National Institute of Technology Durgapur

Rules and Regulations

for

Sponsored Research & Consultancy Cell (SRCC)

1.0 PREAMBLE:

A cell is created by the Board of Governors, NIT Durgapur for the purpose of Promotion of sponsored research & consultancy to meet future needs of India through meaningful education, original research of the highest standard and leadership in technological innovation for the industrial growth of the Country. In addition to offering formal Undergraduate and Post-graduate Programs, the Institute actively encourages its faculty to undertake sponsored research and consultancy projects in order to strengthen the research profile of the Institute.

Sponsored research activity of the institute is administered through Sponsored Research and Consultancy Cell (SRCC). The cell looks after the administrative and financial aspects of sponsored research, industrial consultancy, testing and certification. SRCC acts as a facilitating Centre in providing assistance for the faculty members of the institute in communicating with the external sponsors, both national and international, and maintaining the accounts from pre-award to post award stage of the project.
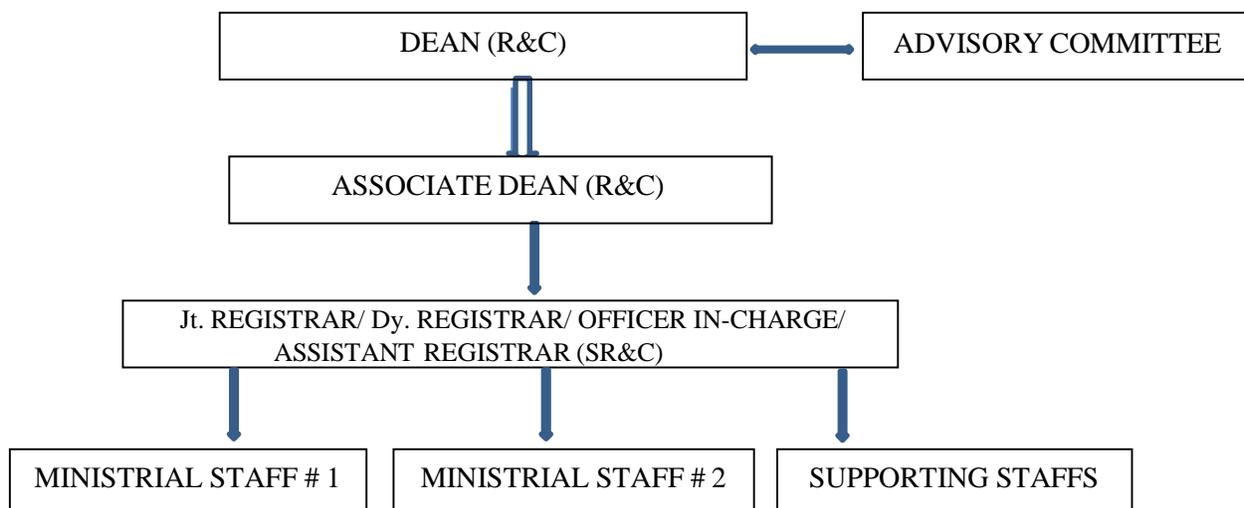
It also promotes and manages Institute-Industry interactions and all externally funded research and development projects as well as patents. All the Industrial Consultancy Projects are to be registered with the SRCC Cell. The Cell acts as a liaison between the Institute and funding agency to undertake sponsored projects.

SRCC shall have total autonomy with respect to the administration of all the sponsored research, industrial consultancy and related matters covered under the SRCC Rules.

SRCC shall be headed by Dean (R&C) and shall consist of Associate Dean (R & C), Assistant Registrar (SR&C) and Ministerial & Supporting staff members and also one advisory committee for guidance. The Dean (R&C) will directly report to Director in all SRCC related issues.

2.0 ORGANIZATIONAL STRUCTURE:

The organizational structure shall be as follows:

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                    DEAN (R&C)  ←————————→  ADVISORY COMMITTEE
                        │
                        │
                ASSOCIATE DEAN (R&C)
                        │
                        │
        Jt. REGISTRAR/ Dy. REGISTRAR/ OFFICER IN-CHARGE/
              ASSISTANT REGISTRAR (SR&C)
          │                    │                    │
          ↓                    ↓                    ↓
  MINISTRIAL STAFF # 1  MINISTRIAL STAFF # 2   SUPPORTING STAFFS
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ADVISORY COMMITTEE:

The Advisory Committee for SRCC shall consist of following:
  (1) Immediate former Dean (R& C)
  (2) Dean (Academic Research)
  (3) Dean (FW)
  (4) Two members nominated by Senate
  (5) Two members nominated by Director

3.0 PRINCIPAL INVESTIGATOR (PI):

The term Principal Investigator (PI) refers to a faculty member of the Institute who prepares and submits the project proposal through proper channel and takes full responsibility of carrying out the project to completion along with the achievement of project goals. As a Principal Investigator, one should take into account his professional interest in identifying new and important research questions. One could establish an internal review panel as a team to discuss the efficacy of the proposed study. The team will concentrate on the improvement of scientific content of the proposal. The PI may be assisted by one or more Co-investigators (CI) for achieving the technical goals. The CI(s) will ordinarily be permanent faculty members of the Institute. In case of Inter-institutional projects, the PI of the second institution will be called Co- PI.

PI of a sanctioned project is considered to be the prime interface between the funding agency and SRCC and is operational head of the project. The PI is advised to keep the whole project team aware about the progress of the project and involve the CI(s) in all related project activities. In his/her absence, the PI may request any of the CI to take-over the responsibility of running the project (with or without financial responsibility) and inform the same to SRCC. When the period of leave is likely to exceed one year, the sponsors must be informed by the PI.

PI /Co-PI/CI(s) can claim honorarium in a project only if it is explicitly provided by the Funding Agency.

PI/Co-PI/CI(s) is permitted to go outside the Institute on Special Casual Leave with prior approval of competent authority, for work related to Projects, but without affecting academic activities in the Institute.

The PI shall be responsible for submission of periodical and /or final technical report(s) of the project work as may be required by the sponsoring agency. He / She shall also send a copy of the final technical report to Dean (R&C).

In the consultancy projects, the principal consultant and other consultants will have the same responsibility and authority as of PI and CI of sponsored research projects.

4.0 <u>SPONSORED RESEARCH</u>

4.1 Project Proposal:

All the project proposals to different sponsoring agencies have to be prepared as per the following format or as per the format prescribed by the Sponsoring agency:

Title: The project title shall be a good match to the proposed themes of the funding agency. Moreover, the reviewer should easily remember it.

Summary of the Proposal: One needs to highlight the aims and overview of the research plan. It should demonstrate the importance of the study and generate interest to the reviewer.

Research Statement: PI should incorporate the relevance of the proposed study, the focus of the study and a rational plan to achieve the study goal(s).

Objectives: The proposal should establish the overall direction of the proposed study. In the case of several objectives PI should state the action, the behavior and the standard against which it will be measured.

Literature Review: PI needs to incorporate important work in a concise manner in the proposed study. In addition, PI should try to advance the knowledge.

Study Design: It shall be simple and clear. Moreover, the design should be based on the study objectives. You may need to discuss with the expert in research methods, if necessary, to obtain suggestions on sample design, data measurement, collection and analysis.

IPR issues: The information generated under the projects is usually the joint property of the Funding Agency and the Institute unless otherwise stated in the Contract/Agreement with a funding agency or a collaborative partner with whom the ownership issue is mutually decided beforehand. The same may be protected by means of filing of copyrights/patents etc.

Funding agencies are concerned with ethical issues of the scientific experimentation. PI is responsible for upholding academic integrity and having the requisite clearance from the ethical committee as required.

Budget Estimate:
While making a budget for a project, the following heads should be taken into account:
- Salary of Project Staff (JRF/SRF/Project staff)
- Equipment
- Consumables
- Travel (domestic, international)
- Contingency
- Overheads

In general, for sponsored research projects 20% on the total project cost shall be charged towards service charges (overheads) for utilizing the infrastructural and other facilities of the Institute. The Institute shall support funding for filling patent and fees related to their maintenance.

All research proposals shall be routed through and endorsed by Dean (R&C) on behalf of the Director, with relevant information required by Sponsors. In case of projects requiring significant infrastructure facilities and additional support by the Institute, Dean (R&C) will obtain the prior approval of the Director. The entire outgoing project proposals will be recorded in the proposal register and be filed for documentation of proposals sent to sponsoring agencies for approval.

All sanctioned and approved project proposals have to be registered with the SRCC by filiing up of „Project Registration Form", duly forwarded by HOD/HOC along with a copy of the proposal (both original and recast, if any) and approval by the sponsors for project registration.

It shall be the responsibility of the PI to get the project work completed satisfactorily within the sanctioned grant and duration.

4.2 Project Staff Recruitment:

All the project employees (JRF/SRF/RA/Project staff) will be appointed through open advertisement followed by the interviews. SRCC provides following options of recruiting project staff to kick-start the project activities:

Casual Appointments:
The PI may apply to the Dean (R & C) to engage the manpower as required on casual basis with suitable qualifications starting from the date of their choice. However, such awards are restricted to 89 days only for each individual. These may be given against sanctioned positions. In the meantime, the process for project appointments against the sanctioned posts in the project can be initiated

Project Appointments:
These appointments are purely contractual and renewed every year maximum up to the duration of the project. On receipt of the project, the PI shall forward the request for such engagements to SRCC. SRCC will post the advertisement on Institute website and SRCC notice board. Usually there should be a time gap of about 3 weeks between the advertisement and the last date for receiving the completed application. After the due date the PI will scrutinize the applications received, short list the candidates and get it approved by Dean (R&C). The usual

time gap between the dispatch of call letter and the date of interview should be about 3 weeks but can be reduced if all short listed candidates can be contacted effectively. The project appointees will have to sign an undertaking.

The PI has two options for holding these selections:

Option I - Walk in test/ Interview; and

Option II - Short listing followed by test and / or Interview.

Selection of JRF/ SRF/ RA shall normally be made as per the guidelines provided by the sponsoring agency and with the approval of the Dean (R&C).

Automatic transfer from one project to another either on completion or midway shall not be permitted, except with specific permission from Dean (R&C)/Director.

The PIs shall consider prevailing compensation package, general qualifications and experience for staff while preparing project proposal.

Selection Committee:

The Selection Committee for the recruitment of project staff for each project shall consist of following:

i)	HOD/HOC of the concerned Dept./ Centre to which the PI belongs	- Chairperson
ii)	One faculty member of the PI"s Dept.	- Member
iii)	One subject expert from outside the Institute as recommended by PI	- Member
iv)	Principal Investigator/Co-Investigator	- Convener

Scheduled selection committees cannot be cancelled at short notice in order to avoid inconvenience to appearing candidates especially coming from outside. The selection process may be conducted offline/online. All appointment letters shall be issued by Dean (R&C) on recommendation of selection committee.

Assistantships/Fellowship:

As per the project guidelines.

Appointing Visiting Scientists:

As per project approval/guidelines the PIs can appoint visiting scientists by invitation against a sanctioned post in a project or from specific project head with the prior approval of Director followed by the recommendation of the Dean (R & C).

Conduct Rules:

A project employee shall execute a Contract Agreement with SRCC at the time of joining with the explicit provision that contract may be terminated by either side (Staff or SRCC Office) by giving one month's notice or one month's consolidated compensation in lieu of the notice.

PIs shall be the sanctioning and controlling authority for all types of leaves with respect to contractual project staff. Project employees shall

a)   Follow general code of conduct as approved by SRCC.
       Maintain secrecy of the research findings/technical information and shall not get involved in unauthorized communication of any official document or information.

Dean (R&C) may, at his discretion, constitute committee(s) to conduct disciplinary proceedings, if necessary against project employees. On the basis of the report suitable disciplinary action may be initiated and punishment will be imposed by the Dean (R&C).

A Project employee working in a sponsored project of the Institute is eligible to register for the M. Tech. / Ph.D. programme of the Institute subject to his / her satisfying the admission qualifications requirements as per institute rules and regulations. However, the remaining tenure of the project at the time of admission should be at least two years accompanied by the declaration of PI that said scholar will be funded by PI/self-financed, if additional time required for the completion of the PhD.

The admitted candidate should give an undertaking that he / she will not be automatically eligible for Institute Fellowship.

4.3 Purchase of Equipment / Consumables:

Purchase of equipment/consumables is to be made by the approved Institute purchase procedure/GFR 2017. PI will take care the procurement process while necessary guidance will be provided by SRCC. However, the bill will be processed by SRCC. For all purchases above Rs. 2,50,000 should be made through SRCC purchase committee:

The SRCC purchase committee shall consist of the following:

i)	Dean (R & C)	Chairperson
ii)	Associate Deans (R & C)	Member
iii)	Jt./Dy./Asst. Registrar (F & A)	Member
iv)	Jt./Dy./Asst. Registrar (P & S)	Member
v)	Jt./Dy./Asst. Registrar (SRCC)	Convener

Additionally, PI shall be a Member to the Purchase Committee for purchases related to his/her projects.

2. After the due date all the quotations will be opened, examined and signed by the SRCC Purchase Committee. Usually, response from at least three parties is needed for a particular purchase. The committee will sign and recommend the comparative statement. Usually, the purchase recommendation should be on the basis of lowest quotation for the given specifications. However, if the purchase committee feels the necessity to recommend a higher bidder on technical grounds, they can do so by documenting a technical justification for rejecting the lowest quotation with the approval of the competent authority.

3. For specialized items or custom made items procured from a reputed manufacturer or its authorized dealer only, a proprietary nature certificate [SF-6] from PI has to be enclosed for purchase with single quotation.

4. The SRCC shall book the fund and arrange for pre-auditing. Only after the purchase requisition has been pre-audited, it will be forwarded to competent authorities for purchase approval.

5. For purchases upto Rs. 5, 00, 00/-, Dean (R&C) will be the approving authority and for purchases above Rs. 5, 00, 000/-, Director will approve the purchase on the recommendation of Dean (R&C).

6. Finally, SRCC will send the approved purchase file and the draft purchase orders to Registrar for

signature. SRCC will particularly ensure that items under taxes, freight, insurance, packing and forwarding, bank charges, payment terms and other terms and conditions are entered correctly in the draft purchase order before sending to Registrar for signature.

Purchase of goods directly under rate contract:

Procurement of the goods under rate contract is to be followed as per the guidelines of the Institute

Imported Items:

The overall purchase procedure for all imported items (equipment, spare parts or consumables) regardless of their value will follow almost the same guidelines with the following additional points which should be taken into account:

1. The quotation should clearly mention if the quoted price is inclusive or exclusive of Indian agent's commission.

2. The commission amount (if any) should be deducted while opening LC.

3. The purchase proposal should contain a Not Manufactured in India (NMI), certificate from PI, if applicable.

4. All purchase orders should mention our cargo releasing agent's name and full address. A copy of the purchase order should be sent to cargo releasing agent at the time of placing the order with the firm for necessary action at their end.

In case of urgency, prior approval of the competent authority is required to make any purchase foreign currency through internet/credit card etc. The need of advance, if any, may also be granted as very special case subject to the approval of the Director.

Procedure for obtaining Engineering Services:

Engineering services such as repair and maintenance work on civil and electrical facilities or alteration / refurbishment will ordinarily be carried out by the Institute Maintenance unit following normal tendering process. However, small works (costing less than Rs. 25000/-) may be arranged by PI at the department level with due approval of HOD/HOC. All formalities of the purchase process, however, should be observed.

4.4 Advance payment:

Advance payment to vendor can be done by taking prior approval of competent authority. The PI may draw advance for such payment and adjustment may be made along with the final bill submitted by the vendor/supplier.

PIs shall normally be allowed to draw another advance only after adjusting the previous one taken by them.

4.5 Payment of Bills:

For all purchases kindly make sure that the bills (except petty cash purchase from imprest account) have S. No., Date and TIN/PAN No. of the vendor/supplier.

While making a purchase, make sure not to pay any Excise Duty as the Institute is exempted from paying it.

Do not incur expenses after the sanctioned duration of the project. Request for extension of projects should be made to funding agencies well in advance.

PIs shall arrange to maintain Procurement-cum-purchase Registers and Stock / Asset Register. These shall be verified by Auditors and SRCC office as and when required. It may be noted that all permanent assets which are of non-consumable nature (equipment/accessories, computers, computer peripherals, furniture etc.) acquired from the project have to be entered in the register of the SRCC and the copy of the same should be sent to central stock entry subsequently.

All the materials / equipment received should be inspected, entered in the stock register and the invoices / bills be certified by PI for payment. In case of purchase of equipment which require installation and demonstration, installation certificate should also be enclosed along with the invoices.
Payment will be made by SRCC through wire transfer/ cheque.   .

The usual payment terms for imported items are through LC, which can be opened only after receiving the order confirmation and proforma invoice from the firm.

4.6 Travel & Travel Allowance:

The PI, CI(s) and Project staff can visit places for project work outside the Institute as per entitlement, subject to availability of funds under budget head "Travel or TA/DA" of the project. However, sanction of concerned HOD / HOC is required for being away from the Institute.

All travel bookings are required to be made as per Institute norms. PIs can sanction expenses related to booking of travel tickets (including Tatkal) and cancellation of travel tickets. Prior approval of Competent Authority is required only in case of any relaxation including non-Air India travel.

PI and CI(s) may travel abroad from a project only if a specific provision is available for international travel in the project sanction. Prior approval of competent authority should be obtained before visits as per the govt rules and sanction of leave needs to be obtained from respective sanctioning authority. PI can sanction Registration fees for international conferences from research projects.

On recommendations of PIs, contractual project staff and students working in projects may be permitted with approval of the Dean (R&C) to present papers in National / International Conferences within the country with TA, DA and Registration Fee support provided the funds are available under Travel head of the project.

To meet upcoming expenses during travel, an advance of maximum Rs. 10,000, subject to the availability of the funds may be drawn. However, it may be noted that such advances need to be adjusted within 15 (fifteen) days from the date of completion of journey. Second advance cannot be sanctioned when the previous advance still remains unadjusted.

Research Fellows (JRFs / SRFs/ RAs) and contract project staff are not entitled for advance. However, they may submit claim for reimbursement of contingency expenditure through proper channel.

The Government of India TA & DA rules will be applicable to the PIs and project employees for all sponsored research/ consultancy projects.

4.7 Organizing Seminars/Workshops and Inviting Visitors:
The project may require to arrange/organize Seminars/Workshops/Meetings etc. PIs are empowered for staging such events where such provision exists and the expenses are within the approved budget from Funding Agency. In case no specific provision exists in the project, PI may still sanction expenses within

a limit of Rs. 15,000/- from the appropriate head.

Visitors from within country:

PIs can invite outside scientist/expert to the Institute under a project for short duration (up to one week) for project related work with expenses limited to their entitlement. Non-Air India travel requires the approval of competent authority.

Visitors from abroad:

PIs like to invite Students/Researchers/Visitors for project activities from abroad will require the approval of competent authority. In some cases, prior approval of MHRD is also required.

4.8 Finance & Accounts:

A separate book of accounts shall be maintained by SRCC for each project. SRCC should provide the UC & SE as and when required by the sponsors. Govt. Audited statement of accounts at the end of each financial year shall be provided, if required by the sponsor.

In the event, any project utilizes Institute's manpower and other supporting facilities beyond office hours, the expenses towards the same shall be charged to the respective project. For this purpose, on the recommendations of the PI and HOD / HOC concerned, the Dean (R&C) may approve suitable honorarium for the supporting staff of the Institute as per norms approved by the Institute from time to time.

Accounts for sponsored projects shall be maintained under five broad budget heads. These are: Salary, Equipment, Consumables, Travel, Contingency and Overheads.

Cash advance shall be drawn in the name of permanent employees only working in the projects. He / she shall normally be allowed to draw another advance only after adjusting the previous one.

All expenditure shall normally be made within the proposed date of completion of the project. Exception may be permitted with the consent of the sanctioning authority.

SRCC shall ensure that the head-wise expenditure does not exceed the budgetary allocation. For effective control, (or as and when required) expenditure details shall be made available to PIs by SRCC.

The PI shall write to the sponsor for timely release of fund with a copy to the Dean (R&C) for follow up. SRCC will provide the un-audited/audited statement of accounts to PIs for forwarding the same to the sanctioning authority.

Day to day Expenses:

PI may draw a permanent imprest advance of Rs. 10,000/- for meeting day-to-day expenses/petty purchase. PI can draw the next advance only after adjustment of the previous one. The adjustment bills have to submit to SRCC by the PI.

5.0 INDUSTRIAL CONSULTANCY

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.

In case of a consultancy project, proposal is prepared by the PI based on the requirement of the industry. It should specifically mention primary component. It may also have the funds, normally consultancy fee as the budget for supporting manpower, equipment, travel, contingency and other such costs to execute the consultancy project.

For projects involving only site visits for consultation work and/or personal discussion, charges will be decided at mutually acceptable rate which shall be based on extent and nature of work. Travelling & Daily allowance will be extra as per the Institute norms.

No consultancy, whatsoever, shall be less than Rs.30,000 and no charges for exclusive material testing shall be less than Rs.5,000.

Industrial Consultancy activities in the Institute and corresponding overhead are of following types:

Sl. No.	Type of Consultancy	Rate of overhead (after deduction of Service Tax)
1	Use of no Institute Facilities	25%
2	Use of institute Laboratory facilities	30%

CALCULATION OF CONSULTANCY FEE:

If project cost (prior to overheads) is P; then overheads of N% will be charged on P as per the table, Service Tax will be 18% (or as applicable) or whatever is applicable, on (P + N% overheads).

For example, for a project cost of P =100 and 25% overheads, the calculation is as follows:

Project cost   = Rs. 100.00

Overhead   = Rs. 25.00

Service Tax   = (Rs.100.00 + Rs.25.00) x 18% = Rs.22.50

Total fees received from client = Rs.100.00 + Rs.25.00 + Rs. 22.50

DISTRIBUTION OF CONSULTANCY FUNDS:

The fund for Consultancy work will be operated by SRCC. The expenditure towards contingencies shall not be more than 25% of the consultancy amount. The consultancy projects where outside agencies will be involved through MOU approved by SRCC shall follow the norms of the MOU. The norms for calculation of various percentages for distribution of the total money received from client (excluding service tax in every case) will be as follows:

General Disbursement Rules:

- Consultancy fees = **C**
- Total expenditure on the project = **E**
- Project cost **P = C + E**
- Overhead Charge **O = P X N%**
- Service Tax **S = (P + O) X 18%** (or as applicable)
- Total fees received from client **T = P + O + S**
    - ∗TDS will be deducted as applicable

Amount **C** will be distributed among the Investigators, technical & supporting staff and office staff (if required). However, a declaration has to be given by the consultants that the relevant consultancy amount has been/will be included in the total taxable income declared by him/her/them to NIT Durgapur (For declaration use the form **SF-2C**).

DISTRIBUTION OF OVERHAED (O) CHARGES:

Out of the overhead charges (30%/25%) collected from the consultancy will be distributed in the following manner:

Sl. No.	Distribution Head	Percentage (%) of Overhead Charges
1.	Departmental Share	10%
2.	SRCC's Share	10%
3.	Institute Research Development Fund (IRDF)	Remaining balance

All sanctioned and approved consultancy project proposals have to be registered with the SRCC by filling up of the "Project Registration Form", duly forwarded by HOD/HOC (For category 10.2 in SRCC Form 2) along with a copy of the proposal (both original and recast, if any) and approval by the sponsors for project registration.

It shall be the responsibility of the PI to get the consultancy work completed satisfactorily within the sanctioned amount and duration.

All other norms for consultancy projects presently in vogue shall continue to be applicable with Dean (R&C) having total financial and administrative power. Besides, the rules of sponsored research projects mentioned aforesaid are also applicable.

Sl. No.	Activity 6.1 **Project Initiation:**	Responsibility	Estimated time (Max no. of working days)
1	Submission of proposal to SRCC	PI through HOD or HOC	2
2	Scrutiny of overhead as per norm	SRCC Staff / Asst Registrar (SR&C)	1
3	Endorsement of the proposal	Dean (R&C)/Registrar	1
4	Archive soft / hard copy of the proposal	SRCC Staff	1
5	Dispatch of the proposal (hard copy) to the Sponsor	SRCC Staff / PI	1
6	Registration of the project at SRCC after receipt of sanction letter from the sponsor	PI	-
7	Assign the project number	SRCC Staff	2
8	Intimation of bank account number of SRCC to Sponsor	SRCC Staff / PI	1
9	Budget heads created, received funds in various heads noted. Project operational.	SRCC Staff	2
10	Overhead / service tax deducted from project fund	SRCC Staff	2

6.2 Purchase:

Sl. No.	Activity	Responsibility	Estimated time (Max no. of working days)
1	Preparation of bid document & Tendering	PI	-
2	Preparation of comparative statement & purchase order	PI + SRCC Purchase Committee	3
3	Scrutiny of fund availability and purchase procedure & Approval	SRCC Staff / Internal Audit/ Dean (R & C)	3 -
4	Signing PO	Registrar	
5	Dispatch of PO to vendor, PI	SRCC Staff	1
6	Receipt of goods	PI	-
7	Inspection / testing / commissioning etc.	PI	7
8	Entry into measurement book	PI	1
9	Submission of bills, Installation & warranty certificates to SRCC	PI	15
10	Scrutiny of bills & Release of payment to vendor	SRCC	1

6.3 Accounts / Reports:

Sl. No.	Activity	Responsibility	Estimated time (Max no. of working days)
1	Submission of progress reports & other deliverables to the sponsor	PI (with a copy to SRCC)	-
2	Audit of funds each FY	SRCC through Auditor	15
3	Submission of UC & Audit report to sponsor	PI	-
4	Payment of service tax to appropriate authority	SRCC Staff	3
5	Submission of Completion Report to sponsor	PI	-
6	Payment of honorarium to investigators (Consultancy projects)	SRCC Staff / Asst. Registrar (SR&C) / Dean (R&C)	3

6.4 Travel:

Sl. No.	Activity	Responsibility	Estimated time (Max no. of working days)
1	Submission of travel application through HOD/PI	Project staff / PI	-
2	Scrutiny for fund availability	SRCC Staff	1
3	Application for advance	PI	-
4	Approval and release of advance	SRCC Staff /Asst. Registrar (SR&C) / Dean (R&C)	3
5	Submission of TA bill	PI	-
6	Processing of TA bill and adjustment	SRCC Staff / Asst. Registrar (SR&C) / Dean (R&C)	3

6.5 Project Staff:

Sl. No.	Activity	Responsibility	Estimated time (Max no. of working days)
1	Request for recruitment as per provision in sanctioned project along with details	PI	-
2	Scrutiny / Approval	SRCC Staff / Asst. Registrar (SR&C) / Dean (R&C)	2
3	Advertisement on website	-	1
4	Submission of Recommendation of the selection committee along with evaluation sheet and application of the selected candidates, issue of Appointment letter	PI	30
5	Agreement of appointment	-	2
6	Submission of joining report to SRCC	PI through HOD	2
8	Release of assistance ship/fellowship	SRCC Staff / Asst. Registrar (SR&C) / Dean (R&C)	By 2nd of next month

Availability of concerned officials in SRCC office has been presumed in estimating the maximum number of working days required to complete an activity.

All documents will be finally checked and countersigned by PI.

7.0 Disbursement of Overhead Charges for sponsored Research Project etc.:

Normally overhead charges shall be applicable @20% of the total project cost. Sometime, the overhead charge sanctioned by the sponsoring agency is less than 20%. In that case overhead charges will be acceptable as per sponsoring agency norm.

Distribution of the total Project Overhead

Sl. No	Distribution Head	Percentage of Total Amount proposed for 'Project Overhead' of SRP
1	Institute Research Development Fund (IRDF)	40
2	Departmental (in which PI belongs) Development Fund (DDF)	20
3	Professional Development Fund (To be made available to Principal Investigator (PI) (PDF)	30
4	Research Management Fund (RMF)	05
5.	Department Promotional Account (DPA):	05

Definitions:

1. **Institute Research & Development Fund (IRDF)**
   40% (Forty) of the overheads from Sponsored Research Project will be credited to a fund called Institute Research and Development Fund. 10% of the Institute Research and Development Fund will be transferred every year to a core fund, which will form the Corpus of the Institute. The usage of IRDF will be coordinated by Dean (R & C) of the Institute with the approval of the Director. It shall be utilized primarily for the Research & overall developmental activities of the institute, as may be decided by a committee of Deans.

2. **Departmental Development fund (DDF)**
   20% (Twenty) of the overheads from Sponsored Research Project shall be transferred to the DDF of the concerned academic department(s). The objective of this fund is to provide additional grant to the department for its developmental activities as well as for funding its other activities for which adequate funds are not available from other sources. This fund can also be used for activities like providing seed money for holding conferences / workshops and seminars etc. The budget proposal for utilizing DDF shall be prepared and submitted by the Department to the Director and utilized after obtaining his approval. The account of DDF shall be maintained by accounts section and statement shall be sent to the department(s) at the end of financial year. The department(s) concerned shall submit expenditure bills to the accounts section for processing payment.

3. **Professional Development Fund (PDF)**

   Professional Development Fund (30% of the overheads from Sponsored Research Project) shall be created for individual faculty. The objective of this will be to help individual faculty member in his / her professional development. The account of PDF shall be maintained by SRCC and statement shall be sent to the departments at the end of financial year. The departments concerned may submit expenditure bills to the SRCC for processing payment. PDF shall be utilized by the concerned individual faculty for expenditure under approved heads (research related items). All expenditures are reimbursable only. The PDF amount can be utilized by the individual even when there are no on-going projects in his / her name. Accumulation of PDF is permitted without any upper limit.

4. **Research Management Fund (RMF)**

   There shall be a research management fund (5% of the overheads from Sponsored Research Project) created in the name of PI to upkeep and maintain the lab/instruments/workspace/furniture/AMC/Air conditioning of the lab. The RMF shall be maintained by the account section and statement will be sent to the respective department at the end of the financial year. The PI concerned may submit the expenditure bill to the Accounts Section for processing and payment. The RMF can be availed even after the completion of the project.

5. **Department Promotional Account (DPA):**

The DPA (5% of Overhed fund subject to max Rs. 10,000/-) may be distributed among the involved staff members of the Institute.

SPONSORED RESEARCH & CONSULTANCY CELL

NATIONAL INSTITUTE OF TECHNOLOGY DURGAPUR

Application for Enrolment in the Ph. D. Programme (For use of JRF, SRF, RA employed in a sponsored scheme/project individual scholarship holder of CSIR / UGC)

To

The Dean (Academic Research)

National Institute of Technology Durgapur

(Through: Proper Channel)

Sir,

I am interested to enroll for the Ph. D. degree of the Institute and request for your permission to join the Research programme in the Department / Centre _____ and furnishing the following information and testimonials in support of my application.

1. Name of applicant (in full):

2. Nature of the offer received: (a) Appointment in a tenure scheme / project or (b) Award of individual fellowship

(* Strike out the one not applicable)

3. Joined in the Department / Centre _____ in the capacity of _____ on date _____

4. (a) Tenure of the award _____ Years _____ Months effective from the date

   (b) Name of the Scheme / Project:

5. Home Address:

Pin _____

6. Academic Qualification:

Standard	Degree	Board / University	Year of Passing	CGPA / % of marks	Subjects offered
XII					
Graduation					
Post Graduation					
PhD					

7. Particulars of all India qualified in (GATE / CSIR / NET) etc.:

Name of the test	Conducting authority	Year of qualifying	Score

8. Accommodation:

(a) Presently staying at _____

 (b) Accommodation requesting for in a Hall of Residence _____(REQUIRED / NOT REQUIRED)

9. Declaration:

I hereby give the undertaking that on being permitted to enroll in the Ph. D. programme

(i) I shall obtain a certificate of fitness from the SMO, Medical Unit

(ii) Pay all necessary fees & deposits as required by the Institute

(iii) Abide by all conditions prescribed by Regulations and further directives / instructions issued by the authorities from time to time.

Dated _____   (Signature of the applicant)

For Sponsored Scheme / Projects:

Certified that the particulars furnished above by the applicant have been verified and found to be correct. I have no objection to his/her being enrolled for the Ph. D. degree.

Date _____   (PRINCIPAL INVESTIGATOR)

The DRPC has interviewed the applicant and found him qualified for enrolment for the ph. D. degree (if admitted) all necessary facilities will be made available to the applicant.

Forwarded and recommended

Date _____   (Signature of the Head of the Department / Centre)

_____

The applicant may be allotted a seat in the _____Hall of Residence.

                                                                                          (CHIEF WARDEN)
_____

The candidate is eligible / not eligible for enrolment and therefore may be / may not be admitted.

                                                                                          DEAN (R & C)
_____

JRF can register for PhD programme if the Project has minimum two years duration to complete.
Continuation of the PhD programme after completion of the said project is the sole responsibility of PI and concerned candidates,

Flowchart for Purchase

Cost of the item <20 Lakhs

Cost of the item >20 Lakhs

PI prepared purchase documents

Dean (R&C) Approved upto 5.0 Lakhs

SRCC

Director Approved above 5.0 Lakhs

Tender floating and evaluation by PI in GeM only + Departmental purchase committee of PI's Dept. for the item's cost **up to 20 lakhs**.

Tender floating and evaluation in GeM by Central Procurement Cell as advised by central purchase committee (CPC)+ DPC + PI for **above 20 lakhs**

If the item is not found in GeM

Take the GeM not found report, and place it to CPC/CA for their advice/approval **before applying GFR 155.**

Direct Purchase (<25k) with work order or After Successful Tendering (>25k) by PI+ SRCC

Purchase order signed by PI + Dean (R&C) +Registrar

Purchase order Generation by SRCC + PI after bidding

Supplier

Delivering & Installation in PI lab. PI entry in MB & SB and collect all documents from party, OEM declaration for L1/L2 class

Delivering to PI lab. PI collect all documents, entry in MB & SB if required, Place it to the SRCC for bill processing

SRCC for payment

Internal Audit

Dean (R&C) or CA

SRCC

Payment to supplier

Flowchart for Project Initiation

```
┌─────────────────────────────────┐
│     PI prepared the proposal    │
└─────────────────────────────────┘
                │
                ▼
┌─────────────────────────────────┐
│          HOD Forward            │
└─────────────────────────────────┘
                │
                ▼
┌─────────────────────────────────┐
│             SRCC                │
│      Scrutiny + Make a file     │
└─────────────────────────────────┘
                │
                ▼
┌─────────────────────────────────┐
│      Dean (R & C) Approved      │
└─────────────────────────────────┘
                │
                ▼
┌─────────────────────────────────┐
│   Dean (R&C)  Endorsement       │
└─────────────────────────────────┘
                │                              ┌──────────────────────────────┐
                ▼                              │ The PI should open new bank  │
┌─────────────────────────────────┐           │ account of the project with  │
│             SRCC                │           │ SRCC staff                   │
│   Save a copy in file (only the │           └──────────────────────────────┘
│   approved page with the title) │                          ▲
└─────────────────────────────────┘                          │
                │                              ┌──────────────────────────────┐
                ▼                              │ Once the project is approved,│
┌─────────────────────────────────┐           │ the PI should submit the final│
│              PI                 │  ───────▶  │ version of the approved project│
│    For upload or submit to      │           │ proposal with budget to SRCC │
│        Funding Agency           │           └──────────────────────────────┘
└─────────────────────────────────┘
```

Flowchart for Project Staff Selection

```
                    ┌─────────────────────────────────────┐
                    │ PI prepared qualification and        │
                    │ experience for staff & selection     │
                    │ committee                            │
                    └─────────────────────────────────────┘
                                    │
                                    ▼
┌──────────────────┐      ┌──────────────────┐         ┌──────────────────┐
│ Dean (R & C)     │ ───▶ │                  │         │ Staff payment    │
│ approved the     │      │      SRCC        │         └──────────────────┘
│ requirement &    │ ◀─── │                  │                  ▲
│ selection        │      └──────────────────┘                  │
│ committee        │               │               ┌──────────────────────┐
└──────────────────┘               ▼               │ SRCC joining report  │
                    ┌──────────────────────┐       │ & attendance sheet   │
                    │ Advertised in         │      │ for every month      │
                    │ Institute             │      └──────────────────────┘
                    │ website/Newspaper     │                  ▲
                    └──────────────────────┘       ┌──────────────────────┐
                                    │               │ Project staff        │
                                    ▼               │ joining under PI     │
                    ┌──────────────────────┐       └──────────────────────┘
                    │ SRCC collection of    │                  ▲
                    │ applications          │      ┌──────────────────────┐
                    └──────────────────────┘       │ Selected project     │
                                    │               │ staff                │
                                    ▼               └──────────────────────┘
                    ┌──────────────────────┐                  ▲
                    │ PI screening          │      ┌──────────────────────┐
                    └──────────────────────┘       │ Issued appointment   │
                                    │               │ letter by AR         │
                                    ▼               │ (SR&C)               │
    ┌──────────────────────┐   ┌────────┐          └──────────────────────┘
    │ Selection committee   │──▶│ SRCC   │──▶              ▲
    └──────────────────────┘   └────────┘
                                   ↕
                    ┌─────────────────────────────────────────┐
                    │ Approval of the recommendation of        │
                    │ selection committee by Director/Dean     │
                    │ (R & C)                                  │
                    └─────────────────────────────────────────┘
```

Flowchart for Report Submission

```
┌─────────────────┐        ┌──────────────────┐        ┌──────────────────┐
│  Dean (R & C)   │ ⇄⇄ →  │      SRCC        │  ⇄⇄ → │   Audit officer  │
│                 │        │ Prepared UC & SE │        │                  │
└─────────────────┘        └──────────────────┘        └──────────────────┘
                                     │
                                     ▼
                           ┌──────────────────────┐
                           │ Director/Registrar,  │
                           │     if require       │
                           └──────────────────────┘
                                     │
                                     ▼
                           ┌──────────────────────┐        ┌──────────────────┐
                           │        SRCC          │  ←──── │ Progress report  │
                           │ Save the copy of UC, │        │ prepared by PI   │
                           │ SE & report in file  │        │                  │
                           └──────────────────────┘        └──────────────────┘
                                     │
                                     ▼
                           ┌──────────────────────┐
                           │   PI for uploading   │
                           └──────────────────────┘
                                     │
                                     ▼
                           ┌──────────────────────┐
                           │   Funding Agency     │
                           └──────────────────────┘
```

Flowchart for Consultancy Project

```
                          ┌──────────────────────┐
                          │ Industry/Organisation │
                          └──────────┬───────────┘
                                     │          │
                          ┌──────────▼──┐       │
┌────────────┐           │    SRCC      │       │
│ Department │ ◄─────────┤              │       │
└─────┬──────┘           └──────────────┘       │
      │                                          │
      ▼                                          ▼
┌────────────┐    ┌──────────────────┐   ┌──────────────┐    ┌──────────────┐
│ Supervisor │───►│ Dean (R & C) for │──►│  Supervisor  │───►│     HOD      │
│            │◄───│    approval      │   │              │◄───│  Forwarded   │
└─────┬──────┘    └──────────────────┘   └──────┬───────┘    └──────────────┘
      │                                          │
      ▼                                          ▼
┌──────────────┐   ┌────────────────────┐  ┌──────────────┐
│Industry/Organi│──►│       SRCC         │◄─│Industry/Organi│
│    sation     │   │ collection of fees,│  │    sation     │
└──────────────┘   │ record in file the │  └──────────────┘
                   │    documents       │
                   └─────────┬──────────┘
                             │
                             ▼
                   ┌────────────────────┐
                   │    Payment to      │
                   │ supervisor/project │
                   │ staff after        │
                   │ completing work    │
                   └────────────────────┘
```