

University of Peradeniya

Policy Name	: Policy on Research, Invention, Innovation, Development and Commercialization
Policy Number	: UoP-P-012
Date of Approval	: 30.10.2021 (approved by the 509 th Council)
Supersedes	: Not Relevant
Approving Authority	: The Council, University of Peradeniya
Administrative Responsibility	: Vice-Chancellor, Senate, Deans of Faculties, Directors of PGIs, Directors of Centres and Units, Librarian, Heads of Departments, Heads of Faculty Units and Divisions
Monitoring Responsibility	: The Council, University of Peradeniya

Overview

The Mission of the University of Peradeniya is to “contribute to national, regional and global society through the pursuit of education, learning and research, and the dissemination of knowledge at the highest international levels of excellence”. Therefore, the University recognizes the importance of strengthening and motivating the conduct of high-quality research, innovation and development among the staff and students. Further, the University promotes research in all fields broadly relating to the Science, Technology, Engineering, Mathematics (STEM), Humanities, Education, Management and Social Sciences (HEMS).

This policy shall be reviewed and confirmed every five years to maintain its relevance and validity.

Scope and Application

Purpose of the Policy:

This policy sets out the principles which undergird the University’s approach to research, innovation, development and commercialization. It also sets out the commitment expected from the University and its staff and students, in order to foster a culture of research, invention/innovation, development, commercialization and integrity. In addition, the policy recognizes the efforts of the University to promote entrepreneurship by introducing a suitable eco system for promoting business linkages, invention/innovation, incubation, and technology transfer within the University community and hence create jobs, wealth and social values through successful ventures. The policy will therefore provide the best possible environment for research, invention/innovation, development and commercialization. The University considers, in this regard,

To whom it applies:

1. Persons employed by the University, including student employees and technical staff
2. Students, including undergraduate and postgraduate students of the University.
3. Any other persons, including visiting researchers attached to the University on part time / full time basis.
4. Who use the University resources and who perform any research task at the University or otherwise participate in any research project administered by the University, including those funded by external sponsors.
5. Collaborators.

All the members mentioned above are collectively referred to as ‘researchers’ of the University

Key areas to which it applies:

1. Research and dissemination of knowledge
2. Teaching and learning
3. Study program design and development
4. Research collaborations and partnerships
5. Establishing business cells /centres at Faculty level
6. Research commercialization/business linkages/start-ups / spin-offs/incubations
7. Securing IP rights
8. Technology transfers
9. Research misconduct
10. Finance management
11. Negotiating with commercial partners

Key Policy Principles and Values

1. The University of Peradeniya promotes the following principles and values concerning research, invention/innovation and commercialization, namely:
 - a. High- quality fundamental and application-oriented research
 - b. Research integrity
 - c. Multi-disciplinary research
 - d. Socially and commercially impactful research and invention/innovation
 - e. National, regional and international collaboration in research work
 - f. Technology transfer and commercialization of research outcomes
2. The University recognizes the freedom of individual scholars to select the subject matter of a research, seek support from any source, and draw their own results and conclusions. These results and conclusions should be available for scrutiny and criticism under the openness of this policy.

3. Procedures of research shall not violate established ethics related to health, privacy and safety of human beings and welfare of animal subjects and natural environment.
4. The University promotes the need for high- quality local and global research. Outcome of these research may be of commercial significance and/or of scientific, political, legal, economic, historical, social and cultural relevance.
5. The University places special emphasis on the need to develop critical and innovative research which challenge the established knowledge and views that tend to promote exclusivity, discrimination and inequality.
6. The University further promotes protecting intellectual property rights in the form of patents, industrial design, trademarks, copyrights, trade-secrets etc. and commercialization of research outcomes wherever possible. The University policy related to intellectual property protection and commercialization has been outlined in the “Intellectual Property Policy” (hereinafter referred to as the IP policy) of the University.
7. Business linkage, innovation, incubation and technology transfer, technology promotion/ marketing and facilitation of commercialization shall be handled by a central University Business Linkage Unit (hereafter referred to as UBL).

Recognizing, Promoting and Rewarding High Quality Research

8. The University recognizes, as research, all forms of scholarly and innovative work of the researchers in the STEM and HEMS.
9. The University promotes the need to effectively disseminate research. The publication of research work by well recognized publishers and in high- quality journals is therefore strongly encouraged. In this regard, the University discourages its researchers from publishing their research in ‘predatory journals.’
10. High quality research is considered essential for the enhancement of knowledge as well as the development of the academic profile of the staff members. The University will seek to recognize, promote and reward such high-quality research.
11. To promote and recognize high- quality research and research commercialization, the University organizes an Annual Research Award ceremony.
12. Under the research award scheme, the University recognizes outstanding researchers including (by not limited) terms of:
 - a. Quality of research publications
 - b. Acquiring national/international research funding
 - c. National / International patents granted
 - d. Commercialization of research outcomes

Research, Teaching and Learning

13. The University considers high- quality research to be an integral element of the teaching and learning process. Further, research is considered especially vital for members of the staff and a principal form of developing critical knowledge, which enhances the quality of teaching.
14. The University strongly encourages research and innovation by its students at all levels of study programmes. In this regard, the University promotes the need to incorporate a research component in all of its degree programs – present and future – as a mandatory requirement.
15. While promoting student-based research, the University also emphasizes the need to make available avenues through which high- quality research of the students can be published. To promote a culture of high- quality and innovative research, the University encourages the initiation of research publications and journals by the different faculties, departments and institutes of the University.

Study Programme Design and Development

16. In addition to dissemination of knowledge gained through research activities in the form of publications, the University promotes incorporating those research experiences and knowledge in undergraduate and postgraduate study programmes.
17. Further, the University promotes each faculty, institute, centre, units and cell to design, develop and offer short-term and long-term study programmes such as workshops, certificate courses, and diploma courses to disseminate research outcomes to industrial and technical practitioners in their respective fields.

Research Collaboration/Partnership

18. The University promotes collaboration between researchers at the inter-faculty, national, regional and international level whenever it is possible.
19. The University also promotes the widest possible University-Industry collaboration. Such collaboration is considered a necessary part of the teaching and learning process.
20. The University strongly encourages its staff to explore research opportunities through securing research grants from both national and international organizations.
21. Further, the University encourages the members, departments, institutes, centres, units and cells of the University to establish independent collaborative research laboratories and research centres with the private/public sector organizations. The University believes this will provide cutting-edge research opportunities to the members of the staff and the students of the University.

22. Before initiating any research collaboration or partnership activity, the University strongly recommends to enter into a formal agreement / MoU between collaborative parties and the University on intellectual property rights, (please see the IP policy for the definition) and general terms and conditions on commercialization of research outcomes generated through such collaborations or partnerships. All the terms of the agreement shall be determined according to the IP policy of the University and all such agreements must be proceeded through the Intellectual Property Advisory Committee of the University (hereinafter referred to as the IPAC).

Research Commercialization / Start-ups / spin-offs

23. The University promotes commercialization of research outcomes as outlined in the “IP policy” of the University.
24. The University recognizes the first right of refusal for the inventors to commercialize their invention by themselves, subjected to the conditions imposed by the Council of the University. If the inventors are not interested in commercializing the research outcomes by themselves, the UBL may search for suitable commercial partners who are willing to commercialize the intended product/service.
25. The University recognizes the importance of creation of start-ups / spin-offs by inventors, and establishment of facilitating incubation centres within the University. The University takes necessary arrangements to formally recognize start-ups / spin-offs and the involvement of the University with them.
26. The University would recommend hosting start-up / spin-off enterprises within a university incubation centre for an accepted duration subjected to any conditions imposed by the Council of the University.
27. The University accepts the rights of the members of the staff to hold positions in the Board of Directors and hold a stake of the start-up / spin-off enterprise.

Research Misconduct

28. The University promotes the highest standards of honesty, integrity and accountability in research, innovation, development and commercialization. Every researcher has a responsibility to foster an environment which promotes honesty, integrity and accountability and should not tolerate misconduct in any aspect in research, innovation, development and commercialization activity.
29. All research activities should conform to ethical standards and guidelines set out by the University of Peradeniya. In situations where human and animal research is conducted, it will be essential that researchers obtain prior approval and clearance from the Ethics Review committees of the University.

30. Researchers should at all times respect and follow the laws and policies relating to the protection of intellectual property rights.
31. The University considers plagiarism and other forms as dishonest practices amounting to misconduct in research. The University adopts a policy of zero-tolerance regarding such misconduct.
32. In the event of such an allegation, stringent disciplinary actions will be taken against respective researcher by the Governing Authority of the University in accordance with the provisions laid down in the rules and regulations of the University.

Patent / Copyright

33. The Terms and Conditions including the ownership related to inventions, copyrights and patent are governed by the IP Policy of the University and sections 2 and 3 of chapter XIX of the University Grants Commission Establishments Code.
34. All the participating researchers who are expected to be involved in research activities funded by the sources managed by the University and/or using the resources of the University must sign an intellectual property/copyright ownership transfer agreement with the University before commencing any research activity.

Finance Management

35. Subject to the provisions of the financial regulations and other regulations of the University, the University will maintain a “Technology Transfer Fund” as indicated in 6.7 of the IP Policy of the University.
36. University promotes maintaining “Alumni Funds” in support of seed funding of start-ups / spin-offs. Further, the University may enter into agreements with investing, funding and financing partners for supporting initial finances of start-ups / spin-offs.
37. University may enter into partnership agreements with public / private organizations for supporting incubation and collaborative research facilities, under flexible financial models within the existing university and national financial provisions.

Definitions

"**Research**" shall mean the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. This could include synthesis and analysis of previous research to the extent that it leads to new and creative outcomes. (from:

https://www.westernsydney.edu.au/research/researchers/preparing_a_grant_application/definiton_of_research)

"**Misconduct**" shall mean practices such as plagiarism, falsification, fabrication and copying in the writing/reporting of research; whereby the researcher deviates, deliberately and negligently, from accepted practices expected by the University. Misconduct also includes the failure to follow established policies, protocols and ethical principles of the University.

(from: <https://ori.hhs.gov/definition-research-misconduct>;

and <https://www.sheffield.ac.uk/hr/guidance/academicstaff/researchmisconduct/overview>)

"**Commercialization**" shall mean a form of exploitation of intellectual property, including assignment, licensing, internal exploitation within the University and commercialization via a start-up/spin-off enterprise.

"**KPI**" shall refer to Key Performance Indicators which demonstrate how the progress of a research is achieving its objectives or how a commercial partner is reviving the objectives of the technology transfer agreement signed between the University and a commercialization partner.

"**Visiting Researcher**" shall mean individuals having an association with the University without being either employees or students. "Visiting Researchers" include academic visitors, individuals with honorary appointments in the University and emeritus staff.

"**Collaborator**" shall mean a party that furthers collaborative research projects by utilizing equipment and resources that are normally unavailable, or not easily accessible to the University.

(From: <https://oir.nih.gov/sourcebook/personnel/ipds-appointment-mechanisms/research-collaborators>)

In the event of any inconsistency between this policy and the University IP policy, the University IP policy will prevail.

Related Policies (if any)

- University of Peradeniya Strategic Plan
- Intellectual Property Policy (IP Policy) of the University of Peradeniya
- BLITTO constitution
- PG Studies and Research Policy
- Assessment of Awards
- Conflict of Interest Policy
- Finance Policy of the University
- University Grants Commission: Strategic Plan 2019-2023, available at: https://www.ugc.ac.lk/downloads/corporate_plan/University%20Grants%20Commission%20Strategic%20Plan%202019-2023.pdf
- All other policies developed and adopted by the University of Peradeniya

Related Acts, Rules, Regulations, Key Circulars (if any)

- Intellectual Property Act No 36 of 2003
- UGC Circular No.10/2016
- University E code
- Relevant by-Laws proposed to be developed under this policy:
- Relevant Guidelines/SoPs proposed to be developed under this policy