HINDUSTAN
INSTITUTE OF TECHNOLOGY & SCIENCE
(DEEMED TO BE UNIVERSITY)

POLICY FOR PROMOTION OF RESEARCH

Effect From June - 2021

Centre for Research & Consultancy

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POLICY FOR PROMOTION OF RESEARCH

1. BRIEF STATEMENT

Hindustan Institute of Technology & Science (HITS) is committed to the pursuit of excellence in research and aiming to lead the national agenda across the spectrum of science and technology, humanities and social responsibilities. Our commitment to the range of our interdisciplinary work is reflected in the sustenance of both applied research and basic research which may yield a long-term impact. HITS ensures that all the core and inter disciplines flourish in research by adopting the highest norms and standards of a scholarly undertaking. This document provides the information of research policy and promotional activity of HITS.

This document outlines the principles that should be taken into account while planning and conducting research. The principles that should be followed strictly while recording, reporting and applying the results produced are emphasized.

2. OBJECTIVE

Our core strategies are to tackle few of the pressing challenges of the 21st century in areas that are vital to the technological advances, human health, and environment through extensive core and multi-disciplinary research. Our institute has made strenuous efforts to line up its research focus with the national importance of achieving technological self-reliance.

Our specific objectives are

- Promote industrial collaborations involving active and mutually beneficial R&D projects
- Aim to stand among the top-notch Universities across the globe
- Promote globalization of research and education
- Provide excellent research culture and infrastructure
- Create the culture for inter –disciplinary/multi-disciplinary collaborations and a platform for knowledge sharing
- Publish papers in high-quality journals of international repute, file patents and transfer technologies to relevant industries

- Create quality human resources for scientific research

3. GENERAL PRINCIPLES

Good Research Practice (GRP) is essentially an attitude of mind. It is about the way in which research is planned and executed, the results are recorded and reported, and the benefits are disseminated, applied and exploited.

GRP can only be achieved if researchers at all levels are trained and supervised properly in a research culture that encourages open discussions and debate. Research team leaders are responsible for building a platform of academic freedom for young researchers and ensure that they gain enough skillset including appropriate training and experience to carry out their duties effectively.

Proper guidance and supervision structures the integral framework for quality research practice. Steps for GRP include monitoring of training and supervision of new researchers and of continuing professional development, regular checks on recorded data and notebooks, and occasional checks on the day-to-day conduct of experiments.

4. PLANNING THE RESEARCH

All research projects should be conceived, designed and implemented according to the highest standards.

- Clear documentation of the rationale for the study and any subsequent modifications, either in laboratory notebooks or in the project files. Each key document and any changes should be signed with date by the researcher responsible to establish the provenance of the study and protect intellectual property rights.
- Adherence to the current safety practices and ethical standards.
- Securing all necessary ethical and regulatory approvals.
- Assessment of the resources needed to ensure the study is viable within the available means.
- The economy in use of resources: - for example, not purchasing excess consumables than those are needed for the planned sample size and regular review for determining when to stop the experiments.
- Regular review of the research progress is essential to identify new findings that can be taken into account and the project plan shall be modified accordingly

5. CONDUCTING THE RESEARCH

- The legal and ethical requirements relating to human participants, animals and personal information should be familiar to each person involved in the study and they should know to whom to turn for advice.

- Equipment used to generate data should be suitable for the purpose, of appropriate design and of adequate capacity. It should be calibrated and serviced regularly by trained staff so that the performance is optimal and the results can be trusted.
- A standard operating procedure (SOP) should be maintained for each piece of equipment. There should be easily accessible instructions for the safe shutdown of equipment in case of emergency.
- SOP should be documented for all routine methods to ensure that data are collected consistently. It should be written in simple language, readily accessible and ideally in a standardized format.
- There should be clarity at the outset of the research programme to the ownership and use of, wherever relevant:
  - ❖ Data and samples used or created in the course of research
  - ❖ The results of the research

The responsibility and procedures for the storage and disposal of data and samples should be made clear at the commencement of any project. Any research collaboration agreement relating to the research should contain some clauses describing necessary arrangements. Researchers should keep clear and accurate records of the procedures followed and the approvals granted during the research process, including records of the interim results obtained as well as the final research outcomes. This is necessary not only as a means of demonstrating proper research practice but also in case questions are subsequently asked about either about the conduct of research or the results obtained. Properly maintained notebooks may be used in evidence when establishing ownership of inventions.

Data should be stored in a way that permits a complete retrospective audit, if necessary. Data should be stored safely, with appropriate contingency plans. Original data/images should be recorded and retained. This is particularly important when data/images are subsequently enhanced. Both original and enhanced data/images should be stored. Over-enhancement or over-interpretation of images must be resisted. Confidentiality is also important if there is a potential for commercial exploitation.

Retention of accurately recorded and retrievable results is essential for research. Primary research data must be retained in their original form within the institute. Researchers who are leaving the institute and would like to retain data for personal use must get permission from their team leader or head of the department. Publication of data does not negate the need to retain source data.

All raw data should be recorded and retained in indexed laboratory notebooks with permanent binding and numbered pages or in an electronic dedicated notebook. Machine printouts, questionnaires, chart recordings,

autoradiographs etc. which cannot be attached to the main record should be retained in a separate ring-binder/folder that is cross-indexed with the main record. Records in notebooks should be entered as soon as possible after the data are collected. Recorded data should be identified by the date of the record and/or date of collection. Supervisors should regularly review and "sign-off" notebooks of researchers to certify that records are complete and accurate. Computer generated data should be backed-up regularly; duplicate copies should be held on a disc in a secure but readily accessible archive. Wherever feasible, a hard copy should be made of important data. Copies of relevant software, particularly the version used to process electronic data, must be retained along with the raw data to ensure future access.

6. OPENNESS

Whilst recognizing the need for researchers to protect their own academic and where appropriate their intellectual property rights (IPR), the institute encourages researchers to be as open as possible in discussing their work with other researchers and to the public. The aim of disseminating research is to increase knowledge and understanding: its purpose should not be primarily to seek publicity for the researcher or the institute or the sponsor.

Once the results have been published, the institute expects the researchers to make the relevant data and the materials available to other researchers, on request. However, it should be reliable with any ethical approvals and consents which cover the data and materials, and any intellectual property rights associated with those publications. Procedures for managing the transfer of material in and out of the institute are outlined separately. It is recognized that publication of the results of research may need to be delayed for a reasonable period in order to protect the intellectual property arising from the research. Any such periods of delay in publication should be kept to a minimum and this should normally be no more than 3 months.

Researchers should be careful when discussing work that is not complete or has not been published, particularly if it has not undergone peer review. Exchange of confidential information by e-mail is not recommended, especially if patent applications are anticipated.

7. PROFESSIONAL GUIDANCE AND LEGISLATION

Where available, the institute expects all researchers including students, trainees etc. to observe the standards of research practice set out in guidelines published by scientific and learned societies, and other relevant professional bodies.

All researchers should be aware of the legal requirements, which regulate their work noting particularly health and safety legislation and data

protection.

8. LEADERSHIP AND COOPERATION

Head of the institute and senior colleagues should ensure that a research atmosphere of mutual cooperation is created which all members of a research team are encouraged to develop their skills and in which the open exchange of ideas is fostered.

9. SUPERVISION

The Institute provides an appropriate direction of research and looks into the fact that research leaders are trained in supervisory skills. Research supervisors supervises all stages of the research process, including outlining or drawing up a hypothesis, preparing applications for grant and aid, protocol design, data recording and data analysis.

10. TRAINING

The institute will plan periodic courses to enable students and researchers to understand and adopt best practices in research as quickly as possible. Supervisors should encourage students and colleagues to attend relevant courses whenever offered as a part of their overall career development. Some of the indicative courses are:

- Research design
- Regulatory and ethics approvals and consents
- Equipment use
- Record keeping
- Data protection
- Management of intellectual property, including confidential information
- Use of materials requiring statutory registration such as radioisotopes, pathogenic and GM organisms
- Data management
- Using animals for experiments
- Regulations involving human subjects

11. PRIMARY DATA/SAMPLES/EQUIPMENT

Data generated in the course of research should be kept securely in paper or electronic format, as appropriate. Backup records should always be kept for data stored on a computer.

Researchers should report any changes in the direction of sponsored research to the sponsoring agency or any other relevant body. Best practice would be to discuss any change in direction of the research with the sponsoring agency prior to its implementation.

12. INTELLECTUAL PROPERTY

Researchers must inform the Intellectual Property Cell (Coordinator of the program or the Director) of any intellectual property rights that may arise from an externally funded research. Researchers must also inform to the sponsoring agency if they have been recommended to do so. Institute's policies for managing the intellectual property are under preparation.

The institute's research as well as the funding from government agencies is done for public benefit and not for direct commercial or private gain. However, industrially sponsored research programs with definite objectives of finding solutions may have commercial gains. The public benefit may arise from education, i.e., gain of knowledge that is placed in the public domain, or the case of biomedical research, improvement in the treatment or care of patients or in the prevention or cure of diseases. Government funding or charities cannot be solely for the purpose of a commercial gain although commercial benefit from the exploitation of the results of the research may accrue to their inventors, the institute and by agreement to any sponsor of the research.

13. DISSEMINATION AND PUBLICATION OF RESULTS

The institute encourages publication of and dissemination of results of high-quality research but believes that researchers must do this responsibly and with an awareness of the consequences of any such dissemination in the wider media.

The institute tries to ensure that sponsors understand that researchers must have academic freedom and sponsors should not discourage publication or the dissemination of research or research findings. The Institute recommends that every effort should be made to inform the sponsors of any potential publication or dissemination of the research findings. This will enable the sponsor in question to have adequate time and accurate information to protect any arising intellectual property or plan their own public relations, in conjunction with the Institute. Publicity may be important to industrial sponsors and to fund-raising agencies and is increasingly important to institute itself.

Researchers should take into account the following guidelines when publishing or disseminate their research or research findings including any plans they may have to publish or publicize research in conferences or in websites.

a) The sponsoring agency should be notified in advance when the research might be published, publicized or disseminated.
b) Researchers should make every effort to make sure research is peer reviewed prior to it being published, publicized or disseminated. If research is placed in the public domain before peer review has been

undertaken, the researcher must make this clear in any publicity.

c) All funding sources must be acknowledged in any publication or publicity.
d) Results of research should be published in an appropriate form, usually as papers in refereed journals.
e) Anyone listed as an author on a paper should accept responsibility for ensuring that he or she is familiar with the contents of the paper and can identify his or her contribution to it. The practice of honorary authorship is unacceptable.
f) The contributions of formal collaborators and all others who directly assist or indirectly support the research should be both specified and properly acknowledged.
g) Work should normally be published as a coherent entity rather than a series of small parts unless there is a legitimate need to demonstrate first discovery by publishing preliminary data.
h) Quality rather than quantity is paramount; the proliferation of multi-author papers to increase quantity should be discouraged.
i) Authors must not publish the same data in different journals.
j) If an error is found that degrades the worth of published findings, the principal author must take efforts to publish a correction as soon as possible
k) Where the findings are found to be in serious doubt, a retraction should be published speedily.
l) Where fraud is suspected it should be dealt with the procedure dealing with "Misconduct in research".

14. INTEGRITY

HITS provides an adequate structure to promote and promulgate good research practice, emphasizing integrity and rigor in research and expects that the researchers adhere to the highest standards of integrity. Researchers should be ethical and honest to their own course of actions while pursuing research and their responses to the actions of other researchers. This applies to the whole range of research activities including designing of experiments, generating and analyzing data, publishing results, reviewing the work of other researchers and applying for grants. The direct and indirect contributions of colleagues, collaborators and others contributors should be appropriately acknowledged. Researchers are accountable to the society, their profession, the institutes where the research is taking place, the staff and students involved and in particular, the sponsoring bodies. Jeopardising research integrity can collapse the advancement of knowledge, society and human health. Hence researchers are expected to understand and apply the following principles:

Plagiarism, deception, fabrication or falsification of results is

regarded as a serious disciplinary offense.

Researchers are encouraged to report cases of suspected misconduct and to do so in a responsible and appropriate manner.

15. CONFLICT OF INTEREST

A conflict arises when a person's judgment concerning a primary interest, such as scientific knowledge could be unduly influenced by financial gain or personal advancement. Researchers must pay as much attention to perceived and potential conflicts of interest as to actual conflicts. How one is perceived to act influences the attitude and action of others, and the credibility of scientific research to larger extent. Researchers should declare and manage any real or potential conflicts of interest, both financial and professional. Areas of potential conflict include:

- Where researchers have an existing or potential financial interest in the outcome of the research.
- Where there is a personal or private practice benefit, significantly dependent upon the outcome of research.
- Where the researcher's professional and personal gain arising from the research may be more than usual for research.

16. About Misconduct

1. Principles.

a) This policy is designed to support the research activity of HITS.
b) The Institute is committed to ensuring that investigations are carried out as expeditiously as possible, at the same time ensuring the utmost degree of thoroughness.
c) Where time limits are indicated these will be regarded as maximum limits and that all parties will work to ensure the prompt progression of the procedure.
d) Employees accused of Scientific Misconduct ("Respondents") will be provided with a copy of this procedure and will be informed in writing of the detail of the allegation.
e) Where a Respondent resigns from or otherwise leaves the Institute, the complaint is nevertheless investigated as far as possible according to this procedure.
f) The Institute will take disciplinary action against any individual who attempts to influence, victimize or intimidate the individual making the allegation of Scientific Misconduct (the "Complainant") or witnesses.
g) The Institute is committed to protecting its employees from malicious accusations and will take action against any individual(s) responsible for such allegations.
h) Individuals shall cooperate in the review of allegations and the conduct of assessments and investigations. They have an obligation to provide

relevant evidence to the Director or such other person who, in the Director's absence, is designated to receive and enquire on behalf of the institute into allegations of Scientific Misconduct (the "Director").

i) Proven misconduct in research is considered as a serious or gross misconduct and normally merit dismissal.

2. What constitutes misconduct?

Research misconduct or fraud in science refers to the fabrication, falsification, plagiarism and deception in proposing, carrying out or reporting results of research and deliberate, dangerous or negligent deviations from accepted practice in carrying out research. It includes failure to follow established protocols if this failure results in unreasonable risk or harm to humans, other vertebrates or the environment. It shall also include facilitating of misconduct in research by collusion in or concealment of, such actions by others, and any plan or conspiracy or attempt to do any of these things.
Misconduct does not include honest error or honest differences in interpretation or judgment in evaluating research methods or results, or misconduct unrelated to the research process.

a) Fabrication – reporting of experiments never conducted
b) Falsification – Misrepresentation or suppression of data to project the desired result
c) Plagiarism – reporting another's data as one's own
d) Fraud – Deliberate and willful suppression of previous work in publications to claim originality or to avoid quoting previous publications contrary to present results.
e) Breach of confidentiality, i.e., presenting as one's own ideas or data obtained from privileged access to original grants, manuscripts etc. is also considered a misdemeanor in the same category.

3. Reporting of cases of scientific misconduct.

a) All employees or individuals working within HITS are required to report observed, suspected or apparent Scientific Misconduct to the Director in accordance with this policy.
b) If an individual is unsure whether a suspected incident of misconduct falls within the definition of scientific misconduct, he or she should discuss this with the Director informally.
c) HITS will endeavor to organize seminars and workshops at regular intervals to create awareness among the research workers on issues related to integrity in the conduct of research. The website will provide access to articles, debates and examples of such misconduct to sensitize research workers about nature of questionable research practice.

4. Reporting and evaluation of the complaint.

The charge of misconduct has serious implications for all concerned. Therefore, investigation related to the review of alleged misconduct will be kept confidential to the maximum extent possible. While investigating an allegation of misconduct, caution will have to be exercised to distinguish

between differences in interpretation or unintended errors from the misrepresentation of information. Thus, the procedure adopted to address the issue of misconduct will perforce have to be flexible and determined on a case-to-case basis.

a) Reports of alleged misconduct are to be made directly to the office of the Director (research), HITS.
b) If a complainant makes an allegation to a Director (research) informally, the Director (research) may ask them to put such allegation in writing.
c) Misconduct may be reported by either a staff of the HITS anyone else. The identity of the complainant will not be revealed at this time.
d) The Director (research) shall, either himself or through an officer delegated the responsibility, shall cause to investigate (a) assess the allegations of research misconduct to determine if they fall within the definition of research misconduct and warrant an inquiry on the basis that the allegation is sufficiently credible and specific so that potential evidence of research misconduct may be identified, and (b) oversee enquiries and investigation.
e) A preliminary evaluation of the complaint will be made by the Director (research) which may include consultation with other colleagues either independently or through the constitution of a committee and if the findings indicate that there are no reasonable grounds for the allegation, the complaint will be dismissed.
f) Written report stating the reasons for the dismissal shall be policy documented and maintained in the office of the Director (research), but will not enter the subject's confidential file. The complainant will also be informed of the decision to dismiss the complaint.
g) If the preliminary evaluation indicates that the allegation of misconduct warrants a full investigation, the following processes will be initiated with the appropriate records of procedures.

5. Investigation.

a) The person against whom the complaint is being made (respondent) will be informed of the allegation.
b) The Director will appoint a committee to conduct a full investigation into the allegations of misconduct.
c) The committee will comprise of a chairman, and 2 members, at least two of which will be experts from outside. The committee will be invested with complete confidentiality and will not be permitted to interact with Press or other faculty members individually during the course of the investigation. The committee is expected to function within the full cognizance of the rights of the respondent as well as the complainant.
d) The scope of the committee shall be:
e) To investigate the accuracy of charge of misconduct.
f) To assess the extent and nature of alleged misconduct.
g) The relevance of any other material or information revealed during the course of the investigation into the alleged instance of misconduct.

6. Process of enquiry.

The committee will be given access to material that is required to complete the investigation with due diligence and accuracy which will include grant approvals, reports, primary data, electronic records, manuscripts and any other material requested and considered relevant to the investigation. The committee will be given access to laboratory and will be permitted to interview the complainant, the respondent and any other laboratory staff which the committee considers necessary to gather information. The committee is expected to complete the investigations and report submission within a period of 60 (sixty) days.

7. Outcome of the investigation.

a) 7.1 The committee will submit its report with a recommended course of action to the Director within a week of completing the inquiry, explaining the modalities of the investigation, the source and method of obtaining information relevant to the investigation, the conclusions reached and the basis on which the conclusions are reached.
b) 7.2. A copy of the report will be provided to the respondent and an opportunity given to him to comment in writing on the report and its findings within 15 days. The written comments will be attached as annexure to the original report.
c) 7.3. The Director will discuss the report with Head of the Group. If the faculty against whom the complaint was lodged has been proved to have engaged him in research misconduct, the Director will take appropriate action, with the approval of the Board of Governors, which will be communicated to the Individual and will be entered in the personal file and service book.
d) 7.4. The individual may appeal to the Board of Governors against the decision of the Director and the Board's decision will be final and

binding on the individual.

8. Safeguard against false allegations.

Efforts should be made to safeguard the interests of the complainant. If it is established that the complaint itself was false and was done with malaise intentions, Director will formulate an appropriate action against the individual who lodged a false complaint. The person who has been charged with wrong allegations may appeal against the decision to the Board of Governors. The decision of the Board is final and binding on the individual.

18. PROMOTION FOR RESEARCH

1. Funding pilot projects of the Faculty members of HITS under Selective Excellence Initiative Program.
2. Funding innovative projects of the students of HITS under Research Excellence Undergraduate Program.
3. Seed money is given to the faculty members to set up their own research laboratories for carrying out research.
4. Faculty Abroad Program for one semester.
5. Financial assistance is given to the faculty members to carry out Proof of Concepts in the lab. With the proof of concepts, they can apply for funded projects from Government Funding agencies.
6. Incubation centers have been set up for the students.
7. Performance Incentives are given to the faculty members for journal publications and funded projects.
8. MoUs have been signed with Universities and companies for collaborative research.
9. Students Abroad Program for one semester.
10. Financial assistance is given to the faculty members and students to get patents for their innovative ideas/products.
11. Students are encouraged to participate in competitions in India or abroad with their innovations.
12. The faculty members and students are sent to International and National conferences
    /seminars/workshops for participation and presenting their papers.

Annexure I

STANDARD TERMS AND CONDITIONS

1. **DECLARATION:** All work undertaken by HITS as part of the project will be in good faith and based on material / data / other relevant information given by the Client requesting for the work.
2. **CONFIDENTIALITY**: Due care will be taken by HITS to maintain confidentiality and discretion regarding confidential information received from the Client, including but not limited to results, reports and identity of the client.
3. **REPORTS**: Any test or other consultancy report given by HITS will be based on work performed according to available standards and / or open domain literature. In any event, this report may not be construed as a legal document, certificate or endorsement and may not be used for marketing of the products or processes, without prior consent from HITS. The institute reserves the right to retain one copy of the report and use the results of the project for its internal teaching and research purposes.
4. **WORK PERFORMANCE**: Every effort will be made to complete the specified work according to the planned time schedule. However, HITS will not be held responsible for delays caused beyond its reasonable control.
5. **CONFLICT OF INTEREST**: HITS may take up work for other clients also in the same area, provided, to the best of the institute's knowledge, there is no conflict of interest in undertaking such projects.
6. **PAYMENT**: The payment of consultation charges to HITS are to be made in advance and in full before the start of the project, through a demand draft / crossed valid cheque drawn in favour of The Registrar, HITS and sent to the Consultant or the address overleaf. The charges will also include any applicable tax as prescribed by the Government of India from time to time.
7. **TERMINATION**: The project work may be terminated by either party by giving the other party a notice period of 30 days. However, both parties will meet any residual obligations in connection with the project.
8. **LIABILITY**: HITS shall not be held liable for any loss, damage, delay or failure of performance, resulting directly or indirectly from any cause, which is beyond its reasonable control (Force Majeure). The liability of HITS shall be limited to the funds received for the project.
9. **INTELLECTUAL PROPERTY RIGHTS**: All rights pertaining to any intellectual property generated / created / invented in the due course of the project, will be the joint property of HITS and the Client. Terms and conditions regarding transferring / assigning / selling these rights to the client shall be governed by a separate written and agreed to document if required.
10. **RESOLUTION OF DISPUTES:** Any disputes arising out of the project shall be amicably settled by both the organizations. Any unsettled disputes may be subject to resolution as per the Indian Arbitration and Conciliation Act 1996.

Annexure – II

Clearance Form

Principal Investigator *to whom correspondence will be sent.* **Students cannot be the first PI.**	
Name (and title):	**School or Unit:**

Project type	
(Please select one [x]) **sponsored: [ ]**	**Consultancy: [ ]**

Project details			
Project Title:			
Proposed commencement date:		**Proposed completion date:**	
Sponsored only:	Funding Body (e.g. DST etc.):		
	Scheme (e.g. Research and Development Grants):		
	Administering organisation: HITS [ ] Other [ ] *Please specify:*		
Consultancies	Client name:		
	Contact name:	Position:	
	Address:	State:	Pincode:
	Email:	Phone:	
	Who will be supplying the contract? HITS **[ ]** Client **[ ]** To be determined **[ ]**		

Other HITS researchers who have intellectual carriage and responsibility for this project	
Name 2:	**School or Unit:**
Name 3:	**School or Unit:**
Name 4:	**School or Unit:**
Name 5:	**School or Unit:**
Name 6:	**School or Unit:**

Student/s involved
(Please select one [x]) **No: [ ] Yes [ ]** Name:
Type of involvement: Unpaid [ ] Paid as casual from Research funds [ ] Scholarship paid from Research funds [ ]

Honorary/ies involved
(Please select one [x]) **No: [ ] Yes [ ]** Name:
Type of involvement: Unpaid [ ] Paid from Project funds [ ]

Equipment Utilisation Cost				
Sl. No.	**Equipment to be ulilised**	**Utilisation Cost (Rs.)#**		
		Cost per hr based on formula*	**Estimated no. of hrs. to be used**	**EUC Total**
Grand total				

Note:

only required for Consultancy Project. For sponsored project only specify the equipment to be provided by the Institute and the estimated no. of hrs. to be used.

***EUC – formula**

$$\frac{EUC}{hr} = \frac{Market\ value\ of\ the\ equipment}{Life\ span\ (estimeted\ in\ hr.)} + \frac{operatingcost}{hr}$$

Financial information	
Direct project costs	
Indirect project costs +	
PI/School/Institute/Centre bonus (consultancies only): +	
Total project cost payable by the funding body (excl GST) =	
In-kind contribution (if applicable)	
HITS cash contribution (if applicable)	

Third party payments
Are any project funds to be paid/sub-contracted to a third party? **No: [ ] Yes [ ]** Name: Amount:

Credit split *This will determine how block funding will be distributed between multiple Schools/Institutes/Centres*	
Organisational Unit 1:	**% split:**
Organisational Unit 2:	**% split:**
Organisational Unit 3:	**% split:**

Intellectual property	
The project results will be owned by (if known):	[ ] HITS
	[ ] Funding body Does HITS wish to have the right to use the project results for teaching, research publications or other purposes? Yes [ ] No [ ]
	[ ] HITS & funding body
The project utilises background/existing IP developed by:	HITS: No [ ] Yes [ ]* *Does HITS have a licence to use it? Yes [ ] No [ ]
	Funding body No [ ] Yes [ ]* *Does HITS have a licence to use it? Yes [ ] No [ ]
	A third party No [ ] Yes [ ]* *Does HITS have a licence to use it? Yes [ ] No [ ]

Location
Will any of the project work be conducted on premises/land owned by a third party? Yes [ ] No [ ]

Principal Investigator (PI) endorsement			
Has a Risk Assessment been undertaken?		Yes **[ ]**	No **[ ]**
I am satisfied that the risks identified within this project will be appropriately managed.		Yes **[ ]**	No **[ ]**
Is the project covered by HITS insurance?		Yes **[ ]**	No **[ ]**
Is there, or could there be a potentialconflict of interest? *(Attach further detail)*	Yes **[ ]** Please specify below:	No **[ ]**	Unsure **[ ]**
PI SIGNATURE & NAME		**DATE**	

Head of School (HOS)/Dean endorsement			
I agree: • that all project costs (direct and indirect) and all HITS cash and in-kind contributions have been correctly included • to fund any shortfall in the project costs if the project costing is insufficient (consultancies/research contracts only) • that the project can be accommodated within the general facilities in my School and sufficient working and office space will be available for staff • I am prepared to have the project carried out in my School under the circumstances set out by the researcher/s • I have noted the amount of time that the investigator/s will be devoting to the project and agree that it is appropriate to existing workloads • I am satisfied that the project is adequately insured by the HITS insurance policy. • I am satisfied that the Risk Assessment identified within this project will be appropriately managed during the course of the project • I am aware of the Conflict of Interest policy and my responsibility in the process			
HOD SIGNATURE AND NAME		**DATE**	
IF THE HOD IS THE PRINCIPAL INVESTIGATOR, ENDORSEMENT MUST BE MADE BY THE DEAN:			
DEAN SIGNATURE AND NAME		**DATE**	

Please scan and email this completed form and supporting documentation (application/proposal, budget) to:

Office of Research: Hindustan University, Padur.

Annexure III

Costing of Consultancy Project

1. Consultancy Fees (CF)*
2. Charges for Personnel engaged in Technical Services (CPTS)**
   (For permanent employees of the Institute)
3. Project Staff Salaries (PSS)
   (For temporary staff employed in the project)
4. House Rent Allowance (HRA)
   (Provision shall be made for 10% of PSS as HRA)
5. Operational Expenses (OE)
   (All other expenses related to the consultancy project which includes TA, DA)
6. Capital Equipment (CE)
   (Expenses towards purchase of capital equipment for the consultancy project)
7. Overheads (OH)
   (Charged at 20% of CF+CPTS+PSS+OE+CE)
8. Contract Negotiations / Legal expenses (CNL)
   (For projects involving contracts, agreements and MOUs, negotiation charges may be appropriately included by Director, Research)
9. Net Project Cost (items 1 + 2 + 3 + 4 + 5 + 6 + 7 + 8)
10. Service Tax and other Taxes (as applicable)
11. Total Project Cost (9 + 10)

One should include TA, DA for the visits to be made during the consultancy period in the operational expenses. A sample of the particulars to be considered is given below.

S.No	Particulars	No. of Visits	Days	Charges/Day	Total
1.	Travel				
2.	Accommodation				
3.	Food				
				Total	

**The Consultancy Fee for External Consultant will be limited to 20% of Net Project Cost in case of Category T (Testing) projects.*

*** CPTS will be limited to 30% of Net Project Cost in case of Category T (Testing) projects.*

Annexure IIIA

Guidelines for calculation of Consultancy Charges

There is no fixed rule for fixing the Consultancy charges. It depends on the importance/ nature of the project. However, here some guidelines are given in fixing the consultancy charges. This charge has to be discussed with the agency to arrive at the final figure.

S.No	Name of the Faculty Member	No. of Working Days for Project	No. of Working Hours/Day	Percentage Contribution	Charges/Hour#	Sub Total
1.						
2.						
					Total Amount	

$Charges/_{hr} = \frac{salary\ of\ the\ person}{hr} \times factor$

The factor may be ranging from 3 to 5 depending on the nature of consultancy.

Annexure IV

A Sample Costing for a Consultancy Project

A sample costing, disbursement, distribution of Deductions and Overheads for a consultancy project is shown in this Annexure.

IV.1 A sample costing for a consultancy project

Head of expenditure (Amount.)

1. Consultancy Fees (CF) #	Rs. 50,000	
2. Charges for Personnel employed ## in Technical Services (CPTS)	Rs. 20,000	
3. Project Staff Salary (PSS)		Rs. 10,000
4. House Rent Allowance (HRA)		Rs. 1,000
5. Operational Expenses (OE)		Rs. 5,000
6. Capital Equipment (CE)		0
7. Overheads (OH)	Rs. 17,200	
8. Contract / legal costs		Rs. 1,000
9. Net project cost		Rs. 104,200
10. Service Tax (to be charged as per prevailing rate, in this example, say 8%)		Rs. 8,336
11. Total project cost		**Rs. 112,536**

For External consultant, this will be limited to 20% of net project cost in case of testing projects.
For External consultant, this will be limited to 30% of net project cost in case of testing projects.

IV.2 Disbursement for Consultancy work without use of Institute facilities:

Total money received from client	= Rs. 112,536
Service tax	= Rs. 8,336
Total Contracted amount, T	= Rs. 104,200
Total Expenditure on the project	= Rs. 37,000
Remaining amount, Y	= Rs. 67,200
Institute share	= Rs. 13,440
RDF	= Rs. 6,720
Savings, S	= Rs. 47,040

IV.3 Disbursement of Consultancy work involving use of Institute facilities:

Total money received from client	= Rs. 112,536
Service tax	= Rs. 8,336
Total Contracted amount, T	= Rs. 104,200
Total Expenditure on the project	= Rs. 37,000
Remaining amount, Y	= Rs. 67,200
Institute share	= Rs. 40,320
RDF	= Rs. 6,720
Savings, S	= Rs. 20,160

Amount S to be distributed to Investigators, technical and other staff on the recommendation of PI.

Note: If service of External consultant is used then, 80% the amount budgeted for the External Consultant is to be paid to him and accounted as expenditure.

Annexure V

GUIDELINES FOR MoU/AGREEMENT

If a MoU/Agreement is required to be signed with the sponsor of a Consultancy Project, it should generally include the following clauses. Additional clauses may be added if considered necessary:

1. **General**
   This section should include the reference to the proposed Consultancy and identify the parties concerned pertaining to the MoU.

2. **Scope**
   This section should spell out briefly the nature of work, its limitations and expected end results.

3. **Time Frame**
   This clause must indicate the expected duration of the project and should also indicate the schedule of rview of progress, submission of reports etc., if any.

4. **Consultancy Charges**
   The document must clearly indicate the charges to be paid for the proposed Consultancy project along with amounts of bank draft(s) to be drawn in favour of the Institute. There should also be a mention of the service tax liability in this regard. Further, the schedule of payment should also be indicated in this clause.

5. **Responsibilities**
   This clause should define clearly the responsibilities of various parties with regard to making data and / or material available for the work as also for the return of the same, as and if applicable.

6. **Patents/Publications**
   The MoU should clearly spell out the arrangements proposed to be made with regard to any patents or publications arising out of the proposed Consultancy project.

7. **Force Majeure**
   This is an important clause and must be included to safeguard the interest of various parties due to one or more of the unforeseen force majeure events.

8. **Arbitration**
   The document shall provide for a suitable channel to settle any disputes or differences related to the execution of the Consultancy project which shall conform to the clause 10 of Annexure III.

9. **Liability**

This clause should indicate the maximum liability which is to be accepted in the event of the project being terminated at any stage and shall be in conformity with clause 8 of Annexure III.

10. Amendment to the MoU

This clause should specify a provision for amendments to any one or more clauses of the MoU through mutual consent, at any stage during work of the project, due to any reason whatsoever.

The MoU/Agreement's legal vetting by the Institute's Legal Officer is necessary and will be the responsibility of the PI concerned.

Annexure – VI

Research Clearance Form			
Principal Investigator *to whom correspondence will be sent.* **Students cannot be the first PI.**			
Name (and title):		**School or Unit:**	
Project type			
(Please select one [x]) **sponsored: [ ]**		**Consultancy: [ ]**	
Project details			
Project Title:			
Proposed commencement date:		**Proposed completion date:**	
Sponsored only:	Funding Body (e.g. DST etc.):		
	Scheme (e.g. Research and Development Grants):		
	Administering organisation: HITS [ ] Other [ ] *Please specify:*		
Consultancies	Client name:		
	Contact name:	Position:	
	Address:	State:	Pincode:
	Email:	Phone:	
	Who will be supplying the contract? HITS **[ ]** Client **[ ]** To be determined **[**		

Other HITS researchers who have intellectual carriage and responsibility for this project	
Name 2:	**School or Unit:**
Name 3:	**School or Unit:**
Name 4:	**School or Unit:**
Name 5:	**School or Unit:**
Name 6:	**School or Unit:**

Student/s involved
(Please select one [x]) **No: [ ] Yes [ ]** Name:
Type of involvement: Unpaid [ ] Paid as casual from Research funds [ ] Scholarship paid from Research funds [ ]

Honorary/ies involved
(Please select one [x]) **No: [ ] Yes [ ]** Name:
Type of involvement: Unpaid [ ] Paid from Project funds [ ]

Equipment Utilisation Cost				
Sl. No.	**Equipment to be utilised**	**Utilisation Cost (Rs.)#**		
		Cost per hr based on formula*	**Estimated no. of hrs. to be used**	**EUC Total**
Grand total				

Note:

only required for Consultancy Project. For sponsored project only specify the equipment to be provided by the Institute and the estimated no. of hrs. to be used.

***EUC – formula**

$$\frac{EUC}{hr} = \frac{Market\ value\ of\ the\ equipment}{Life\ span\ (estimeted\ in\ hr.)} + \frac{operatingcost}{hr}$$

Financial information	
Direct project costs	
Indirect project costs	
+	
PI/School/Institute/Centre bonus (consultancies only):	
+	
Total project cost payable by the funding body (excl GST) =	
In-kind contribution (if applicable)	
HITS cash contribution (if applicable)	
Third party payments	
Are any project funds to be paid/sub-contracted to a third party? **No: [ ] Yes [ ]** Name:	
Credit split *This will determine how block funding will be distributed between multiple*	
Organisational Unit 1:	**% split:**
Organisational Unit 2:	**% split:**
Organisational Unit 3:	**% split:**

Intellectual property	
The project results will be owned by (if known):	**[ ]HITS**
	[ ]Funding body Does HITS wish to have the right to use the project results for teaching, research publications or other purposes? Yes [ ] No [ ]
	[ ] HITS & funding body
The project utilises background/existing IP developed by:	**HITS:** No [ ] Yes [ ]**Does HITS have a licence to use it? Yes [ ] No [ ]
	Funding body No [ ] Yes [ ]**Does HITS have a licence to use it? Yes [ ] No [ ]
	A third party No [ ] Yes [ ]**Does HITS have a licence to use it?

Location
Will any of the project work be conducted on premises/land owned by a third party? Yes [ ] No [ ]

Principal Investigator (PI) endorsement			
Has a Risk Assessment been undertaken? Yes **[ ]** No **[ ]**			
I am satisfied that the risks identified within this project will be appropriately managed. Yes **[ ]** No **[ ]**			
Is the project covered by HITS insurance? Yes **[ ]** No **[ ]**			
Is there, or could there be a potential conflict of interest? Yes **[ ]** Please specify below: No **[ ]** Unsure **[ ]** *(Attach further detail)*			
PI SIGNATURE & NAME		**DATE**	

Head of School (HOS)/Dean endorsement			
I agree: • that all project costs (direct and indirect) and all HITS cash and in-kind contributions have been correctly included • to fund any shortfall in the project costs if the project costing is insufficient (consultancies/research contracts only) • that the project can be accommodated within the general facilities in my School and sufficient working and office space will be available for staff • I am prepared to have the project carried out in my School under the circumstances set out by the researcher/s • I have noted the amount of time that the investigator/s will be devoting to the project and agree that it is appropriate to existing workloads • I am satisfied that the project is adequately insured by the HITS insurance policy. • I am satisfied that the Risk Assessment identified within this project will be appropriately managed during the course of the project • I am aware of the Conflict of Interest policy and my responsibility in the process			
HOD SIGNATURE AND NAME		**DATE**	
IF THE HOD IS THE PRINCIPAL INVESTIGATOR, ENDORSEMENT MUST BE MADE BY THE DEAN:			
DEAN SIGNATURE AND NAME		**DATE**	

Please scan and email this completed form and supporting documentation (application/proposal, budget) to:

Office of Research: Hindustan University, Padur.

Annexure- VII

Guidelines for Fellowship for amount for Research personnel employed in R&D program[#]

i) Junior Research Fellowship (JRF)/ Senior Research Fellowship (SRF)

Sl.No.	Designation & Qualification	Emoluments per month for first 2 years	Emoluments per month after 2 years/ SRF
1.	JRF leading to Ph.D. PG degree in Basic Sciences and NET qualified Or Graduate degree in Professional courses and GATE or equivalent qualification	Rs. 16000/-	Rs. 18000/-
2.	JRF leading to Ph.D. PG degree in Professional courses	Rs. 18000/-	Rs. 20000/-

ii) Doctorate or equivalent degree of having 3 years of research, teaching and design and development experience after ME/MTech

Sl. No.	Category	Emoluments per month
1.	Research Associate I (RA I)	Rs. 22000/-
2.	Research Associate II (RA II)	Rs. 23000/-
3.	Research Associate III (RA III)	Rs. 24000/-
The stipend of Research Fellow/associate is exempt from the payment of Income Tax under 10(16) of IT Act, 1961.		

Service Conditions

1. **DA and CCA:** JRFs, SRFs and Research Associates will not be entitled to these allowances.
2. **HRA:** All research fellows may be provided with either hostel accommodation or 10% HRA. The fellowship amount may be taken as basic for HRA calculation.
3. **Medical Benefits:** The research fellows will be entitled for medical allowance as per Institute norms from time to time.
4. **Leave rules:** The JRFs/SRFs are eligible only for casual leaves, while the Research Associates are entitled for leave as per Institute rules.
5. The research fellows are not eligible for other benefits like bonus, retirement benefits etc.

 # Note: This is only a guideline. Please refer to the guidelines of the corresponding sponsoring agency for fixing the fellowship amount.