



# GURU GOBIND SINGH INDRAPRASTHA UNIVERSITY

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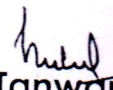
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Dated: 27th April, 2016

## OFFICE ORDER

The Competent Authority is pleased to approve the revised Regulations for Sponsored Research Project to Faculty Members of GGS IP University. The procedure for submission, award and implementation of intra-mural grants to be provided by the University has also been included in the revised regulation. The purpose for which overhead charges can be spent have also been specified. These regulations are mean for smooth, prudent, efficient and timely implementation of the project in the University. Copy of the approved regulation is annexed herewith.

The revised regulation has been approved by the Board of Management in its 62nd meeting held on 15th March, 2016 vide Agenda No. BM 62.04.

  
(S.K. Tanwar)  
Controller of Finance

### Copy to:-

1. All Deans, GGSIPU (USBT/USCT/USBAS/USICT/USEM/USMS/USLLS/USHSS/USE/UCMS)
2. All Directors, GGSIPU
3. All Heads of Branch / Deptt., GGSIPU
4. Controller of Examinations, GGSIPU
5. Librarian, GGSIPU, F.O.I/II Accounts Branch
6. Executive Engineer, UWD
7. Chairman, UITS - for uploading the same on the University website under the link of Accounts Branch.
8. A.R. to Vice Chancellor
9. S.O. to Pro Vice Chancellor
10. A.R. to Registrar
11. Guard file.

  
(Shailesh Gupta)  
Finance Officer-II



## REGULATIONS FOR SPONSORED RESEARCH PROJECTS

Research is an integral part of education system wherein research is primarily carried out through research projects at the graduate, post-graduate or Ph.D. level. The funding for a research project may be intramural, such as GGSIPU research grants, UGC minor research grants, or extramural, such as research grants by DST, DBT, CSIR, ICAR, ICMR, AICTE, UGC, DOE, DNES, DSIR, MOEF, DAE, etc. from India, or their equivalents from abroad, such as ICTP, TWAS, IFS, UNESCO, IAEA, etc. The funding agencies may be government, semi-government, autonomous, NGO, private or even industrial houses. Sponsored research projects are also an excellent means of bringing in extramural funding into the University, or streamlining its intramural support to research. It is therefore extremely important to have an enabling administrative and financial support structure to encourage researchers to complete these research projects in a time-bound manner. Funding agencies have their own technical criteria to sanction projects and to monitor and evaluate their progress as well as administrative, budgetary regulations and operational guidelines. However, the detailed financial and administrative guidelines are often left to the host institutions of the persons operating the projects.

The purpose of the following regulations is to mainly facilitate smooth, efficient, timely and credible operation of the research projects in the University. These regulations shall apply to all time-bound research grants released in the name of individual faculty members of the University Schools of Studies by GGSIPU or any external agency in India or abroad, as well as developmental funds received in project mode such as UGC SAP, CPEPA, University of Excellence, DST-FIST, DBT Centre for Excellence, Programme Support, various research funding schemes of AICTE, ICSSR, various ministries of the Central/state governments, young scientists schemes/awards, Senior Scientist schemes/awards, etc.

### 1. Submission of the Research Proposal

- (i) University faculty and staff members satisfying the eligibility criteria of the concerned funding agency are encouraged to submit research project proposals to any national or international funding agency, individually or in collaboration with any other faculty members of USS or affiliated colleges/institutes and approved research centres of GGSIPU or any other public/private University/institution within India or abroad. The proposal should mention the details of all the investigators involved.
- (ii) To be the Project Investigator (hereafter referred to as PI) of a research project, the age of the applicant should be such that he/she can complete the project prior to superannuation from this University.
- (iii) Applicants with lesser tenure of employment must have a Co-Project Investigator (hereafter referred to as Co-PI) from the University with sufficient service as per (ii) above and competent to take over as PI at the superannuation of the original PI. The Co-PI shall be responsible for all the assets, pending advances and subsequent transactions under the project as well as to complete the project to the satisfaction of the funding agency. The PI should stop signing all the financial documents at least six months before the due date of his/her superannuation in order to facilitate issuance of 'No Dues Certificate' in time for smooth retirement.





- (iv) In case where PI proceeds on long leave for more than 3 months, he/she may delegate the administrative and financial responsibilities of the research project during the absence period to another faculty of the same School with the approval of the Vice Chancellor.
- (v) Faculty members shall submit the research project through the School/Centre of their primary appointment in this University.
- (vi) Faculty members shall also submit a proforma (annexure I) at the time of submission of the research project through proper channel. The PI shall subsequently submit a copy of the duly signed proforma to the office of DRC for the purpose of record.
- (vii) The faculty members at the time of submission of the research project shall submit an undertaking that extra space/ infrastructure may not be provided to carry out the proposed project. In general, the PI of the research project should be able to carry out the project work within the facilities available to him / her.
- (viii) All research project proposals shall be forwarded by the Registrar for submission to the respective funding agency. For this purpose, the faculty members of USS shall submit the project proposal to the Dean of the concerned School, who shall send it to the Pro-Vice Chancellor within three working days, who shall send the proposal to the Registrar or the PI as the case may be.
- (ix) The Registrar may send the forwarded proposal to the PI for onward transmission to the funding agency.
- (x) If the project is with a non-Government agency, a copy of the Memorandum of Understanding (MoU) as applicable, or a statement of the terms and conditions of the project, including the duties and obligations on either side, fund sharing, patenting rights, royalties, material transfer agreements, etc., must be submitted along with the proposal for forwarding by the Registrar.
- (xi) If a faculty member wishes to sponsor or host the research projects of someone else who has no official status in the University, e.g. a young scientist, or researchers with projects funded under schemes such as DST-Ramanujam fellowship, DBT-Biocare award, DBT-Ramalingaswamy Fellowship, or faculty appointed under the UGC Faculty Recharge programme, or retired employees who have been re-employed under any Government scheme, like JC Bose fellowship, INSA senior Scientist, etc, the host faculty member shall assume all administrative and financial responsibilities of the research project. Such project work shall be conducted in the laboratory/facilities of the sponsoring faculty and the School/University may not provide any additional space/facilities.
- (xii) If the research project proposal involves any regulatory issues such as biosafety, environmental, or ethical issues involving human volunteers/animals/clinical samples etc., approval of the research proposal from the relevant Biosafety or Institutional Ethical Committee shall be





required, and it shall be the responsibility of the PI to obtain all the required approval(s) before the research work is initiated.

- (xiii) If the research project proposal is to be submitted to a foreign agency and requires any permission from the Government of India or any other agency in India or abroad, the PI shall obtain them as needed.
- (xiv) Faculty members should include overhead charges as per the norms of the funding agency while submitting their research project proposals to the funding agencies.
- (xv) In case of intramural grants, the faculty of USS shall submit the proposal to the office of the Dean of the concerned School, who shall forward all the proposals received to the office of DRC within three working days. The proposals shall be evaluated by a committee comprising the Director, Research and Consultancy, Dean of the concerned School and one subject expert from outside the University to be nominated by the Vice Chancellor. This entire process from submission to evaluation of grant proposals should be completed from 1<sup>st</sup> December to 1<sup>st</sup> March every year so that the grant can be released by 1<sup>st</sup> April. The proposal shall include a brief introduction, objectives, methodology, expected outcome, and budget. The grant shall cover expenses for chemicals/consumables, minor equipments, contingency, local travel for project as well as expenses related to field work if proposed in the project. The PI shall submit a Utilization Certificate at the end of each financial year to the University's Finance and Accounts branch through the Dean of the concerned School, who shall forward it within three working days. Any unutilized research grant shall lapse at the end of each financial year.

## 2. Launch of the Project

- (i) A copy of the sanction letter of the research project along with the budgetary details, duration, terms and conditions, MoU (if any), etc. should be sent to the Controller of Finance, Director, Research and Consultancy to maintain a record of all the research projects being run in the University and Personnel Branch for information.
- (ii) The date of implementation of the project shall be the date defined by the funding agency or PI.
- (iii) A 'Project Implementation Committee' (PIC) shall be proposed by the PI and approved by the Vice Chancellor at the beginning of the research project and may serve the entire duration of the project, unless changed by PI and approved by the Vice Chancellor. The Committee shall consist of the PI (Chairperson-cum-convenor), Co-PI (if any) and three faculty members of the concerned University School of Studies. Two out of these three members shall have a designation no less than that of the PI. In case there are no faculty members with the same or higher designation in the School of the PI, faculty member(s) from the nearest lower designation may be chosen as member(s) of the PIC. One of these three members can also be chosen from any related University School of Studies. The quorum requirement for the meetings of the PIC shall include the PI and any two members of the committee.



- (iv) The period that the PI, Co-PI or project personnel spend on fieldwork or collaborative work relating to the research work of the project in another laboratory (in India or abroad) should be treated on duty (provided this does not affect the teaching commitments of the PI or Co-PI) and governed by the GGSIP University rules for "leave on duty". The request of the PI or Co-PI for such leave shall be submitted to the Dean of the concerned School for the approval of the competent authority. For the project personnel other than the PI and Co-PI, the PI shall have the sanctioning powers for this purpose.
- (v) The PIs of research projects may be provided with an EPBAX extension phone with a zero dial facility by the University, to facilitate smooth functioning of the project work.

### 3. Recruitments under the Project

- (i) Appointments of all project personnel shall be purely temporary and shall be valid for the duration of the project only, with no responsibility of the University. The staff so appointed will have no claim whatsoever, towards any regular appointment in the University during or after the research project.
- (ii) The project personnel will be governed by the prevailing rules and conditions of service as applicable to temporary employees in the University, including leave, unless otherwise specified by the funding agency.
- (iii) For the recruitment of personnel sanctioned under the research project, the rules, regulations guidelines and procedures prescribed by the funding agency shall be followed. In the absence of any such stipulations, all appointments shall be made as described below.

A. Applications should be invited through advertisements in print (for example Employment News) as well as on the website of the University atleast three weeks prior to the last date of receiving applications or walk-in interview, as applicable. The cost of advertisements, if any, shall be borne from the "PI's share of the overhead charges" or "contingency" budget of the research project. For all research project positions with tenure of less than a year, the recruitment can be done through circulation of the advertisement among at least five relevant universities/institutions, apart from the GGSIPU website. For all research project positions with tenure of less than six months, ad-hoc appointment of any suitably qualified candidate may be made.

B. All recruitments in the research project shall be done by a selection committee to be constituted as per the norms of the funding agency, if any. In the absence of any such stipulations, the Project Implementation Committee constituted at the start of the project shall also function as the selection committee, with the addition of a subject expert from outside GGSIP University with the approval of the Vice Chancellor. For this purpose, the PI shall suggest the names and affiliations of at least three external experts. The Vice Chancellor may either approve the entire panel of experts or choose one or more among them, to be invited by the PI to join the selection committee for the interview. The selection committee once constituted with the external expert may serve the entire duration of the





project, unless changed by PI and approved by the Vice Chancellor.

C. The applications shall be processed by the PI and if shortlisting of candidates for interview is needed, it shall be carried out based on the criteria approved by the faculty members of USS comprising the selection committee. The quorum requirement of the selection committee to hold the interviews shall include the PI (Chairperson-cum-Convenor), at least one external expert and at least two faculty members of USS comprising the selection committee, preferably from the same School as that of the PI.

D. Minutes/recommendations of the selection committee should contain the following information:

- a. Title of the Project
  - b. Date, Time and Venue of the Selection Committee meeting
  - c. Name of the post
  - d. Number of candidates called for the interview
  - e. Number of candidates who attended the interview
  - f. Name of the candidate selected for the post
  - g. Recommended pay and allowances as applicable
  - h. Duration of appointment
  - i. Waiting list, if any, valid for upto 6 months from the date of the interview.
- (iv) The pay and allowances of the personnel recruited in the project should be fixed as per the post and the budget sanctioned in the project for this purpose. Recommendations for higher than the minimum pay and allowances, as well as annual increments, if any, along with the justification of the same, need to be recorded in the minutes of the selection committee. However, this shall be allowed only in cases wherein the funding agency has the provision of sanctioning higher pay/allowances. For example, in appointment of research associate in CSIR-sponsored schemes.
- (v) The PI shall send the minutes of the selection committee for the approval of the Vice Chancellor, along with all the supporting documents. These shall include a copy of the advertisement, the list of institutions in which the advertisement was circulated, attendance record of the candidates who appeared for the interview, CV/resume of the selected candidate, etc.
- (vi) After the approval of the recruitment by the Vice-Chancellor (and that of the funding agency if so stipulated by the agency), the PI shall issue the appointment letter(s) to the selected candidate(s) with a copy to the Finance and Accounts branch and Personnel Branch of the University for information.
- (vii) The appointment letter should clearly mention the title of the project, name of the post, duration of appointment highlighting the purely temporary nature of the post, approved pay and allowances and any other terms and conditions of employment.
- (viii) The joining report of the selected candidate(s) shall be addressed to the PI, who shall forward it to the funding agency, if required, with a copy to the Dean of the concerned School, Director, Research and Consultancy and Personnel Branch of the University for their information. The University shall issue a photo identity card to the selected



**candidate at the earliest to facilitate full access of the project personnel to the library, research infrastructure, computer center etc.**

- (ix) The Finance and Accounts branch shall release the monthly salary of the project personnel on the basis of their claim bills submitted in the prescribed format of the University and countersigned by the PI. In cases where the appointment letter and/or joining report require the approval of the funding agency, the first claim bill should be submitted to the Finance and Accounts branch for processing of the claim bill only after receiving the approval of the funding agency.
- (x) The PI shall be competent to sanction leave to the project personnel to the extent admissible (upto 30 days per year on pro rata basis), including maternity leave or any other special leave, unless specified otherwise by the funding agency.
- (xi) The benefit of CPF/GPF, if admissible under the project and paid by the funding agency shall be extended to the project personnel in accordance with the rules of the funding agency/university.

#### **4. Purchases for the project**

- (i) All the accounts related to the research projects shall be handled by a specialized "Projects and Consultancy Cell" within the Finance and Accounts branch of the University.
- (ii) All purchases for the purpose of the research project shall be made as per the General Financial Rules in force in GGSIPU or as amended from time to time, unless otherwise specified by the funding agency. The Finance and Accounts branch of the University shall circulate any changes or amendments in the General Financial Rules or purchase procedures of the University among all the faculty members.
- (iii) The sanctioning authority and the financial powers of the PI, including the permissible limit for the imprest amount, shall be the same as those of the Deans of University Schools of Studies (currently Rs. 1 lakh), for the utilization of the project funds for the purpose and duration of the research project. If this financial limit is revised in later GFRs, the revised limit shall apply.
- (iv) Purchase of item(s) up to Rs.15,000/- can be made by the PI without calling quotations, as per the provisions of GFR145 (procurement of goods without quotation). If this financial limit is revised in later GFRs, the revised limit shall apply. All purchases above Rs. 15000/- and below Rs. 25 Lakhs shall require a limited tender and an open tender shall be required for purchases above Rs. 25 Lakhs, as explained below.
- (v) Purchases above Rs.15,000/- and up to Rs. 1,00,000/- shall be made as per the procedures prescribed in GFR146, unless and otherwise specified by the funding agency. If this financial limit is revised in later GFRs, the revised limit shall apply.



(vi) To enable decisions regarding purchases for the implementation of the project, the PIC can also function as the purchase committee, with the addition of a nominee of the Controller of Finance is included in it with the approval of the Controller of Finance. The purchase committee shall have to be approved by the Vice Chancellor. The quorum requirement for the purchase committee shall be the same as specified in 2(iii) above, with the addition of the COF nominee. This purchase committee may serve the entire duration of the project, unless changed by the PI and approved by the Vice Chancellor.

(vii) Purchase of items above Rs. 15000/- and within the financial powers of PI shall be done through a limited tender enquiry by the PI, who shall invite quotations by telephone/fax/email followed by the hard copy, provided the purchase requirement and specifications of the item(s) are approved by the purchase committee. In case of items to be imported, quotation/proforma invoice shall be invited from authorized Indian agents or directly from manufactures of at least three known firms except in case of proprietary/patented items. All members of the purchase committee shall sign the quotations before and after opening and also the comparative statement thereafter.

(viii) For purchases above the financial powers of PI (currently Rs. 1,00,000/-), the PI shall first obtain administrative approval and expenditure sanction (A/A and E/S) from the respective sanctioning authority as per their financial powers prior to initiating the purchase procedure. Once the approvals are obtained, the faculty members of the purchase committee (technical members) as defined in 4(vi) above shall approve the purchase requirement and specifications of the item(s) to be purchased. The financial decision of purchase can only be made when the quorum of the purchase committee (including COF nominee) is fulfilled as defined in 4(vi). Subsequently, the following purchase procedures shall be followed:

- a. For purchases above Rs. 1 lakh and below Rs. 2 lakhs: a copy of the tender shall have to be placed on the GGSIPU website;
- b. For purchases above Rs. 2 lakhs and below Rs. 25 lakhs: a copy of the tender shall have to be placed on the GGSIPU website as well as on the e-portal of the government;
- c. For purchases above Rs. 25 lakhs: a copy of the tender shall have to be placed on the GGSIPU website, the e-portal of the government, leading newspaper(s) as well as in the national trade journal.

(ix) PI shall obtain his/her digital signature for the purpose of e-tendering from the designated authority of the University (currently Controller of Finance) by filling-up the required form. The PI may also seek help from the Purchase Branch of the University regarding preparation and uploading of the e-tenders.

(x) In case of purchase of items that are technical in nature such as equipment, software, etc, and the unit price is above Rs. 2 Lakhs, bids may be obtained in two parts as under:

- (a) Technical bids consisting of all technical details along with commercial terms and conditions; and
- (b) Financial bids containing item wise price for the items mentioned in the technical bid.



The technical bid and the financial bid should be sealed by the bidder in separate covers duly superscribed and both these sealed covers are to be put in a bigger cover which should also be sealed and superscribed. The technical bids shall be opened first and evaluated by the technical members of the purchase committee, i.e. faculty members comprising the purchase committee. The committee shall prepare and sign a comparative statement of all the technical proposals analyzed and evaluated by it, clearly specifying the bidders whose bids have been found to be technically qualified. Subsequently, the financial bids of only those bidders who have been declared technically qualified by the technical members of the purchase committee shall be opened by the purchase committee including the CoF nominee, ranking and selecting the bidders for placement of purchase order. For purchase of items that are technical in nature such as equipment, software, etc, and the unit price is below Rs. 2 Lakhs, a single bid consisting of both technical and financial information may be obtained.

- (xi) Purchase orders shall be signed by the PI (or Co-PI in absence of the PI) after following the purchase procedures and obtaining the approval of the competent authority in case of purchases above Rs. 1 Lakh. The reasonability of prices, warranty and acceptability of other terms and conditions shall be confirmed by the purchase committee prior to placement of purchase orders. The orders shall be placed with the supplier whose quotations are the lowest (L1), unless recommended otherwise by the purchase committee with written justification for surpassing the lowest bidder, and approved by the sanctioning authority prior to placing the order. In case of any discrepancy, the matter shall be referred to the Vice Chancellor and that decision shall be final.
- (xii) A copy of the purchase order for non-recurring items shall also be submitted to the office of the Dean of the concerned School for information.
- (xiii) Purchase of a proprietary item can be done by the PI after the purchase requirement of the item(s), quotation for the item(s) from the manufacturers or their sole authorized distributors and Proprietary Article Certificate in the format prescribed in GFR 154, are approved by the technical members of the purchase committee. Subsequently, the PI shall obtain administrative approval and sanction of expenditure from the competent authority prior to placing the order.
- (xiv) Consumables may be purchased from standard Indian firms or foreign companies on the basis of rate contracts approved by the University. No prior approval is required for ordering consumable within budgetary limits from rate-contracted firms. Consumables for which rate contracts are not available shall be purchased following the procedures outlined in the GFR in force in GGSIPU as amended from time to time.
- (xv) All the bills in respect of the research project shall be verified by the PI and sent directly to the Finance and Accounts Branch for payment, along with the sanction orders conveyed or accorded as the case may be, research project budget control register and signed copy of GRF rules, as applicable. It shall be the responsibility of





the PI to ensure that the bills are complete in all respects and that they are in order. If the Finance and Accounts Branch has any procedural objections to a bill, it should be returned to the PI for clarification within three working days, otherwise the payment shall be released within four working days.

(xvi) Advances shall be paid as per the amount and purpose sanctioned by the appropriate sanctioning authority in view of their financial powers, to the PI or in favour of the claimant as necessary by using the RTGS facility. The PI shall be responsible for settling the account of such advances within a period of one month from the date of drawing advance. In case of advances drawn for field work related to research projects, they may be settled within one month after returning from the field work. However, this shall not apply in cases of LCs and sight drafts, where the money is always with the Bank. LCs should be cleared within 30 days of receipt of equipment/material.

(xvii) In case of collaborative projects or network projects involving other institutions outside GGSIP University, any such investigator whose name is mentioned in the project proposal at the time of submission may make purchases (within budgetary provisions) as per the general financial procedures laid down by their Universities/institutions and send the bills to GGSIP University for payment, provided the bills are authenticated by the investigator as well as the PI. However, this shall be applicable only to those cases where the budgetary provision for that item has been made under the budget sanctioned to GGSIPU.

*Note: The General Financial Rules (GFR) rules quoted above are as per GFR 2005 ([www.finmin.nic.in/the\\_ministry/dept\\_expenditure/gfrs/GFR2005.pdf](http://www.finmin.nic.in/the_ministry/dept_expenditure/gfrs/GFR2005.pdf)), which is the GFR currently in force in GGSIPU. However, as the GFRs are amended from time to time, the latest version shall apply, unless otherwise specified by the funding agency. The amended rules shall be notified by the Finance and Accounts branch of GGSIPU.*

#### **5. Maintenance of research project budget control register and stock register**

- (i) The PI shall maintain project-wise research project budget control register, each divided into different sections as per the various sanctioned budget heads, each showing total allocation, bill-wise expenditure and the cumulative reducing balance. In addition, this register should also contain an overview section showing the cumulative expenditure and balance against the total value of the project.
- (ii) The PI shall maintain project-wise stock registers for consumable and non-consumable articles purchased from the project funds. The PI shall make them available to the any competent authority of the University as and when required.

#### **6. Overhead Charges**

- (i) The PIs shall include overhead charges of at least 10% (or as defined by the funding agency) while submitting their project proposals to the funding agencies.





(ii) Out of the total amount received as 'overheads' from the funding agency, 50% shall be transferred to the University. The remaining 50% of the overhead charges shall remain at the disposal of the PI/Co-PI which can be spent as described below. If any unspent balance remains from the PI's 50% share, the unspent balance shall be transferred to the University. Regardless of this internal arrangement of utilisation, any amount received as "overheads" shall be reflected as utilized in the utilization certificate for the year in which these funds are received.

(iii) Expenses can be made on the following nature of work by the PI/Co-PI from her/his share of the overhead charges with the prior approval of the Vice-Chancellor:

- (a) **Infrastructure:** Work related to laboratory maintenance and renovation, purchase of furniture, minor equipment for lab/office costing upto Rs. 50,000; repair of existing furniture, woodwork like partitions, shelves etc., civil/electrical/plumbing and miscellaneous works including labour charges, making dust-free rooms, purchase of air conditioners, invertors, voltage stabilizers, UPS air curtains, etc. This type of work can be assigned to outside agencies through quotations/tenders within the prescribed limits as per the prevailing GFR rules to avoid delays. However, no structural changes can be made without the approval of the Vice Chancellor.
- (b) **Repair and upgradation:** This includes repair of laboratory equipment, computers and peripherals, payment of annual maintenance/service contracts, purchase of software, spares and accessories for equipment.
- (c) **Cost of advertisements:** These include costs for advertising in print/electronic media for project positions as well as other project-related notices.
- (d) **Hiring manpower:** Hiring includes secretarial assistance (typing/computer operator/accounting, etc) at approved rates, or providing financial assistance on part-time basis (not exceeding the 50% of CSIR/UGC fellowship amount) to Ph.D. students not receiving any fellowship.
- (e) **Travel expenses:** Expenses to meet local, domestic or international travel, lodging, boarding, registration fee towards participation of PI, Co-PI and project staff in Conferences/Symposia and on visits to other laboratories (in India and abroad) for discussions or working with collaborators. These expenses shall be as per the rates governed by the GGSIPU "Regulations for financial assistance to faculty members for presenting their work at national and international conferences/seminars/symposia".
- (f) **Communication facilities:** Such facilities in office/Laboratory of the PI/Co-PI, including installation of telephone (STD/ISD), fax, networking and their bill payments.
- (g) **Hospitality expenditure:** For expenditure towards hospitality of collaborators, project reviewers and other visitors to the PI/Co-PI at GGSIPU in relation to the project, including their lodging and boarding or common lunch/dinner with all the project partners, subject to a limit of Rs. 20,000/- per annum.



- (h) **Field work:** For research projects involving field work as specified in the project, the PI may hire people for field work assistance (including field guide, local help, etc). The PI may also meet expenditure towards the TA/DA for research personnel going on field trips as well as towards rent and other expenditures for field stations.
- (i) **Any other:** For any other unforeseen research expenditure not covered under the above provisions, the PI/Co-PI may meet them with the prior approval of the Vice Chancellor from the PI's share of the overhead charges of the project.

#### **7. Annual/interim progress report, statement of expenditure and utilization certificate**

- (i) The PI shall prepare the progress report along with the statement of accounts and utilization certificate as per the requirements of the funding agency at the end of each financial year, as well as upon the completion of the research project.
- (ii) Upon completion of the project, but before the issuance of the final utilization certificate, the PI shall transfer the remaining consumable items (if any) and non-consumable items to the concerned stock registers of the concerned School as explained in 8(ii) below. The PI shall issue a certificate, countersigned by the Dean of the concerned School, stating that the equipments/non-consumable items purchased from the research project funds have been entered in the stock register of the concerned School.
- (iii) The PI shall send all the documents, i.e. utilization certificate, statement of accounts, certificate as described in 7(ii) above, etc for verification to the Finance and Accounts branch.
- (iv) The Finance and Accounts branch shall verify the documents within a week of their submission and forward them to the Registrar for signature and then return them to the PI for onward transmission to the funding agency.

#### **8. Completion/closure of the research project**

- (i) Upon completion of the research project, equipments/non-consumable items purchased for each research project shall become the property of the concerned School/University unless otherwise specified by the funding agency.
- (ii) The PI shall hand over the equipments/non-consumable items after completion of the research project to the concerned School. Their transfer to the School shall be reflected in the stock register and the inventory of the School. These entries in the PI's project budget control register, as well as School's stock registers shall be signed by the PI and the concerned official authorized to maintain the stock registers in the concerned School. However, the PI shall be allowed to re-issue some or all those items for other research projects being carried out in his/her laboratory. The remaining equipments/non-consumable items may be located by the School in such a manner to facilitate their maximum utilization for all users of the concerned School.



(iii) Equipments/non-consumable items which are obsolete/beyond repair can be exchanged while purchasing new equipments under buy-back system whenever possible, or written off after following the due process prescribed by the University. It may be initiated by the PI/Dean of the concerned school, depending on whether the equipment to be disposed off is in the laboratory of the PI/Co-PI or with the School. In case of any missing equipment or its components, the matter is to be reported to the Registrar of the University at the earliest.

(iv) It shall be the responsibility of the PI to keep all the project-related files and provide all documents related to the project until all the assets acquired in the project are disposed off by the University. In case a PI proceeds on long leave of 6 months and above, retires, leaves the University after the project is finished, file(s) related to the project shall be handed over to the office of the Dean of the concerned School.

## 9. Intellectual Property Rights

(i) The knowledge/discovery/invention/information generated under a project shall usually be the joint property of the funding agency and the University unless otherwise stated in the contract/agreement/MOU with the concerned funding agency.

(ii) The PI shall normally be the principal author and the institution/funding agency the assignee(s), unless the latter allow the PI to be the assignee in writing.

(iii) Intellectual property ownership issues involving collaborative partners shall be mutually decided through advance written contract/agreements/MOU between the PI and the partners. Accordingly the PI shall determine the co-authorship or co-inventorship of the partners involved for protection of IPRs.

(v) The applications for filing patents and other IPRs, as well as their subsequent development or transfer of technology/know-how should be submitted in consultation with the Patent Cell of the University.



### **Annexure I: Proforma for Submission of a New Research Project**

(Please submit this form at the time of submission of the research project proposal to the School/Centre for forwarding by the University)

1. Name of the Principal Investigator:
2. Designation and Name of the School/Centre:
3. Title of the Project being Submitted:
4. Name of the Co-Principal Investigator (if any):
5. Designation and Name of the School/Centre/University/Institute of the Co-PI:
6. Name of the Funding Agency:
7. Duration of the Project:
8. Total Financial Support Requested:
9. Total Number of Ongoing Projects with the PI:  
(Please provide details including the title of project, duration, name of funding agency and funds sanctioned)
10. Total Number of Completed Projects by the PI (last 5 years)  
(Please provide details including the title of project, duration, name of funding agency and funds sanctioned)

It is certified that:

- (i) I/we shall be able to carry out this proposed research project within the space/infrastructural support available to me/us at present. The School/Centre/University has no obligation to provide any extra space/infrastructure/facilities/funds to implement this project.
- (ii) I/we undertake to obtain all the required regulatory and administrative clearances required for this research project.
- (iii) A request for overhead charges has been included in the research proposal.
- (iv) I/we shall not carry out any major civil/electrical works without the permission from the competent authority.
- (v) I/we certify that implementing this project shall not interfere with my teaching responsibilities in the University.
- (vi) I/we shall abide by all the regulations of G.G.S.I.P. University for operation of research projects.

Signature of the PI

Signature of the Co-PI

Date: