

RULES & REGULATIONS/GUIDELINES FOR CARRYING OUT SPONSORED RESEARCH PROJECTS



KURUKSHETRA UNIVERSITY, KURUKSHETRA

Contents

Sr. No.	Title	Page No.
	Preamble	1
	Definition	1
Ia	Submission of the Project Proposals	2
Ib	Sanction of the Projects	2
II	Operation of the Projects	3
IIa	Procedure for purchase of equipment, consumables, up-gradation, repairs, annual maintenance contracts (AMC) and renovations, and for meeting TA/DA expenses.	3
IIb	Management of Overhead Charges	7
IIc	Engagements	9
IId	Emoluments	10
IIe	Maintenance of Stock Registers	10
III	Interim Progress and Accounts Reports of the Project	11
IV	Final Technical and Fiscal Report of the Project	11
V	Closing of the Projects	11
VI	Filing of Patents and Publication of Research Papers	12
VII	Generation of Income	12
	Annexure-I Format for forwarding research projects proposals	14
	Annexure-II Format for closing research project	16

RULES & REGULATIONS/GUIDELINES FOR CARRYING OUT SPONSORED RESEARCH PROJECTS

Preamble

Kurukshetra University aims at creating a class of professionals with excellent research capabilities who are committed to expand the frontiers of knowledge for the progression of society through research. To achieve its mission, the University provides an intellectually inspiring, academically challenging and supportive environment conducive to personal growth by engaging in innovative and leading-edge research within and across disciplines. The university motivates the faculty members for cutting-edge research & innovations, collaborative & interdisciplinary research projects, and publication of quality research work. This enriches the professional experience and knowledge of faculty members making them better educators. The University facilitates the acquisition of grants from extramural sources by providing a structured mechanism for submitting research proposals and their implementation after sanction through well-defined guidelines for Sponsored Research Projects (hereafter called as “Rules & Regulations/Guidelines for carrying out Sponsored Research Projects”). Considering the significance of ranking/accreditation of the University in the NAAC, NIRF and other ranking agencies in the funding potential from different Government departments, there is an urgent need to revise these guidelines underlining the fact that all offices in the university should facilitate the researchers and operation of the research projects for the betterment of the University. These comprehensive rules/guidelines form the basis for the smooth operation of all aspects of the research project activities. These rules/guidelines would be applicable for carrying out sponsored research projects sponsored by the external funding agencies including the research projects funded by the university. These will come into effect from their date of formal notification by the University and will supersede all previous guidelines notified in this regard.

Definitions

In these rules/guidelines—

- I. Sponsored Research Project means a time and cost bound project sponsored for research activity by Government, semi-government, public, private, NGO, Private industry, national/international agencies, University or autonomous bodies.
- II. Sponsor means an organization that offers a Sponsored Project to the Kurukshetra University directly or through a faculty and provides necessary financial support for successful completion of the project in time.
- III. Principal Investigator (PI) means a faculty member who submits the project proposal and negotiates with the sponsor, and is instrumental in getting the project funding. The retired faculty members may also submit research projects as PIs but in their case, a Co-PI will be co-opted by the PI from among the regular faculty members.
- IV. Co-Investigator (Co-I) or Co-Principal Investigator (Co-PI) means a working/retired faculty member co-opted by the PI to work jointly with him/her and approved by the funding agency. In the absence of PI or if PI goes abroad for a long time or if PI retires or if the PI leaves the University, the Co-I or Co-PI will become the incharge of the Project as per norms of the funding agency.

- V. The Project Staff includes research, technical and office personnel engaged in research projects.

Ia Submission of the Project Proposals

Ia.1 PI will complete the project initiation form as per Annexure-I

Ia.2 All proposals for submission of Research Projects to the various funding agencies should be submitted by the PI, to the Dean, Research Development and Patent Council (DRD) after getting it forwarded by the Chairperson/Director/Principal of the concerned Department/Institute. PI will also drop an email to the Chairperson/Director/Principal regarding the submission of the project. The proposal must be forwarded to the DRD by the Chairperson/Director/ Principal of the Department/Institute within two working days. Thereafter the proposal must be allowed by the DRD for onward transmission to the funding agency within five working days.

In case of online proposal submission, if the funding agency requires, the endorsement certificate, bank account details, check-list etc. (even without full research proposal) should be provided by the DRD office and, in such a case, PI shall submit a full proposal to the DRD office after online submission. Bank account details for receiving funds in the University shall be made available to the DRD office by the Accounts branch in the form of a mandate form for electronic clearing service as outlined in Ib.1

If Chairperson/Director/Principal is not able to forward the application up to two days before the last date of submission of the project, the DRD may directly endorse the proposal to the funding agency.

Ia.3 If the project is with a non-Government agency, a statement on the terms and conditions of the Project including the rights of patents and royalties must be spelled out clearly through an MOU to be signed by the Registrar of the University and the competent authority of the funding agency.

Ia.4 Dean, Research Development and Patent Council (DRD) would be the competent authority for forwarding the research proposal to the funding agency.
If required, the endorsement for forwarding the research proposal may be obtained from the Registrar, KUK.

Ib Sanction of Projects

Ib.1 Dedicated savings bank account to receive funds from funding agencies

The Accounts Branch will open and operate a dedicated savings bank account in the name of the “Registrar (Projects), KUK” for receiving the grants from the funding agencies only. This account will be separate, and not mixed with any other receipts. After sanction of the project, PI shall be entitled to open a separate savings account and funds will be transferred to the account of the PI either directly from the funding agency or by the account branch from the Registrar (Projects) account as the case may be. A proactive approach is needed at the time of opening the PI’s account and the permission letter to open the account should be given in five working days. This account number need to be printed on the mandate form for electronic clearance service for receiving payments.

The mandate form for electronic clearing service for receiving payments with the details of the Registrar (Projects), KUK savings account printed on it, and a proforma for opening the

savings account of the PI detailing all the required documents will be provided by the office of the Finance Officer to the office of DRD at the beginning of the financial year and would be available for PIs from the DRD office.

The account branch personnel, responsible for maintaining the dedicated savings bank account of Registrar (Projects), KUK, need to have a proactive approach in tracing the funds received from funding agencies and communicate to the concerned PI the amount received along with the budget head as 'letter of grant' within three working days from receiving the grant from the funding agency.

Ib.2 The date of start of the project shall be the date of actual receipt of the first installment of grant sanctioned or as specified by the funding agency.

II Operation of the Projects

IIa Procedure for purchase of equipment, consumables, up-gradation, repairs, annual maintenance contracts (AMC) and renovations, and for meeting TA/DA expenses.

IIa.1(i) All purchases shall be effected by a committee called the 'Project Purchase Committee (PPC)' for each project consisting of the DRD's nominee, PI (Convener), Co-PI (if any) and one member of the teaching faculty as per rules/guidelines of the project. This committee, proposed by the PI and approved by the DRD shall be constituted at the beginning of the project and would serve for the entire duration of the project. The purchase will be done as per the procedure described in these rules.

IIa.1(ii) An imprest amount, equivalent to 10% of the total contingency grant with a ceiling of Rs. 10,000/- will be provided to the PI for the smooth running of the project.

IIa.1(iii) A sitting fee of Rs. 2000/- or as allowed in funding agency-specific guidelines as honorarium, in addition to TA/DA (as per University rule) will be payable out of travel/contingency/overhead (PI's share) /other head to an expert attending the expert meeting related to project work with prior approval of DRD.

IIa.2(i) All the purchases under the research project will be treated as essential and emergent in view of the time-bound nature of the projects. Purchase of items(s) costing up to Rs. 25,000/- can be made by the PI/Co-PI without inviting quotations and PI/Co-PI shall be the competent authority to sanction such purchases. Further, for projects with a total project cost of Rs.15.0 Lacs or more, this amount shall be Rs. 50,000/-. There will be no upper limit (annual or total) of expenditure in such purchases.

IIa.2(ii) DRD shall be the competent authority to accord administrative as well as financial approval for the purchase of items costing beyond Rs. 25,000/- (or Rs. 50,000/- as defined in IIa.2(i)) and up to Rs. 5.00 Lacs. For items costing more than this value, the purchase shall require the approval of the Vice-Chancellor.

IIa.2(iii) Purchase above Rs. 25,000/- (or Rs. 50,000/- as defined in IIa.2(i)) will be affected by inviting quotations, or by spot quotations from the reputed firms (minimum three) by the PPC where inviting of quotations is not possible. Limited Quotations/Tenders (with specifications clearly written down) will be invited by the PI for the purchase between Rs.5.00–10.00 Lac. Open tenders/e-tenders will be invited by PI for the purchase beyond Rs. 10.00 Lac. This condition may be relaxed by the competent authority keeping in view the merits of a particular case. Administrative approval of the competent authority will be required for all such purchases.

In case of items to be imported, irrespective of their cost, quotations/proforma invoices will be invited from authorized Indian agents or directly from the foreign manufacturers of all the known firms except in the case of proprietary/patent items. The sealed envelopes wherein quotations have been received are to be opened in the presence of PPC and signed by all the members of the PPC. These envelopes along with the comparative statement will be submitted to the DRD for getting approval and/or payment of bills as outlined in Iia.8.

In case the purchase is to be made from a firm, which has quoted a higher rate than the other, proper justification to that effect need to be given, keeping in mind the overall financial implications and making all efforts to negotiate with the Firm to come down to the lowest offer in respect of the said item. The justification should be signed by all the members of PPC. In case the purchased item is manufactured by a limited number of companies, the same fact should be recorded. However, the purchases may also be made from the sole agent of a particular firm, which is operating in India or by their representative and by giving proper justification for choosing a single firm. The authorized representative will also provide a certificate mentioning that they have not previously sold the item in India below the quoted price. The names of other reputed firms dealing with such items and reasons for not considering them also need to be provided. For the purchase of any items from foreign companies, the agency commission should be on the basis of the exchange rate on the day on which the settlement of LC (Letter of Credit) DD was made by the banker. Wire transfer/online transfer of funds will be allowed if required for the purchase, custom duty, demurrage charges etc.

- Iia.3** The DRD shall make a summary list of all the equipment costing more than Rs. two lakh, based on the details to be provided by PIs, excluding accessories that have been purchased in the University by different PIs in various departments. The list may be updated on a half-yearly basis.
- Iia.4** Consumables like chemicals and glasswares may be purchased on the basis of rates approved by the University. These may also be purchased following the procedure outlined in Iia.2 depending upon the requirements of PI.
- Iia.5** Purchase orders may be placed by the PI after following the procedure outlined in Iia.2
- Iia.6** Supply order will be signed and issued by the PI after scrutiny of the tenders/quotations obtained from various suppliers. The orders will be normally placed with the supplier whose quotations are the lowest, unless for reasons to be recorded and recommended by the PPC, that as to why the lowest or other lower tenders/quotations are not acceptable. In case of any discrepancy, the matter shall be referred to the DRD and his/her decision will be final.
- Iia.7** Usual/market GST rate will be allowed for project purchases. However, reduced GST payments of 5% may be allowed only in case of the purchase of research equipment. In case of any technical/feasibility difficulties, GST payment at the normal rate shall be allowed for research equipment also.

For claiming a reduced GST of 5%, DRD would be the competent authority for issuing a reduced GST certificate. If required, this certificate may be obtained from the Registrar, KUK.

- Iia.8** All bills in respect of the project will be signed and verified by the PI. Thereafter, the bills will be audited by a Chartered Accountant (CA) (or Local Audit Department, if required by the Funding Agency). These bills and related documents will be in the custody of the PI for the

issue of cheques/online transfer of funds etc. It will be the responsibility of the PI to see that the bills are complete in all respect and that they are in order. PI will keep all the records in safe custody.

The Accounts branch shall provide a panel of Chartered Accountants (CAs) to the DRD office at the beginning of the financial year for sharing the same with the PIs.

- IIa.9** The Xeroxing of project related material be allowed from the open market. In case the P.I./Co-PI/other research staff visits the research institutes/libraries outside Kurukshetra, the Xeroxing work of the research material be got done in that city as per local rates prevailing there.
- IIa.10** The purchase of project related books and journals out of the contingency or any other budget head sanctioned by the sponsors for this purpose will be allowed and freedom lies with the PI/Co-PI concerning the purchase. However, the rates fixed by Book Purchase Rate Committee (BPRC-Library) will be kept in view.
- IIa.11** Advance will be paid to the PI through cheques by name. The PI will be responsible for rendering the account of such advances. The accounts of advances taken should be settled within a period of one month from the date of drawing of advance. However, this shall not apply in cases of LCs etc. where the money is always with the Bank. LCs and side drafts accounts should normally be cleared within three months.
- IIa.12** Payments of the audited bills will be made by the PI by cheques drawn in favour of the parties concerned or through an online payment mode.
- IIa.13** The cheques in respect of salary bills of all part-time, ad-hoc, regular, daily wage based, honorarium based and consolidated salary based employees of the Project will be made by the PI through cheques in the name of the concerned employees only or credited online to their respective Bank Accounts which must be mentioned on the fellowship or salary bills, duly countersigned by the concerned persons and the PI.

IIa.14 TA rules

The University TA/DA rules/rules of the funding Agency will normally be applicable to all sponsored research projects for fieldwork and visits in Haryana or outside Haryana (in India or abroad). However, keeping in view the time-bound nature of the projects, the PI/Co-PI will be allowed to travel by taxi/own car irrespective of their designation and/or salary for which necessary approval of DRD for actual journey days will be required. The maximum one-way distance for the purpose of using car/taxi should not exceed 500 km. Further, air travel to the PI/Co-PI is also allowed irrespective of his/her designation and salary. However, the sanction of all air journeys within India in connection with the research project shall be obtained from the DRD, and for international travel approval of the Vice-Chancellor shall be obtained.

The TA bills of PI/Co-PI/project-staff will be verified by PI and will be cleared based on the sanctioned leave. The leave sanction documents of PI/co-PI/project staff will be provided by the Office of the relevant Competent Authority.

The PI is authorized to sanction the journey of co-PI/project staff.

IIa.15 Out of pocket expenses for the fieldwork

IIa.15(i) Out of pocket expenses will be admissible for the field work which will comprise of collection of field data and samples from the natural environment, mapping of an area, installation and maintenance of the instruments in the field for the purpose of the sponsored research.

IIa.15(ii) Out of pocket expenses will be payable for the actual period of work at the work place and will not be admissible for the journey period.

IIa.15(iii) Out of pocket expenses will be permitted in addition to the DA.

IIa.15(iv) The rate of payment of Out of Pocket expenses from the project grant will be as under:

Category of staff	Rate
Grade 'I' 'II', and III	Rs. 600/- per day for the fieldwork of continuous one week or more, and Rs. 400/- per day for the fieldwork of less than one week.
Grade 'IV' and "V"	Rs. 300/- per day for the fieldwork of continuous one week or more, and Rs. 200/- per day for the fieldwork of less than one week.

IIa.16 An accidental insurance cover for PI/Co-PIs and project staff for the duration of the project may be taken in case the project involves a lot of fieldwork and related travel. The premium for this will be paid out of contingency/consumable/overhead charges (PI's Share). The PI shall be the final authority to decide the amount of coverage of the accidental insurance of PI/Co-PI/project staff as per the nature of the fieldwork and the fund's availability.

IIa.17 In case of field oriented research project, the PI/Co-PI/ research staff etc., irrespective of their salary/fellowships, will be allowed to hire a local convenient transport facility as per local rates on the basis of the lowest of the three quotations collected on the spot. The PI/Co-PI will be also authorized to hire coolies/porters, field attendants, guides, mules/sheeps/yak whichever is required in the field on locally prevailing rates (or approved by the local district authority) for transportation of luggage, field equipment, food materials and research samples. The total number of the same may vary from time to time as per requirement. The PI/Co-PI will be authorized to modify the field program depending upon the prevailing local conditions and difficulties of the team members. The PI/Co-PI shall be required to submit the accounts immediately after returning from the field within a fortnight.

IIa.18 The PI/Co-PI shall be allowed to avail 10 duty leaves in a calendar year for project-related fieldwork/discussion/collaborative work in other laboratories/institutes/ universities (in India or abroad) provided the teaching work of the department does not suffer. For this purpose, PI/Co-PI can engage extra classes to complete the syllabus.

The Project Staff shall be allowed the leave of the kind due for the purpose mentioned above. All expenses for these purposes will be borne out of the Project funds as per the rules of the University/funding Agency. The prior sanction for such work must be obtained from DRD and such request be always routed through the Chairperson concerned.

IIa.19 In case the funding agency makes ad-hoc payments/part payments/installments of the project grant, the PI shall be authorized for the break-up under different heads/subheads of the project. However, re-appropriation of up to 10% beyond the sanctioned limit within different heads/subheads, which was provided by the PI himself/herself, can be affected by the PIs with the approval of DRD within the total overall budget given by the funding agency.

Re-appropriation of more than 10% beyond the sanctioned limit may be allowed by the Vice-Chancellor on the recommendation of DRD with the stipulation that it must be permitted by the funding agency.

IIa.20 The Secretarial assistance

IIa.20(i) The PI may engage a University employee (regular or retired) interested in part-time work. Provided that such regular employees will not be allowed to work for more than 6 hours a week. However, retired University employees may be allowed to do such work without any time limit. Prior permission shall be required by PI from DRD and the consent of the Chairperson of the Department concerned, where the employee is working (in case of regular employees only), will be required before making such engagements.

IIa.20(ii) One employee shall be allowed to take up at the most two projects. In the case of retired employees, up to six projects may be taken up.

IIa.20(iii) Depending upon the quantum of work, the PI will be competent to fix the honorarium (out of contingency/consumable/overhead charges) of such part-time employees. However, it should not exceed Rs. 1000/- per month for a project whose sanctioned amount does not exceed Rs. 5 lacs. The honorarium can be fixed up to Rs. 1500/- per month and Rs. 2,000/- per month for those projects where the sanctioned amount is between 5 lacs to 10 lacs and 10-50 lacs, respectively. For projects where the sanctioned amount is more than 50 lacs, this honorarium should not exceed Rs. 3000/- per month.

IIa.21 PI/Co-PI are also allowed to claim the registration fee, abstract processing fee and DA along with accommodation expenses from the Contingency head or PI's share of Overhead charges for attending national/ international conferences/ symposia/ workshops/conventions/training programmes etc.

PI is authorized to allow similar claims in respect of the project research staff associated with the specific project if deemed necessary.

IIa.22 The engagement of the clearing agent

The clearing of the imported equipment and other items at the airport is a very tedious and time-consuming process. In order to save time and energy, PI shall engage a clearing agent as and when required. The charges of the agent for each case shall be met out of the project grant.

II b Management of Overhead Charges

IIb.1(i) Out of the total overhead charges in the project, 15% share shall be transferred to the University Accounts. 15% share of the overhead charges will be credited to the 'Kurukshetra University Research and Development Fund' (DRD Fund in old guidelines) and will be controlled by DRD. For this purpose, a separate savings bank account would be opened by the accounts branch in the name of the "Kurukshetra University Research and Development Fund," (DRD Fund in old guidelines) to be operated by DRD, in which share of overhead charges of projects for 'Kurukshetra University Research and Development Fund' as per prevailing guidelines would be deposited. Two dedicated experienced accounts personnel will be provided for the DRD office who will be responsible for maintaining the account-related works/files of the DRD office including handing the rule position on project files related to purchases to be made by PIs.

One of the purposes of the 'Kurukshetra University Research and Development Fund' will be the promotion of research culture in the University through different activities. Such activities may include, but are not limited to, assisting the newly-appointed teachers or any teachers who will prepare their fresh research projects so that they can be helped in establishing the labs, etc. The remaining 70% of the overhead charges shall be at the disposal of the PI. The funds under this head can be utilized by the PI during the Project period on items of expenditure Iib.2 to Iib.10 as per the prescribed procedure.

Iib.1(ii) The unspent amount from the 70% share of the PI shall be transferred to the Professional Development Fund (Iib.10) or 'Kurukshetra University Research and Development Fund'. It would be the responsibility of the PI that no money on account of the overhead charges of the projects may be returned to the Funding agency.

Iib.2 Infrastructure

All expenses related to Laboratory maintenance and renovation, purchase of furniture, Personal Computers, Laptops and printers to be used as office equipment; repair of existing furniture, wooden, aluminum or other work like partitions, shelves, etc., flooring, making dust free rooms, water and electricity connections including labour charges, purchase of air conditioners, invertors, voltage stabilizers, UPS, air curtains, etc. will be met out of project fund. This type of work can be assigned to the outside agencies as well to avoid delays. Proper procedure of inviting quotations should, however be followed in such cases.

Iib.3 Repair and up-gradation of scientific equipment, computers and peripherals, payment of annual maintenance/service contracts, purchase of minor accessories and components/spare parts for equipment.

Iib.4 Cost of advertisements in the newspapers for positions as well as other notices.

Iib.5 The hiring of manpower including secretarial assistance (typing/computer operation/accounting/bills etc.) shall be subject to approval by the DRD at University approved rates. The ad-hoc engagements will be for a period not exceeding six months in a single stretch. The assistance of students of Masters and Ph.D. courses not getting any financial support can be provided at the rate of Rs.75/- hour with a maximum limit of 10 hours per week after getting approval of the DRD under the "Earn While You Learn" scheme.

Iib.6 Expenses to meet local, domestic or international travel, Visa fee, hotel expenses, DA, Registration and abstract processing fee for participation of PI, Co-PI and Project Staff in Conferences/ Symposia/ workshops/ conventions/training etc. and for visits to other laboratories/institutes/universities (in India and abroad) for discussions or for Collaborative research-work subject to prior approval of the DRD (within India) and Vice-Chancellor (for abroad). Expenses to meet filing of Indian Patents/ research publications, membership fees of various professionals/ Academic societies will be met out of PI's share of overhead charges.

Iib.7 Audit expenses to be paid to the CA will be met out from project contingency or from the PI's share of overhead charges. PI shall call quotations from the empaneled CAs for auditing the bills of the project and will assign the audit works to the CA after approval of DRD based on the lowest quotation.

Iib.8 Provision of purchase of communication facilities including installation and periodical bill payment of telephone, intercom, fax and external internet etc. in the office/laboratory of the PI/Co-PI.

Charges on STD/ISD calls made from actual telephone or public Call offices and E-mail/internet charges for project work may be paid from this head on an actual basis.

Iib.9 Annual Maintenance Contract (AMC) fee/ charges for the equipment, computers/ printers, air conditioners, etc. The allotment of AMC should be executed between the PI and the agency with the approval of the DRD, and can be entered into for periods exceeding one year but not more than three years.

Other miscellaneous items required for the operation of the project that are not listed in Iib can be purchased by acquiring prior approval from the office of the DRD.

Iib.10 There will be a provision of Professional Development Fund (PDF) to be maintained by the Account Branch where an unspent balance of 70% share of PI's overhead charges will be transferred. The unspent amount for a PI will be carried forward at the end of each financial year till this amount becomes zero or till PI agrees to transfer it to Kurukshetra University Research and Development Fund. PI can utilize this fund for the following purposes:

- a. Travel (domestic and abroad) for academic and research purposes by PI.
- b. Exploratory visits.
- c. Fee and related expenditure for acquiring training/qualification(s).
- d. Membership fee of professional societies.
- e. Books, journals, stationery and computer consumables and any storage media.
- f. Internet charges.
- g. Research publication charges
- h. All charges related to patents

Iic Engagements

Iic.1 For engagements under the project, the PI will send the draft advertisement for project positions to the DRD for approval, who will return it to the PI for notification/ advertisement after giving approval. Applications should be invited after giving wide publicity regarding the positions.

Iic.2(i) Such positions may be advertised on the University's website and circulated in the related departments of other Universities in India through a notice via email.

Iic.2(ii) The PI is authorized for making ad-hoc engagements for the smooth running of project work. The ad-hoc engagements against such positions shall normally not continue beyond 6 months in a single stretch.

Iic.3 The applications will be received and processed by the PI. He/She will issue the interview letters to the eligible candidates. Persons will be called for interview before a Selection Committee, which will be constituted as per norms in Iic.4.

Iic.4 There will be a Project Personnel Engagement Committee (PPEC) for each project approved by the DRD for selection of the candidates as per guidelines of the funding agency. This committee shall consist of DRD or his/her nominee, PI (convener), Chairperson of the department or his/her nominee, Co-PIs (if any) and one member of the faculty. The

proceedings of the committee shall be approved by the DRD before issuing the engagement letters.

- Iic.5** The engagement letters shall be issued to the selected candidates by the PI except in cases of the projects in respect of which the engagement letters to the candidates are to be issued by the sponsoring bodies. A copy of the engagement letter should be sent to the DRD. All engagement letters should clearly indicate the terms and conditions of engagement. In a case where the approval of the funding agency is required, the engagement letters should be issued only when the clearance is received from the funding agency.
- Iic.6** Engagement of the above staff will be purely on a temporary basis for the duration of the project only and the staff engaged will have no claim for regular appointment in the University on the termination of the project. The engagement letter issued by the PI should make such information abundantly clear.
- Iic.7** The leave to the members of the staff under project will be admissible to the same extent as is admissible according to agency rules.
- Iic.8** The joining report of the selected candidates should be countersigned by the PI and forwarded to the funding agency with a copy forwarded to the DRD office. A copy may be retained by the PI for the record.

IId Emoluments

- IId.1** Fellowships at the rates approved by the various sponsoring bodies shall be paid to research fellows employed in the Research Projects.

In case, required staff like JRF/ SRF/ RA etc. sanctioned in the project cannot be engaged due to the non-availability of suitable candidates, then Project Fellow(s) can be appointed in place of JRF/SRF/RA etc. with permission of the Funding agency.

- IId.2** The project manpower will be eligible for medical expenses of Rs. 500/- per month in addition to salary and HRA, if allowed by the funding agency. This amount may be included in the project proposal at the time of submission of the project.

IIE Maintenance of Stock Registers

- IIE.1** Each project shall have a separate stock register for consumable and non-consumable articles and the same will be maintained by the PI.
- IIE.2** Separate accounts should be opened for each article purchased on a separate page of the register to avoid mix up of the accounts of different articles and should indicate full particulars including make, model, serial number, bill No., bill date etc. and the transactions in respect of that article.
- IIE.3** Articles purchased under the project may be consumed/utilized by the PI as per requirement after entry into the stock register.
- IIE.4** Balance should be worked out up-to-date.
- IIE.5** All entries in the stock registers should be signed or initialed by the PI.

- IIe.6** Physical verification of stock should be got conducted by the PI at least once a year.
- IIe.7** Equipment purchased specifically for each project will be the property of the University on the termination of the project unless the sponsoring bodies desire otherwise. However, the usage of all such equipment/ instruments/ chemicals/books etc. purchased out of the project fund shall be regulated as per V.1 and V.3.

III Interim Progress and Accounts Reports of the Project

- IIIa.1** The PI and Co-Investigator/s (if any) will be responsible for the timely submission of progress reports and statements of account as required by the funding agency. PI should prepare the statement of accounts at the end of every financial year, which shall be audited by the CA engaged as per IIb.7.
- IIIa.2** The annual expenditure and utilization certificates (EC/UC) shall be prepared by the CA and signed by the CA (and/or Internal Audit if required by the Funding Agency), PI, Finance Officer and DRD (in the capacity of the competent authority). If the funding agency requires, the EC/UC shall be countersigned by the Registrar. The statement of expenditure and utilization certificates for accounts with a forwarding letter should be forwarded by the PI to the funding agency.
- IIIa.3** Carry forward of the unspent balance, if any, after each financial year shall be allowed by the DRD. However, an intimation letter to the accounts branch shall be forwarded by the PI for updation of the relevant budget head in the current Budget estimates of the University. PI should also seek permission from the funding agency to carry forward the unspent grant within three months of the start of the next financial year.

IV Final Technical and Fiscal Report of the Project

- IV.1** The final technical report should be prepared by the PI in accordance with the requirements of the funding agency. The final fiscal report (statement of expenditure and utilization certificate) shall be prepared by the CA and signed by the CA (and/or Internal Audit if required by the Funding Agency), PI, Finance Officer and DRD (in the capacity of the competent authority). If the funding agency requires, the EC/UC shall be countersigned by the Registrar and the Joint Director (External Audit). Final UC shall be treated as NOC (No Objection Certificate) for the PI/Co-PI.
- IV.2** The final financial report should be sent to the Funding Agency by the PI.

V Closing of Projects

- V.1** PI shall take steps for the closure of the project after getting a final statement of expenditure and utilization certificate of the project and the project should be closed by notionally transferring the assets (equipment, instruments, books, etc.) to the Departmental stock register within one month of sending the final report.

For this, a list of all non-consumable items (Equipment, Books, Journals and any other Capital items) procured out of Project Funds should be prepared and transferred via transfer entry in the stock registers of the Department. A certificate to this effect will be issued by the head of the department/institute to the PI/Co-PI. These items shall remain with the PI till he/she continues to be formally associated with the Department.

The equipment(s) purchased out of the project grant will be issued to the PI/Co-PIs for continuing their research.

- V.2** A statement of final accounts showing the year-wise receipts and expenditure and a list of articles (consumable and non –consumables) leftover at the time of termination of the project and purchased out of the project fund should be sent in triplicate to the DRD office in the prescribed proforma (Annexure-II). These articles must be transferred to the Department Stock Register as mentioned at V.1 except where the sponsoring bodies do not allow the Department to retain the articles without paying them the book value of the articles.
- V.3** The list will be given to the Chairperson of the Department for entering the permanent assets in the stock register of the Department preferably within two weeks of the submission of the list. After entry into the Stock Register of the Department, the list with the proper entry of the pages of the stock Register should be appended with the proforma as per Annexure-II. It is mandatory for the Department to enter all items in the stock register and to reissue them to the PI for his/her research.
- V.4** The PI's and Chairperson of the department should ensure that all equipments, which are obsolete/beyond repair, are written off after following due process. The PIs/teachers should give this in writing as soon as situation arises. In case of any missing item/component of the items falling under this category, the cost to be recovered from the PI/teacher (when he needs No Dues Certificate) will be decided by DRD in consultation with Chairperson of the department.

VI Filing of Patents and Publication of Research Papers

In case PI finds novel products having commercial significance or develops a technique, which may have industrial application, PI will initiate the process for filing a patent through DRD. All costs related to filing as well as maintenance of patent (India, International, European, or any other patent) will be paid out of the project fund if such provision exists in the funding agency rules or out of the PI's share of overhead charges. Otherwise, all costs related to filing as well as maintenance of patent (India, International, European, or any other patent) shall be borne by the University.

All such patents and other IPRs arising out of the project/research carried out at the Kurukshetra University should be in the name of "Kurukshetra University" as an applicant (unless otherwise required by funding agency) and the concerned PI/researchers as "Inventors". Rules regarding the commercialization of patents/IPRs would be as per the IPR policy of the university.

The research papers coming out of project work should be published in SCI/ SCIE/SSCI/AHCI journals. In subjects where research journals are not covered under SCI/ SCIE/SSCI/AHCI, the research papers should be published in SCOPUS indexed journals.

VII Generation of Income

The samples/products/prototypes prepared in carrying out the investigations such as chemical compounds, devices, specimens, models, manuals etc. may be sold to an interested party with the approval of the Vice-Chancellor on the recommendation of the DRD. The sale proceeds shall be intimated to the Accounts Branch for updating the details thereof in the University

records and Balance Sheet. The sale income of these products will be shared by the PI and Kurukshetra University Research and Development Fund in the ratio of 70:30.

Notes:

1. These rules are dynamic and can be changed from time to time depending upon the requirements of the PIs in the interest of the research eco-system on the campus.
2. In case of any ambiguity regarding rules mentioned in these guidelines, the decision of the Vice-Chancellor will be final.
3. These rules and regulations shall normally be applicable to all research projects including the projects funded by the University.

FORMAT FOR FORWARDING RESEARCH PROJECTS PROPOSALS

(enclose two copies of Project Proposal with this Form)

1. Name of the Principal Investigator :
Designation :
Date of Birth/Retirement :
Department/Institute/Center :
2. Name of the Co-Principal Investigator (if any) :
Designation :
Date of Birth/Retirement :
Department/Institute/Center :
3. Title of the Project :
4. Duration of the Project : From To
5. Details of the fund requested/proposed Expenditure/Budget*

Proposed expenditure on ▼ (Rs. in lakhs) during ►	Year 1	Year 2	Year 3	Line total
a) Staff -				
b) Equipment (including spares therefor)				
c) Operation and maintenance of equipment				
d) Expendables				
e) Travel				
f) Contingencies				
g) Visiting Faculty or Research Consultants				
h) Any other services				
Institutional overheads @ 10 to 20% (as allowed by the Funding Agency)**				
Column totals				

* Various heads in the Table containing funds requested/proposed expenditure may be suitably modified matching the heads required in the proforma/Format of the Funding Agency to whom the project is submitted.

**Minimum 10% (or maximum as allowed by the Funding Agency) overhead charges must be proposed while submitting a project to any Funding Agency. However, if any Funding Agency does not allow overhead Charges, Letter/Document/ Guidelines to this effect may be attached along with this proforma highlighting the relevant clause.

6. Whether the account of the earlier Completed projects finally closed :
If not, the reasons for the same
7. The Principal Investigator should give the following information for records, if possible :
 - i. Total :
number of ongoing projects

ii. Total :
number of projects completed in the last 10 years

The following information for each Project should be given separately on separate sheets:

- i. Title of the Project :
- ii. Funding Agency :
- iii. Total Grant of the Project :
- iv. Date of Commencement :
- v. Date (Expected Date) of completion :

I hereby undertake that if the proposed research project is granted by the Funding Agency, **there would be no financial liability on the part of Kurukshetra University other than utilizing the existing infrastructural/instrumental facilities** available in the Department/Institute/University as per the prevailing rules from time to time. Any extra space for the project has to be settled within the Department. University maynot provide any additional space.

I further undertake that I would submit a copy of the sanction/grant/allocation letter to the AccountsSection of the University as well as to the IQAC and DRD office as and when the same is received from the Funding Agency.

Signature of the Principal
Investigator:

Date:

Signature of the
Co-Principal Investigator (if any):

Date:

Countersigned by the
Chairperson/Director/Principal

Signature:

Date:

Seal:

Notes:

- (a) Two copies of the Project Proposal, one for the signature of competent University authority and one for the records be sent to the office of DRD. The Investigator shall get the signed copy collected within two days (normally) for onward transmission to the funding agency directly or through the Department.
- (b) Co-Investigator who is not retiring before the date of completion of the project is essential, if the Principal Investigator is retiring before the date of the completion of the project.
- (c) The University will forward the project even if the answer to Q.6 is No. However, PI should contact the relevant offices to ensure that all accounts of earlier completed projects are finally settled.

(d) A Copy of the norms for the operation of the projects will be provided to PI along with the acknowledgment of the first installment of the funds.

FORMAT FOR CLOSING RESEARCH PROJECT
(Submit 5 copies)

Closure of the Terminated/Completed Project entitled:

“ _____

The above noted project has terminated/completed on _____

The relevant details of the project are being given:

1. Name of the Investigator : _____
Designation : _____
Department/Center : _____
2. Name of the Co-Investigator (if any) : _____
Designation : _____
Department/ Center : _____
3. Title of the Project : _____
4. Duration of the Project : _____
Date of Commencement : _____
Date of Completion : _____
5. Funding Agency : _____
6. Total funds received including salaries without overhead charges : _____
7. Total overhead charges received : _____
8. Whether the Final accounts of the Completed projects for all the years have been submitted and closed : _____
If not, reasons thereof : _____
9. Amount of the unspent balance : _____
10. Whether the unspent balance is to be returned to the sponsoring body : _____
11. Whether the certificate of ‘no liability against the project to enable the University to refund the unspent balance, if any, to the sponsoring body is enclosed : _____

or not. If not, reasons thereof

12. Whether the final Technical Report of the project for onward transmission to the sponsoring body, is enclosed or not

: _____

13. List of non-consumable articles

:

S. No.	Item(s) Whether transferred thereof	Date of Purchase	Cost at time of purchase	Present condition to the department	details

14 Whether the final Technical Report of the project for onward transmission to the sponsoring body, is enclosed or not

If not, reason thereof

: _____

Signature of the Principal Investigator:

Date:

Signature of the Co-Principal Investigator (if any):

Date:

Name:

Head of the Department/Director of Center

Signature:

Date:

Seal:
