



**GENERAL SIR JOHN
KOTELAWALA DEFENCE
UNIVERSITY**

**POLICY ON
RESEARCH DEVELOPMENT AND
INNOVATION**

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1.0 INTRODUCTION

General Sir John Kotelawala Defence University (hereinafter referred as to KDU) was initially established as the “General Sir John Kotelawala Defence Academy” by the Parliamentary Act No 68 of 1981 and subsequently it was elevated to University status by the amendment Act No 27 of 1988, thereby empowering it to award Bachelors’ and Postgraduate degrees in Defence Studies. KDU is a member of the Association of Commonwealth Universities (United Kingdom) and maintains necessary standards for educating and grooming Officer Cadets to meet the challenges of modern defence management. KDU is now open for civil students who wish to continue their higher studies in various disciplines.

In order to develop as a credible higher education provider in Sri Lanka, General Sir John Kotelawala Defence University recognizes the need to develop and sustain, an institutional culture that promotes active engagement in research and innovation by its staff students. The Research, Development and Innovation Policy of KDU is a document that provides a framework for the development of a competitive and innovative research culture at KDU.

KDU is hoping to become one of the leading research universities in Sri Lanka and is committed to support its research activities, and improve the quality of university education through the discovery and dissemination of new knowledge generated through research. Also further, the KDU is continuously investing in its research and development activities to support the sustainable development of the society and beyond. KDU is encouraging all faculty, staff members and students to participate in research activities in accordance with the provisions of this Policy and other related Policies and Guidelines.

The aim of this Research Policy is to promote excellence in research and development, innovation and dissemination of research results in the realization of the University’s Vision, Mission and Strategic Objectives. It will also ensure proper and efficient coordination and management of research-related activities in the KDU.

2.0 SCOPE

This Policy covers all University research development activities and innovation activities undertaken by researchers including staff, students and other researchers. This policy is applicable to all the research development and innovations activities carrying out or created at KDU and applied to all programmes supported by KDU, UH-KDU and KDU affiliated institutions. Therefore, the Policy applies to all members

of the Kotelawala Defence University involved in research, i.e., professors' emeriti, faculty members, trainees, clinical faculty, postgraduate and undergraduate students, visiting staff, visiting scholars, professional affiliates and postdoctoral fellows.

3.0 OBJECTIVES

Objectives of Research and Innovation Policy of KDU are to:

- a) Support the KDU staff and students to actively to conduct research.
- b) Strengthen the profile and ranking of the University nationally and internationally.
- c) Empower and cultivate creative and innovative research.
- d) Enhance research collaboration between disciplines locally and abroad.
- e) Enhance the quality of teaching and learning by encouraging academic staff to engage in more research development contribute to generating new knowledge.
- f) Intensify cooperation and collaboration between universities industries, and society.
- g) Boost efforts in generating revenue for KDU

4.0 PRINCIPLES AND VALUES

The principals and values of this policy are discussed under four main areas;

1. Research and Development
2. Innovations and Commercialization
3. Ethical Considerations in Research
4. Dissemination of Knowledge / Research Outcome

4.1 Research and Development

Research is defined as the production, application and dissemination of new knowledge towards a scientific understanding on of a topic through research, scholarly and artistic work.

4.1.1 Research Engagement by KDU staff and students:

Each academic staff member will intellectually contribute, with new ideas and thoughts, towards problem adding new knowledge, problem solving and innovation. Scholars attached or affiliated to the University have freedom to formulate their own research plans, carry out their procedure and produce their own conclusions based on the findings of their research. The University obliged to provide the space, funds,

facilities and other resources needed for research.

The University will allocate a proportion of time for conducting research. Thus the Academic and Staff members will be free to conduct basic or applied research. All members of KDU, who are involved in research and development are bound by this Research Development and Innovation policy and lack of awareness of the policy, or lack cultural awareness or personal issues are not reasons for its breach. The members of KDU, who involved in research, innovation and artistic work must,

- a. Ensure that the proposed research to be novel, adding value to the existing knowledge base and beneficial to the intended stakeholders.
- b. Ensure that the research project is aimed at maximizing benefits to individuals, organizations, and communities or to the entire society.
- c. Maintain the highest standards of Research.
- d. Obtain all required approval and training for research including, but not limited to, research involving human participants and animal subjects, field work, bio hazards, radioisotopes, and environmental impact.
- e. Adhere to approved protocols.
- f. Adhere to National, Institutional and Institutional policies on freedom of information, Right to information acts, and protection policies relating to the conduct of research and innovation and adhere to KDU policies and regulations all the time.
- g. Acknowledge all authors, contributors, and contribution to research, including writers, funders/ funding agencies etc
- h. Disclose any breach of the Research Development and Innovation policy of KDU
- i. Adhere to openness in research as an overriding principle, including freedom of access to all interested parties. The KDU prohibits secrecy, including limitations on publishing research.
- j. Encourage collaborative research to bridge the gap between research and practice including more interdisciplinary collaborative research at KDU, national and international levels.
- k. Adhere to university policies and regulations when managing centers, libraries, institution and the press: property, management, disposal of remains and waste after research; sponsored projects, financial management, project administration, reporting and appointing committees and panels to support research.

4.1.2 Management and Co-ordination

4.1.2.1 - The Office of the Dean Research and Development

The office of the Dean Research and Development Office (RDO), established at KDU for the first time in Sri Lanka, oversee the overall coordination and management of research activities of all Faculties, Centres, and

other academic Units of the KDU. Faculties and Centres, can also establish internal coordination and management structures, such as research cells or research groups, to promote research activities as teams at various disciplinary or expertise levels. These internal structures can coordinate with the RDO for support, recognition and dissemination of their research activities. Through the RDO, research development and innovation at KDU are functioned in a centralized manner.

- a. The RDO will serve as the convener to the KDU Research Grant Committee (RGC) and will operate according to the terms of reference set by the university.
- b. All researches in various academic Units of the University shall operate and function through facilitation and guidance by the KDU-RDO and the RGC.
- c. The mandate of KDU-RGC is to develop the University's strategy for promoting research, scholarship and innovation by KDU staff and students, contributing to the University's Vision and Mission.
- d. RDO offers internal financial support for conducting research (refer section 4.3.1) and for encouraging academic staff and students to engage in more research activities (refer section 4.4.1 & 4.4.2)
- e. RDO conduct various workshops to introduce/update necessary knowledge in research fundamentals.
- f. Coordinate the provision of support with writing research papers/proposals especially for junior academic staff and the students with the help of senior experienced academics of the university.
- g. RDO further recognizes those staff and students actively engaged in research at KDU by to further encourage them in research and innovation.
- h. Support commercialization of research by the staff and students through guiding the process as laid down in the KDU IP policy and supporting to obtain necessary national approvals as necessary.

4.1.2.2 - The Deans, Directors and Heads of the Departments

Heads of Departments (HoD) /Directors of Centres/ Deans of the faculties should provide the required freedom and resources (laboratory/ IT support as relevant) for individual researches/ research cells/ research groups, under their purview, to efficiently carry out research. This also means having clear, documented processes are established within their units for managing research while any associated health and safety, environmental, business or financial risks being identified and managed.

Heads of Departments (HoD) /Directors of Centres/ Deans of the faculties should assure the conduct of research within their Academic Department/ Faculty and Centre and for the compliance with this Policy and related other policies and procedures of KDU. They should ensure properly forwarding various requests by the individual researches/research groups pertinent to research to the relevant authority, through the RDO, for efficient implementation of support and services offered by KDU to its staff and students as described in this policy. Where research takes place across more than one Faculty/ Academic department/ Centre, the Dean/s

or the HoD or relevant Director/s are jointly responsible for all the above.

The Heads of Departments (HoD) /Directors of Centres/ Deans of the faculties should support the researches with required freedom to engage in research activities inside or outside KDU, without hindering the academic activities at the department/ faculty/centre. Where necessary, requests by researches for obtaining duty leave to engage in research outside the KDU can be forwarded to the Vice Chancellor for approval, which will be evaluated case by case, considering the requirement, output and the progress, on the recommendation by the Dean Research and Development.

4.1.3 Financial Resources to Support Research

4.1.3.1. Internal University Research Funds:

The RDO will ensure adequate allocation for funding for research and development in the KDU annual budget, which is predicted based on activities laid down in the university cooperate plan. On recommendation by the RGC, the Assistant Bursar, dedicated for research and development, will manage this budget.

4.1.3.2. Externally Sourced Research Funds:

Academic and Staff members are encouraged to apply for research funds from external sources. All externally-funded research shall be declared to the RDO, to which copies of the Proposals, Contract documents and periodic Reports should be submitted for records, monitoring and evaluation. Researchers shall not sign Contract agreements without the involvement of the University's Legal Office to ensure proper legal advice on contractual matters.

4.1.3.3 Financial Resources to Encourage the Academic Staff and Students for Research

The RDO will implement various schemes of providing financial support for research and development activities by staff and students of KDU. Some examples are, Annual research grants, Reimbursing publication fees, Support participating in research conferences and training etc. It will further device strategies to recognize the efforts of academics actively engaged in research such as Awarding Annual Research Excellence Awards to staff and students. Details of such facilities are update on the website of KDU research and Development office (https://kdu.ac.lk/research-and-development/?page_id=104)

4.1.3.4. Research Allowance:

A monthly allowance of 35% of the basic salary is granted to all academic staff based on the research output in a given year and this will be monitored and functioned by the Registrar's office of KDU. (Guidelines can be found in https://kdu.ac.lk/research-and-development/?page_id=104)

4.1.4 Research Development Activities

Various workshops/ training sessions will be organized each year by the RDO, the Staff Development of Centre, KDU, as well as by individual faculties and centres, on relevant topics in research for improving research skills, to update on research policies etc. Each faculty/centre are encouraged to conduct monthly informal research discussions through the conductance of research forums/ journals clubs etc, to build up the research culture at the university. Guest lecturers delivered by eminent persons at faculty or university levels are also encouraged, which would update the knowledge as well as pave the road to establish new research collaborations with scientists outside KDU.

4.1.4 Research Data Management

Formal management of research data at the institutional level has become an important aspect of the contemporary research domain today due to several reasons. It enables other researchers to discover, interpret, and reuse data. It enables verification of findings thereby avoiding any possible data falsifications and fabrications. It also facilitates long-term preservation of, and access to, datasets providing a Return On Investments by the funding authorities. Therefore, an increasing number of funding organizations make data management an essential component of grant applications.

Researchers should utilize all possible means for effective data management throughout the research process and during a sufficient post study period. Researchers should ensure that the data/ database used in the research is proper and free from errors and redundancies, sufficiently inclusive and comprehensive, realistic and reliable, stored and preserved securely and appropriately, and accessible.

4.2 Innovations and Commercialization

One of the key strengths of the KDU is the dedicated, diverse and mature team of researchers who engage in cutting- edge research. The KDU endeavors to create an innovation and commercialization driven academic culture and envisions that the research result will be turned into useful products and services for the public use and for the benefits of the people by enhancing the quality of their life. The KDU recognizes that inventions and technology resulting from university research should be protected and commercialized. To achieve the above-mentioned objective, it is imperative that the research outcome of the university be transferred to industries and businesses.

All members of KDU, who are involved in innovations and commercialization are bound by this Research

Development and Innovation policy and lack of awareness of the policy, or lack of cultural awareness or personal issues are not reasons for its breach. To protect the IP rights of KDU staff and students with their inventions, and to support its commercialization, the university has developed “*Intellectual Property Policy of KDU*”. The members of KDU, must also adhere to the information provided in the section **4.2.2** of this policy, when engaging in commercializable collaborative research projects.

4.2.1 Collaborative Research

The KDU acknowledges that in research, whether it is purely academic or having commercial interest, the university community must work in collaboration that may take many forms. Collaborative research may be carried out with inter or intra Faculties of the University, with other national or international universities, or with industry partners. External researches collaborating with KDU researcher/s should adhere to the university guidelines and procedures as laid down by the RDO, when utilizing KDU resources for research (staff and students from other organizations). The KDU should be duly acknowledged when the research output is disseminated. Where applicable, the research team should establish collaborative agreements on sharing intellectual property rights, if researchers are from multiple organizations. Further, any issue related to intellectual property rights must be clarified in the early stages of discussions, with an industry sponsor or commercialization partner, if involved. Before entering into an agreement all the parties involved should have a thorough understanding of the policies, procedures, and processes of the University as a public institute has put in place to manage collaborative research. The KDU policy on protecting IP rights of its staff and students are given in ‘*Intellectual Property Policy of KDU*’. The researchers from KDU could consult the Dean Research and Development, and the Director KDU-CARE for guidance and support. Collaborations with foreign entities will be facilitated by the International Relations Office of KDU.

The following matters should be taken note of by the research community of KDU when engaging in collaborative research projects:

- a. Responsibilities of the University
- b. Dissemination of knowledge and transfer of intellectual property rights
- c. Protection of national or public interests
- d. Ownership of intellectual property rights and research results
- e. Safeguarding, protecting and respecting intellectual property rights by all parties engaged
- f. Commercialization options and responsibilities
- g. The KDU adopts a zero tolerance towards any research or innovation that involves patenting and commodification of biological resources and traditional knowledge, which is known as bio piracy.
- h. The KDU urges its community to adhere to the Fauna and Flora Protection Ordinance and the Forest Protection Ordinance of the State of Sri Lanka when engaging in any research or innovation related to Sri

Lankan biodiversity.

4.2.2 The Institute for Combinatorial Advanced Research & Education of KDU and the CTL (Pvt) Ltd

Research commercialization Institute for Combinatorial Advanced Research & Education (KDU-CARE) was established in 2013 as the Research Institute of General Sir John Kotelawala Defence University. KDU-CARE will undertake multidisciplinary scientific research with the involvement of the academic staff members of all the faculties, in collaboration with both public and private sector organizations, to build research capabilities and to enhance innovation within KDU. The KDU-CARE was restructured in 2020, to function as the university business linkage of KDU to promote engagement of staff and students in projects that involves commercialization of research and their expertise, such as consultancy projects, product development or enhancements for industry etc.

To facilitate such collaborative projects partnered with the outside private or public sectors, it established a private company under the 100% ownership by the KDU, the CARE Technology Lanka (Pvt) Ltd. The KDU-CARE facilitated conductance of such commercial projects by KDU staff and students, where the project administration is operated through the CTL. CTL further supports commercialization of innovations by KDU staff and students by helping in the identification of a suitable commercial partner (*Intellectual Property Policy of KDU*).

4.3 Ethical Considerations in Research

All research projects conducted by academic, staff and students that involve human subjects, animal subjects and environment, including those undertaken as part of teaching or consultancy programmes, must be conducted with prior approval of the relevant Ethics Committees and in accordance with their guidelines. Research projects involving human and animal subjects and sensitive / personal data should obtain ethics clearance from the relevant Ethics Review Committees (ERCs) prior to the commencement of the research work. Moreover, the final research output at the end of the project (for checking adherence to ethics) should be reviewed by the relevant Ethics Review Committee to ensure the ethical conductance of such research.

Researchers should envision, recognize, respect and safeguard the dignity, rights, safety and well-being of human subjects throughout the research process, and the researchers should take appropriate actions to ensure the anonymity and confidentiality of the collected data. Moreover, researchers should consider the regulatory, legal, socio-cultural and political environments and standards relating to the research context in which the research is carried out.

Researchers shall not seek funding from sponsors whose agendas, norms and conduct is not consistent with

the objectives and values of KDU on ethics. Researchers must seek advice on this matter from the Dean, Research and Development, and the Chairman, Ethics Review Committee before applying for funds from a prospective donor. In case of breach of any statutory, ethical, contractual, or other obligations by any researcher, the University has the right to take necessary corrective measures through relevant channels.

4.4 Dissemination of Research Outcome

- a. The publications should be in accordance to this policy and the ‘KDU Publication Policy’.
- b. In the case of patent development, registration and commercialization, sharing of benefits between the university and the inventor(s) needs be settled in accordance with the provisions of the ‘*Intellectual Property Policy of KDU*’. Academic and staff members and research students are required to comply with the provisions of the ‘*Intellectual Property Policy of KDU*’ with respect to registration, benefit-sharing, data-sharing and commercialization of any invention, design and other products that may arise from their research activities.
- c. The University will provide training and workshops on academic writing and publishing research and establish its own digital and printing facilities.
- d. The University will facilitate and encourage the dissemination of research findings and conclusions that will help towards policy, planning and implementation of evidence-based practices in Sri Lanka.
- e. The University will provide resources and support services for students, novice researchers and junior scholars to increase the quality of their research publications and presentations.
- f. Researchers are encouraged to disseminate their research findings to the general public in addition to scholarly audiences. This may involve the dissemination of research findings amongst the study participants themselves, or policy briefs, newspaper articles, videos etc.
- g. Dissemination of research should not include material that is plagiarized including self-plagiarized content
- h. Predatory journals, conferences and “salami” publications are not acceptable forms for dissemination of research. Researchers should refrain from using these avenues to publish or present their research.
- i. There should be no conflict of interest in relation to supervision or funding of the research or undue influence made on the direction of the research and its findings.
- j. In dissemination, Due recognition must be given to KDU, citing official address and email as author affiliations. Due acknowledgement should be made of any parties that contributed to the study, such as funding agencies, collaborators, co-researchers, partners, participants, and others in appropriate manner as co-authors or in acknowledgements as may be necessary.
- k. As Sinhala and Tamil research publications in Sri Lanka do not have indexed platforms as yet, researchers should ensure that publications are written in an accepted academic writing style for Sinhala/Tamil; that the publications are presented well, are published by reputed publishing companies

in the country, and that they have followed an editorial process of scholarly peer-review.

- l. Researchers should adhere to practices of data protection, protection of confidentiality and honour any non-disclosure agreements (NDAs) agreed upon. Data should be retained for a minimum of 05 (five) years from the date of publication.
- m. When data is made publicly available or made available as part of research dissemination (i.e., for journals or data sharing platforms), such sharing should be done in an ethical manner, while maintaining the confidentiality and the privacy of participants.
- n. Making research accessible and available is important for ensuring rigor, wider dissemination and for use in teaching, policy and practice. Publishing in open access journals is encouraged subject to the authenticity of the journal/platform. Researchers are required to provide access to their publications through the e-repository of the KDU Library or on Faculty/Department webpages (subject to journal embargo conditions)
- o. All PhD, MPhil, MSc and MA theses with research components should be archived in an e repository of the University. The award of the degree should be made at the convocation after submission of the electronic version of the thesis to the e-repository following a plagiarism check, facilitated by the main library of the KDU. Any reasons for the thesis not being uploaded (E.g.: potential for patent application) should be given in writing.
- p. The University e-repository of publications should be updated on a regular basis and all KDU conference proceedings and abstracts should be uploaded onto the e-repository.
- q. Every year when applications for annual increment are submitted, researchers should update their research output (papers/ conference papers/ abstracts) at the e-repository as well in the research database maintained at ODR, and provide a link to the evidence of research, including the conference proceedings.
- r. Researchers should always try to publish their research in high impact journals and try to engage in high quality research studies adhering to robust methodologies that are likely to be accepted by high impact journals
- s. The University will organize workshops with top level researchers in each field with high H index as resource persons, to guide the junior researchers on how to publish successfully in reputed journals High quality research projects should aim at publishing the research methodology before, or while conducting the study, so that important methodological and ethical issues relating to the projects will be peer reviewed by the reviewers. This would contribute to a high quality research studies that could be subsequently published in a high impact journal. Every academic staff member should have ResearchGate, Puebloans, Academia.edu and Google scholar accounts, and an ORCID ID, that are made public so that the research publications of the University can be accessed by independent ranking bodies. The researchers should make sure that the research data available for five years, and should be

able to provide whenever requested by the higher authorities of the university.

4.5.1. Databases on KDU Research Activities and Their Outputs

The university will maintain databases of KDU research activities and their outcomes, through the library and the Office of the Dean Research and Development (ODR), which helps in gathering information of KDU research output in systematic way.

4.5.1.1 The Library

The University Library plays a crucial role in managing Data on research output of KDU. The University Librarian shall:

- a) Have a proper research output data management plan and implementation strategy for the University.
- d) Support uploading research output by KDU staff and students in the KDU e-repository using the appropriate tools.
- e) Ensure the KDU e-repository is regularly updated with all KDU publications, including postgraduate theses and the abstracts/papers of KDU International Research Conference, and all other publications of KDU staff.

4.5.1.2 The ODR

The ODR should maintain a database of the research activities at KDU; such as, research publications, grants, financial support for research, research awards, ongoing research projects, patents etc, at faculty level yearly wise. Individual researches should support the ORD and the library in maintain these databases by providing necessary information annually and whenever requested.

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5.0 POLICY STATEMENT

In line with the vision and mission of the KDU to become a nationally and internationally known for its unique ability to engage both undergraduate and graduate students in distinctive and interdisciplinary higher education while ensuring a high-quality, learner-centered educational experience through undergraduate, graduate, and professional programmes along with high quality research across many disciplines, the KDU should take a strong approach to develop a culture of competitive research and innovation among staff and students in order to improve the quality of education. The KDU shall invest in the development and promotion of an institutional research culture that values the conduct and communication of scholarship, research and innovation.

6.0 DEFINITIONS

(a) **Research** can be broadly defined as a systematic and disciplined activity undertaken to create and advance knowledge. It involves various forms across disciplines including scientific and social research findings, the creation or refinement of concepts and theories, techniques or compositions, or the extension of current understanding through critical analysis. The common features of research include a systematic and disciplined methodology, a commitment to publish the results of the findings and their peer review. The publication element of research also varies according to discipline and may include publication of results in journals or monographs or books to the performance of creative compositions.

(b) **Researcher** refers to staff or students who conduct research.

(c) **Academic Staff** Academic staff means personnel whose primary function includes teaching, curriculum development, preparation of learning materials, instructional design, programme delivery, assessment, quality assurance, student support, scholarship and research, and shall include such persons as may be designated or recognized for such purposes by Council on the recommendation of Senate.

(d) **Student** refers to a registered student at the university.

(e) **University** refers to the Kotelawala Defence University.

(f) **Innovation** refers to the creation and implementation of either forms of processes, products, services or new ways of delivery that can provide a significant improvement on results, efficiency, effectiveness or quality.

(g) **Intellectual Property** refers to any intellectual property protected by the laws of KDU that includes the findings that can be patented, knowhow, Copyright, Design, Design of Integrated Circuits and Trademarks.

7.0 RESPONSIBILITY

Implementation of the Research and Innovation Policy is mainly the responsibility of the researcher, which will be coordinated and managed by a number of bodies and committees. The roles and responsibilities are as follows.

a. Responsibility of the University academics and Research Students

University academics should assure the conductance of research in accordance with this policy, and related

other policies and procedures of KDU. They are also responsible in obtaining proper clearances for the research such as ethics approval, and providing information on research activities as requested by the office of the dean research and development and the library. They are responsible to train, mentor, support and provide oversight of research outcomes to students at both undergraduate and postgraduate levels. They should ensure that the research students under their supervision meet relevant research integrity compliance obligations of KDU and work in accordance with the procedures and guidelines and comply to the By-laws of the relevant study program.

b. The university Research Grant Committee headed by DVC (Academic) makes recommendations on the implementation of financial support for university academics and students. The bursar's office disburses the funds for research and development activities as recommended by the RGC.

c. The office of the Dean Research and Development, provides research management services to the University and provides the secretariat to the University Research Grant Committee. It is responsible for adequate further fund allocation for Research and Development in the annual budget, in collaboration with the bursar's office.

d. Deans, Heads of the Departments and Faculty Coordinators are required take necessary actions to establish Research groups/ cells, and the necessary infrastructure to support research and innovations at their disciplinary/expertise levels.

e. The Care Technology Lanka (Pvt) Ltd of the KDU-CARE administers commercial projects conducted by KDU researchers and facilitates the commercialization of research.

f. The Library is responsible in maintaining the repositories of KDU research output up-to-date.

8.0 IMPLEMENTATION

All academic and staff members of the KDU are required to conduct research and engage in scholarship and to publish their findings, in accordance with the principles and values as prescribed in this policy. The resources and the support for conductance of research, development and innovation at KDU will be coordinated and managed by the various responsible parties mentioned above, to meet the principles and values prescribed in this policy.

9.0 POLICY REVIEW AND AMMENDMENTS

- (a) This policy may reviewed after every three years or earlier as necessary.
- (b) Sub revisions may be initiated by the Dean Research and Development/ and/or the directions of the Vice- Chancellor of KDU
- (c) Any such revision and/or amendments shall be forwarded for the recommendation of the

Research Grant Committee, and become effective from the approved by the BoM of the University.