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RULES & REGULATIONS
for
SPONSORED RESEARCH PROJECTS (SRP)

(Formed under Section 3 of Research and Consultancy Cell, NIT Kurukshetra)



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Research & Consultancy Cell
National Institute of Technology Kurukshetra
(w.e.f. from FY 2018-19)

1. DEFINITIONS

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- 1.1 **Co-Investigator** means a faculty of the academic staff of the Institute/faculty of CFTIs/ Foreign Universities/Scientists of Government funded Research and Development Organization/National laboratories, co opted by the PI to work jointly and constituting the team for the sponsored research project thereafter referred as CI.
- 1.2 **Dean of Research & Consultancy** means Dean for Research and Consultancy, referred in Schedule-C of the NIT Statute, at the National Institute of Technology Kurukshetra, Kurukshetra, hereinafter referred as Dean (R&C).
- 1.3 **Department** means all the academic departments, academic centers and schools at the Institute.
- 1.4 **Director**, means Director of National Institute of Technology, Kurukshetra.
- 1.5 **Faculty** means a regular teaching employee of the Institute as per Recruitment Rules of the Institute and amended from time to time.
- 1.6 **Institute** means National Institute of Technology Kurukshetra, Kurukshetra.
- 1.7 **Institute SRP Overhead (ISO)** means an allocated fund for the Institute out of the funds received from sponsor for SRPs and shall be kept in the separate account under the earmarked fund of R&C Cell.
- 1.8 **Principal Investigator** means a faculty of the Institute with necessary expertise and competence to undertake/ conduct a research project. Normally, the faculty who submits the research project and negotiates with the sponsor and instrumental in getting the research project funding is the Principal Investigator hereinafter referred as PI.
- 1.9 **Project staff** means personnel engaged for the specific purpose of a research project and include technical assistant, junior research fellow, senior research fellow and research associate.
- 1.10 **R&C Cell** means Research and Consultancy Cell of the Institute.
- 1.11 **Sponsor** means any organization, such as Government/ Semi-Government/ PSU/ Autonomous Bodies/ Private industry including any other organization not covered here, who funds research project to the Institute.

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- 1.12 **Sponsored Research Project (SRP)** means a research project funded by sponsor for research activity within mutually agreed scope. This may be time and cost bound activity. The research activity for the benefit of society may also be initiated and funded by the Institute under this category.

2. SUBMISSION OF THE PROJECT PROPOSAL

The Institute encourages and supports its Academic Staff to undertake SRPs. Administrative procedures, rules and regulations/guidelines mentioned in this document are aimed at the creation of conducive environment for the submission and execution of SRPs.

- 2.1 The funds receipt / payments in connection with SRPs can be made through DD/ Cheque/ Electronic transfer or any other mode as may be prescribed by the Institute.
- 2.2 R&C Cell shall be the nodal office for all SRPs. This office shall maintain all financial records pertaining to the projects and shall allot a unique SRP Identification Number (SRPIDN).
- 2.3 Faculty shall submit the project proposal giving technical and financial details to the R&C Cell through Head of the concerned dept./center/school. The proposal shall contain the following:
- (a) Project Submission Form
- (b) Project proposal as per the format of funding agency.
- 2.4 Institute SRP Overhead (ISO): The project proposals are required to include Institute SRP Overhead (ISO) charges for utilizing the infrastructural and other facilities of the Institute as follows:

Sr. No.	Project cost (Rs. in Lacs)	Institute SRP Overhead (ISO)
1.	Upto 10.00	10%
2.	Upto 20.00	15%
3.	Above 20.00	20%

However, the above limit may be relaxed by the Director for funding from prestigious public funding agencies on request and reasons recorded by the PI.

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- 2.5 The posts of Research Staff, along with remuneration and terms & conditions, shall be included in the proposals wherever required and applicable by the PI.
- 2.6 The statement on terms and conditions of the project including the right of patents and royalties must be spelt out clearly.
- 2.7 In case any Memorandum of Understanding, Terms & Conditions need to be signed between the Institute and the funding agency, the Dean (R & C) shall be the signatory on behalf of the Institute along with PI and CI, if any. This shall require formal approval of the Director.
- 2.8 The letter of sanction and details of the amount sanctioned under different budget heads, duration of the project and terms and conditions should be communicated to the Dean (R&C) with a copy of the SRP, if sanctioned. Any amendment in the sanctioned terms and conditions later on must be communicated to Dean (R&C) with a copy thereof within a fortnight.
- 2.9 Commencement date of SRP shall be the date of actual receipt of first installment of the grant sanctioned or as specified by the funding agency.

3. FINANCIAL OPERATIONS

- 3.1 For each SRP, a separate books of account shall be maintained. Internally audited statements of accounts shall be submitted as and when required by the sponsors through the R&C Cell.
- 3.2 For procurement of the goods and services in respect of the SRP, Stores and Purchase Rules of the Institute shall be applicable, unless an exception has been incorporated by the sponsor. A three-member SRP Purchase Committee (SRPPC) comprising of PI as indenter, CI, if any, and one/two faculty members from the respective Dept./ School may be proposed by PI and submitted for consideration and approval of the Dean (R&C). All purchase cases shall be processed through Stores and Purchase Section of the Institute following the stipulated rules and procedures of the Institute.
- 3.3 TA/DA to PI, CI and project staff for field work and visits outside Institute shall be as per rules of the Institute and/or as per guidelines of the funding agency. The journey has

to be sanctioned by Dean (R&C) for PI. The PI may sanction the journey of others under intimation to Dean (R&C).

- 3.4 Advance for the expenditures, if required, will be drawn in the name of PI/CI of the project. In case of shortage of disbursement from the sanctioned amount by the sponsor, the shortage may be recoup on the request of PI to Dean (R&C) for further approval by the Director. This shall be purely temporary arrangement of funds and shall be adjusted immediately after the receipt of funds from the sponsor.
- 3.5 PI, CI, JRF, SRF, project staff and students working in the project may be permitted to present research papers in national and international conferences, seminars, symposium and workshops as per the terms and conditions of the SRP with the approval of the Dean (R&C). The TA/DA shall be payable as per the terms and conditions of the SRP. In case of ambiguity in TA/DA rules in SRP, the Institute rule shall be applicable. However, in case of students working in the project are not entitled to DA.
- 3.6 The PI shall maintain a stock register for assets, accession, and consumable and Non-consumable articles. All entries in the stock book should be initialed by the PI. These may be verified by the competent authority and R&C Cell as and when required. Equipments purchased specifically for each project shall be the property of the Institute on the completion/termination of the project unless the sponsoring body desires otherwise.
- 3.7 Bills pertaining to the project will be signed by PI and CI, if any, and forwarded to R&C Cell duly completed in all respects for payment. PI shall ensure that all the bills are in order.
- 3.9 The period spent by the PI, CI and project staff on field work or collaborative work in outside-laboratories relating to research work of the project should be treated on duty, provided this does not affect the teaching obligation. The PI and CI shall need the approval by Dean (R&C) on recommendation of the concerned HOD; whereas, the other project staff need the approval of PI under intimation to Dean (R&C) by PI.
- 3.10 Re-appropriation of funds amongst budget heads is permissible with the prior consent of the sponsor.

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- 3.11 For all projects funded through international agencies, non-governmental agencies, etc. separate rules of expenditure may be worked out as per the mutually agreed terms and conditions, if necessary, or else the same rules shall be applicable.
- 3.12 The PI should prepare statement of expenditure and utilization certificate with the help of R&C Cell of each project annually or as per the time schedule prescribed by the funding agency. Thereafter, the R&C Cell shall confirm/ reconcile expenditure and utilization certificate within 15 days from the date of receipt so that the PI may forward/submit the same timely to the funding agency.
- 3.13 **Utilization of Institute SRP Overhead (ISO):** The ISO is the received amount from the sponsor through the sanctioned SRP. In case of partial disbursement of funds by the sponsor, the ISO shall be treated proportionally. It shall be utilized for both recurring and non-recurring expenditures with the prior approval of the Director in the interest and development of academic and research activities as and when required. The requisition of the items required for the research work and the funds towards TA /DA for attending meetings in regard to project work raised by the faculty with proper justification shall be submitted to Dean (R&C). After examining the requisition, Dean RC shall recommend the funds for consideration and approval of the Director.

4 ENGAGEMENT OF RESEARCH STAFF

- 4.1 Research staff- Junior Research Fellow (JRF), Senior Research Fellow (SRF), Research Associate (RA), may be engaged for SRP as per budgetary and other provisions in the sanctioned project proposal.
- 4.2 The cadre of JRF/SRF/RA is temporary, created for limited time period as defined by the project. After necessary approval, selection shall be made under normal recruitment procedure. These posts will be co-terminus with specified project duration and / or the terms and conditions laid down in the appointment letter. (sample Performa attached)
- 4.4 The project staff may be appointed as per the terms and conditions of the SRP, and through the Project Staff Selection Committee (PSSC) of the project. The person so engaged shall neither be allowed to take up another assignment on any of the other ongoing projects in the Institute nor shall be continued on expiry of the project.

- 4.5 Students of the Institute may be engaged on the project on part time basis as the Student Assistant (SA) irrespective of regular scholarship that may be admissible to him/her.

Hourly payment rate of SAs are:

- B. Tech. Students: Rs. 100 per hour (max. hours/week: 10)
 M. Tech. student: Rs. 150 per hour (max. hours/week: 15)
 Ph.D. student: Rs. 200 per hour (max. hours/week: 20)

This is subject to the budgetary and other limitation of the funding agency, but not from the ISO. Project assignment of the student shall not affect the academic status of the student. The engagement of students shall be approved by Dean (R&C) on the recommendation of PI.

- 4.6 For recruitment of project staff, the PI shall submit the requisition of project staff to the Dean (R&C) as per the terms and condition of the SRP and also propose the Project Staff Selection Committee (PSSC) for the approval of Dean (R&C). The PSSC shall comprise of the following:

(i)	Dean (R&C)	Chairman
(ii)	PI	Member
(iii)	Head of the concerned Dept. /Centre/ School	Member
(iv)	An external subject expert	Member
(v)	External expert recommended by the funding Agency, if any	Member

After the approval from Dean (R&C), the requisition along with detailed terms and conditions of the recruitment of the project staff shall be forwarded to GA Section for further process.

- 4.7 Appointment letters shall be issued to the selected candidates by Dy. Registrar (GA & Legal) on the recommendation of PSSC, except in case of project where appointment letters to the candidates are to be issued by the sponsoring agency. All appointment letters should clearly indicate the terms and conditions of appointment. In case approval of the funding agency is required, the appointment letters should be issued only when the clearance in writing is received from the funding agency.
- 4.8 Appointment of the above staff shall be purely on temporary basis and for the duration mentioned in offer of appointment for the project and in no case shall exceed the

duration of project. His performance shall be evaluated from time to time by the PI. The service of the project staff may be terminated on the recommendation of PI at any time during the project duration. The appointed staff shall have no claim for regular appointment in the Institute.

- 4.10 The joining report of the selected candidates shall be countersigned by the PI and forwarded to the R&C Cell and DR (GA & L).
- 4.11 PI shall be the controlling authority for all types of conduct and leaves of the project staff.
- 4.12 Project staff may be allowed to register for Ph.D. program if he/she fulfils all the prescribed academic eligibility and procedural requirements of Ph.D. program of the Institute.

5. PROGRESS REPORTS AND UTILIZATION CERTIFICATES

- 5.1 The PI should prepare annual progress report along with the settlement of accounts (as per clause 3.12) for submission to the funding agency with a copy to the R&C Cell.
- 5.2 Closure of the project should be done at the earliest not exceeding six months from the date of completion of the project. The final technical and fiscal report should be prepared by the PI in accordance with the requirements of the funding agency, and the same shall be submitted to the funding agency only after verification from R&C Cell.
- 5.3 Statement of final accounts showing the year-wise receipts and expenditure and a list of articles (consumables and non-consumables) left over at the time of termination of the project and purchased out of the project funds should be sent to R&C Cell. These articles may be transferred to the Department stock register after due approval from the funding agency, except where the sponsoring bodies do not allow the Institute to retain the articles.
- 5.4 The faculty shall be allowed to work as a PI/CI only up to the age of superannuation. The PI/CI should stop signing all the financial documents at least six months before the due date of his/her superannuation in order to facilitate issuance of No Dues Certificates to him/her. If the PI leaves the Institute, retires or proceeds on leave or is not available for some reason, Dean (R&C), on the recommendation of the PI (if he/she is available) appoints a new PI, who will assume the powers and responsibilities of the PI. The new PI should be agreeable to become PI.

The new PI will also give an undertaking¹³⁶ to complete the project in the remaining funds and time period, to the Dean (R&C). However, in exceptional circumstances, a retired faculty member may continue to work as PI with the approval of the Director, if he/she continues to serve the Institute in some other capacity.

6. INTELLECTUAL PROPERTY RIGHTS

Normally, Intellectual Property Rights for any discovery or invention originating from SRP shall jointly rest with the Institute, Investigator(s) and the Sponsoring Agency, unless it is mentioned otherwise.

7. EXCEPTION CLAUSE

7.1 The rules and regulations contained in this document shall normally be applicable to all SRPs, including the projects funded by the Institute. Any deviation or exception to the above may be considered by the Director/competent authority for approval on the recommendation of Dean (R&C) on the merits of the cases in the overall interest of the Institute.

7.2 In case of special schemes, like WOS-A, research staff/Ph.D. scholar may act as PI and the faculty member as mentor.

7.3 In case of interpretation or absence of any provision, the decision of Director, on the recommendation of Dean (R&C) / Registrar, as the case may be, shall be final.

8. REVIEW

These rules may be reviewed from time to time as per needs.

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