UPES

UNIVERSITY WITH A PURPOSE

Research & Development Policy
For
Promotion of Research

Version 3.0

With Effect from May 2018

University of Petroleum & Energy Studies (UPES)

1. PREAMBLE

Research is an integral and important part of any higher education system. The primary purpose of Institute research is to advance knowledge and further the educational program. University of Petroleum & Energy Studies (UPES) facilitates its students, staff members and faculty:

1.1 To emphasize a research ethos among staff:

Promoting a positive environment for research activity needs to be addressed thereby ensuring that research is seen as a central pillar of faculty workload.

1.2 To increase research capacity of the faculty and the students:

Building research capacity is a critical component of the EHS Research Strategy both in terms of human capital and physical infrastructure / facilities.

1.3 To increase research funding for the faculty and the students:

Funding is essential for expanding our research activities. The Indian government has prioritized the development of a knowledge driven economy. UPES will be positioned to compete for and attract an appropriate percentage of this funding to underpin our research strategy.

1.4 To increase the level of collaborative research of faculty and students:

As with capacity building, the need for a collaborative approach to research is stressed at all strategic levels. Interdisciplinary teams are more favorably placed to respond to complex societal needs and problems and also to attract funding and achieve sustainability.
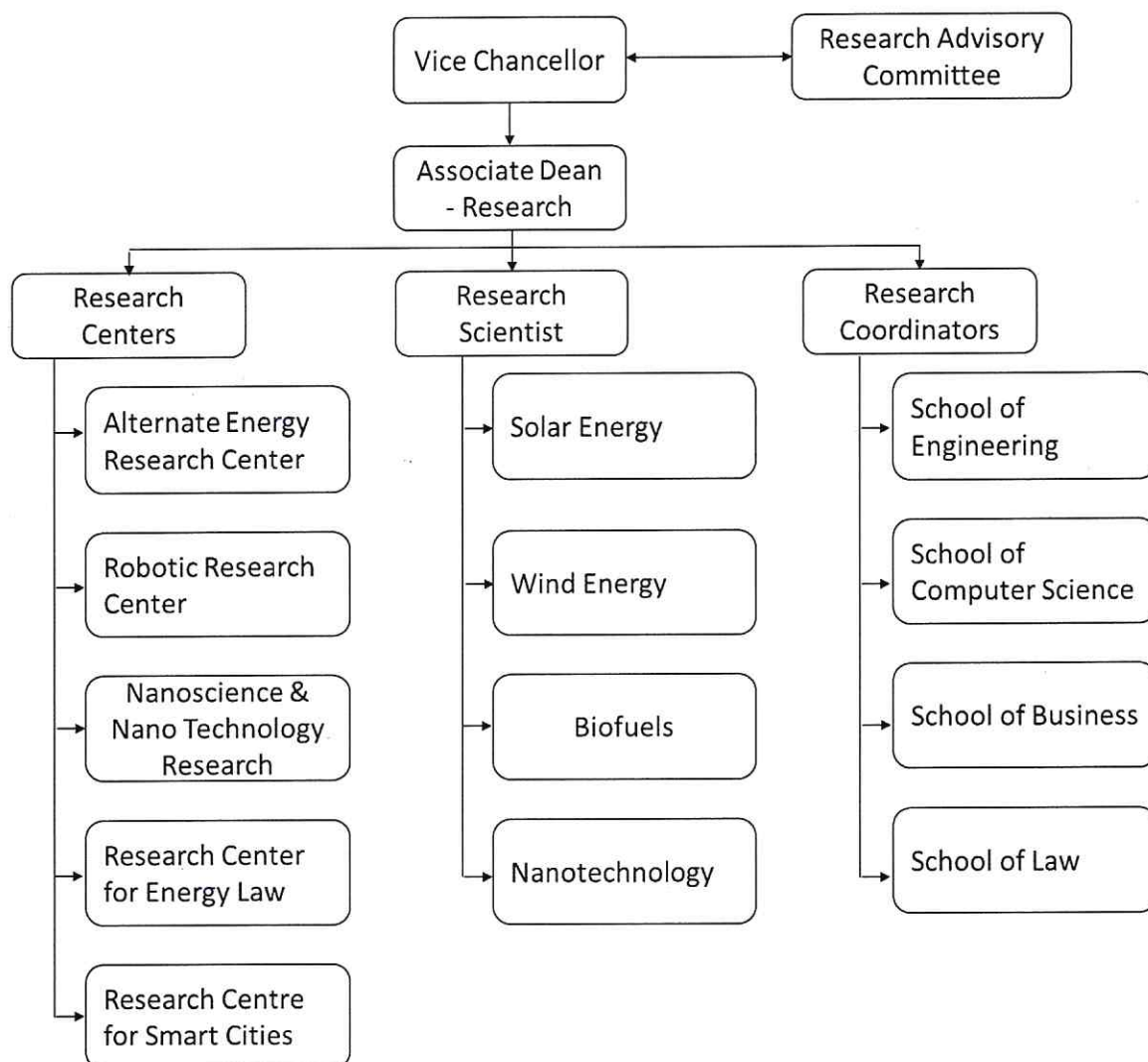
1.5 To maximize the research outputs from the faculty and Students:

Measuring research through the identification and tracking of outputs is important as it allows the success of the UPES research strategy to be determined and, where necessary, adjustments are made to ensure that the outputs are in-line with the UPES strategic requirements shows the organizational structure to steer these R&D activities.

R&D Organogram:

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                          Vice Chancellor ◄──────► Research Advisory
                                 │                     Committee
                                 ▼
                          Associate Dean
                           - Research
            ┌────────────────────┼────────────────────┐
            ▼                     ▼                     ▼
        Research              Research              Research
        Centers              Scientist            Coordinators
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Research Centers	Research Scientist	Research Coordinators
Alternate Energy Research Center	Solar Energy	School of Engineering
Robotic Research Center	Wind Energy	School of Computer Science
Nanoscience & Nano Technology Research	Biofuels	School of Business
Research Center for Energy Law	Nanotechnology	School of Law
Research Centre for Smart Cities		

2. OFFICE OF RESEARCH AND DEVELOPMENT (ORD)

Office of Research and Development, hereafter referred to as R&D Division, is set up to give specific administrative help for the operation of Research Projects, and other R&D related exercises of the university. The R&D division encourages connection with national and worldwide organizations supporting examination and advancement. Additionally, it advances the scholarly community industry associations and joint effort with large R&D research centers, and liaise amongst Institute and subsidizing offices.

2.1. Individuals or a group of faculty members of the UPES can write research proposal to seek competitive grants from extra-mural research funding agencies in India or abroad. Faculty members may approach various national (e.g., DST, DBT, CSIR, BRNS, ARDB, DRDO, and ISRO) or international (e.g., bilateral

government agencies, such as Indo-Japan and Indo-Russian agencies) funding agencies and industries for a sponsored research project.

2.2. The PI will adhere to the funding agency norms alongside complying with the university term and conditions. In specific instances, the R&D Division also administers the university Collaborative Projects, which seek funds simultaneously from the funding agency and the university. The project proposal should bifurcate clearly the money requested from university and the funding agency.

2.3. The PI should duly obtain the approval of the Vice Chancellor before indicating such internal financial support to external agencies. Sponsored research project proposals can be submitted as per the format of the respective funding agencies. Generally, these formats are available on the websites of the funding agencies.

2.4. The government funding agencies (like DST, DBT, CSIR, BRNS, ARDB, DRDO, and ISRO) have their own overhead norms, and the institute overhead will be charged as per the norms of government funding agency.

2.5. The Endorsement certificate shall be printed on UPES letterhead, and shall be signed by PI forwarded by Associate Dean - Research for approval of Vice chancellor.

2.6. Both soft and hard copies of the proposal shall be submitted to R&D division well before the closing date of the call. R&D division will dispatch the hardcopy of proposal and maintain the record of submission. Each project will be given an identification number for reference.

2.7. The research project proposal must contain a clear statement of yearly expenditure under different heads. The proposed scheduled expenditure and manpower mentioned in proposal shall be adhered to by the PI. Any deviation from the stated head needs prior approval of sponsoring agency. In case, if the funding agency revises the budget under the different heads, the budget approved by the funding agency shall be binding.

2.8. The IPR and Patents generated during the sponsored project should be taken care as per patent policy norms of UPES (Refer Annexure 1 for UPES patent policy).

3 FUNCTIONS

3.1. Submitting the Proposals:

R&D Division will send the call for proposal and form a group of researchers for submission of proposals. More than one proposal may be submitted to funding agency as per call requirement.

3.2. Operation of Research Project:

When a project is endorsed, a project account number is appointed and all spending heads are incurred from the account. The project is made operational on receipt of fund in the UPES account. PI and Co-PIs may utilize the research fund with approval of R&D dept. Progress reports will be submitted to the R&D dept. and any issues related to operation of project may be discussed as and when required by PI and Co-PI.

3.3. Management of Funds:

The Utilization Certificate (UC) and Statement of Expenditure (SE) will be prepared by PI through Finance department as per requirement of funding agency. The usage declaration of individual project is readied in light of the evaluated proclamations. Copy of such financial statements will be submitted to R&D division.

3.4. Project Extension:

Project extension may be sought from funding body through the R&D division.

3.5. Project Closure and Completion Report:

The PI is in charge of presenting the project completion report to R&D division. The R&D division will close the project account on recommendations of PI.

3.6. Purchase for External, Consultancy and SEED Projects:

All purchases under a project need to be made as per the norms of the university. Items purchased using the project funds are the property of the university, and shall be used solely for project purposes during the term of the Project. On closure of the project, they are the property of the university, unless there is a specific provision or requirement of returning the same to the funding agency. Consequently, each such item will be recorded in the finance/procurement department. The equipment may be used for other activities after the term of the project, with the approval of the Director of the school.

3.7. Project Staff

The R&D division undertakes appointment of project staff members on the recommendation of PI. HR office shall maintain their personal file, leave records, HRA, contract agreements, etc. In particular, the activities undertaken by the office are:

3.8. PI will send a draft advertisement along with a proposed Selection Committee to the R&D division for approval against the vacant post. After approval, the HR will publish the advertisement.

3.9. Screening applications with PI.

PI will submit to the R&D division the report along with the proposed schedule of the interview, and the R&D division will issue the call letter to the applicants called for the interview.

3.9.1 The PI will arrange the Selection Committee meeting on the scheduled date and time, and conduct the interview.

3.9.2. After interview, the PI will submit to the R&D division the report of the Selection Committee along with applications of recommended candidate(s).

3.9.3. After scrutiny of the report of the Selection Committee, the Office will submit the recommendation to the Vice Chancellor for approval.

3.9.4. After Vice Chancellor's approval, the appointment letter will be issued by HR. Joining of Project Staff Member and Signing of Contract Agreement: Selected candidate(s) will report to the PI for joining the duties. The PI will submit the Joining Report to the R&D division.

3.9.5. After acceptance of the Joining Report, a unique Project Personnel File Number is assigned and HR will open a personal file and the Project Staff Member will sign contract agreement.

4. PROJECT INVESTIGATOR

Each project will have a Project Investigator (PI), who is a faculty member of the UPES.

4.1. The PI will be solely responsible for formulating project proposals as per guidelines of funding body. PI may include the Co-PI as per requirement of

proposed research. PI will be responsible for submitting all the documents and reports as per the guidelines of funding agency and university.

4.2. While making an estimate of the funds required for a project, the following budgets heads should be taken into account:

(a) Salaries of Project Staff Members and Ph.D. students;

(b) Equipment;

(c) Consumables;

(d) Contingency;

(e) Travel (domestic and international);

(f) Others (if any); and (g) Overhead.

4.3. The PI shall be responsible to get project work completed satisfactorily within the sanctioned grant and duration.
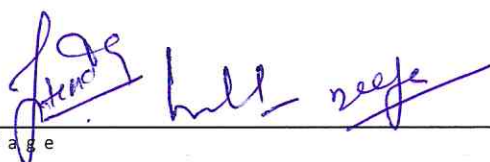
4.4. The PI shall ensure that the head-wise expenditure does not exceed the budgetary allocation as sanctioned by funding agency.

4.5. In case a PI leaves the university, retires, proceeds on leave, or is unavailable for some reason, on the recommendation of the Associate Dean - Research, Vice Chancellor will appoint a new PI, who will take responsibilities of the PI. The new PI will need to furnish an undertaking for completion of the project with the remaining funds and the duration specified by the funding agency.

4.6. Project file will be closed with the submission of final project report and final settlement of accounts.

5. ROUTINE TESTING & CONSULTANCY PROJECTS

Faculty members may undertake routine testing tasks and consultancy works, which are required by collaborators. Any fees/financial matters will be allowed as per policy of UPES. University will not allow undertaking any certification work or consultancy work, unless appropriate authority of the country recognizes certain facilities of the Institute for this purpose. (Refer Annexure 2 for Policy on Consultancy Projects)

6. OUTREACH PROJECTS

Faculty members can organize Conferences, Seminars, Workshop or Short-term Courses with funds from outside agencies, after seeking due approval of the Director. The R&D division will facilitate the use of such funds received from external agencies. Faculty members should open an account in the finance, clearly indicating the purpose of the event being organized. If the funds are raised from the multiple funding agencies (e.g., governmental and non-governmental agencies), then sub-project needs to be created, under the umbrella of the same project account, clearly stating the expenditure heads in each sub-project.

7. SEED GRANT PROJECTS

The Institute supports newly joined young Faculty Members for initiating her/his research at UPES, with a sum of Rs. 5 Lakhs for Faculty Members. The general process is as follows:

7.1. The new faculty member or any interested faculty members shall submit a Seed Grant Proposal to R&D division as per the notifications.

7.2. The Faculty Member will present the same to a Committee consisting of: Chancellor/Vice chancellor and faculties appointed by Associate Dean - Research with approval from VC/ Chancellor.

7.3. If the proposal is accepted in principle, suggestions made by the Seed Grant Proposal Review Committee should be incorporated and the revised proposal submitted by the Faculty Member to the R&D division for final approval by Vice Chancellor / Chancellor.

8. PROJECT PROCUREMENT

All items purchased under a project are property of the university or as per norms of funding agency and university norms (where it applies). They are to be purchased using the university approved procedures. After the project terminate or completes, they remain with the university, unless there is a specific provision or requirement of returning the same to the funding agency. Consequently, each item purchased will be recorded by finance section.

9. PROJECT MONITORING COMMITTEE

For large projects or as per observation by Associate Dean - Research, the Project Monitoring Committee (PMC) with the following composition shall review and assess the project before submission and review the progress periodically (at least every 6 months) for timely completion of the projects. The Committee may advise R&D division in any matter on the project. The composition of Project Monitoring Committee shall be as follows:

(a) Chair-Vice Chancellor

(b) Associate Dean - Research - Member Secretary

(c) Subject related faculty members – 3

(d) One Faculty Member of the relevant field Member

(e) One specialized from outside the University in relevant field, if required Member or representative of funding agency

(f) Project Investigator-Convener

10. INCENTIVIZATION OF RESEARCHERS

10.1. Award for Publishing Professional Articles:

Gift Coupons worth Rs.3000/- for first author and Rs.1500 / - for co- authors would be given for publishing articles in reputed journals.

10.2. Award for Externally Funded Project:

Gift coupons worth Rs.10,000/- is awarded for project worth Rs.5,00,000/- and Rs.20,000/- gift coupons is awarded for funded projects between Rs.5,00,000/- and Rs.50,00,000/-. For funded projects between Rs.50,00,000/- and Rs.100,00,000, gift coupons worth Rs.40,000/- is awarded

10.3. Points in Performance Based Appraisal System (PBAS):

Researchers receive the credit in PBAS system for conducting various Research Activities. Research Points in PBAS will be verified and evaluated through the R&D division.

11. DISAGREEMENT / DISPUTES

Any disagreement within the university arising at any stage of a Project will be resolved with final decisions of UPES to ensure an expeditious removal of bottlenecks and smooth functioning of the project.
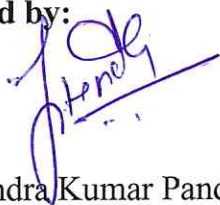
12. PLAGIARISM

Plagiarism is specifically defined as a form of research misconduct, where researcher presents another person's work as one's own work. The university considers this as a very serious issue, and is strictly following University Grants Commission's order No.F.1-18/2010 (CPP-II) regarding the same (Refer Annexure 3).

13. ETHICS IN HUMAN RESEARCH

The university strives to maintain ethical standards in research activities involving human participants, and has formed an Institutional Research Ethics Board to ensure that the research activities are of highest ethical standards. (Refer Annexure 4 for Policy on Ethical Code of Conduct).

Approved by:

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Associate Dean- Research & Development

Dr. Kamal Bansal
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