

DKTES's Textile and Engineering Institute, Ichalkaranji

(An Autonomous Institute Affiliated to Shivaji University, Kolhapur)

Research and Development Policy and Procedures



Note:

The policy document is prepared by the office of the Dean (R & D) and Departmental Research & Development coordinators for internal circulation only. The policy hereunder is subjected to amendments as may be made by the competent Authority of the institute time to time and will be effective from such dates. The amendments are applicable to all the students and employee of the DKTE TEI.

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1. Vision and Mission of the Institute

DKTE promotes excellence in Teaching, Learning and Research. DKTE believes that institutions collect and create the body of knowledge and disseminate the same to next generations through teaching – learning process and shape the lives. The education is a tool executed by skilled faculty results in to discovery, innovation and contribute to rational and healthy society. After 360° close interaction with all the stakeholders institute has set the path way to excel with following vision and mission statements.

VISION

To be one of the leading institutes in technical education and research through academic excellence and innovation, to serve the needs of industry and society through continuing education programs, industry interaction, entrepreneurship development and incubation.

MISSION

To nurture learners with relevant and contemporary technical education by providing conducive learning environment.

To imbibe attitudes, skills and values to enable them to strive for excellence and perfection in the tasks undertaken to serve the needs of the industry and society.

To develop researchers, technocrats, entrepreneurs and business leaders for an exciting and rewarding career.

2. Quality Policy

To realize the vision and mission a fair and simple objectives of quality policy has documented for providing guidelines to technical and administrative personnel as under.

QUALITY POLICY

We, at DKTE are committed to achieve academic excellence, impart high quality technical education, training, expertise in various industries and engineering programs; thereby enhancing the intrinsic abilities, capabilities, thinking process of students besides promoting their engineering and technological skills. We are committed to comply with the requirements and continually improve the effectiveness of quality management system.

QUALITY OBJECTIVES

To provide a sound academic and research environment to students for a complete learning experience.

To provide state of the art technical infrastructure and motivate students to realize their own potential.

To provide technological and managerial skills and ensure all round development of the students.

To offer quality relevant and cost-effective programmes to produce engineers as per requirements of the industry and other sectors of employments.

To offer research development, consultancy, testing services and customized Training to meet specific needs of the industry thereby promoting self-employment & entrepreneurship amongst students.

To improve in any emerging area of concern and then excel in it, institute deliberate with multidimensional framework to facilitate and expected outcomes such as teaching – learning, human resources – student, teacher and supporting staff, infrastructure, fund generation and governance mechanism. Amongst these, Research is prime dimension as it is interrelated to Creativity – accumulation, generation and application of knowledge.

Key points of 'Institute Philosophy' are:

- Research is essential component of institute mission – creation and dissemination of knowledge.
- Developing robust research plan with respect to institute resources, capabilities, opportunities forecasted and careful planning to execute.
- Research attitude is prime concern for recognition, retention and recruitment of scholars.
- Research needs time and conducive environment; therefore, institute facilitate to human resources such that reasonable balance shall exist in teaching – learning duties and research outcomes.
- Opportunities for collaborations are being explored not only within various academic departments but also with outside world.
- Resources especially in terms of funds is key concern, therefore, institute has systematic and dynamic approach for generating funds for facilitating research.
- The monitoring and evaluation parameters are flexible to escalate research.
- To facilitate the researchers to rise at performance indicators set and accepted by AICTE and affiliating University.

To proceed forward with these parameters and accomplish them step-by-step, institute is setting-up an administrative facilitator in terms of 'Research and Development Unit'.

3. Research and Development Unit

Institute strongly believes that Research is a tool for building knowledge, for facilitating learning as well as nourishment and exercise for the young minds. Since its inception, strong industry-institute interaction helped us to update industrial trends and practical hand-on experience to faculty and students. After granting of Autonomous Status by UGC, New Delhi, and Shivaji University, Kolhapur, the activities are strengthened by setting up R & D Unit.

3.1. Activities promoted through R & D Unit

- UG and PG level Academic Projects
- High-Impact and industry sponsored UG and PG Projects
- Development of Research Centres
- Sponsored Research Projects
- Industrial testing
- Technical and Turn Key Consultancy
- Facilitating Intellectual Property Rights
- Research outcomes exhibition
- Support and organize National and International Conferences, Seminars, workshops and Training Programs

The Research & Development (R&D) Unit is specifically setup in the Institute to provide specialized administrative and managerial support for the operation of Research. The Unit is composed of Dean (R & D), coordinators from each academic department and special research promoting cell coordinators; monitored by Director.

3.2. Brief about current status

Along with teaching and academic research leading to UG, PG and doctoral degree, the Institute gives high priority to research and development projects. The approved research centres include Department of Textiles, Mechanical, Electronics, Computer Sc. And Engineering. Institute emphasis on industrial and sponsored research projects which helps in promoting industry interactions and be associated with real life current industrial or social challenges. The nature of activities being conducted are trouble shooting, product, process and design development, investigating problems relevant to industry, turnkey consultancy and socio-economic issues of the country.

To enrich industrial participation in engineering education, the institute has initiated developing infrastructure including sponsored / funded facilities such as TIFAC-CORE in Technical Textiles; Technology Business Incubation with thirst area in Garment and Textiles; Italian Technology Centre for Textile machines; VLSI Design laboratory, BOSCH Automation Laboratory; Entrepreneurship Development Cell; Smart e-foundry laboratory and Mistubishi Automation Laboratory. To achieve enhanced industrial participation in engineering education, the Institute has established Centre of excellence in nonwoven supported by Ministry of Textiles.

The Institute is actively involved in collaborative research with national as well as international industry / universities to remain as a leader in engineering and technical developments and haring knowledge. A large number of collaborative MoUs are under operation. For promoting academic and research activities MoUs have been signed with industries and universities across the globe.

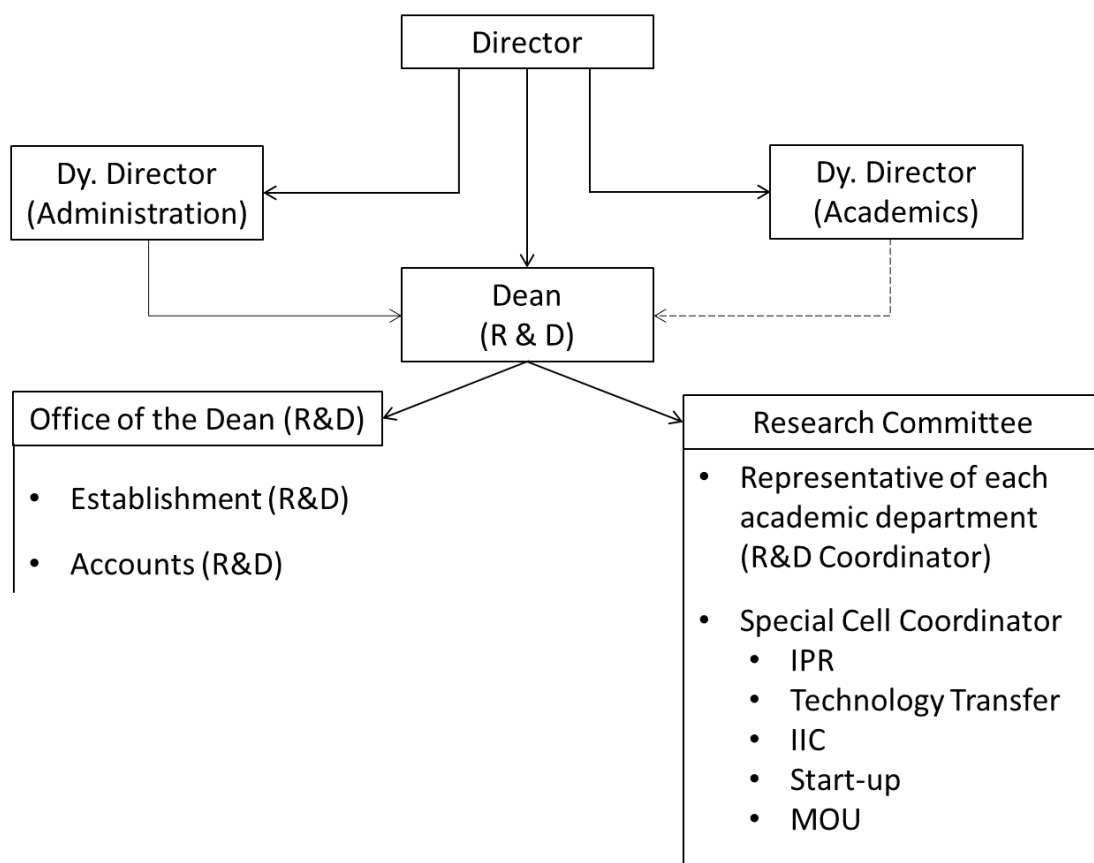
R&D unit plays important role by providing one time seed amount incentive to new faculty for facilitating research, 100% funding for registration of patents as well as publication at journal of repute, 100% funding for presenting research work at international conference held abroad as well as attending national / international exhibitions.

3.3. R & D Unit Organization and Functions

R & D Unit supports administratively and procedural matter for all activities under the scope. The day-to-day activities are monitored by Dean, R & D through his office comprising of Establishment and Account sections and reports to the Director. Also work in coordination with Dy. Director – Academic and Dy. Director Administrative with respective responsibilities.

The active component – the Research Committee comprises of at least one representative of each academic department nominated by respective HoD, and special research promoting cell coordinators.

The organization structure under step-by-step implementation:



The functions of the Dean, R & D are as under:

Facilitating and monitoring:

- Sponsored Research
- Consultancy and Testing
- Technology Transfer Cell and IPR Issues
- Contract appointments under Research / Consultancy Projects
- Payments of honorarium to the students / graduates whose services are hired under the sponsored Research /Consultancy Projects
- Communication and drafting of Agreements / MoUs on behalf of the Institute after seeking approval of the Competent Authority
- Interact with foreign universities, research institutes and companies (jointly with Academics)
- Responsible for IRG and promoting research activity
- Monitoring day to day activities of the IRD Unit
- Interdisciplinary Research and Teaching Programmes
- Periodic analysis of institute and various departments with respect to research activities; peer analysis of leading institutes; and support the Director for formulating policies.
- Periodic follow-up of AICTE and University guidelines and their schemes; the schemes floated by various funding agencies; and support the Director for promoting the same.

4. Sponsored Research

Sponsored research is one of the essential activities of faculty member of the DKTE. The sponsorship funds can be utilized for research infrastructure, manpower, consumables and to contribute overall growth of research ecosystem in the institute.

The entire expenditure for the operation of the project is required to be met by the sponsoring agencies. The responsibility of the operation of the project lies with the PI; the office of the Dean R & D only provides the necessary administrative and accounting support. The procedural guidelines are as follows:

4.1 Project Proposal submission

Normally Sponsored Projects are funded by the Government Agencies like DST, CSIR, AICTE, MHRD, DIT, DAE, ISRO, etc. The proposals need to be prepared in the formats prescribed by the concerned agencies and may include costly equipment, staff requirements, consumable and other requirements. The budgeting needs to be done as per the guidelines / norms of the funding agency and the coordinating faculty member has to present the same to the review committee, if invited.

The faculty member who proposes and receives the project shall be identified as Project Investigator (PI). At the time of application or after sanctioning, depending on subject expertise and quantum of work, Co-PI(s) can be added to accomplish the project in stipulated time. Once the project is sanctioned, the Department and the Institute has to facilitate the faculty member in all aspects.

In case of industrial sponsored project, the format is not available, the concerned faculty member(s) shall draft the proposal. While making an estimate of funds required for project, following heads must be considered to avoid ambiguity and disputes.

- Number of project staff and their salary
- Equipment
- Consumables
- Travel
- Outsourcing of Testing, if any
- Contingency

- Expected time frame
- Institute overhead charges (IOC) – Refer Annexure I

Submission of proposal to office of the Dean R & D

A hard copy of project proposal should be submitted to the office of Dean, R & D prior to submission of documents to funding agency, with following details:

- Hard copy of full proposal
- Recommendation of Head of the academic unit / Departmental research committee
- Acceptance of Co-PI along with respective department head recommendation. In case Co-PI is external, a letter of concurrence from his/her parent organisation
- A copy of MoU / NDA / Agreement with funding agency, if applicable.
- Department head shall facilitate for escalation of completion of project and Dean office shall scrutinise the proposal for expenses head, time frame, manpower, IPR matter and other legal aspects to avoid dispute.
- Once the approval received from Dean office and consent of Director, the project can be submitted to funding agency.

4.2 Initiation of project

PI has to initiate the project by submitting sanction letter of the approved project received from funding agency. The document includes,

A copy of sanction letter from funding agency

A copy of final proposal approved by funding agency (along with modification, if any)

A request for fund transfer to the Director

Dean R & D office shall examine the terms and conditions stipulated by the sponsoring agency, the same mentioned in proposal and institute rules. In case all the requirements are satisfied, office shall initiate through proper channel the fund transfer to R & D account and approval for expenses heads, post creation for project staff and intimate the same to PI and Co-PI. Further, Dean office will allocate Sponsored project code for further communication and transactions.

4.3 Submitting the progress reports and utilization certificate

The responsibility for the operation of the project lies with Principal Investigator. It is his/her responsibility to prepare and submit regular progress reports. A copy of the same shall be submitted to office of Dean R & D for the record purpose.

Utilization certificate may be acquired from office of the Dean R & D. the PI shall propose office of the Dean (R&D), two weeks prior, as it has to be issued in consultation with Account Officer and nominated Chartered Accountant.

Office of the Dean R & D can be asked for provisional statement of account of the project.

4.4 Project completion report

The PI is responsible for submitting the final report of the work done on the sponsored research project within a specified period (as per sponsoring agency) on the completion of the project. The copies of the report will be submitted by the PI directly to the sponsoring organization with a copy to the office of Dean R & D for record purpose.

4.5 Project closure

The request for project closure shall be submitted to Director through office of the Dean R & D. At the time of project closure, there shall be zero balance in the project account. Any positive balance in the project account shall be disbursed as per the provision in the project scheme. The balance amount either transferred to the funding agency at the time of closure of the project or disbursed in to research development fund (RDF).

5. Consultancy

Consultancy is applied research activity involved technical / scientific advice, time bound and focused research inputs, investigation or designing aspects. A request from industry, Government body or public sector undertaking received for carrying out such technical activity referred to/by the Director, Dean (R&D) / head of the Department to suitable faculty member(s) for providing a solution to a problem is termed as consultancy.

A project may be taken up as a Departmental Consultancy Project by the concerned department. A project referred to an individual faculty member may be taken up as departmental consultancy project at the request of the concern faculty member. Normally, consultancy project involves multidisciplinary / inter departmental inputs or use of extensive institutional facilities or expected to run for long period may be treated as departmental consultancy projects. Such project may involve faculty members from different departments.

All consultancy projects taken up by a faculty member on behalf of Department / institute will be treated as individual consultancy projects.

5.1 Proposal submission

The institute encourages faculty members to undertake consultancy jobs. The entire expenditure for the operation of the project is required to be met by the client organization. The responsibility for the operation of the consultancy job lies with the Consultancy Incharge (CI). The office of the Dean (R&D) provides the necessary administrative support.

The Consultancy Jobs have been categorized into two types:

Type I: The consultancy job based on advice / report for Product / Process / system development and do not require laboratory facilities of the Department Institute.

Type II: The consultancy project involving the use of laboratory facilities of the Department / Institute and will cover processing, measurement, testing and Interpretation, design checking, field work and developmental work.

Consultancy Incharge: Only regular faculty members of the Institute can be the Consultancy Incharge of the Consultancy Job. Emeritus fellows, visiting faculty, etc. can be

involved in the consultancy activities as Co-CI up to the age of 70 years. The Co-CI(s) should obtain concurrence of HoD of his / her academic unit before accepting the role of Co-CI.

The minimum value of the Consultancy Job that can be taken up by the CI is Rs. 20,000/- (excluding taxes). The budget for the consultancy job may be prepared keeping in mind the following key factors:

- Expenses –
 - a. Recurring: Salary of staff, labour wages, honorarium to staff / consultants, travel, contingency and consumables
 - b. Non-Recurring: Equipment, non-consumable material
- Fees for scientific and technical advice
- Administrative overheads (IOC)
- Taxes

The CI is obligated to submit the consultancy proposal including following documents to the office of Dean (R&D):

- Communication (letter/email) of client clearly indicating title of job, scope of work, duration, project cost and deliverables (or signed / approval of project proposal prepared by CI)
- Terms and conditions, MoU or agreements, in case desired by client and acceptance of standard terms and conditions of the institute by client.
- In case an external consultant / professional agency is being / likely to hired:
 - a. No objection certificate from employer and availability when needed
 - b. Resume of external consultant or Company profile of external agency
 - c. Job responsibility of external consultant / agency.
- Approval of concern HoD of academic section for accepting consultancy job.

The office of the Dean (R&D) shall examine the proposal for budget, staff and manpower, terms and conditions or special requirements and forward for approval for competent authority. Once the proposal is approved, Dean office will allocate consultancy project code for further communication and transaction.

5.2 Operational guidelines

Once the payment received from concern agency, CI can request to the Director for fund transfer to R & D account and utilize for the project activity. The responsibility of the operation of the consultancy job lies with the Consultancy Incharge (CI).

It is CI responsibility to prepare and submit regular progress report to funding agency at specified interval of time. A copy of the same shall be submitted to the office of Dean (R&D) for record purpose.

The utilization certificate required by funding agency may be procured from office of the Dean (R&D). The dean office can be asked to provide provisional statement of account of the consultancy job.

5.3 Consultancy completion report and closure:

The CI is responsible for submitting the final report of the work done on the consultancy project within a specified period (as per proposal) on the completion of the consultancy job. The copy of the report will be submitted by the CI directly to the concern funding agency with however, a copy of report with details of measurements, calculation made as well as deliverables of consultancy job has to be submitted for record to the office of Dean (R&D). In case the information contained in the report is confidential, kindly submit a summary report along with client's letter for completion of job to the Dean office.

5.4 Distribution of funds

For Individual Consultancy projects/ Departmental consultancy projects

Consultancy Type- I:

After consent and acceptance of the project, the project amount should be received in the name of Director, DKTES Textile and Engineering Institute, Ichalkaranji. It shall be deposited in the institute account. After initiation of consultancy job, the funds shall be transfer to R & D Account. The distribution of this amount should be done by Dean's office as given below:

- Total fee received from client = I
- Amount of Institute Overhead Charges = $0.25 \times I$

(Out of this 25 % share of the institute, the amount shall be deposited in IRG, DDF, RDF and PDF as per Annexure 1).

- Out of the 75% amount, after meeting all the expenses in connection with the consultancy project - as per proposed and sanctioned account heads; the balance amount shall be disbursed to the CI(s) / consultants, as decided by the concerned faculties / HoD / Director (depending on individual / Departmental / institutional consultancy project).

Consultancy Type – II

- Total fee received from client = I
- Amount of Institute Overhead Charges = $0.25 \times I$
(Out of this 25 % share of the institute, the amount shall be deposited in IRG, DDF, RDF and PDF as per Annexure 1).
- Expenses including concerned staff involved = $0.25 \times I$ (Max., approx.). After meeting the expenses and disbursement to staff, left over amount will be deposited in the account of the Institute.
- Concerned faculty / PI-CI (s) is = $0.50 \times I$

Office of the Dean shall verify the budget heads, and guide accordingly.

Service tax (at prevailing rates) shall be charged extra. The R and D office will deduct 25 % and service tax in advance and then the balance amount would be available to HOD/PI for project expenditure and remuneration to concerned staff and faculty. The PI has to submit the audited project expenditure within three months after the project is completed and report submitted.

In special cases, wherever necessary, Director's approval shall be obtained for variation in norms.

Review

Wherever a certain limit has been stipulated in terms of an absolute sum (and not in terms / by way of percentages), this will be reviewed by the Dean (R&D) every year and the recommendations made for the approval of the Director.

6. Hiring man power under sponsored research and consultancy

Staff can be recruited in Sponsored Research Projects / Consultancies and other Miscellaneous Projects in three categories, as per the approved guidelines of institute and notification by office of the Dean (R&D). Office of the dean-R&D shall verify the sanctioned proposal for various budget heads and Man-Power provision.

1. Casual appointments
2. Yearly contractual appointments
3. Assistantship

6.1 Casual appointments:

This option is to assist faculty member in hiring the required staff with minimum procedural work and initiate the research promptly.

The PI or CI may hire qualified staff(s) on casual basis (for three months maximum) against vacant position in the project to carry out a specific and time targeted job. The request for the same may be made to the Director through the office of Dean (R&D) along with following details:

- Project and PI / CI details
- Details of the person to be hired – biodata and qualification, experience details
- Appointment details including duration, purpose and payment etc.
- Nature of job, deliverables and expected qualification to perform the same
- Justification in case the appointment is beyond the permissible limit of three months

The qualification and salary of the appointee needs to be consistent with approved R&D norms.

6.2 Yearly contractual appointments

Candidate(s) with approved qualifications can be hired on yearly contractual basis to be renewed every year till the duration of the project. In this case, the project position has to be widely published by placing advertisements in the Press, website, and options on internet etc. In case funding agency mandate for wide circulation and mentioned in approval process, the terms shall be followed.

PI / CI shall submit following details for drafting advertisement to office of the Dean (R&D).

- Project details including title, duration and funding agency
- PI / CI details including name, department
- Type of selection process (walk in test / interview or shortlisting / test / interview)
- Details of post including post, number of posts, pay slab, qualification and experience expected / preferable

Proposed qualification and experience need to be equivalent or higher than institute R & D norms and pay slab as per R & D norms.

Office of the Dean (R & D) shall get approval for publishing advertisement and process within two weeks after submission of details.

Selection process:

1. Selection by 'Walk in test / interview'

This mode is preferred when limited number of candidates are expected to appear. The PI / CI shall from selection committee, date, time and venue for the test / interview along with advertisement details.

Selection committee: PI / CI shall formulate selection committee composed of minimum four members as below:

- i. One Professor from institute nominated by Director – Chairman
- ii. Head of the concern department – Member
- iii. Concerned PI / CI – Member secretary
- iv. Co-PI / Co-CI, if any (optional) – Member
- v. One faculty at the level of Associate Professor or above from outside of the department as available to PI/CI
- vi. One external expert, if applicable (optional) – Member

Note: External expert (Sr. vi) will be introduced only if required by sponsoring agency and will be nominated by Dean (R&D) on recommendation of PI / CI.

PI / CI along with selection committee conduct the test / walk in interview. The minutes of selection committee are to be submitted to the office of Dean (R&D) and printed copy along with signature of committee members, name(s) of candidate(s) selected, name of

candidate in waiting list (if desired), proposed salary. Once the minutes of selection committee received by Dean office, the verification of certificates and norms of salary shall be verified by Dean office.

Dean office shall issue appointment letter to selected candidate(s) along with proforma of check-list including photocopy of certificates, joining report, medical fitness certificate and character certificate. Once the candidate submits these details his/her joining will be notified.

2. Selection by call for applications

This option is preferred in case a large number of applicants are expected to apply for the advertised post. The candidates are given at least 15 days' time to submit their applications from the date of issue of advertisement.

The PI/CI will receive the applications and shortlist the candidates on the basis of minimum advertised qualifications / experience. However, the shortlisting criteria may be equivalent or higher than the minimum advertised criteria depending upon the volume of response. The PI/CI would form Screening Committee.

Screening committee shall be composed by PI / CI as

- i. One Professor from institute nominated by Director – Chairman
- ii. Concerned PI / CI – Member secretary
- iii. One faculty at the level of Associate Professor from the department as available to PI/CI

The PI/CI shall submit the minutes of screening committee to the office of Dean along with the date, time and venue for written / skill test and interview. The interview letter shall be sent at least 15 days in advance to the shortlisted candidates by speed post, email or both. Notice of the interview along with the list of shortlisted candidates will be displayed on Institute website and R & D notice board.

Selection committee: PI / CI shall formulate selection committee composed of minimum four members as below:

- i. One Professor from institute nominated by Director – Chairman
- ii. Head of the concern department – Member

- iii. Concerned PI / CI – Member secretary
- iv. Co-PI / Co-CI, if any (optional) – Member
- v. One faculty at the level of Associate Professor or above from outside of the department as available to PI/CI
- vi. One external expert, if applicable (optional) – Member

Note: External expert (Sr. vi) will be introduced only if required by sponsoring agency and will be nominated by Dean (R&D) on recommendation of PI / CI.

PI / CI along with selection committee conduct the (screening test followed by) interview. The minutes of selection committee are to be submitted to the office of Dean (R&D) and printed copy along with signature of committee members, name(s) of candidate(s) selected, name of candidate in waiting list (if desired), proposed salary. Once the minutes of selection committee received by Dean office, the verification of certificates and norms of salary shall be verified by Dean office.

Dean office shall issue appointment letter to selected candidate(s) along with proforma of check-list including photocopy of certificates, joining report, medical fitness certificate and character certificate. Once the candidate submits these details his/her joining will be notified.

It is essential that the candidate shall submit the joining letter duly forwarded by PI / CI to the dean (R&D) office for further administrative process.

3. Assistantship

A part / full-time UG or PG student can be appointed for sponsored project or consultancy activity, after recommendation of Guide / PI / CI and concern HoD; finally approved by Director. The part time UG student shall work at least 7 hours per week and that of PG 21 hours per week. A full time UG student can be appointed only during vacation period whereas second year PG student working on same project can be appointed as a full-time project staff, for stipulated time. (For further details refer section 10.3)

7. Travel under project

The PI / CI and other project staff are entitled for national and international travel as per entitlement, subject to availability of funds under the budget head 'Travel' of the project. Sanction of the Head of the academic department is required for being away from the institute. The request for national / international travel needs to be approved from the Director and shall be submitted to office of the Dean (R&D) for administrative procedures.

The PI / CI shall refer institute guidelines for travel entitlements and boarding – lodging entitlements. All are allowed to travel below the entitlement class of travel. The retired faculty continuing as Co-PI / Co-CI can avail travel facility as per their last entitlement in services.

7.1 Local travel

The hire taxi within periphery of 50kM from institute shall be treated as local travel. Within single project PI/CI or staff can avail this facility four times in a month. Any faculty having two or more projects can travel six times in a month for the project / consultancy work without prior travel approval subject to permission of competent authority for travel on-duty.

The Taxi or Auto can be hired as per institute norms. It is also permissible to use own vehicle and claim for fuel charges as per institute norms.

Any relaxation required; prior approval of Director is essential.

7.2 National and International travel

The PI can recommend travel expenses to any faculty member, staff and students of the institute engaged with a project anywhere in India or out of India, subject to expenses limited to their respective entitlement. This is subject to the approval of the concerned authority. PI / CI can recommend prior booking of tickets including *tatkal*, cancellation of travel tickets etc.

The approval letter shall include Project title, PI or CI details; name of the faculty / staff / student who has to travel; organisation to be visited; justification for any relaxation desired from travel norms of institute.

The PI or others may travel abroad from a project only if a specific provision is available for international travel in the project sanction. In case the funding agency is organisation under the Government of India, travel by air is allowed only by Air-India flights.

PI can recommend for paying of registration fees for international conferences from research projects, for approval of Director.

7.3 Travel Advance

In order to meet upcoming expenses during travel, an advance may be drawn providing following details:

- Project details including code, title and duration
- PI/CI details including name and department
- Details of faculty / staff / student likely to travel
- Institute(s) to be visited and expected fund requirement
- Total amount required in advance
- Details of the staff to be paid the advance including name, designation, and department
- Ticket booking details

Once the advance is approved by competent authority, the requested amount shall be handed over to the concern staff. All such advances need to be adjusted within fifteen days from the date of completion of journey.

7.4 Out-of-Pocket expenses for Field Work

The payment of Out-of-Pocket-Expenses to the faculty and other staff proceeding on fieldwork connected with the consultancy projects will be admissible on the following conditions:

- (i.) Out of pocket expenses will be admissible for the 'field work' which will comprise of collection of field data from natural environment, mapping of the area, installation and maintenance of instruments in the field, performance of test in the field etc. for the purpose of sponsored research or industrial consultancy.
- (ii.) Out-of-pocket expense will be payable for the actual period of work at the work place and will not be admissible for the journey period.
- (iii.) Out of pocket expenses will be permitted in addition to D. A.

(iv.) The rate of payment of out-of-pocket expenses will be as under:

Category of staff and per day Rate

Faculty Rs. 250/- per day

Staff Rs. 75/- per day

7.5 Travel expenses reimbursement / settlement

The claim for either reimbursement of expenses or settlement of advance may be submitted in institute prescribed format including following details:

- Travel approval details (ignore if submitted in the form of On-Duty (OD) for travel)
- Details of faculty / staff / student travelled
- Purpose of journey and details of advance drawn, if any
- Details of project, PI or CI under which bills are to be settled
- Tickets and Receipts of expenses
- Signature of claimant / approval signature of PI / CI

A duly signed hard copy in institute format along with the original bills related to expenditure incurred during the travel are to be submitted to the office of Dean (R & D) for settlement. The balance amount, either from travel advance or payable to claimant as may be the case, shall debited / credited directly to the account of staff after verification and account procedure within two weeks from submission.

8. Procurement under projects and consultancies

The Comprehensive Stores & Purchase Rules of the Institute available at Stores are to be followed for purchase of equipment and consumables from funds of the sponsored and consultancy projects. This section describes procedural matter of the procurement under projects.

8.1 Purchase committee:

For making a purchase the first step is to form a Purchase Committee (PC) comprised of following members:

- A faculty member at the level of Professor nominated by Director – Chairman
- A person from each Store or Account section of Institute nominated by Director – Members
- PI or CI of the concern project – Member Secretary
- Any other faculty member of the institute as a subject expert, in case desired by PI/CI – Member (optional)

Purchase committee shall observe institute procurement guidelines and suggestions mentioned below for the procurement under sponsored projects or consultancy budgets.

8.2 Small purchase: Purchase upto Rs. 25000/-

In general, goods or services can be purchased without quotation upto an amount of Rs. 25,000/- with the approval of Director and recommendation of PI/CI. Cash payment are allowed upto Rs. 5000/- with approval of PI / CI.

8.3 Medium to large amount purchase: Purchase above Rs. 25000/-

The procurement above Rs.25000/- shall be processed as per institute procurement guidelines. In case sponsoring agency is Government of India, the GFR 2005 rules shall be followed, however, sponsoring agency's terms and conditions, if any mentioned in approved proposal shall be preferred.

For major procurements a minimum of three quotations shall be invited by providing details project details and goods specifications. The assistance from office of the Dean may be procured for publications of tenders in case of requirements; however, for routine activity PI / CI may complete with the help of store and purchase section of the institute.

PI / CI shall submit the minutes of PC along with following details to the office of the Dean (R&D) for further procedure.

- i. Purchase details – The minutes of PC and cost details of the item(s) to be procured.
- ii. Nature of purchase – Consumable or non-consumable
- iii. Details of specification to be procured
- iv. Whether the proposed equipment is /are included in the list of equipment approved by funding agency
- v. Budget availability under head – recurring / non-recurring of the project

In case of tendering process, along with above information estimated cost and taxation shall be submitted along with item in sr. (v), except items in sr. (i), for provisional matter.

These purchases procedure is applicable for purchase / upgradation / buyback of equipment, fabrication, components, office equipment, consumables, stationery, Annual Maintenance Contracts for goods and services.

For all purchases, please make sure that the bills have S. No., Date and TIN/PAN/GST no. of the vendor/supplier.

As per current regulation, all imports (equipment, spare parts or consumables) regardless of their value should be processed through Central Stores and Account Section. In case of urgency, prior approval of the competent authority is required to be obtained before making any purchase in foreign currency through internet, / credit card etc.

8.4 Proprietary item procurement:

In cases of procurement of specific item(s), it may be procured from the proprietary source. In case three quotations are not received, the date for inviting quotations may be extended by 15 days. Finally, if less than 2 quotes are obtained approval of competent authority is required for purchase on the basis of single quote. The request shall include following details:

- Name of the product
- Type of item: Hardware product (with/without embedded software); software Product, an attachment to existing facility, specialized service or any other specific nature.

- Specification(s) that makes the product proprietary
- Name and address of the Manufacturer
- The purchase committee shall certify that the specifications of proprietary items are critical for the purposes of the specific project or laboratory.
- In case of government sponsorship for project / consultancy –
 - Recommendation / approval of sponsoring agency and / or
 - If possible, PC may support their recommendation with a recent (last one year) purchase orders by any other public Institution indicating successful financial negotiation with the vendor.

Once the approval is obtained, all the details shall be submitted to the office of the Dean (R&D) for record purpose and further administrative procedure.

9. Other requirements

9.1 SAMPLING

In case a consultancy project involves testing of samples which are to be done by the investigator and not supplied by the sponsor, it will be necessary that at least one of the Investigators should be present at the time of drawing samples, so that authenticity of the samples and sampling process is ensured.

9.2 LIMITATIONS

It is expected that Institute will accept only those Consultancy projects, which provide challenge befitting professional and academic competence of the faculty members.

9.3 LARGE CONSULTANCY PROJECTS

For Projects with an outlay of more than Rupees 10 lakhs, the PI will ensure that the project proposal to be submitted to the sponsoring agency is vetted by the Head of the Department and Dean (R & D). The projects of value more than Rs. 20 lakhs would be monitored by a central monitoring committee.

9.4 LIABILITY

In case any legal dispute arises between the Investigators(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 =

(total amount charged for the project) – (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 / 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 ongoing project, or at the end of the 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 IRG Head of account. 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.

9.5 DISAGREEMENTS/DISPUTES

5.1 Any disagreement within the Institute and concerned party arising at any stage of a Consultancy project will be resolved in consultation with Dean (R& D) / Director 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 consultancy 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 at Ichalkaranji / High Court at Mumbai.

9.6 ARBITRATION

In the event of any dispute or difference at any time arising between the parties relating to Consultancy project or any other clause(s) or any content and liabilities of the parties or other matters specified there in or with reference to anything arising out of the Consultancy or otherwise in relation to the terms, whether during the Consultancy or thereafter, such disputes or differences shall be endeavoured to be resolved by mutual negotiations, between investigator(s) and said party. If, however, such negotiations are in-fructuous, 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.

9.7 PUBLICATIONS OF RESULTS

PI will have the right to publish the work carried out by him unless the sponsors have an agreement under which their prior permission is required. Such agreement may be done a priori by both the parties concerned.

9.8 IPR PROTECTION

The work which can result into potential IPR and proceedings thereafter, shall be the joint right of institute and concerned party. The work can be registered on the individual's name; however, rights would be reserved with the institute, or as per the agreement made prior to commissioning of work.

10. Special actions

10.1 Budget head revision / Budget revision / tenure extension

The request for Budget head revision / Budget revision / tenure extension can be submitted to office of the Dean (R&D) with following details:

- Project / consultancy details
- PI / CI details – title, duration and funding agency
- Type of revision
- Approval of funding agency and the Director

10.2 Change in PI / CI

The request for change of PI / CI can be made for the following reasons:

- Temporary change due to the PI being on sanctioned leave for more than 3 months
- Permanent change due to any other reason

The details shall be submitted to the Director of the institute.

- Project details including title, duration etc.
- PI / CI details
- Role of proposed PI (actual PI/ acting PI)
- Proposed PI / CI details
- Justification for the change
- Approval of the funding agency

The above details shall be submitted to the office of the Dean long with the approval of Director.

10.3 Honorarium

The PI / CI can engage (part-time) regular staff of the institute for project work on Honorarium basis. The payments are made as per their entitlement as notified by the institute. The expenditure involved shall be met from the project budget provision under staff Honorarium. Concerned head of the academic unit shall approve the workload. PI / CI shall clear nature of work and work load.

Full time Ph.D. / M. Tech. / B. Tech. students of the institute can be paid honorarium from projects/consultancies for providing assistance in project activities, as per institute norms (full-time / part-time).

The engagement of PG student with recommendation of Guide / PG coordinator and of UG student with that of HoD and approval by Director shall be submitted through PI / CI to the office of the Dean (R&D) along with details such as name, program, department, PRN, PAN and *Adhar* details, Bank Account any other information required by office.

The PI / CI shall declare authenticity of information and notify budget head, monthly amount, terms and period of engagement.

Office of the Dean shall verify documents, budgetary provision and institute norms and carry out administrative procedure. Every month, student shall submit satisfactory report signed by PI / CI in prescribed format prior to fund transfer.

No honorarium shall be paid to project staff employed in sponsored projects / consultancy job or staff employed in office of Dean (R&D).

11. Testing assignments

11.1 project involved only testing

A project involving merely testing could be taken up by a Department, only if such requests are not repetitive in nature. Certain testing assignments specially demanded by some Govt. / Public Sector undertakings / organizations shall also be taken up through the institute. Such testing assignments shall be approved by concerned HOD. The distribution of testing amount shall be as per guidelines mentioned below:

Testing:

- Total fee received from client = I
- Amount of Institute Overhead Charges = $0.25 \times I$
(Out of this 25 % share of the institute, the amount shall be deposited in IRG, DDF, RDF as per Annexure 1).
- Remaining Amount (B) = $0.75 \times I$
- Total expenditure on the testing = E (E should not exceed $0.5 I$)
- Saving (S) = $(B - E)$
- Faculty involved = $0.30 \times S$ (one or more faculty may be involved)
- Concerned HOD = $0.10 \times S$
- Director = $0.10 \times S$
- Staff involved (directly and indirectly) = $0.58 \times S$
- Accounts Section = $0.02 \times S$

The test reports shall be signed by the concerned HOD and faculty involved.

Service tax (at prevailing rates) to be charged extra and paid separately per testing work. In special cases, wherever necessary, Director's approval shall be obtained for variation in norms.

11.2 Routine testing

Institute is promoting routine testing facility to local or domestic industry for technical support and to increase industry liaison. The reports are to signed by staff carrying out testing, testing in-charge and Director. The amount generated shall be utilized as follows:

- Total fee received from client = I
- IRG = $0.5 \times I$
- DDF = $0.3 \times I$
- Staff involved (directly and indirectly) = $0.18 \times I$
- Accounts Section = $0.02 \times I$

Service tax (at prevailing rates) to be charged extra and paid separately per testing work. In special cases, wherever necessary, Director's approval shall be obtained for variation in norms.

12. R & D Schemes for faculty

12.1 Best researcher award policy for faculty

Academic activities are time bound and adheres to academic calendar; however, research is passion based and required time in conducive environment. Appreciation and recognition are one of the keys to motivate the faculties and to create positive competition, institute has implemented the 'best researcher award' scheme with monetary benefit. A faculty may spend the amount for supporting research on his/her own decision. Such recognitions are essential as it helps directly / indirectly to increase industry interactions, knowledge generation, quality of teaching. Therefore, to identify the efforts put in for research, DKTE TEI adopted following factors with their respective weightage as a policy.

- Publications
- Funded projects
- Consultancy jobs
- IPR
- Interdisciplinary projects

A. Publications

The research or review publications are results of consistent hard work put in the same field for longer time. The number of paper either in national / international journals/conference matters. The journal shall be included in web of science, Scopus or google scholar having ISBN number. Only published article shall be considered for claim and not communicated (as they can be considered in subsequent years). The weightage for each publication for claim is:

Activity	Level	Marks
Peer reviewed National journal	1	5
Peer reviewed International journal	2	10
National conference	3	5
International conference	4	10
Published but not included in above	0	3
<i>Please suggest any missing criteria</i>		

Faculty shall claim cumulative marks of each publication(s) published in same academic year.

Additional weightage is given in **consistency in publications** in journals only, as:

Activity	Level	Marks
Publication in H-indexed journal / web of science / Scopus / google scholar journals (current year claimed as above) also in		
Previous year	1	5
Previous two years	2	10
Previous three years	3	20

This weightage is given for consistent efforts resulted into at least one publication in approved journals. The number more than one NOT a measure of consistency.

The **quality publications** are quantified on the basis of H-Index. The **additional** weightage is given as follows:

Activity	Level	Marks
H-index 1 to 5	1	20
For increase in H-index by unity	2	+3

Faculty can claim his / her current mark status every year.

B. Funded projects

Activity	Level	Marks
Research proposal submitted to funding agency	1	5
Proposal sanctioned and fund granted < Rs.1L	2	20
Proposal sanctioned and fund granted > Rs.1L and < 5L	3	30
Proposal sanctioned and fund granted > Rs.5L	4	40*

* 5 marks can be claimed for each of additional Rs.1L.

If faculty submits more than one proposal in one academic year and attains only level 01 in each proposal then faculty shall claim maximum 05 marks irrespective of number of proposals submitted.

If faculty submits more than one proposal in one academic year and attains level greater than one in each submitted proposal then faculty shall claim marks for each proposal according to level attained.

C. Consultancy jobs

Activity	Consultancy amount received		
	Up to Rs.25,000/-	Rs.25,000/- to Rs.50,000/-	More than Rs.50,000/-
Level	1	2	3
Marks	20	30	30 + (10 for each additional Rs.50,000/-)

Under this component faculty can claim the marks for revenue generated / received through consultancy work done for industry. In case of long-term consultancy job (more than a year), claim shall be made based on the amount received in respective academic year.

The amount received under testing assignment shall NOT be claimed.

D. Patent filing

Activity	Level	Marks
Provisionally filed patent	1	10
Complete specifications filed	2	20
Patent granted	3	30
Patent commercialized and revenue generated < 1L	4	40
Patent commercialized and revenue generated > 1L	5	50 (+5 for every additional 1L)

Patent is result of long term and consistent efforts of research activity. Usually, one or two levels in the patent filing activity may be completed in each academic year. For same patent work, faculty can claim the marks in every academic year if next higher level has accomplished.

Decision regarding filing of patent shall be taken by IPR committee of Dean (R&D).

E. Guiding interdisciplinary projects

Activity	Guiding and successful completion of one Interdisciplinary project	Award winning (1 st , 2 nd or 3 rd) interdisciplinary project in national level student competition.
Level	1	2
Marks	20	30

Both the faculty members involved in same interdisciplinary project can claim separately.

Respective HoD along with two faculty members (one may be from other interdisciplinary branch) shall recommend the interdisciplinary status and successfully completion of project.

Faculty can claim separate marks for guiding more than one interdisciplinary project.

12.2 Incentive scheme for Research publications

in national conference for faculty

Entire expenses incurred for; Registration fees maximum up to Rs. 5000/- and TA / DA as per institute rule, shall be reimbursed from institute. (once in a calendar year)

In case, faculty member wishes to attend second national conference, registration fees up to Rs. 2500/- and TA / DA as per institute rule shall be reimbursed. (once in calendar year)

in international conference for faculty

Within India: Faculty member can attend such conference once in a calendar year; the registration fees up to Rs. 10,000/- and TA / DA will be reimbursed as per institute rules.

Outside India: Faculty member can attend such conference once in three years. Entire registration fees and air travel expenses will be reimbursed from institute. DA and local travelling expenses for the conference days shall be paid as per institute rules; DA is based on country visited.

In such cases, if faculty has plan to visit other academic institute or industry for collaboration, he/she may extend his stay with prior approval of Director. Institute shall reimburse these expenses.

Faculty member can attend such conference second time within three year with prior approval of Director.

in National conference for PG student

PG student will be paid registration fees maximum up to Rs. 2000/- once in academic year for their paper presentation based on dissertation.

M. Tech. student can opt this facility once in his tenure whereas Ph.D. student can avail three times in his tenure. The relaxation may be given to this condition with guide recommendation and approval by Director.

12.3 Sanction / receipt of Research project grant from Govt. / private funding agency

Under this scheme, Principal investigator is eligible to receive the incentive amount equivalent to Rs. 5000/- or 0.5% of the total fund sanctioned, whichever is more.

For this claim, minimum sanctioned amount shall be equal to / more than Rs.5Lakh.

When more than one person is working on the project, the amount will be equally divided amongst the team members or can be decided case to case basis by Director in consultation with PI.

Out of total incentive amount, first instalment (50%) will be paid after receipt of sanction letter and receipt of instalment of amount in full / partial as per the project proposal / agreement with funding agency. The balance amount (remaining 50%) will be paid after completion and closing of project.

This incentive will be paid by institute, not from project funds.

12.4 Patent filling

Faculty proposal for filing patent will be verified by research committee comprised of Dean R&D, Coordinator IPR and a subject expert nominated by Director. The entire expenses incurred during filing IPR will be borne by institute.

Incentives for patent filing

Granting of patent by IPO:	Rs. 20,000/- (borne by institute)
Commercialization of patent:	will be decided case to case basis by R&D committee and approval of Director.

13. R & D Schemes for students

13.1 Financial support for prototype development like Go-cart vehicle, working models

One Students team from institute, participating in vehicle designing competition will be supported by institute with financial aid up to Rupees One Lakh, once in academic year. One team will be recommended by HoD, Mechanical along with departmental research committee. The funds will be utilized for fabrication of vehicle and/or registration in competition.

A UG/PG project having potential to promote to funding agency, project competitions may be provided financial aid up to Rs.25,000/- from institute, for development of prototype / working model. The application of faculty for grant, duly scrutinised by departmental research committee and concern HOD, may forward this to Dean (R&D). Maximum one project from each department shall receive grant in aid, depending on availability of funds.

13.2 Financial support for analytical / specialized testing to potential projects

UG student's final year project completed to maximum extent and scored well in internal valuations (Sem. VII) are eligible for this grant. This shall be utilized for analytical testing purpose only. The concern faculty can apply along with the bills, further Departmental research committee and concern HoD may recommend maximum three applications per academic year, for receipt of the grant, to the Director. The 50% amount of analytical / specialized testing or Rs.5000/- (whichever lower) may be given through the faculty guide.

13.3 Financial support for paper presentation in reputed conference

Maximum three papers from each academic program will get reimbursement up to Rs. 3000/- each towards payment of registration fees and travelling bills for the conference. Students need to submit application signed by concern HoD to the office of the Dean (R & D). Students must enclose receipt of registration fees, paper presented, conference attendance certificate along with application.

13.4 Travelling support to students

Final year B. Tech. students will be given reimbursement of one-way travel expenditure (Bus / II-Class Train fare) for attending conference or participating project competition within India. Student must seek prior approval from concern

HoD. Application enclosed bills must be submitted with HoD recommendations to the office of the Dean (R&D).

13.5 Financial support for interdisciplinary projects

Maximum 10 interdisciplinary projects at institute level will be selected for funding with maximum support of Rs.15,000/- each. The student application, recommended by guides from different departments and any one HoD shall be submitted to office of the Dean (R&D).

13.6 Support for filing patents

Students are required to present the concept with complete working prototype / model / mechanism / functioning / software to the IPR committee. If the concept is selected for filing patent, the entire expenditure on filing patent will be done by the institute. student / concern guide shall approach the office of the Dean along with concept details and IPR committee report to the office of the Dean (R&D) for administrative procedure and support.

The applications / proposals received at office of the Dean (R&D) shall be scrutinized for the information furnished; subsequently forwarded to the Director for approval.

14. Annexures

Annexure 1

Institute Over-heads Charges in sponsored project / consultancy and its utilization

As per approved guidelines, of research project / consultancy job, of the institute, while submitting the project proposal, PI / CI shall consider institute overhead charges (IOC) at 25% of the total budget of the project, except Govt. sponsored project schemes where budget heads are pre-defined. The accounts created and utilization of amount generated would be as follows:

Account title	Details	Operated by, and/or in consultation with Director
IRG	Institute internal revenue generation	Director
DDF	Department Development Fund	Head of the Department
RDF	Research and Development Fund	Dean (R & D)
PDF	Professional Development Fund	Individual faculty member

IRG

Part of the institute overhead charges shall be transferred to account under expenses head - IRG account. The PI utilize institute infrastructure and facility for carrying out project activity. The fund generated under IRG shall be utilized by Director institutional infrastructure / facility development.

DDF

Part of the institute overhead charges shall be transferred to account under expenses head - DDF account. The fund generated under DDF shall be utilized by concern HoD in consultation with Director for departmental facility development with respect to research promotion, machinery maintenance or upgradation, consumables etc.

RDF

Part of the institute overhead charges shall be transferred to account under expenses head - RDF account. The fund generated under DDF shall be utilized by Dean (R & D) in consultation with Director for facilitating research activity including stationery and legal facility for project proposal writing, loan to PI for payment of staff in case of delay in fund

transfer from sponsoring agency (on PI request), promoting IPR facility or promoting any other facility supporting to research activity.

PDF

To support the professional activities of the faculty of the Institute, Professional Development Fund (PDF) shall be created at the Institute expenses head for faculty member and centrally managed by office of the Dean (R & D).

Creation / Generation of PDF

- i. Part of the Institute Overheads Charges of Sponsored Research Projects / consultancy is distributed amongst PI/CI/Co-PI/Co-CI(s).
- ii. Unspent amount of the consultancy jobs as per the recommendation of CI.
- iii. Part of the unspent balance of the Symposium / Conference / Workshop etc. organized by the Institute, as per the recommendation of Coordinator.

Utilization of PDF

Faculty may utilize the fund for following activities, with prior approval of Director:

- TA/DA and registration fee for attending conferences in India or abroad
- Professional activity promoting sponsored research project/consultancy;
- Membership fee for professional societies;
- Purchase / upgradation / insurance (as applicable) of professional books, videos, software, laptops, PCs and accessories, equipment, office and lab furniture, electronic gazettes etc. (The Upgradation/Replacement of electronic items / equipment is allowed after two years of its purchase provided that the earlier one has been written-off as per Institute rules)
- Recruitment of project staff by PIs/CIs as per IRD norms for a short-term period max. for six months in a financial year
- Any other academic activity with approval of Director

All purchases shall be made following the Institute Purchase Rules. The procured items shall be properly accounted for and shall remain the property of the Institute.

If funds are available in PDF and concern faculty retires, he can utilize the amount for three years from his retirement date.

Distribution of IOC:

Below is the percentage of amount, to be distributed under different account heads, from the fund received under – IOC – of sponsored project or consultancy job.

Type of Project	IRG	DDF	RDF	PDF
Sponsored Projects	50	30	10	10
	If honorarium is drawn by PI			
	50	10	30	10
	If honorarium is NOT drawn by PI			
Consultancy Job	50	30	10	10
Symposia	50	30	10	10
Testing assignment (Not routine)	50	40	10	0

LEFT OVER POLICY WORK

- CONFERENCE / SEMINAR / WORK SHOP ORGNIZATION
- IPR POLICY
- Technology transfer
-

If required (respective coordinator can be asked to draft policy / guidelines, as these schemes / cells are already initiated in the institute.)

- Incubation centre – functioning guidelines
- Start-up policy
- IIC guideline
- MoU
- UG / PG Dissertation
-

Version	Title	Prepared by	Date	Remark
1	Draft R&D Policy	Office of the Dean (R & D)	March 2021	Circulated amongst R&D committee members
1.1	Base line R&D Policy - DRAFT	R & D Committee	July 2021	Proposed to Director
1.2	Base line R&D Policy	R & D Committee (modified after Directors' recommendation)		Proposed to AC

