



भारतीय प्रौद्योगिकी संस्थान खड़गपुर
INDIAN INSTITUTE OF TECHNOLOGY KHARAGPUR

No. MS/B-1(201)/2021/3189

Dated: 11th October, 2021

M E M O


The undersigned is directed to convey that the Board of Governors at its 201st meeting held on 01.09.2021 approved the revised rules and Regulations of Sponsored research and Industrial Consultancy (SRIC) cell of the Institute subject to the following modification:

In Annexure-II, clause 10-(iii) to be read as "I/We plan to spend.....hours of time on this work per month on an average basis" instead of "I/We plan to spend.....% of time on this work on a daily basis".

Details are given in the **Annex**.

This is for information and necessary action please.

Encl: As stated


Registrar &
Secretary, BOG

To

1. All Deans/ Associate Deans
2. Dean, SRIC
3. All Heads of the Department/ Centre/ School
4. Joint Registrar, SRIC

Copy to :

1. Secretary to Director
2. Secretary, Deputy Director's Office
3. Secretary, Registrar's Office
4. Web Notice Board

BoG: 201-3

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BE it enacted by Board of Governors of IIT Kharagpur in its 201st meeting held on 01.09.2021 as follows:

SHORT TITLE AND COMMENCEMENT	1 (i)	These rules and regulations may be called the "SRIC Rules & Regulations (Amendment) 2021"
	(ii)	It shall come into force on such date as the Board of Governors may, approve in the meeting.
DEFINITIONS	2	In this Rules and Regulations, unless the context otherwise requires:-
SPONSORED RESEARCH PROJECT	(i)	A sponsored research project is a grant, contract or other arrangement formalizing the transfer of money or property from a sponsor (from Government or its department, Industry, private clients, including overseas) to the IIT Kharagpur with the intent to either carry out a public purpose or provide a direct benefit to the sponsor via research and development work. Sponsored projects can come in various forms, including but not limited to grants, contracts and cooperative agreements. Sponsored projects are enforceable by law, and specified objectives are usually accomplished within a specified time frame, with payment being subject to revocation.
CONSULTANCY PROJECT	(ii)	Consultancy Projects are commonly specific problem solving projects sponsored by funding agencies with

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payment of consultancy fee / honorarium to the Investigator(s) in addition to all other expenses. Consultancy projects are awarded and administered in a manner similar to Sponsored Research Projects, but with the objective of providing specific consultancy services to a client (Sponsor). When the award is accepted, the principal investigator (PI) assumes responsibility for conducting and completing the assigned work and for administering the project in accordance with the terms and conditions agreed upon.

SPONSOR	(iii)	The organization that offers the Sponsored Project to the Institute and gives necessary financial support for successful completion of the project in time.
INSTITUTE	(iv)	Indian Institute of Technology Kharagpur
DIRECTOR	(v)	Director, Indian Institute of Technology Kharagpur.
SRIC CELL	(vi)	Without prejudice to the provisions to the Institute rules including statutory powers as per Acts and Statutes including compliances such as Income tax, GST, annual accounts, any other taxes, etc., a cell created by the Board of Governors, Indian Institute of Technology Kharagpur,

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i.e, SRIC cell shall exercise following powers and perform following duties, namely:

- i) To promote SRIC, IPR filing & maintenance and management, Technology Transfer;
- ii) To monitor Project compliance with terms and condition of agreement/ contract between sponsor(s) and the Institute;
- iii) Manage fund and financial aspect of projects;
- iv) Liaison with PIs, the Institute and Sponsors;
- v) Administer the contractual / deputed project personnel;
- vi) Develop innovative schemes and initiatives with a vision of promoting R&D and generating revenues simultaneously, with internal/ external support.
- vii) Any other activities that may be mandated/ approved by the competent authorities from time to time.

DEAN (SRIC)

- (vii) Dean (SRIC) is appointed by the Director as Head of the SRIC. The delegation of Financial Power of the Dean (SRIC) shall be as per approval of the BoG from time to time. Subject to the provisions of Acts and Statutes of the Institute and SRIC rules, the Dean (SRIC) shall have full

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responsibility for sponsored project administration including:

- (i) acceptance of Sponsored Research and Industrial Consultancy projects from the Sponsor on behalf of the Institute and authorization of Project specific agreements;
- (ii) the recruitment, extension, assessment, termination and invoking of disciplinary procedure against project staff;
- (iii) the delegation of financial power related to all projects as per Institute approved norms.
- (iv) The recruitment/ engagement/renewal/ extension/termination/disciplinary procedure of the project staff for Institute level projects shall be made with as per SRIC Rules but will require prior approval of the Director on recommendation from Dean(SRIC).

ASSOCIATE DEAN (SRIC)

- (viii) Associate Dean (SRIC) is appointed by the Director. In absence of Dean (SRIC), he/she will discharge the function of Dean (SRIC).



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The delegation of Financial Power of the Associate Dean(SRIC) shall be as per approval of the BoG from time to time.

**JOINT
REGISTRAR/DEPUTY
REGISTRAR/ ASSISTANT
REGISTRAR**

(ix)

The Joint Registrar/ Deputy Registrar/ Assistant Registrar shall be posted by the Institute at SRIC.

The delegation of Financial Power of the above stated officers shall be as per approval of the BoG from time to time.

**PRINCIPAL
INVESTIGATOR (PI)**

(x)

Faculty members with necessary expertise and competence to conduct a Sponsored Research / Industrial Consultancy work. For administrative reasons, the Principal Investigator of some projects except for Institute level projects may be appointed by the Dean (SRIC) in consultation with concerned HOD, if the original PI leaves or his/her services are not available to the project for any other reason.

Faculty members under temporary service or superannuated may not be permitted to undertake any externally funded Project as Principal Investigator/ Consultant in Charge. However, they may participate as co-Principal Investigator/ Co-Investigator/ Co-Consultant

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in the said Projects. A faculty member, who is going to superannuate during the Project tenure, must appoint a co-PI or Joint-PI, at least one year before the date of superannuation, with endorsement from the Head of the respective Academic/ Research unit where the Project is being implemented.

Any staff member other than faculty member may undertake outside work only on approval from the Director on a case-to-case basis.

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| JOINT PRINCIPAL INVESTIGATOR (Joint-PI) | (xi) | Joint- PI holds all authorities and responsibilities same as the PI. |
| CO-INVESTIGATOR (Co-PI) | (xii) | Co-PI may be any designated faculty member co-opted by the Principal Investigator to work jointly with him/ her. If PI leaves the Institute or goes on leave, a Co-PI may assume the power of the PI with the approval of the competent authority, if eligible otherwise. |
| INVESTIGATOR | (xiii) | A faculty member or a technical/ scientific staff with sufficient expertise relevant to a project/consultancy work appointed by the PI under intimation to Dean (SRIC) for execution of the work. An investigator shall not handle a project independently and he/she has to work with a PI or |

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CO-PI who has the financial powers for execution of project activities.

INDIVIDUAL RESEARCH AND DEVELOPMENT GRANT /FELLOWSHIP	(xiv)	Research and Development grant-in-aids offered to individual or teams of faculty members, research fellows by the sponsors and executed using Institute facilities with financial support from the granting agencies towards equipment, contingency, overhead, fellowship etc.
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HUMAN RESOURCES	3
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(A) SRIC OFFICE		The structure of distribution of Human Resources in SRIC will be as decided by the Institute from time to time.
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(B) PROJECT STAFF	(i)	The project Staff shall be appointed for assisting / working on the project as per prescribed selection procedure, designations, qualifications and experience requirement, subject to the budgetary provision approved by the agency under the head manpower/ salary.
	(ii)	All project appointments will be contractual and on the basis of consolidated monthly compensation unless explicitly mentioned in sanction letters.
	(iii)	The Project Staff shall work for fulfilling the objectives of the project

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- (iv) Automatic transfer from one project to another either on completion or midway shall not be permitted. Under exceptional and special circumstances, the competent authority may give special permission for such transfer, depending on the merit of the case, from time to time.
- (v) The tenure of appointment of a project staff will be at the most for the entire duration of the project including extension if any, subject to the performance of the project staff and the same will be assessed at the time of each renewal. The notice of termination shall be issued to the project staff by the PI one month prior to the termination of appointment.
- (vi) On the completion of one year or more and on recommendation of PI and Head of the Department, the enhancement of emolument at a level from 0% to 15% per annum may be considered. The enhancement proposal shall be accepted subject to the approved budget by the funding agency. For enhancement more than 5% , the assessment shall be done through a Committee constituted by Dean(SRIC).
- (vii) The consolidated emolument of the project staff shall not be less than a threshold amount which is currently Rs. 21,500 per month. The minimum consolidated salary will

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be announced by SRIC office from time to time and PIs shall comply the same.

- (viii) No post shall be advertised over and above the post or manpower requirement mentioned in the Project approval, except for the cases agreed upon by the funding agency. However, no such restraints would be there for unrestricted components of any research grant.
- (ix) A project employee shall execute a contract Agreement on acceptable non-judicial stamp paper with SRIC at the time of joining with the explicit provision that contract may be terminated by either side (Staff or SRIC Office) by giving one month's notice or one month's consolidated compensation in lieu of the notice.
- (x) Appointment of Project staff on short term contract basis can be considered for a period not exceeding 89 days, except for the Institute level projects which will additionally need approval of Director, subject to availability of funds.
- (xi) Foreign nationals having relevant visa may also be eligible for appointment for fellowship for a period of 12 months on contractual basis which may be extended upto two years on recommendation of PI, following GOI norms. OCI

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and PIO cardholders will be treated at par with Indian nationals as per GoI norms.

(xii) Selection of staff against sanctioned positions shall normally be made as per the stipulations provided by the sponsoring agency and with the approval of the Dean (SRIC).

(xiii) All appointment letters shall be issued under signature of Joint Registrar (SRIC) / Deputy Registrar (SRIC)/ Assistant Registrar (SRIC).

(xiv) The Selection Committee for the recruitment of Project staff for each project will be constituted by the Dean (SRIC) with the following membership:

- (i) Dean (SRIC) or his/ her nominee – Chairman
- (ii) Principal Investigator – Member
- (iii) Head of the concerned Department
/ Centre/ School/ Unit to which the PI belongs
-Member
- (iv) An expert on the subject (to be recommended
by the Department/Centre/School/Unit)
- Member
- (v) An expert to be nominated by the Dean (SRIC),
if the PI is the HOD / HOC
Member

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- (xv) In case of Projects with a provision of HRA, Government of India (GOI) rule will be applicable. The project employees shall be entitled to HRA if the same is approved by the funding agencies. However, HRA cannot be drawn in case on-Campus accommodation is provided to the concerned employee. In that case, expenditure towards on campus accommodation shall be charged to the salary head of the respective project. In cases where the budget cannot be covered from the salary head as sanctioned, these charges can be borne from the contingency head.
- (xvi) The PIs shall consider a compensation package based on the desired qualifications and experience for staff while preparing project proposal or project advertisement. The compensation packages should be in accordance with the project requirements, and preferably at par with those of other IITs or IoEs having similar projects so as to engage and retain good quality staff for achieving the target deliverables. For Private funded Projects, a provision of creating Project position with emoluments as agreed upon by the funding agency may be kept. For Government funded Projects, relevant GOI rules and regulations for the salary structure needs to followed, with possible

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exceptions based on the consent of the funding agency only.

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

(xviii) SRIC/Institute will not have any liability to regularize the project staff either in the Institute or SRIC.

CONDUCT RULES

(xix)

i) Project staff shall not have any right to claim regularization of his/her post either in the Institute or SRIC under any circumstances.

ii) Follow general code of conduct as applied in the Institute for temporary staffs.

iii) Maintain secrecy of the research findings / technical information and shall not get involved in unauthorized communication of any official document or information that may have conflict of interest with the Institute.

(xx) Dean SRIC, as per the recommendation of the PI, may constitute committee(s) to conduct disciplinary proceedings, if necessary, against project employees, except for the employees appointed under the Institute level projects/SRIC fund such as overhead etc. On the basis of the report, suitable disciplinary action may be

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recommended by the Dean SRIC for approval of the Director.

For employees under Institute level project and the employees appointed at SRIC, Director may, as per recommendation of Dean(SRIC), 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 imposed by the Dean SRIC/Director as the case may be, following due process.

- (xxi) Project employees may be allowed to register for M.S/Ph.D Programme if he/she fulfills all the requirements prescribed by the Institute.

C) STUDENT ASSISTANT 4 (i)

The PI may engage Institute students as student assistant for project work.

- (ii) There will be provisions of paying honorarium lump sum to such students, over and above the Fellowships or stipends that they may be getting from other sources. However, the honorarium cannot be on monthly basis especially for Government funded Projects. For Private funded Projects, honorarium of an amount as approved by the funding agency may be given, subject to the final approval of the Dean SRIC. For Institute projects/ Institute

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level projects, the Director will be final authority for sanction of honorarium.

- (iii) Undergraduate students and interns may be entitled to be awarded a consolidated stipend for contributing to the activities of the Sponsored Projects, subject to budgetary provisions made in the projects and the final approval of the Dean (SRIC) except in case of the Institute/Institute level projects.

**D) INTERNAL
CONSULTANTS**

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PIs or other designated investigators of a Sponsored Research Project may be entitled to draw consultancy fees/ honorarium/ top-up on a monthly or consolidated basis, based on the approval of the funding agency. The emolument may be paid after deducting specific share of the Institute, at a pre-fixed rate as applicable in case of consultancy. Such emoluments will be subject to taxations as per rules.

**E) EXTERNAL
CONSULTANTS**

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External consultants may be appointed after following due procedure as per GOI norms for their selection and appointment.

F) VISITING SCIENTISTS

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Visiting Scientists may be appointed against a sanctioned post or as per approval of the funding agency, but due procedure as per GOI norms needs to be followed for their selection and appointment.

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INTERNAL SCHEME FOR PROMOTING RESEARCH & DEVELOPMENT AND REVENUE GENERATION	8	SRIC will support new initiatives and activities with a vision of promoting R&D, technology transfer & commercialization and generating internal revenues via introducing suitable Business models, utilizing internal and external grants. Introduction of such schemes will require approval from the Director.
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INSTITUTE OVERHEAD FOR SPONSORED RESEARCH AND CONSULTANCY PROJECT	9
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Institute's Overhead on Sponsored and Research Project	1
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- (i) The Institute Overhead on Sponsored Research Project shall be proposed as at least 20% of Project cost, during submission of the Project proposal.
- (ii) Institute's Overhead shall be determined on the total project cost at the time of sanction of the project. In the event of increment of the project cost, the Institute's overhead shall be increased proportionately
- (iii) The government funding agencies (like DST, DBT, CSIR, BRNS, ARDB, DRDO, ISRO etc.) and nationally/globally

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recognized University R&D Support programmes as well as other Internationally-reputed funding agencies may commonly have their own overhead norms. Institute's overhead will be accepted as per the norms of such funding agencies, if the same rate is uniformly applicable to all other academic and research Institutes.

- (iv) For all internally funded projects as well as Projects directly or indirectly supported/ funded by the Ministry of Education, overhead costs are notional and need not be indicated, unless exclusively mentioned otherwise by the sanctioning authority.
- (v) For all other instances, PI may be advised to adjust the distribution of various cost heads of the Project to an extent that service charges for Project execution and management may be levied in lieu of the overhead deficit to match the mandated overhead rate as per the stipulated Institute norms.
- (vi) Any departure from the above may be required the approval of the Director on case to case basis subject to the recommendation of the Dean (SRIC). In special cases on the recommendation of the Dean (SRIC) with acceptable justifications, the Director can give waiver of the Overhead.

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Institute's Overhead
from Industrial
Consultancy Project

2 (i)

The Institute's overhead for Consultancy Project may be as follows:

Category	Industrial Consultancy Activity	Overheads or Institute's Share as a Percentage of Project Cost
I	Routine Testing and Calibration	40
II	Projects requiring use of Laboratory and other facilities of the Institute	30
III	Projects that do not use Institute's facilities	25

(ii)

Institute's Overhead shall be determined on the total project cost at the time of sanction of the project. In the event of increment of the project cost, the Institute's overhead shall be increased proportionately.

(iii)

In the event of non-completion of Consultancy project within the specified period, PI may request for extension of the completion date of consultancy project before the Dean (SRIC). However, no-cost extension may be granted for a maximum period of one year on an emergent

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situation. For extension for a period more than one year, additional Institutional overhead @ 1% per year of the remaining fund in the Project accounts shall be charged to the project and shall be recovered from the consultancy fees of the project.

- (iv) Any departure from the above may be required the approval of the Director on case to case basis subject to the recommendation of the Dean(SRIC). In special cases, on the recommendation of the Dean (SRIC) with acceptable justification, the Director can give waiver of the Overhead.

**Guidelines for project
costing**

- 3(i) In costing the Sponsored Research project/ Consultancy project, a clear distinction must be made between recurring cost, non-recurring cost and overhead costs.
- (ii) Recurring costs should include running costs of a research programme, covering salaries of research and support personnel; cost of field experiments, including wages payable to farm labour; cost of materials and consumables; cost of travel and related expenses, participation in research meetings, open-source publication, patent filing etc. In some cases, real costs may be difficult to anticipate because of difficulty in assigning true values. Care should be exercised to include expected

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escalation in costs so that the project does not suffer for want of funds. Cost of capital equipment / non-recurring cost should be based on market price and include expected escalation.

(iii) Overhead costs should cover real or notional rental figures for office and laboratory accommodation, land use for project activities, use of Institute's research infrastructure and resources in all possible forms, central administrative costs apportioned over different projects, and administrative staff-related costs such as salary and other benefits. Care should be taken to ensure that overhead costs are not unnecessarily inflated.

(iv) For externally funded projects of any other nature, overhead should be charged in the Project proposal as per Institute norms, unless disallowed via a formatted/ online system that universally applies across all Academic/ Research Institutions.

**OUTSIDE ACTIVITIES OF
THE FACULTY/ STAFF
MEMBERS IN ADVISORY
OR OTHER CAPACITY**

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(i) Projects undertaken in SRIC should not include any teaching assignments on regular basis. For outside activities related to teaching-learning assignment on a

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regular basis, specific approval from the Director needs to be obtained, furnishing comprehensive details of the engagement. In addition, no conflict of commitment and interest with the Institutional activities/ agenda needs to be ensured via due diligence/ undertaking/ declaration. For all such activities, a specific share of earnings between the investigator and the Institute may also be implemented in line with the laid out policies of all Consultancy Projects.

- (ii) Outside work in advisory capacities against honorarium, beyond R&D activities under Consultancy Project mode, may be undertaken on substantiating the specific scope of the envisaged advisory role. For any such work, specific approval from the Director needs to be obtained, furnishing comprehensive details of the engagement. In any circumstances, any outside activity that utilizes commercializable intellectual property owned by the Institute without due permission/ assignment of ownership via licensing or other means may not be executed, since that may deprive the Institute getting due financial benefits.
- (iii) Any Project proposal received from an Academic Institute/ of Advisory nature may be put up to the Director with

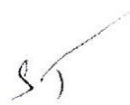
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detailing the specific nature of engagement. If the nature of engagement reflects R&D/ Industrial Consultancy work as the predominant scope, the Project may be deemed to operate under the ambit of SRIC as per existing rules and regulations. However, in case of significant deviation from the same, Director will decide on the mode of operation as well as the relevant terms and conditions.

(iv) Considering the start-up policy of the ministry, outside work leading to start-up related initiatives from the faculty is strongly encouraged. The entire procedure of securing no-objection from the competent authorities shall be structured as a seamless single-window approval, where the concerned faculty member may file an application, with the details of the start-up initiative and the nature of engagement, directly to the MD, STEP without necessarily having to be routed through any other channel. The MD, STEP may give a specific recommendation in line with the start-up policy of the Institute and forward the application to Director for approval.

(v) Any staff member other than faculty may undertake outside work only on specific approval from the Director on a case-to-case basis.



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- (vi) Activities of benevolent nature having unambiguous positive societal impact and constructive role in fulfilling the national missions as well as those based on services sought by Government authorities in the Country may be encouraged to be undertaken beyond routine professional work.

**DISTRIBUTION OF
PROJECT FUNDS**

- 11 A = Expenditure excluding faculty consultancy fee, top-up, honorarium, if any
B = Faculty consultancy fee, top-up, honorarium
OA = Overhead on A
OB = Overhead on B
Total cost $C = A + B + OA + OB$
GST (if applicable) as % of $C = D$
Final Amount to be paid by Sponsor = $T = C + D$
However, in case of a large consultancy project, the overhead may be negotiated with the approval of the Director.

TESTING SERVICES

- 12 The HODs/HOCs/Chairpersons of units can take up routine testing jobs in association with the permanent faculty / scientific / technical staff of the Institute, in Consultancy Project mode. For the estimation of testing service charges

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as the budget of the Project, the following formulae shall be applicable

- a. Cost of the equipment = A (Rs.)
- b. Life of the equipment = L years (5 years for Computers & 10 years for others)
- c. Hourly cost of equipment = $A / (Rs.) 2000 L$
- d. Testing time = T hrs.
- e. Cost of facilities = $F = A * T / (Rs.) 2000 L$
- f. Cost of consumables = C
- g. Honorarium to technical/supporting staff = D h.
Honorarium to faculty-in-charge = E
- i. Cost of testing service = $P = (F+C+D+E)$

In addition, overheads and GST, etc will be applicable as per guidelines mentioned above.

INTELLECTUAL PROPERTY 13

RIGHTS

- (i) Unless otherwise agreed with the Sponsor in the project agreement, Intellectual property Rights for any discovery or invention originating from the Sponsored Research and Industrial Consultancy Project shall jointly rest with the Institute, Investigator(s) and the Sponsoring Agency. Patent / copyright application before the Registrar /

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Controller of Patents shall be filed by the SRIC on the basis of the recommendations made by the Patent / Copyright Committee.

- (ii) For the effective protection of IPR, it is advised that the PIs should maintain a filing system (physical or electronic) that gives the details of the work done and salient findings on regular basis. This record should be authenticated by the PI and by at least one other faculty / project employee as witness to the result.

TECHNOLOGY TRANSFER

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The PIs shall not independently transfer technology either on exclusive or non-exclusive basis to any party without the consent of the IPR owners. SRIC will facilitate and execute the mechanisms of licensing of technologies developed within the Institute through legally-executed technology transfer procedure. Sharing of Technology Transfer benefits between the Institute and the Creator/Inventor is in the ratio of 50:50 subject to taxes as applicable. However, the distribution amount may vary from time to time as per recommendation of the competent authorities.

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ROYALTY RATES FOR

TECHNOLOGY TRANSFER

RETAINERSHIP

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With the permission of the Dean (SRIC) / Director, the faculty members of the Institute can accept retainer ship of reputed organizations. The fees thus earned shall be shared by the Institute and the Individual in the ratio of 30:70 only' after payment of service tax, etc. respectively as applicable. For this purpose, the faculty member concerned may utilize one day per week or four days in a month during an academic year with the specific approval of the Dean (SRIC) provided alternate arrangements for teaching and other commitments are made by faculty member. This applies to research and consultancy projects too.

SOFTWARE MARKETING

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All software duly copyrighted may be marketed and the sale proceeds thus accrued shall be shared between the Institute and the software consultant(s) as per Industrial Consultancy rules for the first copy and in the ratio (30: 70) for the subsequent copies after payment of applicable taxes like service tax. If the subsequent copy sales involve training and their supporting services, the rules of consultancy (with no contribution towards use of Institute computing facilities) shall be applicable. If the marketing



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rights are transferred, the terms and conditions shall be determined as per Technology Transfer Rules.

**DISTRIBUTION OF
INSTITUTE OVERHEAD**

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As per approval of the 182nd meeting of BoG held on 03.06.2016, it was approved that the SRIC overhead accrue annually need to be earmarked as at least 1/3rd for FDF/DDF and rest to carry out various SRIC mandate activities and otherwise as decided by the Director. Based on that, the following may be the distribution percentage of overhead received:

(a) 22% to DDF.

(b) 12 % of to FDF

The balance 66% which is kept for utilization for recurring and non-recurring expenditure for SRIC.

**DUTIES AND
RESPONSIBILITIES OF THE
PRINCIPAL
INVESTIGATORS (PIs)**

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- (i) Sponsored Research and Consultancy Projects shall be undertaken only with the prior approval of the Dean (SRIC) and the Director as per delegation of the power. All research proposals shall be routed through Dean (SRIC) with relevant information required by Sponsors.



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- (ii) It shall be the responsibility of the PI to get the project work completed satisfactorily within the sanctioned grant and duration.
- (iii) The PI shall ensure that the head-wise expenditure does not exceed the budgetary allocation.
- (iv) The PIs 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.
- (v) The PI shall write to the sponsor for timely release of fund with a copy to the Dean (SRIC) for follow up.
- (vi) The PIs shall sanction / control the leaves due to the contractual employees working in their projects under intimation to SRIC Office.
- (vii) PIs shall approve the expenditure related to his/ her project as per the delegation of financial power approved by the BoG from time to time.
- (viii) The PI shall submit the final technical report at the end of the project to the office of the Dean(SRIC).

FINANCIAL BENEFITS TO 19
PIs / CO-PIs AND
PROJECT STAFF:



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**Faculty top-up /
honorarium for Research
Project**

- (i) A project in which there is a provision for faculty top-up / honorarium, the Institute will deduct its share on the faculty top-up/ honorarium/ consultancy fee amount at a fixed rate in the form of overhead as per the approval of the competent authorities.
- (ii) When the Project contains a faculty consultancy/ top-up/ honorarium component, the entitled faculty members shall be permitted to draw the full or part amount of the same. Parts of such designated amounts may also be used by the PI for other legitimate expenses incurred for implementing the Project, subject to the approval of the Dean (SRIC). However, for drawing 100% consultancy fees, the copy of the final technical report should be submitted to the office of the Dean (SRIC); otherwise maximum 95% of the consultancy fees may be released on recommendation of PI, subject to the approval of the Competent Authority.
- (iii) PIs shall be allowed to work full time during the vacation in the projects and get suitable honorarium as approved by the Institute (in lieu of vacation) for such period, provided the funds under salary head so permit.
- (iv) Depending on availability of funds under Travel head and with the approval of the Dean (SRIC), grants (TA, DA,

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Registration Fee) for presenting papers in National / International Conferences in fields relevant to the project shall be given to PIs / Co-PIs associated with the project from the project funds provided such visits are approved by the Institute.

- (v) On recommendations of PIs, contractual project staff and students working in projects may be permitted with approval of the Dean (SRIC) to present papers in Conferences held in India with TA, DA and Registration Fee support provided the funds are available under Travel head of the project. For similar financial support for Conferences held abroad, specific approval of the funding agency may be required.

**PURCHASE OF
EQUIPMENT/
CONSUMABLES** 20

- (i) Availability of sufficient funds in the project may be required to initiate the purchase process.

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- (ii) The purchase procedure mentioned in GFR 2017 (or its updated variants introduced from time to time) needs to be followed to avoid any C&AG audit observation.
- (iii) These purchases can include purchase/ upgradation/ buyback of equipment, fabrication, components, office equipment, consumables, stationery, software, Annual Maintenance Contracts, Annual Rate Contracts for goods and services and other such eligible items
- (iv) Purchase worth up to a threshold amount as prescribed by Competent Authorities from time to time (Rs 2.00 lakhs currently) may be executed at PI level through the departmental purchase committee with the approval of the HoD/HoC/HoS. If the purchase is processed through LPC (Local Purchase Committee), Institute Rule will be followed and delegation of power may be exercised by the competent authorities for the execution of the purchase procedure in a smooth and timely manner.
- (v) Purchase worth over and above the mentioned threshold amount may be executed through SRIC office only. Any purchase worth beyond an upper limit as prescribed by the Competent authorities will be pre-audited.
- (vi) **Imports:** All imports (equipment, spare parts or consumables), regardless of their value, should be

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processed through SRIC office only by following GFR 2017 or its updated amendments and Global Tender Enquiry (GTE) Rules and Regulations of Government of India.

TRAVEL (DOMESTIC)

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- (i) The PI, Co-PIs, students and staff associated with a project 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/HoS is required for being away from the Institute
- (ii) Reimbursement of travelling expenses to the PI/ Co-PI/ Institute' officials will be made as per Travelling Allowance Rules of GOI. In exceptional cases, special relaxation may be granted by the Dean (SRIC)/Director as the case may be, based on acceptable justification provided by the PI.
- (iii) For reimbursement of travel expenses to others, actual boarding and lodging expenses will be paid on production of receipt subject to a maximum limit following an appropriate mapping procedure based on the recommendation of an empowered committee.

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- (iv) Expenses on local travel by Taxi will be reimbursed against receipt as per actual and per Institute norms issued time to time, except for any minor expense of that kind for which Taxi receipt may not be available.
- (v) However, if the sponsor is agreeable to any specific condition(s) or relaxations for undertaking travel under the project, the same be permitted.
- (vi) In case of projects funded by Private organizations, Dean (SRIC) will have the power to give special domestic and local travel permissions and relaxations, based on request of PI and due consideration by Dean (SRIC).

TRAVEL

(INTERNATIONAL)

- 22 (i) Travel abroad from a project may be considered only if a specific provision is available for international travel in the project sanction or consent of the funding agency is provided at a subsequent stage.
- (ii) International travel for faculty and Institute staff shall require approval by Director through proper channel.

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However, funding from the project shall be approved by the Dean (SRIC) within the delegated financial power excepting Institute/Institute level project. In case of Institute level project, funding from the project shall be sanctioned by the Competent Authority of the Institute.

(iii) International travel for project staff and consultant shall be approved by the Director subject to the provision in the project for all projects including Institute/Institute level project.

(iv) To meet impending expenses during travel, advance may be approved by Dean (SRIC)/ Director, as per requirement. However, such advances need to be adjusted within the limit specified in GFR 2017 or any other pertinent rule introduced from time to time.

(v) On return, the claim for all travel related expenses using prescribed reimbursement Form should be filed.

**COMPENSATION TO THE
INSTITUTE'S STAFF FROM
PROJECT FUND ACCOUNT**

23 In the event, any Sponsored research project utilizes Institute's human resources and other supporting facilities beyond office hours, the expenses towards the same may be charged to the respective project. For this purpose, on the recommendations of the PI, the Dean (SRIC) may approve compensation following recommended guidelines from competent authorities. For

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Institute/Institute level project, the approval of Director shall be required for such payments.

There may be a provision for honorarium to be paid to project staff employed in other sponsored projects/consultancy jobs, on the basis of detailed justification provided by the PI on the specific engagement and activities undertaken over and above the activities of the project for which the staff is originally employed. Dean (SRIC) will hold the power of adjudging the merit of the case and accord necessary approval, except for Institute/Institute level Projects, which will require approval of the Director.

FINANCE AND ACCOUNTS

- 24 (i) A separate book of accounts shall be maintained for each project. Joint Registrar SRIC/ Deputy Registrar SRIC shall be responsible for submission of internally audited statement of accounts as and when required by the sponsors. C&AG audited statement of accounts at the end of each financial year shall be provided, if required by the sponsor.

**MAINTENANCE OF SRIC
ACCOUNT**

- (ii) Accounts of SRIC, in general, shall be maintained and prepared as per guideline and format issued by the Ministry of Education (erstwhile MHRD) from time to time and will be incorporated in the annual accounts of the Institute.



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However, in case the funding agency approves budget under any head that does not directly fit the format issued by the Ministry of Education (MHRD), appropriate reflection of the same needs to be accommodated on approval of the competent authorities.

**AUDIT OF UC AND
STATEMENT OF
EXPENDITURE BY A FIRM
OF CHARTERED
ACCOUNTANTS**

- (iii) The yearly Utilization Certificate and Statement of Expenditures shall be audited by a firm of Chartered Accountants to be appointed by the Director. The Audit fees may be debited to the respective project accounts.

**SUBMISSION OF
UTILIZATION
CERTIFICATE (UC) AND
STATEMENT OF
EXPENDITURE (SoE)**

- (iv) SRIC shall submit the audited statement of expenditure to the funding agency as per prescribed format of the funding agency in each financial year or as needed by Funding Agency from time to time.

INTERNAL AUDITOR

- (v) The Chartered Accountants Firm appointed by the Institute for Internal Audit will include SRIC Account in its scope of work.

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MAINTENANCE OF ASSETS REGISTER	25	Assets Registrar may be maintained in a ERP-generated process that records every purchase being made from the said Project.
ASSETS CREATED OUT OF PROJECT FUND	26	<p>(i) SRIC shall maintain an Assets Registrar for the assets created out of project fund as well as the assets created out of SRIC fund separately through electronically managed system.</p> <p>(ii) The assets created out of project fund shall not be considered under Fixed Assets of the Institute until the ownership of the assets is transferred to the Institute.</p> <p>(iii) On transfer of ownership, Assets may be transferred by SRIC to the Institute.</p>
ADVANCE TO PIs	27	PIs shall normally be allowed to draw another advance only after adjusting the previous one taken by them unless otherwise agreed by the Dean SRIC.
OPERATION OF THE PROJECT IN THE EVENT OF NON-AVAILABILITY OF PROJECT FUND/	28	In case of non-availability of fund in a project, loan can be taken from another project of the same PI only, subject to the approval of Dean (SRIC). For queries from the sponsoring agency or any other concern, PI will be solely responsible. In exceptional circumstances when there is a

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**DELAY IN RELEASE OF
PROJECT FUND**

delay on release of project fund that has been otherwise committed by the funding agency, temporary interest free loan may be sanctioned from the available fund of SRIC subject to prior approval of the Director. On receipt of fund from the sponsor, the same shall be recouped to the SRIC Fund Account. Where sponsor demands for deposit of interest earned on the unspent fund balance of the project, for this project, if temporary loan sanctioned from SRIC fund, SRIC may also charge a compensating interest (at least at the rate of Savings bank interest) on the temporary loan released to the respective project for operation. Any deviation from the above will require approval of the Competent authorities.

EXCEPTION CLAUSE

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These SRIC rules shall normally be applicable to all sponsored research projects, consultancy projects, advisory projects, testing services, retainership, software marketing, technology transfer and any other forms of dissemination of intellectual property rights. Any exception / deviation to these rules may be considered by the Director / Competent Authority for approval depending on the merits of the case.