

**Sri Satya Sai University of
Technology and Medical Sciences,
Sehore (M.P.)**



RESEARCH POLICY
**Approved by Board of Management
and Governing body**

RESEARCH POLICY
Sri Satya Sai University to Technology and Medical Sciences, Sehore MP-466001

PREAMBLE

The research policy intends to establish a conducive environment for academic staff and research scholars, to carry out their research work. It is a broad frame work for researchers for providing research-related procedures/guidelines within various Departments/Centers of the University. The main purpose of this policy is to facilitate smooth functioning of research work and to assure researchers that it is to be conducted as per ordinances/regulations and terms and conditions of sponsoring organizations. The present Research policy of the University aims to help University faculty members research scholars to achieve excellence and contribute to organization and society.

1. MOTIVATION

Sri Satya Sai University to Technology and Medical Sciences, Sehore considers transmission of knowledge and conduct of scholarly activity as the central functions of the university that is dedicated to research and innovation. These functions require that the faculty, scholars and students are guaranteed certain degree of freedoms and that they too accept certain obligations and responsibilities, correspondingly.

2. OBJECTIVES OF THE RESEARCH POLICY:

- To promote research, innovation and intellectual capital.
- To ensure integrity, quality and ethics in research.
- To incentivize the generation of intellectual capital
- To design and implement rules, procedures and guidelines for granting research support, instituting awards, and supporting all other related activities (ENCL 1).
- To initiate a research fund for supporting and facilitating research initiatives and projects of faculty members and students as seed money for providing equity for sponsored projects.
- To design rules, procedures and guidelines for granting study leave, sabbatical leave, duty leave, reduction in workload, etc. for faculty members undertaking research activities.
- To design and implement a research quality assurance mechanism for ensuring that all research activities of the college conform to standard quality specifications
- To Integrate research activities undertaken by the undergraduate, post-graduate and doctoral students with the research focus of the University in alignment with the national thrust areas; Create, maintain and enhance infrastructure to enable conduct of state-of the-art research


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- To recognize and intimate researchers about the appropriate research opportunities announced by different academic, research, industry or government organizations
- To encourage interdisciplinary research and establish modalities for preparing and undertaking joint research projects covering more than one knowledge domain as well as policies for involving external agencies/experts in such projects
- To provide a mechanism to ensure that academic staff attain the desired mix of teaching, research and consultancy outputs so as to achieve the level stated in the College mission.
- To facilitate the presentation/communication of the research work/projects as well as their findings and recommendations through academic events such as workshops/seminars/guest lectures or the media.
- To establish linkages after identification including MOUs for long term relationships with industry bodies and individual companies for creating opportunities for teachers and students of the college to involve themselves in real life research projects and obtaining sponsorships
- To encourage the publication of the research work/projects in reputed academic journals
- To provide guidelines for protection of intellectual property in long term interest of the University

3. DIRECTOR RESEARCH

Sri Satya Sai University to Technology and Medical Sciences shall create a regular post of Director Research and has a full-fledged Office of Director Research to facilitate, promote and smooth functioning research work at various Department and Centers. The research policy shall be implemented through the office of Director Research.

4. POLICY COMPONENTS AND GUIDELINES

• PRE-REQUISITE TO UNDERTAKE RESEARCH

- The Faculty members will carry out independent research or creative activities related to his/her area of specialization He/she will individually or in collaboration with colleagues/other institutions may.

- (i) Supervise M. Phil./Ph.D. Scholar(s).
- (ii) Disseminate/protect his/her research findings.
- (iii) Be active within appropriate professional communities and external stakeholders.
- (iv) Contribute to the research environment of Sri Satya Sai University to Technology and Medical Sciences, Sehore through supervising, new sponsored/consultancy research projects and also strengthening of the research infrastructure


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- The research engagement(s) shall be balanced with the other responsibilities of the Department/Centre including teaching and administration.
- The University shall offer a policy under Faculty Development Program for the faculty member of **Sri Satya Sai University to Technology and Medical Sciences, Sehore**, who wish to pursue Ph.D. Course with some terms and condition

• **MANAGEMENT OF RESEARCH**

The research management at **Sri Satya Sai University to Technology and Medical Sciences, Sehore**, shall be carried out through a team composed of Director Research and various research committees constituted at Department/ Centre level.

- (a) The Director, Research shall coordinate, supervise and recommend to the Vice Chancellor for the approval of the admission Committee, coordinate and facilitate for timely DRC/CRC meetings in various Departments/Centers/Faculties. He/she shall coordinate and facilitate submission of research project proposals to various funding agencies and provide necessary guidance and encourage teachers to write Research project/proposals. He/she shall scrutinize and recommend research proposals received from various University Departments/Centers/Faculty other related research programs to the Vice Chancellor for approval
- (b) Department/Centre/Faculty is required to establish Departmental Research Committee (DRC) / Centre Research Committee (COS) to support the research activities of their staff and research scholars. Both committees are expected to comply with and monitor the implementation of ordinance/regulations.
- (c) The University also offered a policy for PG students for the regulation and monitoring for the purpose of M.Tech / M.Pharm project dissertation in the final year of students under respective ordinance.

5. MONITORING OF RESEARCH PROGRESS

□ RESEARCH MONITORING

The **Research Advisory and Ethics Committee (RAEC)** also called as Research Committee shall be constituted under the chairmanship of Vice Chancellor. The RAEC will meet at least once a year (ideally, twice a year), for consideration of research proposals received for approval, to review research progress, offer critical comments and suggest corrective measures to enhance the research activities of the University. The committee shall be competent to sanction/grant of finances required for projects.

The role and function of the RAEC will be:-

- To motivate the faculty for preparation of Research Project and identify the area of Research, Submission of Research Project in concern funding agency & effort to get it sanction.
- To involve students in research in the respective subject in each institute.
- To organize scaling up process from lab to pilot scale.
- To explore collaboration to the industries and institutions in the relevant area of research and signing MOU.


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- To make recommendations to the academic council on matters related to research promotion and infrastructure.
- It will also facilitate designing of custom-made faculty development Programs in advanced areas to improve upon the skills of Sri Satya Sai University to Technology and Medical Sciences, Sehore faculty and researchers and help them to overcome their weakness in order to maximize their contribution to the University.

6. RIGHTS & RESPONSIBILITY

Sri Satya Sai University to Technology and Medical Sciences, Sehore Research Policy shall be available to help all faculty and researchers in deciding as to what extent their individual and group activities may conflict with the faculty's primary commitment to teaching, research and other responsibilities in the **Sri Satya Sai University to Technology and Medical Sciences, Sehore**, to educate faculty, research staff and Primary Investigators about situations that generate the potential for conflicts of interest or conflicts of commitment; to clarify expectations about disclosing such interests and activities that might result in conflicts; to identify means to manage, reduce or eliminate such conflicts; and finally to promote the best interests of students and others whose work depends on the direction of our faculty and Investigators.

7.1 RESPONSIBILITIES OF RESEARCHERS

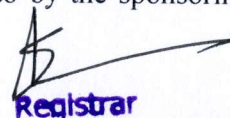
Faculty members must be aware of their obligations to staff and students working as part of the research team. It is particularly important that at least annually, each faculty member should review intellectual and tangible property rights and responsibilities, with all members of the group under his or her direction, including staff, students, postdocs, and visiting scholars.

Each member has the right to know who is sponsoring the research and supporting his or her salary or stipend because **Sri Satya Sai University to Technology and Medical Sciences, Sehore** believes in academic transparency. The University is committed to demonstrate support and appreciation for its research staff. To that end, faculty members are encouraged to provide staff development opportunities (such as FDPs and special Training Courses or Workshops or STTP) and, if possible, a mentor relationship for those in their research group.

7.2 PI'S RESPONSIBILITIES

A Principal Investigator is the primary individual responsible for the preparation, conduct, and administration of a research grant, cooperative agreement, training on sponsored project in compliance with applicable laws and regulations and institutional policy governing the conduct of sponsored research. Although the legal agreement funding a sponsored project is between the sponsor or sponsoring/funding agency and the **Sri Satya Sai University to Technology and Medical Sciences, Sehore**, the overall responsibility for management of a particular project within funding limitations rests with the PI. The Funds must be spent judiciously to remain within the restrictions of the contract or grant.

If any overdraft should occur, or change of head is needed, it is the responsibility of the PI to get it approved both by within the administration and also by the sponsoring agencies.


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The control, upkeep and record-keeping of both **Sri Satya Sai University to Technology and Medical Sciences, Sehare** -funded and Government-owned equipment is mandatory under the university rules as well as under the externally funded contracts and grants. Pis are responsible for securing necessary approvals for the purchase of the equipment, proper tagging, and maintaining inventory, utilization of equipment and peripherals, and disposal once the equipment becomes either obsolete or dysfunctional and irreparable or is in excess. The Pis will be guided by the Director (Management) in the execution to financial control of the project.

7.3 UTILIZATION CERTIFICATES (UCs) AND STATEMENT OF EXPENDITURE UNDER PROJECTS

All funded projects and their costs or accounts must be reviewed and certified by the PI quarterly and presented before the sponsoring organizations during the Project Monitoring committee meetings. It is also the responsibility of each departmental head or this requirement for review and certification. runner, certification of salaries charged to sponsored projects are also to be issued to the staff after ensuring that they correspond to efforts expended on those projects by them.

7.4 INCEPTION, TECHNICAL AND INVENTION REPORTS

Principal Investigators are responsible for submitting sponsor required reports through the Office of Research Management and Accounts Officer on a timely basis. Inception being a beginning of an activity, the Inception Report required of the PI is often a document that must be prepared at the end of the Inception period defining a project's work plan (plan of operations) for the remainder of its duration. It would include

- (a) stake-holder assessment
- (b) human resource plan
- (c) communications plan

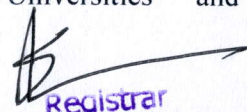
All of which are essential to complete the project successfully. The Pis may also be required to submit a Technical Report (also called a Scientific Report) from time to time- that would describe the process, progress, or results of technical or scientific research, including recommendations and conclusions of the research project. Further, purely for Patenting purposes, the PIs may have to submit an *Inveatwa Report* that would form the basis of patent application some funding agencies also require a six monthly or annual.

Progress Report. The research staffs are expected to submit progress reports bi-annually to the PI anyway

7.5 PATENTS AND COPYRIGHTS

All participating researchers, including postdocs, students, and visiting scholars, must sign the Patent and Copyright Agreement of the **Sri Satya Sai University to Technology and Medical Sciences, Sehare** before the commencement of any research activities. All researchers must sign the Patent and Copyright Agreement of the **Sri Satya Sai University to Technology and Medical Sciences, Sehare**, before the commencement of any research activities

Sri Satya Sai University to Technology and Medical Sciences, Sehare has clear provisions in their statutes to establish research collaboration with foreign Universities and Institutions.


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7.6 GRIEVANCE PROCEDURES

The grievance procedures outlined elsewhere in the University Policy documents will be followed for the research projects as well the general principle is however very clear thesis procedures are designed to assure that decisions by faculty members and administrators comply with the standards of academic freedom granted to all faculty and PTs. These procedures are internal to the University and are aimed at preserving confidentiality and academic integrity while protecting the rights of individual staff. The provisions of engagement in the projects do not create contractual rights subject to review by agencies outside the University. There must be some administrative remedies for faculty or research staff grievances covered by parallel rights established under the laws of the land.

- The rights herein conferred shall be enforceable only by a person who is directly aggrieved and who holds a faculty or research position; no other person or persons could complain on her/his behalf.
- If any faculty member feels aggrieved by a decision that she or he believes to be in violation of this guidelines and rules, he or she may file a grievance pursuant to the Statement on Faculty Grievance Procedures and its attendant standing rules.
- For grievances brought in whole or in part for alleged violation of the Statement on Academic Freedom, the rules and procedures of the Statement on Faculty Grievance Procedures shall be modified as required
- For a grievance not arising out of a negative decision on appointment, reappointment or promotion, the grievance and appeal structure shall rest on the authorities of the University

7.7 CONFIDENTIALITY CLAUSE

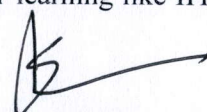
If an external agency private or governmental, or any outside person or entity/group has made available to the investigator certain confidential information, provision may be made to preserve confidentiality and/or a short delay in the publication of research results during which time the information source may examine the proposed publication in order to assure that the investigator has not disclosed, intentionally or unintentionally, any portion of the confidential information supplied by them

8 CONSULTANCY POLICY

The Policy of Providing Consultancy to Industries, Research Organization, and Projects & Institution is as under:

- The University "will get full reimbursements of its expenditure on travel, document preparation on advisory report as 50% advance from the organization where the consultancy is provided
- The University faculty and staff will carry all required testing tools, tackles, Laptop and portable instruments only and no permanent devices /equipment will be shifted from the University.

The University will charge rent-fee / consumable charges for these items from the organization as the norms of the Institution of higher learning like IIT's, IIMs, IISER and IISC.


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- The University will pay 20% of the total consultancy fee as Honorarium to its faculty and staff engaged in the consultancy process and 80% consultancy charges will be the part of University fee.

The detailed Consultancy policy shall be laid down separately before the BOM

9. PUBLICATION AND INTELLECTUAL PROPERTY

Sri Satya Sai University to Technology and Medical Sciences, Sehore encourages faculty members to publish their work in high quality peer reviewed journal. The Academic Staff and Research Scholars are required to comply with the University's Intellectual Property Policy (IPR Policy)

10. SIGNING OF MOU'S FOR RESEARCH COLLABORATION

Sri Satya Sai University to Technology and Medical Sciences has clear provisions in their statutes to establish research collaboration with foreign Universities and Institutions. Presently, it has signed MOUs with some Foreign Universities/Institutions. It has also provisions of short term students/faculty exchange program from the Universities/Institutions of different Foreign Countries.

Equity participation by the University for Govt of India sponsored project is now mandatory from GOI. As per GOI's R&D policy the projects from Govt of India organization have are sponsored to private universities with the condition that they will provide equity participation to the tune of 25-50 % depending upon the concerned ministry guidelines, so as to ensure commitment of private college/Universities/educational unites. The same will be religiously followed. Seed money to faculty for start-up facilitation in execution of project is to be provided for faculty for international travel etc. for technology transfer of Research & Innovation JRF, SRF & PDF fellows in the project of GOI

University has shall appoint JRF/SRF, PDF fellows for the fellowship duration of 2/3 years and six month respectively as per sanction in the sponsored projects.


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ENCL: 1

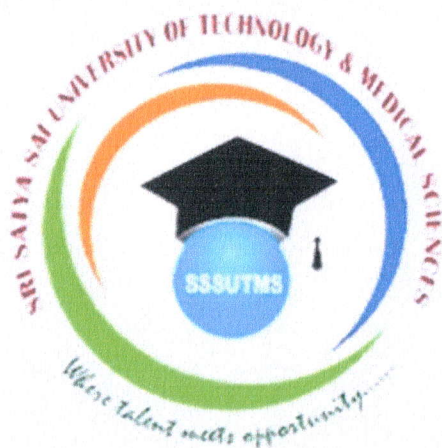
RULES & REGULATION OF RESEARCH AND HR POLICY

As per **Sri Satya Sai University to Technology and Medical Sciences, Sehore** under Research and HR policy following financial/ Administrative support shall be provided by Faculty.

- Seed Money for Research Project submitted by the faculties of University.
- Matching Grants of Research projects sanctioned by financial agencies from Govt. or non Govt. Agency
- Financial support of attending Conference etc.
 - (a) Travel Grant for attending presenting papers Seminar/ Conference/ Workshop for faculty as per University norms.
 - (b) Duty Leave to faculty for attending Seminar/ Conference/ Workshop and as expert lectures chairing sessions and for Ph.D. Viva-Voce or expert for taking exam.
 - (c) Faculty pursuing Ph.D. 50% waiver in Tuition Fees.
 - (d) Registration fees for faculty attending Seminars.
 - (e) Fee related to patents filed by the faculty jointly with University.
 - (f) The University will provide equipment if desired in any project in addition to seed money.


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Preamble

Research and innovation is the foundation of knowledge creation and it lies in the core of the mission and vision of Sri Satya Sai University of Technology and Medical Sciences, Sehare. The primary focus of university is to provide an optimal research ecosystem and conducive environment for enhancing research outputs, which are beneficial for mankind. Moreover, the faculties are provided academic freedom that also includes accountability to follow the ethics and conduct of research. The present focus to University is to conduct basic and applied research to make maximum utilization of available resources and develop industry ready products meeting all the necessary standards. Our faculties are encouraged follow the academic standards and code of ethics.

Broadening the scope of existing research policy and considering the upcoming challenges in the Industry 5.0, the research policy has been revised. Apart from developing industry ready products, the revised policy also aims to make students industry ready by developing necessary skills in them. This will not only increase the job opportunities among the students but also help the industries to improve safety, quality, and profitability. The faculties will be encouraged to develop projects focusing more on the advanced automated technologies including robotics, machine learning, artificial intelligence, big data analytics, smart systems and the Internet of Things (IoT). The development of robot incorporated with artificial intelligence will assist the industries to enhance workplace processes, increased flexibility and enhanced sustainability.

The university has also decided to initiate a scheme for promotion of research activities among the faculties. In the scheme, the faculty making some special achievements will be given awards and monetary assistance.

Assistance to industry ready projects

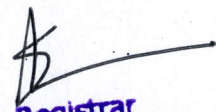
Keeping the current industry scenario, the university has decided to encourage the faculties to take up minor research projects on artificial intelligence, robotics and shall earmark appropriate budget. These projects will be evaluated by the committee headed by Vice Chancellor, Sri Satya Sai University to Technology and Medical Sciences for funding (ENCL: 01). The faculty shall submit a project report upon completion

Development of academia-industry collaboration

The faculties will be encouraged to make appropriate collaborations with the industries. This will help students and faculties to understand the current challenges and needs of the industries. The proposals for all such collaborations will be evaluated by a committee formed by the Vice-Chancellor, Sri Satya Sai University of Technology and Medical Sciences, Sehare.

3. Promotion of Research

The university has decided to promote faculties for research. The faculties will be encouraged to submit a research proposal covering the current needs of the society and industry. The proposal will be evaluated twice in a year by a committee formed by the Vice-Chancellor, Sri Satya Sai University to Technology and Medical


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incentives will be given to the faculties making specific research achievements at various national and international levels.

4. Encouragement of Consultancy Services

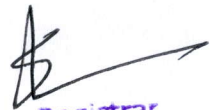
In order to encourage faculties to utilize their expertise for the industry sector, the ratio of revenue generated through consultancy between faculty and university has been fixed to 70:30. The faculty of the university providing consultancy would be entitled to retain 70 % of the share, while the university will retain 30 % against the utilization of the university infrastructure and other facilities.

5. Project Transfer

If a Principal Investigator (PI) resigns and leaves the university, the extra-mural projects will be only transferred if the funding agency agrees and the rules of the funding agency will be applied.

6. Submission of Utilization Certificate

All Principal investigators must submit the utilization certificate in the prescribed format of the funding agency. In case, if the format is not well defined the format of university will be followed (ENCL: 02).



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ENCL: 13

Evaluation Committee

Chairman

Vice chancellor, Sri Satya Sai University to
Technology and Medical Sciences, Sehore

Member Secretary

Faculty of University (Professor, as approved
by honorable Vice-Chancellor)

Member 1

Faculty of University (Associate Professor, as
approved by honorable Vice-Chancellor)

Member 2

Faculty of University (Associate Professor, as
approved by honorable Vice-Chancellor)


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Utilization Certificate

Certified that out of Rs .!/- of grants-in-aid sanctioned during the year (from
to) in favor of **Dr.** under Letter No:and Rs on account
of unspent balance of the previous
year, a sum of Rs !/- has been utilized for the purpose for which it was
sanctioned and that the balance of .!/- remaining unutilized..... till
date will be adjusted in the next release of the grants-in-aid payable during the year.

Principal Investigators

Accounts Officer

Vice Chancellor


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Statement of Expenditure

1. Name of the Institute :

2. Reference No. :

3. Name of PI :

4. Date of project initiation:

5. Period of Grant :

S.No.	Sanctioned Heads	Opening	Grants	Expenditure	Unspent	Remarks
		Balance	Receive		Balance	
1.	Stipend					
2.	HRA					
3.	Contingencies					
4.	Consumables					
5.	Travel					
6.	Miscellaneous					
	Total (Rs.)					

Principal Investigator

Accounts Officer

Vice Chancellor


Registrar

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