

ISTANBUL AYDIN UNIVERSITY
IMPLEMENTATION DIRECTIVE ON
SCIENTIFIC RESEARCH PROJECTS

CHAPTER ONE
Purpose, Scope, Legal Basis, Definitions

ARTICLE 1 – Purpose and scope

(1) The purpose of this Directive is to determine the procedures and principles regarding the evaluation, acceptance, support, execution of related services, monitoring, and assessment of results of project proposals submitted by Istanbul Aydın University full-time academic staff holding at least a doctoral degree, which are considered to make an original contribution in the fields of science and arts.

ARTICLE 2 – Legal basis

(1) This Directive has been prepared on the basis of the “Regulation on Scientific Research Projects in Higher Education Institutions” published in the Official Gazette dated 26/11/2016 and numbered 29900.

ARTICLE 3 – Definitions and abbreviations

(1) In this Directive:

a) Researcher: the academic staff included in the project team by the project coordinator in order to carry out the scientific research project; students pursuing undergraduate and graduate education related to the project subject; and persons assigned to the project due to their expertise after completing their education,

b) Scientific Research Project: scientific-content projects which, when completed, are expected to contribute to science in their field and to contribute to the country’s technological, economic, social and cultural development; and projects aimed at training scientists and establishing and developing research infrastructure,

c) Directed Scientific Research Project: special projects created by the University’s academic staff in line with the University’s priorities, supported without applying some of the scientific research project evaluation processes written in this Directive,

d) Scientific Research Projects (BAP) Commission: a commission consisting of at least seven and at most eleven faculty members, assigned by the Rector upon the recommendation of the Senate—under the chairmanship of the Rector or a Vice Rector designated by the Rector—to carry out the duties specified in the relevant Regulation,

- e) BAP Secretariat: the unit responsible for carrying out the secretariat services of the BAP Commission working under the IAU Rectorate, receiving project applications and coordinating them,
 - f) Directorate of Human Resources: Istanbul Aydın University Directorate of Human Resources,
 - g) Directorate of Financial Affairs: Istanbul Aydın University Directorate of Financial Affairs,
 - h) Directorate of Procurement: Istanbul Aydın University Directorate of Procurement,
 - i) Project Team: the project coordinator, researchers and advisors,
 - j) Project Coordinator: full-time academic staff holding at least a doctoral degree who propose the project and are responsible for its preparation and execution,
 - k) Agreement: the Scientific Research Project Support Agreement signed by the Project Coordinator and the Chair of the BAP Commission, containing the details of the project supported by the BAP Commission,
 - l) Rectorate: Istanbul Aydın University Rectorate,
 - m) Rector: the Rector of Istanbul Aydın University,
 - n) Chair of the BAP Commission: the Chair of the BAP Commission,
 - o) University: Istanbul Aydın University,
 - p) University Administrative Board: Istanbul Aydın University Administrative Board,
- shall be understood.

CHAPTER TWO

Principles Regarding Scientific Research Projects

ARTICLE 4 – BAP Commission

(1) In order to carry out the duties stated in this Directive, a commission consisting of seven faculty members is established under the chairmanship of the Rector or a Vice Rector designated by the Rector, assigned by the Rector upon the recommendation of the Senate.

Commission members are assigned for four years by observing balance among scientific fields existing at the higher education institution. A member whose term expires may be reassigned by the same procedure.

(2) Commission members may be dismissed before the end of their term by the Rector upon the recommendation of the Senate if it is determined that they have not fulfilled their duties, authorities and responsibilities.

ARTICLE 5 – Commission meeting

(1) The Commission convenes with an agenda upon the written call of the Coordinator/Secretariat with the knowledge of the Chair. The Commission meets with an absolute majority. Decisions are taken by open vote and by majority.

The decision quorum is the absolute majority of the total number of Commission members. In case of a tie, the vote cast by the Chair is decisive.

ARTICLE 6 – Authorities, duties and responsibilities of the Commission

(1) The Commission performs the following duties:

- a) Determines project types,
- b) Determines the project application process,
- c) Prepares the forms to be used for projects,
- ç) Determines the support limits to be provided for projects,
- d) Prepares the contract protocol to be used for projects decided to be supported,
- e) Prepares the BAP Implementation Procedures and Principles regarding project application, evaluation, execution, monitoring and finalization and submits them to the Senate; and implements those accepted by the Senate,
- f) Makes the final decision on project applications; sends project proposals it deems necessary to reviewers and, by evaluating the received reports, decides whether the project will be supported,
- g) Evaluates interim reports received from ongoing project coordinators covering the relevant period of the projects,
- ğ) Evaluates and decides on all requests from project coordinators, including additional time, additional budget and other requests,
- h) Where it deems necessary, may examine project studies on site and/or have them examined by experts; may change the project coordinator; may terminate the project,
- ı) Decides on sanctions to be applied in cases contrary to the provisions of the Agreement and this Directive,
- i) Performs other duties assigned by the Rector within the scope of the Regulation on Scientific Research Projects in Higher Education Institutions.

ARTICLE 7 – Application and evaluation

(1) Applications and evaluation for scientific research projects may be made throughout the year. Project applications are made with the project application form (Form-2), which includes detailed information on the project rationale, method, originality, dissemination impact/added value, work schedule and budget breakdown.

The project coordinator initiates the application process by submitting the application petition and form by hand to the Faculty/School/Directorate to which they are affiliated. The relevant unit forwards the petition and application form to the Rectorate via the EBYS system; and the Rectorate forwards it to the Chair of the BAP Commission.

In the Commission, which convenes at least once within one month, preliminary evaluations of scientific research projects are carried out; and for all projects evaluated positively by majority vote, a total of three (3) reviewers are appointed—two (2) principal and one (1) substitute. Reviewers may be selected from within or outside the institution.

If the opinions received from reviewers (Form-3) are positive, one (1) faculty member from the relevant field is appointed as the project monitor and the project decision is written.

If the project is a Directed Scientific Research Project, this process is not followed; such projects are evaluated directly by BAP Commission members, and if found positive by majority vote, one (1) faculty member from the relevant field is appointed as the project monitor and the project decision is written.

In both cases, the decision is forwarded by the BAP Commission to the Rectorate. If the Rector finds the decision appropriate, it is submitted to the Chair of the Board of Trustees. The project support amount deemed appropriate by the IAU BAP Commission becomes final after the approval of the Board of Trustees.

After approval, the Rectorate notifies the approved decision to the relevant person, the person's Faculty/School/Directorate, and the Directorates of Human Resources, Financial Affairs and Procurement.

ARTICLE 8 – Acceptance, execution and finalization of scientific research projects

(1) For projects decided to be supported, a protocol (Form-4) is prepared by the project coordinator and the Commission, specifying the details regarding the project. Putting the project into practice is subject to the approval of this protocol by the Rector, or—if authorized by the Rector—by the Chair of the BAP Commission. The project coordinator is obliged to comply with the matters stated in this protocol.

(2) With the approved BAP decision, the project coordinator applies to the Directorate of Procurement and requests that the procurement processes be carried out. The Directorate of Procurement is obliged to complete procurement processes within forty-five (45) days at the latest.

(3) Within one (1) year following the end of the project, the project coordinator is obliged to transform the study into an international scientific article, exhibition, or a book chapter

publication in peer-reviewed journals indexed by field indexes. In projects carried out as doctoral thesis research, within one (1) year following project completion, the project coordinator is obliged to transform the study into a publication in peer-reviewed and periodical journals indexed in International Citation Indexes and ULakbim UBYT.

ARTICLE 9 – Principles to be considered in selecting scientific research projects

(1) Scientific research projects are evaluated and selected by giving priority to subjects that are related to any field in which the higher education institution has expert staff, and that are compatible with national science and technology policies, the country's development plan targets, the decisions of the Supreme Council for Science and Technology, or the science policies determined by the University Administrative Board. It is essential that scientific research projects contribute to science and to the country's technological, economic, social, artistic and cultural development.

(2) In the selection and support of scientific research projects, priority may be given to projects that: contain basic sciences; are practice-oriented in results; are multi-participant and multi-center in resources and activities; are inter-institutional, international and interdisciplinary. Doctoral thesis research may also be supported within the scope of scientific research projects provided that the doctoral thesis advisor takes part as the coordinator in the project they submit.

ARTICLE 10 – Project reports

(1) The project monitor assigned to an accepted project submits to the BAP Commission—through the BAP Secretariat—an interim report (Form-5) every three months containing information on the work carried out in the previous period. The Commission may change interim report submission periods and conditions according to the type and characteristics of the project. Interim reports are reviewed by the Commission. Where it deems necessary, the Commission may also consult experts to complete the evaluation process. Continuation of financial support for subsequent tranches of projects is subject to the Commission's favorable opinion.

(2) The project coordinator submits to the BAP Secretariat the project final report (Form-6) containing the research results in the format determined by the Commission, within at most three months following the end date stated in the protocol. For projects related to doctoral theses, theses approved by the relevant units may be accepted as the final report. Considering the opinions written by the project monitor in the Project Final Report Evaluation Form (Form-7), the BAP Commission decides whether the project has been concluded successfully or unsuccessfully. Where it deems necessary, the Commission may also consult experts to complete the evaluation process.

ARTICLE 11 – Project duration, budget and other matters

(1) It is essential that projects are carried out in accordance with the work schedule and budget plan approved by the Commission. However, when necessary, additional time and additional budget may be granted for projects by the Commission's decision upon the request of the project coordinator.

(2) Scientific research projects are completed within a maximum of thirty-six (36) months including extensions. For projects related to graduate theses, extensions may be extended to cover legal extensions granted for theses by competent units. However, financial supports to be provided for graduate thesis projects are limited to the normal study periods determined in the relevant graduate education legislation.

(3) The additional budget that may be granted for projects may be at most 50% of the project budget.

(4) A project coordinator receiving support from the University may not simultaneously coordinate more than one project; however, they may apply for a second project after their project's final report has been concluded positively. Exceptionally, a faculty member may coordinate more than one Directed Scientific Research Project. Additionally, for BAP Projects derived from doctoral theses, it is applied that the faculty member serving as coordinator may serve as coordinator in at most two (2) projects. Nevertheless, in all projects, researchers and assistant researchers may simultaneously take part in at most two scientific research studies.

(5) The Commission may make changes in the project team where it deems necessary or where it finds the project coordinator's reasoned request appropriate. In cases of health problems or unforeseen compulsory circumstances, the Commission may suspend project work for up to six (6) months, not counted as part of the normal project duration.

(6) If the project is not completed, the project coordinator may not benefit from any academic incentive applied at the University for two (2) years.

ARTICLE 12 – Announcement of results

(1) At the end of each year, the Rectorate enters summary information about supported, accepted, ongoing and completed projects into YÖKSİS. This information is announced to the public on the higher education institution's website.

ARTICLE 13 – Copyright

(1) The copyright of scientific results obtained from projects supported by the Scientific Research Projects unit belongs to the relevant higher education institution. Copyrights of scientific publications, books and similar works may be transferred partially or wholly to the authors by a decision of the University Administrative Board.

(2) In case a revenue-generating patent, invention or product emerges, the distribution of the income to arise is carried out in accordance with the principles determined by the University Administrative Board. If there is a provision in the relevant legislation regarding the rates to be paid to right holders, the provisions of the relevant legislation apply.

(3) Equipment and materials purchased with project funds are delivered at the end of the project to the relevant unit with a minute prepared at the University.

CHAPTER THREE

Final Provisions

ARTICLE 14 – Transitional provision

(1) Support applications whose evaluation has been completed by the BAP Commission on the date this Directive enters into force are subject to the provisions of the previous directive. Those not yet evaluated and new applications are processed according to the provisions of this new directive.

ARTICLE 15 – Entry into force

(1) This Directive enters into force as of 08/07/2020, the date it was adopted by the Senate of Istanbul Aydın University.

ARTICLE 16 – Execution

(1) The provisions of this Directive are executed by the Rector of Istanbul Aydın University.