RESEARCH PROMOTION POLICY

(RPP-2020)

(Revised version of RPP-2017)

Document No. KARE/REPROPY/RPP/04/2020

KALASALINGAM ACADEMY OF RESEARCH AND EDUCATION

(Deemed to be University)

(Under the section 3 of UGC act 1956)
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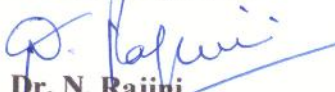**Anand Nagar, Krishnankoil-626126, Srivilliputtur(Via), Tamilnadu, India.**

RECOMMENDATIONS OF THE EXPERT COMMITTEE FOR THE REVISION OF APPROVAL IN RESEARCH PROMOTION POLICY AT KARE FOR 2020-21
Document No. KARE/REPROPY/RPP/04/2020

The guidelines and procedure for the Post-Doctoral Fellowship has been modified under the Research Promotion Schemes in the latest Research Promotion Policy-2020, based on the recommendations of the empowered committee. Kindly refer the following sub-section 9.3.2 will provide the information for Post-doctoral Fellowships.

History of Research Promotion Policy

S. No	Newly Added Title/ Subsection	RPP 2011 (1st Version)	RPP 2014 (2nd Version)	RPP 2017 (3rd Version)	RPP 2020 (4th Version)
1.	Creation of research facilities (Sub-section No. 8.3)	Not Available	Newly Added (Page No. 7)		
2.	Research Fellowship offered by KLU (Sub-section No. 8.4)	Not Available	Newly Added (Page No. 8)		
3.	Inter disciplinary Research (Section No. 8)	Not Available	Not Available	Newly Added (Page No. 6)	
4.	Research Incentive Scheme (Sub-section No. 9.2)	Not Available	Not Available	Newly Added (Page No. 7)	
5.	Post-doctoral fellowships availed by KLU faculty at other institutions (Sub-section No. 9.4.1)	Not Available	Not Available	Newly Added (Page No. 10)	
6.	KLU faculty availing TARE and Summer Fellowships (Sub-section No. 9.4.2)	Not Available	Not Available	Newly Added (Page No. 10)	
7.	Post-doctoral fellowships (Sub-subsection No. 9.3.2)	Not Available	Not Available	Not Available	Newly Added (Page No. 9)

RESEARCH PROMOTION POLICY PREPARATION AND VERIFICATION TEAM

	Name and Designation
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Ratified date by the URB	18-12-2020
Approved date by the BoM	21.12.2020

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RESEARCH PROMOTION POLICY

1. Preamble

A Nation's growth depends on the generation of vast scientific knowledge which has tremendous impact on its economic and societal development. Innovation in Science and Technology is often initiated at the University research environment. Reputation of any higher education institution depends on expertise of the faculty, productivity in research and innovation. This needs building of state-of-the-art research facilities, fostering of research collaborations which can promote research publications, funded projects, consultancy services and Intellectual Property Rights (IPR). Taking all these into consideration the Research Promotion Policy (RPP) of KLU is formulated to help the faculty to achieve excellence in research by creating a vibrant atmosphere for research. The development of human resources attracting towards research offering through fellowships can enhance the research culture. A growing number of postdoctoral fellowships can help the KARE research management system by monitoring and educating advanced research technologies among stakeholders. Furthermore, various research incentive schemes for faculty members for high-quality journal paper and book publishing might inspire them to contribute to the improvement of individual and institution research performance.

2. Objectives

(a) To create a research conducive environment in the campus by providing an efficient support system

(b) To ensure quality, integrity and ethics in research

(c) To ensure publications in quality journals

(d) To promote research collaborations with potential partners in India and abroad

(e) To promote research leading to societal contribution and commercialization

(f) To integrate teaching and research through workshops and conferences

(g) To motivate the faculty members to get more funded projects from various funding agencies

(h) To encourage the faculty members to obtain more consultancy projects

(i) To encourage the faculty members and research scholars to apply for more patents

(j) To motivate the students to become more entrepreneurs

3. Sponsored Research

(a) All the faculty members are motivated and encouraged to generate external funds by applying research projects to various external funding agencies such as Department of Science and Technology (DST), Council for Scientific and Industrial Research (CSIR), Department of Biotechnology (DBT), Defense Research and Development Organization (DRDO) and so on. The faculty members are encouraged to perform the collaborative research with national/international counterpart from Government and Non-Government agencies. The research activities like publication of research papers, submitting research proposals, filing patent, organizing programs towards transferable knowledge through MoUs and mutual exchange of facilities and knowledge.

(b) Faculty members who have not completed any sponsored projects in their career have to mandatorily appear before a screening committee to present their proposal. The proposals will be submitted to the funding agency only after implementing the recommendations of the committee satisfactorily. For other faculty members applying for Govt./Non-Govt. funded project, endorsement from Director (Research) is required before submitting the proposal.

(c) Faculty members obtaining project worth 10 Lakhs and above will be given relaxation in the teaching load based on the recommendation of Dean of the School and Director (Research) and approved by VC.

(d) The project expenditure for equipment and consumables will be maintained in a separate stock register by PI. This will be randomly verified by a committee appointed by Director (Research).

(e) 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.

(f) No prior sanction/approval is necessary for the purchase of chemical/consumables/books up to Rupees Twenty five thousand (Rs. 25,000/-) provided sanction from the funding agency was received for such purposes. The PI may act as self sanctioning authority and can place order, with information to the Finance Officer of the University, Director

(Research) and VC, directly to the vendors for supplying chemical etc. observing all financial rules. For expenditure of higher order, proper approval is required from the VC.

(g) In general, the over head charges provided by any funding agency will be fully utilized by the institution. However, a part of the over head amount may be utilized by the Principal Investigator for his/her project with the prior approval of the institution.

4. Department Research Committee

(a) The Department Research Committee (DRC) ensures the implementation of the research plan of the department. It also involves in the selection of candidates to pursue Ph.D., allocation of research supervisors to the candidates and monitoring the research progress of the research scholars in the department. The DRC consists of the following members:

Chairman - Head of the Department / Senior Faculty

Internal Members - Two experts from within the department

External Members - Two experts from National level institutions.

(b) The DRC is expected to meet atleast once in six months to review the progress of the research candidates and submit the recommendations to the Director (Research).

5. Academic Research

(a) Any registered research scholar shall undergo four coursework with a total of not less than 12 credits. The courses may be chosen from the available PG level courses offered by this University. The supervisor can also prescribe additional courses wherever found necessary. Courses designed by the supervisor have to be recommended by the Department Research Committee (DRC) and approved by the Board of Studies (BoS). The scholar should not have successfully completed the same courses during his/her P.G degree. Further, the courses should be relevant to the area of research. The course work shall be treated as prerequisite for Ph.D. preparation. A minimum of four credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be of advanced level preparing the students for Ph.D. degree. The quality of the question papers should meet the standard expected for a Ph.D candidate. The supervisor(s) and the course

teachers are responsible to ensure the quality of question paper and conductance of the course for the PhD scholar.

(b) The candidate has to appear for a Comprehensive Exam after completing the coursework requirements, based on which he/she is permitted to pursue the Ph.D. work. The purpose of comprehensive exam is to ensure that the candidate has foundation and breadth of knowledge in the field of study; has good oral and written scholarly communication skills; and has developed a novel research area for the Ph.D. degree. The outcome of comprehensive exam can be declared as either "Passed" or "Conditionally Passed" or "Recommended for Reappearing". If the candidate fails to clear the comprehensive exam even for reappearing (within 6 months of the first attempt), his candidature will be cancelled. Comprehensive exam should be completed within 18 months of registration for Ph.D.

(c) Every candidate is expected to appear for a 6 monthly progress review convened by the DRC. The supervisor(s) shall forward their recommendation regarding the performance of the research candidate after receiving the progress report and presentation by the candidate to the Chairman (DRC) in the Department before the beginning of the next semester and the record of the progress report shall be maintained in the department. The recommendation should clearly mark the performance of the candidate as "Good" or "Satisfactory" or "Not Satisfactory". If the candidate fails to appear for the progress review or receives a "not satisfactory" recommendation consecutively for 2 times, his/her candidature stands cancelled automatically.

(d) Research scholars who are availing fellowships either from KLU or from any other funding agencies are expected to complete their PhD before the completion of the fellowship. If not, with the approval of Director, R&D, they can be allowed to continue only as non-stipendiary fellows.

(e) The recommendations on examiners for PhD thesis should be done by the supervisors/co-supervisors through the DRC. The Indian examiners should be from reputed institution, preferably outside the State of Taminadu and from institution which is ranked in the NIRF and/or rated by NAAC with a minimum 'A' grade.

(f) A full-time research scholar is entitled to leave for 12 days in each academic year excluding public holidays. However, he/she is not entitled to summer and winter

vacation. On the recommendation of the supervisor and the Director (Research), the candidate can be permitted to carry forward the unused leave to the next academic year, but in no case the total accumulated leave shall exceed 30 days. Leave beyond 12 days in an academic year may be granted to a candidate in exceptional circumstances, on the recommendation of the supervisor, by the Director (Research) subject to the condition that leave beyond 12 days will be without fellowship. On-duty leave may be granted to the candidate on the recommendation of the supervisor and approval of Director (Research) to present papers in conferences, field visit, collection of data etc.

6. Ph.D. Guideship

(a) The regular (full-time) professors of Kalasalingam University with at least five research publications and the Associate / Assistant Professors (with Ph.D.) of Kalasalingam University with at least two research publications in refereed journals are recognized as research supervisors, to supervise Ph.D. scholars. Further, they must have published at least one paper in an SCI journal after obtaining their Ph.D. degree demonstrating independent research.

(b) No external supervisors are allowed to supervise; however, they can act as co-supervisors, if necessary, based on the areas of research after the approval of DRC. Faculty from other departments of Kalasalingam University or from other related institutions can also act as co-supervisors.

(c) A faculty member appointed as a Ph.D. supervisor is expected to be available to the candidate in the Institute till the thesis is submitted. However, under unavoidable circumstances, in case the supervisor is not available for a period upto six months due to any reason (extendable upto one year in special circumstances based on recommendation of DRC) then a caretaker supervisor will be assigned by the supervisor who will take care of all administrative work of the candidate, while the candidate will continue to take academic/research inputs from the supervisor through email etc. Once the supervisor returns from leave, the caretaker will cease to be part of the DRC of the Ph.D. candidate (if he/ she was not a member already).

(d) In case a supervisor moves out of KLU or takes a long leave (more than 6 months or one year in special cases as mentioned in (c) above) before submission of Thesis by the

candidate then a new supervisor is to be recommended by the concerned DRC and Director (Research). However, if the original supervisor has supervised the candidate for at least one year, he/she may continue as co-supervisor, subject to approval of the VC. If the supervisor has taken a long leave, he/she ceases to be a supervisor if he/she has not supervised the candidate for atleast one year. In such cases, a new supervisor will be assigned for the candidate by the DRC.

(e) In case, due to some unavoidable circumstances, a supervisor is not available and the thesis has been submitted, on the recommendation of the concerned DRC and Director (Research), the VC will appoint an administrative supervisor to take care of the process of evaluation of the thesis.

7. Change from Full Time to Part Time Scholar and Vice Versa

In general, a conversion from FT to PT may be permitted only under unavoidable circumstances (to be decided by DRC) such as a female candidate getting married or availing maternity leave or if the candidate has got a job after three years from the date of admission to Ph.D. programme etc. In such cases, a full-time research scholar may be considered to be designated as part-time research scholar on request provided he/she fulfils the following conditions: (a) The prescribed course work has been successfully completed. (b) the fellowship awarded to him/her will be discontinued (c) Fee and other terms and conditions will be applicable as per rules and regulations of KLU. KLU may also permit a part-time research scholar to switch over to full-time scholar with the recommendation of DRC concerned and Director (Research) and approved by the VC.

8. Interdisciplinary Research

Problems, that are too complex, are intricate to be tackled by a single discipline. These complex problems require the expertise of scientists from different disciplines. The institution encourages interaction between faculty members belonging to different disciplines that could result in interdisciplinary research. Senior faculty members can propose formation of interdisciplinary research groups by including members from different research specialization that can address a

common problem. The research groups are welcome to develop a research proposal indicating the proposed contribution of individual members and submit it to Director, R&D. Well crafted proposals will be placed before a committee that includes external subject experts and, selected proposals will be recommended for funding from the institution.

9. Promotion of Research

9.1. Creation of research facilities

The University shall create a conductive research environment for all faculty members. Support will be given by allocating space, computing and network facilities, start-up funding, use of common research equipments and providing support for research scholars based on the merits of research proposal. Support will also be given for publications, filing patents and commercialization.

9.1.1. Centralized Research Facilities:

Faculty members, research fellows and students are entitled to use the common research facilities created such as the International Research Center (IRC), National Center for Advanced Research in Discrete Mathematics (n-CARDMATH) and NI-KLU Technology Innovation Center with the prior permission of the concerned Directors / Heads. A minimal charge may be levied for the use of equipment at IRC as decided by the university administration. Equipment in the departments can be used with the permission of concerned Deans / HoDs.

9.2. Research Incentive Scheme

The university offers Professional Development Allowance (PDA) for the faculty members who have a doctoral degree or enrolled for doctoral research. The amount varies depending on their cadre. Faculty members who are not receiving PDA are eligible for research incentive provided by the university for publications in quality journals (SCI / SCOPUS indexed journals) and for contribution to books and book chapters. The details of the incentive are given as follows:

(a) Journal publications

Publications cited in Scopus	: Rs. 10,000/- per paper
Publications cited in Thompson Reuters (upto 3.0 IF)	: Rs. 15,000/- per paper
Publications cited in Thompson Reuters (> 3.0 IF)	: Rs. 20,000/- per paper

Criteria	Weightage
Of the authors, one from KLU and others from other institutions	100% (for KLU faculty)
For KLU authors, if first and corresponding authors are faculty members	50% each
For KLU authors, if first author is the corresponding author	100%
For KLU authors, if first author is a student and corresponding author is a faculty	100% for faculty (if the student is URF)
For KLU authors, if first author is a student and corresponding author is a faculty	70% for faculty & 30% student (non-URF)
If more than two authors	the first and corresponding authors share 70% Others share 30%

Note: One paper can be accounted for only one scheme either in revision of URF Scheme or under the proposed scheme.

(b) Patents

Granted only (with KLU affiliation) : Rs.30,000/- per patent

Note: This category is applicable to all irrespective of their receiving PDA or not.

(c) Books / Book chapters:

Books published (with National Publisher)   : Rs. 10,000/- per book

Books published (with International Publisher)   : Rs. 20,000/- per book

Book Chapters published (with National Publisher)   : Nil

Book Chapters published (with International Publisher) : Rs. 10,000/- per chapter

9.2.1. Application Procedure

To be considered for research incentive, a faculty member has to submit application to the Director (Research) routed through proper channel enclosing the copies of publications. The committee, constituted by the Vice Chancellor will scrutinize the applications and finalize the list of faculty members who are entitled to receive incentive for research publications. The final approval will be given by the Vice Chancellor.

9.3. Research Fellowships offered by KLU

9.3.1. Doctoral Research Fellowships

In order to promote research and to support the faculty involved in active research, the university has implemented University Research Fellowship scheme. The preference shall be given to the industry-sponsored candidates to join for Ph.D. admission through this scheme. Candidates who have completed Masters' degree in the respective discipline are eligible to apply. The selection will be based on a written test and a personal interview. DRC will allocate the Research Supervisors based on the research interest of the candidate, the field of specialization of the supervisor and the availability of vacancy with the supervisor. The selected fellows will be enrolled for Ph.D. and the fellowship will be awarded as per the following criteria:

(a) Initial fellowship amount: Rs. 10,000 per month

(b) After successful completion of comprehensive viva examination, the fellowship amount will be enhanced to Rs. 12,000 and 14, 000 per month for the research scholars of Arts/ Science/ Management and Engineering streams, respectively.

(c) Further, an increment of Rs. 2,000 per SCOPUS cited paper will be provided subject to the maximum of Rs. 18,000 per month irrespective of the above mentioned streams.

A candidate receiving URF has to offer assistance in classroom teaching/laboratory for 4 hours per week.

In case, if the research scholar who is availing URF leaves the institution prior to completing the Ph.D. programme, he/she has to repay the entire amount received during his/her stay.

9.3.2. Post-doctoral Fellowships

Support is also provided to faculty members involved in active research by appointing Post-Doctoral Fellows (PDF).

❖ The candidates who have applied for the PDF need to submit their proposal with the defined objectives and methodology along with a request letter to the office of R & D.

❖ The selection committee, nominated by the Dean, shall conduct the interview to evaluate the performance of the scholar based on his/her research background and outcomes.

❖ The selected PDF scholars shall directly work under the school's Deans and report to the R & D office.

❖ The selected PDF will be awarded a fellowship in the following category

Arts and Science Programme:

(i) Ph.D. Thesis Submitted waiting for Viva-Voce Exam   : Rs. 18,000

(ii) Ph.D. Degree Completed   : Rs. 25, 000

Engineering Programme:

(i) Ph.D. Thesis Submitted waiting for Viva-Voce Exam   : Rs. 30,000

(ii) Ph.D. Degree Completed   : Rs. 40, 000

❖ The selected PDF scholars have to undertake their research based on the objectives defined in the proposal during the time of their admission. The PDF scholars will be expected to present their research progress to the DRC once every 6 months.

❖ The duration of the fellowship will be initially for a period of one year, and it will be extended to another two years based on the satisfactory performance of the PDF scholar in the half-yearly review meeting.

❖ The PDF scholars shall be given a time period of six months to carry out their research and have to publish a minimum of one SCI paper in the first and corresponding author position at the end of the first year as an outcome of their proposal.

❖ During this tenure, the PDF scholars have to handle one course for UG/PG students as a part of their regular activity. And also, they should participate in the school's level activities in case of any specific need sought by the Deans.

❖ The PDF scholars will not be allowed to work at any institute or industry during the period of fellowship.

❖ The PDF scholars shall assist the UG, PG, and Ph.D research scholars by providing technical support. However, the publications of those works will not be considered for the count of PDF scholars.

❖ The PDF scholars who wish to extend their fellowship after the completion of the first year have to publish a minimum of 3 Scopus/SCI papers in first and corresponding author position at the end of each consecutive year.

❖ If the PDF scholars want to discontinue their position without satisfying any specified outcomes, they need to comply with the decision taken by the DRC and the Director of R & D.

❖ The PDF scholars are encouraged to submit the funding proposal and undertake any non-government and consultancy projects after the successful completion of the first year. However, the proposals have to be submitted under the affiliation of KARE with the undertaking to perform the project under the university premises.

9.4. Support to KLU faculty

Faculty members of KLU are always encouraged to broaden their subject knowledge and acquire technical skills by applying to various training opportunities available world-wide in top-notch institutions and industries. This includes post-doctoral fellowships, short-term training courses, workshops and attending conferences.

9.4.1 Post-doctoral fellowships availed by KLU faculty at other institutions

Faculty members are encouraged to apply for Post-doctoral fellowships such as National Post-doctoral Fellowship, Dr. K.S. Kothari Fellowship which they could avail in reputed institutions in India. They are also encouraged to apply for International Fellowships offered by reputed Institutions in abroad. The faculty members who obtain such a fellowship will be provided with sabbatical leave (without pay) for the duration of the fellowship to a maximum of three years. Application has to be submitted to the Office of Director (Research) which will be forwarded to the Vice Chancellor for final approval. Faculty members who have availed sabbatical leave for post-doctoral fellowships is expected to publish two papers per year, should develop a new research area based on PDF experience, guide student projects in the new area and submit research proposals. They should also give an undertaking that they will serve the institution at least for two years after rejoining the institution.

9.4.2. KLU faculty availing TARE and Summer Fellowships

Faculty members are also encouraged to apply for other Fellowships like Teachers Associateship for Research Excellence (TARE) provided by Science and Engineering Research Board, Summer Fellowships provided by Science Academies and Tamilnadu State Council for Science and

Technology etc. Those who are awarded Associateship / Fellowship will be granted paid leave for the duration of the fellowship to a maximum of three months in a year.

9.4.3. Support for conferences and workshops to KLU faculty

To promote faculty participation in conferences, particularly to encourage presentation of their research in International and National conferences, the faculty members are provided with travel support and/or registration fee. Priority will be given to faculty who has research grants.

The faculty members are eligible for the Registration fee in full and/or 75% of the travel cost (economy class airfare by the shortest route) for reputed conferences held abroad. A faculty member is eligible for the conference support once in 2 years. For attending National conferences, registration fee in full to a maximum of Rs. 5,000/- will be provided. Receipts, tickets and boarding pass need to be produced for reimbursement of expenses.

9.4.4. Application Procedure

To be considered for conference support, a faculty member has to submit application to the Office of Director (Research), duly forwarded by the Head of the Department and the Dean of the School, with the following information: Name of the conference, dates and location; Letter of acceptance; title of the paper and name(s) of all author(s); provisional budget. After verification, the application will be forwarded to the Vice Chancellor for final approval.

9.4.4. Seed Money

To promote research activities among the faculty members through resource mobilization, KLU is providing seed money for an individual faculty/research group based on their admissible requirement. Every year the institution earmarks a budget for this scheme. Through this scheme the state-of-the-art technology or facility can be proposed by the faculty with the proper justification through scientific proposals. The faculty member/research groups may apply on prescribed format with brief justification of the seed money / financial assistance twice in a year based on the notification. The seed money proposals have to be submitted as per the guidelines and procedure of seed money grant scheme specified by the Office of the R&D. The proposals will be screened by a committee once in 6 months and based on the committee recommendations the seed money grant will be approved. Funds for the project shall be considered for sanction of

grant-in-aid under the management scheme based on the direction of expert committee. The progress of the project will be periodically reviewed by a committee appointed by the Vice-Chancellor. All Principle Investigator(s) who have received seed money grant needs to submit a detailed report after the completion of the project with the specific outcomes.

10. Responsibility of Faculty

The faculty members of KLU, who have a doctoral degree, are expected to be involved in scholarly activities; they are expected to establish an independent research laboratory by obtaining research grants from external agencies. They have to be actively involved in research activities that leads to presentation in reputed conferences, publications in quality journals, publish books and book chapters and, to develop processes and products that are patentable and can be commercialized.

11. Research Misconduct

Prior to the submission of manuscript / thesis, the complete work has to be subjected to plagiarism check using 'iThenticate' facility available at the Office of Director (Research) or any other facility equivalent to the same. Further, while submitting the thesis for evaluation, the thesis shall have an undertaking from the research scholar and a certificate from the research supervisor attesting to the originality of the work, vouching that there is no plagiarism and that the work has not been submitted for the award of any other degree/diploma of the same Institution where the work was carried out, or to any other Institution. If a research scholar is found to have been involved in acts of plagiarism, after thorough enquiry by a committee appointed by the VC, his/her research registration shall be terminated and also he/she shall be debarred to register for any other programs in the University. Further the recognition of the concerned research supervisor shall be withdrawn, if the supervisor is found guilty. Any case reported for plagiarism will be subjected to investigation by a separate committee appointed by the VC as per the norms of UGC.

12. Management of Research

All the research activities of the institution will be coordinated by the Director (Research) of KLU who will be reporting to the Vice Chancellor. University Research Board (URB) will advice the conductance of research activities and has to ratify the update of research promotions time to time in the institute for the approval through proper channel. The Head of the Department/ Chairman of Department Research Committees are responsible for the research at the Department level.

Vice-Chancellor
Name: Dr. R. Nagaraj

Copy submitted to the Chancellor & Vice Presidents – for the favour of information
Cc: to Registrar & Controller of Examination, Directors and Deans
Cc: to All HoDs with request to circulate among the Faculty Members & Web admin