



RESEARCH PROMOTION POLICY



Prepared by
CENTER FOR RESEARCH & INNOVATION
K.S.R.M COLLEGE OF ENGINEERING

UGC-Autonomous
Kadapa, Andhra Pradesh

Approved by: Governing Council

Effective date: 01-10-2020

Next review: 30-09-2023

Version: 1.3

V. S. S. Muraly
PRINCIPAL
K.S.R.M. COLLEGE OF ENGINEERING
KADAPA - 516 003. (A.P.)

Purpose

An essential component of the mandate of KSRM College of Engineering (College) is to create and sustain an atmosphere of intellectual excitement, a climate of inquiry and innovation among students and faculty. The purpose of this policy is to establish procedures for the conduct of research and scholarly activity and to promote applied research and innovation

Scope and Limits

This policy applies to all persons participating and conducting research and innovation activities under the auspices of the College

Policy Statements

1. **Administration of Research:** College assigns responsibility for the oversight and coordination of applied research and innovation to Dean, Center for Research and Innovation (CRI), and provides the support services to carry out this responsibility
2. **Research Areas:** College seeks and accepts research proposals where these undertakings have strong potential for practical learning experiences for students, to enhance instructor knowledge, or contribute to the social, cultural, or economic well-being of society
3. **Research Schemes:** College recognizes the need to groom young faculty and students into research. College shall promote research schemes targeting privileged groups like young faculty, women and students. College shall arrange funds from its budget or from funding agencies. Dean, CRI, will conceive and administer these schemes
4. **Workload and Incentives:**
 - a. College recognizes applied research activities and scholarly work associated with applied research and innovation and consider such activities as workload that can be assigned to faculty and pro-rated relative to the normal workload associated with these individuals.

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- b. College extends various incentives to faculty actively participating in research activities, but not limited to
 - i. Certificate of appreciation and a cash award of Rs 3000/- for each paper published in refereed/Scopus Indexed journals
 - ii. Certificate of appreciation and a cash award of Rs 10000/- for each paper published in SCI journals
 - iii. One special cumulative increment for every five lakh rupees, or part thereof, of research grant secured from external funding agencies
 - iv. Reimbursement of registration fee, travel and boarding expenses for presentation of research papers in national conferences, to the extent of Rs 5000 per faculty per academic year
 - v. The College shall institute annual Best Research Paper award with a cash prize of Rs 10000/-
5. **Capacity Building:** Through its existing programs and resources for professional development, College recognizes and encourages professional development aimed at increasing the capacity and knowledge to participate in applied research and promotion of innovation
6. **Compliance and Safeguards:** College and its researchers shall comply with all relevant policies of the College and any funding body as well as all legal requirements. College provides safeguards, as is reasonably practicable, to protect the sensitive and confidential information entrusted to it and abides by funding agency data protection requirements as determined in any agreements entered into between College and funding agency.

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7. Policy Procedures:

Research Proposal Procedures:

- i. All research proposals shall be reviewed and approved by the Dean, CRI, prior to their submission to outside funding agencies, private companies, or for funding under College's research promotion schemes
- ii. The proposal is to be sufficiently detailed so as to permit an informed assessment to be made of the demands the research will place on facilities and equipment, and to judge the adequacy of the proposed budget. The time frame for the research is to be reasonable and practical. The time frame may be affected by the availability of facilities and services, faculty time, and any teaching, research, or other obligations of the principal investigator involved
- iii. Proponents should check with the CRI to determine the lead time required to meet funding agency deadlines

Agreement Procedures:

- iv. Only the College itself has the legal capacity to enter into agreements which bind the College. Agreements may not be written in the name of an individual department, school, faculty, or staff member
- v. It is the responsibility of the principal investigator and the Dean, CRI, acting on behalf of the College, to ensure that all expenditures authorized against College accounts conform with the approved budget, with all terms and conditions of the agreement, with all regulations of the sponsoring agency, and with all applicable policies and regulations of the College
- vi. Once the terms of an agreement have been negotiated and the formal documents prepared, every agreement must be signed by the principal on behalf of college

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Publication Procedures:

- vii. The research results are to be publishable with full regard to the needs of the client. A sponsor may be given the right under the terms of the formal contractual agreement to publish research results or to approve such publication in advance, or potentially to withhold publications in favor of confidential reports. All issues surrounding publication and reporting must be resolved prior to undertaking the research and form part of the formal signed agreement between the sponsor and College. The Principal Investigator should familiarize themselves and all members of the research team with any restrictions on publication or need for confidentiality
- viii. The Principal Investigator is responsible for the preparation, content, style, number, delivery, and timeliness of all research reports in accordance with the provisions of the agreement. The Principal Investigator shall provide a copy to the CRI for subsequent internal use and archiving. Where required the report should be clearly labeled as confidential

Administration Procedures:

- ix. College will utilize its integrated enterprise information system including student, human resources, and financial reporting systems to maintain complete records of transactions related to applied research and innovation projects and services
- x. Research projects will be regularly reviewed (at least quarterly) by the CRI to assure ongoing compliance with requirements.
Access to funds may be curtailed if the review finds deficiencies

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Equipment and Material Procedures:

- xi. All equipment and material purchases for funded research will be conducted using the standard procurement practices of college, and will remain the property of college unless otherwise specified in a research funding agreement
- xii. If equipment or material purchased or collected through research grants is later sold, the proceeds from the sale will be received into the accounts of college unless otherwise specified in the research agreement
- xiii. It is expected that equipment which is not being fully used for the purpose for which it was primarily intended will be made available for teaching and research through appropriate agreements which will include sharing of maintenance, repair and other costs

Financial Procedures:

- xiv. The Principal Investigator is responsible for ensuring that line items are adhered to and for obtaining, in advance and in writing, the necessary approvals for budget changes
- xv. Agreements shall normally set out requirements for financial reporting. The CRI is responsible for the preparation and timeliness of the financial reports. College Accounts Office is responsible for the content and accuracy of the financial reports
- xvi. Agreements should specify the manner in which College will be paid. College should not be required to carry the research costs for an extended period of time. At least partial payment in advance is preferred. Invoices will be issued in a manner consistent with practices established by Accounts Office
- xvii. Payment pursuant to research agreements must be payable to College. Researchers must not accept payments in their own name

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for research support. Payments received directly by researchers must be forwarded to the CRI for deposit to the appropriate account of the College

- xviii. Where research funding is provided to College, the Principal will be responsible for authorizing expenditures of funds from the grant account
- xix. The CRI shall be notified by the Principal Investigator if expenditures deviate significantly from original projections specified in the project proposal. The CRI will take any action as required by the funding agreement
- xx. Salaries may be encumbered against grant accounts when they comply with the terms of the granting agency and the specific project grant. Such expenditures are reviewed for compliance by the CRI in consultation with Accounts Office
- xxi. Travel expense claims will conform to applicable College policies or as required by the funding agreement

General Procedures:

- xxii. Application and data collection forms will be designed and distributed by the CRI to facilitate the administration of this policy

Review and Feedback: Dean, CRI, will propose modifications and improvements to this policy document based on experiences, and feedback from stakeholders and others. College Academic Council will review the proposed modifications and incorporate them into the policy. Any questions and feedback may be directed to cri@ksrmce.ac.in

V. S. S. Murthy
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KADAPA - 516 003. (A.P.)

SEED FUNDING SCHEME POLICY



Prepared by
CENTER FOR RESEARCH & INNOVATION
K.S.R.M COLLEGE OF ENGINEERING

UGC-Autonomous
Kadapa, Andhra Pradesh
Approved by: Governing Council
Effective date: 01-10-2020
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V. S. S. M. M. / G
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KADAPA - 516 003. (A.P.)

Purpose

Scope and Limits

This policy applies to all persons participating and conducting research and innovation activities under the auspices of the College. The scheme will initially run until June 2020, after which it will be reviewed.

Policy Statements

Objectives: The objectives of the scheme are:

- a. To support young faculty members to initiate research projects that have the potential to attract external funding
- b. To fast-track prospective research projects for external funding by supporting initial/preliminary work
- c. To encourage interdisciplinary research projects
- d. To promote research projects with an intention to get patents
- e. To encourage faculty members without PhD degree to acquire it
- f. To attract and retain talent

Administration of Scheme: College assigns responsibility for the oversight and implementation of the scheme to Dean, Center for Research and Innovation (CRI)

Funds:

- The maximum funding limit for each project is 40,000 INR
- A minimum of six projects will be awarded in each academic year
- Generally, Research Promotion Policy shall apply for the scheme
- Funds will be granted for expenditure towards parts, equipment, fabrication and stationery only. Costs towards travel, software and wages will not be allowed
- All hardware will become property of the College

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Eligibility: The following criteria shall apply:

Experience: Minimum of 3 and a maximum of 12 years of experience

Qualification: Preference will be given to faculty without PhD degree

Team: The team size is 2 or 3 of which one shall act as Principal Investigator (PI) and others as Coinvestigators (CI). Interdisciplinary teams will be given preference

Restrictions:

- i. Faculty members with current externally funded projects are not eligible
- ii. A faculty member may avail this funding only twice in their entire career at this College
- iii. At any time, a faculty member can have one running project only under this scheme

Application Process:

- CRI will call for project proposals
- Faculty members submit proposals
- Presentation of projects by PIs before selection committee
- Selection of projects and award of funding
- Submission of project report and closure of project

Selection Criteria:

- Contemporary interdisciplinary projects
- Expertise of the team members
- Likelihood of attracting external funding
- Outcomes of the project
- Budget requirements

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Stipulations:

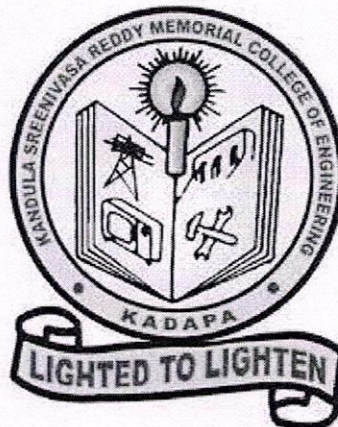
Expected outcomes:

- Minimal working prototype of products
- Research publications
- Externally funded projects
- Patents

Review and Feedback: Dean, CRI, will propose modifications and improvements to this policy based on experiences, and feedback from stakeholders and others. College Academic Council will review the proposed modifications and incorporate them into the policy. Any questions and feedback may be directed to cri@ksrmce.ac.in

V. S. S. Murthy
PRINCIPAL
K.S.R.M. COLLEGE OF ENGINEERING
KADAPA - 516 003. (A.P.)

CONSULTANCY PROMOTION POLICY



Prepared by
Industry Interaction Cell
CENTER FOR RESEARCH & INNOVATION
K.S.R.M COLLEGE OF ENGINEERING

UGC-Autonomous

Kadapa, Andhra Pradesh

Approved by: Governing Council

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U. S. S. Murthy
PRINCIPAL
K.S.R.M. COLLEGE OF ENGINEERING
KADAPA - 515 003. (A.P.)

Purpose

KSRM College of Engineering (College) has a perfect match of expertise and facilities for executing industrial consultancy projects. The departments and research centers have faculty with varied expertise in wide ranging areas of specialization. The laboratories have modern equipment to conduct standardized tests. Over the past years the College has served a large number of clients including central, state, public and private sector agencies and industries. The purpose of this policy is to establish procedures for promoting and conducting consultancy projects

Scope and Limits

This policy applies to all persons participating and conducting consultancy and extension activities under the auspices of the College

Policy Statements

1. Objectives:

- a. Promoting industry-institute relationships through consultancy projects
- b. Identify and provide technology solutions to local needs
- c. Provide access to modern lab facilities, expertise and technology available in college to local industries/agencies
- d. Dissemination of information through workshops/seminars on current trends and research
- e. Commercialization and monetization of intellectual assets

2. Consultancy Procedures:

Categorization:

Standard Consultancy Services: These are assignments that can be executed readily utilizing the professional knowledge and expertise of the faculty and facilities of the Colleges, including standardized engineering tests, analysis and design jobs

Consultant Services: These are assignments where an agency enlists faculty as

V. S. S. Murthy

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KADAPA - 515 003. (A.P.)

consultants any aspect of interest for a specific duration. An MoU shall be made between college and the agency towards fulfilling the requirements of job. The MoU shall describe scope of work, tenure and the fees

Project Consultancy Services: These are project-level assignments where a team of faculty work on the job. An MoU shall be made between college and the agency towards fulfilling the requirements of job. The MoU shall describe scope of work, timelines and the fees

Administration Procedures:

- As of now, the consultancy activity shall be managed at department level by its corresponding Head of Department
- Each department shall have its set up for consultancy activities
- Departments only are authorized to accept consultancy assignments. Individuals shall not take assignments directly
- Head of Department shall allocate consultancy works to faculty of corresponding department following a transparent procedure
- Departments shall maintain records of consultancy jobs including technical and financial records

Financial Procedures:

- Departments are authorized to publish catalogue of standardized tests and consulting fees. The College Academic Council shall approve the fees
- Consulting fees shall be charged based on type of job. For Standard Consultancy Services, the catalogue rates shall be applicable. For Consultant and Project Consultancy Services, the fees shall be as per MoU of the job
- Departments are authorized to meet essential expenses from consultancy fees. Record of all expenses shall be maintained

Income Distribution Procedures:

- Income from consulting fees shall be distributed among all participants including College, management, faculty and staff

V. S. S. M. M. / 5
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- Income shall be distributed at every six-month interval starting from January of every year
- For Standard Consultancy Services, the income shall be distributed as follows:
 1. Expenses shall be deducted to arrive at net distributable income
 2. Net distributable income is shared among participants as:

Entity/Person	Share (Percentage)
College	25
Management	12
Director	5
Principal	7
Head of Department	10
Concerned Faculty	20
Lab Technician	10
Department Office Staff	6
College Office Staff	5
Total	100

- ii. For Consultant and Project Consultancy Services, the income shall be distributed as follows:
 1. Expenses shall be deducted to arrive at net distributable income
 2. Net distributable income is shared among participants as:

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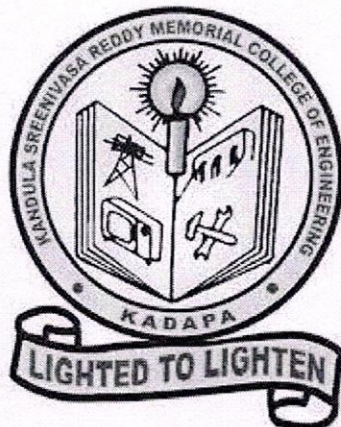
Entity/Person	Share (Percentage)
College	30
Concerned Faculty	70
Total	100

- iii. Head of Departments shall produce income-expenditure statements along with statement of income distribution

Review and Feedback: Coordinator, CRI, will propose modifications and improvements to this policy document based on experiences, and feedback from stakeholders and others. College Academic Council will review the proposed modifications and incorporate them into the policy. Any questions and feedback may be directed to cri@ksrmce.ac.in

V. S. S. MULLY
PRINCIPAL
K.S.R.M. COLLEGE OF ENGINEERING
KADAPA - 516 003. (A.P.)

RESEARCH ETHICS POLICY



Prepared by
CENTER FOR RESEARCH & INNOVATION
K.S.R.M COLLEGE OF ENGINEERING

UGC-Autonomous

Kadapa, Andhra Pradesh

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U. S. S. Muly
PRINCIPAL
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KADAPA - 515 003. (A.P.)

RESEARCH ETHICS POLICY

INTRODUCTION:

This Policy sets out the general principles that underpin the College's approach to research ethics. Nothing in this Policy shall be interpreted in a way that is contrary to the Charter, Statutes, and Ordinances. The Charter, Statutes, and Ordinances shall have primacy should this Policy be found to be in any respect contrary to the Charter, Statutes, or Ordinances. The Principal and Dean-CRI shall have the final say on all questions as to the interpretation of this Policy.

RESEARCHER RESPONSIBILITY:

It is the role of Academic Staff to familiarize themselves and comply with this Policy, its associated procedures and applicable School research ethics-related policies and practices.

It is the responsibility of Academic staff or Principal Researcher to ensure compliance with the Policy. In the case of Student-led research, it is the responsibility of programme and/or course leaders, research project supervisors, to make students aware of the Policy.

However, it is the responsibility that Student researchers follow School research guidelines and declare where necessary conformance to codes of ethical conduct.

K.S.R.M college of engineering (KSRMCE) is steadfast in promoting and maintaining high values of integrity and accountability in the conduct of academic research and is dedicated to embed and endorse a culture of honesty and transparency in all its institutional activities. This document provides recommendations on good practice in academic research at KSRMCE. In addition, it educates and monitors faculties and students conducting research to ensure a high ethical standard. Following are the ethical guidelines:

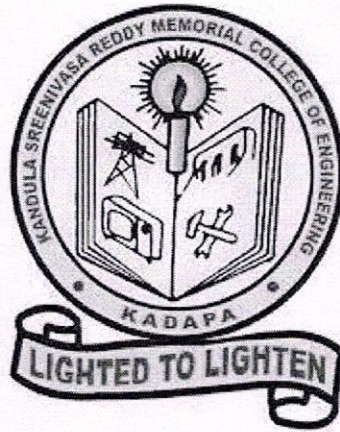
1. Researchers should have mutual trust and understanding for free exchange of ideas.
2. Researchers should discuss and agree upon the result/publication credit throughout the research process to acknowledge the contributions.

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3. There should be honest reporting of facts and findings.
4. Scholarly opinions should be collaborated with scientific knowledge and respected.
5. Research should be conducted with a sense of responsibility and the process should stand the legal norms.
6. Results should be published in journals/conference proceedings to make it widely available for the research community.
7. Faculties are encouraged to create an environment of mutual cooperation for furthering the mission and vision of the college.
8. Faculties are encouraged to attend training programs/workshops to enhance their research capabilities.
9. Researchers must not involve themselves in any form of academic misconduct such as misinterpretation, plagiarism, violations of intellectual property rights, deviation from college rules etc.
10. Project thesis should be submitted for anti-plagiarism check for the quality and if the similarity information is less than 24% then only thesis will be accepted for submission.
11. Investigation of research misconduct shall be carried out by the Research Ethics Committee.
12. Based on the investigation report and recommendations of the Ethics Committee, appropriate actions may be initiated after duly listening to the respondent.

V. S. S. Murthy
PRINCIPAL
K.S.R.M. COLLEGE OF ENGINEERING
KADAPA - 515 003. (A.P.)

IPR POLICY



Prepared by

IPR-CELL

CENTER FOR RESEARCH & INNOVATION

K.S.R.M COLLEGE OF ENGINEERING

UGC-Autonomous

Kadapa, Andhra Pradesh

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V. S. S. Murthy
PRINCIPAL
K.S.R.M. COLLEGE OF ENGINEERING
KADAPA - 515 003. (A.P.)

I. Introduction

K.S.R.M college of engineering (KSRMCE) is dedicated to teaching and to the pursuit of knowledge. While the primary focus of this activities is to lead students to lives of leadership and service, KSRMCE recognizes that the creation of Intellectual property (as defined in section II below) will be a natural outgrowth of activities within the KSRMCE. For this reason, KSRMCE has adopted this Intellectual property policy (the “policy”) to set forth the rights and obligations of KSRMCE and its members (as defined in section II below) with respect to all Intellectual property.

The goal of this property is to ensure that Intellectual property created by members is utilized in ways most likely to benefit KSRMCE and public. KSRMCE seeks to assist its members in properly disclosing all Intellectual property that they create, in complying with applicable laws and formal agreements, and in gaining the protection available under laws governing patents, copyrights and other Intellectual property rights. Likewise, KSRMCE seeks to ensure that commercial benefits are distributed in a fair and equitable manner that recognizes both the contributions of the Members and the interests of KSRMCE.

Ownership of copyrightable work shall rest with the author(s) with the following exceptions:

KSRMCE shall be the owner of the copyright of work, including software, created by KSRMCE personal with significant use of NEC resources.

KSRMCE shall be owner of the copyright on all teaching material developed by KSRMCE personal as part any of the academic programs at KSRMCE however, the authors shall have the right use the material in her/his professional capacity. As the traditional exception KSRMCE shall not claim ownership of copyright on books and publication authored by KSRMCE personal.

KSRMCE shall be the owner of copyright of work produced by non KSRMCE personnel connected with any activity of KSRMCE with the intellectual contribution of KSRMCE personnel. However, the authors shall have the right to use the material in her/his professional capacity.

V. S. S. Anand
PRINCIPAL
K.S.R.M. COLLEGE OF ENGINEERING
KADAPA - 515 003. (A.P.)

II. Definitions

As used in this policy, the following capitalized terms have the following meanings:

“College-owned Intellectual property” means all Intellectual property other than Members owned Intellectual property.

“**committee**” means the intellectual property Advisory committee of KSRMCE.

“Intellectual property” means any software, research, article, study, photograph, painting, literacy work, musical work, invention, formula, process, discovery, development, design, innovation or improvement (whether or not patentable or registrable under copyright statutes) made, conceived, developed or first actually reduced to practice by a Member solely or jointly with others, during the period in which the member is (i) employed by KSRMCE, (ii) enrolled as a student at KSRMCE.

“MEMBER” means a member of the KSRMCE including all faculty, staff and students of the KSRMCE.

“Member-owned Intellectual property” has the meaning set forth in section V below.

“Policy” has the meaning set forth section I above.

III. Applicability of policy

All the members are subjected to the terms and conditions of this policy. This policy sets forth the rights and obligations of KSRMCE and its members with respect to all Intellectual property, including all Intellectual property created prior to the effectiveness of this policy. However, KSRMCE will from time-to-time enter into separate agreements which govern the use and ownership of Intellectual property.

IV. Ownership rights of KSRMCE

KSRMCE shall be the sole and exclusive owner of all right, title and interest in and to all college-owned Intellectual property. As owner, KSRMCE shall have sole authority to exercise all rights available with respect to any college-owned Intellectual property, including, without limitation, negotiating and entering into agreements for the sale or license of the college-owned Intellectual property and obtaining copyright, trademark or patent protection for the college-owned Intellectual property. No member shall sign any agreement which purports to abrogate any of KSRMCE’s rights and interests as stated in this policy or as provided in any separate Agreement.

H.S.S. Muly
PRINCIPAL
K.S.R.M. COLLEGE OF ENGINEERING
KADAPA - 515 003. (A.P.)

V. Ownership Rights of members

All right, title and interest in and to all member owned Intellectual property (as defined below) shall be solely and exclusively owned by the member who made, conceived, developed or first reduced to practice the Member –owned Intellectual property. However, KSRMCE shall have a non-exclusive, perceptual and royalty-free license to use all Member-owned Intellectual property for internal instructional, educational and administrative purposes, including, without limitation, for satisfying requests of accreditation agencies for faculty-authorized syllabi and course descriptions.

For purposes of this policy, “Member-owned Intellectual property” means any of the following Intellectual property:

A. Any Intellectual property created by a faculty member or student of KSRMCE that does not fall within one of the following categories:

1. Intellectual property that is specially directed, commissioned or sponsored by KSRMCE.

VI. Revenue Sharing

Th net earnings from the commercialization of IP owned by NEC would be shared as follows:

The creator(s) share would be declared annually and payment will be made to the creator(s) or to their legal heir, whether or not the creators are connected with NEC at the time of payment.

S.NO	Net Earnings	Inventors(s) Share	KSRMCE's Share
1.	Year-1	70%	30%
2.	Year-2	50%	50%
3.	From 3 rd year	30%	70%

VII. Dispute Resolution

In case of any dispute between NEC and the inventor regarding the implementation of the IP policy, the aggrieved party may appeal to the principal of KSRMCE. Efforts shall the blew made to address the concerns of the aggrieved party. The principal's decision in this regard would be final and binding.

U. S. S. Muli
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KADAPA - 515 003. (A.P.)

VIII. Administration of the policy

The administration of this policy shall reside exclusively with the committee. The chairperson shall have the sole power and authority to appoint, remove and replace committee member. The committee shall consist of at least five (5), but no more than ten (10), members. Unless the chairperson,

- (ii) two faculty member and two students (faculty and students will be representative of the intellectual property at issue),
- (iii) a representative from the library,
- (iv) IPR legal advisor (external expert),
- (v) the director of grants and contracts, and
- (vi) KSRMCE's legal counsel.

U. S. S. Murali
PRINCIPAL
K.S.R.M. COLLEGE OF ENGINEERING
KADAPA - 516 093. (A.P.)



RESEARCH AND DEVELOPMENT CELL

POLICY DOCUMENT

Category	Research and Development
Approved by	College Academic Council
Effective date	01-10-2020
Next review date	30-09-2023
Version	5.3

V. S. S. Mvelly
PRINCIPAL
K.S.R.M. COLLEGE OF ENGINEERING
KADAPA-516005, (A.P.)

Purpose

An essential component of the mandate of KSRM College of Engineering (College) is to create and sustain an atmosphere of intellectual excitement, a climate of inquiry and innovation among students and faculty. The Research & Development Cell (RDC) is the vehicle for establishing procedures for the conduct of research and scholarly activity and to promote applied research and innovation

Scope and Limits

This policy applies to all persons participating and conducting research and innovation activities under the auspices of the College

Policy Statements

1. **Establishment:** The Governing Body of the College authorized the College Academic Council to establish and manage Research & Development Cell (RDC). RDC will prepare and implement policies for research and innovation activities within the College
2. **Governing:** RDC will be governed by a committee consisting of the following members:
 - a. Principal of College, Chairman of committee, ex officio Member
 - b. Director of College, ex officio Member
 - c. Dean, RDC, ex officio Member and Secretary of the committee
 - d. Heads of all Academic Departments, ex officio Members
 - e. Faculty nominated by Principal, Members
 - f. Expert from Industry nominated by Principal, Member
 - g. Expert from Academics nominated by Principal, Member
 - h. Student nominated by Principal, non-voting Member

All members have equal voting rights except the nominated student member

3. **Responsibilities:** The primary responsibility is to create and nurture the research and innovation ecosystem in the College. The responsibilities are, but not limited to:
 - a. Sponsor and administer research promotion policies reflecting the Vision and the College
 - b. Network with industries and research institutions for funding and cooperation

V. S. S. Murthy
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- c. Enable faculty and students to contribute to research and innovation activities
 - d. Establish and maintain infrastructure required for research and innovation
 - e. Promote emerging areas of research and innovation
 - f. Promote product development and assist in monetization of research
 - g. Promote and administer consultancy works
 - h. Sensitize the stakeholders to adhere to Code of Ethics in Research
4. **Tenure of Members:** The tenure of non ex officio members shall be two years
 5. **Quorum:** The quorum for all meetings of the committee is 50%, rounded to next higher integer number, of the members with voting rights
 6. **Meeting Schedule:** The committee shall meet at least two times each semester. The dean shall prepare the agenda and convene the meetings as appropriate
 7. **Reporting:** The RDC shall report to College Academic Council
 8. **Review and Feedback:** Dean, RDC, will propose modifications and improvements to this policy document based on experiences, and feedback from stakeholders and others. College Academic Council will review the proposed modifications and incorporate them into the policy. Any questions and feedback may be directed to dean.cri@ksmce.ac.in

V. S. S. MULLY
PRINCIPAL
K.S.R.M. COLLEGE OF ENGINEERING,
KADAPA-516005, (A.P.)