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 Innovationin 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 there in. 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 withthe 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 ifthe original Principal Investigator leaves or his/her service are not available to the project for anyother reason.

2.4. Co-Investigator (Co-I): A faculty member co-opted by the Principal Investigator to work jointlywith 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 Director (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. DIRECTOR (R&D): Director (R&D) is designated by the Vice-Chancellor, Babasaheb Bhimrao Ambedkar University, Lucknow as Head of the Research & Development Office. The Director (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 Director (R&D) will be authorized to approve purchase up to a sum of 5 lakhs and issuethe supply order.

iv. An advisory committee may be constituted by Director 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 toUniversity 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 Director (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 Director (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 1A**. While forward the project proposal filled check list available in **Annexure 1B** shall also be provided.

ii. The Head of the Department of the concerned Department should endorse and forward the Project proposal through concerned Dean of the School to Director (R&D) office within 24 h.

iii. The office of the Director (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 Director (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. Director (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 Director (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 Director (R&D) office.

vi. Approval of School Dean and VC will not be required for submission of a new proposal. The approval of the Director (R&D) is sufficient for the submission of the proposal. Director (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 Director (R&D) **(Annexure 2)** onreceipt of the first installment of funds of a new project. The office of the Director (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 startimmediately.

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 thisinformation 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 tenureof the Project shall not be admissible unless permitted by the funding agency.

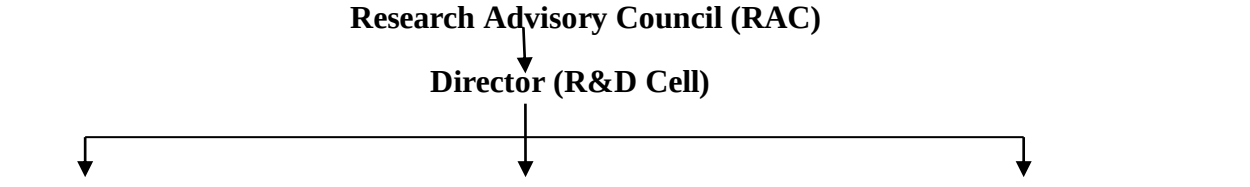
vii) Operational Head of the Project: PI of a sanctioned project is considered to be the prime interface between the funding agencies and is considered the operational head of the project. PI of the Project should be treated as Head of the concerned unit, as per the earlier order. This practice should 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, ifthe 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 contingencyfunds 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 of School → Director (R&D) → Finance Officer/Hon'ble VC (if required) → Registrar*** (duration- 3-5 working days).

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

6. **Structure of R&D Cell:**



1. Finance & Infrastructure Committee
2. Research Program, Policy Development Committee
3. Collaboration & Community Committee
4. Product Development, Monitoring and Commercialization Committee
5. IPR, Legal & Ethical Matters Committee

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 valueat 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 Director (R&D). In casethere are no explicit guidelines of the sponsoring agency then university rules or as decided by the office of Director (R & D) shall be applicable.

7.5. 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 - Short listing followed by test and/or Interview

7.6. In concurrence with R&D office, concern PI will prepare the advertisement covering all the requests and advertisement notice will be posted on the University website/**single National/local Newspaper** indicating "Details of the advertised Project Positions are available on BBA University website", and can be communicated to at least 10 other Universities/Institutes by email**.** Interested candidates may visit the website. The proforma for advertisement is given in **Annexure 4** [with the approval of the Director (R&D)].

7.7. The Selection Committee for the recruitment of project staff for each project will be constitutedas follows:

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

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

i) Principal Investigator (PI) - Chairman
ii) Director (R&D) or his nominee - Member
iii) Head of the Department - Member
iv) Co-I, if any (If there is more than one Co-I then the first Co-I) - 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 Director R&D)* - Member

*The SC/ST nominee is only essential in the case of SC/ST applicant under the government funded project.

Minimum Five members including VC nominee shall constitute the quorum of the committee. The Committee is to be approved by the Hon'ble VC. The Director (R&D) & PI shall fix on the recommendations of the selection committee, the duration of the contractual appointment andthe monthly consolidated emolument as per the norms of the funding agency. ***A summary ofcandidates 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 Director R&D.***

7.8. 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 Director (R&D). The office of the Director (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 **Annexure10** and forward a copy of the joining letter (**Annexure 11A**) to the Director (R&D) as soon as the candidate joins.

7.9. In case of an urgent requirement, PI can hire project staff for a period maximum up to 3months after approval of Director (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. ***In such case provision no. 7.6, 7.7& 7.8 shall not be applicable.***

7.10. 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 fundingagency.

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

7.12. PIs shall be the sanctioning and controlling authority for all types of leaves for contractual projectstaff.

7.13. Conduct Rules: project employees shall

a) Follow general code of conduct as approved by Director (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.

7.14. Director (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 Director (R&D).

7.15. 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 theresearch 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 Director (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 installment of the project/ grant from the funding agency, the PI will inform the office of the Director (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:**

i.	Principal Investigator of the project (PI)	-	C**hairman**
ii.	Head or his/her nominee*	-	**Member**
iii.	One Faculty of the same determent	-	**Member**
iv.	One Faculty of other departments (Who have project experience)	-	**Member**
v.	Assistant/Deputy Registrar (R&D)	-	**Member**
vi.	Co-I, if any (If there is more than one Co-I then the first Co-I)	-	**Member**
vii.	HoD can nominate any Faculty of the Department	-	**Member**

Note: (i) Approval of project purchase committee should be obtained for every financial year by P.I.

(ii) Director (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 maycomplete the quorum.

- **The Director (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 or expert member should be incorporate in PPC. **The recommendation of the committee will be approved by the Director (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 followingthe terms and conditions of the funding agency and as per purchase rules in force at BBAU.

8.9. The office of Director 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 Director (R&D) will be authorized to approve purchase/others up to a sum of Rs. 5 lakhs and issue supply order.** The Supply order for goods above Rs. 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

S. No.	Existing Provisions of GFRs, 2017	Amended Rule (As per OM no. F.1/3/2024-PPD, Dated 10.07.2024)
1.	**Rule 147: Powers for procurement of goods:** The Ministries or Departments have been delegated full powers to make their own arrangements for procurement of goods. In case, however, a Ministry or Department does not have the required expertise, it may project its indent to the Central Purchase Organisation (e.g. DGS&D) with the approval of competent authority. The indent form to be utilized for this purpose will be as per the standard form evolved by the Central Purchase Organisation	**Rule 147: Powers for procurement of goods:** The Ministries or Departments have been delegated full powers to make their own arrangements for procurement of goods and services that are not available on GeM. Common use Goods and Services available on GeM are required to be procured mandatorily through GeM as per Rule 149
2.	**Rule 149 Government e-Marketplace (GeM):** DGS&D or any other agency authorized by the Government will host an online Government e-Marketplace (GeM) for common use Goods and Services. DGS&D will ensure adequate publicity including periodic advertisement of the items to be procured through GeM for the prospective suppliers. The Procurement of Goods and Services by Ministries or Departments will be mandatory for Goods or Services available on GeM. The credentials of suppliers on GeM shall be certified by DGS&D. The procuring authorities will certify the reasonability of rates. The GeM portal shall be utilized by the Government buyers for direct on-line purchases as under: (i) Up to Rs.50,000/- through any of the available suppliers on the GeM, meeting the requisite quality, specification and delivery period. (ii) Above Rs.50,000/- and up to Rs.30,00,000/- through the GeM Seller having lowest price amongst the available	**Rule 149: Government e-Marketplace (GeM):** Government of India has established the Government e- Marketplace (GeM) for common use Goods and Services. GeM SPV will ensure adequate publicity including periodic advertisement of the items tobe procured through GeM for the prospective suppliers. The Procurement of Goods and Services by Ministries or Departments will be mandatory for Goods or Services available on GeM. *The credentials of suppliers on GeM shall be certified by GeM SPV. The procuring authorities will certify the reasonability of rates.* The GeM portal shall be utilized by the Government buyers for direct on-line purchases as under: (i) Up to Rs.50,000/- through any of the available suppliers on the GeM, meeting the requisite quality, specification and delivery period. (ii) Above Rs.50,000/- and up to Rs.10,00,000/- through the GeM Seller having lowest price amongst the available sellers (excluding Automobiles where

	sellers, of at least three different manufacturers on GeM, meeting the requisite quality, specification and delivery period. The tools for online bidding and online reverse auction available on GeM can be used by the Buyer if decided by the competent authority. (iii) Above Rs.30,00,000/- through the supplier having lowest price meeting the requisite quality, specification and delivery period after mandatorily obtaining bids, using online bidding or reverse auction tool provided on GeM.	current limit of 30 lakh will continue), of at least three different manufacturers on GeM, meeting the requisite quality, specification and delivery period. The tools for online bidding and online reverse auction available on GeM can be used by the Buyers even for procurements less than Rs 10,00,000/-. (iii) Above Rs. 10,00,000/- through the supplier having lowest price meeting the requisite quality, specification and delivery period after mandatorily obtaining bids, using online bidding or reverse auction tool provided on GeM. **Note:** There is no change in clauses (iv) to (viii).
3.	**Rule 150: Registration of Suppliers:** (i) With a view to establishing reliable sources for procurement of goods commonly required for Government use, the Central Purchase Organisation (e.g. DGS&D) will prepare and maintain item-wise lists of eligible and capable suppliers. Such approved suppliers will be known as "Registered Suppliers". All Ministries or Departments may utilise these lists as and when necessary. Such registered suppliers are prima facie eligible for consideration for procurement of goods through Limited Tender Enquiry. They are also ordinarily exempted from furnishing bid security along with their bids. A Head of Department may also register suppliers of goods which are specifically required by that Department or Office, periodically. Registration of the supplier should be done following a fair, transparent and reasonable procedure and after giving due publicity. (v) The list of registered suppliers for the subject matter of procurement be exhibited on the Central Public Procurement Portal and websites of the Procuring Entity/ e-Procurement/ portals.	**Rule 150: Registration of Suppliers:** (1*) For goods and services not available on GeM,* Head of Ministry/ Department may also register suppliers of goods and services which are specifically required by that Department or Office, periodically. Registration of the supplier should be done following a fair, transparent and reasonable procedure and after giving due publicity. Such registered suppliers should be boarded on GeM as and when the item or service gets listed on GeM. (v) The list of registered suppliers for the subject matter of procurement be exhibited on websites of the Procuring Entity/ e-Procurement portals. Note: There is no change in clauses (ii) to (iv).
4.	**Rule 155: Purchase of goods by Purchase Committee:** Purchase of goods costing above Rs. 25,000 (Rupees twenty five thousand only) and upto Rs.2,50,000/- (Rupees two lakh and fifty thousand only) on each occasion may be made on the recommendations of a duly constituted Local Purchase Committee consistingof three members of an appropriate level as decided by the	**Rule 155: Purchase of goods by Purchase Committee:** *In case a certain item is not available on the GeM portal*, Purchase of goods costing above Rs. 50,000/- (Rupees Fifty thousand only) and upto Rs.5,00,000/- (Rupees five lakh only) on each occasion may be made on the recommendations of aduly constituted Local Purchase Committee consisting of three members of an

	Head of the Department. The committee will survey the market to ascertain the reasonableness of rate, quality and specifications and identify the appropriate supplier. Before recommending placement of the purchase order, the members of the committee will jointly record a certificate as under: "Certified that we, members of the purchase committee are jointly and individually satisfied that the goods recommended for purchase are of the requisite specification and quality, priced at the prevailing market rate and the supplier recommended is reliable and competent to supply the goods in question, and it is not debarred by Department of Commerce or Ministry/ Department concerned."	appropriate level as decided by the Head of the Department. The committee will survey the market to ascertain the reasonableness of rate, quality and specifications appropriate and identify the supplier. Before recommending placement of the purchase order, the members of the committee will jointly record a certificate as under: "Certified that we, members of the purchase committee are jointly and individually satisfied that the goods recommended for purchase are of the requisite specification and quality. priced at the prevailing market rate and the supplier recommended is reliable and competent to supply the goods in question, and it is not debarred by Department of Commerce or Ministry/ Department concerned."
5.	**Rule 225 (xiii):** Copies of all contracts and agreements for purchases of the value of Rupees Twenty-five Lakhs and above and of all rate and running contracts entered into by civil departments of the Government other than the departments like the Directorate General of Supplies and Disposals for which a special audit procedure exists, should be sent to the Audit Officer and for the Accounts officer as the case may be.	**Rule 225 (xiii)** Copies of all contracts and agreements for purchases of the value of Rupees Twenty-Five Lakhs and above entered into by civil departments of the Government, should be sent to the Audit Officer and or the Accounts officer as the case may be.

Note- 1. Rules 148, 156, 159(iv), 160(iii), 173(xv) and 174(iv) of GFR, 2017 related to rate contracts shall be deleted.

2. The limits of amount mentioned in table-1A in project guidelines shall be as per applicable GFR.

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 Director (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 In-charges (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:

i. 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.
ii. Co-ordination and execution of work.
iii. Associating students, outside experts and external agencies, as and if required.
iv. Handling all communications with the client.
v. Writing intermediate and final reports for the project.
vi. Making recommendations to the Director (R&D) regarding expenditure from the project fundsand 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, Director 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 Director (R&D). The Registrar or the Director, R&D, on behalf of the University will receive all the payment from clients.

CI will take the approval of the Director (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 availableon 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 Headof 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 Director (R&D). A detailed address of Director R&D is provided on the University website. The Director (R&D) willidentify the department / individual faculty member and inform the client. Subsequently, the client canhave 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 feesto the consultants and others.

10.2 Testing Services

The University will undertake routine and non-routine testing jobs provided facilities are available andsuch 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 givesthe details of the work done and salient findings on daily/weekly basis. This register should be signedby 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 Director (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 Director (R&D). All research project proposals are to be submitted to the R&D office for endorsement of the Director (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 Director 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 Director (R&D).

13.5. The PI shall write to the sponsor for timely release of the fund with a copy to the Director (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 Director (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 Director (R&D).

13.8. Within three months of completion of the project, a list of all non- consumable items (Equipment, Books, Journals and any other Capital item) procured out of Project Funds shall be given to the Head of the Department in prescribed proforma, so that

the same can be taken into the stock of the Deptt./Centre/School. These items shall remain with the PI/Co-Pl till he/she continues to be formally associated with the Department/Centre/School. A copy of the same should be provided to the Research and Development Cell after issuing "No Dues" certificate by Head of the Department in respect of the project concerned. After completion of project the non-consumable items (Equipments, Books, Journals and any other Capital items) shall be transfer from stock book of project to stock book of Department under information to S & P section and R& D Cell.

13.9. Soon after the final account is settled, the PI should submit an application to the R & D Cell for the issue of "No Dues" certificate as per the proforma and enclosing therewith the Audit and Utilization Certificate, Statement of Expenditure and Final Technical Report. The "No Dues" or "Dues" certificate will be issued to the Principal Investigator of project/scheme within 6 months from the date final accounts were settled.

13.10. The 'No dues" Certificate to PI/Coordinator can also be issued if the equipments and non-consumable items procured under the project by PI are handed over to Co-Pl or any other relevant faculty member and so recorded. The No-dues certificate in this case will be issued based on above said transfer certificate signed by both Pl and by Co-PI of relevant faculty members to whom charge is given and countersigned by the Head/Coordinator of the Department/School/Centre/Unit.

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).

14.2. Depending on the availability of funds under Travel head and with the approval of the Director(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 Director R&D.

14.3. On recommendations of PIs, contractual project staff and students working in projects may be permitted with the approval of the Director (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.

14.4. 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 Director (R&D).

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

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 themerits of the case.

17. <u>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 Director R&D.</u>

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 Director R&D.

19. After completion of the project, the final report should be submitted to the funding agency throughthe Director R&D with a soft copy for the record of the Director 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 reportand transfer of the non-consumables to the Central stock register.

22. Collaborative projects between two or more Universities/organizations can be submitted only afterthe 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 theUniversity by the Faculty. It is centrally managed by the office of Director R&D/FO. PDF is made available to only individual faculty who has 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 professionalactivity 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 work place.
- 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 Director 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 Director 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 seedingbigger projects.

Guiding notes:

- The proposal will be submitted to the Director R &D. Director 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, Director R &D, HOD and 2 Faculty members to be nominated by Director 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 approvalof the competent authority.

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

❖

ANNEXURE: 1A

BABASAHEB BHIMRAO AMBEDKAR UNIVERSITY, LUCKNOW-226025

OFFICE OF THE RESEARCH & DEVELOPMENT CELL

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 PL/ Co-Pl 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- Principal Investigator

Annexure- 1B

CHECK LIST FOR SUBMISSION OF RESEARCH PROJECT PROPOSAL

1.	The Research Proposal shall be sent in two (02) sets with page numbers and signature of the PI/CO-I of all pages.	☐
2.	Research proposal shall be forwarded through Head of the Department and concerned Dean of the School.	☐
3.	Research proposal shall be forwarded with prescribed format as given by funding agencies or sponsored research project guideline of BBAU	☐
4.	Research proposal shall be reached into R &D Office before the three (03) working day of last date of project submission.	☐
5.	An office copy of endorsement letter shall be signed by PI/Co-I/ Head	☐
6.	Budget and equipments (if any) details are enclosed	☐
7.	PI must ensure that proposal is free of plagiarism and there is no violation of IPR/University guidelines	☐
8.	Brief CV of PI/Co-I are enclosed	☐
9.	PI/Co-I has already gone through the guideline of sponsored research project /consultancy which is available on University website https://www.bbau.ac.in/docs/project/1044.pdf. and shall be followed after sanction of project.	☐

Head of the Department **Principal Investigator/Co-Investigator**

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	A.R./D.R. (R&D)	**Approved** Director (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 thefunding agency)

Research Associate/Project Scientists:

As specified by PI/Co-PI and approved by funding agency and Director (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 concernedwith 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 ofthe Project.

NON•RESEARCH POSITIONS

(Emoluments as provided by the fundingagency)

Office/Project Assistant:

As per the funding agency norms or specified for the project by PI & Co-PI as per the need ofthe 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 Director (R&D) before their advertisements.

ANNEXURE: 4

PROPOSED ADVERTISEMET

Application are invited for the post of …….. at a fixed stipend/fellowship/salary amount of Rs. ……. (Name of the funding Agency) …….Sponsored Project entitled …… …… ……sanctioned up to duration/tenure…… The upper age limit is …… years (relaxable for 5 years for SC/ST/Physically Handicapped/Female candidate. 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 Qualification: ……..……

Desirable Qualifications, if any…… ……

Application on plain paper giving Name, Permanent and Correspondences address, name 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-sheet & certificates and details of any research or other experience etc. if any, should reach within minimum 2 weeks from the date of 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 (PI) - Chairman
ii) Director (R&D) or his nominee - Member
iii) Head of the Department - Member
iv) Co-I, if any (If there is more than one Co-I then the first Co-I) - Member
v) An expert from the Department/School (to be nominated by the PI) - Member
vi) An expert from a related discipline preferably from another School or another University/Institute (to be nominated by the Vice-Chancellor or his nominee) - Member
vii) Expert nominated by the Funding Agency (if any) - Member
viii) SC/ST Nominee (to be nominated by Director R&D)* - Member

b) Composition in respect of Non-Research/Contractual positions. The composition of the selection committee for non-research/contractual positions shall be asunder:

i) Principal Investigator	Chairman
ii) Director (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 Director (R&D) may be required to nominate additional members. When HOD/Coordinator of the Center/School and PI is the same, the next senior-mostfaculty in the Department/School/Center will be a member. When Director (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 ……..…….., Department/School/Center of …….., vide Advertisement No…… … dated……...

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 andname of Board/university				Researchh Experience	Remarks
					High School	10+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 andname of Board/university				Researchh Experience	Remarks
					High School	10+2	U.G.	P.G.		

Signature of the committee members (as given in Annexure 5).

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 expertsin respect of the candidate	Marks obtained	Remarks

SIGNATURE OF MEMBERS:

(1)

(2)

(3)

(4)

(5)

(6)

ANNEXURE: 8

PROCEEDINGS OF THE SELECTION COMMITTEE

Minutes of the meeting of the Selection Committee held on …… at ….…… am/pm in the chamber of…….. BBAU to select (Post) …….. ……..for the Research Project entitled …….…… ……

Project Code No. ……..

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

Prof. /Dr.	PI:	Chairman
Prof. /Dr.	Director R&D (or his nominee):	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 Director 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……., (No. of candidate) ……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 THEPROJECT

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. Proposed 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 SelectionCommittee has been found in order/not found in order due to the following reasons:

The appointment is confirmed/cancelled.

A.R/D.R. (R&D.) DIRECTOR (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 ……,

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 andconditions:

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 perthe 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 Director (R&D), BBAU
2. The Head of the Department, BBAU
3. The Assistant/Deputy Registrar (Research and Development), BBAU

(Principal Investigator)

ANNEXURE: 11 A

BABASAHEB BHIMRAO AMBEDKAR UNIVERSITY
LUCKNOW-226025

JOINING LETTER

Date

From:

To
The Principal Investigator
Department/School/Centre …….
Babasaheb Bhimrao Ambedkar University,
Lucknow-226025

Subject: Joining report for the post of under the project ……..

Respected Sir/Madam,

Thank you very much for your letter No…….dated ……..regarding appointment as under the Project entitled "……..…"
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 Director (R&D)
2. Assistant/Deputy 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 have to be submitted by project staff to PI yearlyand 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 Director R&D/Female representative. A committee of the following can be constituted:

① Director R&D

② PI

③ SC/ST representative

④ OBC representative

⑤ Female representative

⑥ Subject expert nominated by Director 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)

(Name & signature)

Co-PI (if any)

(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/Deputy Registrar (R&D)**	**Director (R&D)**

ANNEXURE: 13

BABASAHEB BHIMRAO AMBEDKAR UNIVERSITY
LUCKNOW-226025

Dated:

From

Name:
Project No.:
Department/School:

To
Director (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 thiscontext, 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

Director (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 Director (R&D) required)		

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

(For office use)

Assistant	**Superintendent**	**Assistant/Deputy Registrar (R&D)**	**Director (R&D)**

BABASAHEB BHIMRAO AMBEDKAR UNIVERSITY
LUCKNOW
प्रज्ञा शील करुणा
ESTABLISHED 1996

बाबासाहेब भीमराव अम्बेडकर विश्वविद्यालय

(केन्द्रीय विश्वविद्यालय)

विद्या विहार, रायबरेली रोड, लखनऊ–226025

BABASAHEB BHIMRAO AMBEDKAR UNIVERSITY

(A Central University)

Vidya Vihar, Rae Bareli Road, Lucknow-226025

Letter No. RAD/2328/BBAU/24

Dated: 05/11/2024

Notification

In pursuance to the resolution of supplementary agenda items no. 05 of 81st meeting of Academic Council held on 16.08.2024 and resolution of agenda items no. 59-4 of 59th meeting of finance committee held on 21.08.2024, the revised guidelines for the sponsored research project/consultancy is attached.

Registrar

Copy to:-

1. All Deans/Heads/Coordinators of the Schools/Department/ Centre/Course, BBAU, Lucknow.
2. Finance Officer, BBAU, Lucknow
3. C.O.E., BBAU, Lucknow.
4. Establishment Section, BBAU, Lucknow
5. SO to Hon'ble Vice-Chancellor, BBAU, Lucknow.
6. PS to Registrar, BBAU, Lucknow.
7. RSO, BBAU, Lucknow.
8. I/C University website, BBAU, Lucknow for its uploading.

Deputy Registrar
R&D Cell