

GUIDELINES FOR IMPLEMENTATION OF SPONSORED RESEARCH PROJECTS AND CONSULTANCY PROJECTS AT TEZPUR UNIVERSITY

A. SPONSORED RESEARCH PROJECTS :

- 1.0 Sponsored research projects are proposed to funding agencies through the University. The Principal Investigator prepares the proposal and submits it to the funding agency through the Dean of Research and Development with **enough number of copies and two additional copies**. Once the Project is approved and the sanction letter is received from the funding agency, the PI shall send a copy of the sanction letter and a copy of the approved project proposal to the Head of the concerned department and Dean, Research and Development, for information and record.
- 1.1 Each Sponsored Project will have a Principal Investigator who will be responsible for formulating the project proposal, implementation and execution of the sanctioned project. The PI will handle all communications with the sponsoring agency after the project has been accepted. She/He will write and submit intermediate and final reports and submit a statement of account and/or utilization certificate through the Finance Section according to the guidelines of the funding agency.
- 1.2 The Principal Investigator shall submit the hard and soft copies of the final technical/project report submitted to the funding agency to the Dean, R & D for record. The file will be closed but will be retained in the Office of the Dean, Research and Development for 1 year at least, after completion.

2.0 Operation of Project Funds

- 2.1 There will be separate University Account for project funds. All funds received for projects will be deposited in this account. A separate section of the Finance Office with an Officer will assist the Dean, R&D in administering project funds. This section will ensure computerization of the project account including online tracking facility for the PIs.

2.2 Overhead charges and University Development Fund

The cost of a project will consist of Overheads, Actual Expenses and payment to employees external of consultants and students. Usually, fifteen percent (15%) of the recurring cost of the project will be charged as overhead payable to the University and paid to the University development fund (UDF). The amount received on account of overhead charges will be administered by the University as follows:

- a. 25% of the fund will go to the University
- b. 25% of the fund will go to the respective Department.
- c. The remaining 50% may be utilized by the PI for his/her professional development i.e. partial support for conference, membership of learned societies including enhancement of existing research facilities with proper justification about the needs and with the assurance that all financial regulations shall be observed.

2.3 Actual Expenses

The Actual Expenses will cover the following costs related to a project:

- A. Major permanent equipment to be procured as per usual sanction procedure laid down by the University.
- B. Consumable Materials to be used.
- C. Computational charges (at commercial rates).
- D. Charges to be paid for the use of specific equipment in the departments or central facilities.
- E. Contingency Expenses.** These will normally cover –
 - a. Cost of supplies, stationery, reproduction.
 - b. Cost of books, journals, membership fees of professional societies, registration fee for conferences etc.
 - c. Payment for typing and other office work to outside agencies.
 - d. Postage and telephone (including phone deposit charges rentals and call charges of phones at the office or residences).

- e. Costs charged by a department for facilities provided to the project (such as large amounts of photo copying, use of computational and printing facilities, etc.
- f. Hiring charges that are appropriate for the project.

F. Travelling expenses

- a. Travel may be undertaken for site visits, field work, experimental works in other institutes, meetings outside the University, participation in Conferences/Workshops/Seminars in India. Travel abroad may be allowed if the guidelines of the funding agency have the provisions for this.
- b. TA/DA will be provided to the PI as per University rules.
- c. Regular TA/DA rules of the University may be relaxed based on the merit of the case, if need arises, which may be decided upon by the Dean, R&D with approval from the Vice-chancellor if deemed necessary.

G. Salaries of project employees shall be paid as per project rules.

2.4 Selection

2.4.1 Open selection will be held for all project posts of duration more than one and a half (1.5) years. Otherwise there will be an internal circular within the University. If suitable candidates are not available, then open selection will be made. In special situations, on the recommendation of the Principal Investigator, short term job contracts for a period not exceeding six months may be given with the approval of the Dean, R&D.

2.4.2 All project appointments will be contractual and on the basis of consolidated monthly compensation.

2.4.3 Automatic transfer from one project to another either on completion or midway shall not be permitted.

2.4.4 The tenure of contractual appointment of a project staff will be for the duration of the project or three years whichever is less.

2.4.5 Selection of JRF/SRF/RA shall normally be made as per the guidelines provided by the sponsoring agency, and as per University rules.

2.4.6 Appointment letters shall be issued under signature of Registrar/Deputy Registrar with intimation to the Dean, R&D.

3.0 General guidelines for recurring project expenditure

- i. If a project has clear sanction for a specified period of time, the fellowship/honorarium may be paid in advance by the University even if the grant has not been received. Advance for any other expenses in the name of PI may be decided upon by Dean, R&D with approval of Vice-chancellor. Needless to mention any advance received by PI will be adjusted immediately on receipt of the grant of the project.
- ii. No prior sanction/approval is necessary for the purchase of chemical/consumables/books up to Rupees Twenty five thousand (Rs. 25,000/-) provided sanction from the Funding agency was received for such purposes. The PI may act as self sanctioning authority and can place order, with information to the Finance Section of the University and Dean, R&D, directly to the vendors for supplying chemical etc. observing all financial rules. Further, for purchase of consumables up to Rs. 25,000/-, no quotation will be required provided the company from which the chemical/consumables are procured happens to be the sole distributor/manufacturer.
- iii. On emergency requirement, the PI can make spot purchase of necessary items to the tune of Rs. 20,000/- observing the financial rules.
- iv. Advance drawn for paying a supplier of chemicals/equipment, etc. should be in the name of the supplier.
- v. Where fieldwork happens to be an integral component of research some relaxation in disbursing T.A. and D.A. as mentioned in 2.3 F (c) above may be allowed.
- vi. For buying books from the sanctioned project grant a PI can place order for books with a vendor directly, informing the Librarian about this and under intimation to Dean, R&D. When the books arrive they are to be catalogued in the Library as early as possible and then given to the PI. After the project is over the books will be kept in the departmental library with intimation to the Central Library.

Guidelines for selection of JRFs/SRFs and other research personnel (Technical Assistants and Research Associates) for Research Projects at T.U.

Note: These rules shall be applicable in the cases where the Funding agencies do not lay down any guidelines about selecting JRFs/SRFs, Research Associates, Project Fellows, etc.

1. JUNIOR RESEARCH FELLOWSHIP (JRF) PROJECT FELLOW

1.1 ELIGIBILITY

1.1.1 Educational Qualifications: A candidate seeking selection as JRF/Project Fellow must possess an M.Sc./MA or any other postgraduate degree in the concerned discipline from a recognized University with a minimum of 55% marks in aggregate, provided the minimum cut-off mark is not specified by the funding agency. In case an applicant has some research experience the due concession may be given. Project employees may be allowed to register for the Ph.D. programme of the University if they fulfill all the requirements prescribed by the University. If the candidate desires to be registered for Ph.D. at Tezpur University, the rules set by Tezpur University will be applicable.

1.1.2 Desirable Qualifications: The desirable qualifications will be specifically determined by the PI as per the needs of the project.

1.1.3 Age: The candidate shall not be more than 28 years of age for the award of Fellowship on the stipulated last date of receiving applications in response to advertisement. The upper age limit may be relaxed up to 5 years in the case of candidates belonging to SC/ST/OBC/Women and physically challenged applicants.

1.2 Selection Procedure

a) Positions will be advertised in any of the national / regional newspapers and through other channels (such as by means of circulation of notices to various Universities and displaying in the Tezpur University Website Homepage) at least three weeks prior to the dates on which the candidates are to appear for the personal interview.

Applicants who have already cleared the National Eligibility Test (NET) for JRFs conducted by UGC/CSIR/ICAR/DBT/ICMR or GATE and/or have experience in research appropriate for the project will be given due weightage.

b) The screening of applications for calling candidates for interview will be done by a 'Screening Committee' consisting of the Principal Investigator (PI) and/or the Co-investigator of the project and one member of the faculty of the concerned department to be nominated by the Head of the Department.

c) The PI will suggest a selection committee to the Dean, R&D comprising of:

- (i) Dean, Research and Development/ or
His/her nominee : Chairperson
- (ii) Head of the Department* : Member
- (iii) Subject Expert : External Member#
- (iv) Principal Investigator : Member Secretary / Convenor

*(If the HoD is the PI, one senior Faculty Member of the concerned or related department to be nominated by Dean, R&D).

(External Member can be also from other Department within the University unless specified by the funding agency).

The Selection Committee has to be approved by the Dean, R&D. Subsequently the PI shall inform the Dean, R&D and Selection Committee Members about the date and time of the interview.

- d) During the interview the committee shall test the candidates' knowledge of the subject, aptitude for research, creative thinking and sincerity.
- e) Following the interview, a report on the selected and wait listed candidates will be submitted for the consideration and approval of the Dean, R&D.
- f) After the approval of Dean, R&D, the office of the Registrar will issue appointment letter(s) to the selected candidate(s).
- g) In general, the travel and accommodation expenses to the candidates called for interview shall not be paid and this information would be provided in the advertisement.

- h) The candidate is expected to join within 30 days from the date of issue of the letter of fellowship award, failing which the award shall be cancelled. However, in exceptional circumstances, the Dean (R&D) may grant extension provided the letter requesting extension is routed through the PI.

1.3 Fellowship and Tenure of JRF

The tenure and fellowship amount for the project staff per month shall be determined as per the rules and regulations of the funding agency. If nothing is mentioned, the fellowship amount shall be decided by the PI and approval for this shall be taken from the Selection Committee, with necessary intimation to the funding agency.

1.4. Upgradation of Junior Research Fellow (JRF) to Senior Research Fellow (SRF)

If nothing is mentioned in the funding agency rule book, then on completion of two years of the tenure, a Project Staff can apply for upgradation of the fellowship if the funding agency approves the same. For upgradation an Evaluation Committee may be constituted consisting as follows:

- (1) Dean (R&D) or Nominee : Chairperson
- (2) Head of the Department : Member
- (3) External Expert : Member
- (4) PI : Convenor

The project fellow needs to present a progress seminar on the work done before the Evaluation Committee. If the External Expert does not belong to the University, an assessment report on the progress of the work may be acquired from an expert outside the University.

2.SENIOR RESEARCH FELLOWSHIP (SRF)

2.1 ELIGIBILITY

2.1.1. Educational Qualifications: In case of direct recruitment, a candidate seeking selection as SRF must possess a Master's degree in concerned / related discipline from a recognized University with a minimum of 55% marks in aggregate and at least 2 years' research experience after Post- Graduation (to be supported by certificate of experience). Candidates with an M.Tech degree can directly be selected as SRF.

The condition relating to the period of research experience may be relaxed in the case of exceptional research work or research publications by the candidate.

Desirable Qualifications: The desirable qualifications will be specifically determined by the individual project needs.

2.1.2 Age: The candidate shall not be more than 32 years of age on the stipulated last date of receiving applications in response to the advertisement. Upper age limit may be relaxed up to 5 years in the case of candidates belonging to SC/ST/OBC/Women and physically challenged categories.

2.1.3 Selection Procedure

The selection procedure will be similar to the one laid down for the selection of JRF/Project Fellow. The candidate is expected to join within 30 days from the date of issue of the letter of fellowship award, failing which the award shall be cancelled. However, in exceptional circumstances, the Dean (R&D) may grant extension provided the letter requesting extension is routed through the PI.

2.1.4 Fellowship and Tenure of SRF

The tenure and fellowship amount for the SRF shall be determined as per the rules and regulations of the funding agency. If nothing is mentioned, the fellowship amount shall be decided by the PI and approval for this shall be obtained from the Selection Committee and necessary intimation regarding this shall be made to funding agency.

3. TECHNICAL ASSISTANTS (TAs)

3.1 ELIGIBILITY

3.1.1. Educational Qualifications: A candidate seeking selection as a TA must be a graduate from a recognized University with one year's relevant experience / B.Tech. degree or other equivalent degree with a minimum of 50% aggregate marks.

Desirable Qualifications: The desirable qualifications shall be specifically determined by the individual project needs.

3.1.2. Age: The candidate shall not be more than 28 years of age for the award of TA on the stipulated last date of receiving applications in response to the advertisement. The upper age limit may be relaxed up to 5 years in the case of candidates belonging to SC/ST/OBC/Women and physically challenged applicants.

3.1.3 Selection Procedure

The selection procedure shall be similar to those for the selection of the Project Fellow. The candidate is expected to join within 30 days from the date of issue of the letter of the fellowship award, failing which the award shall be cancelled. However, in exceptional circumstances, the Dean (R&D)I may grant extension provided the letter requesting extension is routed through the PI.

3.1.4 Fellowship and Tenure of TA

The tenure and fellowship amount for the project staff shall be determined by the rules and regulations of the funding agency. If nothing is mentioned, the fellowship amount shall be decided by the PI and approval shall be taken from the Selection Committee and necessary intimation regarding this shall be made to the funding agency.

RESEARCH ASSOCIATE (RAs)

4.1 Scope and objective

Opportunities and support should be provided to outstanding research workers to do research work independently at post-doctoral level. The main objective is to utilize the skills and competence of post-doctoral fellows for research at higher level of scholarship.

4.2 Eligibility

Research Associateships are intended for research workers preferably below the age of 40 years who have obtained a doctorate (Ph.D) degree from a recognized University, have published research work to their credit and have already shown evidence of independent research work.

Age relaxation up to a maximum of 5 years would be allowed to the candidates belonging to SC/ST/OBC/Women candidates.

4.3 Selection

The procedure for advertising the position of Research Associates shall be the same as that of the JRF/ SRF. The formation of a screening committee for short listing the candidate shall also be the same as that of JRF and SRF.

The 'Selection Committee' approved by the Dean, R&D, TU for interviewing the candidates shall be formed exactly in the same manner as that of for JRF and SRF.

For reimbursement of TA/DA to the candidate, the rule applied for JRF / SRF shall be followed.

4.4 Fellowship and Tenure of Research Associates (RAs):

The Research Associateship shall be awarded as per the rules/ guidelines/ approval of the funding agency.

4.5 Conditions of Award:

If nothing is mentioned in the rule book, the Associate shall devote himself/herself to whole time research work and shall not accept any other part time employment during the tenure of the Associateship. However, his/her services could be utilized by the authority for teaching purposes provided it does not affect the research programme and he/she shall not accept any extra remuneration for this purpose.

b) The Research Associateship will be tenable initially for the period as mentioned in the project.

c) The Associate shall work under the supervision of a faculty member of the Institute. The Associate shall submit, through the Supervisor/Faculty with whom he/she is associated, half yearly progress report of his/her research work.

d) If an Associate wishes to leave the Associateship before the end of tenure, it should be done with the prior notice to the Vice-chancellor/ Dean (R&D) through the PI.

e) If the PI/ concerned faculty is not satisfied either with the progress of the research work or the conduct of the Fellow, the Institute may terminate the Associateship at any time without any notice and assigning any reason.

f) The award of any fellowship (JRF/SRF/RA) does not imply any assistance or guarantee for subsequent appointment in T.U. to the beneficiary.

g) The Associate may, in special cases, be allowed by the University leave without Associateship for a period not exceeding three months during the tenure of award on the recommendations of the supervisor/concerned faculty. The period of leave without Associateship shall count towards the tenure of Associateship.

5.1 House Rent Allowance

University will try to provide single / double seated hostel accommodation to all Project Staff. In case, the accommodation cannot be provided by the University, they shall be entitled to House Rent Allowance (HRA) as per the guidelines of the University.

5.2 Medical Facilities

Medical facilities shall be available to the Project staff at par with the bonafide students of the University

5.3 Leave rules

Leave for a maximum period of thirty days in a year in addition to general holidays may be taken by a Project Staff with necessary approval from the PI.

APPLICATION FORM FOR THE RESEARCH POSITION (JRF/SRF/RA)

1. Name of the applicant: _____

Present Postal Address (*Pin Code, Phone, Fax & e-mail*)

2. Father's / Husbands Name:

3. Mother's Name:

4. Permanent Residential Address (*Pin Code, Phone, Fax & e-mail*)

5. Nearest Railway Station for undertaking the Journey _____

6.(i) Date of birth _____

(ii) Age in years (On the date of application) _____

(ii) Sex: Male / Female (strike off whichever is not applicable)

(iv) Nationality:

7. If belonging to Scheduled Castes/Scheduled Tribes / OBC, state name of the Caste/Tribe _____.

If OBC, state Creamy layer/ Non-creamy layer

(A photo copy of the original caste certificate issued by competent authorities may be attached.)

8. (a) Academic Qualifications:

Examination Passed	Board/University	Year	Subjects	% of Marks / Grade & Division	Rank (if any)

(b) Whether qualified NET/GATE (details should be provided):

(c) Awards/ Honors Received

(d) Participation in Seminar / Conferences /Workshop

(e) Research Publications (important reprints should be enclosed)

9. Have you had any scholarship/fellowship before applying for this award? (If so, please give details of the scholarship/ fellowship)

10. Title of Ph.D. thesis (for RA position) name of the guide and an abstract of Ph.D. thesis in about 500 words (in a separate sheet as annexure) may be submitted.

11. Extracurricular activities.

12. Name and address of three referees not related to the candidate but is aware of the candidate's work

1.

2.

3.

Place:

Date:

(Signature of the Applicant)

For Office Use Only

Application for SERIAL No.:

Category:

Date of Receipt of application:

Signature

B. CONSULTANCY PROJECTS :

Tezpur University encourages the faculty members to undertake consultancy projects as a part of their academic duties. Such projects, in addition to providing financial incentives to the individuals enrich his / her professional knowledge. Moreover, consultancy projects augment the university resources, promote university academy alliance and contribute to the social development.

1. Each Consultancy Project will have a Principal Consultant who will be responsible for
 - i. Formulating the project proposal which may include (a) planning of the work to be done, (b) estimating costs according to guidelines provided in a later section, and (c) identifying other consultants, if necessary.
 - ii. Execution of work.
 - iii. Handling all communications with the clients after the project has been accepted.
 - iv. Writing of intermediate and final reports according to the project proposal.
 - v. Making recommendations to the Dean of Research and Development (DORD) regarding expenditure from the project funds and disbursement of funds to participants in the consultancy project.
- 2 Appointment of Principal Consultant: Industrial organizations usually approach the Institute for consultancy work through a faculty member or a functionary of the Institute (i.e. Head, Dean or Director). When a faculty member is approached for the work, he will be the Principal Consultant. If he does not wish to be the Principal Consultant or if the project is referred to a functionary, Principal Consultant would be identified through appropriate discussions and appointment will be made by DORD.
- 3 The project proposal prepared by the Principal Consultant will be forwarded to the client by the Dean of Research and Development.
4. In extreme emergencies, a consultant may take up an assignment with intimation to the DORD, and then seek approval.

5. The Institute normally requires the cost of the project to be deposited by the client, in full, before the work commences. However, based on needs of the client and circumstances, the Institute may permit commencement of work with payment to be made as per agreed upon milestones.

All payments from clients will be received by the Institute and expenditure and disbursements made through normal Institute procedures.

6. After the initial deposit has been made by the client, R&D Office will assign a job number to the project and inform the same to the client, Principal Consultant and the Head of the concerned Department. This completes the process of initiation of a consultancy project. The above job number must be quoted in all subsequent correspondence.

The Project file will be closed with the submission of the final project report and disbursement of fees to consultants and others.

7. Utilisation of the resources generated *.

The resources earned by a teacher through consultancy should be divided between the teacher and the institution in the manner give below.

- i. Amount received up to 30% of the monthly gross salary (basic salary + grade pay + DA + Academic Allowance) – No sharing, entire amount to go the teacher concerned.
- ii. Amount received beyond 30% and up to the monthly gross Salary – Sharing of the money beyond 30% in the ratio of 70:30 between the teacher and the institution respectively.
- iii. Amount received beyond the monthly gross salary – To be shared in the ratio of 50:50 of the amount of the money received beyond the gross salary between the teacher and institution.

*** Ref. Pay Revision Committee Report, 2008, Page-72,**

SERVICE TAX ON CONSULTANCY FEES

Service Tax is compulsory on all consultancy services. The rate of service Tax in force now is 12.24% of the total consultancy fees. Service Tax is to be paid by the party which obtains the services i.e. the clients. So, it is essential that the coordinators of the consultancy projects inform the clients the amount payable by the clients as Service Tax in addition to the consultancy charge. For example, if the consultancy fee charged to the clients is Rs. 100/-, the clients will also pay an additional amount of Rs. 10.20 as Service Tax so collected will be deposited in to the Govt. accounts of central Excise Department.

GENERAL GUIDELINES FOR ENGAGEMENT OF PROJECT STAFF

(For rules and regulations, please see “sponsored Projects and Consultancy Projects: Rules and Regulation”)

1. There should be provision of appointment of project staff in the project sanctioned by the funding agency.
2. Funds should be available for project staff in the project OR there should be commitment from the funding agency for providing funds for project staff. In the latter case, appointments will be made only after the receipt of funds.
3. If the above two conditions are satisfied, then appropriate appointment procedure among the following may be adopted:
 - a. Open selection by wide publication of the advertisement in at least one local newspaper and issuing a circular within the Institute. Advertisement may also be sent to other educational institutions.
 - b. In special and exigent situations – direct appointment for duration up to 6 months on ad-hoc basis.

However, other appropriate appointment procedures may also be adopted if the terms and conditions of the funding agency so demand.

4. The Principal Investigator (PI) will write to the DORD seeking approval for initiating the process of appointment stating/enclosing:

- (a) The position(s) to be filled
- (b) Educational qualifications required and
- (c) Scale of pay

In case of 3(a) above –

- (d) a committee to shortlist candidates to be called for interview (min. of 3 members, with the PI as the convenor)
- (e) a draft of the advertisement/circular.

In case of 3(b) above –

- (f) Description of exigency for direct appointment.
- (g) Bio-data of the person(s) to be appointed directly.
- (h) Recommendation of a committee with at least three members examining the candidature.

**ADDITIONAL POINTS OF THE GUIDELINES FOR ROUTINE AND TIME
BOUND CONSULTANCY PROJECTS INVOLVING THE WHOLE DEPARTMENT
(Subject to ratification by the Academic Council, Tezpur University)**

1. For consultancy works a Faculty in/charge shall be selected by the concerned Departments for a tenure of 6 months.
2. The client shall first approach the HoD with a letter detailing the requirement.

3. The HoD in consultation with the Faculty in-charge of Consultancy and Technical Officer will indicate in writing the Fee and Service charge for the work.
4. The client will deposit the fee and bring the receipt to the Department.
5. The Department shall retain a copy of the receipt, take over the materials and samples deposited by the client (if any) and give a tentative date of handing over the final recommendation.
6. HoD will send an intimation to DORD with a copy of the client's letter.
7. HoD or Faculty in-charge of Consultancy will then assign the appropriate group of faculty (on rotation basis) for the job. The Technical Officer will be responsible for scheduling and conducting the laboratory tests under the direction of the faculty assigned. The Technical Officer will assign the Technical Assistants as required.
8. The Technical Officer shall sign the laboratory test reports.
9. The Faculty assigned will analyse the results, make the recommendations and prepare the final report. A Synopsis of the report will also be prepared by the faculty assigned in consultation with the Faculty in-charge of the Consultancy. He/She will sign the final report and the synopsis and submit them to the HoD.
10. The HoD will forward the Report and Synopsis to DORD.
11. The Faculty in-charge of Consultancy will inform the client about the completion of the job assigned and deliver the report.
12. The break-up of the revenue earned from the consultancy services will be as follows :
 - 25% to the University.
 - 20% to the concerned Departments (This will include the cost of consumables, labour, travel and other expenditure incurred for the work).
 - 55% to the consultant group.

13. Separate Bank accounts shall be opened to be operated by the HOD of the concerned Departments and Deputy Registrar (Finance) jointly.
14. The distribution of the Consultancy share amongst the faculty and laboratory staff involved is as follows :

10% of the Consultancy share shall be equitably distributed amongst the Technical Assistants involved in the work.

The balance 90% of the share shall be equitably distributed amongst the faculty involved including Technical Officer.

----- X -----