

**REGULATIONS FOR
RESEARCH & DEVELOPMENT (R&D) UNIT
INDIAN INSTITUTE OF TECHNOLOGY BHUBANESWAR**

1. **SCOPE**

These regulations shall be called “R&D Regulation” hereafter & shall be applicable to all activities stated therein. These rules supersede all existing R&D rules.

2. **TERMINOLOGY**

2.1 **SPONSORED RESEARCH PROJECT:** Time and cost bound projects sponsored by Government, public, private, national / international agencies and autonomous bodies. The project cost including cost towards contractual manpower, deputed manpower, equipment, consumables and supporting services of the Institute are borne by the sponsor.

2.2 **SPONSOR:** The organization that Sponsored the Project to the Institute and gives necessary financial support for successful completion of the project in time.

2.3 **PRINCIPAL INVESTIGATOR / INVESTIGATOR-IN-CHARGE (PI):** A faculty member of the Institute with necessary expertise and competence to conduct a Sponsored Research / Industrial Consultancy work. Normally, the faculty member who submits the project proposal and discusses / negotiates it with the sponsor and is instrumental in getting the project is the Principal Investigator. For administrative reasons, the Principal Investigator of some projects may be appointed by the Dean (R&D) in consultation with concerned HoS if the original Principal Investigator leaves or his/her service are not available to the project for any other reason.

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

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

2.6 **INDIVIDUAL RESEARCH AND DEVELOPMENT GRANT FELLOWSHIP:** Research and Development grants-in-aid offered to individual faculty, research fellows from the sponsors and executed using Institute facilities with financial support from the granting agencies towards equipment, contingency, overhead, fellowship etc.

2.7 **DEAN (R&D):** Dean (R&D) is appointed by the Director as Head of the Research & Development Unit. The Dean (R&D) has full responsibility for project administration including (i) acceptance of Sponsored Research and Consultancy projects from the Sponsor on behalf of the Institute; (ii) the recruitment, extension, assessment, termination and invoking disciplinary procedure against project staff and (iii) the full financial power related to all projects covered under the R&D Regulations.

2.8 **Director:** Director, Indian institute of Technology Bhubaneswar.

3. **MANPOWER:**

- 3.1 All project appointments will be contractual and on the basis of consolidated monthly emoluments.
- 3.2 Automatic transfer from one project to another either on completion or midway shall not normally be permitted. However, in special cases such requests with justification by the PI may be approved by the Dean.
- 3.3 The tenure of contractual appointment of a project staff will be for the duration of the project and less than five years.
- 3.4 The total period of continuous contractual employment in the project(s) and must be less than five years.
- 3.5 A project employee shall execute a contract Agreement on non-judicial stamp paper of value at least Rs. 100/- at the time of joining with the explicit provision that contract may be terminate by either side (Staff or R&D Unit) by giving one month's notice or one month's consolidated emoluments in lieu of the notice.
- 3.6 Selection of JRF / SRF / RA shall normally be made as per the guidelines provided by the sponsoring agency and with the approval of the Dean (R&D).
- 3.7 All appointment letters shall be issued under signature of Assistant Registrar (R&D).
- 3.8 The PIs shall consider prevailing emoluments package, general qualifications and experience for staff while preparing project proposal.
- 3.9 The Selection Committee for the recruitment of project staff for each project will be constituted as follows:
- (a) The shortlisting of the applications of project staff is to be done by the PI and sent to Dean (R&D) for approval.
- (b) Selection Committee for Project staff recruitment:
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|--|---|----------|
| i) Dean(R&D) or his nominee | - | Chairman |
| ii) Head of School (HoS) | - | Member |
| iii) Principal Investigator (PI) | - | Member |
| iv) An expert from the School (to be nominated by the PI) | - | Member |
| v) An expert from a related discipline preferably from another School(to be nominated by the PI) | - | Member |
- The Committee is to be approved by the Dean (R&D). The Dean (R&D) shall fix, on the recommendations of the selection committee, the monthly consolidated emolument and the duration of the contractual appointment. The contract is to be renewed every year on recommendation of the PI.
- 3.10 On completion of each year of service during the contract period, extension in tenure and suitable enhancement of monthly emoluments, if applicable may be considered by the Dean (R&D) on recommendations of the PI of the concerned School. Application may be made in the prescribed format for approval of the Dean.

- 3.11 In case of urgent requirement, on recommendation of the PI short term job contracts for 89 days may be considered by the Dean (R&D).
- 3.12 The project employees shall be entitled to HRA, if accommodation on the campus not made available to them. Expenditure towards subsidised campus accommodation / HRA shall be charged to the salary head of the respective project.
- 3.13 All project staff shall work for the project only unless agreed to otherwise by the Dean(R&D).
- 3.14 PIs shall be the sanctioning and controlling authority for all types of leaves with respect to contractual project staff.
- 3.15 **Conduct Rules:** project employees shall
- a) Follow general code of conduct as approved by Dean (R&D).
 - b) Maintain secrecy of the research findings / technical information and shall not get involved in unauthorized communication of any official document or information.
- 3.16 Dean (R&D) may, at his discretion, constitute committee(s) to conduct disciplinary proceedings, if necessary against project employees. On the basis of the report, suitable disciplinary action may be initiated and punishment will be imposed by the Dean (R&D).
- 3.17 Project employees may be allowed to register for MS/Ph.D programme if he / she fulfills all the requirements prescribed by the Institute.

4. **FINANCE AND ACCOUNTS:**

- 4.1 A separate book of accounts shall be maintained for each project. R&D Unit shall be responsible for submission of statement of accounts as and when required by the sponsors. Govt. audited statement of accounts at the end of each financial year shall be provided, if required by the sponsor.
- 4.2 In general, for sponsored research projects, 20% of the total project cost shall be charged towards Institutional charges (overheads) for utilizing the infrastructural and other facilities of the Institute. However, depending on the norms of the funding agency and project budget, verification can be allowed by the Dean in consultation with the PI.
- 4.3 In the event, any project utilizes Institute's manpower and other supporting facilities beyond office hours, the expenses towards the same shall be charged to the respective project. For this purpose, on the recommendations of the PI, the Dean (R&D) may approve suitable honorarium for the supporting staff of the Institute.
- 4.4 PIs shall arrange to maintain Procurement-cum-purchase Registers and Stock / Asset Register (i.e., in Form GFR 19). These shall be verified by Govt. Auditors and R&D Unit as and when required. All purchase proposals in line with the purchase procedures of the Institute, shall be processed by the R&D Unit.

- 4.5 Accounts for sponsored projects shall be maintained under five broad budget heads. They are: Salary, Equipment, Contingency & Consumables, Travel and Institutional Charges (Overhead). Minor adjustment in approved budget heads may be permitted by the Dean (R&D) without violating the norms of funding agency significantly.
- 4.6 Cash advance shall be drawn in the name of PI/ Co-PI of the project.
- 4.7 All expenditures shall normally be made within the proposed date of completion (PDC) of the project. Exception may be permitted with the consent of the sponsor.
- 4.8 PIs shall normally be allowed to draw another advance only after adjusting the previous one taken by them unless otherwise agreed by the Dean (R&D).
- 4.9 In the event of non-availability of fund in a project, excess expenditure (if any) due to unforeseen reasons, the Sponsoring Agency will be approached to sanction additional fund or to permit the expenditure from another project of the same sponsor.
- 4.10 **TA and DA Rules:** The Government of India TA & DA rules will be applicable to the PIs and project employees for all sponsored research / consultancy projects. However, there could be some relaxation in the TA & DA rules for the PIs and project staff, subject to the availability of fund and with prior approval of the Dean (R&D) as given in the detailed TA & DA rules for the R&D staff.

5. **CONSULTANCY PROJECTS:**

- 5.1 In order to promote Industrial Consultancy activities in the Institute, the following Institutional charges shall be applicable:

Category	Industrial Consultancy Activity	Overheads or Institute's Share as a Percentage of Project Cost.
I.	Routine Testing and Calibration	35 Percent
II.	Projects requiring use of Laboratory and other facilities of the Institute	30 Percent
III.	Projects that do not use Institute's Facilities	25 Percent

Expenses include all expenditure towards equipment, consumables, travel, honorarium to faculty / staff / outside experts/ agencies etc. Service Tax and other Government Taxes applicable for consultancy work shall be levied in addition to the and Institutional Overhead as per Govt. of India norm.

- 5.2 **TESTING SERVICES:** The HoS can take up routine testing jobs in association with the permanent faculty / scientific / technical staff of the Institute.

On completion of the work, the service charges estimation and the request for the distribution of honorarium in prescribed format together with the cheque / draft received from client shall be sent to the R&D Unit for further processing.

The honorarium, on approval of the Dean (R&D), may be distributed on a case to case basis or periodically.

For the estimate of testing service charges the following formulae shall be applicable.

a. Cost of the equipment = A (Rs.)

b. Life of the equipment = L years

(5 years for Computers & 10 years for others)

c. Hourly cost of equipment = $\frac{A}{2000L}$ (Rs.)

d. Testing time = T hrs.

e. Cost of facilities = $F = \frac{A \times T}{2000L}$ Rs.

f. Cost of consumables = C

g. Honorarium to technical / supporting staff = D

h. Honorarium to faculty-in-charge = E

i. Cost of testing service = $P = 2 \times (F+C+D+E)$

In addition, overheads and Service Tax, etc will be applicable as per guidelines mentioned in Item 5.1 above.

6. **INTELLECTUAL PROPERTY RIGHTS:**

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

6.2 For the effective protection of IPR, it is necessary that the PIs should maintain a register that gives the details of the work done and salient findings on daily / weekly basis. This register should be signed by the PI and by at least one other faculty / project employee as witness to the result.

6.3 For the copyright protection of software/technology, registration of the software at the School level shall be made and properly documented. The list shall be centrally made available to the R&D Unit.

7. **TECHNOLOGY TRANSFER:**

The PIs shall not independently transfer technology either on exclusive or non-exclusive basis to any party without the consent of the IPR owners. The terms and conditions for each of such technology transfer shall be worked out on a case to case basis with approval of the Dean (R&D)/ Director.

8. **RETAINERSHIP:**

With the permission of the Dean (R&D) / Director, the faculty members of the Institute can accept retainership of the reputed organizations. The fees thus earned shall be shared by the Institute and the Individual in the ratio of 3: 7 only after payment of service tax, etc as applicable. For this purpose, the faculty concerned may utilize one day per week of four days in a month during an academic year with the specific approval of the Dean (R&D) provided alternate arrangements for classes and other commitments are made by faculty member. This applies to research and consultancy projects too.

9. **SOFTWARE MARKETING:**

All software duly copyrighted may be marketed and the sale proceeds thus accrued shall be shared between the Institute and the software consultant(s) as per Industrial Consultancy rules for the first copy and in the ratio (3:7) for the subsequent copies after payment of applicable taxes like service tax. If the subsequent copies sales involve training and their supporting services, the rules of consultancy (with no contribution towards use of Institute computing facilities) shall be applicable. If the marketing rights are transferred, the terms and conditions shall be determined as per Technology Transfer Rules.

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

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

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

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

10.4 The PI shall maintain the details of equipment purchase (in Form GFR 19) out of project funds separately for each project. He / She shall send a copy of it to Dean (R&D) for placing the same before the Govt. Audit for verification.

- 10.5 The PIs shall be responsible for submission of periodical and / or final technical report(s) of the project work as may be required by the sponsoring agency. He / She shall also send a copy of the final technical report to Dean (R&D).
- 10.6 The PI shall write to the sponsor for timely release of fund with a copy to the Dean(R&D) for follow up. R&D Unit will provide the un-audited /audited statement of accounts to PIs for forwarding the same to the sponsor.
- 10.7 The PIs shall sanction / control the leaves due to the contractual employees working in their projects under intimation to R&D Unit.

11. **FINANCIAL BENEFITS TO PIs / CO-PIs AND PROJECT STAFF:**

- 11.1 Within the framework of a sponsored project, PIs shall be permitted to have consultancy fee / honorarium, if the sponsor so approves. The consultancy fee / honorarium thus received shall be shared between the PIs and the Institute in the ratio approved by the Institute.
- 11.2 PIs shall be allowed to work full time during the vacation in the projects and get suitable honorarium as approved by the Institute (in lieu of vacation) for such period, provided the funds under salary provided by the funding agency so permits.
- 11.3 Depending on availability of funds under Travel head and with the approval of the Dean(R&D), expenses (TA, DA, Registration Fee, etc.) for presenting papers in National Conferences in fields relevant to the project, shall be given to PIs/ Co-PIs from the project fund provided such visits are approved by the Dean.
- 11.4 On recommendations of PIs, contractual project staff and students working in projects may be permitted with approval of the Dean (R&D) to present papers in national Conferences with TA, DA and Registration Fee support provided the funds are available under Travel head of the project.
- 11.5 The PIs shall prepare project proposals keeping (i) the prevailing scholarship/ consolidated salary, (ii) General qualifications and experience for staff required, (iii) rules of the R&D in mind. All such proposal requires approval by the Dean (R&D).

12. **ADMISSION OF RESEARCH WORKER TO ACADEMIC PROGRAMME OF THE INSTITUTE:**

- 12.1 A research worker (JRF, SRF, JSO, SSO, PA, JPO, SPO, Mission Engineer) working in a sponsored scheme /project of the Institute is eligible to register for the M.S. (R) and Ph.D. programmes of the Institute subject to his / her satisfying the admission qualification requirements of sponsored candidates.

- 12.2 Research workers from a scheme / project will be eligible for admission provided:
- a) The remaining tenure of the scheme / project at the time of admission is at least two years for PhD and one year for M.S. (R) programmes.
 - b) The admitted candidate gives an undertaking that he / she will not be automatically eligible for Institute Fellowship.
 - c) The minimum duration for completion of the total credit requirements for M.S. (R) programmes shall be as per the M.S. (R) regulations.

13. **EXCEPTION CLAUSE:**

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

14. **FACULTY DEVELOPMENT FUND (FDF) & SCHOOL DEVELOPMENT FUND (SDF):**

A portion of the Institutional overhead taken from the research and consultancy projects will be available to the PIs as Faculty Development Fund (FDF) and to the Schools/ Departments/ Centers as School/ Dept. Development Fund (SDF) to meet the expenses related to professional development as given below:

- a) 10% of the Overhead charges is to be kept under the Faculty Development Fund (FDF) for the Project Investigator (PI) and the Co-project Investigator (Co-PIs). The percent distribution among the PI and Co-PI(s) will be approved by the Dean on the recommendation of the PI.
- b) 15% of the Overhead charges is to be kept under the School Development Fund (SDF).

The PI/ Co-PI is allowed to use the FDF for procurement of Laptop, Mobile Phone and Computer Accessories etc. Besides the PI/ Co-PI may also meet the expenses of official foreign travel partially from this fund, if CPDA is inadequate and for other similar purposes.

15. **PROCUREMENT PROCEDURES:**

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

16. **PRESCRIBED FORMATS:**

Forms related to various activities of the R&D will be available with the R&D Unit and in the designated website.

17. **MANAGEMENT OF CENTRES OF EXCELLENCE:**

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