

**RULES GOVERNING SPONSORED  
RESEARCH PROJECTS  
&  
CONSULTANCY JOBS**

[As approved by the EC in its 16th meeting held on 30th November 2011]



श्री माता वैष्णो देवी विश्वविद्यालय

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## **GENERAL INFORMATION ON SPONSORED RESEARCH PROJECTS & CONSULTANCY JOBS**

The university encourages its faculty members to undertake sponsored research projects and consultancy, without undermining the fundamental responsibilities towards the University for which they are employed. The entire expenditure for the operation of the project is required to be met by the sponsoring agency, governmental or non-governmental. The responsibility for operation of the project lies with Principal Investigator (PI) / Consultant In-Charge (CI). The IRD (Estt.), IRD (A/C) and Central Stores & Purchase Section shall provide the PI or CO-PI the necessary administrative support.

### **1. SPONSORED RESEARCH PROJECT PROPOSALS**

**The Project proposals could be:**

- i. Sponsored research projects funded by govt. supported funding agencies such as DST/DBT/CSIR/UGC/ISRO etc. / non-government bodies/agencies/organizations, which shall be governed by the rules and regulations of the concerned agency and the University.*
- ii. Consultancy projects funded by governmental; or non-governmental bodies; external agencies/ corporate sector and governed by the rules of the University.*

#### **1.1 Preparation of the Proposal**

- The project proposal should be formulated according to the format prescribed by the concerned Funding Agency. The format is available at the respective website of each Funding Agency (The names of major funding agencies and their web address may be seen at Annexure–A).
- While making an estimate of the funds required for a project, the following budget heads should be taken into account:
  - a) Salary of Project Staff (with designations)
  - b) Equipments
  - c) Consumables
  - d) Travel (specify if there is need for international travel)
  - e) Contingency
  - f) Administrative Overheads permissible at the uppermost limit by the funding agency or as decided by the University in case of sponsored projects by non-government bodies.
- All the projects should be forwarded by respective Heads of the School to concerned Dean who should then forward the same to the Registrar to obtain the approval of the Hon'ble Vice Chancellor. The Project would not be delayed by more than 7 days from the date of submission of the same by the Principal Investigator.
- The proposal duly recommended by Head of concerned School & Dean of Faculty should be sent to the Registrar along with the following documents :
  - a) A copy of the project proposal;
  - b) A copy of URC recommendations on the project.
  - c) Research and Development Form No. R&D/01 (Annexure–B) duly filled in all respects;
  - d) Summary of proposed Research Project Proposal about in 250 words and about 8-10 key words relevant to the project proposal. (This information is also to be sent by e-mail at [regsitrar@smvdu.ac.in](mailto:regsitrar@smvdu.ac.in)).

- Registrar will examine the proposal and process the same to obtain the approval of the Competent Authority. The competent authority for approving the proposal for submission to respective funding agencies is Vice Chancellor;
- After obtaining the approval of the Competent Authority, Registrar will hand over a forwarding letter and the copy of the project proposal to the P.I. for submission to the funding agency;
- The project proposals shall be photocopied by the Principal Investigator from either his/her School/ Faculty or from the Library at subsidized rates for which an instruction to the Library would be issued from the Registrar. Administration would provide the Principal Investigator with a Forwarding/Covering letter after which PI would post the project to the funding agency either on his/her own expense or from their projects;
- Principal Investigators will have to sign an undertaking mentioning that the project will not hamper their official work and that they will not require any extra support (vehicle, extra space etc) from the University. The two undertakings, one for project proposals and the other for sponsored research and consultancy, would differ in their content and designed appropriately;
- Principal Investigator would not allow exploitation of the available infrastructure of the University as well as his/her own potential when it comes to undertaking of sponsored research and consultancy, as this will lead to the exploitation of the University itself in the long run;
- Overhead charges for projects funded by the government agencies would range from 0 - 15%. The same was decided to be raised from 35% to 37% in case of sponsored research and consultancy proposals supported by non-government agencies. However, a case to case assessment could be carried out by the University in exceptional situations. A fixed % of Overheads [50-50 to begin with] so charged; shall be used for School / Faculty / Lab Development.

## **1.2 OPERATION OF THE PROJECT**

On receipt of sanction letter from the sponsoring agency, the Registrar will obtain approval of the Competent Authority for its operation and will notify its operation along with details such as, project code No., Title, Names of PI/Co-PIs, Project Staff with designations, Tenure of the project, Budget breakup etc.

## **1.3 SUBMISSION OF PROGRESS REPORT**

The responsibility for the operation of project lies with the Principal Investigator (PI). It is his/her responsibility to prepare/submit regular progress reports, Utilization Certificate etc. required by the funding agency through Registrar. The PI is required to submit progress report of the project to funding agency at specified intervals.

#### 1.4 AUDITING OF FUNDS / ISSUE OF UTILISATION CERTIFICATE

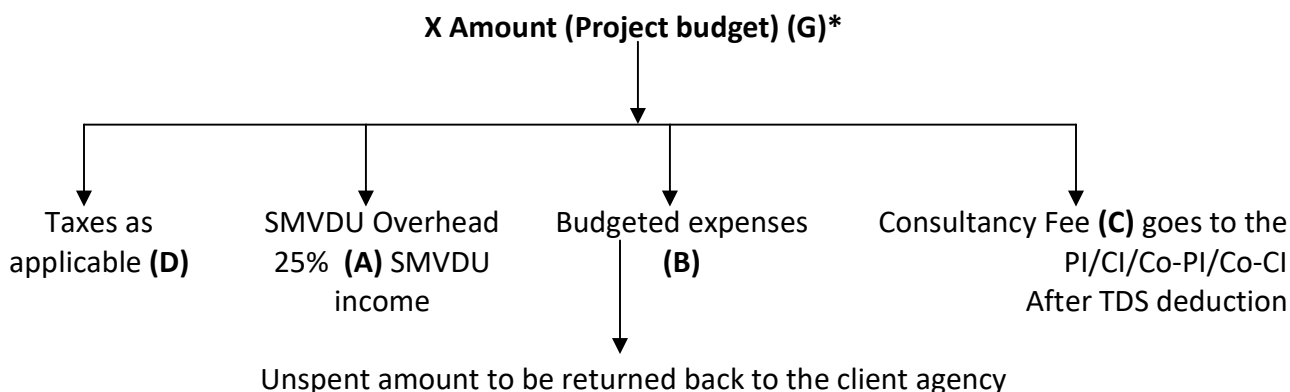
The Finance Officer will get the accounts of all the sponsored research projects audited every financial year by the external audit party and send the audited Statement of Accounts / Utilization Certificate (UC) to the Registrar for onward submission to the sponsoring organization with a copy to the P.I. Any extra or under accounting for expenditure under specified heads; and timely submission of reports with Utilization Certificates, would be the responsibility of the PI/Co-PI.

#### 1.5 PROJECT COMPLETION REPORT

The Principal Investigator is responsible for submitting the final report of the work done on the sponsored research project within one month of the completion along with the Statement of Receipt & Payment. Copies of the Report will be submitted by the PI directly to the sponsoring organization with a copy to Registrar for record.

### 2. CONSULTANCY JOB PROPOSALS

The Consultancy proposal should be submitted on the prescribed **Form No. R&D/02 (Annexure–C)** after going through the standard terms and conditions contained therein



**Note:** A, B, C and D are reference to the form No R&D/02, (Annexure C) of rules governing sponsored research and consultancy norms.

While preparing the break-up of the consultancy job, the following budget heads may be kept in mind.

#### Description of Budget Head Budget Code Amount (Rupees) \*

<b>Break up of total charges:</b>			
	<b>Budget Head of Description</b>	<b>Budget Code</b>	<b>Amount (Rupees)</b>
<b>A.</b>	University Charges (@ 25% of total charges)	<b>UNIVOHS</b>	
<b>B.</b>	<b>Fee for Scientific &amp; Technical Advice (Consultancy distribution to be decided by CI concerned)</b>		
	Fee for CI:		
	Fee for Co-CI:		
<b>C.</b>	<b>Total Charges (A+B)</b>		
<b>D.</b>	GST @ ....% of C (Total Charges)		
<b>E.</b>	<b>Gross Amount (C+D)</b>		

- a) The minimum total charges for a consultancy job must be Rs.10,000 /- (excluding GST )
- b) All consultancy proposals shall be accompanied with a written communication from the client organization in original clearly indicating the title of the consultancy job, scope of work, duration, amount of consultancy, deliverables, etc.
- c) Registrar will examine the proposal and process the same to obtain the approval of the Competent Authority. The competent authority for approving the proposal is the Vice Chancellor.
- d) The work on consultancy job shall be undertaken only after the prior approval of the Competent Authority and after Registrar issues a notification.

### **3. RECRUITMENT OF STAFF UNDER SPONSORED PROJECTS/CONSULTANCY JOBS**

The staff can be appointed as detailed below:

- 3.1 Regular Selection (through Advertisement for the Duration of the Project)** Since SMVDU is an “equal opportunity employer”, this procedure is followed for appointment of staff for all projects. The advertisement for the posts is done by one of the following ways:
- i. by sending the advertisement to at least 20 various Institutions / organizations within the country, or
  - ii. by publishing the advertisement in a national newspaper and putting it on the website.

For advertisement, PI/CI is required to provide the details of qualifications along with desired experience and the nature of the job for a particular post. to the Registrar for forwarding the same for advertisement after taking approval from the Competent Authority. Any additional qualification requirement proposed by the PI/CI will be put as desirable/preferable in the advertisement.

The process of this type of selection would takes about 6-8 weeks. The selected candidate is expected to work for the duration of the project. However, the offer letter is issued for a year and renewed on yearly basis on the recommendation of the PI/CI.

The selection of the candidates would be effected by Standing Selection Committees constituted for this purpose.

### **3.2 Adhoc Selection**

This selection is like walk-in-interview and is for a maximum period of six months. It is advertised internally (within university or local dailies).

Further,

- i. the PI/CI has to ensure that there is a gap of at least five working days between the issue of advertisement and the date of interview.
- ii. the PI/CI is required to provide the details of qualifications along with desired experience and the nature of the job for a particular post. However, Registrar will advertise the posts with approved qualifications & experience. Any additional qualification requirement proposed by the PI/CI will be put as desirable/preferable in the advertisement.

The selection of the candidates is effected by Standing Selection Committees constituted for this purpose.

### 3.3 Hiring of staff on contract basis

The PI/CI may hire the services of persons on contract basis against vacant posts for a specific work pertaining to the project up to a maximum period of three months.

### 3.4 Selection Committees

The composition of selection committees \* for different categories of posts should be as follows:

<b>Project Consultant or equivalent</b>	<b>Sr. Project Scientist, Project Scientist or Equivalent</b>	<b>Project Staff</b> (Project Associate, Sr. Project Assistant, Project Assistant, Jr. Project Assistant, Project Attendant)
1. Dean of Concerned Faculty 2. Dean, R&D 3. Principal Investigator / Co-PI 4. Head of School 5. One Expert Nominee from relevant school 6. One outside Expert	1. Dean of Concerned Faculty 2. Dean, R&D 3. Principal Investigator / Co-PI 4. School, Head of School 5. One Expert Nominees from relevant school 6. One outside Expert (For Sr. Project scientist)	1. Dean of Concerned Faculty 2. Dean, R&D 3. Principal Investigator / Co-PI 4. Head of School 5. One Expert Nominee from relevant school

The schedule of Standing Selection Committees would be notified about a month in advance for a period of 3-4 months.

### 3.5 Pay Slabs: As per existing norms

#### 4. **PROCEDURES/NORMS FOR PURCHASES UNDER THE PROJECTS**

The Stores & Purchase Section will process the papers for purchase of the equipment/supplies in accordance with the Purchase Rules of the university. The Faculty/School/ storekeepers are to be approached for the necessary procurements. University rules for procurement, holding of technical and purchase committees, will apply for making purchases.

#### 5. **LOCAL / NATIONAL/INTERNATIONAL TRAVEL UNDER THE PROJECTS**

The Principal Investigator / Consultant In charge and others can visit places outside the Institute as per entitlement, subject to availability of funds under budget head "Travel or TA/DA" of the project. However sanction of Dean of Faculty /Head of School is required for being away from the university. In case of administrative duties, permission should be sought from the Vice Chancellor after making alternate arrangements.

In case relaxation of entitled norms is desired, approval of the Competent Authority is required.. International travel for project associated activities is allowed only if such provisions exist in the budget approved by the sponsoring agency of the project; otherwise the concurrence of the Funding Agency on the same is required. Prior approval of the Vice Chancellor (through Registrar) is required for travel abroad.

Approval of the Competent Authority is required for hiring of DLY Taxi up to Jammu, Udhampur & Katra up to maximum limit of six times in a month, in case the project so desires. If the PIs/CIs have more than two projects, the limit on hiring of DLY Taxi during the month will be ten. During the months of April to September, air-conditioned DLY Taxis can also be used.

#### **6. PAYMENT OF O.T.A/HONORARIUM**

The PI/CI can engage regular staff of the Institute for project work on OTA/Honorarium basis. The payments are made as per their entitlement as notified by the university from time to time. The expenditure involved shall be met from the project budget provision under Staff salary/OTA/Honorarium. PI is the competent authority to sanction OTA/honorarium to supporting staff. Dean/Head can sanction honorarium up to Rs. 2000/-. However for payment of Honorarium above Rs. 2000/-, the Vice Chancellor is the competent authority.

The students registered for their Ph.D./M.Tech./M.S(R) can also be engaged under the consultancy/ sponsored projects. They are required to perform the assigned work in addition to their normal duties related to Assistantships/Fellowships. The Ph. D. and M. Tech. students can be paid honorarium up to a maximum of Rs.3000/- and Rs.1500/- pm respectively. The PIs/CIs may also hire the services of those students who are not drawing any assistantship and pay the assistantship at par with university norms up to the approved amount of assistantship/fellowship in accordance with their qualifications etc. The UG students may also be engaged for project work and be paid a maximum of Rs.1,000/- per month during non-vacation period and Rs.3,000/ per month during vacation period.

Project Staff appointed under the projects are not eligible for any OTA/Honorarium. Any misuse of funds will be liable to punitive action as per the rules and regulations of the University.

#### **7. TEMPORARY ADVANCE / PERMANENT IMPREST**

In order to meet day-to-day contingent expenses of the project, the PI/CI can draw permanent imprest (up to Rs.10,000/-) from project fund in his/her own name or his nominee. Temporary advance for specific purchase can also be drawn by the PI/CI directly from Project Account. The adjustment account against the advances is to be submitted within a period of one month from the date of drawl of advance.

#### **8. SCHOOL / FACULTY / LAB DEVELOPMENT FUND (SFLDF)**

##### **8.1 CREATION / GENERATION OF SFLDF**

The School / Faculty / Lab Development Fund (SFLDF) is generated by crediting: 50% of the University Charges / Overheads so collected towards School, Faculty and Lab development.

##### **8.2 UTILIZATION OF SFLDF**

The SFLDF can be utilized for the following purposes:

- a) TA/DA and Registration fee for attending the Conferences in India or abroad.
- b) Membership fee for Professional Societies.
- c) Purchase of Professional Books, video and DVD/CD ROM etc.
- d) Upgradation or purchase of portable or desktop computers and related peripherals for use by the faculty at any location as per the working requirement.
- e) Purchase of office or lab furniture.
- f) Purchase of Lab Equipment



- g) Purchase of Cellular Phone and expenses including the charges for the cash card and other monthly expenses on calls restricted to Rs.750/- per month (only for sponsored research projects/consultancy jobs related activities).

The Up-gradation/Replacement of Cell Phone is allowed after three years of its purchase provided that the earlier one has been written-off as per university rules. All purchases shall be made following the University Purchase Rules. The procured items shall be properly accounted for and shall remain the property of the university.

## **9. STANDARD TERMS AND CONDITIONS OF CONTRACT FOR CONSULTANCY**

These terms and conditions are to cover projects for the development of products, processes, field studies, model studies, calculations, economic and technical consulting and other forms of project of specific interest to the client. The conditions are binding unless otherwise agreed upon in a separate document.

- i. **PROJECT PLANNING:** The University shall, together with the Client, prepare work plan and budget for the project or parts of the project wherever the project size or subject makes this necessary. This plan shall normally be accepted by the Client before commencement of the work on the project. The University shall supply information regarding the progress of the project at any time at the Client's request. The Client may, with the agreement of the University, follow the progress of the project personally, or through a third party named by the Client. The University and the Client shall agree on the form and frequency of formal reports concerning the progress and the results of the project.
- ii. **RESPONSIBILITY:** The University undertakes to carry out the project as conscientiously as conditions allow, but accepts no economic responsibility, should the work not lead to expected results. The University accepts the project on condition that the Client renounces all right to claim damages for losses sustained directly or indirectly in consequence of the work done by the Institute.
- iii. **DISCRETION:** The University undertakes to handle with discretion reports, results, the identity of the Client, and all material which the Client places at the disposal of the University in connection with the project.
- iv. **SUB-CONTRACTING:** The University reserves the right to allow any work, experimental or otherwise to be carried out by a third party provided this does not result in the danger of information of a confidential nature coming into the hands of unauthorized persons.
- v. **RESULTS OF THE PROJECT:** The results of all work done by the University in connection with the project, incorporated in written reports in accordance with paragraph 1, shall remain the property of the Client. Results arrived at with little or no involvement on the part of the Client are available free of charge for the Client's own use. However, the University reserves the right to use such results in connection with activities outside the scope of the project. Inventions are covered in paragraph 6. If the Client consists of several individuals, all questions of Client, rights between the Clients must be settled between such individuals, and are of no concern to the university. Unless otherwise agreed, all reports are to be sent to the Client in triplicate. The University has the right to retain a copy.
- vi. **INVENTIONS:** All reports of University on the project are the property of the Client. This includes patentable inventions while working on the project. However, an IPR related issues could be resolved mutually so as to benefit the PI and the University.

- vii. **PUBLISHING THE RESULTS/OUTCOME OF THE CONSULTANCY:** The results/outcome of the consultancy must not be exploited by the client organization for its business interests by using University's name/logo through press advertisements/publicity material or in any other manner. Manuscripts of academic papers, brochures, advertisements or other form of published material which refer to or quote the propriety results of the project shall be vetted by both parties before publication.
- viii. **COMMUNICATION OF RESULTS TO A THIRD PARTY:** The University may not, without the written agreement of the Client, communicate the results of the project to a third party. The Client shall arrange the necessary agreement of all parties on the Client's side who may have publication rights with respect to the project.
- ix. **PROJECTS FOR OTHER CLIENTS:** The University may normally undertake other projects in the same field provided - to the best of the University's knowledge and belief - there exists no danger of information of a confidential nature coming into hands of a third party. Any agreement to restrict the University from undertaking similar projects during or after the life of the project, shall be covered by a separate contract.
- x. **APPARATUS:** Instruments and/or equipment obtained in connection with the project and charged to the client remain the property of SMVD University, unless otherwise it is specifically agreed to by the University.
- xi. **TERMINATION OF THE PROJECT:** The client has a right to terminate the project at any time, but shall be liable for all reasonable expenses incurred in connection with halting work already in progress according to the agreed work programme. The University has the right to terminate the project with three months' notice except where otherwise agreed upon. The client in this case will not be liable for any expenses incurred after the period on notice.
- xii. **NORMAL TERMS OF PAYMENT:** The payment of the University charges for the consultancy projects are required to be deposited in full (unless otherwise it is specifically agreed by the University) before the start of the work, through a crossed bank draft/ cheque (Bank drafts in the case of private organisations and by draft/cheque for others). **The draft/cheque is to be drawn in favour of "Registrar, Shri Mata Vaishno Devi University" and drawn on any bank payable at Katra / Jammu.**
- xiii. **DISPUTES:** In the event of any dispute or difference between the parties hereto, such dispute or differences shall be resolved amicably by mutual consultation. If such resolution is not possible, then the unresolved dispute or difference shall be referred to an outside arbitrator to be nominated by the Vice Chancellor for a reasoned Award. The Award of the arbitrator shall be binding on the parties to the dispute.
- xiv. **SERVICE TAX:** As per Service Tax Act of G.O.I., the service tax plus education cess **as per GOI/J&K Govt. norms** will be levied on total consultancy charges and this amount is to be borne by the client organization.

\* As decided in the meeting held on 13<sup>th</sup> March, 2018 at 03:00 p.m. in the office chamber of Registrar, SMVDU regarding revision of formats for R&D Wing and subsequent approval accorded by Hon'ble Vice Chancellor on 2<sup>nd</sup> April, 2018.