Guidelines for the sponsored research projects/consultancy

Babasaheb Bhimrao Ambedkar University, Lucknow-226025

Vision

To be a leader in Science and Technology, Education, Knowledge creation and Innovation in India marching towards an impartial, inclusive and sustainable society.

Mission

- To create knowledge through team effort and individually for the benefit of society.
- To inculcate a spirit of entrepreneurship and to impart the ability to devise globally recognized solutions for the problems of society and industry.
- To train teachers capable of inspiring the next generation of engineers, scientists and researchers.
- To work intensely with industry in pursuit of the above goals of education and research, leading to the development of cutting edge and commercially-viable technologies.
- To operate in an ambience marked by overriding respect for ability and merit.

1. **SCOPE**

These Guidelines shall be called "R&D" hereafter & shall apply to all activities stated therein. These rules supersede all existing R&D rules.

2. **TERMINOLOGY**

2.1 **Sponsored Research Project:** Time and cost bound projects sponsored by Government, public, private, national/international agencies and autonomous bodies. The project cost including cost towards contractual manpower, deputed manpower, equipment, consumables and support services of the University are borne by the sponsor.

2.2 **Sponsor:** The organization that sponsored the Project to the University and gives necessary financial support for the successful completion of the project in time.

2.3 **Principal Investigator / Investigator-In-Charge (PI):** A faculty member of the University with the necessary expertise and competence to conduct a Sponsored Research / Industrial Consultancy work. Normally, the faculty member who submits the project proposal and discusses/negotiates it with the sponsor and is instrumental in getting the project is the Principal Investigator. For administrative reasons, the Principal Investigator of some projects may be appointed with the permission of the competent authority in consultation with concerned HoD if the original Principal Investigator leaves or his/her service are not available to the project for any other reason.

2.4 **Co-Investigator (Co-Pi):** A faculty member co-opted by the Principal Investigator to work jointly with him/her. If the PI leaves the University or goes on leaves, a Co-Investigator assumes the power of the PI with the approval of the Dean (R&D).

2.5 **Consultancy Project:** Time-bound specific problem-solving projects sponsored by funding agencies with payment of consultancy fee/honorarium to the Investigator(s) in addition to all other expenses.

2.6 **Individual Research and Development Grant Fellowship:** Research and Development grants-in-aid offered to individual faculty, research fellows from the sponsors and executed using University facilities with financial support from the granting agencies towards equipment, contingency, overhead, fellowship etc.

2.7 **DEAN (R&D): Dean (R&D) is designated by the Vice-Chancellor, Babasaheb Bhimrao Ambedkar University, Lucknow as Head of the Research & Development office**. The Dean (R&D) has full responsibility for project administration including:

i. Acceptance of Sponsored Research and Consultancy projects from the Sponsor on behalf of the University.
ii. The recruitment, extension, assessment, termination and invoking disciplinary procedure against project staff.
iii. The Dean (R&D) will be authorized to approve purchase up to a sum of 5 lakhs and issue the supply order.
iv. An advisory committee may be constituted by Dean R&D as his/her Chairmanship for the facilitating the research and development activities in the University.

2.8 **University Development Fund (UDF)** means a part of the Institutional Overhead Charges received for sponsored research and a part of the University share from Industrial Consultancy project credited to a separate fund operated by Finance Officer, BBAU and transfer every year to University Development Fund/Corpus fund of the University.

2.9 Departmental Development Fund (DDF) means a fund of the Department/School/ center to which a part of the University share from Consultancy Projects and overhead charge from the Sponsored Research Projects are transferred to the concerned academic department(s)/Schools/ centers. The objective of this fund is to provide an additional grant to the department/Schools/ centers for its developmental activities.

2.10 Professional Development Fund (PDF) means fund for individual academic staff who will **contribute to PDF**, the objective of which will be to help an individual in their professional development. A part of the University overhead charges from Sponsored Research Projects (**as a non-lapsable component)** shall be transferred to the PDF of the concerned PI.

3. SUBMISSION OF PROJECT PROPOSAL

Principal Investigator forwards his/her research proposal along with Annexure **1** through the head of the Department to Dean (R&D) office to complete the necessary Project proposal submission

requirement like Endorsement Certificate. PI must ensure that proposal is free of plagiarism and in proper proposal submission format of the funding agency. Research proposal should be submitted one week prior of the last date of proposal submission to the office of Dean (R&D) for the endorsement certificate or any other necessary requirements related to it.

NOTE:

I. The P.I. should forward his Project Proposal to Head of Department along with **Annexure 1**.
II. The Head of the Department of the concerned Department should endorse and forward the Project proposal to Dean (R&D) office within 24 h.
III. The office of the Dean (R&D) should endorse and forward the approved research project proposals to the given funding agency or PI for the online/offline submission in 5 working days of receipt of the proposal.
IV. Project Proposals that require Ethical Clearance/Bio-Safety Clearance/ Animal Ethics Clearance will be concurrently submitted to the concerned Committee/s by the PI under intimation to the Dean (R&D). The concerned Committee should convey its decision within a **reasonable time of period (3-5 months)**. The secretary of the concerned committee can provide a certificate of submission of application for clearance within **3-5 days** after submission of the application and Proper clearance can be issued when the committee scrutinizes the application. Dean (R&D) cannot be held liable for such clearances as its subject-specific. In case the same is not available within the stipulated time, the Dean (R&D) shall remind the concerned Chairman to ensure that the clearance is issued without delay.
V. If a project has one or more Co-PI, the role of PI and Co-PI(s) may be defined. All the correspondence relating to the Project will be sent by the PI directly to the Dean (R&D) office.
VI. Approval of School Dean and VC will not be required for submission of a new proposal. The approval of the Dean (R&D) is sufficient for the submission of the proposal. Dean (R&D) should inform to Registrar by sending endorsement copy to the office of Registrar.

4. ALLOTMENT OF PROJECT CODE NUMBER.

i) On sanction of the project, PI will submit the registration form to the Dean (R&D) **(Annexure 2)** on receipt of the first instalment of funds of a new project. The office of the Dean (R&D) will allot a project code no. and communicate the same to the PI and other concerned offices within **2-3 days**. This number must be referred to in all correspondence relating to the project.

ii) Project grant will be received in the name of Registrar/Finance officer, (BBAU), Lucknow by cheque/draft or electronic transfer.

iii) Once the PI or the funding agency informs the Dean/Director/Registrar that the funds have been sanctioned and likely to arrive soon, a proactive effort from the Finance/Research & Development Section is required to track the arrival of funds in the bank and inform the PI so that work can start immediately.

iv) Maintenance of the independent account and Project ID: Nowadays most of the grants (start or subsequent) are being released through RTGS/e-payment. On getting the sanction order of the Project, PIs should coordinate with Funding Agency for release of funds and convey this information to the Finance Section so that the grant may be credited to their project account without any delay. Projects are in three categories such as Grant in Aid Project (GAP), Sponsored

Project (SSP) and Consultancy Project (CNP). The coding of the above project should be designated as **GAP/SSP/CNP. A separate project account should be opened in the University Bank, with a unique Project ID, which could be: "types of project/Department/Funding Agency/Year of Start/ R&D office Code of the Project" for example GAP/DES/DST/2018/014**

v) The **effective date of implementation of the project** shall be as defined by the granting agency. If such a date is not defined by the funding agency, then the date of the first expenditure shall be the effective date of implementation of the project**.**

vi) Any expenditure incurred before the allotment of Project code number and after the expiry of tenure of the Project shall not be admissible unless permitted by the funding agency.

vii) Operational Head of the Project: PI of a sanctioned project is considered to be the prime interface between the funding agencies and is considered the operational head of the project. PI of the Project should be treated as Head of the concerned unit, as per the earlier order. This practice should be followed. Normally, the faculty member who submitted the project proposal and discusses/negotiates it with the sponsor/funding agency and is instrumental in getting the project is the Principal Investigator. For administrative reasons, the Principal Investigator of some projects may be appointed by competent authority the in consultation with the concerned HOD, if the original PI leaves or his/her services are not available to the project for any other reason.

viii) Contingency grant of the projects: PI of the project shall be responsible for the use of contingency funds as per the project requirements. GFR is to be followed for the usage of contingency funds.

5. File route: P.I./C.I.→Head of the Department→Dean Office (R&D)→Finance Officer/Hon'ble VC(if required) → Registrar* (duration- 3-5 working days).

Note-

*Registrar will directly mark the file to Assistant Registrar (R&D) after approval of competent authority.

6. Structure of Dean R&D office:

i) Dean

ii) Associate Dean (S)

7. **Recruitment procedure:**

7.1 All project appointments will be contractual and on the temporary basis of consolidated monthly emoluments as applicable to different sponsored projects.

7.2 The tenure of contractual appointment of a project shall be as per the project specifications/guidelines.

7.3 A **project employee shall execute a contract Agreement on non-judicial stamp paper of value at least Rs. 100/- at the time of joining with the explicit provision that contract may be terminated by either side (Staff and PI) by giving one month's notice or one month's consolidated emoluments in place of the notice.**

7.4 Selection of JRF / SRF / RA/project Assistant/project attendants or any other shall be as per the guidelines provided by the sponsoring agency and with the approval of the Dean (R&D). In case there are no explicit guidelines of the sponsoring agency then university rules or as decided by the office of Dean (R & D) shall be applicable.

7.6 The PIs shall consider prevailing emoluments package, general qualifications and experience for staff while preparing the project proposal **(Annexure 3).** The PI will also submit the qualification(s) & experience prescribed for the positions. The proposed qualification & experience can be higher but not lower than the R&D office of BBAU/ Funding Agency norms.

The PI has two options for holding these selections which are as under:

Option I - Walk in Interview/written test

Option II - Shortlisting followed by test and/or Interview

7.7 After receiving requests from concerned PI, R& D office will prepare the advertisement covering all the requests and post it on BBAU website and notice through advertisement in **single National/local Newspaper** indicating "Details of the advertised Project Positions are available on BBA University website. Interested candidates may visit the website. To limit the expenditure, in case of re-appointment in the same project, advertisement notice will be posted on the University website and can be communicated to at least 10 other Universities/Institutes by email**.** The proforma for advertisement is given in **Annexure 4** (with the approval of the Dean (R&D).

7.8 The Selection Committee for the recruitment of project staff for each project will be constituted as follows:

(a) The shortlisting of the applications of project staff is to be done by the PI and sent to Dean (R&D) for approval.

(b) Selection Committee for Project staff recruitment as given in the **Annexure 5**.:

i) **Principal Investigator (PI) – Chairman**

ii) Dean(R&D) or his nominee –Member

iii) Head of the Department- Member

iv) Co-PI, if any-Member

v) An expert from the Department/School (to be nominated by the PI) - Member

vi) An expert from a related discipline preferably - Member from another School or another University/Institute (to be nominated by the Vice-Chancellor or his nominee)

vii) Expert nominated by the Funding Agency if any-member

viii) SC/ST Nominee (to be nominated by Dean R&D)*

*The SC/ST nominee is only essential in the case of SC/ST applicant under the govt. funded project. Minimum Five members including VC nominee shall constitute the quorum of the committee.

The Committee is to be approved by the Dean (R&D). The Dean (R&D) & PI shall fix, on the recommendations of the selection committee, the duration of the contractual appointment and the monthly consolidated emolument as per the norms of the funding agency. **A summary of candidates called for interview will be prepared as given in Annexure 6. The contract is to be renewed every year on the recommendation of the PI after the approval of Dean R&D.**

7.9 Proceedings of the Selection Committee meeting will be recorded as per proforma in the **Annexure 7 and 8**. Soon after the meeting of the Selection Committee, the PI will forward the following documents (**Annexure 9 & 10**) to the Dean (R&D). The office of the Dean (R&D) shall examine the proceedings of Selection Committee and communicate approval or otherwise to the PI within **one week** of receipt of complete documents. The PI shall issue appointment letter as per **Annexure 10** and forward a copy of the joining letter (**Annexure 11A**) to the Dean (R&D) as soon as the candidate joins.

7.10 **In case of an urgent requirement, PI can hire project staff for a period maximum up to 3 months after approval of Dean (R&D).** The PI must ensure that the hiring is as per specific requirements, within the financial limits of the project and is following the relevant rules/guidelines of the Funding agency/University at the given time. In any event, approval for contractual engagement for more than 3 months would not be given. Essential qualification of the project staff will be the same as sanctioned post under the sponsored project.

7.11 The project employees may be entitled to HRA if accommodation on the campus not made available to them. Expenditure towards subsidized campus accommodation / HRA may be charged to the salary head of the respective project. HRA shall not be granted to project employee in case of consolidated salary proposed by PI and the same sanctioned by the funding agency.

7.12 All project staff shall work for the project only unless agreed to otherwise by the Dean(R&D).

7.13 PIs shall be the sanctioning and controlling authority for all types of leaves for contractual project staff.

7.14 **Conduct Rules**: project employees shall

a) Follow general code of conduct as approved by Dean (R&D) (as given in Annexure 11B :

b) Maintain secrecy of the research findings / technical information and shall not get involved in unauthorized communication of any official document or information to others without consultation with PI.

7.15 Dean (R&D) may constitute a committee to conduct disciplinary actions, if necessary against project employees. Based on the report, suitable disciplinary action may be initiated and punishment will be imposed by the Dean (R&D).

7.16 Promotion from JRF to SRF shall be as per guidelines of funding agency.

8.FINANCE AND ACCOUNTS:

8.1 A separate book of accounts shall be maintained for each project. R&D Office shall be responsible for submission of statement of accounts as and when required by the sponsors. Govt. audited statement of accounts at the end of each financial year shall be provided if required by the sponsor.

8.2 In general, for sponsored research projects, **10-20% of the total project cost shall be charged towards Institutional charges (overheads)** for utilizing the infrastructural and other facilities of the University. However, if the norms of funding agency specify the same or have no such admissible head, then the norms of funding agency shall be followed. The distribution of Institutional overhead fund may be utilized by PI (20%), University developmental fund-30%, corpus fund-30%, and the Department development fund-20% for the developmental work of the research activities.

8.3 PIs shall arrange to maintain Procurement-cum-purchase Registers and Stock / Asset Register (i.e., in Form GFR 19). These shall be verified by Govt. Auditors and R&D Office as and when required. All purchase proposals in line with the purchase procedures of the University shall be processed by the R&D office.

8.4 Accounts for sponsored projects shall be maintained under five broad budget heads. They are Salary, Equipment, Contingency & Consumables, Travel and Institutional Charges (Overhead). Minor adjustment in approved budget heads may be permitted by the Dean (R&D) without violating the norms of funding agency significantly.

8.5 All expenditures shall normally be made within the proposed date of completion of the project. An exception may be permitted with the consent of the sponsor.

8.6 PI shall be allowed to spend Rs. 25,000/- for an urgent requirement of consumable, IT-related items, stationeries, and other lab-related items, and adjust within three months of spending.

8.7 Under special circumstances, PI may request for transfer of fund from one head to another head (**Annexure 12**) of the same project with the approval of the funding agency (if required).

8.8 P**urchases procedure**:

- On receipt of the 1st instalment of the project/ grant from the funding agency, the PI will inform the office of the Dean (R&D) about the break-up of the received grant under different budget heads, unless already indicated by the funding agency. On receipt of subsequent grants also, the PI shall intimate the breakup. The PI can reallocate the previous year's unspent balance (as per U/C of the previous year) under different heads, as required, provided that the reallocated amounts remain within the total amount sanctioned by the funding agency under the given budget heads.
- Each project must have a separate **Project Purchase Committee (PPC) as given below or**

P.I. may opt existing Departmental Purchase Committee:

- Principal Investigator of the project (PI)----------**Chairman**
- Head or his/her nominee*- **Member**
- One Faculty of the same dept. ---------- **Member**
- One Faculty of other departments Who have project experience -- **Member**
- Assistant Registrar (R&D) ----------**Member**
- Co- P.I. **if any** ----------**Member**
- *** Head of Department can nominate any Faculty of the Department.**

Note: (i) Approval of project purchase committee should be obtained for every financial year by P.I.
(ii) Dean (R&D) may approve the constituted Project Purchase committee by P.I., and finance office must be informed about approval of purchase committee.
(iii) Chairman with at least any three members of Project Purchase Committee may complete the quorum.

- **The Dean (R&D) will be authorized to approve purchase up to a sum of 5 lakhs.**
- The PPC may constitute a technical committee for evaluating technical specifications of the instruments/equipment's or expert member should be incorporate in PPC. **The recommendation of the committee will be approved by the Dean (R&D).** While the purchase of equipment will be done through a two-bid system when amount above 2.5 Lakhs.
- All purchases of non-consumable and consumable items and other expenses will be following the terms and conditions of the funding agency and as per purchase rules in force at BBAU.

8.9 The office of Dean R&D should help the PI in time-bound purchases under sponsored projects without administrative delay, and GFR is to be followed for Purchase under the Project. **The Dean (R&D) will be authorized to approve purchase/others up to a sum of 5 lakhs and issue supply order.** The Supply order for goods above 5 lakhs shall be placed by the Finance Officer after the recommendation of the Project purchase committee and approval of Hon'ble VC, BBAU. Any amendments from time to time in GFR shall be followed.GFR 2017 related to purchasing is provided in Table 1:

Table-1A procedure for the purchase of goods under the project

Goods up to a value of Rs.25000/-	Purchase of goods by calling quotation (Refer Rule 154 of GFR, 2017).	on each occasion with a certificate from the PI	Refer Rule 154 of GFR, 2017
Goods up to a value of Rs.2,50,000/-	Through the GeM or Project purchase committee(section 8.8).Note: purchase through PPC only on	The committee will survey the market to ascertain the reasonableness of rate, quality and specifications and	Refer Rule 154 of GFR, 2017

	exigency or extreme urgency.	identify the appropriate supplier. Before recommending placement of purchase order, the members of the committee will jointly record the following certificate:- ' Certified that we the members of the purchase committee are jointly and individually satisfied that the goods recommended for purchase are of the requisite quality and specifications priced at the prevailing market rate and the supplier recommended is reliable and competent to supply the goods in question'.	
Limited tender enquiry up to Rs.25 lacs	Tender document/quotation letter to be sent by speed post/registered post to suppliers. KendriyaBhandar and NCCF shall also be included in the list of suppliers. Web-based publicity to be given for limited tender enquiry.		As per 162 of the GFR, 2017
Purchase of Goods under Rate Contract			As per 156(1) of the GFR, 2017
Goods up to a value of Rs.25 Lakhs and above	Advertised tender enquiry		As per 161 of the GFR, 2017
For proprietary items	Single tender enquiry		As per 166 of the GFR, 2017

9. TA AND DA RULES:

Travel may be undertaken for meeting of funding agency visits, meetings outside the University, participation in Conferences /Workshops/ Seminars in India and abroad (if permitted by the funding agency). **The Government of India TA & DA rules will apply to the PIs and project employees for all sponsored research/consultancy projects**. However, there could be some relaxation in the TA & DA rules for the PIs and project staff, subject to the availability of fund and with prior approval of the Dean (R&D) as given in the detailed TA & DA rules for the R&D staff. Many of the projects require to travel both local and outside the head-quarter. The Principal Investigators (PIs) / Consultant Incharges (CIs) and Project Staff can visit places outside the University as per entitlement, subject to availability of funds under the budget head "Travel or TA/DA" of the project. The rate of mileage would be as per the rules followed by the Govt. of India/University for local and outstation tours. The advance may be provided to PIs/CIs on his/her request for attending conference/others, which can be adjusted after submission of the bills. Alternatively, the amount can be reimbursed to the respective PIs/CIs on submission of bills verified by him/her. Travel expenses of the external expert can be incurred from the contingency head of the project.

10. CONSULTANCY PROJECTS:

Each consultancy project has a consultant in charge (CI)who is a faculty member or /non-teaching staff (subject to prior approval of competent authority) in the service of the University and is responsible for :

- Formulating the project proposal which may include planning of the work to be done, estimating costs according to the guidelines provided in the University regulations, if identifying other faculty members (s) in the service of the University to work as Co-CI of the project and identifying technical staff for assistance, if required.
- Co-ordination and execution of work.
- Associating students, outside experts and external agencies, as and if required.
- Handling all communications with the client.
- Writing intermediate and final reports for the project.
- Making recommendations to the Dean (R&D) regarding expenditure from the project funds and remuneration to be paid to faculty, staff and students.

The client (sponsoring organization) usually approaches the University for Consultancy Work through a faculty member or a functionary of the University (i.e. Head of the Department, Dean R&D or Vice-Chancellor). When a faculty member is approached for the work, he/she will generally be the CI if the work falls in his/her area of expertise. If he/she does not wish to be the CI, the HOD/Centre will identify a suitable person as the CI. If the project is referred to a functionary, the concerned HOD would identify the CI according to the required expertise for the work.

Normally the agreed charges of the project are to be deposited by the client, in full, before the work commences. However, this stipulation is negotiable. In cases where the work is started with an only

partial payment, the arrangement of balance payment will be spelt out in advance and approved by Dean (R&D). The Registrar or the Dean, R&D, on behalf of the University will receive all the payment from clients.

CI will take the approval of the Dean (R&D) through the concerned Head of The Department for undertaking the consultancy project.

10.1 Information for a New Client

A new client (an organization or industrial company looking for a consultancy service from this Institute) may proceed as follows:

1. If the client has identified an individual faculty member who can handle his problem, he can write a few words on his problem or requirement to that faculty member or speak to him on the telephone. Telephone Numbers and e-mail address of all faculty members/officials of the University are available on the BBAU website.

2. If not so, the client can browse through the bio-data of faculty members and try to identify a faculty member whose expertise and experience are relevant to the problem/requirements of the client, and then write/speak to him.

3. If (2) is not possible, the client may browse through the list and activities of the various departments, and try to identify a Department of the University relevant to his problem/needs and write to the Head of the concerned Department. The e-mail address or telephone can be seen from the web pages of the respective Department. The Head will identify an individual faculty member who can take up the job and inform his /her name to the client so that further correspondence/dialogue can be held directly between them.

4. In case (3) is also not possible, the client may write briefly about his/her problem/needs to the Dean (R&D). A detailed address of Dean R&D is provided on the University website. The Dean (R&D) will identify the department / individual faculty member and inform the client. Subsequently, the client can have correspondence/ dialogue directly with the Head of Department or the faculty member.
   The project file will be closed with the submission of the final project report and disbursement of fees to the consultants and others.

10.2 Testing Services

The University will undertake routine and non-routine testing jobs provided facilities are available and such testing does not interfere with any teaching or R&D work. The testing jobs can be initiated by the faculty.

10.3 Honorarium and University charges

The distribution of consultancy charges may be as 50% to CI and others involved in the project work as an honorarium, 10% to Departmental developmental fund (DDF), 15% as corpus fund of the University, 15% as University development fund and 10% to PDF of concerned CI. The DDF may be

utilized by the concerned department for the purchase of equipment and/or material or any academic activity and promotion of the industry participation.

11. INTELLECTUAL PROPERTY RIGHTS (IPR):

11.1 Unless otherwise agreed with the Sponsor in the project agreement, Intellectual property Rights for any discovery or invention originating from the Sponsored Research and Consultancy Project shall jointly rest with the University, Investigator(s) and the Sponsoring Agency unless the Sponsoring Agency authorizes the University in writing to have the exclusive right. Patent/copyright application before the Registrar / Controller of Patents shall be filed by the R&D office based on the recommendations made by the patent / Copyright Committee.

11.2 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 a witness to the result.

11.3 For the copyright protection of software/technology, registration of the software at the University shall be made and properly documented. The list shall be centrally made available to the R&D office.

12. TECHNOLOGY TRANSFER:

The PIs shall not independently transfer technology either on an 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 the approval of the Dean (R&D)/ Vice-Chancellor, BBAU.

13. DUTIES AND RESPONSIBILITIES OF THE PRINCIPAL INVESTIGATORS (PIs):

13.1 Sponsored Research and Consultancy projects shall be undertaken only with the prior approval of the Dean (R&D). All research project proposals, are to be submitted to the R&D office for endorsement of the Dean (R&D) before onward transmission to the funding agency. In case of online submission, the PI needs to submit a copy of the proposal to the R&D Office for endorsement of the Dean before on-line submission.

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

13.3 The PI shall ensure that the head-wise expenditure does not exceed the budgetary allocation. For effective control, periodic (or as and when required) expenditure details shall be made available to PIs by R&D office.

13.4 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. He / She shall also send a copy of the final technical report to Dean (R&D).

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

13.6 The PIs shall sanction/control the leaves for the contractual employees working in their projects under intimation to the R&D Unit.

13.7 **Submission of Annual Statement of Expenditure/Utilization certificate, closure of Project Account and issue of "No Dues: certificate to the PI:** The PI and Co-Investigator/s (if any) will be responsible for timely submission of progress reports as required by the funding agency. At the end of each financial year, the Annual Statement of Expenditure (SE) and the Utilization certificate(UC) will be prepared by the PI. The office of the Dean (R&D) will support for quick settlement/issue of the SE and UC, and these will expeditiously forward to the concerned funding agencies so that the next year's funds are released in time. The Principal Investigator should settle the accounts within three months on completion of the Project. The PI should submit a request for the closure of the project after the completion of the project (**Annexure 13**) and Dues from the office of the Dean (R&D).

14. FINANCIAL BENEFITS TO PIs / CO-PIs/CIs AND PROJECT STAFF:

14.1 Within the framework of a sponsored project, PIs shall be permitted to have consultancy fee/honorarium, if the sponsor so approves. The consultancy fee/honorarium thus received shall be shared between the PIs and the University in the ratio approved by the University (50:50).

14.3 Depending on the availability of funds under Travel head and with the approval of the Dean(R&D), expenses (TA, DA, Registration Fee etc.) for presenting papers in National Conferences in fields relevant to the project, shall be given to PIs/ Co-PIs/CIs from the project fund provided such visits are approved by the Dean R&D.

14.4 On recommendations of PIs, contractual project staff and students working in projects may be permitted with the approval of the Dean (R&D) to present papers in National Conferences. TA, DA and Registration Fee support can be provided to project staff and students from the available fund under Travel head of the project.

14.5 The PIs shall prepare project proposals keeping (i) the prevailing scholarship/ consolidated salary, (ii) General qualifications and experience for staff required, (iii) rules of the R&D in mind. All such proposal requires approval by the Dean (R&D).

15. ADMISSION OF RESEARCH WORKER TO ACADEMIC PROGRAMME OF THE UNIVERSITY:

15.1 A project staff such junior research fellow (JRF), senior research fellow ((SRF); project assistant or any other working in a sponsored scheme /project of the University is eligible to register for the PG /PhD programs as per the University/UGC guidelines. The minimum duration for completion of the total credit requirements for PG/Ph.D. programs shall be as per the PG/Ph.D. guidelines of the University.

16. EXCEPTION CLAUSE:

These R&D Guidelines shall normally apply to all research projects, consultancies, testing services, software marketing, technology transfer, intellectual property rights. Any exception/deviation to these rules may be considered by the Vice-Chancellor / Competent Authority for approval depending on the merits of the case.

17. The statement of expenditure and utilization certificate will be prepared at every financial year end by the PI and sent to the sponsoring agency through the Dean R&D.

18. Submission of Progress Reports and other Deliverables: It is the responsibility of the PI to send timely reports and other deliverables to the sponsoring agency through the Dean R&D.

19. After completion of the project, the final report should be submitted to the funding agency through the Dean R&D with a soft copy for the record of the Dean R&D.

20. A completion certificate should be obtained by the PI from the funding agency for successful completion of the project based on which project account will be closed with intimation to the R&D office.

21. The project file will be closed with the submission of the final technical and financial project report and transfer of the non-consumables to the Central stock register.

22. Collaborative projects between two or more Universities/organizations can be submitted only after the approval of respective competent authorities. The funds will be received by the host University/organization of the PI and the host University/organization will have the responsibility to transfer the funds to the collaborative Universities/organizations as specified in the project proposals. If the sponsor agrees, funds can be released by the sponsor separately to the participating Universities.

23. PROFESSIONAL DEVELOPMENT FUND (PDF)

To support the professional development of the faculty of the University, PDF has been created at the University by the Faculty. It is centrally managed by the office of Dean R&D/FO. PDF is made available to only individual faculty who have contributed **to the PDF (non-lapsable)(Annexure 14).**

23.1 CREATION/GENERATION OF PDF:

- The PDF may be generated by crediting:
- 20% of the Administrative Overheads of Sponsored Research Projects amongst PI/Co-PI(s).
- 10% of the Admin. Overheads of the consultancy jobs amongst consultant/Co-consultant.
- Unspent amount of consultancy jobs as per the recommendation of the consultant.

23.2 UTILIZATION OF PDF BY PIs:

The PDF can be utilized for the following purposes:

- TA/DA and Registration fee for attending the Conferences in India or abroad and professional activity promoting sponsored research project/consultancy.
- The membership fee for Professional Societies.
- Purchase of Professional Books, Video, e-resources etc.
- Equipment, fixtures and furniture in the lab and office, maintenance charges.
- Upgradation or purchase of portable or desktop computers and related peripherals for use by the faculty at the workplace.
- Charges for Insurance cover/AMC/repair for the equipment and assets items such as laptops, desktops, or any other instruments etc (bought from the project).
- Patent /publication processing fees.

24. PROCUREMENT PROCEDURES:

All the purchases related to sponsored projects should be made as per the approved purchase guidelines of the University. However, some deviation in the purchase rules of the University could be made, to make the R&D related purchases faster and flexible, with the approval of the competent authority.

25. PRESCRIBED FORMATS:

Forms related to various activities of the R&D can be available with the R&D Office and on the designated website.

26. MANAGEMENT OF CENTRES OF EXCELLENCE:

The Centers of Excellence funded by various funding agencies will operate as independent R&D Offices in the University. The Chairmen/ Heads of the Centers, appointed by the competent authority will have financial and academic administration responsibility as approved by the competent authority. However, the financial management of these Centers will be the responsibility of the office of Dean R&D.

27. Operation of financial management of different schemes of UGC such as CAS/DSA/UPE and DST (DST fist program) will also be the responsibility of the office of Dean R&D.

28. Seed grant/University grant

The University may provide a seed grant to faculties with the good track record to augment the facilities for research laboratory (depending on the availability of fund). The faculty member will write a research proposal. The proposal should include a description of the research that he/she wishes to conduct over the next 2-3 years. It is a platform meant to help faculties to prepare for subsequent proposal submissions. In other words, the seed grant is seed for seeding bigger projects.

Guiding notes:

- The proposal will be submitted to the Dean R &D. Dean R &D will arrange to get review comments from the subject experts. Review comments will be appropriately incorporated/addressed by the Faculty before final submission.
- The proposal will be presented by the faculty before a University level committee,

consisting of Dean Academic Affairs, Director IQAC, Dean R &D, HOD and 2 Faculty members to be nominated by Dean Research and Development/Hon'ble VC.

- **The initiation grant is normally for an amount of Rs 2,00,000/- for the faculties of Science and Rs 1,00,000/- for faculties of social sciences and humanities to support the research as proposed by the faculty member and approved by the University Level Committee.**

Note-

(i) Amendments in the guidelines for the sponsored research project can be made after approval of the competent authority.

(ii) In case of any discrepancies, funding agency's rule and regulation may abide by all.

ANNEXURE: 1

Babasaheb Bhimrao Ambedkar University, Lucknow-226025
Office of the Research & Development

I (P.I. and Co- P.I.) certifies that:

1. The proposal is as per the format prescribed by the funding agency. Yes/No

2. Clearances from the relevant Committees have been obtained or application for approval sent:

   a. Ethical Committee Yes/No/Not applicable

   b. Bio-safety Committee Yes/No/Not applicable

   c. Animal Ethical Committee Yes/No/Not applicable

3. Basic general infrastructural facilities exist in the Department have been provided for the project. Yes/No

4. The same project has not been submitted by the PI/ Co-PI elsewhere. Yes/No

5. Institutional/Overhead Charges have been included in the proposal (at least 20% of the project cost or as per funding agency norms). Yes/No

Head of Department Principal Investigator Co-P.I.

ANNEXURE:2

Babasaheb Bhimrao Ambedkar University, Lucknow-226025
Office of the Research & Development
New project Registration Form

Project Title	
Sponsoring agency	
Project start date	
Project duration	
Is there any agreement /MOU? (**Tick one**)	**Yes/No**
Total amount sanctioned *****	
Project type (**Tick one**)	Sponsored research/Consultancy/Testing (Non-routine)/ Conference/short courses/Travel grant/initiation grant/Lab Development A/c/Professional Development A/c University Project/any other (please specify)_____

Name of the PI		Mob. No.										
Name of the Co-PI		Mob. No.										
Project to be operated by (**Tick one**)		Only by PI/either PI or Co-PI										

Enclosure: Sanction letter, copy of agreement/MoU, and any other relevant correspondence.

* **Note:** Head-wise allocation of funds and University overhead should be given by the PI.

Signature

Project Investigator	Co-Project Investigator	Head of the Department

Type of agency		
Remarks		
Project number		
Assistant/Superintendent	AR (R&D)	**Approved** Dean (R&D)

ANNEXURE:3

ESSENTIAL QUALIFICATIONS FOR STAFF POSITIONS UNDER PROJECTS

(Nomenclature/Designations should be as per sanction of the Funding Agency Norms)

RESEARCH POSITIONS (Emoluments as provided by the funding agency) Research Associate/Project Scientists

As specified by PI/Co-PI and approved by funding agency and Dean (R&D)

SRF:

Age: Upper Age limit – 32 years: (5 years' relaxation for Female/SC/ST/ Physically Handicapped Candidate) or as per specifications of the funding agency concerned.

Qualification/Experience: NET/GATE or equivalent as per specifications of the funding Agency concerned with 55% marks (equivalent grade) in Post-Graduation/qualifying degree. At least two years of research experience in a related field.

JRF:

Age: Upper age limit – 28 years: (5 years' relaxation for Female/SC/ST/ Physically Handicapped Candidate) or as per specifications of the funding agency concerned.

Qualification: NET/GATE or equivalent as per specifications of the funding agency concerned with 55% marks (equivalent grade) in Post-Graduation/qualifying degree.

Experience: As specified for the project.

Research/Project Assistance/Fellow:

As per the funding agency norms or specified in the project by PI & Co-PI as per the need of the Project.

NON-RESEARCH POSITIONS (Emoluments as provided by the funding agency) Office/Project Assistant:

As per the funding agency norms or specified for the project by PI & Co-PI as per the need of the Project.

Junior Officer/Junior Project and Field/Laboratory Assistant or Attendant :

As per funding agency norms or specified for the project by PI & Co-PI as per the need of the Project.

Note: Qualifications should have the approval of the Dean (R&D) before their advertisements.

ANNEXURE:4

DRAFT ADVERTISEMENT

Applications are invited for the post of _____

at a Fixed Stipend/Fellowship/Salary amount of Rs._____

_____ (Name of the Funding Agency) Sponsored Project entitled (Title of the Project)

"_____ "

sanctioned up to (Duration/Tenure). The post is purely temporary and co-terminus with the project. The candidates should possess (Essential qualifications) _____

_____. The upper Age Limit is__Years (relaxable for 5 years for SC/ST/Physically Handicapped/Female candidates; in case of non-research positions, the upper age limit may also be relaxed for the duration of earlier work in a project/scheme subject to the University rules prevalent at that time. All things being equal, SC/ST candidates will be preferred as per GOI rules.

Essential qualifications:

Desirable qualifications, if any.

Application on Plain paper giving Name, permanent and correspondence address, names of father and mother, telephone no. and e-mail address, details of educational career (starting from High School or equivalent) along with self-attested copies of all mark-sheets & certificates and details of any research or other experience etc., if any, should reach within 21 days of the advertisement,

_____, to the P.I., Department of …….., Babasaheb Bhimrao Ambedkar University, Lucknow

No TA/DA will be paid if called for an interview.

Remarks: PI should send the advertisement in the News Paper (s) having wide circulation with a copy of the same for placing the advertisement on the website.

The PI must ensure that advertisement is made as per rules. If the advertisement contravenes any of the guidelines prescribed by the funding agency and/or University, the proceedings of the Selection Committee shall be null and void.

ANNEXURE: 5

Constitution of the selection committee (WHEN THE SAME HAS NOT BEEN SPECIFIED BY THE FUNDING AGENCY *)

a) Composition in respect of Research positions

i)	Principal Investigator	Chairman
ii)	Dean (R&D)/his/her nominee	Member
iii)	Head of the Department or Coordinator of Centre/School	Member
iv)	Co-Principal investigator/s, if any	Member
v)	Expert Member nominated by the Principal Investigator	Member
vi)	Expert Member nominated by the Hon'ble VC or his nominee	Member
vii)	Expert Member nominated by the Funding Agency, if any	Member
viii)	SC/ST Nominee	Member

b) Composition in respect of Non-Research/Contractual positions

The composition of the selection committee for non-research/contractual positions shall be as under:

i)	Principal Investigator	Chairman
ii)	Dean (R&D)/ his/her nominee	Member
iii)	Head of the Department or Coordinator of Centre/School	Member
iv)	Co-Principal investigator/s, if any	Member
v)	SC/ST Nominee	Member

Provided that to ensure that the number of members in the Committee is not reduced in the event of one person holding more than one slot, the Dean (R&D) may be required to nominate additional members. When HOD/Coordinator of the Center/School and PI is the same, the next senior-most faculty in the Department/School/Center will be a member. When Dean (R&D) is the PI, the VC shall nominate a member in the committee.

NOTE:- (i) The appointments on research as well as non-research positions will be based on tests/interviews

(ii) The Selection Committee may, if necessary, recommend a panel of not more than two candidates per position. The panel will be valid for a maximum period of one year.

**** If the Funding Agency has laid down specific guidelines about the composition of Selection Committee, the same should be followed invariably.***

ANNEXURE: 6

PROFORMA FOR SUMMARY

Summary of candidates called for interview for the post of_____ under Project/ P-,
Department/School/Center of,

vide Advertisement No. dated in.

1. Number of Applications received: _____
2. Minimum Qualification prescribed for calling for interview:
   _____

Candidates called for Interview:

Sl. No.	Name & Address	Whether SC/ST/PH	Sex	Date of Birth	% marks, year of passing and name of Board/university				Research Experience	Remarks
					High School	+2	U.G.	P.G.		

Candidate not called for an interview with reason.

Sl. No.	Name & Address	Whether SC/ST/PH	Sex	Date of Birth	% marks, year of passing and name of Board/university				Research Experience	Remarks
					High School	+2	U.G.	P.G.		

Signature of the committee members (as given in Annexure 4).

ANNEXURE: 7

PROFORMA FOR PREPARATION OF MERIT INDEX OF CANDIDATES BY MEMBERS OF THE SELECTION COMMITTEE

Name of Department/School:

Project Title: **Name of PI:**

S. NO.	Name of the candidate	Assessment of experts in respect of the candidate	Marks obtained	Remarks

SIGNATURE OF MEMBERS:

(1)

(2)

(3)

(4)

(5)

ANNEXURE: 8

PROCEEDINGS OF THE SELECTION COMMITTEE

Minutes of the meeting of the Selection Committee held at _____ am/pm on _____ in the chamber of _____ BBAU to select (Post) _____ for the Research Project entitled "
_____" Project Code No. P

The following Members were Present (list as required):-

Prof. /Dr. Prof. /Dr.	PI: Dean R&D (or his nominee):	Chairman Member
Prof. /Dr.	HOD or his/her nominee :	Member
Prof. /Dr.	Co-PI:	Member
Prof. /Dr.	Expert* :	Member
Prof. /Dr.	Expert**:	Member
Prof. /Dr.	SC/ST nominee (to be nominated: by Dean R&D)	Member

(Notes: * Expert member from the Department/School (to be nominated by the PI)

** Expert Member from another School or another University/Institute (to be nominated by the Vice-Chancellor or his nominee.

For the post of,_____candidates were called for the interview, out of which _____turned up. The members of the Selection Committee thoroughly examined and interviewed the candidates and after due consideration resolved to recommend that:

Dr./Shri/Ms./Km./_____is recommended for temporary appointment as_____. The appointment is co-terminus with the Project.

W/L candidate (if any)

1.

2.

Signature of the members:

ANNEXURE:9

DETAILS REGARDING APPOINTMENT UNDER THE PROJECT

1. Name of Principal Investigator :
2 Name of the Funding Agency :
Reference No. & Date of Sanction :
3. Duration of the Project :
4. Sanctioned Posts :
5. Advertisement (name of the Newspaper): **Enclosure No.**
6. Required Qualification (As per Advertisement):
7. Précis of the candidates called for interview: **Enclosure No.**
8. (i) Qualification of the selected candidate:
(ii) Experience :
9. Recommendation of the Selection Committee: **Enclosure No.**
10. Copy of appointment letter to be sent to the candidate **Enclosure No.**

PRINCIPAL INVESTIGATOR

…….

COMMENTS OF THE OFFICE (R&D)

Checked the above information.

DEALING ASSISTANT

Based on the information provided above and scrutiny of the papers the recommendation of the Selection Committee has been found in order/not found in order due to the following reasons:

The appointment is confirmed/cancelled.

A.R. (R&D.) DEAN (R&D)

ANNEXURE:10

Babasaheb Bhimrao Ambedkar University, Lucknow-226025

APPOINTMENT LETTER FOR RESEARCH/CONTRACTUAL POSITIONS

Ref. No./

To: ……

……

……

Subject: Engagement of _____ under the sponsored Project

"_____"

Reference: Your application dated _____

Dear Sir/Madam,

On the recommendation of the Selection Committee which met on, you are engaged on a Job Contract basis, as on an emolument of **Rs.**_____(Rupees____only) per month, on the following terms and conditions:

2. The engagement is for the above externally funded Project only and is not transferable to any other Project.
3. The Contract is for the duration of the said project and co-terminus with it, or for a period not exceeding _____months/years, whichever is earlier. However, the initial engagement will be for a period of six months, extendable from time to time depending upon your performance.
4. It is not an appointment at the University, temporary or otherwise. It is purely a job contract for the period as stipulated in clause 2 above. It does not, therefore, confer any right, claim, implicit or explicit, for your continuation/regularization/absorption in BBAU against any post/position.
5. The Contract may be terminated at any time without assigning any reason thereof.
6. No travelling allowances will be paid to you either for undertaking the contract or on termination of the same.
7. Your engagement on contract will be subject to the production of the following documents at your expense at the time of your reporting for duty:
   i. Medical certificate of health and physical fitness for the contract issued by the Medical Superintendent, BBAU health centre.
   ii. Documentary evidence in support of your date of birth, qualification and caste.
8. In case it is detected at any stage that you have committed any fraud or forgery in seeking this contract, your contract shall be immediately dispensed with, without any notice.
9. Your contract shall be subject to the terms and conditions that may be framed from time to time as per the requirement of the research work

10. You are required to give an undertaking to the effect that the above-mentioned conditions are acceptable to you and you shall abide by them. Any violation shall attract termination of the contract without any notice.
11. In the event of any dispute arising out this contract, the decision of the VC, BBAU shall be final and binding on you.

If you are willing to accept the above offer of contract on the terms and conditions stipulated, you may please commence the work immediately and in any case, within a 1 week from the date of receipt of this letter failing which the offer will automatically stand cancelled.

Dated:

Yours faithfully,

(Principal Investigator)

Copy to the following for information and necessary action

1. The Dean (R&D), BBAU
2. The Head of the Department, BBAU
3. The Assistant Registrar (Research and Development), BBAU

(Principal Investigator)

ANNEXURE:11 A

Babasaheb Bhimrao Ambedkar University, Lucknow-226025

JOINING LETTER **Date**

From:

To
The Principal Investigator
Title of the Project _____
Department/School/Centre
Babasaheb Bhimrao Ambedkar University, Lucknow-226025
Subject: Joining report for the post of under the project P-

Respected Sir/Madam,
Thank you very much for your letter No. dated regarding appointment as under the Project entitled "_____"(P-).
I accept all the terms and conditions mentioned in the appointment letter and hereby report on duty w.e.f._____(F.N./A.N.) and request you to do the needful as per the University rules.

Thanking you,

Yours faithfully,

Address:

Copy to:
1. The Dean (R&D)
2. Assistant Registrar (R & D)

ANNEXURE 11B

Babasaheb Bhimrao Ambedkar University, Lucknow-226025

Code of conduct for Project staff

i) Project data both hard copy and the soft copy has to be submitted by project staff to PI yearly and at time of completion of project/resignation/termination.

ii) Project staff shall not be allowed to publish project data in any journal, conference, patent, book and book chapter without the consent from PI. In case he/she publishes data without the approval of PI then legal action will be taken to protect IPR.

iii) Any grievance related to the project staff will be addressed through PI/concerned Dean R&D/Female representative. A committee of the following can be constituted:

① Dean R&D

② PI

③ SC/ST representative

④ OBC representative

⑤ Female representative

⑥ Subject expert nominated by Dean R & D out of a panel submitted by PI

iv) In the case of an overseas project, the project staff engaged in a research project shall be treated as a scientist in terms of an international visit if the guideline of funding agency permits it.

v) All types of leaves applicable to the project staff such as maternity, medical leave, casual leave and holidays will be applicable as per the BBAU calendar. Total 8 casual leave shall be granted to project staff as per the University rules. In case the funding agency has its own specific rules it may be applicable on the project fellows.

vi) Project staff will not be allowed to contact directly to the funding agency relate to any issue. All communication to any external agency/individual should be discussed with PI.

Project staff

(Name & signature)

Principle investigator (PI) Co-PI (if any)

(Name & signature) (Name & signature)

ANNEXURE: 12

Babasaheb Bhimrao Ambedkar University, Lucknow-226025

Request for transfer of expenditure between the heads within the same project

Dated

1.	Name of Principal Investigator			
2.	Project No.			
3.	Project from which expenditure is to be transferred	Project No.	Budget Head	Amount
4.	Project to which expenditure is to be booked			
5.	Reference	SR No.		
		Dated		
6.	Response for Transfer			
7.	Signature			

For office use only

Assistant/Superintendent	**Assistant Registrar/Dean (R&D)**	**Dean (R&D)**

ANNEXURE:13

Babasaheb Bhimrao Ambedkar University, Lucknow-226025

Dated:

From

Name:
Project No.:
Department/School:

To
Dean (Research & Development) Babasaheb
Bhimrao Ambedkar University, Lucknow-
226025

Subject: **Request for closure of Project**

The sponsored research/consultancy Project No._has been completed. The date of completion was. In this context, the following information may be noted (Please tick as applicable).

1. The project completion report has been sent to the sponsoring agency.
2. Equipment/non-consumable including books and furniture purchased from this project grant have been entered in the PI's Stock Register.
3. All advances (TA/Consultancy etc) have been settled in the project.
4. No reimbursement for any purchase/expenditure is pending.

Given the above, the project may be closed with immediate effect and the final statement of account be prepared. Any balance may also be refunded to the sponsoring agency. The information regarding excess expenditure, if any, may please be provided so that the sponsoring agency can be requested to send the additional amount.

Head of the Department/ Coordinator of School **Project Investigator**

Approved

Dean (R&D

ANNEXURE:14

Babasaheb Bhimrao Ambedkar University, Lucknow-226025

Date:

1.	Name of PI & PF No./Empl. No.	
2.	Project No.	
3.	Transfer of funds to PDF of concerned PI (a part of overhead charges)	

Sl. No.	**Details of transfer**	**Budget Head**	**Amount**
1.	Consultancy Project (Any amount will be transferred after completion of the Project)		
2.	The amount for Lectures & Lab work related to continuing (or self-financial) courses will be transferred after completion of the activity		
3.	Software technology transfer, royalty fees etc.		
4.	Sponsored Project overhead charges of PI		
5.	Any other item (specific permission of Dean (R&D) required)		

Project Investigator	**Head of Department/Coordinator of School**

(For office use)

Assistant	**Superintendent**	**Assistant Registrar (R&D)**	**Dean (R&D)**