

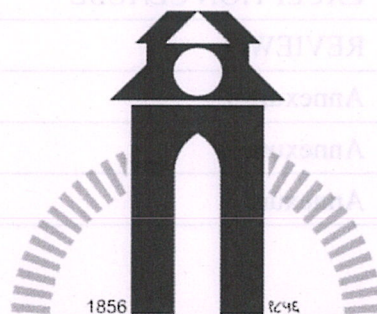
Rules for Research Projects

(Approved in the 19th F.C. and 28th BoG Meetings
held on 27.08.2024, effective from 04.10.2024)



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उत्तिष्ठत जाग्रत प्राप्य वरान निबोधत
INDIAN INSTITUTE OF ENGINEERING SCIENCE AND TECHNOLOGY, SHIBPUR
भारतीय अभियांत्रिकी विज्ञान एवं प्रौद्योगिकी संस्थान, शिवपुर

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and Technology (IEST), Shibpur**
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(Approved in the 19th T.C. and 28th BOG Meeting
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By

Rules for Research Projects

1. PREAMBLE

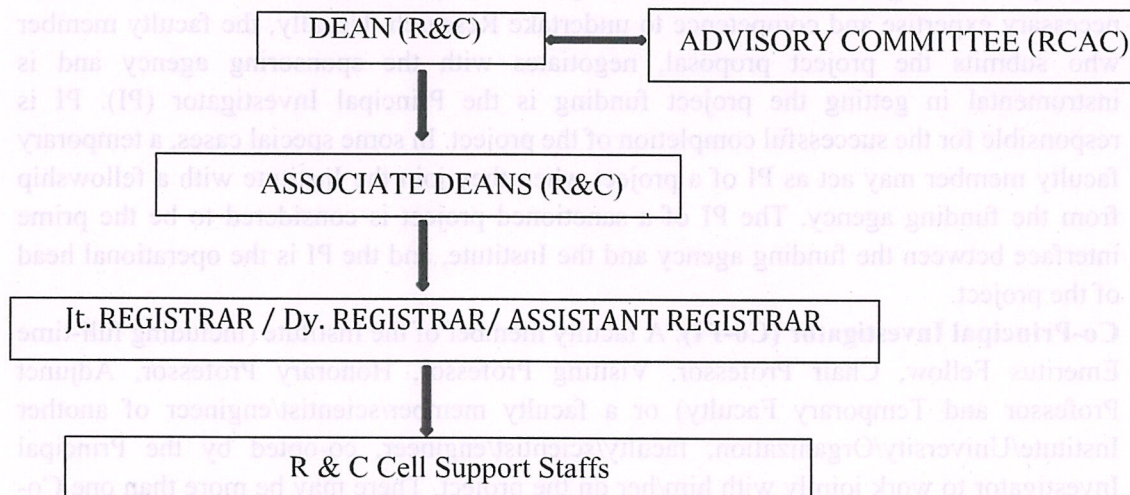
Indian Institute of Engineering Science and Technology, Shibpur, reckons sponsored research projects as important avenues for extending the benefit of scientific research work and knowledge to society and contributing to the growth of our country. Therefore, as a matter of policy, the Institute encourages its faculty members to undertake research work in scientific/technical collaboration with outside agencies.

In order to enhance the level of intellectual productivity and efficacy, the Institute has established a “Research and Consultancy Cell (RCC)”. The principal objective of the Cell is to facilitate - on behalf of the institute, coordination in administration, managerial, liaison, monitoring etc. of sponsored research work within the ambit of the administrative framework of the Institute. The RCC is a singular channel facilitator for diverse externally funded research, industrial/other consultancy, Executive Development scheme / Training program / Short term Courses at the Institute.

In consonance with the 'make in India' thrust of the Government and in tune with the technology roadmap of the country, the Cell is now playing a greater role to act as the hinge point for multi and interdisciplinary mega research for which the Institute is now well poised.

ORGANIZATIONAL STRUCTURE

The organizational structure shall be as follows:



ADVISORY COMMITTEE

The Research and Consultancy Advisory Committee (RCAC) for RC Cell shall consist of following

- (1) Immediate/Former Dean (R&C)
- (2) Dean (Academic)
- (3) Dean (FW)
- (4) Two members nominated by Senate
- (5) Two members nominated by Director

2. DEFINITIONS

- i. **Institute:** The Indian Institute of Engineering Science & Technology, Shibpur, constituted under NITSER (Amendment) Act 2014.
- ii. **Department:** All Academic units of the Institute, including Departments, Schools, and Centres.
- iii. **Director:** Director, Indian Institute of Engineering Science and Technology, Shibpur.
- iv. **RCAC:** Research and Consultancy Advisory Committee – Committee for Sponsored Research and Consultancy, Indian Institute of Engineering Science and Technology, Shibpur.
- v. **Project:** Sponsored Research Project.
- vi. **Sponsored Research Project:** a grant, contract, or other arrangement formalizing the transfer of money or property from a sponsor (Government, industry, private clients, including overseas) to the Institute with intent to either carry out a public purpose or provide a direct benefit to the sponsor via research and development work. Sponsored projects are usually accomplished within a specified time frame.
- vii. **Sponsor:** An organization that offers a project to the Institute and provides necessary financial support for the successful completion of the project in time.
- viii. **Principal Investigator (PI):** A full-time regular faculty member of the Institute with the necessary expertise and competence to undertake Research. Usually, the faculty member who submits the project proposal, negotiates with the sponsoring agency and is instrumental in getting the project funding is the Principal Investigator (PI). PI is responsible for the successful completion of the project. In some special cases, a temporary faculty member may act as PI of a project when they join the Institute with a fellowship from the funding agency. The PI of a sanctioned project is considered to be the prime interface between the funding agency and the Institute, and the PI is the operational head of the project.
- ix. **Co-Principal Investigator (Co-PI):** A faculty member of the Institute (including full-time Emeritus Fellow, Chair Professor, Visiting Professor, Honorary Professor, Adjunct Professor and Temporary Faculty) or a faculty member/scientist/engineer of another Institute/University/Organization, faculty/scientist/engineer, co-opted by the Principal Investigator to work jointly with him/her on the project. There may be more than one Co-PI in a project. The responsibility of Co-PI will be as assigned by the PI such as indenting instrument purchase, report preparation, analysis of results etc.

- x. **Consultant:** An individual or government/ public sector undertaking/ government company engaged for a specific period to carry out a specific job (if specific provision available in the project/with approval from the funding agency)
- xi. **Expert:** An eminent person with specific qualifications/expertise in a particular area engaged by the PI for the execution of the Project (if specific provision available in the project/with approval from the funding agency)
- xii. **Project Staff:** A person appointed to work on a project.
- xiii. **Institute Overhead Charges (IOC):** A part of the cost of the Sponsored Research Project is transferred to the Institute Fund for various purposes.
- xiv. **Departmental Development Fund (DDF):** A specific fund of the Department/Centre to which a part of the Institute Overhead Charges (IOC)/share received from sponsored research projects is transferred.
- xv. **Professional Development Fund (PDF):** A specific fund for an individual faculty member, to which a part of the Institute Overhead Charges (IOC)/share received from sponsored research projects undertaken by that faculty member, is transferred.
- xvi. **Research and Consultancy (R & C) Promotional Activity Fund:** A specific fund of the R & C cell to which a part of the Institute Overhead Charges (IOC)/share received from sponsored research projects is transferred.
- xvii. **Project Monitoring Committee:** Committee constituted to monitor large projects with an outlay of more than Rs. 100 lacs / as per the requirement of the funding agency/as per the request of PI and approved by the Competent Authority.
- xviii. **Dean (Research and Consultancy) [Dean(R&C)]:** Dean (R&C) is appointed by the Director as Head of the R&C Cell and has full responsibility for all activities related to the R&C Cell including forwarding and acceptance of Sponsored Research projects from the Sponsoring agency on behalf of the Institute, recruitment, selection, extension, assessment, termination of project staff and invoking of disciplinary procedure against project staff provide necessary facilities/support (both administrative and financial) for successfully carrying out project work by investigators and the financial power related to all projects covered under the R&C rules/purchase rule (with approval of Director).
- xix. **Associate Dean (R&C):** One or two Associate Deans (R&C) are appointed by the Director for assisting Dean (R&C) for the different activities of RCC Cell.
- xx. **Joint Registrar/Deputy Registrar/Assistant Registrar:** Deputy Registrar/Assistant Registrar shall be posted by the Institute at the R&C Cell. The delegation of financial power of the officers shall be as per approval of the BOG from time to time.
- xxi. **Office of the Dean (Research and Consultancy) (R&C Cell):** The Office that deals with the following under the control of the Dean (Research and Consultancy) –
- Promotion of Sponsored Research and Consultancy
 - Project monitoring in compliance with terms and condition of agreement/contract between sponsor(s) and the Institute
 - Financial management of projects
 - Purchase under recurring and non-recurring heads of projects through the Stores and Purchase department above a certain value
 - Administration of the contractual / deputed project personnel/ Project staff/ Research scholar (admitted through projects)
 - Liaison with PIs, the Institute and Sponsors
 - Technology Transfer (through IIPC), IPR (through IPR Cell), and marketing of Technology Product/Software

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- Any other activities that may be assigned from time to time.

3. GENERAL

- 3.1 Individuals or departments shall take up projects after obtaining approval from the Dean (R&C) through the concerned Head of the Department. All funds in connection with the projects shall be received in the account of the Institute. The accounts of Projects/IOC/DDF/PDF shall be maintained by the R&C Cell and controlled by the Dean (R&C). Norms of project initiation and management are provided in Annexure 1.
- 3.2 All IPR related issues are agreed between the Institute and the funding agency. Preferably, IPR will be jointly shared by IEST, Shibpur and the funding agency.
- 3.3 The concerned Faculty (Project Investigator) from IEST, Shibpur will ensure that there is no conflict of interest in undertaking similar projects. However, this clause of Conflict of interest shall be applicable in the individual capacity not on the entire Institute; other faculty members may take project in similar or same areas.
- 3.4 MoU/MoA/NDA may be signed if required by funding agency as per the Institute guidelines. The MoU/MoA/NDA will be signed after obtaining the approval of the Director.
- 3.5 In case there is any dispute between the Institute and funding agency, then the higher authorities from the respective organizations shall try to settle the dispute in an amicable manner. However, if the dispute still persists then there shall be two options for disputes resolution:
 - *Courts*: The matter shall be referred to civil courts in Kolkata / Howrah.
 - *Arbitration*: An arbitrator shall be appointed by the mutual consent of the parties from the panel of Indian Council of Arbitrators.
- 3.6 The PI of the Project will send a soft copy of the project report to the R & C Cell. The reports of projects shall be kept for a period of 03 years from the date of closure of the project and for routine testing from the date of issue of the report.
- 3.7 All purchases under projects/PDF/DDF shall be made as per the institute norms. In case equipment is to be carried outside, the same should be insured from the project fund.
- 3.8 Faculty members can accept honorary membership of the board of directors of companies with the condition that there will be no direct involvement of the faculty member concerned in the industry/company except for companies incubated in the institute incubation cell.

4.0 HUMAN RESOURCES

4.1 R&C Cell: The structure and distribution of human resources at R&C Cell will be decided by the Institute from time to time.

4.2 Project Staff

- i. The project staff shall be appointed for assisting/working on the project as per the prescribed selection procedure, designations, qualifications, experience requirements and consolidated fellowship/emoluments as per the sanction order/guidelines of the respective funding agencies.

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Appointments on all project positions drawing emolument shall be on contract only. The Project staff shall work to fulfil the objectives of the project.

- ii. Selection procedure, designations, qualifications, experience, and fellowships/emoluments are detailed in Annexure 2 and Annexure 3.
- iii. The tenure of appointment of a project staff will be at most for the remaining duration of the project subject to the availability of the fund in the project account under the 'fellowship/manpower' head of account along with a satisfactory performance and the same should be assessed by the PI / committee at the time of each renewal. However, on the recommendation of PI, the Dean (R&C) may terminate such appointments with one month of termination notice.
- iv. A contractual project staff shall execute a contract agreement at the time of joining with the explicit provision that the contract may be terminated by either side by giving one month's notice.
- v. Appointment of project staff on an ad-hoc basis against a project position can be considered by the Dean (R&C) on the recommendation of PI for a period not exceeding 89 days subject to the availability of the fund in the project account under the 'fellowship/manpower' head of account.
- vi. Selection of staff against sanctioned positions shall normally be made as per the stipulations provided by the sponsoring agency and with the approval of the Dean (R&C).
- vii. The designations, qualifications, experience requirements and consolidated fellowship/emoluments etc. will be governed by the funding agency norms. If no guidelines available from the funding agency, recruitment will be done as per the Institute Guidelines.

4.3 Visiting Scientists

Visiting Scientists may be appointed against a sanctioned post or as per approval of the funding agency, but due procedure as per GoI norms needs to be followed for their sanction and appointments.

5. LEAVE RULES

Leaves of project staff under CSIR/UGC/DST/BRNS/DBT/others sponsored research schemes and other categories will be governed by the rules (if available) of the funding agency that provides financial support.

Otherwise, all Project Staff shall be guided by the leave rules for the Institute Fellows.

The record of the leave shall be allowed and maintained by the concerned PI. Maternity or paternity leave shall be as per instructions from the Government of India or as per Institute norms. Participation in any scientific event in India or aboard time spent on fieldwork will be treated as on duty.

6. CONDUCT RULES

All project staffs shall:

Follow general code of conduct of the Institute as well as the rules of and regulation of the funding agency.

Project staff shall not have any right to claim regularization of his/her post in the Institute.

Maintain secrecy of the research findings / technical information and shall not get involved in unauthorized communication of any official document or information.

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Dean (R&C), as per the recommendation of the PI, may constitute committee(s) to conduct disciplinary proceedings, if necessary, against project staff. On the basis of the report of such disciplinary committee, suitable disciplinary action may be recommended by the Dean (R&C) for approval of the Director.

7. TRAVEL

- The PI, Co-PIs, students, and staff associated with a project can visit places for project work outside the Institute, subject to the availability of funds under the travel head in the project. However, sanction of the competent authority is required for being away from the Institute. For faculty members, the sanction shall be obtained from the Director, and for the project staff, the Dean (R&C) will sanction such travel.
- For faculty members, such travels will be considered as on-duty leave (ODL), subject to a maximum of 15 days in a calendar year. However, the faculty members can also avail of special casual leave (SCL or SL) for this travel purpose. Any such travel during the vacation, approved as per the academic calendar of the Institute, shall not count toward such leaves.
- Travelling expenses shall be reimbursed as per the entitlement prescribed in the Travelling Allowance Rules of GoI.
- Travel abroad from a project funded by government agencies may be considered only when a specific provision is available for international travel in the project sanctioned or consent of the funding agency is provided at a subsequent stage.
- For projects not funded by the government, travel abroad may be permitted by the Director for faculty members and project staff on request of the PI after obtaining approval from the funding agency and recommendation from the Dean (R&C).
- Depending on the availability of funds under the travel head and with the approval of the Dean (R&C), partial grants (TA, DA, Registration Fee) for presenting papers in national/international conferences in fields relevant to the project shall be given to PIs / Co-PIs from the project funds provided such visits are approved by the Institute.
- On recommendations of PIs, contractual project staff and students working on projects may be permitted with the approval of the Dean (R&C) to present papers in national conferences with TA and registration fee support (as applicable for the Institute Fellows), provided the funds are available under the travel head of the project. However, project staff will submit a certificate of attendance to the Dean (R & C) through the concerned PI
- Project staff will avail TA as per the funding agency norms. Institute Guidelines will be followed if no specific norm is available from the funding agency. However, in absence of any specific norm from the funding agency, the PI can propose travel by air (economy) in case of emergency, non-availability of the train ticket, etc. to the Dean (R & C) provided sufficient fund is available under the travel head. However, such proposal requires approval from the Director.
- PI can propose road journeys by hired taxi or vehicle for field works, sample collection from any specific site, etc. Prior permission is required from the Dean (R & C) with proper justification for such travel.

8. FINANCE AND ACCOUNTS

- At the time of submission of a sponsored research project proposal, the PI shall make a provision of Institute Overhead Charges (IOC) at the rate of 20% of the total project cost or at the rate permitted by the governmental/ sponsoring agencies. However, the Dean (R&C) may relax this requirement in consultation with the PI
- All purchases in the projects have to be made as per the institute purchase rules.

9. R & C SUPPORT CHARGE, PDF, AND DDF

The distribution of Institute overhead charges (IOC) to be credited to the R&C Support charge, PDF, and DDF are as follows:

a. R&C Support charge	65%
b. Department Development Fund (DDF)	15%
c. Professional Development Fund (PDF)	15%
d. Research and Consultancy (R & C) Promotional Activity Fund	5%

In the project, where there are Co-PIs, PDF will be distributed 60% to PI and rest 40% will be equally divided among all Co-PIs. In case of only one Co-PI, distributed will be 75% to PI and rest for Co-PI.

Utilization of PDF

The PDF can be utilized by the concerned faculty member for the following purposes:

- i) Travel (domestic and international) for research-related meetings (including new project proposal presentation) and conference and related expenditures for PI and Project staff.
- ii) Exploratory visits, experimental setup
- iii) Engagement of project staff
- iv) Fee and related expenditure for acquiring training/qualification(s)
- v) Publication charges such as article processing fee (APC), over-length (only applicable for web of science journals), Membership fee of professional societies
- vi) Purchase of books and journals: The faculty member may keep the books/journals with him/her after obtaining the accession number from the central library. However, the same must be submitted to the central library in case of superannuation/shifting to another Institute.
- vii) Mobile phone (once in three years)
- viii) Office peripherals, furniture for lab and offices, instruments, computer/laptop (all types once in three years), and software
- ix) Stationary and computer consumables and any storage media
- x) Cloud service usage
- xi) Laboratory consumables, contingency items

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- The PDF will be run as a Research Project with the faculty member as the PI. Any purchase using funds of PDF shall be made in accordance with rules laid down for Sponsored Projects / Institute.
- International travel of faculty members or Project staff will require approval of the Director. However, such travel by project staff and consultants within India shall be approved by the Dean (R&C).
- The account of PDF shall be maintained by R&C Cell and statement shall be sent to the faculty member at the end of a financial year. The faculty member concerned may submit expenditure bills to R&C Cell for processing payment under approved heads.
- The items procured out of PDF shall be properly accounted for by the concerned department/centre and shall remain the property of the Institute. However, the items of personal use like computers, mobile phones etc. can be retained by the faculty members permanently during the period of service. On retirement or on leaving the service, the faculty member may retain such items on payment, which is to be calculated as 5% of the purchase value or depreciation of 25% per year, whichever is higher.

Utilization of DDF

DDF fund can be utilized for the following purposes:

- i) Development of Departmental Infra structure facilities like equipment laboratories, class rooms, committee/ conference rooms.
- ii) Repair, maintenance, calibration, NABL accreditation, and A.M.C of equipment.
- iii) Repair and maintenance of office and laboratory furniture and facility

In the project, where there are Co-PIs from another Department/Centre, DDF will be distributed 60% to PI's Department and rest 40% will be equally divided among all Co-PI's Department.

The budget for utilizing DDF may be recommended by the Departmental Faculty Committee (DFC) of the Department/Centre and approved by the Director. For any special requirements not covered above a proposal may be sent by the DFC of the Department for consideration of the Competent Authority. The account of DDF shall be maintained by R&C Cell. The departments concerned may submit expenditure bills to R&C for processing payment from DDF.

Research and Consultancy (R & C) Promotional Activity Fund

The Research and Consultancy (R & C) promotional activity fund will be used for research promotion activities in different national and international forum, upgradation of facilities in R & C cell etc.

Seed Grant Projects

- The Institute supports (one time) newly joined young Regular Faculty Members for initiating his/her research at IEST Shibpur, with a total sum of Rs. 5.00 lakhs for faculty members with background in Science and Technology, and with Rs. 3.00 lakhs for faculty members with background in Humanities and Social Science. This facility will be made available from the R&C Support Charge.
- The new Faculty Member and existing faculty member (who joined within last one year but does not have any sanctioned project so far) shall submit a Seed Grant Proposal to R & C Cell.
- The Faculty Member will present the same to a Committee constituted by the Dean (R & C) to evaluate the proposals.
- If the proposal is accepted in principle, suggestions made by the Seed Grant Proposal Review Committee should be incorporated and the revised proposal to be submitted by the Faculty Member to the Office of R&C Cell. On receiving the revised proposal, Dean (R&C) may recommend to the Director for approval of the Seed Grant; and

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- After approval of the Director, a Seed Grant Project account will be opened by the Office of R&C, clearly stating the budget utilization under different heads such as equipment, contingency, consumables, travel and other necessary sections. The expenditure towards consumable, contingency and travel shall not exceed 20% of the amount granted. No furniture and AC items can be purchased from the seed grant.
- The faculty members are required to prepare follow-up proposals to external sponsors.

10. ADMISSION OF PROJECT STAFF TO ACADEMIC PROGRAMS

- A project staff (JRF, SRF etc.) working in a sponsored project of the Institute is eligible to register for the Ph.D. programs of the Institute subject to his / her satisfying the admission qualification requirements of the Institute for sponsored research project candidates from the Industries and R&D Organizations and should satisfy the rule of the sponsor (DST/DAE/DBT/CSIR etc.). The same selection procedure as applicable to the Industry and R&D Organization sponsored candidates shall also be followed for research workers. The candidate has to obtain NOC from the concerned PI and Dean (R & C) as per the format available in the PhD admission brochure. The project staff will submit an undertaking stating that he/she will prioritize the research work if he/she is admitted to the Ph.D. program.
- Research workers from a project will be eligible for admission provided: i) The remaining tenure of the project at the time of admission is at least two years; ii) The admitted candidate gives an undertaking that he/she will not be automatically eligible for Institute Fellowship, and shall finance himself/herself beyond the tenure of the appointment if Institute fellowship or other fellowship is not awarded.; and iii) The course work per semester shall in no case exceed three subjects.
- All the relevant rules and regulations of Ph.D. Ordinance of the Institute are applicable to research staff if admitted for a PhD.

11. EXCEPTION CLAUSE

These guidelines shall normally be applicable to all projects. However, in exceptional cases, if any changes are required, which does not constitute to policy change may be approved by the Director on recommendation of PI and Dean (R&C).

12. REVIEW

These rules may be reviewed normally in three years or as per needs.

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Annexure -1

PROJECT INITIATION AND MANAGEMENT

1. Introduction

- 1.1 Each project will have a Principal Investigator (PI) who will be a regular faculty member in the service of the Institute and who will be responsible for:
- i. Formulating the project proposal which may include (a) planning of the work to be done, (b) estimating costs and (c) if necessary, identifying other Investigators, who shall also be faculty member(s) in the service of the Institute.
 - ii. Co-ordination and execution of work.
 - iii. Handling all communications with the sponsor.
 - iv. Writing of intermediate and final reports according to the project proposal.
 - v. Ensuring that all reports bear the name of the Principal Investigator and his/her signatures and the name(s) of the Investigator(s) who participated in the project.
 - vi. Preparation of the Memorandum of Understanding (MoU) or Agreement with the sponsor (if mandated by the funding agency) which will be signed by Registrar / Dean (R&C) with the approval of the Director.
- 1.2 The PI will, at his discretion, co-opt the names of other faculty members as Investigators for participate in collaborative projects with other domestic or foreign partners. In such projects, even though there may be an overall project, there must be a separate budget and scope of work statement to be done by the faculty and staff of the Institute. The summary statement provided to the Institute should be based primarily on the portion to be done by the Institute. The Institute will treat this like any other sponsored project. The Institute encourages the inclusion of Co-PI to increase collaborative multidisciplinary projects.
- 1.3 The PI will prepare research project proposal in conformity with:
- i. Permitted designation and emolument/fellowship rates for project staff, with qualification and experience as specified by the sponsoring/funding agency otherwise of the Institute
 - ii. Provision for Institute overhead charges as per the rules of the Institute,
 - iii. Other guidelines for Sponsored Research Projects, and
 - iv. Rules, Regulations & Statutes of the Institute.
- 1.4 All research project proposals shall be submitted to the sponsors through the concerned Head of the Department and Dean (R&C). In case of an external Co-PI (Co-PI from another institute) he/she has to provide a letter of acceptance as Co-PI and also a letter of concurrence from his/her parent organization as a single PDF.

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If the Institute is awarded a sponsored project directly or a proposal is submitted at the Institute level, the Principal Investigator would be identified by the Director.

In case of Departmental project, concerned HoD will identify the PI and Co-PIs through DFC.

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

The department/institution level research project proposals shall be submitted to the sponsors/funding agency through the Dean (R&C) and Director.

Any project funded by International agency requires approval from the Director.

- 1.5 It shall be the responsibility of the PI to get project work completed satisfactorily within the sanctioned grant and duration.
- 1.6 The PI shall ensure that the head-wise expenditure does not exceed the budgetary allocation as applicable.
- 1.7 The PI shall maintain the details of equipment purchased out of research project funds separately for each project in the concerned Department and send a copy of the record to R&C Cell for placing the same before the Govt. of Audit, for verification or as and when required for any other purpose. The same procedure shall be followed for the purchase of any fixed asset including experimental setup, mobile phone, office peripherals, furniture for lab and offices, instruments, computer/laptop (all types), software, and peripherals.
- 1.8 The PI shall be responsible for maintenance of Laboratory Record Book (LRB) as required for IPR submission, periodical and/or final technical report(s) of the research project work to the sponsor as required. He/she will submit a two page research highlight of the project to R&C Cell for preparation of annual report and research compendium.
- 1.9 The PI shall write to the sponsor for timely release of funds with a copy to the Dean (R&C) for follow up, if necessary.
- 1.10 For Research Project: The sponsor which assigns the research project usually are approached by an individual or a functionary of the Institute (i.e. Head of the Department, Dean (R&C), Registrar or Director).
- 1.11 No retiring faculty member will be allowed to submit a project proposal as Principal Investigator (PI), if its duration extends to his/her date of retirement.

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1.12 The Honorary Professor/Distinguished Professor/Chair Faculty/Visiting Faculty/Temporary Faculty etc. can be appointed/ nominated/ continued as Co-Investigators for research projects if the sponsors do not have any objection.

1.13 If the PI leave the Institute, retires or proceeds on leave or not available for some reason, Dean (R&C), on the recommendation of the PI (if he/she is available) and with approval of the Director and funding agency may appoint a new PI, who will assume the powers and responsibilities of the PI. The new PI should be agreeable to become PI. The new PI will also give an undertaking to complete the project in the remaining funds and time period, to the Dean (R&C) through HoD. However, in exceptional circumstances, a retired faculty member may continue to work as PI of the existing project with the approval of the Director, if he/she continues to serve the Institute in some other capacity. If Co-PI available for any project, Co-PI may also be appointed as PI in such cases with approval of the Director and funding agency.

1.14 Project file will be closed with the submission of final project report and final settlement of accounts etc.

2. Budgetary Norms

The total agreed charges of a Research project will consist of the Institute share, actual expenses of the project covering following.

- (i) Permanent equipment to be procured / fabrication of equipment or models.
- (ii) Consumable materials.
- (iii) Travel expenses in connection with the project work (domestic and foreign if budgeted/ allowed by sponsor)
- (iv) Computational or other charges payable to any other outside agency.
- (v) All contingency expenses for report preparation of report and literature (books, journals) and any other item budgeted under the proposal and approved by the sponsor.
- (vi) Expenses for work to be carried out on payment basis, remuneration to student assistants and technical staff.
- (vii) Insurance on equipment and manpower during travel.
- (viii) Honorarium for faculty members for International projects (if permitted by the funding agency) after obtaining approval from the Director.

3. Collaboration with Outside Organisations

If collaboration with other Govt./Public Sector / Private Sector organizations is envisaged, the nature scope and financial budget of the proposed arrangements will also be specified at the time of submitting the project proposal for approval.

4. Liability

In case any legal dispute arises between the Investigator(s) and the sponsor such that the Investigator(s) are in any way, held responsible to make good the losses incurred by the sponsor, such liability will be restricted to a maximum limit which will be calculated as follows: Maximum Liability = The total amount charged for the project – the expenditure / liabilities on the project. It is in the interest of the Investigators to bring this fact to the notice of the sponsors. The expenditure /

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liabilities as determined by the Institute will be calculated as the expenditure / liability till such date on which the sponsors inform the Investigator in writing to stop work on the project for on-going projects, or till the end of the project for completed projects. This amount does not include the remuneration paid to the Investigator(s) and staff of the Institute. The Institute may take a suitable insurance for this purpose on a rolling basis. The expenditure on this account may be charged to the R & C support charges.

The amount charged by the Institute is on lump sum basis. Submission of the requisite report on the work itself shall constitute the Utilization Certificate / final bill.

5. Disagreements / Disputes

- 5.1 Any disagreement within the Institute arising at any stage of a project will be resolved in consultation with Director / Dean (R&C) to ensure an expeditious removal of bottlenecks and smooth functioning of the project.
- 5.2 In case of any dispute arising at any stage of project between Investigator(s) and the sponsor(s), the Investigator(s) will be responsible for settlement of the dispute.
- 5.3 All legal action will be subject to jurisdiction at Civil Courts in Kolkata / Howrah

6. Arbitration

In the event of any dispute or difference at any time arising between the parties relating to project or any other clause(s) or any content of the right and liabilities of the parties or other matters specified therein or with reference to anything arising out of the project or otherwise in relation to the terms, whether during the project or thereafter, such disputes or differences shall be endeavoured be resolved by mutual negotiations. If, however, such negotiations are infructuous, the dispute should be finally settled through Arbitration and Conciliation Act, 1996 by three arbitrators appointed in accordance with the said Act. The arbitrators shall give reasoned and speaking award.

7. Publication of Results

PI and the project team will have the right to publish the work carried out by them unless the sponsors have an agreement under which there prior permission is required. In such cases the draft paper before publication will be submitted to sponsors and if no objections are raised within one month of the submission of the proposal to publish the result, it will be assumed that the sponsors have no objection to the publication.

8. Project Monitoring Committee

For large projects, involving an outlay of Rs 1 crore or more, the Project Monitoring Committee with the following composition shall review and assess the progress periodically (at least once a year) for timely completion of the projects. The committee may also advise Dean (R&C) in any other matter on the project. The committee will consist of the following members:

- DR(R&C) - Chairman
- Head of the concerned Dept. - Member
- One faculty member from relevant field - Member
- Principal Investigator - Member
- Co-Investigators (if any) - Member
- Associate Dean (R & C)- Convener

Dean (R&C) will approve constitution of the committee on recommendation from the PI

9. All IPR related issues will be governed as per the agreement between the Institute and the funding agency
10. The project normally will be started after the receipt of funds.
11. The project expenditure for equipment and consumables will be maintained in a separate stock register by PI.
12. The statement of expenditure and utilization certificate will be prepared at every financial year end by the designated Institute officer.
13. It is the responsibility of the PI to send timely reports and other deliverables to the sponsoring agency. Statement of account to be submitted will be made available to the PI on request to the designated Institute officer.
14. After completion of the project, final report should be submitted to the funding agency by PI. The PI will also submit a soft copy for the record of the Dean (R & C) for RTI purposes.
15. 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 RC Cell.
16. The project file will be closed with the submission of the final technical and financial project report.
17. There is no financial or legal liability to IEST, Shibpur.
18. To ensure smooth administration & management of Projects, only the forms supplied by R&C Cell will be used by the PIs and others concerned.

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Annexure –2

**SELECTION PROCEDURES FOR RECRUITMENT OF PROJECT STAFF
(Including Walk in Interview)**

1. PREPARATION OF DRAFT ADVERTISEMENT

- (i) Principal Investigator will send the draft advertisement to R&C Cell for approval
- (ii) Dean (R&C) will approve the draft advertisement and will arrange for notification/ advertisement.

2. ADVERTISEMENT OF THE POSITIONS

The Dean (R&C) will advertise the positions through institute website and through other means and the PI will receive the applications.

3. SCREENING OF APPLICATIONS (if required)

- (i) The PI will fix the meeting of Screening Committee and send the report of the screening committee to Dean (R&C) for approval.
- (ii) The PI will issue the letters to the candidates called for interview after Screening Committee report has been approved by Dean (R&C).
- (iii) For walk in interview, screening is not required.

4. SCREENING COMMITTEE CONSTITUTION [To be approved by Dean (R & C)]

- (i) Head of the Department - Chairman
- (ii) Concerned Principal Investigator and Co-PI (if any) - Member
- (iii) One faculty member from the Department as available to the P.I - Member

5. INTERVIEW

- (i) The PI will fix the date of the interview and get the interview conducted. The PI will send the recommendations of the Selection Committee to Dean (R&C) for approval.
- (ii) The PI will arrange the walk-in-interviews on the advertised date by a duly approved Selection Committee.

6. SELECTION COMMITTEE CONSTITUTION [To be approved by Dean (R & C)]

- i) Dean (R & C)/HoD of the concerned Department
/any other Senior Professor as approved by Dean (R & C) - Chairman
- ii) Head of the Department (if not Chairman of the Committee) - Member
- iii) Concerned Principal Investigator - Member

By

- iv) Co-PI, if any - Member
- v) One faculty member from the Department as available to the P.I - Member

7. FINAL SELECTION / APPOINTMENT

Selection Committee report will be approved by Dean (R&C) and appointment letter will be issued by DR/AR(R&C)

The selection like walk-in-interview/online may be conducted with prior approval of Dean (R&C).

8. HRA

The project staff (including those appointed on ad-hoc basis) shall be entitled to HRA as per the Institute rules, if accommodation in the campus is not made available to him/her. If the person is residing outside IEST Campus House Rent Allowance (HRA) upto entitlement or actual payment made whichever is less will be payable. HRA shall be charged to the salary head of the respective project.

9. CONDUCT RULES

The project staff shall maintain record and secrecy of the findings/technical information and shall not communicate in any manner without the approval of the P.I any official document or information to any person or agency. They shall also follow general code of conduct of the Institute.

10. DISCIPLINARY PROCEEDINGS

Dean (R&C) on the recommendation of the PI and with the approval of the Director, will constitute committee(s) to conduct disciplinary proceedings against project staff, if necessary. On the basis of the report of the committee, suitable disciplinary action may be initiated and penalty be imposed by the Competent Authority.

11. MEDICAL ALLOWANCE

As per the rule of the Institute.

Annexure 3

Project Positions, Qualifications, Emoluments/Fellowships, and other terms and conditions for Project Staff (if not specified by the funding agency)

For different positions of Project Staff, required minimum qualifications and fellowship payable will be as per the following table.

1. Project JRFs/SRFs/RAs

Sl. No.	Designation	Qualification	*Upper Age Limit (Year)	Consolidated Monthly Fellowship (RS.)
1	Junior Research Fellow (JRF)	Post Graduate Degree in Basic Science OR Graduate/ Post Graduate Degree in Professional Course selected through a process described through any one of the following:) Scholars who are selected through National Eligibility Tests- CSIR-UGC NET including lectureship (Assistant Professorship) and GATE.) The Selection process through National level examinations conducted by Central Government Departments and their Agencies and Institutions such as DST, DBT, DAE, DOS, DRDO, MoE, ICAR, ICMR, IIT, IISc., IISER, NISER etc.	28	37,000/-
2	Senior Research Fellow (SRF)	Qualification prescribed for JRF with two years of research experience	30	42,000/-
3	Research Associates-1	Ph.D./MD/MS/MDS or equivalent degree or Having 3 years of research, teaching, design and development experience after MVSc/M.Pharm/ME/MTech with at least one research paper in SCI journal	35	58,000/-

Note:

- i) If a sponsor has specified any specific designation, qualification, and emoluments conditions, that shall be followed.
- ii) HRA will be paid over the above emoluments

2. Other Technical Staff

As per DST, India guidelines (OM: SR/S9/Z-05/2019 dated 10th July 2020)

Agula



Institute Project Code: DRC/_____

(Agency-Type) / (Dept.)/ (PI) / (Sl. No.)/ (Fin.Yr.)
(For office use only)

INDIAN INSTITUTE OF ENGINEERING SCIENCE AND TECHNOLOGY, SHIBPUR
Application for **Transfer of First Phase Amount** of the Sanctioned **PROJECT**

1	Name & Designation of Principal Investigator			
2	Department/School/Centre			
3	Name of Co-PI(s) if any			
3	Title of the Project			
4	Sponsoring Agency and Type (GST number, if available)			
5	Total Amount Sanctioned for the Project			
6	Sanctioned Order No. & date (Please enclose copy of the order)			
7	Duration of the Project			
8	Grant Released Letter (Please enclose copy of the Letter)			
		Cheque/DD/E-Transfer No.	Date:	Bank Name:
9	Total amount released from the Sponsoring Agency as First Phase	Project Cost (x)	Overhead (y)	Total (x+y)
10	Balance to be released			
11	Official Date of Implementation/Commencement of the Project			
12	Date of Departmental Faculty Committee (DFC) meeting for report of sanctioned project			

13. Proposed allocation for utilization of the released amount (Sl. No.9) [Strictly as per sanction order of the funding agency. If not available, allocation should be approved by the Director on the recommendation of the Dean (Research & Consultancy)]

Sanctioned Head of Account	Amount Allocated (Rs.)
Total	

(Signature & date of Principal Investigator)

(Signature & date of Head of the Department)

For the use of office of the Dean (R&C)

The information as stated above are verified with the supporting documents. Forwarded to the Central Accounts with a request to transfer the fund to the _____

Account Name _____ Account No. _____ Bank Name _____

(Dealing Assistant, Dean, R&C Office)

Dy. Registrar (R&C)

(Dean, Research & Consultancy)

For the use of Central Accounts

Cheque / NEFT No. _____ Date _____ Rs. _____

Dealing Assistant

Assistant Registrar (Accounts)

Dy. Registrar (Finance) / Finance Officer

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Institute Project Code: DRC/ _____
 (Agency-Type) / (Dept.) / (PI) / (Sl. No.) / (Fin.Yr.)

INDIAN INSTITUTE OF ENGINEERING SCIENCE AND TECHNOLOGY, SHIBPUR

Application for Transfer of Next Phase Amount of the Sanctioned PROJECT

1	Name & Designation of Principal Investigator			
2	Department/School/Centre			
3	Title of the Project (in brief)			
4	Sponsoring Agency and Type (GST number, if available)			
5	Total Amount Sanctioned for the Project (If revised, please mention the revised amount)	Project Cost (X)	Overhead (Y)	Total (X+Y)
6.a.	Original Sanctioned Order No. & date			
b.	Revised Sanctioned Order No. & date (Please enclose copy of the order)			
7	Duration of the Project			
8	Details of previous grant received (Amount received till date excluding the current allotment)	Project Cost (x)	Overhead (y)	Total (x+y)
		Rs.	Rs.	Rs.
	1 st Phase			
	2 nd Phase			
	3 rd Phase			
	4 th Phase			
	Balance to be released			
8.a.	Grant received now from the Sponsoring Agency ____ Phase			
8.b.	Details of Grant Released Letter (Please enclose copy of the Letter)	No. & Date :		
		Cheque/DD/E-Transfer No.	Date:	Bank Name
9.	Official Date of Implementation/Commencement of the Project			

10. Proposed allocation for utilization of the released amount (Sl. No.8a) [Strictly as per sanction order of the funding agency. If not available, allocation should be approved by the Director on the recommendation of the Dean (Research & Consultancy)].

Sanctioned Head of Account	Amount Allocated (Rs.)
Total	

 (Signature & date of Principal Investigator)

 (Signature & date of Head of the Department)

For the use of office of the Dean (R&C)

The information as stated above are verified with the supporting documents. Forwarded to the Central Accounts with a request to transfer the fund to the

Account Name _____ Account No. _____ Bank Name _____

(Dealing Assistant, Dean, R&C Office)

Dy. Registrar (R&C)

(Dean, Research & Consultancy)

For the use of Central Accounts

Cheque / NEFT No. _____ Date _____ Rs. _____

Dealing Assistant

Assistant Registrar (Accounts)

Dy. Registrar (Finance) / Finance Officer

By