



Indian Institute of Science Education & Research Bhopal
(<http://www.iiserbhopal.ac.in>)

Guidelines on Research & Development

Indian Institute of Science Education & Research Bhopal
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Guidelines on Research & Development

IISER Bhopal provides an excellent environment for research and development activities. These are coordinated through the Coordinator, Research & Development.

Faculty members are encouraged to engage in sponsored and consultancy research projects. An account is maintained with the R&D office for each project. Various aspects of project management, i.e., initiation of proposal, opening an account with R&D, purchases and hiring, travel, submission of report etc. are routed through the R&D office. Various forms for this purpose can be downloaded from the website.

Faculty members are also encouraged to collaborate with other faculty members of IISER Bhopal and other researchers of various Institutes for carrying out research in area of his / her expertise and other multi-disciplinary areas. The area of expertise and research interest of individual faculty members of IISER Bhopal can be obtained by referring to the websites.

Sponsored projects

A faculty may like to approach various national and international funding agencies and industries for sponsored projects in the areas of the desired research interests. Generally, the research proposals are submitted as per the format of the respective agency. The formats of various agencies are available at the R&D website.

Consultancy projects

The institute encourages Faculty to undertake consultancy work. The consultancy work should be of such nature that it enriches the professional experience and the knowledge as a faculty member of this Institute and, thus, makes him/her a better educator and researcher.

This Institute considers carrying out consultancy projects an important activity to achieve one of its objectives in contributing to the country's industrial growth. These also benefit the concerned faculty members and the institute in several ways, in addition to providing much needed service to the industry. The projects provide a firsthand knowledge of the current problems of industry, which is very helpful in tuning the curriculum to the industry's needs. The faculty members get an opportunity to apply their ideas on practical systems. The students working on these projects are exposed to practical experience useful in finding better jobs towards the end of their studies. Finally, the consultancy projects provide some financial incentive to faculty, staff and students.

A faculty can also undertake routine or non-routine testing projects, which are required by industries/utilities for the performance evaluation of their specific products. The testing projects involve utilization of institute laboratory facilities. Institute, however, discourages undertaking any certification work, unless certain facilities of the institute are recognized by appropriate authority for this purpose.

Each consultancy project will have a Principal Investigator (PI) or Principal Coordinator (PC). Industrial organizations usually approach the Institute for consultancy work through a faculty member or a functionary of the Institute (i.e. Coordinator or Director). When a faculty member is approached for the work, he/she will be the PI. If he/ she does not wish to be the PI or if the project is referred to a functionary, the PI would be identified through appropriate discussions. The PI will be responsible for the following:

- Formulating the project proposal which may include (i) planning of the work to be done, (ii) estimating costs according to the guidelines provided in a later section, and (iii) identifying other collaboration partners/Coordinator and consultants, if necessary. The project proposal prepared by PC will be forwarded to the client through the Coordinator, Research & Development.
- Execution of work.
- Handling all communications with the clients after the project has been accepted.
- Submission of intermediate and final reports as agreed in the project proposal.
- Making recommendations to the Coordinator R&D regarding the expenditure from the project funds and honoraria to be paid to faculty, staff and students.

The Institute requires the total cost of the project to be paid by the client, in advance, before the work commences. In case the project is to continue for more than a year, the Institute may permit, at its discretion, commencement of work with only yearly cost deposited in advance. All payments from clients will be received by the Institute. The expenditure and disbursements will be made as per the Institute procedures.

After the cost of the project has been received, the R&D Office will assign a project/job number and inform the same to the client, PI and the HOD of the concerned Department. This completes the process of initiation of a consultancy project.

Project file will be closed with the submission of final project report and disbursement of all committed expenditure including honoraria, institute overheads and service tax.

Budgetary norms

From the total budget of the consultancy project an amount of 10.30% (or as applicable from time to time) has to be deducted as service tax, which would be deposited in the Government account in advance with the Government of India in addition to the Institute overhead (current rate is 25% of the total amount). The project investigator will provide the break-up of the project amount at the time of submitting the proposal also while opening the account. Estimates for the above expenses should be carefully prepared by the PI keeping in mind other market rates for equipment, material and services R&D norms for salaries, commercial rates for computer usage, etc.

Cost of a consultancy project will consist of two parts viz., actual expenses, and consultancy fee/ honoraria. The actual expenses should cover the following costs related to the project:

- Permanent equipment to be procured.
- Consumables to be used.
- Computational charges (at commercial rates)
- Charges to be paid for the use of specific equipment in the Department(s) or in central facilities.
- Contingency expenses to cover cost of supplies, preparation of report, typing, drafting, stationery, reproduction, literature (books, journals, membership fee of professional societies), postage and telephone (including rental and STD/ trunk call bill of telephone at residence) and other miscellaneous expenses.
- TA/DA to cover site visits, meetings outside the Institute and the participation in conferences within India or abroad. The most expeditious and convenient mode of travel should be used to minimize the period of absence from the Institute. There will be no restriction, from the Institute, on travel by air or taxi on grounds of entitlement. DA will be paid as per Institute rules. Actual lodging expenses, in addition to full DA, will be paid on production of receipt, as per the institute R&D office norms. For each site visit, a fee will be charged at a rate specified in the project proposal.
- Faculty members going out of town on consultancy work will be treated to be on duty subject to a maximum of 30 days in a year.
- PI and other investigators will be permitted to use project funds (of one or several projects) for participation in conference/ workshops/ seminars within India and one conference/ workshop/ seminar outside India in a year. Normal Institute rules will be applicable for payment of TA/DA for such participations.
- Salaries of project employees.

- Administrative expenses for providing infrastructure for execution of project and to cover indirect expenses. The Institute will charge overhead towards administrative expenses at the rate of 25% of the total project cost (excluding the service tax).
- The 70% of the overheads from consultancy projects is transferred to the R&D account and the balance 30% to the concerned Departmental Promotion Account (DPA).
- Any other cost.

There is no rigid norm for consultation fee/ honorarium to be paid to faculty members. This depends upon several factors such as importance of advice, expertise available in the country, experience of the faculty, etc. Although the consultation fee is not related to the time spent by the faculty member on the project, many experienced persons charge about four times their daily salary for the equivalent of full day of work.

The Institute will undertake routine and non-routine testing jobs at standard fee or at the charges estimated by the faculty member who will supervise the testing work with 10.30% (or as applicable from time to time) as service tax. The testing fee charged from the client will be divided into three equal parts for Institute funds, R&D Fund, and distribution to faculty and staff. It is, however, expected that the permissible amount may be distributed to faculty and staff in case of non-routine testing jobs and only to staff members for routine testing jobs.

Faculty can opt to have a Professional Development Account (PDA) in which part of overheads from the ongoing projects and honorarium out of outreach activities can be transferred and utilized for professional development activities.

Limitations

Despite the fact that consultancy projects are encouraged by the Institute, it has some limitations as follows:

- The time spent by faculty/ staff members on consultation work should be limited, on an average, to one day a week.
- Absence of faculty/staff member on consultancy work from campus should be limited to 30 days in a year, which should normally not exceed 7 working days in a semester.
- It is expected that only those consultancy projects will be accepted by the Institute, which provide challenge befitting professional competence of the faculty members. Sufficient caution also needs to be exercised to ensure that consultancy projects do not interfere with the normal duties of the faculty members.

I. Institute's policy on Overheads and Service Tax for R&D Projects

- i) Project cost refers to the expense incurred by the PI for the duration of the project. It includes equipment, salaries, travel, consumables, and contingency.
- ii) Overheads refer to the payment due to the Institute from the grant approved by the funding agency-organization-industry.
- iii) Sponsored project refers to one in which the PI carries out original research. Such projects generally do not have a provision for payment of honorarium (though exceptions are possible).
- iv) Consultancy projects utilize prior skill and competence of the PI. They allow the PI to charge honoraria (including payments to employees of the Institute). These payments can be in cash or deposited in the respective PDAs.
- v) Testing refers to a very limited duration activity involving a calculation or a measurement.
- vi) Service tax is required to be paid for all consultancy and testing projects.
- vii) Norms for payment of honorarium are separately posted.

Calculation of overheads:

1. SPONSORED RESEARCH: Proposals submitted for sponsored research must show overheads of 20% on the project cost. [Example: If the project requirement is X units, overheads would be 0.2X units and the total budget would be for 1.2X units.]
 - a. When money is received from the funding agency, overheads as approved would be deducted. When money is received from a private organization as a consolidated amount, 16.7% would be deducted as overheads.
2. CONSULTANCY: At the stage of proposal submission, the budget will reflect project costs (X), overheads at 25% ($X_1=0.25X$) and service tax at 10.3% ($X_2=10.3\%$ of $(X+X_1)$). Service tax is subject to periodic revision by the Government of India.

When money is received from the funding agency in a lump sum, the following procedure will be followed. At the first instance, **Service tax** is deducted = $(\{\text{the total amount received} / 110.3\} \times 10.3)$. Next, 25% Institute Overheads are deducted from the remaining funds = $(\{\text{funds after deducting service tax} / 125\} \times 25)$. The balance funds are credited into the project account as per the budgetary allocations of the project.

Service tax will be deposited in a suitable account in accordance with the rules of Government of India.

Service tax on equipment is waived if the funding agency-organization reclaims it at the end of the project, which should be the part of the proposal.

Service tax is not deducted, if the funds are received in foreign currency.

3. COURSES: For short-term courses, conferences, workshops, and symposia, 15% of the total receipts (registration as well as grants) will be transferred to the CDTE account of the Institute.
 - a. For QIP, ISTE, and DST-type courses, prescribed norms would apply.
 - b. 15% overheads will be paid for courses conducted outside IISER Bhopal.
4. TESTING: After deduction of service tax, the balance receipt of testing is distributed as per: 34% Institute, 33% DPA, 33% distribution (among participating employees).
5. DISTRIBUTION: The overheads (A) collected from sponsored and consultancy projects as well as courses and conferences will be distributed within the Institute as follows:

Nature of Project	Overheads %	Overheads Share Of Various Units		
		Institute	DPA	PDA
Sponsored	20%	0.6 A	0.25 A	0.15 A
Consultancy	25%	0.7 A	0.3 A	NIL
Courses (within IISERB)	15%	0.7 A	0.3 A	NIL
Conferences/work shops/symposia	15%	0.7 A	0.15 A	0.15 A
Courses (outside IISERB)	15%	0.7 A	0.3 A	NIL
Testing Fee	34% +33% +33% =100% (total)	34% of the total receipts	33% of the total receipts	33% of the total receipts as honorarium/PDA

II. Professional Development Account (PDA)

Faculty members at IISER Bhopal are involved in carrying out Sponsored Research, Consultancy, Continuing Education/outreach activities, which need extra efforts and time. To encourage these activities, institute encourages faculty members to have a Professional Development Account (PDA) in which part of overheads from the

projects and contributions out of outreach activities can be transferred and utilized by the faculty members for their professional development activities. This document presents general guidelines for operation of the PDA taking into account various decisions taken subsequent to the introduction of the PDA.

Eligibility to open PDA

The professional development account can be opened and operated by permanent faculty members of the institute, institute research engineers and scientists, R&D research engineers and scientists having quasi-permanent status, permanent group-A staff members of the institute. The PDA can be opened by filling up a new Project opening form, available in the R&D office. The PDA of a person will be closed on the day of his/her superannuation/resignation and the balance amount will be transferred into the concerned departmental promotion account (DPA).

Source of funding into PDA

Funds into PDA can be transferred from any of the following sources.

- 15% of the institute overhead charged from the sponsored research projects will be deposited into the PDA of the project investigator (PI). In case, the project involves more than one PI, it will be equally distributed in their PDA or in a proportion mutually decided and conveyed by the PI to the R&D office in writing.
- Any leftover amount from a consultancy project, which a PI does not wish to draw as honorarium.
- Amount transferred from Continuing Education/outreach Programme in lieu of lecture honorarium, software/technology transfer fees, royalty etc.
- Any other similar amount with the recommendation of Coordinator, Research & Development and approval of the Director.

Operation/ types of expenditure from PDA

The following are the operation procedure and types of expenditure permissible from PDA:

- This account is primarily for the professional development of the individual holding the account. In general, it can be used for the expenses towards pre-consultancy visits, project development visits, attending national and international conferences, purchase of books, subscription of journals, any other expenditure for research and development purpose, expenditure on teaching material, teaching aids etc. and for any other purpose with the recommendation of Coordinator, Research & Development and approval of the Director. No honorarium can be drawn /paid from this account.

- Retention of personal computer and accessories purchased from PDA funds, by the academic staff on superannuation of service on the following terms and conditions is permissible:

The member of the academic staff should have served the Institute for a minimum period of 10 years before superannuation/resignation and should have purchased the personal computer, printer, scanner and UPS/ inverter/stabilizer from his PDA. The equipment should have been used by him/her for at least a period of 2 years before the date of superannuation/resignation.

A token amount of 5 % of the cost of the equipment or buy-back value fixed by the vendor, whichever is lower, shall be charged from the staff member.

Only one computer (either a laptop or a desktop), one printer and one UPS or inverter or stabilizer shall be given to the member of the academic staff.

- The PDA has to be operated by the person holding it. The PDA amount cannot be transferred to another institute, when a person is leaving IISER Bhopal and joining other organization.
- The PDA will not be allowed to be operated in case a person is on long or short leave on 'Foreign Service terms' or on extra-ordinary leave. He/she may, however, be allowed to operate the PDA, while on sabbatical leave.

III. Department Promotional Account (DPA)

Head of the Department operates DPA.

Credits in the DPA:

The following may be credited into the DPA:

1. 25% of the overheads collected from sponsored research projects of the faculty of the department.
2. 30% of the overheads collected from consultancy projects of the faculty of the department.
3. 30% of the overheads collected from courses conducted by the faculty of the department within IISER Bhopal.
4. 15% of the overheads collected on the Conferences/ workshops/ symposia organized by the Department.
5. 30% of the overheads collected from courses conducted by the faculty of the department outside IISER Bhopal.
6. Interest earning of Endowment Fund Account, if any.
7. Conference balance
8. 33% of balance receipt of testing.

Utilization of DPA

The DPA can be utilized for the following purposes:

1. Taxi fare, travel reimbursement to guests visiting the department
2. Telephone charges
3. Purchase of equipment for the department
4. Contractual payment for work assignment
5. Office administrative expenses (stationary, cartridge)
