

OPERATIONAL GUIDELINES FOR SPONSORED RESEARCH PROJECTS AT NEW HORIZON COLLEGE OF ENGINEERING



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NEW HORIZON COLLEGE OF ENGINEERING

R&D Cell

Operational Guidelines for a Sponsored Research Projects

1. Principal Investigator (PI):

PI of a sanctioned project is considered to be the prime interface between the funding agency and R &D Cell and is operational head of the project. The PI is advised to keep the whole project team (including the respective HoDs) aware about the progress of the project and involve the Co-PIs in all related project activities. In his/her absence, the PI may request any of the Co-PI to take-over the responsibility of running the project and inform the change to R&D Cell using prescribed form. However, if the responsibility is being handed over to another faculty member other than Co-PI, prior approval of Research & Development Committee (RDC) consists of HoDs/Dean (R&D)/ Principal is required.

(In case of other than PI, originates/writes the Proposal for any Project, if submitted by other than the person who have generated/written the proposal for various reasons (limitations of handling more than 1 or 2 projects at a time etc as PI), then financial/non-financial incentives will be shared between them as decided by the HoD/Dean (R&D)/Principal as per the norms of NHCE)

The primary objective of New Horizon College of Engineering (NHCE) and R&D Cell is to encourage and nurture an environment to carry out research activities in the chosen professional fields/areas of interest. Accordingly, the members take initiative to work on local, regional, national and global challenges and to try to find logical/harmonious solutions to mitigate them by using efficient tools or techniques or methodologies.

2. Research & Development Committee (RDC):

RDC has been constituted with approved mandate and responsibilities of providing impetus to the College research and development activities and to provide support, advice and assist the Dean: Research and Development. It has representation from all departments and inter-disciplinary programs. The body has become a vibrant entity to discuss policy issues and the NHCE receives the first level feedback from the faculty. RDC members highlight

shortcomings in procedural matters and thus sharpen the performance of the R&D Cell.

The NHCE's R&D activity aims at innovation and technological progress/growth through academic and research collaborations with various Universities, Ministries of Central/State Governments, R&D Establishments and Industries to meet the immediate as well as futuristic needs of the society and industry. The scope and scale of research has been envisaged from the era of student projects/theses and academic researches to sponsored research/funded research projects to interdisciplinary and multi-disciplinary research programs.

The NHCE faculty members, research staff and students conduct research with goals and objectives ranging from intellectual curiosity/creative exploration addressing contemporary challenges, developing technology, or writing scholarly publications. The NHCE gains enormously from these activities and in fact, flourishes on faculty member quest. The NHCE wishes to position itself in the world in near future as one of reputed and prestigious Institution known for its academic pursuit along with performance in the research domain. Consequently, the NHCE has facilitated a healthy ambience for research – both in terms of sustained motivation, state-of-the-art infrastructure and scholastics.

- a) *Research Idea*: Generate a list of best ideas from your research area (topics which are closest to your heart) in which you are really interested. As a Principal Investigator (PI), you should take into account your professional interest/passion in identifying new and important research questions. Organisation of brainstorming with a group (among peer at department) helps in terms of idea mapping. Moreover, identifying ideas that are innovative in which you will be comfortable requires refinement of your research idea in terms of its implementability within the availability of scarce resources. One could establish an internal review panel as a team to discuss the efficacy of the proposed study. The team will concentrate on the improvement of scientific content of the proposal.
- b) *Funding Agency*: One needs to learn about the funding agency in terms of its mission, research priorities, available financial resources, recent awards and current announcements. Faculty

should initiate interaction with the programme manager and seek required information on matching of the research Idea and objectives of the agency. Faculty should visit the funding agency, if necessary and volunteer to serve on the review panel. Faculty needs to read and analyze the solicitation of the agency's grant application.

c) *A General Format for Sponsored Research Project Proposal is provided below:*

- *Proposal Description: Title:* It is the summary of the proposed study. It shall be a good match to the proposed themes of the funding agency. Moreover, it should be easily remembered by the reader cum reviewer.
- *Summary of the Proposal:* One needs to highlight the aims and overview of the research plan. It should demonstrate the importance of the study and generate interest to the reviewer.
- *Research Statement:* Faculty should incorporate the relevance of the proposed study, the focus of the study and a rational plan to achieve the study goal(s).
- *Objectives:* The proposal should establish the overall direction of the proposed study. In the case of several objectives faculty should state the action, the behaviour and the standard against which it will be measured.
- *Literature Review:* Faculty needs to incorporate important work in a concise manner in the proposed study. In addition, faculty should try to advance the knowledge.
- *Study Design:* It shall be simple and clear. Moreover, the design should be based on the study objectives. You may need to discuss with the expert in research methods, if necessary, to obtain suggestions on sample design, data measurement, collection and analysis.
- *Ethics/IPRs:* Funding agencies are concerned with ethical issues of the scientific experimentation on humans, animals, etc. PIs are responsible for upholding academic integrity.
- *Viable Research Budget and Term:* It consists of direct and indirect

costs of the proposed study. Moreover, provide rationale for each budget item within the lines of the objectives of the study. It is advisable to seek assistance from the concerned department staff of the NHCE, in case of interdisciplinary/multi-disciplinary studies. It is necessary to check your calculations before you submit it to the funding agency.

- *Benefits to the Academia and the Society:* The proposed study should contribute to the knowledge base and find solutions to the society's problems. The relevant design and finding of the study should be disseminated to the targeted groups of the society. The information sharing strategy could be worked out in consultation with stakeholders. The funding agencies provide incentives (in such a way to attend conference/seminar/ publications etc) to the PIs to share the findings of the study.
- Thus, the investigator could incorporate the cost of the dissemination in proposed budget of the study.

3. Type of Research Projects

a. *Initiation Grant for Innovative Projects of Students/Faculty Members:*

To encourage Innovative Projects which will have scope for incubation and lead to potential enterprises, the R&D Cell will provide financial support to students of BE and M.Tech/MBA/MCA and Faculty Members. Funding will be for a maximum of Rs. 1 Lakh per project. No major equipment can be purchased or staff appointed out of this grant. Every year, the R&D Cell will issue circular inviting project proposals from students/faculty members through the Guide and concerned HoDs for financial support of R&D Cell.

The NHCE funds grant to interested faculty member(s)/ student(s)/Teaching Research Associates (TRAs) for initiating sensible research project(s). The proposal should include a description of research that he/she wishes to conduct over the next 1-2 years. It is a platform meant to help interested faculty member(s)/student(s)/TRAs to prepare for subsequent proposal submissions.

Guiding Notes:

- The initiation grant is for an amount of Rs. 50,000/- to Rs. 1 Lakh at

present to procure components, consumables, testing/hiring research equipments/facilities, reference books, miscellaneous items and domestic travel for the purpose of initiating projects. It does not include:

- i. Appointing Staff;
 - ii. Conference Travel (for which other sources are available).
- Proposal is presented by the interested faculty member(s)/student(s) /TRAs before an RDC, consisting of HoDs/Dean (R&D), Experts and Principal.

b. Sponsored Research Projects

Sponsored project refers to one in which the PI does not charge honoraria/consultation fee. For a project sponsored by a government agency, no honorarium in any form can be claimed. Amount may be used by the PIs as approved in the respective budget head by the funding agency.

Individual Projects:

The NHCE encourages investigation of basic and applied areas of science and technology, high end technology development in the form of sponsored projects. Research grants for such projects are given by government agencies and industries (both national and international). These projects are usually of 2-5 years duration with periodic appraisals, while research objectives and goals may be refined along the way.

Collaborative Projects:

Faculty may also participate in collaborative projects with other domestic (individuals/institutions/professional bodies) or foreign partners (individuals/institutions). 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 NHCE. The summary statement provided to the NHCE should be based primarily on the portion to be done by the NHCE. The NHCE will treat this like any other sponsored project.

The NHCE soon after receiving the sanction letter from the Sponsoring Agency allows the Project Investigators to initiate the project work by

duly hires the personnel, spending on consumables, using the infrastructure and resources of the NHCE, in anticipation of the release of the Funds.

The money received through Grants is parked in the Current Account held by the NHCE and the NHCE does not earn any interest on the Grants received. Neither the NHCE charges any interest from the Funding agencies in case of delay in reimbursement of expenditure or transfer of the Funds pledged by the agency towards the execution of the Projects by the PIs of NHCE.

Guiding Notes:

- *Project Responsibility:* These projects are headed by a Principal Investigator (PI), and may have Co-Principal Investigators (Co-PIs)/administrative PI (to operate the project, in case PI is out of station) and the deliverables are the responsibility of the PIs.
- For each sponsored project, the entire expenditure for the operation of the project is required to be met out of funds provided by the sponsoring agency.
- The responsibility for operation of the project lies with the PI.
- *Preparation and Submission of the Proposal:* The project proposal should be formulated according to the format prescribed by the concerned funding Agency. The format is available at the respective website of each Funding Agency. Project proposal forms for major funding agencies are available at R&D Cell/HoDs of each Department/R&D Coordinators at each Department.
- *Project Proposal Format:* Please refer 2 c) above.
- While making an estimate of the funds required for a project, the following budget heads should be taken into account:
 - a) Salary of Project Staff (Research Associates) including PhD Scholars/TRAs
 - b) Equipment
 - c) Consumables

- d) Travel (domestic, international)
 - e) Contingency
 - f) Overheads (normally @20% of project cost; however, many funding agencies are allowing 10-15% of overheads only to self-financing colleges like NHCE. Considering the nature of expenditure and contingencies, it is always suggested to have sufficient cushion (15-25%) in the budget proposal for negotiations/optimization/liaison/cost escalation/smooth implementation of project without any financial strains etc). Kindly discuss with HoDs/Dean (R&D) regarding the total project cost before sending to the funding agency.
- *Overheads:* Overheads are presently calculated @15% of the total project cost.
 - Endorsement is printed on the HoD's/Dean's letterhead, and is signed by the PI.
 - A proposal that satisfies all the conditions, particularly of the overheads, will be forwarded by the HoD/Dean (R&D). Any deviation from the norms (e.g. reduction of overhead) will have to be discussed and explicitly approved. The approving authority for any relaxation is the HoD/Dean (R&D).
 - The respective Department Office will make a suitable record of the proposal, and then courier the project proposal to the concerned agency along with the NHCE's cover letter duly signed by Head of the Institution (Principal). Alternatively, it may be given to the PI for forwarding it to the agency with due entry in dispatch register of NHCE.
 - The softcopy of the proposal will be sent to the Department Office for records.
 - *IPR Issues:* All IPR related issues are agreed between the NHCE and the funding agency as per the norms of funding agency. Preferably, IPR will be jointly shared by NHCE and the funding agency. For

approved IPR policy of the NHCE, please refer at R&D Cell/HoDs of each Department/R&D Coordinators at each Department.

- *MoU/Agreement Preparation:* The NHCE has broad approved guidelines for drafting MoU/Agreement. For preparation of MoU/agreement, please contact: R&D Cell/HoDs of each Department/R&D Coordinators at each Department.
- After completion of the project, final report should be submitted to the funding agency.
- A completion certificate should be obtained from the funding agency for successful completion of the project based on which project account will be closed.
- After the project is sanctioned, for registration, operation of the Project, Contact: R&D Cell/HoDs of each Department/R&D Coordinators at each Department.

c. Consultancy Projects

The Institute has expertise in various research areas to provide knowledge and intellectual inputs which are of interest to the industry. It encourages its faculty to undertake consultancy work which is an important tool in industrial growth of the Country.

Guiding Notes:

- A consultancy project/task/work is one, where faculty and research staff provides knowledge and intellectual knowledge to industry (within India/outside India), primarily for their purposes. This is effectively a contract work in which all outputs belong to the sponsor.
- All know-how developed as part of the consultancy assignment will be the property of the client as long as it is used by the client. Patent for any new development can be taken jointly between the client and the NHCE. If the knowhow is transferred to a third party, royalty will be shared equally between the client and the NHCE unless otherwise agreed upon. Wherever necessary, a Memorandum of Understanding can be signed between the NHCE

and the client in which the terms and conditions for the award and execution of the project have to be explicitly stated.

- It is desirable that payments for consultancy be routed through the NHCE. This means, that whenever payments are done, they should come in the name of the NHCE, which will then do the needful for complying with statutory laws and then give the honorarium to the faculty/staff as the case may be.
- The requirement originates from the industry concerned. The faculty is expected to estimate the time and cost required to accomplish the task.
- *Preparation and Submission of the Proposal:* In case of a consultancy project, normally based on the requirement, proposal is prepared by the PI. It should specifically mention breakage of funds, normally consultancy fee as the primary component. It may also have budget for supporting manpower, equipment, travel contingency and other such costs to execute the consultancy project. Also consider the cost of availing of external assistance and subcontracting, if required.
- Students can be employed on a part time basis and remuneration may be given based on the request from the PI/consultant.
- *Overheads and Service Tax:* At the stage of proposal submission, the budget will reflect project costs (X), 25% overheads (0.25X) and service tax (10.3% of 1.25X). Service tax is subject to periodic revision by the Government of India. Service tax is not deducted on projects, if the funds are received in foreign currency. Service tax on equipment is not chargeable, in case equipment is to be returned to the funding agency/organization after completion of the project. This should be clearly spelt out in the MoU/proposal itself.
- *In International Project:*
 - Funds are received in foreign currency;
 - service tax is not applicable;
 - The research collaboration of NHCE with the other party/funding agency should be in conformity with the

laws of both the Countries and/or International laws as the case may be.

- A MoU/agreement that satisfies all the conditions, particularly of the overheads, service tax will be approved by the NHCE. Any deviation from the norms (e.g. reduction of overhead) will have to be discussed and explicitly approved. The approving authority for any relaxation is the HoD/Dean: R&D.
- The softcopy of the proposal will be sent to the Office for records.
- *IPR Issues:* All IPR related issues are agreed between the Institute and the funding agency. Preferably, IPR will be jointly shared by NHCE and the funding agency. For Board approved IPR policy of the Institute, please refer IPR Policy of NHCE.
- *MoU/Agreement Preparation:* NHCE has approved guidelines for drafting MoU/ Agreement of any Departments of NHCE. For preparation of MoU/agreement, please contact: R&D Cell/HoDs of each Department/R&D Coordinators at each Department. Some template/model MoUs of different types are available with them.
- When MoU is clear from all angles and acceptable to both the parties, it is sent to the Principal/Registrar for approval through HoD, along with the Note File (Summary of MoU).
- After approval, PI/HoD/Dean (R&D)/Principal as the case may be along with witness sign the MoU.
- *Project Responsibility:* These projects are headed by a Principal Investigator (PI), and may have Co-Principal Investigators (Co-PIs)/administrative PI (to operate the project, in case PI is out of station) and the deliverables are the responsibility of the PIs. The NHCE provides the PIs necessary support.
- After the project is sanctioned, for registration, operation of the Project, Contact: R&D Cell/HoDs of each Department/R&D Coordinators at each Department.
- After completion of the project, final report should be submitted to the funding agency.

- A completion certificate should be obtained from the funding agency for successful completion of the project based on which project account will be closed.
- Payment of honorarium to all those associated with the assignment is made through, after deduction of service tax, and meeting other expenditures as envisaged in the project, the balance receipt of consultancy is distributed as: 34% to NHCE Corpus, 33% to Department Development Fund (DDF), 33% to Personal Contingency Fund (PCF) for Professional Development of PI.
- *Function of the Respective Department Office/R&D Cell during R&D Projects:* The Department Office/R&D Cell acts as a liaison between the NHCE and industry/ government bodies/professional bodies to undertake consultancy projects with specific problem, which are generally of short duration.

d. Testing Projects:

The word refers to examining a component or a product against a standard. Examples could be testing the strength of concrete in a construction, compaction strength of soil, calibration of pressure gages, and chemical identification of unknown species. Testing is commonly accomplished in general-purpose laboratories and does not require elaborate preparation or data analysis.

Guiding Notes:

- The procedure for overall operation of the project is similar like that of consultancy project.
- The MoU/agreement should be submitted to the Dean (R&D), after getting it forwarded by the HOD/Head of the Lab/Center where the facilities are available, for signature. Forwarding is required to ensure that sufficient resources are available, and the project can be executed.
- A MoU/agreement that satisfies all the conditions, the service tax will be approved immediately. Any deviation from the norms will have to be discussed and explicitly approved. The approving authority for any relaxation is the HoD/Dean (R&D)/Principal.

- The respective Department Office will make a suitable record of the proposal, and then courier the project proposal to the concerned agency along with the NHCE's cover letter. Alternatively, it may be given to the PI for forwarding it to the agency with due entry in dispatch register of NHCE.
- The softcopy of the proposal will be sent to the Department Office of records. The HoD/Dean (R&D)/Principal is the competent authority for approving all project proposals.
- *Overheads and Service Tax*: Overheads are not deducted on testing projects. Service tax at applicable rates is deducted. Service tax is not deducted on projects funded by agencies outside India and funds are received in foreign currency.
- After deduction of service tax, the balance receipt of testing is distributed as: 34% to NHCE Corpus, 33% Department Development Fund (DDF), 33% Distribution (among participating employees).

4. Travel:

Visits under projects are permitted with the approval of HoD/Dean (R&D)/Principal. The total number of days permitted to be away from duty for industrial consultancy or sponsored research work by any faculty member shall not exceed four days in a month. The number of days for consultancy and sponsored research projects together can be six days.

The staff member who will be undertaking the travel has to fill up the Proforma for sanction of TA/DA/Registration Fee from Project Funds. PI and Head of Department/Centre have to countersign the form. The travel of Project staff can be approved by the R&D Coordinator of the respective Department. This is forwarded to the HoD/Dean (R&D), for approval. Care must be taken by the PI that the total expenditure on travel does not exceed the amount allotted for the purpose. After performing the journey the final TA bill has to be forwarded to the Accounts Section directly.

International travel in projects can be permitted only with the concurrence of the funding agency.

The proforma for short and long visits abroad by the Project Investigators requires a certification by HoD/Dean (R&D)/Principal that they have made

alternate arrangements for carrying out the projects during their absence. Therefore the PIs are to take note of the following, before sending the request to HoD/Dean (R&D)/Principal.

(a) For short leave (30 days to 90 days):

When one of the investigators goes on short leave, the other investigator(s) should also give his concurrence in writing that he will be available to carry out the project. If by chance all investigators are absent they must get a written concurrence from another faculty member to carry out the project in their absence.

(b) For long leave (more than 90 days):

Under the normal circumstances, the project investigators should not proceed on long leave without completing the project and submitting the final report to the sponsoring agency.

In case there is more than one investigator, the remaining investigator(s) should give their written concurrence that they will carry out the project during the long absence of the one of the investigators.

However, the long absence of the investigator should have the concurrence of the funding agency. Also, the concurrence of the sponsoring agency should be obtained to nominate any other faculty as an investigator.

5. Incentives (Financial & Non-financial) to the PIs

The Project Investigators (PIs) can attend Conferences/Seminars/workshops in related areas utilizing the project grants. There is no ceiling for registration fee for attending National or International Conference held in India or abroad. Specific approval of the funding agency is required to utilize the travel grant for foreign trip.

Membership (life or annual) of a professional body and subscription to journals is permitted from projects. The ceiling 200 USD (Approx. Rs.12,000/- to Rs.13,000/-) in a year /per project.

The investigators of the projects shall be reimbursed from the contingency grants of the project (subject to availability of funds under this head) expenditure incurred for use of telephone for project activities. No

reimbursement from projects funded by CSIR, AICTE and MHRD.

The above telephone reimbursements can include expenses incurred through cell phones (subject to production of certified bills) and to be claimed by submitting written request.

The consultants / investigators can be permitted to purchase cell phones only from their "PCF for Professional Development" account.

Health Insurance coverage, during visits abroad and personal accident insurance for both PI and project staff on work relating to projects is permitted.

PIs can incur, from project funds, expenditure of Rs.1000/- per bill as refreshment expenses towards meetings, interviews, connected with the projects subject to a ceiling of Rs. 5000/- per year per project. For amounts exceeding this limit, approval of the HoD/Dean (R&D) has to be obtained.

One annual credit card membership fee can be reimbursed from Sponsored or Consultancy projects.

Personal Contingency Fund (PCF) For Professional Development:

The amount marked for PCF for Professional Development under each project is maintained for individual faculty through an identification number (Individual NHCE Remittance A/c). This number will be the Employee Identification number (Four digit number) given by the NHCE.

Following are the eligible items of expenditure under PCF approved by the RDC:

- a) Travel expenses both national and international.
- b) Membership in Professional bodies.
- c) Reimbursement of taxi, telephone, health & accident insurance during visits in India and abroad.
- d) In addition to the above, the following expenditure under PCF may also be included.
- e) Purchase of Equipment through normal NHCE Project Purchase procedures. Such equipments should be brought under Departmental Stock Register.
- f) Expenses towards maintenance of the equipments purchased. If a

permanent equipment is involved, such equipment should be brought under Stock Register.

- g) Purchase of technical & scientific books, journal & software for personal professional use.
- h) Expenditure for support services with the prior approval of the HoD/Dean (R&D)/ Principal.
- i) *Travel:* Travel expenses including air/train fare, per diem expenses, insurance, etc. for both national & international travel as per NHCE norms including advances. Approval of the HoD/Dean (R&D)/Principal and other administrative approvals wherever necessary, to be followed, as at present.
- j) Membership of professional (scientific & technical only) bodies both National and International without any limit.
- k) Boarding, lodging & entertainment expenses of the visitors for official purposes only.
- l) Institution of awards/prizes within NHCE.

General Information:

- Reimbursement of the expenses can be claimed using prescribed proforma.
- Reimbursement will be made to the concerned faculty member in all cases except for purchase of equipment.
- The coordinators may consolidate their reimbursement claims and the claims can be sent to Accounts section once a month.
- The Project Accounts will maintain and furnish funds availability position to the coordinators as and when required.

6. Receipt of Funds/Grants

Nowadays most of the grants (start or subsequent) are being released through RTGS/e-payment. Pls are requested to coordinate with Funding Agency to obtain a written communication (or email) of release of funds and convey this information to R&D Cell so that the grant may be credited to their project without any delay. In case of extraordinary delays in release of subsequent grants, where funds are required for payment of staff salary

and very necessary expenses, PI may request R&D Cell to extend small loans using online form on IRIS to meet such expenses.

7. Project Staff Recruitment

R&D Cell provides following options of recruiting project staff to kick-start the project activities:

- a) *Casual Appointments:* The PIs can immediately exercise this option and offer a contract of work on casual basis (informal selection) to anyone with suitable qualifications starting from the date of their choice using online form. However such awards are restricted to 3 months only for each individual. These may be given against sanctioned positions or for one-time requirement of a special nature. In the meantime, the process for Project Appointments (renewable on yearly basis) against the sanctioned posts in the project can be initiated.
- b) *Project Appointments:* These appointments are contractual and renewed every year maximum up to the duration of the project or 5 years whichever is less. The request for the same may be initiated by filing offline Form.
- c) The PI has two options for holding these selections in consultation with HoD:- Option I - Walk in test/ Interview; and Option II – Short listing followed by test and / or Interview. The composition of Selection Committee is to be sent to R&D Cell in offline Form.
- d) R&D Cell will post the advertisement on R&D Cell website and a general notice will be published in a National Newspaper twice in a month indicating the availability of advertised posts under various projects on R&D Cell website.
- e) *Assistantships:* PIs are encouraged to select full-time M.Tech/Ph.D. students through M.Tech. & Ph.D. selection process of the Department/Centre and extend assistantship through the Project against sanctioned staff positions. Use online form for sending requests for new assistantships and their renewals.
- f) *Engagement on Honorarium:* Honorarium for providing assistance in project activities can be paid to full-time PhD/M.Tech/MS

(R)/MBA/MCA/BE Degree students of NHCE and students appointed under assistantship mentioned above as per approved norms using online form. The full time students from outside (during vacations)/casual students registered at NHCE/other working professionals can be engaged for project activities with or without honorarium basis as per R&D Cell norms. The requests for such engagements are forwarded using online form. NHCE supporting staff may also be engaged for specific project and consultancy activities and paid honorarium with the approval of HoD/Dean (R&D)/Principal. The requests for such payments using offline Form need to be forwarded through HoD/HoC in offline Form with justification of work being assigned. No honorarium can be paid to project staff employed in sponsored projects/consultancy jobs.

- g) *Hiring of Casual Labour:* Casual labour for special needs of the project can be hired for specific work on contracted amount (normally based on daily wage norms of the NHCE) for a maximum period of 3 months using online form for casual appointment. Beyond this period, such hiring is subjected to the recommendations of the Committee constituted by HoD/Dean (R&D), for which a online "General Request" be forwarded.
- h) *Appointing Visiting Scientists:* The PIs can appoint visiting scientists by invitation against a sanctioned post in a project with the prior approval of HoD/Dean (R&D).
- i) The detailed norms for recruitment of project staff are available on R&D Cell.

8. Day to Day Expenses

You may draw a permanent imprest up to Rs. 15,000/- for day to day expenses/petty purchase using online form. Approval of HoD/Dean (R&D) is required for drawing imprest beyond this limit. The accounts must be settled at the end of the financial year and can be drawn again in next financial year.

9. Purchase of Equipments/Consumables

The equipment purchase takes time and needs planning.

- a) Please ensure the availability of sufficient funds in the project during the purchase process.

- b) Please ensure to follow the Comprehensive Stores & Purchase Rules of the NHCE available at Stores & Purchase Department to avoid any audit objection. Breach of purchase rules may lead to cancellation of order. These purchases can include Purchase/up gradation/buyback of equipments, fabrication, components, office equipments, consumables, stationery, Annual Maintenance Contracts, Annual Rate Contracts for goods and services.
- c) *Minor Purchases:* The PI is authorized to make purchases up to Rs. 2 Lacs (minor purchase) himself/herself by means of Purchase Committees/Stores. Purchase up to Rs. 15,000/- may be made without forming purchase committee with the approval of Director (Accounts)/Principal. The purchases for a total value of more than Rs. 15,000/- and up to Rs. 1 Lakh can be done through a Purchase Committee approved by PI/Director (Accounts)/Principal ensuring and certifying the reasonability of the price. If necessary, the buyer may draw an advance up to Rs.1 Lakh using online form for making cash purchases while ensuring no single payment will exceed Rs.15,000/- subject to timely adjustment. Advance payments to vendors or payment against delivery through cheque can be done by taking prior approval of competent authority through HoDs/ Director (Accounts)/R&D Cell/Principal.
- d) *Bills:* For all purchases kindly make sure that the bills have Sl.No., Date and TIN/PAN no. of the vendor/supplier.
- e) *Imports:* As per current rules, all imports (equipment, spare parts or consumables) regardless of their value should be processed through Central Stores & Purchase Section. In case of urgency, prior approval of the competent authority is required to make any purchase in foreign currency through internet/credit card etc. We are in the process of modifying imports under minor purchase.

10. Organising Seminars/Workshops/Inviting Visitors

- a) The project may require to arrange/organize Seminars/ Workshops/Meetings etc. PIs are empowered for staging such events where such provision exists and the expenses are within the approved budget from Funding Agency. In case no specific provision exists in the project, expenses within a limit of Rs. 15,000/- may still be sanctioned by

HoDs in consultation with PI, however, expenses beyond Rs. 15,000/- require prior approval of Principal.

- b) Visitors from within country: You can invite outside scientist/expert to the NHCE under a project for short duration (up to one week) for project related work with expenses limited to their entitlement. For visits exceeding one week and for any relaxation in entitlement, prior approval of the HoD/Dean (R&D) is required using online form.
- c) Air travel requires the approval of HoD/Dean (R&D) using online form.
- d) Visitors from abroad: You may also invite Students/Researchers/Visitors for project activities from abroad that will require the approval of HoD/Dean (R&D) using online form. In some cases, prior approval of MHRD/Ministry of External Affairs, Government of India is also required and the PI is required to submit additional details in offline Form No. available on R&D Cell.

11. Entertainment Expenditure

You may spend an amount limited to 10% of the contingency amount or Rs. 20,000/- per annum whichever is lower on entertainment expenditure. For any relaxation, approval of Associate Dean (R&D) is required.

12. Professional Provisions to enable efficient functioning of the Project

R&D Cell provides specific provisions that may be charged to the project if required for its smooth functioning.

- a) You may purchase Data Card for mobile internet while travelling within the country for project related activities.
- b) You may install telephones, faxes, broadband connections for project related activities with the approval of HoD/Dean (R&D) and claim reimbursement from project funds.
- b) Part of the overhead charges is credited to the Personal Contingency Fund (PCF) for Professional Development of PIs and Co-PIs as described in the R&D Cell. These are governed by PCF rules available at R&D Cell. The bills within approved norms related to the expenditure out of PCF can be submitted directly to HoD/R&D Cell Accounts along with prescribed offline authorising the purchase.

- c) You may purchase professional books. These books need to be entered in department library records before claiming reimbursement. Also publishing Monographs/Compendium/ White Papers are permitted under this head.
- d) PIs or Co-PI may avail the internet facility at home if residing outside NHCE Campus with the approval of HoD/Dean (R&D)/Principal.
- e) PIs may opt for Membership of Association/Professional body from the project funds up to a membership fee of Rs.15,000/- for each membership expense. The approval of HoD/Dean (R&D)/Principal is necessary in case the membership amount exceeds this limit.

13. OODs:

You are permitted to go outside the NHCE on OODs, as per NHCE norms, for work related to Projects, but without affecting your classes or other academic work in the NHCE. The detailed guidelines can be referred at R&D Cell.

14. Revision of Budget/Extension of duration:

- a) *Revision of Budget:* The expenses under the project are booked under specific budget heads sanctioned by the funding agency in their sanction letter. At times, due to change in nature of activities, reallocation of funds may become necessary. Such changes are possible only after written sanction/approval of funding agency, particularly, in the case of Govt. funded projects.
- b) *Extension:* The extension of duration of a project is possible only with the concurrence of concerned Funding Agency. It must be requested well in time using online form.

15. IPR issues

The information generated under the projects is usually the joint property of the Funding Agency and the NHCE unless otherwise stated in the Contract/Agreement with a funding agency or a collaborative partner with whom the ownership issue is mutually decided beforehand. The same may be protected by means of filing of copyrights/patents etc. through IPR Cell.

The applications for filing Copyright/Patents etc. and subsequent know-

how/technology transfers are submitted in consultation with IPR Cell Office. More details are available at IPR Cell.

16. Relaxations and Prior Approvals

- a. Occasionally, you may require relaxation in provisions because of the special nature of the project activity or special circumstances necessary for smooth functioning of a project; you may request such relaxations from Competent Authority (HoD/Dean (R&D)/Principal/Chairman) by sending your request along with justification to R&D Cell Unit through "Special Request".
- b. Competent Authority may vary from HoD/Dean (R&D), Dean (R&D) to the Principal/Chairman depending upon the nature of provision.
- c. All requests for prior approvals from any of the competent authority should be sent directly to HoD/R&D Cell office.

17. Do's And Don'ts

- a. PI is the prime interface between the Funding Agency and Principal/R&D Cell. All correspondences from Principal/R&D Cell regarding the project are routed/approved through PI unless mentioned/requested otherwise by the funding agency.
- b. The sanctions in a project and spending norms of funding agency are considered supreme, and in cases, where funding agency has explicit provisions or restrictions with reference to any of the above, those must be followed. For example,
- c. Qualifications and salaries of project staff (such as JRF/SRF/RA) sanctioned by various Funding agencies are bound by their respective circulars. PIs cannot, at their discretion, recruit project staff in such projects at NHCE scales without obtaining prior sanction from the funding agency.
- d. Under CSIR funded projects, all appointments are required to be sent to CSIR for their approval.
- e. Some funding agencies do not permit certain kinds of expenditure such as furniture etc. from the project. PIs are advised to read such provisions from the website of funding agencies, a list of prominent

funding agencies along with their website addresses is also available at R&D Cell.

- f. For timely release of yearly grants, it is important and necessary to submit progress report/ completion report, contingent bills, utilization certificates, statements of expenditures etc. in time to the funding agency. HoD/R&D Cell helps in preparing all financial statements on the request of the PI at the end of a financial year. Provisional statements may be requested in between the financial years as needed. Please provide sufficient time for such requests to avoid inadvertent errors.
- g. In case of CSIR projects, NHCE is entitled to claim an overhead of 5% from CSIR when such reports are submitted in a timely manner.
- h. Do not incur expenses after the sanctioned duration of the project. Request for extension of projects should be made to funding agencies well in advance.
- i. While making a purchase, make sure not to pay Excise Duty as NHCE is exempted from paying it.
- j. Under unavoidable circumstances, project positions can be downgraded but within the same cadre. For any alteration in sanctioned position, prior approval of HoD/Dean (R&D) and/or Funding agency is necessary.

Note: The above guidelines have been drawn to acquaint the PIs/Co-PIs of the existing provisions for running of the projects. However these are subject to certain restrictions and conditions and are constantly revised to enhance the smooth functioning of projects at NHCE.

18. Removal of Difficulties:

Notwithstanding anything in the above guidelines, the Principal/RDC may take such measures/modify the guidelines as may be necessary in respect of protecting the interest of NHCE and smooth conduct of sponsored research projects. The NHCE reserves the right to change the guidelines from time to time and only the latest rules will be applicable to all the ongoing projects irrespective of the year of sanction of the project(s).

Courtesy: IITs/Anna University/PSG College of Technology/National design and Research Foundation

References:

<http://ird.iitd.ac.in/content/intellectual-property-rights-ipr>

<http://ird.iitd.ac.in/policy/IPRPolicy-IITD.pdf>

http://ird.iitd.ac.in/fulltext/OperationalGuidelines_RP_05122014.pdf

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<https://www.iitm.ac.in/icsr>

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