees, 2<sup>nd</sup> revised edition, 2011- Annexure-I).**

- (b) All research involving use of animals for research shall be conducted as per the guidelines issued by **Committee for the Purpose of Control and Supervision on Experiments on Animals (CPCSEA) under the supervision of Institutional Biosafety Committee (IBSC)** constituted as per the laid down norms (See CPCSEA

**Guidelines For Laboratory Animal Facility - Annexure-II).**

- (c) Research involving human subjects or any biological material from humans will be conducted as per the guidelines laid down by Indian Council of Medical Research (ICMR), DGCI , Ministry of Health and any other ministry/ department of Government of India under the oversight, approval and supervision of **Institutional Ethics Committee (IEC) for Human Research** constituted as per the laid out norms (See **Guidelines for preparing Standard Operating Procedures (SOP) for**

**Institutional Ethics Committee for Human Research – Annexure III).**

- (d) Stem cell research will be conducted as per the guidelines laid down by Indian Council of Medical Research (ICMR), DGCI , Ministry of Health and any other ministry/ department of Government of India and Department of Biotechnology (DBT), Ministry of Science and Technology, Government of India under the oversight and following approval of **Institutional Committee for Stem Cell Research** and **Institutional Ethics Committee (IEC) for Human Research** (See

**National Guidelines for Stem Cell Research – Annexure IV).**

- (e) All research involving radioactive material will be conducted in accordance with the provisions of the Atomic Energy Act, 1962, Atomic Energy (Radiation Protection) Rules, 2004 and Atomic Energy (Safe Disposal of Radioactive Waste) Rules, 1987 and **various standards issued there under by Atomic Energy Regulatory Board, (AERB) Government of India after registration from AERB** (Annexure V