

**RULES AND REGULATIONS
FOR
SPONSORED RESEARCH AND INDUSTRIAL CONSULTANCY
(SRIC)**

1. SCOPE:

These rules and regulations shall be called “SRIC RULES” hereafter & shall be applicable to all activities stated therein. These rules supersede all existing SRIC rules.

2. TERMINOLOGY:

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

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

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

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

2.5 ASSOCIATE INVESTIGATOR (AI): A faculty member or a technical/scientific staff with sufficient expertise relevant to a project/consultancy work appointed by the PI under intimation to Dean (SRIC) for execution of the work. An Associate Investigator shall not handle a project independently and he/she has to work with a PI or CO-PI who has the financial powers for execution of project activities.

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

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

2.8 SRIC CELL (SRICC): A cell created by the Board of Governors, IIT, Kharagpur for the purpose of:

- i) Promotion of SRIC, Technology Transfer, IPR and Software Marketing activities;
- ii) Project monitoring compliance with terms and condition of agreement/ contract between sponsor(s) and the Institute as well as the SRIC Rules;
- iii) Financial management of projects;
- iv) Liaison with PIs, the Institute and Sponsors;
- v) Administration of the contractual / deputed project personnel;
- vi) Any other activities that may be assigned from time to time.

SRIC has total autonomy with respect to the administration of all the sponsored research, industrial consultancy and related matters covered under the SRIC Rules.

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

(Vide BOG Resolution at its 123rd meeting held on 12-12-1994 and subsequent delegation by the Director.)

2.10 INSTITUTE: Indian Institute of Technology, Kharagpur.

2.11 DIRECTOR: Director, Indian Institute of Technology, Kharagpur.

3. MANPOWER:

3.1 Open selection will be held for all project posts except for technical and ministerial staff. For technical cadres (STA downwards), there will be an internal circular within the Institute first. If suitable candidates are not

available within the Institute for deputation to the project, open selection will be made. For ministerial cadre only internal circular shall be given.

- 3.2 All project appointments will be contractual and on the basis of consolidated monthly compensation.
- 3.3 Automatic transfer from one project to another either on completion or midway shall not be permitted.
- 3.4 The tenure of contractual appointment of a project staff will be for the duration of the project or three years whichever is less.
- 3.5 The total period of contractual employment with SRICC in two or more projects in no case shall exceed five years.
- 3.6 A project employee shall execute a contract Agreement on non-judicial stamp paper of value at least Rs.10/- with SRICC at the time of joining with the explicit provision that contract may be terminated by either side (Staff or SRIC Office) by giving one month's notice or one month's consolidated compensation in lieu of the notice.
- 3.7 Selection of JRF / SRF / RA shall normally be made as per the guidelines provided by the sponsoring agency and with the approval of the Dean (SRIC).
- 3.8 All appointment letters shall be issued under signature of Deputy Registrar / Assistant Registrar (SRIC) / Senior Administrative Officer / Administrative Officer.
- 3.9 The PIs shall consider prevailing compensation package, general qualifications and experience for staff while preparing project proposal.
- 3.10 The Selection Committee for the recruitment of Project staff for each project will be constituted by the Dean (SRIC) with the following membership :
 - i) Dean (SRIC) or his nominee - Chairman
 - ii) Principal Investigator - Member
 - iii) HOD/HOC of the concerned Deptt. / Centre to which the PI belongs - Member
 - iv) An expert on the subject (to be recommended by the Deptt./Centre) - Member
 - v) An expert to be nominated by the Dean (SRIC), if the PI is the HOD / HOC - Member

If the Dean (SRIC) is not the Chairman of the Selection Committee, its recommendation shall be submitted to the Dean (SRIC) for the consideration and approval. The Dean (SRIC) shall have power to fix, on the recommendations of the selection committee, the monthly consolidated compensation and the duration of the contractual appointment.

- 3.11 On completion of each year of service during the contract period, suitable enhancement of monthly compensation may be considered by the Dean (SRIC) on recommendations of the PI and the HOD/HOC of the concerned Deptt./Centre.
- 3.12 In exceptional situations, on recommendation of PI short term job contracts for 89 days and in very special situation upto 6 months may be considered by the Dean (SRIC).
- 3.13 The project employees shall be entitled to HRA, if accommodation on the campus is not made available to them. Expenditure towards subsidised in-campus accommodation / HRA and medical facilities shall be charged to the salary head of the respective project.
- 3.14 All project staff shall work for the project only unless agreed to otherwise by the Dean (SRIC).
- 3.15 PIs shall be the sanctioning and controlling authority for all types of leaves with respect to contractual project staff.
- 3.16 **Conduct Rules:** Project employees shall
- a) Follow general code of conduct as approved by SRIC.
 - b) Maintain secrecy of the research findings / technical information and shall not get involved in unauthorized communication of any official document or information.
- 3.17 Dean (SRIC) may, at his discretion, constitute committee(s) to conduct disciplinary proceedings, if necessary against project employees. On the basis of the report suitable disciplinary action may be initiated and punishment will be imposed by the Dean (SRIC).
- 3.18 Project employees may be allowed to register for Ph.D programme if he / she fulfills all the requirements prescribed by the Institute.

4. FINANCE AND ACCOUNTS:

- 4.1 A separate book of accounts shall be maintained for each project. Dean (SRIC) shall be responsible for submission of internally audited statement of accounts as and when required by the sponsors. Govt. audited statement of accounts at the end of each financial year shall be provided, if required by the sponsor.
- 4.2 In general for sponsored research projects 20% on the total project cost shall be charged towards service charges (overheads) for utilizing the infrastructural and other facilities of the Institute.

- 4.3 In the event, any project utilizes Institute's manpower and other supporting facilities beyond office hours, the expenses towards the same shall be charged to the respective project. For this purpose, on the recommendations of the PI and HOD / HOC concerned, the Dean (SRIC) may approve suitable honorarium for the supporting staff of the Institute as per norms approved by the Institute from time to time.
- 4.4 PIs shall arrange to maintain Procurement-cum-purchase Registers and Stock / Asset Register (i.e., in Form GFR 19). These shall be verified by Govt. Auditors and SRICC office as and when required. All purchase proposals routed through the HOD / HOC, following purchase procedures of the Institute, shall be processed by SRICC office with the help of Stores & Purchase Section of the Institute.
- 4.5 Accounts for sponsored projects shall be maintained under five broad budget heads. They are: Salary, Equipment, Contingency & Consumables, Travel, and Service Charges (Overheads). Minor adjustment in approved budget heads may be permitted by the Dean (SRIC).
- 4.6 Cash advance shall be drawn in the name of permanent employees only working in the projects.
- 4.7 All expenditure shall normally be made within the proposed date of completion (PDC) of the project. Exception may be permitted with the consent of the sponsor.
- 4.8 PIs shall normally be allowed to draw another advance only after adjusting the previous one taken by them unless otherwise agreed by the Dean (SRIC).
- 4.9 In the event of non-availability of fund in a project, excess expenditure (if any) due to unforeseen reasons, the Sponsoring Agency will be approached to sanction additional fund or to permit the expenditure from another project of the same sponsor. If no additional fund is made available by the sponsor, the excess expenditure will be adjusted against the service charges payable to the Institute with the approval of the Director.
- 4.10 **TA and DA Rules:** The Government of India TA & DA rules will be applicable to the PIs and project employees for all sponsored research/consultancy projects. However, the PIs and project staffs may be considered for the following relaxations subject to available of funds and prior approval of the Dean (SRIC):
- a) Travel by Air and Train in a Class to which the staff is not normally entitled.
 - b) Hotel bills up to a maximum of Rs.350/- per day for lodging only or a sum as may be decided by the Competent Authority from time to time.
 - c) Taxi fare as per actual or on hourly charge basis with supporting vouchers.

5. INDUSTRIAL CONSULTANCY:

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

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

Expenses include all expenditure towards equipment, consumables, travel, honorarium to faculty / staff / outside experts / agencies etc. Service Tax and other Government Taxes applicable for consultancy work shall be levied above the Project Cost and Overheads as per GOI rule.

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

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

The honorarium, on recommendations of the HOD / HOC / Chairman, may be distributed on a case to case basis or periodically.

For the estimation of Testing service charges the following formulae shall be applicable

- a. Cost of the equipment = A (Rs.)
- b. Life of the equipment = L years
(5 years for Computers &
10 years for others)
- c. Hourly cost of equipment = $\frac{A}{2000 L}$ (Rs.)

- d. Testing time = T hrs.
- e. Cost of facilities = $F = \frac{A \times T}{2000 L}$ Rs.
- f. Cost of consumables = C
- g. Honorarium to technical/supporting staff = D
- h. Honorarium to faculty-in-charge = E
- i. Cost of testing service = $P = 2 \times (F+C+D+E)$

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

6. INTELLECTUAL PROPERTY RIGHTS:

- 6.1 Unless otherwise agreed with the Sponsor in the project agreement, Intellectual property Rights for any discovery or invention originating from the Sponsored Research and Industrial Consultancy Project shall jointly rest with the Institute, Investigator(s) and the Sponsoring Agency unless the sponsoring Agency authorizes the Institute in writing to have the exclusive right. Patent / copyright application before the Registrar / Controller of Patents shall be filed by the SRIC on the basis of the recommendations made by the Patent / Copyright Committee.
- 6.2 For the effective protection of IPR, it is necessary that the PIs should maintain a register that gives the details of the work done and salient findings on daily / weekly basis. This register should be signed by the PI and by at least one other faculty / project employee as witness to the result.
- 6.3 For the copyright protection of software, registration of the software at the Department / Centre level shall be made and properly documented. The list shall be exchanged between Departments / Centres and centrally made available to the SRICC.

7. TECHNOLOGY TRANSFER:

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

8. RETAINERSHIP:

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

9. SOFTWARE MARKETING:

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

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

- 10.1 Sponsored Research and Consultancy Projects shall be undertaken only with the prior approval of the Dean (SRIC). All research proposals shall be routed through Dean (SRIC) with relevant information required by Sponsors.
- 10.2 It shall be the responsibility of the PI to get the project work completed satisfactorily within the sanctioned grant and duration.
- 10.3 The PI shall ensure that the head-wise expenditure does not exceed the budgetary allocation. For effective control, periodic (or as and when required) expenditure details shall be made available to PIs by SRICC.
- 10.4 The PI shall maintain the details of equipment purchase (in Form GFR 19) out of project funds separately for each project. He / She shall send a copy of it to Dean (SRIC) for placing the same before the Govt. Audit for verification.
- 10.5 The PIs shall be responsible for submission of periodical and/or final technical report(s) of the project work as may be required by the sponsoring agency. He/She shall also send a copy of the final technical report to Dean (SRIC).
- 10.6 The PI shall write to the sponsor for timely release of fund with a copy to the Dean (SRIC) for follow up. SRICC will provide the un-audited/audited statement of accounts to PIs for forwarding the same to the sponsor.

- 10.7 The PIs shall sanction / control the leaves due to the contractual employees working in their projects under intimation to SRIC Office.

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

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

12. SRIC ADVISORY BOARD:

SRIC Advisory Board is responsible for providing policy guidelines and for periodic monitoring of the SRICC. The composition of the SRIC Advisory Board is as follows:

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| (i) | Director as the Chairman |
| (ii) & (iii) | Nominees from funding agencies |
| (iv) & (v) | Nominees from the major industries |
| (vi) & (vii) | Nominees of Board of Governors, IIT Kharagpur |
| (viii) & (ix) | Nominees of Senate, IIT Kharagpur |
| (x) | Dean (SRIC) - Member-Secretary |

The above Advisory Board shall meet at least once a year and the recommendations of the above Board shall be placed before the Board of Governors, IIT, Kharagpur for consideration and approval. The tenure of the nominated members shall be two years.

13. ADMISSION OF RESEARCH WORKER TO ACADEMIC PROGRAMME OF THE INSTITUTE:

- 13.1 A research worker (JRF, SRF, JSO, SSO, PA, JPO, SPO, Mission Engineer) working in a sponsored scheme / project of the Institute is eligible to register for the M.S., M.Tech. and Ph.D. programmes of the Institute subject to his / her satisfying the admission qualification requirements of sponsored candidates from the Industries and R&D Organizations. The same selection procedure as applicable to the Industry and R&D Organization sponsored candidates shall also be followed for research workers.
- 13.2 Research workers from a scheme / project will be eligible for admission provided:
- a) The remaining tenure of the scheme / project at the time of admission is at least two years;
 - b) The admitted candidate gives an undertaking that he / she will not be automatically eligible for Institute Fellowship;
 - c) The course work per semester shall in no case exceed three subjects; and
 - d) The minimum duration for completion of the total credit requirements for M.S. and M.Tech. programmes shall not be less than four semesters.

14. EXCEPTION CLAUSE:

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