ATRIA INSTITUTE OF TECHNOLOGY RESEARCH & DEVELOPMENT POLICY

1. Introduction

Atria Institute of Technology (AIT) was established in the year 2000, under the farsighted governance of Shri. A S Chinnaswamy Raju and managed by ASKB Charitable Foundation Trust with the objective of fostering excellence professional education. AIT is approved by the All-India Council for Technical Education (AICTE), affiliated to Visvesvaraya Technological University (VTU), Belagaum, Karnataka and is also accredited by NACC. It has a spacious 17.5-acre campus with ample trees and greenery in the heart of the silicon city of India- Bangalore. It has an integrated campus infrastructure for classroom, seminar halls, research centres, labs and workshops, and industry interaction centre.

Atria Institute of Technology offers innovative learning methods like digital platform and flipped classroom. It also supports competency training by providing beyond syllabus and gives importance to student's placements. AIT, under its escalating management, is determined to continuously achieve the vision by promising as a respected centre for education and research with a mission to transform our students into extremely competent professionals with standards, who can contribute to the progress of society.

1.1. Vision and Mission

Vision :

To become pioneers in Technical Education, Interdisciplinary research, and consultancy with an objective to setup eco-friendly and sustainable working environment.

Mission :

- To deliver outcome-based Quality education, emphasizing on experiential learning with the state-of-the-art infrastructure.

- To create a conducive environment for interdisciplinary research and innovation.
- To focus on technologies that are sustainable and inclusive, benefiting all sections of the society.

Quality policy:

ATRIA INSTITUTE OF TECHNOLOGY is committed to bring out and nurture talents and skills of both the faculties and students 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 both the faculty and 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.

Core values

Competence through knowledge and value-based education

- Innovation
- Integrity
- Quality
- Teamwork
- Professionalism
- Ethics

The institution strives to create an agile culture of continuous learning, collaboration, performance, and recognition that embodies our core values.

1.2. Research & Development (R&D)

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

a) **Relevance**

Identification and prioritizing that the research needs to be 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

R&D activities involve the following activities, :

a) Sponsored Research Projects funded by Internal/ External Agencies.

b) Industry Sponsored Projects and Industry Sponsored Consultancy

c) Organizing Faculty Development Programmes/Conferences/Seminars/Symposia/Workshops for dissemination of knowledge as part of the Research Projects.

d) Encouraging researchers to publish papers in Journals and Conferences and to apply patents.

2. Research Policy

Definitions

a) **Institute** means Atria Institute of Technology.

b) **Department** means all the academic departments at the Institute.

c) **Project** implies sponsored research projects or industrial consultancy projects or routine testing projects.

d) **Sponsor means t**he organization that offers a Project to the Institute and provides necessary financial support for successful completion of the project in time.

e) **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.

f) **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.

g) **Consultant** is an individual or government public sector undertaking / government company engaged for a specific period to carry out specific job.

h) **Project Staff** means a person appointed in conformity with the guidelines to work on a project.

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

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

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

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

3. Project Management

3.1 Seed grant:

The Institute gives a seed grant to faculty for initiating research. The faculty member shall write a research proposal. The proposal must include a description

of research that faculty wishes to conduct over the next 2-3 years. Seed grant provides support to faculty to prepare for subsequent proposal submissions.

Guiding notes:

1. Proposal will be submitted to the Head of the Institution. Head of the Institution will arrange to get review comments from the subject experts. Review comments will be appropriately incorporated/addressed by the faculty before final submission.

2. Proposal will be presented by the faculty before an Institute level committee, consisting of Head of the Institution, Associate Head of the Institution, HoD and 2 subject experts nominated by Head of the Institution.

3. The initiation grant of a specified amount is provided to support the research as proposed by the faculty member and approved by the Institution Level Committee. A higher amount can be approved by the institution level committee, if required.

4. 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 Pl 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 Pls 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.

3.2.1 Projects involving Atria Institute of Technology 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.

3.2.2 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.

3.2.3 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 Head of the Institution/ 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 the estimate of the funds required for a project, the following budget heads may be considered:

   - Salary of project staff including PhD scholars:
   - Equipment
   - Consumables

- Travel (domestic, international)
- Contingency
- Institute overheads

3. All project proposals are to be sent to Head of the Institution 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 Pl 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 Head of the Institution.

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 Head of the Institution. Statement of Accounts to be submitted will be made available to the Pl on request to the designated Financial Officer.

11. After completion of the project, final report should be submitted to the funding agency through the Head of the Institution with a soft copy for the record of the Head of the Institution and for RTI purposes.

12. A completion certificate should be obtained by the Pl from the funding agency for successful completion of the project based on which project account will be closed post the 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 Pl 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 must closely work with industries and different organisations. Industries and business organisations are facing different kinds of problems and many of them would like to take 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.

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 Pl. 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 needed).

5. All consultancy proposals must be sent to Head of the Institution for endorsement and approval received from head of the institute.

6. 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 terms agreed mutually with the client & the institute (to be made upon as per agreed 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 Pl.

7. In international consultancy projects:
   a. Funds are received in foreign currency.
   b. Service Tax is not applicable.
   c. The research collaboration of Atria Institute of Technology 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.

8. IPR issue: All IPR related issues are agreed between the Institute and the funding agency. Preferably, IPR will be jointly shared by Atria Institute of Technology and the funding agency.

9. MoU/agreement preparation: Institute has guidelines that are required to be followed for drafting MoU/Agreement.

10. When MoU is clear from all angles and acceptable to both the parties, it is sent to the Principal, Atria Institute of Technology through Dean, IIIC 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, IIIC.

11. Project responsibility: These projects are headed by a Principal Investigator (Pl), and may have Co-Principal Investigators (Co-Pls) and the deliverables are the responsibility of the Pls. The Institute provides Pls, the necessary support.

12. 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.

13. After completion of the project, final report should be submitted to the concern party.

14. 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 gouges, 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.

Guiding notes:

1. The procedure for overall operation of the P r o j e c t is similar like of a 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 Courses / Seminars/ Symposia/ Conferences / Workshops

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 may help in building the brand image of the Institute.

Guiding notes:

To organize these programs, a request has to be routed through HoD to Head of the Institution who may obtain necessary approval of the principal.

3.7. 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 referred 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 **"Atria Institute of Technology"** 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.

3.8. 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 the departmental and Institute Level .

The Institute will be bearing all expenditure for filing application for patents under the name of **"Atria Institute of Technology"** as the (applicant - Ownership). If the patent is commercialised, the sharing of earning will be done between the researcher and the Institute as per the guidelines 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.

3.9. Research Incentive Scheme

3.9.1. Research Publications

If a research paper is published based on his/her work in hard copy or in electronic form in a referred journal, he / she will earn credit as per the norms of the college.

The publications will be considered only if they are indexed in **Web of Science or in Scopus. However, for the calculation of credits, only SNIP will be considered**. If the paper is contributed by more than one author, the credit points will be shared by all the authors equally. Faculty members are encouraged to publish papers only in reputed journals and avoid publications in paid journals. Faculty members should also submit a "Self-Declaration" stating that publication fee was not paid to the Journal.

3.9.2. Publication of Book

Faculty members who have taken efforts to write and publish books or monographs are entitled to earn credits as indicated below.

Details	Published By
Full Book	International Publisher
Full Book	National Publisher with ISBN / ISSN Number

Edited Volume of Book with Articles or Chapters	International Publisher
Edited Volume of Book with Articles or Chapters with ISBN / ISSN number	National Level Publisher

For edited volumes, the editor will have credit and the maximum credits are to be shared among the authors, irrespective of full books or edited volumes.

3.9.3. Collaborative Research Project with Foreign University/ Agency

- Any Collaborative research project undertaken by our faculty with a foreign University with tangible outcome, the faculty member is eligible to earn a credit based on the project. The tangible outcome shall be endorsed by the Research Board.

- If the project involves more than one faculty from our Institution, the total credits will be shared among the participating faculty members.

- The year in which the collaborative project commenced is the criteria for including this into the scheme. A project cannot be included more than once in the scheme.

- Any publication arising out of this collaborative research will also be eligible for credits as per the norms of the publication.

3.9.4. Generation of Research Grants

Faculty members are expected to submit proposals for research grants from funding agencies. It is quite likely, that these projects may involve modernization of laboratories, acquiring of equipment required specific to the research study or conducting of surveys etc. The number of credits earned will be linked to the total amount of research grant sanctioned by the sponsoring agency.

Since the amount being released is in phases, the incentive(s) paid is also proportional to the amount received by the Institution.

3.9.5. Patents Obtained

Faculty members may obtain patents for their original contribution in the form of product or innovation from International and National agencies. If more than one faculty member is involved, they will share the credits in a mutually agreed way. These faculty members will earn credits as indicated below:

- International agencies
- National agency

3.9.6. Undertaking Consultancy Projects

If there is a substantial contribution by the faculty member and the staff in the consultancy project and no resources of the Institution (like laboratory, computer, software etc. utilized), the members involved in the consultancy project will take a share of the total value of the consultancy amount received and a decided amount will go to the Institution.

If the resource of the Institution such as laboratory facilities, computing facilities, drafting and other facilities are utilized in the consultancy project, the share of the Institution will be a share of the total consultancy amount received and a decided amount will go to the faculty and other staff involved in the consultancy work.

3.9.7. Period of Reckoning

The Calendar year is the period for calculating the credits earned by a faculty member that is, from January 1st to the December 31st, of the respective year.

3.9.8. Payment of Incentive

At the end of every calendar year, the total credits earned by a faculty member will be calculated based upon the evidence produced and the incentive payable to the faculty member will be disbursed as per the final amount of the calculation done.

3.9.9. Other Conditions / Guidelines

- If more than one faculty member is involved in paper publication, research and consultancy project, the amount will be equally shared amongst them. If an author from other university or college is involved, they need not be considered as well.

- It is the responsibility of the faculty member to produce evidence of having published paper in the referred journal and the impact factor of the journal, he must produce a printed copy of the SCOPUS or other evidence and the HOD should attest the same.

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, charges for the budget head of faculty time and 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. Utilization of Research Fund (RF)

4.2.1. 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. Hiring of project staff

    f. Fee and related expenditure for acquiring training/qualification(s)

    g. Membership fee of professional societies

    h. Books, journals related stationery and computer consumables and any storage media.

    i. Mobile phone bills(once a year), data card for internet, telephone call (prepaid or post-paid), connectivity charges.

    j. Office peripherals, furniture for labs and offices, camera (all types), lab instrument, computer (all types) and peripherals.

4.2.2. 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.

4.2.3. 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).

4.2.4. 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 & 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:**

   - Honour 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, , and patent 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.

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