SETHU INSTITUTE OF TECHNOLOGY

RESEARCH PROMOTION POLICY

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1. PREAMBLE

Sethu **I**nstitute of **T**echnology 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.

3.0 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.

In order to promote research and innovation among faculty members, the institution provides seed money to all potential faculty members for carrying out preliminary research and related activities. Seed funding under this scheme is to be used to initiate/continue the research work of the faculty. The objective of the scheme is to accelerate the possibility to receive the financial support from external agencies in future. Normally, a grant up to Rs. 2 Lakh may be sanctioned, based on the merit of the proposal and decision of the committee constituted by Principal. However, there should be no such ceiling for cutting edge research & development work, based on assessment of the need in this regard and availability of funds.

Financial assistance is also provided to the faculty members to attend national/ international

conferences with special permission from the Principal.

3.1.1 NORMS FOR PURSUING Ph.D PROGRAMME

A Faculty member is permitted to register for PhD Programme onlyafter permission of the Head of the institution and pursuing PhD of the faculty should not affect their regular academic and institutional responsibilities.

The institution facilitates on duty leaves for the Ph.D work as per the HR policy. Faculty member should serve the institution for minimum three years after successful completion of Ph.D Degree.

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 university

Any recognized research supervisor can guide a maximum number of research scholars as per the

Anna University regulation 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.

- Candidates should enrol 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., insisted to get guideship within 3 years. A supervisor, at any point of time, can guide maximum number of scholars as per Anna University norms.

- The candidate shall publish their research paper with the endorsement of supervisor in reputedjournals (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 acopy of Ph.D. thesis to the College Library on successful completion of the Viva-Voce.

3.2 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 belongsto 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"may 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 the Utilization certificate 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 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.

3.3 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.

4. CODE OF ETHICS

4.1 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.

4.2 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.

- Avoid making exaggerated claims that are not warranted by the results of our research inquiry.

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

- o 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.

- o Cite clearly all sources of information and data that we use which are not the results of our own research.

- o Give proper acknowledgment and credit to resource/funding sources of our research

- o Grant and limit authorship to those who made a significant contribution to the research endeavor.

5.1 PLAGIARISM CHECK

Research Scholar should submit the copy of plagiarism check report to the concern supervisor for a paper before submitting to the

journal/Conference. The research scholar Synopsis/ Thesis should accompany plagiarism report while submitting same to Center for Research, Anna University. Maximum of 20% of similarity is allowed for Ph.D Thesis, Synopsis.

5.2 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 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.

5.2.1 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.

5.3 JUSTICE AND FAIRNESS

5.3.1 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.

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

Grant authorship in accordance with the significance of collaborators' contribution.

- 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.

6.0 CONSULTANCY POLICY

Sethu Institute of Technology promotes the sharing of knowledge and experience among individuals and organizations through consulting. Consultancy may be connected with contractual connections, such as research, services, and contracts, with people, non-governmental and governmental agencies in lieu of a fee.

Objective

- To increases professional and academic competence and exposure of stake holders for quality enhancement.

- To create and maintain links between the College and external organisations to increase research opportunities.

- To meet the local and regional needs of the society through knowledge transfer.

- To generate tangible outcome, interns of capital or assets

6.1 Scope

Consultancy services may be offered to Individuals, Industries, Service Sector, Govt. Departments and other National and International agencies by the faculty members of the college, in their field of expertise. The college stipulates that all such services must be governed by written contracts. The responsibility for conduct of the project and the deliverables will lie with the Consultant, and Institute Consultancy coordinator will provide the necessary administrative support.

6.2 Recruitment Policy

Faculty members and students who are willing to work on consultancy projects may be permitted, as per the norms of the college, provided it does not affect their academic commitments and performances. Such work by students may be compensated by suitable honoraria. Recruitment of temporary staff for Consultancy Projects, if needed, shall follow

existing rules for project staff recruitment. Purchases and travel for the consultancy project shall be from project funds budgeted for such expenses, and shall follow the existing purchase and travel rules.

Consultancy Services may be offered to Industries, Service Sector, Govt. Departments and other National and International agencies in niche areas of expertise available in the Institute.

6.3 Consultancy and related services

Consultancy and related services offered will be divided mainly into two categories:

Category 1: consultancy projects: expert advice and development projects: this type of project will be expertise intensive and based on the expertise of the consultant.

Category 2: Testing Projects: This type of project will be Infrastructure intensive and will

be based on extensive usage of the institute infrastructure.

Publications

Publication arising from consultancy work shall include the faculty affiliation of the college and acknowledge for the facilities used from the college.

7.0 Intellectual property rights (IPR)

Consultant should be aware of the potential for the generation of Intellectual Property during the execution of project.

7.1 Costing of consultancy project & revenue sharing in consultancy

The consultancy project costing is based on the scope of work and complexity of the work. The consultant decides the costing of the consultancy project with its schedule of activities and sends the quotation to client.

The charges for consultancy projects and testing projects with the claim by the consultant & referral and contribution to institution are listed below:

Value of single Consultancy	Category-E (Consultancy Projects) (Consultancy-Design)			Category-T (Testing Projects) (Testing/ Manufacturing)		
	Faculty	Institution	Referral*	Faculty	Institution	Referral*
Up to Rs. 50,000	60%	35%	5%	40%	55%	5%
Rs. 50001- Rs. 200000	60%	35%	5%	40 %	55%	5%
Above Rs. 200000	60%	30%	10%	40%	50%	10%

*If the Referral and the consultant are same, the institution will take over the referral percentage.