

Modified Rules for administration of Sponsored Research & Industrial Consultancy (SRIC) of NERIST

[Approved by Academic Council in its 24th Meeting held on 06.05.2017]

1. Formation of Research Cell:

- i) The Cell shall be headed by a faculty member for smooth running of the projects with regard to the store/purchase, finance and administrative matters. It will comprise of the following staff (in the rank).
 - a. UDC (with adequate knowledge of Computer) - One
 - b. Peon - One
 - c. In addition to the above, one person from Store & Purchase Section and one from Finance Section shall be identified to look after the projects' works exclusively under the supervision of their reporting officers.
- ii) The office will be equipped with all the facilities like computer (with email/Internet), telephone, lamination, binding, etc.
- iii) The institute shall provide adequate space for the cell.
- iv) Relevant records related to the projects shall be maintained by the Cell. The Cell would notify (Appendix-A) the list of ongoing sponsored projects to various sections such as the concerned Department, Store and Purchase, Finance, etc. along with the Non-Member Secretary, BoM for necessary information once in every 6 (Six) months.

The research cell shall be made fully operational at a designated place. The concerned dealing staff from Stores & Purchase and Finance Sections shall be assigned duty for one to two hours per day (as per requirement) for this purpose. The overhead grant being accumulated from the institute share (30%) may be utilized for this purpose.

2. Submission of Project Proposal:

- i) The necessary information/format concerning various sponsoring agencies shall be collected by interested faculty member from websites of different funding agencies.
- ii) The Principal Investigator (PI) would make adequate number of copies of the Project proposal through the Department from the existing available facilities for submission to funding agency and submit to the Coordinator, SRIC through Head of the concerned department.
- iii) The Project proposal would be submitted to the funding agency, duly signed by the authorities. The Research Cell would dispatch it to the funding agency. An approved format for this purpose shall be made available in the office of the coordinator, SRIC.
- iv) The competent authority shall insist routing of project proposals for forwarding to the funding agency through SRIC strictly. Principal Investigators shall make sure that the project proposals are submitted well in advance, whether is there any deadline or not for submission to funding agency.
- v) A copy of the forwarding letter of all project proposals shall be kept in the research cell.
- vi) When sanction order of any project is received, the PI must submit a copy of the same to the office of the SRIC, Stores & Purchase and Finance Branches along with a copy of the full project proposal and only a copy of the sanction order containing the title of the project and other sanction details to the Head of the concerned department.
- vii) The Institute would provide TA/DA to the PI for presentation of the proposal (in case when the funding agency is not providing the same).

3. Execution of the Project after the approval by the Funding Agency.

Action on the project may be initiated by PI in advance, if necessary, with the prior approval of the Director soon after the receipt of the sanction while awaiting the release of funds. Funds received would be deposited in a separate Research Project Account of the Institute and a separate ledger would be maintained in the Research Cell in respect of each project.

(a) Advertisement:-

Advertisement format would be prepared by the PI and shall be notified by Research Cell in Employment News, etc. as per the guidelines of the funding agency. The cost of the advertisement shall be met from the overhead charges of the project. Where overhead is not available, it would be charged from the appropriate head of the project.

(b) Selection:

The Coordinator "Research Cell" shall approve a selection committee to recruit JRF/SRF/RA/Staff (Group B) on the recommendation of the PI which will consist of the following:

i)	Coordinator, Research Cell	Chairperson
ii)	Head of the Department	Member
iii)	Principal Investigator	Convener
iv)	Co-PI (if any)	Member
v)	External Expert (if desired and/or nominated by Funding agency)	Member
VI	Internal expert co-opted by PI	Member

For the positions higher than those mentioned above, Director shall approve a five members selection committee on the request of PI which will consist of the following:

i)	Director	Chairperson
ii)	Coordinator, Research Cell	Member
iii)	Head of the Department	Member
iv)	One subject Expert to be selected by the Director from a panel of at least three names proposed by PI	Member
V)	Principal Investigator	Convener

Minutes of the selection committee should be approved by the Director before issuing the offer of appointment.

If the funding agency provides specific guidelines for selection of Research/Technical and other staff in the project, the same would be followed.

- i. **Appointment:** The offer of appointment shall be issued by PI in the format given in the Appendix B. The PI shall be empowered to engage contractual staff(s) for short term duration (not exceeding 60 days) with approval of the Coordinator 'Research Cell', subject to the availability of such a position in the project or with the specific approval from the competent authority by using funds under other heads of the project where flexibility is provided by the funding agency.

Attendance of staff shall be maintained by PI/concerned department.

- ii. **Salary/Fellowship:** The salary/fellowship would be regularly disbursed by finance section by transfer to the bank account of the fellow/staff directly to SBI, NERIST branch. After the receipt of the sanction letter (for second and subsequent years) and in the event of non-receipt of physical funds in time from the funding agency, the salary/fellowship shall be disbursed for maximum period of two months from either the other budget heads of the project or from the account of the composite research grant. Beyond two months, the Director may take appropriate decision in the matter.
- iii. The salary/fellowship to the staff/fellow shall be provided according to the guidelines of the funding agency. Any changes or increase in the salary/fellowship to the staff/fellow will be applicable from the date of notification by the funding agency or guidelines provided by the funding agency subject to the receipt of revised fund.
- (c) **Purchase and Financial:** All the purchases of sanctioned equipment's & non-consumables only (this is not applicable for the PI share of the overhead grant), consumables & books/journals and, etc. under the project shall be procured by the PI out of the project grant. Such purchase proposals would be routed through the purchase committee which will consist of the following and must be approved by the SRIC coordinator.

i)	Principal Investigator	Chairperson
ii)	Head of the Department, or his nominee	Member
iii)	Co-PI/ Co-opted member by PI	Member
iv)	DR (Finance) or his nominee	Member
v)	DR/AR (Store & Purchase) or his nominee	Member

All the purchases connected with the project shall be entered in a separate stock register to be maintained by PI, and Central Stock Register maintained by concerned department (HoD), S & P Section and SRIC Cell separately which must be produced for audit as and when required.

In the event of PI leaving the Institute, the assets of the Project shall be handed over to the Department. The stock verification of assets of the Projects shall be done as per the procedure adopted for stock verification in the Departments of the Institute.

UDC of SRIC cell shall maintain fund position and copies of all correspondence such as Utilization Certificate (U.C), annual progress report and final technical report and project completion report issued by the funding agency (if any) of each project. In case of any issues of patent/copy right, etc. are involved, the progress report and final technical report may be kept in sealed cover with SRIC office.

- d) **Financial Powers:** PI can sanction and draw an advance of Rs.25,000/- from contingency/consumables. SRIC coordinator can sanction all purchases upto Rs.50,000/- subject to codal formalities.
- e) **TA/DA:** The Government of India TA & DA rules will be applicable to PI's and project staffs for all sponsored research/consultancy projects. However, the PIs and project staffs may be considered for the following relaxation subject to availability of funds and prior approval of the Coordinator, SRIC:
- i) Travel by Air and Train in a class to which the staff is not normally entitled when it becomes essential.

- ii) Hotel bills up to maximum of Rs. 800/- per day for lodging only or a sum as may be decided by the Competent Authority from time to time.
- iii) Taxi fare as per actual or on hourly charge basis with supporting vouchers, subject to the requirement certified by the PI.

- f) **Overhead:** The Institute shall deduct 30% of the overhead charges of the project for facilities extended towards the project and to meet the expenditure involved in maintaining the dedicated SRIC cell as envisaged. The balance amount shall be utilized by the PI for specific requirements and smooth running of the project. The unspent part of the overhead charges will go to the Institute after completion of the project.

- g) **Responsibilities:** PI will ensure that the head-wise expenditure does not exceed the budgetary allocation. Re-appropriation, if needed, shall be done after taking permission from the funding agency.

- h) PI will be responsible for the achievement of the technical objectives of the project and has to submit periodically technical progress reports to the sponsoring agency according to their norms. A copy shall be kept in Research Cell for record. The cell will monitor the timely submission of the progress reports.

Finances section shall prepare the Utilization Certificate (U.C) on the project expenditure with the help of PI and after due process the same shall be forwarded to the funding agency within FOUR weeks of the completion of financial year/project completion as the case may be. However, in case funding agency provide different time limits, this would be followed.

In the absence of PI and /or Co-PI for short durations such as leave, tour, training etc., the faculty member nominated by PI shall look after the matters related to the project. In case the PI leaves the Institute permanently and if there is no Co-PI, the Project shall be looked after by the Department till alternate arrangements are made.

- i) **Intellectual Property Right-** The technology developed and its transfer shall be the joint property of PI, the Institute and the funding agency as per the terms and conditions.

- j) **Enrollment of Research Scholar:** The research scholar shall not be treated as a bona fide full time student of the NERIST until s/he registers for a course and their records shall be maintained in the Research Cell. The Identity cards to Project staff shall be issued by the SRIC Cell on the recommendation of concerned PI and HoD.

The project staff can register for full time Ph.D. program subject to Academic Guidelines for PG/PhD students in force at the institute.

Due to the limitation of the duration of the project, if the Ph.D. thesis work of such a research scholar is incomplete when funding of the project ends, then she/he may be considered for institute fellowship subject to the availability of institute fellowship and other terms and conditions of the institute fellowships. In any case, total duration of fellowship (including project) shall not exceed the prescribed duration of the institute fellowship.

- k) **Infra-structural facilities:** The reasonable space should be allocated according to the project requirements. The requirements should be given by PI to the concerned authority through Research Cell.

All the available infra-structural facilities of the Department/Institute shall be extended for the smooth running of the project.

- 1) All the administrative, academic and financial matters in relation to the project shall be governed by the provisions of these rules and / or the terms and conditions of the concerned funding agency. Any other research scheme financed by the Institute from its own resources would also be operated under this rule.

Any difficulty arising in the interpretation of any clauses herein before, the matter shall be referred to the Director, whose decision shall be final.

4. Industrial Consultancy:

- a) In order to promote Industrial Consultancy activities in the Institute, the following simplification shall be applicable:

Category	Industrial Consultancy Activity	Overheads or Institute's Share as a Percentage of Project Cost
I.	Routine Testing and Calibration	35 Percent
II.	Projects requiring use of Laboratory and other facilities of the Institute	30 Percent
III.	Projects that do not use Institute's facilities	25 Percent

Expenses include all expenditure towards equipment, consumables, travel, honorarium to faculty / staff / outside experts / agencies etc. Service Tax and other Government Taxes applicable for consultancy work shall be levied above the Project Cost and Overheads as per GOI rule.

- b) **TESTING SERVICES:** The HODs/HOCs/Chairmen can take up routine testing jobs in association with the permanent faculty / scientific / technical staff of the Institute.

On completion of the work, the service charges estimation and the request for the distribution of honorarium in prescribed format together with the cheque / draft received from client shall be sent to the SRIC for further processing.

The honorarium, on recommendations of the HOD / HOC / Chairman, may be distributed on a case to case basis or periodically.

For the estimation of Testing service charges 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 = $\frac{A}{2000 L}$ (Rs.)
- d. Testing time = T hrs.
- e. Cost of facilities = $F = \frac{A \times T}{2000L}$ Rs.
- f. Cost of consumables = C
- g. Honorarium to technical/supporting staff = D
- h. Honorarium to faculty-in-charge = E
- i. Cost of testing service = $P = 2 \times (F+C+D+E)$

In addition, overheads and Service Tax, etc will be applicable as per guidelines mentioned in Item 4 a) above.

5. Intellectual Property Rights:

- 5.1 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 unless the sponsoring Agency authorizes the Institute in writing to have the exclusive right. Patent / copyright application before the Registrar / Controller of Patents shall be filed by the SRIC on the basis of the recommendations made by the Patent / Copyright Committee.
- 5.2 For the effective protection of IPR, it is necessary that the PIs should maintain a register that gives the details of the work done and salient findings on daily / weekly basis. This register should be signed by the PI and by at least one other faculty / project employee as witness to the result.
- 5.3 For the copyright protection of software, registration of the software at the Department / Centre level shall be made and properly documented. The list shall be exchanged between Departments / Centres and centrally made available to the SRIC.

6. Technology Transfer

The PIs shall not independently transfer technology either on exclusive or non-exclusive basis to any party without the consent of the IPR owners. The terms and conditions for each of such technology transfer shall be worked out on a case to case basis with approval of the Coordinator (SRIC) / Director.

7. Processing and routing of project files:

- i) PI shall submit any purchase requirements and any other fresh requirements or his/her tour requirements to the office of SRIC cell. The UDC of the cell shall initiate the process in concerned project file and submit it to S & P and/or finance branch staff visiting SRIC cell on daily basis. Then following shall be the route of the file depending on the purpose.

Coordinator, SRIC → AR (S&P) → AR (Audit) → DR (F) → Registrar → Director

The competent authority shall accord administrative and financial sanction at the same time.

- ii) Sanction of tour, TA/DA of PI/Co-PI shall be as per institute norms/procedures.
- iii) For leave and TA/DA sanction of project staff duly forwarded/recommended tour program shall be submitted to the SRIC cell. The UDC of the SRIC cell shall take the approval of the coordinator of SRIC in the concerned project file and issue approval order to be signed by the coordinator, SRIC. A copy of this sanction order shall be submitted to the Finance branch.

APPENDIX 'A'

**NORTH EASTERN REGIONAL INSTITUTE OF SCIENCE & TECHNOLOGY
NIRJULI :: ARUNACHAL PRADESH**

OFFICE OF THE COORDINATOR SRIC

No.

Dated :

Sl.No.	Name of the Project	Name of the PI	Duration of the Project	From (starts)	To (ends)	Extension (if any)	No. of manpower in use (with designation & stipend)	Amount of the Project

Coordinator (SRIC)

NORTH EASTERN REGIONAL INSTITUTE OF SCIENCE & TECHNOLOGY
(Deemed University)
NIRJULI :: ARUNACHAL PRADESH

No.

Dated:

OFFER OF APPOINTMENT

Dear

1. With reference to your interview dated, you have been appointed as a research scholar/Project Assistant on a consolidated salary of Rs. (Rupees only) per month in the project entitled under the supervision of w.e.f. for a period of days only.
2. The post is purely temporary and shall not bestow any claim whatsoever, for regularization etc. in the Institute.
3. Your services can be terminated at any time.
4. You will draw the stipend and other benefits as per the guidelines of the sponsoring agency and shall be governed by the rules and regulations of the Institute and the funding agency.
5. You are requested to send your acceptance within 7(Seven) days.

(P. I)

To

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- Copy to: 1. Coordinator
2. HOD (...)
3. D.R(Fin.)
4. Office Copy