RESEARCH AND INNOVATION POLICY

INDIAN INSTITUTE OF INFORMATION TECHNOLOGY UNA

HIMACHAL PRADESH, INDIA

AY 2024-2025

TABLE OF CONTENTS

1. Introduction

The R&C office integrates all the departments to facilitate the academic, sponsored research, projects and consultancy services. The office extends its full support to students/faculty/staff/other stakeholders to set up research labs/centres to contribute to academic transformation, and professional, and career advancement. The office supports to conduct of various development activities such as workshops, symposiums, seminars, and conferences. The impact of the research will be reflected in research publications, projects, innovations, and patents in diverse fields. To maintain high-quality research standards, this cell frames the rules and regulations for the faculties/staff/students to pursue their research and participate in various research and consultancy works.

Vision: To facilitate innovative and multi-disciplinary research in collaboration with industries and funding agencies to address real-world problems/meet global needs.

Mission: Develop an environment for research and consultancy activities through effective contributions to stimulate industry-relevant innovative projects, prepare research proposals, apply for funding agencies, and publish papers, and patents that lead to innovation, entrepreneurship, and startup.

2. Objectives

The key objectives of the R&C office of the institute are:
- To stimulate cutting-edge research activities among the faculty members/researchers/students through sponsored projects
- To enhance the institute's research outcomes by fostering active collaborations with external academic and industry partners
- To support faculty involvement in diverse research fields and the pursuit of new opportunities within the institute
- To foster a culture of research innovation by partnering with stakeholders and involving students in research activities
- To promote ethical standards in research practices, patent filing, and the publication of articles.

3. Governance Structure

- The office of the Dean/Faculty in-charge (R&C) is set up to provide specialized administrative and managerial support for the efficient operation of sponsored projects, consultancy projects, patents, and other research-related activities.
- This office acts as a liaison between the institution and funding agencies to undertake sponsored projects, with the approval of the competent authority of the institute.
- Each department will constitute a Departmental Research and Consultancy Committee (DRCC) that consists of a departmental coordinator and co-coordinator to provide support, advice, and assist the Dean/Faculty in-charge (R&C).

- The office of the Dean/Faculty In-charge (R&C) will set up an institute-sponsored project evaluation committee (ISPEC) consisting of the Chairman, DRCC members of each department, and an expert faculty nominated by the Dean/Faculty In-charge (R&C).

4. R & C Projects

The R&C office aims to encourage the faculty/staff/students and cultivate the research environment in the institute to carry out fundamental or applied research activities in emerging areas through innovation, and technology transfer for the growth of the institute and society, by extending the research collaborations with other universities, government agencies, and industries. This office classifies the research projects into the following categories:

I. Initiation Grant:

To encourage new faculty to set up the basic infrastructure in his/her research domain within six months of joining. The sanctioned grant will be valid only for up to 3 years. The newly appointed faculty needs to prepare the project proposal and the grant will be released based on the following guidelines:

- The project proposal needs to be submitted to the office of the Dean/Faculty In-charge (R&C) for evaluation.
- The proposal will be evaluated by the ISPEC committee.
- The recommendations of the committee will be forwarded by the Dean/Faculty In-charge (R&C) to the Director Office for further decision.
- An initial grant maximum of Rs.5 lakhs to procure research equipment mentioned in the proposal will be granted with the approval of the competent authority based on the recommendations forwarded by the Dean/Faculty In-charge (R&C).

II. Sponsored Research Projects:

Faculty are encouraged to get funding from external entities such as government agencies, corporations, non-profit organizations, or foundations to contribute new knowledge, address specific challenges, foster collaboration, create significant economic and social impacts, and facilitate the commercialization of innovations. The following are the guidelines to be followed by the PI or Co-PIs:

- Each proposal will be forwarded by the Dean/Faculty In-charge (R&C) to the Director for endorsement.
- The sanctioned budget should be utilized by the PIs as per the terms and conditions of the funding agency with the due approval from the competent authority of the institute.
- The overhead expenses should be deposited into the institute account based on the norms of the external government funding agency.
- PI or Co-PIs should take responsibility for all the deliverables of the project.
- The institute will not be responsible for any delay in reimbursement of expenditure or transfer of the funds.

- The final report should be submitted to the funding agency through the proper channel and the same copy will be submitted to the office of the Dean/Faculty in-charge (R&C) for maintaining the records.
- PI should obtain the project completion certificate from the funding agency.

III. Collaborative Projects:

Faculty are encouraged to get funding through collaboration or cooperation between multiple individuals, teams, institutions, or even across sectors (such as academia, industry, government, and research laboratories) to address complex problems, capitalize on each other's strengths, capacity building among researchers, and promote cultural exchange via global reach and impact. The following are the guidelines to be followed by the PI or Co-PIs:

- PI or Co-PIs should prepare a separate budget if the funding agency provides a budget separately for both PI and Co-PI and scope of work statement.
- If PI or Co-PI with a separate budget is from the institute, then all the guidelines of sponsored research projects should be followed.
- If the Co-PI is from the institute, where a separate budget is not provided by the funding agency, he/she should duly acknowledge the institute in all the outcomes arising from the project.
- If the Co-PI is from the institute, he/she will be permitted to visit the PI institute on special leave for a maximum period of one week per semester.
- The final report should be submitted to the funding agency through the proper channel and the same copy will be submitted to the office of the Dean/Faculty in-charge (R&C) for maintaining the records.
- PI/Co-PI should obtain the project completion certificate from the funding agency.

IV. Institute Sponsored Projects:

This project is often conducted by the faculty members, researchers, and students within the institute and may involve collaborations with external partners such as industry, government agencies, or other academic institutions to achieve the institute's mission, explore new ideas, solve pressing challenges, and contribute to the local/global research community. The institute follows the below guidelines to allocate the funds under this category:

- A total yearly budget of Rs. 20-30 lakhs will be allocated for the institute-sponsored projects with the approval of the competent authority, and it may likely grow in future.
- A total of 4-5 projects will be approved every year through this budget.
- The total duration of the project is up to 3 years.
- Call for proposals will be announced in January every year.
- ISPEC will meet in February and shortlist the high-quality proposals.
- The allocated budget will not include the manpower, but it supports to purchase of the research equipment/software/hardware kit.

- Project fund is carefully monitored and evaluated by the review committee constituted by the Dean/Faculty in-charge (R&C) on a timely basis.
- Publications and patents will be considered as key indicators of the project outcomes.

V. Institute Grant for Budget Deficit Sponsored Projects:

The institute provides institute grants for budget deficit sponsored (IG4BDS) projects to the faculty who have successfully received partial funding from the government agency and require more budget to successfully execute the project. This funding is granted by the institute under the following guidelines:

- Faculty will be eligible for funding under this category, only in case when he/she has partial funding from the government agency. The same guidelines mentioned for sponsored research projects will apply to the partial funding received.
- The IG4BDS will apply to the same project which has received partial funding, and no new projects will be funded under this category.
- The faculty needs to submit the proposal for the additional grant required for the project with due justification by attaching a copy of the submitted project proposal to the government agency, the approval letter received, and the amount of funding sanctioned.
- An internal expert committee will be constituted by the Dean/Faculty In-charge (R&C) with the approval of the Director to evaluate the proposal and submit the recommendations.
- Funding will be given to procure any non-consumable equipment only; no software or consumables are allowed to be purchased under this grant.
- After the successful completion of the project, the purchased equipment should be handed over to the institute, PI/Co-PI or the funding agency will not have any ownership of the equipment purchased with this grant.
- PI or Co-PI needs to submit the project completion report after the successful completion of the project to the institute, which will be reviewed by the expert committee constituted by the Dean/Faculty In-charge (R&C) with the approval of the Director.

5. Organizing Conferences/Seminars/Workshops/Training Programs

The institute encourages the faculty members to organize workshops/conferences/training programs through funding from various external agencies. The following guidelines will be applicable for conducting the conferences/seminars/workshops/training programs in the institute:

- The institute will support to conduct the event by providing all the infrastructural facilities.
- The institute will permit and facilitate the opening of a separate bank account in the name of the event.
- Account may only be opened with explicit permission and must be closed within six months from the completion of the event.
- The account should be audited by the Institute designated person before closing.

- The responsibility of operating the account, fulfilling the tax obligations, etc. rests entirely with the event organizers – the Institute is only a facilitator.

6. Research Publication Ethics

To encompass the principles and guidelines that govern the conduct of researchers and authors, involved in the dissemination of research findings, these ethics ensure integrity, transparency, and fairness in the scholarly publishing process. The faculty/student must ensure the following publication ethics:

- Academic Honesty
- Integrity and Confidentiality
- Legality of Intellectual Property
- Ethical Treatment of Subjects
- P1agiaraism
- Simultaneous Submissions
- Duplicacy of Publication

The authors are advised to follow standard practices ensuring all those who have contributed are named on the manuscript and no non-contributor is given credit for the work. It is encouraged to publish in good quality non-paid reputed journals, which are indexed in SCI, Scopus, and WoS. Research misconduct will be dealt with very strictly by the Institution.

7. Visiting Scholars/Researchers Program

To encourage the research scholars of IIIT Una to visit other institutes and to attract researchers from other institutes to IIIT Una to engage in research, exchange ideas, and extend academic networks.

- Based on this program, the institute offers the following two designations for researchers from other institutes:
  1. Visiting Researcher (for those already with a Ph.D.)
  2. Visiting Scholar (for those pursuing Ph.D.)
- Visitors must be sponsored by a faculty member at IIIT Una who is willing to act as an advisor to the proposed research project, and it is the responsibility of a prospective visitor to contact appropriate faculty members and arrange for such sponsorship.
- The applications are reviewed by an internal expert committee constituted by the Dean/Faculty In-Charge (R&C).
- Based on the recommendations of the internal expert committee, the approval for the same will be forwarded to the Director.
- Visiting scholars/researchers are considered guests of the Institute who may visit for a temporary period, for a minimum duration of 15 days and a maximum duration of one year.
- Paid accommodation is available at IIIT Una hostel/guest house subject to availability.

- A similar program may be extended to the scholars, who are pursuing Ph.D. in IIIT Una.
- In addition to pursuing their research objectives, scholars from IIIT Una are often encouraged to visit other reputed institutes in India/abroad, research laboratories etc. for research purposes for a maximum period of one year.
- The applications for visiting the other institutes or laboratories need to be forwarded through the office of the Dean/Faculty In-Charge (R&C) to the Director.

8. Filing and Management of Patents

The faculty members are encouraged to file the patents of their innovations arising from the research projects and the potential ideas which may lead to innovations. To protect intellectual property (IP) and create opportunities for commercialization and innovation, the institute follows certain guidelines as mentioned below:

- All the patent applications should be forwarded through the office of the Dean/Faculty In-Charge (R&C) with the approval of the Director.
- In case of a provisional patent application filed in the name of the institute, the initial processing fees up to a maximum of Rs.10,000/- will be paid by the institute.
- In case when the patent is commercialized, the revenue accrued shall be shared among the inventors and IIIT Una in the ratio as per the mutual agreement.
- The inventors among themselves shall decide the share among the co-inventors.

9. Innovation Policy

The innovation policy establishes a framework that encourages and supports creative thinking, research, and the implementation of new innovative ideas to enhance educational practices and outcomes addressing local and global needs. To encourage such innovations, the institute follows these guidelines:

- The institute provides financial support for the student's innovative projects. To avail the financial support, the student needs to submit the proposal to the office of the Dean/Faculty In-charge (R&C) through the project guide stating the budget requirement, outcomes of the project, and potential market value of the product.
- The submitted innovative project proposals are evaluated by the ISPEC and submit the recommendations.
- The recommended projects will be funded up to a maximum of Rs.50,000/- per project.
- The students are encouraged to develop product-based projects which have the potential market value and file the patents following the specific patent management and filing guidelines.
- The institute encourages the students to transfer their innovations to the market by following the guidelines mentioned in the incubation policy.

10. Policy Revision

The policy may be revised with the approval of the competent authority from time-to-time based on the requirements. In any discrepancy, the understanding of the Director of the institute is treated as final.