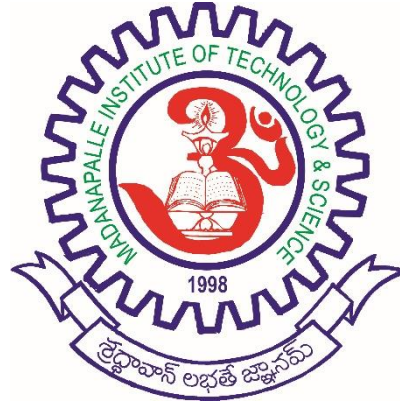


## **Research & Development (R&D) POLICY**



**Madanapalle Institute of Technology & Science**

(UGC- AUTONOMOUS)

Dr. Remashan Kariyadan

(Dean-R&D, MITS, Madanapalle)

PRINCIPAL

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## 1. Introduction

**Madanapalle Institute of Technology & Science** is established in 1998 in the picturesque and pleasant environs of Madanapalle and is ideally located on a sprawling 30-acre campus on Madanapalle - Anantapur Highway (NH-205) near Angallu, about 10km away from Madanapalle.

MITS, originated under the auspices of Ratakonda Ranga Reddy Educational Academy under the proactive leadership of Sri. N. Krishna Kumar M.S. (U.S.A), President and Dr. N. Vijaya Bhaskar Choudary, Ph.D., Secretary & Correspondent of the Academy.

MITS is governed by a progressive management that never rests on laurels and has been striving conscientiously to develop it as one of the best centers of Academic Excellence in India. The Institution's profile is firmly based on strategies and action plans that match changing demands of the nation and the student's fraternity. MITS enjoys constant support and patronage of NRI's with distinguished academic traditions and vast experience in Engineering & Technology. With innovations in both its curriculum and research, the Institute intends to rapidly gain reputation globally.

### 1.1 Vision and Mission Statement

#### Vision

Become a globally recognized research and academic institution and thereby contribute to technological and socio-economic development of the nation.

#### Mission

To foster a culture of excellence in research, innovation, entrepreneurship, rational thinking and civility by providing necessary resources for generation, dissemination and utilization of knowledge and in the process create an ambience for practice-based learning to the youth for success in their careers.

#### Quality Policy

Madanapalle Institute of Technology & Science is committed to bring out and nurture the talents and skills of youth in the fields of Engineering and Management to cater to the challenging needs of society and industry by

- Contributing to the academic standards and overall knowledge development of the students
- Providing excellent infrastructure and conducive learning environment.
- Enhancing the competence of faculty and promoting R&D Programs
- Collaborating with institutions and industries.
- Ensuring continual improvement of Quality Management System.

### 1.2 Research & Development (R&D)

As Research is a key component in the Institute's Mission, Research & Development (R&D) is continually striving to strengthen its research capacity to effectively address the following key areas:

- a) **Relevance.** Identification and prioritizing the research needs in line with national and international development objectives and importance.

- b) **Necessity.** Research is necessary to bridge knowledge gaps that hinder technological advancement and to advance the utility of an existing technology. Necessary research builds on past research findings.
- c) **Efficiency.** In research, efficiency refers to the utilization of resources (time, human and materials) in the widest possible sense, without duplication of effort. It ensures that research objectives are realistic for the available resources; objectives are achievable at the lowest possible cost, and resource allocation is based on relative importance of reaching the selected objectives.
- d) **Effectiveness.** Research effectiveness is evaluated in terms of its potential to achieve desired results in satisfying the national objectives as well as the adoption and application of research findings in solving societal problems.

### **1.3 Research & Development (R&D) Activities**

The proposals submitted by the institute involve the following activities, namely termed as R&D activities:

1. Sponsored Research Projects involving Internal/External Funding Sources.
2. International Research Collaborations involving International Funding.
3. Industry Sponsored Projects and Industrial Consultancy involving funding from Industry.
4. Organizing Continuing Education Programmes/Conferences/Seminars/Symposia /Workshops for dissemination of knowledge as part of the Research Projects.
5. Institute sponsored Research Projects.
6. Encouraging Researches to Publish Papers in Journals and Conferences and to apply Patents.

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## 2. Research Policy

### 1. Preamble

For MITS, it is important 'to be the fountainhead of new ideas and of innovators in technology and science' and with its general goal of 'to create an ambience in which new ideas, research and scholarship flourish and from which the leaders and innovators of tomorrow emerge'. In fulfilment of these points of importance, R&D established at MITS has taken an initiative to promote research, innovations, consultancy activities and also facilitates the protection of Intellectual Property (IP) thus generated at MITS. Faculty Research Projects Committee (FRPC) has formulated to monitor the progress of Research Projects and activities related to Research.

In this document, the processes to support these efforts have been included. A formal Framework to guide and implement these processes is included in this document. Towards this goal a Research & Development Policy for MITS has been formulated.

### 2. Definitions

- 2.1. **Institute** means Madanapalle Institute of Technology & Science, Madanapalle.
- 2.2. **Department** means all the academic departments at the Institute.
- 2.3. **Dean of Research & Development** (Dean (R&D)) means Dean of Research & Development, Madanapalle Institute of Technology & Science, Madanapalle.
- 2.4. **Dean of Industry-Institute Interaction Cell** (Dean (IIIC)) means Dean of Industry-Institute Interaction, Madanapalle Institute of Technology & Science, Madanapalle.
- 2.5. **Associate Dean of Research & Development** (Associate Dean (R&D)) means Associate Dean of Research & Development, Madanapalle Institute of Technology & Science, Madanapalle.
- 2.6. **Project** implies sponsored research projects or industrial consultancy projects or routine testing projects.
- 2.7. **Sponsor** means the organization that offers a Project to the Institute and provides necessary financial support for successful completion of the project in time.
- 2.8. **Principal Investigator (PI)** is a member of the faculty/scientist of the Institute with necessary expertise and competence to conduct a Research and consultancy work. Normally, the faculty/scientist who submits the project proposal and negotiates with the sponsor and is instrumental in getting the project funding is the Principal Investigator (PI). In case of research project, emeritus fellow/chair professor/visiting professor may also be the PI.
- 2.9. **Co - Principal Investigator (Co-PI)** means a person from amongst the faculty/scientist (including Emeritus Fellow, chair faculty, visiting professor) co-opted by the Principal Investigator to work jointly with him/her on the project or any other Group 'A' staff so permitted by the Head of the Institute.
- 2.10. **Consultant:** Consultant is an individual or government/public sector undertaking /government company engaged for a specific period to carry out specific job.
- 2.11. **Project Staff** means a person appointed in conformity with the guidelines to work on a project.

2.12. **Research Fund (RF)** means a part of the Corpus/share received for Sponsored Research and Industrial Consultancy project.

2.13. **Intellectual Property** means an intangible property that is a result of a project, such as patents, copyrights, etc.

2.14. **Proper Channel** means process from PI to HoD to Associate Dean (R&D) to Dean (R&D) to Principal.

2.15. **Faculty Research Projects Committee (FRPC)** means committee monitoring the progress of Research Projects.

2.16. **Departmental Research Committee (DRC)** means committee monitors all activities related to Research in departmental level.

### **3. Project Management**

#### *3.1 Seed Grant:*

The Institute gives a seed grant to new faculty for initiating research. The faculty member will write a research proposal. The proposal should include a description of research that he/she wishes to conduct over the next 2-3 years. It is a platform meant to help new faculty to prepare for subsequent proposal submissions. In other words the seed grant is seed for seeding bigger projects.

Guiding notes:

- Proposal will be submitted to the Dean, R&D. Dean, R&D will arrange to get review comments from the subject experts. Review comments will be appropriately incorporated / addressed by the Faculty before final submission.
- Proposal will be presented by the faculty before an Institute level committee, consisting of Dean, R&D; Associate Dean, R&D; HoD and 2 Subject Experts nominated by Dean, R&D.
- The initiation grant is normally for an amount of Rs xxxxxx to support the research as proposed by the faculty member and approved by the Institute Level Committee. A higher amount can be approved by the Institute Level Committee.
- To encourage collaborative research, if two or more faculty members submit a joint proposal, the budget limit will be Rs.xxxxxx.
- The Faculty member is encouraged to prepare follow-up proposal(s) to external sponsors. Follow-up proposals are expected if the Faculty member requests a higher than normal seed grant.

#### *3.2 Sponsored Research Projects:*

Sponsored Project refers to one in which the PI does not charge honoraria/consultation fee. For a project sponsored by a government agency, no honorarium in any form can be claimed. Amount may be used by the PIs as approved in the respective budget head by the funding agency. For projects from industry and other agencies, any balance funds at the end of the project may remain with the Institute. In such cases, the balance funds will be distributed to Faculty and staff involved in the project, following R&D guidelines.

### **Projects involving MITS Faculty only:**

The Institute encourages investigation of basic and applied areas of science and technology, and high end technology development in the form of sponsored projects. Research grants for such projects are given by government agencies and industries (both national and international). These projects are usually of 2-5 years duration with periodic appraisals, while research objectives and goals may be refined along the way.

### **Collaborative Projects:**

Faculty may also participate in collaborative projects with other domestic or foreign partners. In such projects, even though there may be an overall project, there must be a separate budget and scope of work statement to be done by the faculty and staff of the Institute. The summary statement provided to the Institute should be based primarily on the portion to be done by the Institute. The Institute will treat this like any other sponsored project.

### **Institutional Projects:**

In case, the Institute is awarded a sponsored project directly, or a proposal is submitted at the Institute level, the Principal Investigator would be identified by the Dean, R&D/ Principal based on the relevance of the proposal.

### **Guiding notes:**

1. Each funding agency has its own format and guidelines. The proposal should be submitted after thoroughly going through the guidelines.
2. While making an estimate of the funds required for a project, the following budget heads may be taken into account:
  - Salary of Project Staff including PhD scholars
  - Equipment
  - Consumables
  - Travel (domestic, international)
  - Contingency
  - Institute Overheads
3. All project proposals are to be sent to Dean, R&D for endorsement. The 'Project proposal form' duly completed must be submitted along with the proposal.
4. Office will assign a unique internal number to the project proposal.
5. IPR issue: All IPR related issues will be governed as per the agreement between the Institute and the funding agency.
6. MoU/Agreement preparation: The Institute has guidelines for drafting MoU/Agreement.
7. The project normally will be started after the receipt of funds.
8. The project expenditure for equipment and consumables will be maintained in a separate stock register by PI as well as by the concern department.
9. The statement of expenditure and utilization certificate will be prepared at every financial year end by the designated Financial Officer and sent to the sponsoring agency through the Dean, R&D.
10. Submission of Progress Reports and other Deliverables: It is the responsibility of the PI to send timely reports and other deliverables to the sponsoring agency through the Dean, R&D. Statement of Account to be submitted will be made available to the PI on request to the designated Financial Officer.

11. After completion of the project, final report should be submitted to the funding agency through the Dean, R&D with a soft copy for the record of the Dean, R&D and for RTI purposes.
12. A completion certificate should be obtained by the PI from the funding agency for successful completion of the project based on which project account will be closed with intimation to the R&D office.
13. The project file will be closed with the submission of the final technical and financial project report and transfer of the non-consumables to the Central stock register.
14. Collaborative projects between two or more institutes/organisations can be submitted only after the approval of respective competent authorities. The funds will be received by the host institute/organisation of the PI and the host institute/organisation will have the responsibility to transfer the funds to the collaborative institutes/organisations as specified in the project proposals. If the sponsor agrees, funds can be released by the sponsor, separately, to the participating institutes.

### **3.3 Collaborative Research Projects**

The Institute-Industry Interaction is the demand of the day. If we want to contribute to the society at large, the Institute has to closely work with industries and different organisations. Industries and business organisations are facing different kind of problems and many of them would like to have the help from the Institute with an aim to find the solutions to their problems. For that, the Institute has planned to have the following activities:

**(i) Industry Sponsored Research Project:** An organisation can sponsor a project and the experts of the institution concerned can conduct research on this project for which the financial support will come from the organisation. As a result, if any patent is registered, then there shall be a sharing of income coming out of the patent among the industry, researcher and Institute. This will lead to three kinds of benefit: a) the researcher will get exposures to the concerned area of research; b) the industry will get solutions to its problem; and, c) the researcher, Institute and Industry can earn money and at the end, the society ultimately will benefit.

**(ii) Interdisciplinary Research:** The interdisciplinary research is a must nowadays. No department, institution, researcher or a scholar can address a research problem in which more than one discipline is involved and unless they get together and conduct interdisciplinary research no fruitful findings can be arrived at. Therefore, the Institute has decided to have exercise in interdisciplinary research activities for which the following steps will be taken:

- a) Identify the interdisciplinary area.
- b) Identify the different experts from concerned disciplines who can work together.
- c) Study the requirement of the infrastructure to conduct the concerned interdisciplinary research.
- d) Explore possibilities to find resources for such interdisciplinary research.

### **Collaborative International Research**

We live in a Global Village. Knowledge is being produced in the different parts of the world. Collaborative international research is essential to facilitate mutual learning and expertise sharing. The Institute plans to have the MoUs with prominent research institutions abroad, for conducting research jointly in the areas of common interest. For this purpose, a Task Force shall be constituted that will constantly explore the possibilities of having such collaborative or joint research in terms of thrust areas, decide the modus operandi of conducting such research and attend to other relevant aspects.



### 3.4 Consultancy Projects

The Institute has expertise in various research areas to provide knowledge and intellectual inputs which are of interest to the industry. It encourages its faculty to undertake consultancy work which is an important tool in industrial growth of the Country.

Guiding notes:

1. A consultancy project/task/work is one where faculty and research staff provide knowledge and intellectual inputs to industry (within India and abroad), primarily for their purposes. This is effectively a contract work in which all outputs belong to the client.
2. All payments for consultancy work must come in the name of the Principal of the Institute. The Institute will then do the needful for complying with statutory laws and then give the honorarium to the faculty/staff as the case may be.
3. The requirement originates from the industry concerned. The faculty is expected to estimate the time and cost required to accomplish the task.
4. Proposal is then prepared by the PI. It should specifically mention breakup of funds, normally consultancy fee (the minimum quantum will be specified by R&D board from time to time) as the primary component. It may also have budget for supporting manpower, equipment, travel contingency, institute overheads and expenses for IPR (if need be).
5. All consultancy proposals must be sent to Dean, R&D for endorsement and approval received from head of the institute.
6. Office will assign a unique internal number to the project proposal.
7. The Institute normally requires the cost of the consultancy project to be deposited by the client, in full, before the commencement of work. However, based on the needs of the client and circumstances, the Institute may, in exceptional cases, permit commencement of work with payment to be made as per agreed upon milestones. The expenditure and disbursements will be made through normal Institute procedures. The project expenditure for equipment and consumables will be maintained in a separate stock register by PI.
8. In international consultancy projects:
  - a) Funds are received in foreign currency;
  - b) Service Tax is not applicable;
  - c) The research collaboration of MITS with the other party/funding agency should be in conformity with the laws of all the Countries involved and/or International laws as the case may be.
9. IPR issue: All IPR related issues are agreed between the Institute and the funding agency. Preferably, IPR will be jointly shared by MITS and the funding agency.
10. MoU/ agreement preparation: Institute has guidelines for drafting MoU/Agreement.
11. When MoU is clear from all angles and acceptable to both the parties, it is sent to the Principal, MITS through Dean, IIC for approval along with the Note File (summary of MoU). A copy of the duly signed MoU will be sent to the other party and a copy retained in the office of Dean, IIC.
12. Project responsibility: These projects are headed by a Principal Investigator (PI), and may have Co-Principal Investigators (Co-PIs) and the deliverables are the responsibility of the PIs. The Institute provides the PIs necessary support.
13. The Statement of Expenditure and Utilization Certificate will be prepared at the end of each Financial Year and get the approval from the competent designated authority.
14. After completion of the project, final report should be submitted to the concern party.

15. The project file will be closed with the submission of the Final Technical and Financial Project Report and transfer of the non-consumables and consumables to the Departmental Stock Register.

### *3.5 Testing:*

The word refers to testing a component or a product against a standard. Examples could be testing the strength of concrete in construction, compaction strength of soil, calibration of pressure gauges, and chemical identification of unknown species. The Institute will undertake testing jobs provided facilities are available and such testing does not interfere with any teaching or research work. The testing jobs can be initiated by faculty once request is received for the testing job.

Guiding notes:

1. The procedure for overall operation of the project is similar like that of consultancy project.
2. **Certification:** The Institute (through its faculty) is not authorized to undertake certification in any form. At best, one can say that, on a given day, with a given sample, a well-defined test yielded the following results.

### *3.6 Special Grants*

Sometimes, there are special grants given to the Institute for purposes like grants for infrastructure improvement, lab improvement, conference (from DST/CSIR etc.), donations (e.g. alumni), etc., where no direct deliverables are envisaged.

Guiding note:

1. Such grants may be treated as a project for operational reasons. For such projects, the Institute overheads may be reduced or waived. The decision will be taken on a case-by-case basis by the Dean, R&D / Principal.

### *3.7 Fund for Improvement of S&T Infrastructure (FIST)*

The Department of Science and Technology (DST) has a FIST scheme to build infrastructure facilities in universities and higher educational institutions. The grant under this scheme is provided for strengthening infrastructure of the identified department in teaching and research and is to be spent exclusively for the said purpose.

Guiding note:

1. Savings Account is maintained for FIST exclusively.

### *3.8 Courses/ Seminars/Symposia/Conferences/Workshops*

In order to encourage awareness as well as to provide exposure to state-of-the-art subjects in diverse areas of science and technology, the faculty and academic staff of the Institute offers Courses/ Seminars/ Symposia/ Conferences/Workshops for faculty members of various NITs, government engineering colleges, private colleges, researchers from National R&D Laboratories as well as professionals from private industries. The Institute aims to encourage such programs at the high end to contribute to skill development in the working professionals as well as to generate revenue for the Institute.

The Institute provides partial support for organizing Courses/Seminars/Symposia/Conferences/Workshops which help in building the brand image of the Institute.

Guiding notes:

1. To organize these programs, a request has to be routed through HoD to Dean, R&D who may obtain necessary approval of the Principal.

### *3.9 Publications of Papers in Journals and Conferences*

Publication of papers is critical for the effectiveness of the Institute. Faculty must publish continuously in quality journals. Therefore, the Institute plans to encourage the publication of papers by the faculty with a targeted aim. A faculty member shall be expected to publish a certain number of research papers in refereed journals at national and international levels. These journals shall be identified by respective institutes.

Research papers to be published in identified journals and to be presented at National and International Conferences shall be scrutinised and guided by a Departmental Research Committee (DRC). Committee should encourage faculty to publish a quality journal and organise research conference, from time to time to boost research activities in the Institute and to contribute to the existing body of knowledge.

The authors should use "**Madanapalle Institute of Technology & Science**", **Madanapalle** as institute affiliation while publishing journal articles. Any other form of referencing the institute will not be accepted and/or counted as contribution towards faculty publications. Such publications will also not qualify for institute's incentive scheme that is in existence.

### *3.10 Patent and IPR*

The Institute would like to strengthen the research, leading to filing of patents for which the guideline is already available. If any innovation is done, the Institute shall encourage the researchers and scholars to patent it. However, when a scholar files for a patent, a thorough scrutiny will be carried out at different levels namely: Departmental, Institute level which has experts.

The Institute is bearing all expenditure for filing application for patent and the name of the applicant (Ownership) should be "**Madanapalle Institute of Technology & Science**", **Madanapalle**. If the patent is commercialised the sharing of earning is to be done between researcher and the Institute as per the guideline developed from time to time.

The Institute shall create awareness about intellectual property rights among faculty, researchers and scholars from time to time as per the IPR Policy of the Institute.

### *3.11 Institute Incentive Scheme*

## **MADANAPALLE INSTITUTE OF TECHNOLOGY & SCIENCE, MADANAPALLE**

*Guideline for Incentive Scheme for Research Publications, Patents, Consultancy & Funded Projects:*

**Preamble:** As an Institute, we have already extended flexi hours towards creating a research environment where teaching staff will have more flexibility to work at their own pace on their research as well as publications as per their convenience. To further encourage Faculty members to publish quality Research papers, obtain Patents and extended Consultancy services, an incentive scheme has been developed.

#### **Title and application:**

a) This Policy document shall be called "The Madanapalle Institute of Technology & Science (MITS) Incentive Scheme for Research Publications, Patent, Consultancy Services & Funded Projects".

b) These guideline shall apply to all Teaching staff, Research Scholars working in the Institute and M.Tech Students. Teaching Staff who are assigned administrative responsibility shall also be covered under this guideline. Any other employee may also be covered at the sole discretion of Management. All other Employees not specifically mentioned shall not be covered under this Policy.

**Definitions:**

a) 'MITS' means Madanapalle Institute of Technology & Science, Madanapalle.

b) 'MITS Employee' means any person who holds a post in the MITS including the teachers of the MITS and all the supporting staff appointed by MITS

**Period:** This Incentive Scheme shall be valid from 1st July 2017 to 30th June 2018.

**Review Committee and Coverage of Publications:**

A review committee comprising of the following shall review all the papers received for consideration of the Incentive under this guideline:

1. Principal
2. Vice Principal-Academics
3. Dean-Administration
4. Dean-R&D-Convenor
5. Associate Dean-R&D

Research Publications in SCI, SCI Expansion, Web of Science and Scopus journal shall be considered with a good impact factor. R&D cell will review technical aspect of the publication and will put forward its recommendations on every publication received in the month to the above Committee for final approval for Incentive payment. The committee shall meet in the last week of the month to review the publications so that the Incentive payment can be paid along with salary of the subsequent month. The decision of this committee shall be final and binding.

**Eligibility Criteria:**

The Research Publication must be published in hard copy or in electronic form in a refereed journal and must have MITS affiliation. The 1st author of the publication has to be from MITS. However, 2nd and subsequent authors may be from other Institutions but they will not be entitled to any cash award. If there are more than 4 authors than such publication shall not be considered under this Scheme. Conference paper and its subsequent publication shall also not be covered under this Scheme. The Research publications shall be considered only if they are indexed in **Science Citation Index (SCI) Science Citation Index Expanded (SCIE), Web of Science or in Scopus, ABDC listed journals as well as IIM listed A & B Category journals.** However, weightage for Scopus journal, ABDC listed with A & B rated and IIM B listed journal shall be less than SCI, SCIE or Web of Science. If the paper is contributed by more than one author, the Incentive amount will be shared in the ratio of 60:40. The first author shall be entitled to 60 % and 40 % shall be distributed amongst the balance authors.

**Maximum number of Incentive:**

A Researcher may get maximum Incentive amount for 3 of such publications as detailed below in a period from July 2017 to June 2018.

**Incentive Amount for Science Citation Index (SCI) Science Citation Index Expanded, Web of Science, ABDC listed journal having A\* and IIM listed A journals:**

The Incentive amount shall be Rs 25000/- per publication which will be distributed in the ratio of 60:40. The 1st author shall be eligible for 60% amount of Rs 25000 and balance 40% shall be distributed amongst the remaining authors.

The 2nd publication from the same author shall be rewarded with Rs 40000/- and the first author shall be paid 60% amount and the balance to be distributed amongst the remaining authors.

The 3rd publication from the same author shall be rewarded with Rs 50000/- and the first author shall be paid 60% amount and the balance to be distributed amongst the remaining authors.

**Incentive Amount for Scopus indexed Journals, ABDC listed journals having A & B ratings and IIM listed B journals:**

The Incentive amount shall be Rs 15000/- per publication which will be distributed in the ratio of 60:40. The 1st author shall be eligible for 60% amount and balance 40% shall be distributed amongst the remaining authors.

The 2nd publication from the same author shall be rewarded with Rs 25000/- and the first author shall be paid 60% amount and the balance to be distributed amongst the remaining authors.

The 3rd publication from the same author shall be rewarded with Rs 40000/- and the first author shall be paid 60% amount and the balance to be distributed amongst the remaining authors.

**Patents Obtained:**

Faculty members may obtain patents for their original contribution in the form of product or innovation from International and/or National Agencies. These faculty members shall be reimbursed actual expenses incurred for filing the Patent only after obtaining the Patent with MITS affiliation apart from the incentive amount. If more than one faculty members are involved then, they will share the amount in a mutually agreed way.

- International Agencies : Rs 1 Lacs
- National Agencies : Rs 50000

**Consultancy:**

To encourage MITS Staff to get consultancy assignment from Industries, Government and private organisations, Colleges etc. incentive amount will be paid on completion of the assignment and after receiving the full amount. The incentive amount will be shared amongst the team members. For determining the Incentive, the Consultancy amount, should be the net revenue (not the amount of the consultancy). In other words, expenses associated with the execution of the consulting project shall be deducted before disbursement of the Incentive.

- If there is a substantial contribution by the faculty member and the staff in the consultancy project and no resources of the College (like laboratory, computer, software etc.) utilised, the

members involved in the consultancy project will take 70% of the total value of the consultancy amount received and 30% will go to the College.

- If the resource of the College such as laboratory facilities, computing facilities, drafting and other facilities are utilised in the consultancy project, the share of the College will be 50% of the total consultancy amount received and 50% will go to the faculty and other staff involved in the consultancy work.

#### **Funded Project Proposals:**

Incentive will be paid to the team of investigators of research projects with external funding, an amount equal to 10% of the total project funding. This incentive will be paid in two parts – 5% at the start of the project and the other 5% on completion of the project. The incentive amount to be shared shall be decided by the investigators.

#### **Restrictions:**

1. The published article in the journal shall be submitted to the College.
2. This rule shall be subject to any other terms and conditions in force from time to time.
3. Those who do not publish any Research Publications shall not be entitled to any Increment in the 1st year. In the 2nd year also if they do not publish any Research publications then their performance will stand for close scrutiny.
4. In case of any clarification with respect to implementation of this Guideline, the decision given by the Management shall be binding on all employees of MITS.

**\*\*\* Note: The same scheme will be applicable till its next update.**

## **4. Finance and Accounts**

### **4.1 Research Project**

- i. At the time of submission of a sponsored research project proposal, the PI shall make a provision of Institutional Overhead Charges (IOC) at the rate of 10% of the total project cost or at the rate permitted by the sponsor. However, this will not be treated as a condition for accepting the award of project.
- ii. Transfer of Staff Costs out of Sponsored Research Project to Research Development Fund: In the Sponsored Research Project amount charges under the budget head of faculty time, staff costs will be transferred to the Research Development Fund. Further, if any amount is provided by the sponsor as honorarium to the investigators as one of the components in a Sponsored Research Project, the same may be distributed among them.

### **4.2 Consultancy Project and Routine Testing**

- a) At the time of submission of a consultancy project proposal, the PI shall make a provision for Institutional share at the rate of 30% of the total contracted project cost.
- b) However, such share shall be 50% for routine testing.
- c) In case of a large consultancy project funded by a Government Organisation, Institute share may be negotiated with the approval of the Head of the Institute.

### *4.3 Utilization of Research Fund (RF)*

4.3.1 The RF can be utilized by the concerned individual for the following purposes:

- a. Travel (domestic and abroad) and related expenditure for individual, student or outside expert
- b. Exploratory visits
- c. Attending Conferences/ Short term course/ workshop/ training programs
- d. Publishing of conferences and journal manuscripts
- e. Engagement of project staff
- f. Fee and related expenditure for acquiring training/qualification(s)
- g. Membership fee of professional societies
- h. Books, journals related, stationary and computer consumables and any storage media
- i. Mobile phone (once a year), data card for internet, telephone call (prepaid or postpaid), connectivity charges
- j. Office peripherals, furniture for labs and offices, camera (all types), instrument, computer (all types) and peripherals

4.3.2. All travels (domestic and international), engagement of persons and expenditure for more than the limit of expenditure without calling quotations under RF shall require the approval through proper channel.

4.3.3. The items procured out of RF shall be properly accounted for by the concerned department/centre and shall remain as the property of the Institute. However, items purchased under 4.3.1 f & 4.3.1 g can be retained by the concerned faculty members permanently during the period of service and/or on retirement/leaving the service of the Institute. Any items purchased under clauses 4.3.1 h and any major assets procured may be retained by the concerned person on payment as per clause 4.3.4.

4.3.4 For clause 4.3.1 h the depreciated value (for which the rate of depreciation will be a flat 25% per year) or 5% of the purchase value, whichever is higher, will be payable.

Note: The following conditions will also apply for retaining items under this clause: -

- i. He/she has served the Institute for a minimum period of 10 years.
- ii. He/she has purchased these items from PDF.
- iii. Only one Desktop PC and one Laptop, peripherals and other electronic items (one of each type, like only one printer, one scanner etc.) can be retained by the concerned person.

4.3.5 After leaving the Institute the RF will not be available to the concerned person.

Note: Leaving the Institute means not serving the Institute in any capacity like faculty/re-employed faculty/Emeritus Fellow/Chair faculty/visiting faculty etc. Serving as consultant will not be counted as serving the Institute.

## **5. Research Misconduct**

The Institute believes that the occurrence of misconduct is a threat to the basic principles of research. The Institute defines research misconduct, as any fabrication, falsification or plagiarism in proposing, performing or reviewing research or in the reporting of research results. Research misconduct does not include an honest error or differences of opinion, authorship disputes that do not involve plagiarism, and violations of other Institute/University policies (e.g., sexual

harassment policy). Misconduct in research damages the integrity of the profession and undermines the credibility of scholars. It is also antithetical to the values the Institute strives to maintain and promote.

The Institute shall take seriously all allegations of misconduct, and shall ensure that the procedures for the inquiry, investigation and adjudication of any misconduct are well defined and just for all parties involved.

## **6. Code of Ethics for Research (CER)**

1. **Academic Honesty:** Be honest in all scientific communications. Honestly report data, results, methods and procedures, and publication status. Do not fabricate, falsify, or misrepresent data. Do not deceive colleagues, granting agencies, or the public.

2. **Integrity:** Keep your promises and agreements; act with sincerity; strive for consistency of thought and action.

3. **Carefulness:** Avoid careless errors and negligence; carefully and critically examine your work and the work of peers. Keep good records of research activities, such as data collection, research design, and correspondence with agencies or journals.

4. **Respect for Intellectual Property:** Honor patents, copyrights, and other forms of intellectual property. Do not use unpublished data, methods, or results without permission. Give credit where credit is due. Give proper acknowledgement or credit for all contributions to research. Never plagiarize.

5. **Confidentiality:** Protect confidential communications, such as papers or grants submitted for publication, personnel records, trade or military secrets, and patient records.

6. **Social Responsibility:** Strive to promote social good and prevent or mitigate social harms through research, public education, and advocacy.

7. **Competence:** Maintain and improve professional competence and expertise through lifelong education and learning; take steps to promote competence in science as a whole.

8. **Legality:** Know and obey governmental policies, relevant laws and institutional rules and regulations.

9. **Human Subjects Protection:** When conducting research on human subjects, minimize harms and risks and maximize benefits; respect human dignity, privacy, and autonomy; take special precautions with vulnerable populations; and strive to distribute the benefits and burdens of research fairly.

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### **References:**

1. Indian Institute of Technology Mandi – Sponsored Research & Industrial Consultancy Rules and Regulations.

2. National Institute of Technology, Uttarakhand - Research & Consultancy Rules and Regulations.