Guidelines for Sponsored Research

1.0   INTRODUCTION

The Hindustan Institute of Technology & Science (HITS) has been interacting with industries, research organizations and governmental agencies for taking up consultancy and sponsored research projects. These are either referred to the Institute or are sanctioned based on specific project proposals submitted by the faculty members. Such projects pose considerable scientific, technological and academic challenge to the faculty and students of our Institute. Further the academic programmes of the Institute are strengthened by such active interaction with the industries.

These projects and assignments require a great amount of scientific and technical input from the faculty and staff of the Institute. They have given an opportunity for the Institute staff to work on live problems of immediate relevance to the country. The students can also be trained to tackle such practical problems. Equally important is the fact that the knowledge and expertise of the Institute staff are available for solving some of the pressing technological problems facing the industry and the nation. These interactions of the Institute are implemented and coordinated by the office of Department of Research.

The projects or assignments coordinated by the Department of Research are divided into two types:

Sponsored Research Projects

These are R & D projects sponsored by Government agencies, industries or other institutions with a view to generate new knowledge, to develop a new technological process or to create new products. Considerable amount of studies and research/development work may have to be put in by the investigators to solve the problem and as such these projects are considered as R & D projects. These are long term assignments in emerging areas and in highly specialized fields of Science and Technology.

Industrial Consultancy Projects

Projects that can be executed and problems that can be solved readily, utilising the professional knowledge and expertise of the staff are classified as consultancy assignments. The Institute facilities may be used for research work, theoretical analysis or experimentation required for generating sufficient information and data for this problem solving operation, but these assignments are heavily dependent on the existing know-how and skill of the staff concerned. These are mostly related to the application of an already known technology.

The procedures to be followed for undertaking Sponsored Research projects, the administrative controls exercised and the remunerations and incentives given to the staff for undertaking such inter institutional projects are described here.

2.0   SPONSOREDRESEARCH

A sponsored research project may be initiated either by the faculty member of the Institute submitting a proposal to the sponsoring agency or by a client institution or industry seeking the help of the Institute. The sponsored programme can be taken individually by individual faculty/academic staff or collectively by a group of investigators. One of the investigators must be the principal investigator (PI) while others are the principal co-investigators. Funding agencies generally prefer to have a co-investigator (Co-PI) who can take the place of the principal investigator in case the latter goes on leave or resigns. Projects funded either by the Ministry of Human Resource Development, Council for Scientific and Industrial Research etc. are also governed by separate rules for specific classes.

2.1   How to Apply

2.1.1 Project proposals are generally made by the faculty/academic staff for submission to the funding agencies for their approval and sponsorship. Proposals are to be prepared in the standard format(s) prescribed by the funding agency to whom the proposal will be submitted. Apart from the objectives, proposal will contain provisions for all anticipated expenses relating to staff, equipment, materials, travel and contingencies. ***An Institute overhead equal to 20% of the total cost of the project is to be included in the proposals*** (Please note that as per DST rules, the maximum amount for overhead is limited to Rs. 5, 00,000.00).

2.1.2 In the case of sponsored projects the faculty member who has less than two years only for superannuation at the time of submitting the project proposal should include another faculty member with a longer service by at least one more year, as a Co-Investigator.

2.1.3 A form (as shown in Annexure –I) is also to be filled in giving the details of the infrastructural facilities to be provided by the Institute. The proposal together with the details of infrastructure required from the Department duly forwarded / approved by the Head of the Department(s) / Centre(s) is to be submitted to the Director, Research. The Director after the scrutiny of the project proposal and the Institute's commitments with respect to the infrastructure facilities, issues on behalf of the Vice-Chancellor, a Certificate for the Institute's willingness to extend support for the project utilizing the Institute's facilities.

2.1.4 Proposals will have to be presented before a committee constituted by the Vice-Chancellor. After approval of the committee, the proposal can then be forwarded to the sponsoring agency.

2.2   Initial Steps

2.2.1 Project Identification Number:

As soon as the project sanction is communicated to the Institute by the funding agency, the Department of Research assigns a project number, which is used in all correspondences within the Institute. This helps to identify the project and to facilitate the correct booking of the expenses.

2.2.2 Opening Bank Account

A current account is to be opened for the project which will be operated jointly by PI and Director, Research. This account number may to communicate to the funding agency so that the money can be deposited directly to this account.

2.2.3 Date of Commencement:

The date of commencement of the project; is the date of receipt of the first instalment of the project fund from the funding agency or the date of approval of the project/date of joining of the staff, whichever is acceptable to the funding agency.

2.3   Recruitment of Project Staff

The Department of Research helps the PIs to recruit the various category of staff required for the project. The procedure to be followed for the recruitment of each category of staff is given below:

2.3.1 Staff appointed through regular selection

Appointments can be made through campus announcement/advertisements in news papers (if sufficient funds are available) and through circulation to other Institutions.

Annexure II contains the various category of project posts, their consolidated pay and the minimum qualifications required for each post. Additional desirable qualification and experience can also be prescribed in the advertisement. If suitable candidates are not available, the post can be filled by appointing a lower category of staff.

The following step by step procedure is followed for the recruitment of staff:

a) In the case of selection process the PI has to send a request to Department of Research for recruitment of staff giving the minimum qualifications and experience, desirable qualification, duration of the appointment etc.

b) Department of Research issues the advertisement/announcement on the request of the co-ordinators as per the prescribed norms for which the expenditure if any will be debited to the project contingencies.

c) Applications from candidates including their bio-data on plain paper are received directly by the PI.

d) Applications are processed and short-listed by the PI and then sent to the Research office with their recommendations for scrutiny and approval.

e) Director, Research constitutes a Selection Committee and intimates it to the PI.

f) The PI, in consultation with the Chairman and members of the Selection Committee has to fix a date and venue for the interview and also to take action for calling candidates for interview.

g) Trade tests if any and the Selection Interview are to be organised by the PI in consultation with the Chairman and Selection Committee Members.

h) Bio-Data of the candidate in the prescribed form to be obtained and certificates verified before the commencement of interview.

i) Depending upon the availability of funds, the coordinator can decide about paying travel fare by Sleeper class train/bus journey to the outstation candidates.

j) The proceedings of the Selection Committee meeting prepared in the standard format provided by the Research office have to be sent to the Director, Research, for getting approval of the Vice-Chancellor and Director (AV) along with other papers as per the check list.

k) On approval by the Vice-Chancellor and Director (AV), HRD, HITS issues an offer of appointment to the selected candidate(s).

l) Appointments are initially made for one year duration which can be extended for the full duration of the project depending on the performance of the candidate. The total duration a project staff member can be engaged in one or more projects should not exceed five years.

m) The candidate selected shall register for Ph.D. / M.S. (By Research) programme of this University.

2.3.2 Staff appointed on ad-hoc basis

Staff can be appointed on ad-hoc basis at any time of the project. Application(s), to be made by the candidates for ad-hoc appointments including part-time employment are in the standard format. This application with the recommended salary is forwarded by the PI to the HRD through Director, Research who will appoint the staff on the advice of a committee. The committee meets every month. The candidate can be given a consolidated

salary commensurate with his/her qualification and experience, conforming to the designation of the project posts.

2.3.3   Appointments through Ph.D./M.S. interviews

Appointments can also be made through Ph.D./M.S. interviews. Prior approval is to be taken from the Director, Research. Requests for approval have to be sent through the Head of the Department. The Selection committee recommendations (extracts) along with the application/ Biodata of the candidate to be sent to Research Office.

2.3.4   Part-time Employment

Staff can also be appointed on part-time basis, with the salary being fixed in proportion to the actual duration of work in a day

2.3.5   Duration of appointment

On adhoc basis for five months with 10 days break extendable upto 5 years. However staff appointed as Senior Project Officer, Project Associate can be appointed for one year and their services extended for another year without break in service.

2.3.6   Students employed on Part-time basis

Facility exists to utilize students for specific works in projects. Students registered through other categories such as through project for M.S/Ph.D. are not eligible for remuneration.

Application for part time employment of students in sponsored projects for U.G/P.G students:

a) Remuneration rate has to be fixed by the concerned coordinator at the rate between Rs.50/- and Rs.100/- per hour.
b) During the Academic session, only part-time engagement is allowed. Such part-time engagement should not exceed a maximum period of 40 hrs per month. During vacation period this is 120 hrs per month.

c) The payment shall be only for the duration for which the student has actually worked. The payment is made based on the certification given by the co-ordinator.

d) All part-time payments will be only for the duration of the project. The part-time payments have to be made within two months of completion of the work by the students from the contingency head of the projects.

e) The payments can only be made from the contingency fund is available of the project.

2.4 Project Staff Administration

The following procedure will apply with regard to the administration of staff recruited on selection or ad-hoc basis.

a) The Project staff will work directly under the supervision of the PI. Their attendance and punctuality in work, the allocation of duties are all made by the PI.

b) The personal files of the project staff will be maintained by the PI.

c) The project staffs are eligible for Leave as mentioned in Annexure II.

d) Project Staff are eligible only for the consolidated salary as mentioned in Annexure II and not eligible for any other benefits.

e) Leave can be approved by the PI. But if the leave exceeds the permitted level, it will be treated as leave without pay. This is to be approved by the Director, Research.

f) The female staffs appointed through selection process are eligible for Maternity Leave as per Institute's rules.

g) The transfer of project staff from one project to another is not permissible. They can be appointed again only through a fresh appointment process.

h) The project staff must be advised to give sufficient notice well in advance before they leave the project.

i) The salary of the last month in service will not be distributed until a no-dues certificate in the prescribed form is received from the coordinator by Research office. The staffs have to surrender ID card at the time of relieving.

j) Care must be taken by the PI to see that the staff members are not engaged beyond the duration of appointment or the closing date of the project.

2.5 Administrative Support by Research Office

The Institute provides the following administrative support and accounting facilities for carrying out the sponsored research projects:

a) The Director, Research sanctions expenditure, recruitment of staff and distribution of honorarium to the PI and Institute staff.

b) For purchase of material and equipments the Institute rules shall apply.

c) Temporary advance up to Rs. 10000/- is sanctioned by the Director, Research for minor purchases and incidental expenses. The PIs must settle these accounts within one month from the drawal of advance.

d) An imprest amount subject to a maximum of Rs. 5000/- per project is sanctioned by the Director, Research on the request of the PI. This can be operated by the PI / CI. The imprest can be utilised for petty purchases, contingencies etc. and should be chargeable to sub heads like consumables or contingencies only and the specific sub head should be indicated in the recoupment account. The imprest can be periodically recouped by giving the up-to-date statement of accounts along with all the bills and vouchers duly certified. The accounts can be directly settled with the Accounts Section with a copy to Research Office.

2.6   Project Accounts

2.6.1 The project account shall be maintained by the PI/ Research Office. The expenditure can be incurred only as per the head of sanction. Any deviation or re-appropriation is possible only with the prior approval of sponsoring agency. Funds also cannot be diverted, for creating the infrastructural facilities without the approval of the funding agency.

2.6.2 Whenever funds are to be claimed from the funding agency or bills to be sent against sanction, the same is sent to sponsoring agency by the PI through the Accounts Section with intimation to Research Office. For release of grants in subsequent years also, the Accounts Section may be approached for necessary statement of Accounts (Provisional or audited as the case may be) and for utilization certificates. Release of grants at the right time is to be ensured by the PI, as deficits in projects will affect the progress of the project.

2.6.3 All reimbursements to the Project Investigators and Consultants may be made to the Bank account with intimation to the coordinator concerned

through e-mail. The Investigators / Consultants shall indicate their e-mail ID and project account in the form of seeking reimbursement.

2.6.4 All bills and invoices for payment against purchase order are to be sent to the Accounts Section for settlement with a copy to the Research Office.

2.6.5 All bills duly certified with all the particulars, towards hiring of taxis, purchase of books, entertainment, subcontracting, travel expenditure of visitors etc. must be sent to the Research office.

2.6.6 The accounts of the project will be audited every year. Audited Statement of Account and Utilization Certificates will be sent to the sponsors by PI under intimation to the Research Office. If, however, provisional statement of Account is required for claiming funds from sponsor, Registrar may be approached for the same.

2.7   Incentives to the PIs

2.7.1 The management based on their discretion, may provide one time incentive to the investigators based on the value of the project.

2.7.2 The Project Investigators (PIs) can attend Conferences/Seminars workshops in related areas utilizing the project grants. There is no ceiling for registration fee for attending National or International Conference held in India or abroad. Specific approval of the funding agency to utilize the grants for travel abroad is to be obtained.

2.7.3 Health Insurance coverage, during visits abroad and personal accident insurance for both PI and project staff on work relating to projects is permitted.

2.8   Travel

2.8.1 The PIs/Consultants are permitted to be away on duty, as required for project work. Prior permission of the Director, Research in prescribed form sent through the Head of the Department / Centre, must be obtained for all such travels.

2.8.2 The staff member who will be undertaking the travel has to fill up the approval form. PI and Head of Department / Centre have to countersign the form. This is forwarded to the Director, Research for approval. Care

must be taken by the PI that the total expenditure for travel does not exceed the amount allotted for the purpose. The final TA bill after performing the journey has to be forwarded to the Accounts Section directly.

2.8.3 International travel in projects can be permitted only with the concurrence of the Sponsoring Agency.

2.8.4 The visits abroad by the Project Investigators require a certification by Director, Research that they have made alternate arrangements for carrying out the projects during their absence. Therefore the PIs are to take note of the following, before sending the request to Director, Research.

2.8.5 In case there is more than one investigator, the remaining investigator(s) should give their written concurrence that they will carry out the project during the absence of the one of the investigators.

2.8.6 The client shall meet all the travel, boarding and incidental expenses of the travel undertaken for the work. This should be specified and included in the estimated cost of the project.

2.8.7 TA and DA may be reimbursed on presentation of certified bill as per Institute's norms.

2.8.8 Project staff on tour can be reimbursed boarding and lodging expenses, on production of certified bills as per Institute's norms.

Research Clearance Form

Principal Investigator *to whom correspondence will be sent.* **Students <u>cannot</u> 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 [   ]   <u>Scholarship</u> 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

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

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? No **[ ]**		Yes **[ ]**
I am satisfied that the risks identified within this project will be appropriately managed. No **[ ]**		Yes **[ ]**
Is the project covered by HITS insurance? No **[ ]**		Yes **[ ]**
Is there, or could there be a potentialconflict 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.

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.