PDPM
Indian Institute of Information Technology, Design & Manufacturing, Jabalpur

Operation Manual

[Processes and Functions of the Office of Dean Research, Sponsored Projects & Consultancy]

November 2017

<p style="text-align: center;">**Brief About the Processes and Functions of**</p>

<p style="text-align: center;">**The Office of Dean Research, Sponsored Projects & Consultancy**</p>

1. Functions of the Office of RSPC

Office of Research Sponsored Projects & Consultancy (RSPC) was set up to provide specialized administrative and managerial support to the faculty members, research staff, students and staff of the Institute to facilitate smooth operations of research, consultancy and other related Research and Development (R&D) activities of the Institute. It also promotes and manages Institute-Industry interaction and all externally funded research and development projects. The key role of the Office of RSPC is to provide a creative atmosphere and an ecosystem for research and development activities of the Institute. To say, a few functions are:

- Promotion of Institute-Industry Interactions: It provides helping hand in establishing collaborative research partnerships for undertaking creative and advanced research and consultancy work in the emerging areas of interest to the industry and research organizations.

- Liaison with Research Organizations and Funding Agencies: The Office of Dean RSPC would also help in identification and establishing liaison with various government, semi-government, non-government and social research organizations and funding agencies for collaborative and / or sponsored research.

- Joint Collaborative Programmes: The Institute would collaborate with various Indian as well as at international organizations to strengthen its collaborative research and consultancy efforts.

The processes and functions of the office include:

A. Project Management
B. Personnel and Establishment Management
C. Intellectual Property Rights Management
D. Faculty Initiation Grant
E. Stores and Purchase Management
F. Advances Management
G. Employee Information System (EIS) / Enterprise Resource Planning (ERP) – R&D Module Management

The activities under the above heads are detailed in subsequent sections:

A. Project Management

The execution of activities related to Sponsored Research, Consultancy, Field Work, Testing, etc. involve the following steps:

1. Project Ideation and Identification of Suitable Funding Agency
2. Submission of Project Proposal
3. Registration of the Project
4. Operation of the Project
5. Submission of Project Progress Reports and other Related Documents
6. Project Closure and Completion Report

Steps related to project management by the Office of Dean RSPC include:

Step 1. Submission of Project Proposal

Once the project (Sponsored Research / Consultancy / Field Work / Testing, etc.) has been ideated and suitable funding agency is decided, the proposal for funding should be submitted as per the checklist to the Office of Dean of Research, Sponsored Projects & Consultancy for signature and record keeping. The letter of proposal is initiated by Principal Investigator (PI) by putting his/her signatures, as well as signatures of Co-PI (if any) as per the format of funding agency. The proposal is to be forwarded by Head of the concerned Discipline to ensure that sufficient resources are available, and the project can be executed.

One extra hard copy along with copy of the proposal over mail is to be given to the Office RSPC for records. The Dean RSPC is the competent authority for approving all project proposals and signing on behalf of the Head of the Institution.

The Proposal along with the signed endorsement letter by the competent authority is to be forwarded or uploaded to the website of the concerned funding agencies by the PI, and subsequently entered in Employee Information System (EIS) / Enterprise Resource Planning (ERP) R&D portal of the Institute, under the project proposal submission category.

Step 2. Registration of the Project

When the project is sanctioned by the funding agency/industry, a duly filled new project registration form along with a copy of the sanction letter/ agreement/ MoU/ proposal, needs to be submitted to the Office. After the receipt of sanction letter, a suitable project number would be assigned to the sanctioned project.

After getting information from PI, Office of Dean RSPC will confirm the status of fund received from the funding agency at the Institute's Accounts Section. The necessary information would also be passed to Establishment Section for proper management of (a) project staff, (b) PDA and (c) personal file of the PI/Co-PI. All correspondences with Accounts / Establishment Sections, and other departments/sections of Institute would be with reference to the assigned Project Number. A project is deemed to be commenced on the receipt of funds from the funding agency.

If Cheque/Demand Draft of the fund is received directly by PI, then it is to be submitted to the Office of Dean RSPC with above mentioned documents for the new Project Registration.

After getting Registration number of the project, PI should update the status of project, i.e., from submission to 'Ongoing' status in EIS portal.

Step 3. Operation of the Project

The funds and the budget of the project are maintained in the Accounts Section. However, the authority to judiciously spend the amount from a project lies with the PI of the project (and Co-PI in case of absence of the PI) subject to the approval of the competent Authority.

The expenses against respective budget head should not cross the sanctioned limit at any time. If any changes are to be required to the budgetary allocation, approval should be taken from the sponsoring agency under information to Dean RSPC. Same information would also be shared with the Account Section for its records.

All expenditures from project head should be maintained in the appropriate Project Stock Registers of the project associated lab. Every financial year, the Project Accounts are to be audited by CAG, Audit Gwalior, MP, which also includes all the sponsored and consultancy projects too. PIs are advised to ensure maintenance of proper stock registers as per the Institute rules/GFR.

Ethical clearance is required for all projects related to health and research as well as involving biomedical/ human and animal subjects. For details kindly refer to ICMR guidelines for International Ethics Committee (IEC). ([Guidelines for preparing Standard Operating Procedures (SOP) for Institutional Ethics Committee for Human Research](#) and [Approval Form](#))

Step 4. Submission of Project Progress Reports and other Related Documents

It is the responsibility of the PI/Co-PI to send timely project progress reports and other related documents. PIs/Co-PIs are also advised to ensure that they get approval of the funding agencies for carrying forward of any unspent balance from the previous financial year(s).

Statement of Expenditure and Utilization Certificate (SE and UC) to be submitted to funding agency periodically will be made available to the PI/Co-PI on request to Dean RSPC, at least one week in advance. The PIs/Co-PIs shall coordinate with the Accounts Section before finalization of Statement of Expenditure & Utilization Certificate for the verification of booking of expenditure under correct sanctioned budgetary head. After Signature of PI on the SE & UC, it will be subsequently forward to the office of Finance & Accounts, Internal Audit, Registrar, Dean (RSPC).

If there is any change in the format of SE and /or UC, as per sponsoring agency requirement (other than the standard format used by most of the funding agencies and Institute), the same should be conveyed by PI in the form of the desired format in soft copy to the Office of Dean (RSPC) and Accounts Section.

Step 5. Project Closure and Completion Report

For further extension of the project, permission from the funding agency may be sought. Once the extension is approved, the project would be extended in the Institute records on submission of the permission/approval letter from the funding agency. Principal Investigator is responsible for submitting the final report, and other details as per the guidelines of the funding agency. A copy of this report should be sent to the Office of Dean RSPC too for its records. Remaining funds, if any, will be returned to the sponsoring agency. In case of consultancy project, the balance amount may be transferred to PDF/DDF/IDF. After this, the Project will be officially closed.

PI are requested to submit duly filled project closure form available on DRSPC website.

Overheads

As and when the funds are received at the start of the project or during subsequent grants (annual or otherwise), Institute Overheads (for Sponsored Project) or Institute Share (for Consultancy, Field Work, Testing projects, etc.) would be deducted, in proportion to the funds release. However, it would be subject to terms and conditions specified by funding agency, if any. For calculation and division of overheads, please refer notification.

Tax

Government Taxes at applicable rates would be deducted from the project as and when fund is received under intimation to PI. The deducted amount of tax would be deposited by Accounts Section in the suitable accounts in accordance with the rules of Government of India.

B. Personnel and Establishment Management

Research and support staff can be appointed in the projects, if there is budgetary provision of the salaries of the staff in the sanctioned budget of the project. All appointments in the project will be on temporary basis on consolidated salary, maximum for one year or as per the terms of the funding agency/recommendations of the selection committee. Such offers may be extended on the recommendation of the PI based on the performance of the staff till the end of the project. Project appointments can be made as per the recommendation of the Selection Committee (Guidelines). Salary and other employment rules of the Project staff would be governed as per the terms and conditions of the sanction letter of the sponsoring agencies. In case such rules are not prescribed by the funding agency, Institute rules would be applicable.

All forms related to appointments can be checked here.

1. Procedure of Appointment of Project Staff

The appointment of project and related staff would include the following steps:

Step 1. Approval of Advertisement, Selection Committee and allied procedures

For recruitment of project staff, PIs are advised to follow the following procedure:

(i) PI shall get the approval of the advertisement, duly forwarded by Head of the Discipline, as per the terms and conditions of the funding agency from the Dean RSPC.
(ii) It is advisable to give a minimum time period of 15 days from the date of release of advertisement to the date of interview/ selection process.
(iii) After approval, PI should send the soft copy of approved advertisement to Convener, Computer Centre for Upload on Institute website.
(iv) PI shall also get the selection committee approved from the competent authority.
(v) For approval of selection committee, the forms can be downloaded here .

Step 2. Conduction of Written Test and Interview or as per the advertisement and allied procedure

Selection procedure has to be made (conduction of written test and / or interview) as per the advertisement. PIs/Co-PIs are requested to ensure that all information related to shortlisting of candidates and call for selection process is duly displayed on website and timely informed to the shortlisted candidates.

The report of selection committee to be prepared in the prescribed form given here.

After approval of the Report of the Selection Committee, Offer Letter to the Project Staff would be issued by the Establishment Section.

Project staff to whom offer letter is issued should report to PI by submitting the joining report. PI should recommend and forward the Joining report of the Project staff and sent it to Establishment

Section for further processing. Project staff would be advised to report to Establishment Section for verification of the documents and other procedure of joining.

After completion of the verification and other recruitment process, Establishment would forward the Joining report to Dean (RSPC) for approval and after approval, Establishment Section will issue office order as per the report of the selection committee, with copies to PI, Dean RSPC, Accounts Section, Primary Health Center (PHC), Dean (Students), in case of Hostel accommodation which may be allocated subject to availability, Person Concerned and other relevant sections. Establishment Section would also assign a Personal File (PF) number to the Project Staff and initiate the process of Police Verification. On joining an agreement would be signed by the Project Staff with the Institute.

The Office Order must contain the following:

    a. Name of Project Staff
    b. Post of the Project Staff
    c. Personal File No.
    d. Project Number
    e. Funding Agency
    f. Project Title
    g. PI Name
    h. Nature of Appointment
    i. Payment Type (like fellowship, stipend, consolidated salary, etc.)
    j. Period of Appointment

Step 3. Resignation and termination of project staff

Resignation and termination of appointment are to be governed by the terms and conditions mentioned in the Appointment letter and the agreement signed between Project staff and the Institute. Resignation and termination would be recommended by PI and approved by Dean (RSPC). In both cases, No Dues certificate duly signed by the concerned section is required which can be downloaded here.

Fellowship/Salary release

Dully filled JRF/SRF fellowship/ salary release payment form of the concerned project staff has to be submitted by the PI to Finance & Accounts Section for further process. It is advisable to submit the duly filled and signed forms up to 25th of every month. The tax liability of fellowship would as per applicable Govt. of India norms, unless exempted by the funding agency.

Leave Rules

The project employees may avail the number and types of rules sanctioned by the funding agencies and / or the Institute. The leave records of the project staff would be maintained by PI through ERP System of the Institute. The leave rules are given here.

Medical Facilities

Routine OPD medical facility shall be provided at the Primary Health Centre of the Institute. The cases of serious illness may be referred to the Government hospitals/Private hospitals as per opinion of the medical authorities. For Project employees, medical facility for self only shall be provided in the Institute Primary Health Centre without any re-imbursement of the cost of medicines. Any outside referral shall not be reimbursable. A medical booklet may be provided to each project employee by the PHC at the time of joining which has to be produced to the Health Centre staff at the time of obtaining medical treatment and returned on expiry of term/resignation/termination.

Insurance Cover

Project employees are advised to enroll themselves under Group accidental, medical and life Insurance at their own cost. However, the Project Investigator may opt for 50% of matching contribution towards the cost of above insurance for the project employees, if the project finances provide for the same, e.g., contingency budget head. Necessary re-imbursement can be claimed by the employees on producing receipts. Institute will empanel the medical and insurance agencies for this purpose.

Engagement of Skilled / Semi-Skilled / Unskilled Personnel under Work Assignment mode

To carry out miscellaneous jobs required for the research projects, skilled / semi-skilled / unskilled manpower may be engaged on hourly basis. This method of engaging personnel may be for the assignments like specialized technical work, electronic data processing, data entry, translation activity, content preparation, technical assembly, installation, and other unskilled and semi-skilled job functions, which are of very short-tenure in nature.

To simplify the procedure of engaging personnel under this category, the following procedure shall be implemented.

1. The PI shall make a request for sanction / payment from the Contingency / Technical Manpower Head as per the rules in vogue of Government of India.

2. The PI can request for the payment of remuneration for different category of skilled/semi-skilled / unskilled manpower engaged on hourly basis either from the Accounts Section or he/she can make the payment from the advance taken for the purpose.

3. The PI can also authorize any permanent employee of the Institute for keeping the advance and making the payment and verifying the same on behalf of the PI in the prescribed payment voucher. The vouchers must be approved and verified by PI.

4. On payment of wages in the prescribed proforma, the PI shall submit the bills for adjusting the payment vouchers.

5. PI should verify all payments.

No person can be appointed on work assignment from more than one source, i.e., one sponsored project/consultancy simultaneously.

C. Intellectual Property Rights Management

The Norms and Procedure for undertaking Research, Sponsored Projects, Consultancy, Testing and Field work, Intellectual Property Policy Documents & Disclosure form is available here.

The process of approval for filing Intellectual Property Application at the Institute is as follows:
(**Applicable for Patents, Designs, Trademarks, Copyrights, etc.**)

1. The faculty member, students, staff or others who wish to file a claim for intellectual property (Patent, Copyright, Design, Marks, even know-how) through the Institute would submit an application for the same to the office of Dean RSPC. The intellectual Property Disclosure Form (IPDF) has to be used for the purpose.
2. Dean RSPC would recommend two faculty members to the Director, who work in the area close to the domain of patent application, and on the approval of the names, the 'Intellectual Property Assessment Committee' (IPAC) would be formed, which would be headed by Dean RSPC or his/her nominee and would also include Head of the discipline to which the faculty belongs or his/her nominee.
3. In case, it is difficult to get two faculty members "in the area close to the domain of patent application", IPAC may have one technical member and one from business/management, apart from Dean RSPC and Head (or their nominees). The said committee would be approved by Director on the proposal of Dean RSPC.
4. The faculty members, students, staff or others would present their case in front of the IPAC, within a period of one month of approval of the committee by the Director.
5. IPAC would forward its report to the Director within 30 days of presentation by the inventor(s).
6. After the approval of the intellectual property, the process of filing of intellectual property would be initiated by the Institute.

D. Faculty Initiation Grant

New faculty is granted fund from Institute for initiation of research. The proposal for Faculty Initiation Grant (FIG) should comprise the details of the research that a faculty member would like to carry out in coming years. Proposal should include only the budget of capital items (Non-recurring). The motive of FIG is to support new faculty members to prepare subsequent proposals to be submitted to different funding agencies.

Guiding notes:

- The initiation grant, at present, is subjected to a maximum amount of Rs 10 lakhs to procure capital Items desired for the smooth conduction of research, e.g., equipment, computer, printer, UPS, books, etc.

- FIG proposal has to be submitted by the new faculty through the Head of the Discipline and it is processed by Dean (RSPC) and finally Approved/Sanctioned by the Director.

E. Stores and Purchase Management

All items purchased under a project are property of the Institute, though are to be used primarily for the Project. They are to be purchased using the Institute approved procedures. After the project terminates, they remain with the Institute, unless there is a specific provision or requirement of returning the same. Consequently, each item purchased will be recorded in the Asset Register of the Institute.

F. Advances Management

Advances can be of various types like: Contingency, Consumables, Non-Consumables and Travel advance. The PI can use the funds from the project for taking advance as per the Institute Rules.

The Principal Investigator and others associated with the project can travel for professional work to the places within or outside the country as per the rules applicable. For the travel to be supported through project funds, Institute rules for travel entitlement will be applicable, and will be subject to availability of funds under budget head "travel" of the project and sanction from the funding agency.

G. Employee Information System (EIS) / Enterprise Resources Planning (ERP) – R&D Module Management

Various survey agencies (national and international) conduct survey for ranking of academic institutes. The data are related to the disciplines, faculty, students, course details, publications, awards, scholarships, projects, infrastructure, placement, etc. The Office collects data from different sections in the Institute and provides the survey agency with the latest data.

Annual report is the report about the Institute that contains information about faculty, academic programme, research & development, central facilities, facilities to students, placement, services and amenities, publications, books, patents filed. The Office collects data from all sections and prepares the report, which is placed before the Parliament of India.

All faculty members and concerned staff are advised to provide timely information for all such items by filling the requisite details on EIS / ERP on time to time basis.

RSPC Forms Download Link(s)

- **Project Management**
  - ✓ PM01: New Project Registration Form
  - ✓ PM02: Request for Extension of Project
  - ✓ PM03: Reallocation of Fund Among Different Heads
  - ✓ PM04: Request for Closure of Project
  - ✓ PM05: Form for Issuing of Final UC, SE & Closure of Project
  - ✓ PM06: Ethical Clearance Form
  - ✓ PM07: Checklist for Submission of Project Proposal

- **Personnel and Establishment Management**
  - ✓ PEM01: Approval of Advertisement and Selection Committee
  - ✓ PEM02: Report of Selection Committee
  - ✓ PEM03: Comparative Statement of the Candidates Called for Written Test/Interview
  - ✓ PEM04: Format for the Bio-data of Project Fellow
  - ✓ PEM05: Joining Report
  - ✓ PEM06: Leave Form
  - ✓ PEM07: No Dues Certificate
  - ✓ PEM08: Request for Extension of Appointment
  - ✓ PEM09: Request for Upgradation of Appointment
  - ✓ PEM10: Agreement

- **Intellectual Property Rights Management**
  - ✓ IP01: Intellectual Property Disclosure Form

- **Project Payment & Fellowship**
  - ✓ PP01: Release of Fellowship/ Salary

- **Project Notification**
  - ✓ Notification regarding deduction of Institute overhead charges
  - ✓ Notification regarding Institute Consultancy Rules and Intellectual Property Rights
  - ✓ Notification regarding recruitment of non-NET qualified candidates for project positions