



SETHU INSTITUTE OF TECHNOLOGY, PULLOOR,
KARIAPATTI – 626 115
(An Autonomous Institution / Accredited by NAAC with ‘A’ Grade)

RESEARCH PROMOTION POLICY

1. Preamble

Sethu Institute of Technology promotes research and development among its faculty and students to fulfill the vision of the institution. Teaching, learning and research are interdependent and they contribute to each other for knowledge sharing. The College has an inherent obligation to render public service to the society through research and extension activities. Institute research programs receive support through grants from various organizations, industries and management. This policy emphasizes to maintain academic integrity, the academic/research community, which include faculty, staff, research scholars and technicians should exhibit morality, trust, fair-mindedness, respect, accountability, legitimacy and proper dissemination. The following guidelines recommend general standards for conduct of academic research and consultancy practices at SIT thereby promoting the quality and integrity of the work.

2. Research Committee

A high level research committee including external experts constituted by the head of the institution maintains research integrity and preventing academic misconduct. The functionalities of the research committee are as follows

- To promote overall research activities in the college
- To identify various research activities of all the departments
- To formulate norms for faculty members to pursue Ph.D.
- To recommend faculty members to register for Ph.D. Degree
- To enlighten the faculty on the availability of research grants of different funding agencies.
- To invite eminent scientists across the country for interaction through research forum
- To prepare a brochure covering the college features and research expertise

available in all the departments.

3. Research Category

Sethu Institute of Technology categorizes research in various sections such as Academic Research, Sponsored Research, Collaborative Research and Industrial Research. The policies for each of the categories as described below:

3.1 Academic Research

Sethu Institute of Technology promotes the academic research among the faculty members by encouraging them to pursue Ph.D Programme in part time / full time mode. The institution awards the faculty for their contribution towards their research through filing patents and publishing papers in reputed international / national journals.

3.1.1 Norms for pursuing PhD Programme

A Faculty member is permitted to register for PhD Programme only after completion of two years of service in the institution and also the number of faculty pursuing Ph.D in the department should not be more than 40% of the faculty strength of the department. Pursuing PhD should not affect their regular academic and institutional responsibilities.

The institution facilitates sabbatical leave, on duty leaves and seed money (as PhD allowance) to the faculty and this facility will be extended for the first three years from the date of registration.

Any faculty, who have registered for Ph.D leaves the institution halfway or discontinues the PhD Programme, should pay for the facilities availed.

Faculty member should serve the institution for minimum three years after successful completion of Ph.D Degree. In case the faculty discontinues the service before the agreed service period, he / she should pay for the facilities availed.

3.1.2 Norms for Research Supervisors

Faculty should get prior permission from head of the institution to apply for the research supervisor recognition in any university

Any recognized research supervisor can guide a maximum of 12 research scholars at a time without affecting their regular academic and institutional responsibilities

The researchers will adhere to the research policy of the Institute in agreement with

the two main values explicitly, Quality and Ethics. They are also responsible for ensuring that the research practices are carried out in conformance with the Anna University research policy. Academic Research Norms for Doctor of Philosophy (Ph.D.), Master of Engineering.

- Candidates should enroll and register at SIT on getting provisional registration letter from Anna University and renew their registration when Anna University, Chennai calls/announces for. For full time scholars, every day attendance is preferred.
- Candidates should present his/her progress of research in the review meeting once in six months during 3rd week of Feb /Aug and submit the Progress Review Report in the prescribed format to the department in which they have registered. The date for the review meeting may be announced by the respective department.
- The faculty after the award of Ph.D., shall get the guide ship within 3 years. A supervisor, at any point of time, can guide 11 scholars at the maximum (including joint supervisor-ship).
- The candidate shall publish their research paper with the endorsement of supervisor in reputed (Scopus/ SCI/SCI-E/ESCI, Indian Citation Index) indexed conferences / Workshops / Journals). Only after checking for Plagiarism, the Research supervisor can sign the form and permit the candidate to submit the paper to the journal.
- The research scholar shall submit a copy of Ph.D. thesis to the College Library on successful completion of the Viva-Voce.

4 Code of Ethics

Integrity and Honesty

- Competence in the conduct of research
- Conduct all research activities in accordance with the accepted standards of our discipline.
- Refrain from accepting or undertaking research assignments requiring competencies that we do not have, unless collaborating with or being supervised by a more knowledgeable scholar.
- Avoid claiming or implying a degree of research competency that

we do not possess in proposals, job applications, resumes, or in the ordinary conduct of affairs.

Accuracy of research data and reports

- Ensure the accuracy of all data that we and our collaborators have gathered and/or used in our research.
- Ensure that only the correct data, information, and research results shall be reported in journals, conferences and reports to clients in case of commissioned research.
- Take reasonable steps to rectify significant errors that we or others have found in our published data, via the issuance of erratum, retraction, or correction of the data.
- Avoid misleading statements or declarations and vague assertions that could be subject to misinterpretation. If such misinterpretation is brought to our attention, It is our obligation to immediately issue a clarification or rectification.
- Avoid making exaggerated claims that are not warranted by the results of our research inquiry.

Acknowledgment of sources of data/information or other contribution to the research

- Not to plagiarize; that is, to present portions of another's report or data as our own, even if the other work or data source is cited occasionally.
- Cite clearly all sources of information and data that we use which are not the results of our own research.
- Give proper acknowledgment and credit to resource/funding sources of our research
- Grant and limit authorship to those who made a significant contribution to the research endeavour.
- Plagiarism Check
- All research supervisor recognized by Anna University login ID for online access to Urkund Plagiarism check software by Centre for Research, Anna University, Chennai.
- Research Scholar should submit the copy of Urkund plagiarism check report to the concern supervisor for a paper before submitting to the journal/Conference.
- The research scholar Synopsis/ Thesis should accompany Urkund plagiarism report while submitting same to Center for Research, Anna University.
- All Post Graduate Students thesis should include the copy of Plagiarism check report.
- Maximum of 20% of similarity is allowed for Ph.D Thesis, Synopsis and Post Graduate Thesis.

The Act of Plagiarism

- In the case of scholars who have committed the act of plagiarism in the Thesis/journal publication, his/her Thesis/degree shall be forfeited and his/her research registration shall be cancelled and also he/she shall be debarred to register for any other programme in the University.
- For the abetment of above such action, the recognition of his/her Supervisorship shall be withdrawn for a period of five years and he/she shall be debarred from guiding the scholars for any research programme in the University till such period.
- If any scholar has committed an act of self-plagiarism in the publications and ascertained by the Committee constituted by the Vice-Chancellor, such work shall not be allowed in his/her thesis and the scholar shall be fined up to Rs.50000/- while the Supervisor shall also face action. The Synopsis / Thesis of such scholar shall be accepted only based on a new publication in a referred journal (as applicable).
- If plagiarism is detected in the Publications / Thesis of any other scholar under the same supervisor, the recognition of his/her Supervisorship shall be withdrawn for a period of five years and he/she shall be debarred from guiding the scholars, besides other disciplinary action.

Openness and responsibility in the conduct and presentation of research

- Keep detailed and complete records of the research undertaking.
- Be transparent in the use and disbursement of resources for our research.
- Declare promptly any conflict of interest in our engagement in research and presentation of research results.
- Ensure that our research results are accessible to the public once the research is concluded or as soon as is reasonable.
- Respect the confidentiality of sources by not using or releasing data and information revealed to us in confidence.

Justice and Fairness

Extension of due regard and collegiality towards fellow researchers

- Render unto our peers, colleagues, students, and research participants the respect that they deserve.
- Provide assistance to other researchers, especially if we are uniquely qualified to do so by our expertise.
- Respect the confidentiality and proprietary rights of our peers, colleagues, and students whose material we review for publication, presentation, or funding by a grant.
- Take diligent care of equipment, material resources, and results.

Credit of others' contribution, resources, and materials utilized in research

- Grant authorship in accordance with the significance of collaborators' contribution in the research.
- Appropriately attribute and credit to others their accomplishments and research results which we may have utilized in our own research.
- Acknowledge the material contribution of others in our research undertaking
- Utilize, distribute, or share material resources and equipment in accordance with the conditions set by their source or benefactor.

5 Sponsored Research

Sethu Institute of Technology facilitates to carry out the sponsored research projects. The management also motivates the faculty members to prepare and submit research project proposals and offers incentives / increment to the faculty members who have received the grants from the reputed national funding agencies.

The following are the norms for sponsored projects:

- Principal Investigator (PI) or Co – Principal Investigator (Co-PI) should belong to Sethu Institute of Technology. Eligibility to act as a principal investigator (PI) or co- principal investigator (Co-PI) on externally funded projects is a privilege limited to the faculty members of the college. This policy limitation is in place because PIs are responsible for determining the intellectual direction of the research and scholarship, and for the training of graduate students. As an exceptional case, where it is absolutely necessary, the "Co-PI" can be from other Institution or organization, provided there is no conflict of interests and specific approval should be obtained from the Head of the Institution by the PI.
- The Principal Investigator is responsible for the management and administration of the sponsored program within the administrative constraints imposed by the sponsor and in accordance with College policy. All costs charged to a sponsored Project/Program must comply with the College's policies and procedures, the sponsor's terms and conditions, and Govt. regulations.
- The Principal Investigator and the Accounts Section are responsible for

generating various financial reports for sponsors of the grant. All financial reporting to sponsors is based upon expenditures charged to the project according to the sponsor's terms and conditions and the policy and procedures of the College.

- All costs charged to sponsored awards must be allowable and reasonable. The reporting requirements of each grant by the sponsor will dictate the specifics for financial reporting. The basis for the financial reporting is the comparison of the budgeted amount under various heads in the grant and the expenditure incurred under various heads.
- Changes to project budgets which require institutional or sponsor prior approval must be reviewed and approved by the College.
- Institution provides seed money to the deserving projects which are scrutinized and approved by the Head of the Institution
- College provides advance funds for the sanctioned projects as and when required by the PI on the recommendation of the Head of the Institution
- PI has can utilize overhead charges for the sanctioned projects with the approval of the College.
- At the end of every financial year the PI should submit Internal audit report to the funding organization duly signed by the auditor and the Head of the Institution
- The faculty shall apply for funding support from the Govt / Industries, to do Sponsored/ Collaborative research based on the call for proposals from the agencies.
- A Department Level Proposal Review Committee / Project Review Committee (PRC) shall be constituted that comprises of Principal Investigator, Subject Expert, Dean, HOD for proposal assessment.
- The PRC shall forward the proposals upon review to the Principal for approval towards the submission of proposals to the funding agencies
- The Principal Investigator shall then submit the application along with supporting documents based on the approval to the Funding Agencies

Website.

- The PIs shall create a new Head of A/c and prepare a Stock Register with proper entries of purchase of Recurring and Non-Recurring items upon sanction of the project by the funding agency.
- The PIs shall appoint a Project fellow (if applicable) by means of advertising and then selection shall be done by conducting the interview based on the budget approval of the funding agency. The interview panel should be constituted with one external expert member along with PI and HOD.
- The PIs shall attend the Progress Review Meeting (Once in six months) conducted by the Progress Review Committee that comprises of Principal, Dean-R&D/Dean III and expert members. The PIs shall submit the Half yearly Progress Review Report to the Dean concerned.
- The PIs shall prepare Project Completion Report on completion of the project duration according to the guidelines of the funding agency.
- The PIs shall prepare the Utilization Certificate (UC) duly signed by the Auditor.
 - The PIs shall submit the Project Completion Report, Utilization Certificate and Publications / patent list to the Sponsoring agency through the Dean and the Principal.

6 Collaborative Research

The objective of the Collaborative Research Policy is to establish a framework to support the conduct of collaborative research projects involving a member from Sethu Institute of Technology and at least one external party. In any collaborative research project, collaborating researchers must consider and make arrangements to manage the following issues prior to the commencement of the research project:

- Financial Management
- Intellectual Property
- Authorship and Publication
- Consultancies
- Ethics Approval and

- Ownership of Equipment, Research Data and Primary Materials

A collaborative research agreement in the form of a formalized legal contract is required where the collaborative research project involves the transfer of funds, the transfer or use of Intellectual Property (IP) and/or is in accordance with funding body requirements. The collaborative research agreement (MoU) must be made in writing and provide relevant details relating to financial management, IP, confidentiality and copyright issues, sharing commercial returns, responsibility for ethics and safety clearances, and reporting to appropriate agencies. Researchers must be aware of, and comply with, all policies and written agreements governing the collaborative research project.

Financial policy

The budget distribution for Projects, Consultancy, Testing and Training are given below:

Projects

Project cost - 85%

Overheads - 15% (Comprising)

- 5% to be transferred to The Principal, Sethu Institute of Technology
- 4% to be transferred to the respective Head of Department
- 2% to be transferred to the PI account. In cases where there are 2 or more coordinators, the amount to be shared equally among the coordinators and deposited in their respective PI A/c maintained at Research Wing.
- 4% to be retained at Research Wing

7 Consultancy

On the total consultancy amount after deducting the service tax, as applicable, the following distribution will be made.

- Institute - 10%
- Dept / Centre Overheads - 10%
- Research Wing Overheads - 10% (Of which 10% to be kept for the support of R&D)
- Consultant remuneration, Including all expenditure 70%
- (In the case of Consultancy where the expenditure component is high, special permission may be obtained from Research Wing to modify the above, with the necessary budget approval from the Sponsoring Organization / Industry)

Retainer Consultancy

- Can provide advisory services, without using the facilities at the University, either at the place of the client or in the University.
- Duration of the assignment can be for specific periods of three months, six months or one year, as per the needs of the client, with the periodical visits restricted to half a day or one day in a week.
- Consultancy charges shall not be less than Rs 10,000./-per day plus taxes, as applicable.
- Travel, local conveyance and hospitality expenses to be borne by the client.
 - i. For visits to the client's place, the consultant can avail eligible Special Casual Leave.
 - ii. Of the total consultancy amount available after deducting the applicable service tax, the following distribution will be made.
 - i. Institute - 15%
 - ii. Dept / Centre Overheads - 15%
 - iii. Research Wing Overheads - 15% (Of which 10% to be kept for the support of R&D)
 - iv. Consultants remuneration, Including all expenditure - 55%

Testing

On the total testing amount after deducting the service tax, as applicable, the following distribution will be made.

- i. Institute - 25%
- ii. Research Wing Overheads - 20%
- iii. Dept/Centre maintenance - 25%
- iv. Payment of remuneration to Dept. faculty and staff involved - 30%

Training

The norms for utilization of the income from training programs shall be as follows:

- i. Institute - 10%
- ii. Research Wing Overheads - 10%
- iii. Department / Centre - 10%
- iv. Coordinator for the conduct - 70% of the program

The copy of Accounts statement may be submitted to Research Wing.

Retainer Consultancy

1. Can provide advisory services, without using the facilities at the University, either at the place of the client or in the University.

2. Duration of the assignment can be for specific periods of three months, six months or one year, as per the needs of the client, with the periodical visits restricted to half a day or one day in a week.
3. Consultancy charges shall not be less than Rs 10,000./-per day plus taxes, as applicable.
4. Travel, local conveyance and hospitality expenses to be borne by the client.
 - iii. For visits to the client's place, the consultant can avail eligible Special Casual Leave.
 - iv. Of the total consultancy amount available after deducting the applicable service tax, the following distribution will be made.
 - v. Institute - 15%
 - vi. Dept / Centre Overheads - 15%
 - vii. Research Wing Overheads - 15% (Of which 10% to be kept for the support of R&D)
 - viii. Consultants remuneration, Including all expenditure - 55%

Testing

On the total testing amount after deducting the service tax, as applicable, the following distribution will be made.

- v. Institute - 25%
- vi. Research Wing Overheads - 20%
- vii. Dept/Centre maintenance - 25%
- viii. Payment of remuneration to Dept. faculty and staff involved - 30%

Training

The norms for utilization of the income from training programs shall be as follows:

- v. Institute - 10%
- vi. Research Wing Overheads - 10%
- vii. Department / Centre - 10%
- viii. Coordinator for the conduct - 70% of the program

The copy of Accounts statement may be submitted to Research Wing.