

**Policies and Regulations  
for  
Conducting Research and Consultancy**



**Centre for Research  
Sri Satya Sai University of Technology and Medical Sciences,  
Sehore**

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## **1.0 Introduction**

Research is an integral and important part of any higher education system. Quality research improves the academic delivery of the faculty members, elevates the academic value of students, and supports the university to contribute towards the society's professional, industrial, and economic development. Sri Satya Sai University of Technology and Medical Sciences, Sehore (SSSUTMS), actively promotes research among its faculty members and students. In addition to basic research, which is the backbone of every university, SSSUTMS also gives adequate importance and support to applied research. Research at SSSUTMS relies on the motivated intellectual pool of its learned faculty members, research fellows, collaborating institutes, industries, and stakeholders. Students are motivated to undertake research projects as a component of their curricular learning under UG and PG programs. The faculty members, research scholars and fellows are regularly encouraged to publish their findings in reputed journals and present papers at conferences of national and international repute. SSSUTMS, facilitates and motivates all researchers and innovators to participate in competitions, nominate for awards and apply for government and non- government grants to promote research and innovation.

### **1.1 Scope and Purpose**

This document provides a detailed description of the Research Policy and regulations of SSSUTMS based on the statutes and vision of University. The document provides guidelines to support and enhance research activities. The document should be read in conjunction with the relevant ordinances and regulations, and any other policies, procedures or guidelines as may be issued by the university research cell from time to time. This document shall be kept under review by the research council of University. The research council shall be the principal research advisory and regulatory body of the university and shall formulate and promote the research programs and initiatives of the university.

The purpose of the Research Policy is to create a vibrant atmosphere of research among faculty and researchers at SSSUTMS. The policy shall serve as an overall framework within which research and innovation will be carried out at the university, and the purpose of this document is to:

- Present a policy framework for the management, support and development of research at the SSSUTMS.
- Provide a strategy for achievement of the research goals.

### **1.2 Applicability of the Policy**

This document will be applicable to all SSSUTMS faculty members, staff and students involved in any form of research activity.

### **1.3 Objectives**

This policy provides a broad framework to guide research and integrity of scholarly inquiry at the university. The objectives of policy are as follows:

- Promote and facilitate collaborative and/or interdisciplinary research and enhancement of research networking capacity and infrastructure.
- Increase and effectively manage the resources and research support for its members and the wider university community.
- Provide education and training in research and related skills, especially for graduate and undergraduate students and thereby enhance the academic programs of their constituent academic units.
- Contribute to the university's strategic educational and research missions and to support synergies between research, teaching and learning.
- Transfer and mobilize knowledge gained through research for the benefit of society, via a variety of mechanisms as appropriate.
- Enhance the reputation of its members, the constituent academic units, and the university through the quality of its work.
- Ensure integrity, quality and ethics in research

## 2.0 Research Council

The primary role of the research council is to act as an apex body for research at the University. The Research Council is expected to fulfill its duties and assigned tasks through its regular meetings and discussions, involving and catering to the interests and opportunities to all domains of education of the university.

The key objectives of the Research Council shall be as follows:

- To review proposed research and extension projects taken up by the university annually, including intermediate requests.
- To provide recommendations and advise on research projects through grants and approvals by various government and non-government sources.
- To facilitate availability of infrastructure for the above stated research works by the university and its centers and collaborations.
- To promote activities and events to motivate, inspire and support ideation, innovation and dissemination of knowledge towards socio-economic development of the state and country at large.

### COMMITTEE MEMBERS

S.No.	Name
1	<b>Prof Hemant Kumar Sharma (Chairman)</b>
2	<b>Prof Prashant Singh Kalhans (Convenor)</b>
3	<b>Prof. Alka Thakur (Convenor)</b>
4	<b>Prof. Jitendra Sheetlani</b>
5	<b>Prof. Neelesh Choubey</b>
6	<b>Prof Prabodh Khamparia</b>
7	<b>Prof. Neelu Jain</b>
8	<b>Prof. Geeta Khoobchandani</b>
9	<b>Prof. Gajraj Singh Ahirwar</b>
10	<b>Prof. Indrajeet Singh Yadav</b>
11	<b>Prof. Hemant Kumar Sharma</b>
12	<b>Prof. Abhilasha Pathak</b>

<b>13</b>	<b>Prof. Sunil Kumar Shah</b>
<b>14</b>	<b>Prof. Kanchan Shrivastava</b>
<b>15</b>	<b>Prof. M D Singh</b>
<b>16</b>	<b>Prof. Dhiraj Shinde</b>
<b>17</b>	<b>Prof. Rishikesh Yadav</b>
<b>18</b>	<b>Prof. Mamta Vyas</b>

The research council suggested as part of the research policies and regulations are suggestive bodies working towards the achievement of vision statement, execution, and adaptation of the document at the university.

The Board of Management (BOM) of the university on recommendation of the Academic Council (AC), or as per the vision map of the university, sanction, grant and make provision of all infrastructural and logistic support to promote research and innovation at the university.

The Academic Council (AC) on matters related to research and innovation shall, as per suggestions of the Research Council (RC), take decisions and recommend for action to the RC keeping in view the overall academic vision, growth and progress of each department as well as the university as a whole.

Further, the RC shall act as the apex body to advise and execute on the Research policies and regulations at the university.

**The Research council shall perform the following functions including:**

- i. Recommend a faculty to recognize as a supervisor/Principal Investigator for a research work/project.
- ii. Suggest mechanism to ensure compliance of prevailing UGC Regulations regarding PG and Ph. D. programs.
- iii. Suggest process of registration for doctoral degrees through entrance examination as specified in the UGC Regulations.
- iv. Recommend names of distinguished academicians from outside the university for co-guiding a research work/project,
- v. Consider cases of registration for doctoral degrees where there is change of subject / faculty.
- vi. Consider cases of different opinion between examiners of doctoral thesis and other exceptional situations not expressly covered by rules on the subject.
- vii. Maintain quality and relevance of research works at the university and ensure prevention of plagiarism.
- viii. Mobilize human and financial resources to facilitate development of centers of excellence for promoting domain specific research works at the university through research fellows, fellowship programs, chairs, government and non-government funding's and collaborations.
- ix. Promote and facilitate a mechanism to motivate publications and generate IP by the university faculties and students.
- x. Connect and align the university research endeavors to societal development through research works focused on attainment of various Sustainable Development Goals (SDGs), and industry academia collaborations.
- xi. Acknowledge, recommend, and nominate faculty members to participate in competitions and for awards within and outside the university campus.
- xii. Perform other functions, as may be assigned to it by the Board of Management or the Academic Council with regards to maintenance of standards and promotion of research and innovation.

**Office of Dean- R&D**

The Research Cell of SSSUTMS is functional through the office of Dean, R&D which aims at promoting research, particularly interdisciplinary research and related activities. Some of the key functions of the cell are to:

1. Motivate and encourage faculty members and students to engage in research and developmental activities, arranging FDPs to update the university faculty members about upcoming research areas.
2. Support faculty members to initiate and/or continue research through good quality publications, sponsored research projects, consultancy, product developments etc.
3. Maintain record of research works and publications of the university.
4. Analyze research data of the University for qualitative and quantitative assessment.
5. Promote and facilitate inter-disciplinary research activities.
6. Encourage research for funding from various agencies and/or consultancy activities.
7. Promote development of working models/prototypes/projects by faculty members and students.
8. Develop specialized laboratories to cater to evolving needs of the industry and society.
9. Facilitate coordination with external members/bodies with a motto to promote and facilitate collaborative research.
10. Conduct and maintain records of regular meetings of various committees



### **3.0 PhD Regulations**

SSSUTMS has a strong commitment to high quality research and aims to enhance the professional competence of the Ph.D. scholars. The Ph.D. regulations provide information on Ph.D. program of the university for Full Time/ Part Time Ph.D. scholars. Every scholar is expected to follow the procedures laid down by the University as Ph.D. regulation in accordance of UGC regulations.

### **4.0 Research Grants and Financial Support**

Financial support and funds are primary requisites to any research endeavor and its outcomes. SSSUTMS through grants and financial aids from its sponsoring body, various governments, non-government and industrial organizations facilitates funding for research works taken up by its students and faculty members. The various mechanisms formulated for the purpose are coordinated by the office of Dean (R&D) and administered by the research council (RC) for execution of the same.

#### **4.1 Financial assistance for research by SSSUTMS**

SSSUTMS encourages its faculty members to participate in research and innovation activities to boost ones' personal and the university's IP as well as contribute to the social development at large. Annually, financial aid is granted by the university to its faculties to pursue projects related to fundamental and applied research, engage in outreach activities with an aim to identify social issues, work towards knowledge up gradation add to theory by publishing in identified research data bases and to pursue collaborative research works.

The faculty members can apply for financial assistance for one or more of the following purposes:

1. As seed funding for identified projects in areas of specialization.
2. To develop proof of concept or prototype for a novel research idea, this can further be applied for grant to various government and non-government bodies.
3. For patent filing and processing with the recognized publishers.
4. For travel to disseminate research findings and collect primary data.
5. For organizing national/international conferences with an aim of capacity building and knowledge sharing about innovations, best practices, and discussions on research theory in specific domains.

The funding will also include conducting experiments, printing and other stationery procurement, equipment, and machinery purchase, etc. Further the faculties receiving such funding will be encouraged to apply for various related schemes of government and non-government grants. Also, the faculties are expected to pursue for paper and patent publications in collaboration with SSSUTMS, for all such sanctioned research projects.

As part of its budgets to support research and innovation, SSSUTMS has developed a seed funding scheme for providing financial assistance to proposed research projects by its faculties. Accordingly, a minimum amount of Rs. 25000.00 and maximum of Rs. 3.00 Lakh can be sanctioned for duration of 1-3 yrs under this scheme. As a process for the same, faculty member/s are expected to prepare and submit a proposal for research in an identified domain, highlighting the objectives, process, and tentative expenses, to the office of Dean (R&D).

The Dean (R&D) submits these proposals before the research council approval. The research council is entrusted to conduct periodical assessment for all such sanctioned projects and guide the researcher and the team engaged. It is mandatory for all faculties to submit the project completion report and budget utilization summary to the office of Dean (R&D) within the approved duration.

**Term and Condition for Principal Investigator (PI)**

1. PI may only buy the items or equipment listed in the proposal mentioned herein.
2. Please also make sure that the equipment is procured on the lowest price/cost without making any compromising in quality.
3. If PI need to change budget in any head (within total budget) please inform the undersigned.
4. You can submit research proposal to funding agency, on the topic, for further financial support within stipulated time indicated in your proposal.
5. Project will be monitored on the basis of deliverables mentioned in your proposal in every 6 months

## **4.2 Financial support from outside agencies**

The university students and faculties are motivated to submit/nominate their works /proposals to the Government and Non-government funding agencies under schemes for promotion, support, and facilitation of research. Under extraordinary circumstances the university shall offer to provide for matching grants/building space to support infrastructure development or establishment of centers dedicated to research, innovation or incubation activities.

Such proposals prepared by university faculties and students need to be approved/sanctioned by the office of CF&AO. The office of Dean (R&D) shall support and document the progress of such projects/centers/chairs funded by an external agency, maintain its accounts and submit the utilizing certificate in time to the funding agency as per the requirement of the funding agency.

## **4.3 Establishment of research chairs/design chair**

SSSUTMS may create dedicated research chairs/design chair for identified scope and domains of work in collaboration and/or through grants and financial support by NGOs, government and non-government schemes, endowment and corpus funding by industry and corporate houses. The research board shall administer, facilitate, and promote the activities and functions of such chairs created in the university as per the mandates of collaborations. A university professor/ senior faculty member from identified domain and expertise shall be appointed as Chair In charge.

## **4.4 Creating Centers of Excellence**

SSSUTMS, through approval from its Board of Management, shall facilitate establishment of centers of excellence through its own funding and/or with support from industrial organizations/NGOs/government and non-government recognized agencies. A center of excellence shall be a constituent body/entity that provides leadership, best practices, research, support and/or training for an identified/focused area of research/education. Such centers shall concentrate on developing the existing capacity and resources and enable academicians/researchers to collaborate in allied disciplines and institutions for promoting education/projects that are relevant to local, regional, national and international development issues. The skill training, research and academic excellence at such centers shall be identified through publication, research projects, and consultancy assignments. The centers should have a close industry connect to facilitate academic and professional growth of its students, faculties, and research scholars.

Through such endeavors the university may also plan to promote a particular department as a Centre of Excellence in due course of its establishment in a specialized thrust area to support the vision and the planned growth of the university.

## 5.0 Research Publications

To encourage research publications, SSSUTMS will implement the following policy:

- Each faculty member shall be expected to publish at least one research papers in refereed journals (UGC care/ WOS/ Scopus) at national and international levels in each semester.
- Faculty members shall possess the copyright of their scholarly publications.
- Upon acceptance of publication, each member of the research team agrees to provide a nonexclusive, irrevocable, global license to make their scholarly article manuscripts freely available under the terms of a Creative Commons Attribution (CC BY) or a more permissive license.
- Following the award of the license, faculty members will deliver a free electronic copy of the accepted manuscript to the relevant SSSUTMS representative in an acceptable electronic format (such as PDF).
- The University will deposit the accepted manuscript in a digital repository, with article metadata usually available immediately upon deposit and the manuscript being made accessible to the public on the date of first online publication (or the conference end date for conference proceedings) under a Creative Commons Attribution (CC BY) license.
- This policy applies to all scholarly articles, including conference proceedings, authored or co-authored while the person is a staff member of SSSUTMS, which includes any third-party content where rights in that content have been secured. Any article submitted, or accepted, for publication before the adoption of this policy will be exempted.
- Whilst the policy does not apply to monographs, scholarly editions, text books, book chapters, collections of essays, data sets, or other outputs that are not scholarly articles, University strongly encourages researchers to make them as openly available as possible.

## **6.0 Patent Publications and Copyright**

IPRs are legal rights that provide creators' protection for their original works, inventions, appearance of products, artistic works, scientific developments, etc. All participating researchers, students, and faculty members, must sign the Patent and Copyright Agreement of the University before the commencement of any research activity. SSSUTMS motivates and supports successful utilization of IPRs.

## **7.0 University policy for consultancy projects**

SSSUTMS has established technological ecosystem for promoting research, consultancy and collaboration with other Institutions/Industries of repute through various MoUs. SSSUTMS encourages carrying out consultancy and any financial gain out of this will be shared between the institution and faculty & the staff involved. The faculty and researchers can engage in external consulting activities, subject to the University's rules and regulations. A separate consultancy policy document exists that would cover the all rules and regulation to facilitate consultancy activity by the researchers of SSSUTMS.

## **8.0 Collaborations for academic development**

To promote, support facilitate academic growth and research endeavors at SSSUTMS, the departments/faculties shall promote collaborations with various national and international agencies like academic institutes, industries, government entities, NGOs, training institutes and research centers. The said collaborations may be for a longer time duration spanning from 1 year to 10year or shall be to facilitate events/activities like field trips, internships, training programs aimed towards academic and professional development of students and faculty members.

The primary objective of a MoUs between SSSUTMS and other University/HEIs/Industry/Research Institution is to create means for cooperative efforts that positively contribute to academic and research activities of the University. Individuals, government or private educational/research institutions, government or private companies/industries/Societies, NGOs etc can sign MOU withthe University.

The MoU can be broadly classified into following types:

- MoU with academic/research institutions (government as well as private)
- MoU with various Ministries/Departments of Government of India/ State Governments.
- MoU with industrial partners or individuals.
- MoU with International bodies/Foreign Institutions.

Conditions for entering in MoU

- MoU shall be on mutually acceptable terms to all the participants.
- In case of MoU with an individual, the participant must be competent to enter into acontract.
- MoU should clearly indicate the mutual benefits of the participants.
- In case of financial and/or legal binding clauses, MoU should be discussed with the relevantstatutory bodies or competent authority or legal advisors of the university.
- For entering MoU with international bodies, guidelines of the Government of India should be strictly followed.
- For MoU with government agencies, it is required to get approval of the competentauthority for adopting their standard terms and conditions.
- For renewal of MoU, a proposal containing detailed report of achievements of previousduration of the MoU, and justification for renewal should be approved by the competent authority.

## 9.0 Awards

The University aims to improve overall research performance and promote research activities undertaken by various departments, faculty members and students. The University awards incentives for various research activities like quality publications, successful completion of external funded research projects etc. The details of awards are as follows:

University provides best Academician awards for outstanding contribution in the research fields:

The indicators of for award are identified in terms of , awards/prizes, more funding for the ongoing research, certificates and giving more weightage for the career advancement scheme inthe following categories;

Awards for Quality publications: In order to encourage the faculty members of University towards making high-quality scientific publications, financial incentives will be provided. Authors of papers in International Journal, books or book chapters are provided with incentives as per the guidelines of the university.

Awards for External funded research projects: To encourage and enhance the applications to the external funded research projects, the university has the award scheme for the external funded projects. The PIs and/or Co-PIs shall apply for the award after receiving the sanction letter from awarding agency.