



# Capital University of Science and Technology

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## **1 Preamble**

- 1.1 The University attributes considerable prominence to research and expect that all faculties and departments should undertake research. All academic staff and postgraduate students have the right to and are required to conduct research, engage in Research & Development activities and publish their findings.
- 1.2 As an educational institution, Capital University of Science & Technology, Islamabad (CUST) recognizes its obligation to ensure that all research activities are accompanied in accordance with the highest ethical standards and conform to relevant legal, regulatory, professional and ethical requirements and standards.
- 1.3 This policy provides guiding principle to establish a research environment within which academic staff and research scholars carry out their research work. It also provides an overarching framework for the development and implementation of all research management at CUST.

## **2 Preliminary Obligations**

- 2.1 The prime obligation for the selection and conduct of research shall rest with the researcher and to this end he or she shall:
  - 2.1.1 Initiate and conduct research projects which may include but not limited to educational, basic science, clinical, business and technological research
  - 2.1.2 Obtain necessary approvals including, but not limited to, ethics, protocol and standard operating approvals, procedure before engaging in a research activity for which prior approval is necessary
  - 2.1.3 Uphold the highest principles of honesty, integrity, morality and ethical behavior in his or her research and not misrepresent his or her academic, professional or employment credentials or experience
  - 2.1.4 Acquaint himself with and abide by the regulations, policies and protocols of any agency or sponsor relevant to his research and confirm that all research funds administered by him or her are used with honesty, integrity, accountability and responsibility
  - 2.1.5 Respect the laws governing access to personal data and privacy in his or her collection and use of data
  - 2.1.6 Ensure that the students have been advised of their obligations in respect of academic integrity and the ethical conduct of research, if they are conducting their research work under his or her supervision
  - 2.1.7 As a supervisor, inform students in advance of any special conditions concerning such matters as constraints on publication, limitations on future use of Data, and ownership of intellectual property that may effect his/her decision to conduct research

### **3 Supervision**

3.1 The University aspires to ensure that appropriate training and direction of Research and supervision of Researchers is available. Supervisors should oversee all stages of the Research process, including outlining or drawing up a hypothesis, preparing applications for funding, the design of experimental or research protocols, data recording and data analysis.

### **4 Collaborative Research and Authorship**

4.1 The University will work with other organizations and institutes in compliance with common standards and procedures for the conduct of collaborative research. Researchers should be aware of the standards and procedures for the conduct of research followed by any organizations involved in collaborative research.

4.2 In establishing research collaborations with other organizations, researchers should be aware of the University's policies and guidelines, as well as collaborator's legal and regulatory requirements, and confirm that research partners and their employing organizations are able to meet the obligatory standards of research conduct. The collaborating parties should be clear about their corresponding roles and responsibilities.

4.3 A researcher shall recognize in an appropriate form or manner in his or her publications the substantial contributions of all research collaborators including Students.

4.4 A researcher shall ensure that where a co-authored publication is based primarily on the work of a Student, including a dissertation or thesis the student is granted due prominence in the list of co-authors in accordance with the established practices of the discipline.

4.5 Researchers should take responsibility for their contributions to all publications, funding applications, reports and other representations of their research. List of authors should include all those and only those who have made substantial scholarly participation to the research work conjointly accomplished.

4.6 The right of authorship is not associated with position or profession. Ghost, gift or honorary authorship is unacceptable in any case. For a person to be considered as an author of a certain publication requires that he or she is directly involved in the conception of the publication by being exclusively responsible for, or making a substantial contribution to the data on which the publication is based and writing or revising the intellectual content.

4.7 Researchers must conform to the authorship criteria appropriate to their discipline and in accordance with the requirements of the target journal. Authors should recognize in publications the names and contributions of all those who made prominent contributions to the research, but who do not meet authorship criteria, including writers, funders, sponsors, and others.

### **5 General Support for Research Projects**

5.1 Research resources may be made accessible, either adjunct to external funding, or as the sole means of support, to qualified research. These resources may include:

- a) Laboratory Space and Equipment

- b) Library Resources and Services
- c) Administrative Support
- d) Data Processing Resources

## **6 Research Funding and Sponsorships**

6.1 The University ascertains two sources of funding for research activities: The CUST Research and Development Fund and External Research Grants/Sponsorships. All research activity details including funded R&D Projects and associated agreement details for external funding/sponsorship in CUST should be made available to the ORIC.

## **7 CUST Annual Research Grant**

7.1 To facilitate and promote research culture at CUST, Seventy percent (70%) of the CUST Research and Development (R&D) Fund shall be set aside as Annual Research Grant.

7.2 To be eligible for the competitive Annual Research Grant, applicants' must be:

7.2.1 Members of the academic staff, employed by CUST, and have an employment contract that specifies that they must undertake Research and teaching

7.2.2 Members of the academic staff who are employed by CUST and have already received external grants or sponsorships in a particular project are eligible to apply for some other project provided they are contributing significantly in research and graduate supervision

7.2.3 Students doing their postgraduate studies, pertaining to the availability of funds and analyzing the quality of research they are pursuing on

## **8 CUST Research Travel/Conference Grant**

8.1 Academic Conferences, Seminars and Symposia provide prospects for academicians to understand the latest developments in their fields and corroborate research findings, while creating opportunities for future academic collaborations. Keeping in view their significance, the University has allocated Thirty percent 30% of the CUST Research and Development (R&D) Fund for Sponsorship of research work presentation in reputed International Conferences.

8.2 A regular faculty member and Postgraduate student of CUST who has successfully submitted his research work/findings in an international refereed conference of repute is eligible to apply for the travel grant.

8.3 The professional affiliation of the conference presenter should be with CUST and acknowledgement of his or her sponsorship must be shown on the conference paper.

8.4 In case of multi-authored papers, the principal author (could be either first or the corresponding author) would be eligible for the travel request, unless he or she is unable to present his work due to certain circumstances. In such cases, co-author can present the research work provided consent/NOC from the principal author.

8.5 The researchers presenting their research work in top International conferences directly organized by leading professional bodies of relevant disciplines (such as IEEE, ACM,

AAAS, AEA, etc.) and whose papers are peer reviewed, archived and have an acceptance ratio of less than 25% would be entitled to receive 75% reimbursement.

8.6 The authors presenting their research paper in 2<sup>nd</sup> Tier International conferences supported by leading professional bodies of relevant disciplines (such as IEEE, ACM, AAAS, AEA, etc.) and whose papers are peer reviewed and archived, with acceptance ratio between 25–40% would be eligible to claim 75% reimbursement.

8.7 The scholars presenting their research findings in 2<sup>nd</sup> Tier International conferences supported by leading professional bodies of relevant disciplines (such as IEEE, ACM, AAAS, AEA, etc.) and whose papers are peer reviewed and archived would be eligible to receive 50% reimbursement.

8.8 The researchers presenting their findings in top National conferences directly organized by leading national professional bodies or supported by leading international professional bodies of the relevant discipline (such as IEEE, ACM, AAAS, AEA, etc.) and whose papers are peer reviewed, archived and have an acceptance ratio of less than 25%, would be eligible to receive 75% reimbursement.

8.9 Request for subsequent conference visit would only be entertained, if prior to the second conference, a paper is published in ISI indexed Impact Factor journal and at least one year has passed from the date of presentation of previous paper. PhD student will be required to produce at least two ISI indexed Impact Factor publications before the 2<sup>nd</sup> sponsorship.

8.10 A faculty member/PhD student selected to present his/her research work at international academic event initially has to pay his expenses at his own cost and the University will ultimately reimburse his travel expenses.

8.11 The research scholars would be entitled to receive following expenses:

- a) Conference fee, if applicable
- b) Cheapest available Return Airfare (with no optional diversions)
- c) Hotel/Boarding Costs for Number of days of the Conference + 1 day
- d) TA/DA as admissible for the above

8.12 The reimbursement claim for travel grant should be filed within the same financial year in which the conference was held.

8.13 Duly filled Reimbursement Forms are required to be submitted on relevant prescribed proforma along with the following documentary evidences:

- a) Used Air Ticket/e-ticket bearing the cost of the ticket
- b) Original boarding pass counterfoil
- c) Original receipt for payment of registration fee of the event bearing the grantee's name and the actual amount
- d) Original receipt of payment for accommodation bearing the grantee's name, duration of stay and the actual amount
- e) Acceptance/Invitation Letter or email from the organizer in which the presentation mode (oral/poster) has been clearly mentioned

- f) Documentary evidence about the acceptance of abstract/paper based upon peer-review by the technical committee of the event
- g) Documentary evidence indicating that abstract / paper published in book of Abstracts/ Proceedings/Journals for the conference
- h) Copy of conference brochure enclosing objectives, themes, registration charges and accommodation details.
- i) Hard and soft Copies of full-text paper
- j) NOC from the principal author (in case if the applicant is co-author)
- k) Recent updated resume of the applicant including the list of publications

8.14 Duly filled Reimbursement pro-forma, along with supporting documents, should be submitted at least 2 months prior to the end of the financial year.

## **9 External Research Funding and Sponsorships**

9.1 The University encourages researchers to seek external funding for their research work. ORIC would fully support the faculty researchers in their proposal write up and associated procedures. Applications for grants should be peer reviewed, in order to fortify the quality of submissions. ORIC would assist in submitting research grant applications to funding agencies with the cooperation of the researcher and should be informed of all Research proposals developed by the university researchers. A copy of every proposal sent for external funding should be made available to ORIC.

9.2 A contract between the University and the funding body should be constricted by both parties upon acceptance of funding request. The agreements must be approved by the Vice Chancellor Secretariat, CUST. Funding agencies shall provide details of reporting requirements in or attached to Contracts/Grant notices.

9.3 Principal Investigators (PI's) are responsible for the execution of funded research projects in accordance with the contract terms, including meeting project milestones and conforming to project budgets. PI's are responsible for preparation of progress reports and final project reports. PI's must familiarize themselves with these requirements and are responsible for ensuring that all reports are provided in a timely manner. PI's should meet the donor's requirements in accordance with the Research contract.

9.4 All research equipment and materials lest supplied by the donor, shall be procured as per normal University procedure of equipment purchase. All such equipment purchased through research grants shall become University property upon completion of project unless, specified otherwise in the research contract.

9.5 All external sponsorships and collaborations must be in accordance with the CUST financial procedures. The University Accounts Office is responsible for invoicing funding bodies for grant moneys and confirming that project accounts are credited accordingly. Upon conclusion of research projects, Finance Department should administer financial acquittal, distribution of any amount remaining in the project account, completion of project records and closure of the project account and the project file.

9.6 The University shall be entitled to receive ten percent (10%) on all external research grants as overhead cost. Overhead costs include all those expenses that are not directly attributed to research like electricity, equipment repairs, taxes, internet, telephone bills and similar utilities.

9.7 Researchers should not seek funding from organizations or individuals, or enter into an agreement with them, where the association of CUST with the organization or individual may bring the name and integrity of the University into disrepute. All funding collaborations and agreements should be in line with CUST policies and procedures.

9.8 All equipment repairs if applicable shall be undertaken by the project fund. If the equipment repairing cost exceeds the budgeted allocation, University shall complement for repairs from overhead deductions and/or University resources if needed.

## **10 Faculty Support for Membership of Professional Societies**

10.1 Faculty members can propose Research society (ACM, IEEE, CPSR etc.) that they desire to be a part of, and scientific journal that they intend to subscribe. CUST shall financially support the provision of these memberships/journals on case to case basis and pertaining to the availability of funds.

## **11 University Research Groups and Centers**

11.1 Research groups and centers promote the researchers' areas of research distinction and build the University's research reputation. They also serve as platforms to engage and collaborate with other research institutes and industry and facilitate interdisciplinary and multidisciplinary connections. The University would fully assist the establishment of research groups to raise the research profile & standard of the University, focus the areas of research excellence and to capitalize external research funding.

## **12 Verification and Recordkeeping of Research Publications**

12.1 ORIC will be responsible for authentication and vetting of CUST publications produced by faculty members, researchers and students. It is the responsibility of ORIC to keep the record and update the same from time to time. ORIC may be asked for verification, recognition and categorization of journals and publications.

## **13 Hazardous Research**

13.1 A Researcher intending to engage in research activities that posture a noticeable inherent risk of accidental damage to persons or property shall obtain all necessary endorsements before accepting delivery of harmful materials, and prior to the commencement of particular research activity shall inform those who may be at potential risk of damage or detriment.

13.2 A Researcher involved in a research activity which carries a substantial and recognizable inherent risk of physical injury to persons or property shall take suitable measures to address the expected situation in accordance with the University's Healthy & Safety and Emergency policies and guidelines and report the incident of potential threat to the concerned authorities.

## **14 Conferences/Workshops/Seminars**

14.1 Each CUST academic department is required to organize at least one international level conference in every alternate year in their respective field of disciplines. The events would provide a platform to the University students/faculty members to present their research work before renowned national and international researchers. The participants should also be shown the research work in the area and may be taken around the Labs and Library facilities highlighting the strength of R&D work and available research facilities.

## **15 Academic Malpractice and Misconduct**

15.1 Academic misconduct or malpractice includes fabrication or falsification, conception of fabricated data, dishonesty in proposing, carrying out or reporting results of research, including suppression of relevant findings, and distortion of data. It also includes plagiarism and use of others' ideas, research findings, intellectual property or similar work without acknowledgement or permission.

15.2 A researcher shall not knowingly engage in Plagiarism. Upon knowing the fact that a researcher has engaged in Plagiarism, it shall be considered that the researcher did so intentionally and he or she shall bear the liability of disproving the allegation through evidence by satisfying the Person or investigating body the matter that no such knowledge existed. A researcher shall have to achieve the prior approval of another Person, even with proper attribution, the unpublished work or data of the other Person.

15.3 The University takes earnestly the cases of malpractice and misconduct in research and is committed to ensure that allegations of misconduct in research are inspected with all possible thoroughness and vigor. All members of the University, researchers and individuals permitted to do research work, have an obligation to report any event of misconduct and deception, whether this has been witnessed, or is suspected.

## **16 Sabbatical Leave**

16.1 Sabbatical Leaves are intended to provide CUST faculty members with an opportunity to enhance their professional growth, produce scholarly works, innovate, gain Knowledge and pursue their research interests so that they may serve more effectively on their job and in their respective field of specialization.

16.2 A designated professorial faculty member who has served at least five years at CUST and has an adequate academic and research profile is eligible to apply for the sabbatical in his/her sixth year of service at CUST. On return to job, the recipient must submit a detailed progress report regarding his relevant activities during sabbatical leave to VC Office. The subsequent sabbatical can be requested in the sixth year from his/her previous sabbatical, provided satisfactory academic and research performance.

16.3 CUST sabbatical leave structure offers eligible faculty members a maximum of 3 months vacation with six weeks of paid leave during their first sabbatical leave. Every subsequent leave is augmented with one paid week with a maximum of eight weeks.



16.4 Eligible faculty members can apply for a sabbatical leave by submitting a written proposal that should clearly indicate the purpose of leave and the recommendation of the respective academic Dean. The proposal application will then be submitted to VC Office for approval. The leave is granted solely at the Vice Chancellor discretion, subject to the academic and research contribution of the applicant, availability of budget for replacement staff and other operational requirements.

## 17 Faculty Research Load Criteria

17.1 Faculty Research Load Criteria evenly distributes all faculty tasks and obligations that a faculty member is allocated across various domains, namely teaching, research, and administration with associated responsibilities.

17.2 Teaching load includes Class Lectures, Course Coordination (Exams, Course File, portal etc.), Paper Marking, Introducing New Course and FYPs Supervision.

17.3 Research Load includes Postgraduate (MS/PhD) Supervision/Co Supervision, R&D Projects, Active Research Group Management and doing Active Research (Publications, Production of High Degree Research Students and Research Register Maintenance).

17.4 Administration Duties include Official Administrative Positions and University Administrative Committees/Bodies Chair/Membership. The Administrative bodies may include Academic Council, Executive Committee, Board of Advanced Studies and Research, Board of Studies, Admin Committee etc. The faculty teaching, research and admin load can be distributed as per following weightage scheme:

Sr. No.	Responsibility/Assignment	Weightage (%)
1	Teaching (1 Cr Hour Course)	2.5
2	Teaching (3 Cr Hours Course)	7.5
3	Course Coordination	3
4	Paper Marking (For Every 25 students)	1.25
5	New Courses Introduction (Each Course)	2
6	FYPs Supervision (Each Project)	2
7	Postgraduate Supervision (Each Thesis) <sup>1</sup>	8
8	Funded R&D Projects/Research Group Lead/Active Research	40
9	Official Administrative Position	10
10	Committee Chair/Membership	5

The faculty load should ideally be around 100% but it can vary between 95-105% per semester depending on the circumstances.

**Note:** For the University Policy Matters and Procedures related to Intellectual Property Rights and Plagiarism, please consult Chapter-5 of CUST Faculty Handbook

<sup>1</sup> For Co supervision of Postgraduate Research Thesis 8% is mutually divided among supervisors