



**Indian Institute of Technology Kanpur  
Office of Research & Development**

**Slim Manual**

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## **1. Initiation grant**

- Is given to the new faculty for initiating research.
- Proposal about the research over the next 1-2 years is submitted.
- The initiation grant is to cover a high-end PC, printer, UPS, books, furniture, miscellaneous items and travel.
- The initiation grant is for an amount of Rs 10 lakhs.
- It does not include money for:
  - a) appointing staff;
  - b) conference travel (for which other sources are available).
- The proposal is forwarded by Head of the Department.
- Proposal is presented by the new faculty before an Institute level committee, consisting of DORD, DOFA, and DRPG.
- Sample initiation grant are given at <http://web.iitk.ac.in/dord/initiationgrant.htm>.

## 2. **Submission of research proposal to the funding agency**

- For getting research grants from the funding agencies, one needs to develop project proposals.
- The project proposal should be formulated according to the format prescribed by the concerned funding Agency and is available on their website.
- Some of the proposal formats are at:  
[http://web.iitk.ac.in/dord/forms/Project\\_Proposal.htm](http://web.iitk.ac.in/dord/forms/Project_Proposal.htm)
- Preparation of Budget:  
While making an estimate of the funds, the following budget heads should be taken into account:
  - (a) Salary of Project Staff including PhD scholars (as per the approved salary structure <http://web.iitk.ac.in/dord/Approved%20version%20of%20Salary%20Structure.pdf>)
  - (b) Equipment
  - (d) Consumables
  - (e) Travel (domestic, international)
  - (f) Contingency
  - (g) Overheads (see page 4)
  - (h) Service tax (see page 4)
- Proposal needs to be necessarily forwarded by the HOD/Head of the Center.
- Submitted to the Dean: Research & Development for signature along with the soft copy of the proposal for R&D records.

### 3. Calculation of overheads and service tax

At the stage of proposal submission, the budget will reflect:

Sponsored project:

Project costs + Overheads @ 20% of the project cost

Consultancy project:

Project costs + Overheads @ 25% of the project cost + Service tax @ applicable rate on (project cost +overheads)

Service tax is subject to periodic revision by the Government of India.

Service tax on equipment is waived if the funding agency-organization reclaims it at the end of the project.

Service tax is not deducted on projects funded by agencies outside India and funds are received in foreign currency.

Guidelines for overheads and service tax are at

[http://www.iitk.ac.in/dord/DORD/Guidelines\\_overheads.pdf](http://www.iitk.ac.in/dord/DORD/Guidelines_overheads.pdf).

#### **4. Steps for managing grants**

- Receipt of the sanction letter from funding agency.
- Opening of the project account at DoRD Office.
- Receipt of funds.
- Recruitment of project personnel.
- Request for advances.
- Purchases as per purchase norms.
- Submission of bills for reimbursement/payment.
- Utilisation certificate.
- Submission of interim/final report to the funding agency.

## **5. Institute supported projects**

<http://www.iitk.ac.in/dord/financialsupport.htm>

- It is a scheme on anvil. The Institute has proposed for creation of a plan budget for research. Based on the yearly approvals, a total yearly budget of Rs 3 – 4 crores may be available.
- Around 4 - 5 projects are approved every year of three or four years duration.
- Projects would be selected from detailed proposals submitted to the Institute.
- Proposals would ideally be inter-disciplinary.
- Projects funded by the Institute would be carefully monitored. Publications, PhD students, and patents would be used as indicators of success.
- Proposals invited in early January every year and to be submitted before the end of January. Proposals will be due on 31st January.
- Review (internal and external) is expected to be complete by 31st March.
- Evaluating outcome: Progress would be closely monitored, using external experts, if necessary.

**6. Committee for Acquisition of Research Equipment (CARE) <http://www.iitk.ac.in/dord/care.htm>**

- Major equipment in the areas of research where a long-felt need exists or for new thrust areas of research is the main focus of the CARE scheme.
- Every year, a typical amount of 2.5-3 crore is available for CARE scheme.
- Proposals for purchase of major research equipment are invited from or a group of faculty members drawn from across the Institute.
- The proposals need to be duly forwarded by the concerned Head(s) of the Departments / Centers.
- It is essential that the proposal involves at least two departments/centers and at least six users, who will be clearly identified in the proposal.
- The CARE committee will review all the proposals. The committee is chaired by Dean, R&D and the committee members are appointed by the Director.
- Its recommendations will be forwarded to the Director, and the Dean, R&D will make the final announcement as per the approval of the Director.

## **7. Types of projects**

- Sponsored research (e.g. DST, DBT, CSIR, DRDO, BRNS, MCIT, ISRO)
- Consultancy research
- Testing projects
- FIST (DST) for large equipment facility
- Fellowships (BOYSCAST, Swarnajayanti, J.C. Bose)
- Conferences / Workshops.

## 8. Registration of a project

- Project registration form (<http://web.iitk.ac.in/dord/rndforms/102.pdf>) along with the sanction letter/ agreement/ MoU/proposal needs to be submitted to the R&D Office.
- Cheque/Demand Draft/ECS is received from the funding agency by DoRD office. If it is received by PI, it is to be submitted to DORD office.
- A project number is assigned.
- Different budget heads with respective sanctioned amounts are created to make the project operational.
- Account of each project is maintained separately.
- The expenses against respective budget head should not cross the sanctioned limit at any time.
- If any changes are to be done to the budgetary allocation, approval should be taken from the sponsoring agency and submitted to the Office.
- **To Raise Invoice/Grants-in-aid Bill:** - The Project Investigator is responsible for sending invoice or grants-in-aid bills to funding agency as per requirement of project budget. The invoices are forwarded by Dean, R&D.

## **9. Utilization certificate**

- Every financial year, the R&D accounts are audited by Auditor General Uttar Pradesh (AGUP) which covers all the project accounts.
- AGUP gives a certificate mentioning that accounts are in order and are maintained according to best accounting principles with qualification (audit para), if any.
- The PIs shall coordinate with the R&D Office for Utilisation certificate to be given to the funding agency.
- The UCs can be downloaded from the DORD site and forwarded to DORD for approval.
- Any format other than the online, as conveyed by the agency can be submitted by the PIs for the approval of DORD.
- Funding agencies will not release the funds for the following year without UC/SE and annual progress report.

## **10. Extension of a project**

- For extension of the project, permission from the funding agency may be sought.
- Project is extended after submission of the form <http://web.iitk.ac.in/dord/rndforms/103.pdf> along with letter from the funding agency.

## **11. Project closure and completion report**

- The Principal Investigator is responsible for submitting the final report, and other details, as per the guidelines of the funding agency.
- A copy of this report is sent to the Office of R&D.
- Remaining funds, if any, will be returned to the sponsoring agency.
- In case of consultancy project, balance amount may be transferred to PDA/DPA.
- PI needs to submit in the project closure form duly filled <http://web.iitk.ac.in/dord/rndforms/106.pdf>.

## 12. Adhoc appointment

- Adhoc Appointment of project personnel can be made for not more than three months.

| Procedure |   |
|-----------|---|
| ➤         | Request for adhoc appointment <a href="http://web.iitk.ac.in/dord/rndforms/305.pdf">http://web.iitk.ac.in/dord/rndforms/305.pdf</a> is to be submitted to DORD Office along with application and CV of the candidate. |
| ➤         | Approved by the Director.   |
| ➤         | Appointment letter is issued.   |
| ➤         | Joining report is to be submitted by the employee.  |

### 13. Regular Appointment of Project Personnel:

- The project positions are co terminal with the project maximum duration.
- Each time appointment can be made up to duration of 1 year and renewable from time to time.
- It may be renewed from time to time for a maximum period of 5 years.
- These appointments will be on a contractual basis with consolidated pay.
- Appointing authority for all project appointments of this type is the Director.

| Purpose                                 | Procedure   |
|---|---|
| Appointment through selection committee | <ol style="list-style-type: none"><li>1. Approval of advertisement and selection committee <a href="http://web.iitk.ac.in/dord/rndforms/301.pdf">http://web.iitk.ac.in/dord/rndforms/301.pdf</a> is submitted for the Dean's approval.</li><li>2. Selection committee consists of the Chairman, 2 academic staffs and the PI as Convener.</li><li>3. Position should be advertised on Institute's website.</li><li>4. Applications are received and interviews are conducted.</li><li>5. Report of selection committee is to be submitted along with copy of the advertisement, approval of the Selection Committee, Comparative Statement of Candidates, applications of the selected candidates.</li><li>6. Appointment letter is prepared and then issued.</li><li>7. Joining report is submitted by the employee duly forwarded by PI</li><li>8. Agreement on Rs. 100/- stamp paper is to be submitted.</li></ol> |

|                          |   |
|--------------------------|---|
| Extension of appointment | <ol style="list-style-type: none"> <li>1. Request for extension of appointment <a href="http://web.iitk.ac.in/dord/rndforms/307.pdf">http://web.iitk.ac.in/dord/rndforms/307.pdf</a> is to be submitted to DoRD office.</li> <li>2. Approved by the DoRD &amp; the Director.</li> <li>3. Extension letter is prepared and then issued.</li> </ol> |
|--------------------------|---|

- **Student Research Associates** from within and outside the Institute for assisting the research activity on part time/full time basis with hourly/monthly remuneration structure.

| Form   | Remarks  |
|--|--|
| Request for Employment of Students in Project:<br><br>For UG | <ol style="list-style-type: none"> <li>1. Can be appointed as Project Fellow or Sr. Project Fellow or Project Sr. Research Asst.</li> <li>2. Approved by DUGC and HOD</li> <li>3. In case of student outside IITK, NOC of HOD and bonafide certificate.</li> </ol> |
| For M.Tech/Ph.D  | <ol style="list-style-type: none"> <li>1. Can be appointed as Project Research Assistant, Project Sr. Research Assistant</li> <li>2. Approved by thesis supervisor DPGC and HOD.</li> </ol>  |

**Work Experience Certificate:** It gets released when no dues signed by all the authority.

#### **14. Direct purchase: Up to Rs 50,000/-**

<http://web.iitk.ac.in/dord/rndforms/607.pdf>

| <b>Procedure</b>  |
|---|
| ➤ Purchases below Rs. 50000/- are made in cash/ cheque payment on delivery.         |
| ➤ Request along with bills/cash memos is to be submitted for reimbursement/payment. |

Although single quotation is admissible in case of standard items, it is however advisable to get more than one quotation for competitive rates.

#### **15. Indigenous purchases above Rs 50,000/-**

<http://web.iitk.ac.in/dord/rndforms/605.pdf>

|  |
|--|
| ➤ Purchase Proposal Request along with the following documents is deposited in the Office <ul style="list-style-type: none"><li>○ Minimum 3 quotations (for non-proprietary items).</li><li>○ Approval of Purchase Committee.</li><li>○ Comparative statement of quotations.</li><li>○ Recommendation of the Purchase Committee.</li></ul> |
| ➤ If it exceeds Rs.2 lakh (consumables) and Rs. 10 lakh (Non consumables), Rs.5 lakh (LTAs) Director's approval is taken.  |
| ➤ Sanction sheet is prepared in the Office & then sent to I/Audit.   |
| ➤ After IA clearance, it should be approved by DoRD/Director.  |
| ➤ Then purchase order is prepared in the Office.   |
| ➤ Sent to Store & Purchase section for issuing it to R&D Office, PI, and vendor.   |
| ➤ Payment voucher is prepared according to terms & condition of purchase order after receipt of I.R.   |
| ➤ 10% balance final payment goes to Internal Audit.  |
| ➤ After Internal Audit clearance, it goes to DR (F&A) for disbursement.  |
| ➤ Fund availability is checked.  |
| ➤ Cheque is prepared.  |

## **16. Procurement of Imported Items:**

<http://web.iitk.ac.in/dord/rndforms/606.pdf>

- Purchase Proposal Request along with following documents is deposited in the Office.
  - Quotation/ Proforma invoice three copies,
  - List of Goods (6 copies),
  - Technical Literature/Catalogue of equipment,
  - End Use Certificate (if required),
  - Non Manufacturing in India Certificate,
  - Proprietary Certificate (if applicable).
- Proforma invoice is valid for 60 days.
- If it exceeds Rs.2 lakh (consumables) and Rs. 10 lakh (Non consumables) Rs.5 lakh (LTAs), Director's approval is taken.
- If the purchase is more than one crore, Dean R &D is the Chairman of the purchase committee.
- Sent to Import Section for preparing Sanction Sheet (S/S) for onward transmission to I/A.
- After I/A clearance, S/S comes to R&D for DoRD/Director approval as well as approval in system.
- Then goes to Import Section for preparing PO.
- LC covering letter prepared by R&D office after getting signature of DR/AR, it is sent to the bank.
- Letter of Credit (LC)/Telegraphic Transfer (TT)/Swift transfer, received for payment from Import section.
- TT is made upto US\$ 10000.
- Bank transfers the amount to Supplier's account in form of TT or LC.
- Debit /credit advice received from Bank and voucher is prepared in R&D Office.

### **Note:**

1. The PI with two academic staffs, one representative from Stores & purchase section, one representative from audit section constitute purchase committee, which is to be approved by DD/ DORD. PI is the chairman of the committee.

## 17. Approval for taking advance

[http://web.iitk.ac.in/dord/rndforms/project\\_advance.php](http://web.iitk.ac.in/dord/rndforms/project_advance.php)

- There is a common form for approval and taking advance.
- For travel, it is subject to the approval before travel. Electronic approval from DORD with a copy to HOD is admissible.
- In case of travel other than Indian Airways/ Air India, a specific approval needs to be taken before the travel.
- Only 4 advances can be taken at a single time from one project.
- PI can also maintain imprest with him, in which case, he/she will have to fill up form for Project Permanent Imprest.
- For travel to nearby places, taxis may be hired. Payment will be made as per the Institute's approved rates. Members can also travel through regular cabs or radio cabs – these can also be reimbursed on actual by submitting the bill.
- For travel, the class of travel will be as per his/her entitlement in the Institute. Higher class travel may be permitted if approved by the Dean and depending upon availability of funds in travel head.

| Process   |
|---|
| <ul style="list-style-type: none"><li>➤ Apply online or fill up form (for project advance/request for journey approval and for TA advance).</li><li>➤ Voucher is prepared.</li><li>➤ Dean's approval is taken.</li><li>➤ Fund availability is checked at the time of Sr. No. generation.</li><li>➤ Advance reference number is generated in the system and intimated to the advance holder.</li><li>➤ Cheque/cash is prepared/ paid through ECS/cash mode (upto Rs. 10000/-).</li></ul> |

## 18. Settlement of advance

<http://web.iitk.ac.in/dord/rndforms/702.pdf>

- After expenses are incurred, form for Travelling allowance bill (for settlement of TA)/ Statement of Accounts (for settling contingency, consumables, and non consumables advance) is filled up.
- Original bills are attached.
- In case of Project Permanent Imprest, Statement of Accounts for Recoupment of Imprest is filled up.

| Purpose               | Process  |
|-----------------------|--|
| Settlement of advance | <ul style="list-style-type: none"><li>➤ Form is submitted to the Office.</li><li>➤ Adjustment is made in the system.</li><li>➤ Sent to the audit for clearance. TA bill is not sent to Audit.</li><li>➤ If advance is more than the expenditure, cheque/cash (Contingency/TA balance deposit slip) is deposited.</li><li>➤ If advance is less than the expenditure, Sr. No. is generated and cheque is prepared.</li></ul> |

For foreign TA/ DA rules, for TA /DA rules for Institute employees, for Project staff, for DA eligibility, please refer <http://web.iitk.ac.in/dord/rndforms/705-A.pdf>.

## **19. Lists of forms**

<http://www.iitk.ac.in/dord/dordforms.htm>.

### **Project appointments**

[http://web.iitk.ac.in/dord/rndforms/project\\_appointments.php](http://web.iitk.ac.in/dord/rndforms/project_appointments.php)

### **Project transactions**

[http://web.iitk.ac.in/dord/rndforms/project\\_transactions.php](http://web.iitk.ac.in/dord/rndforms/project_transactions.php)

### **Project purchase forms**

[http://web.iitk.ac.in/dord/rndforms/project\\_purchases.php](http://web.iitk.ac.in/dord/rndforms/project_purchases.php)

### **Project advances and travel forms**

[http://web.iitk.ac.in/dord/rndforms/project\\_advance.php](http://web.iitk.ac.in/dord/rndforms/project_advance.php)

### **Project Payments**

[http://web.iitk.ac.in/dord/rndforms/project\\_payments.php](http://web.iitk.ac.in/dord/rndforms/project_payments.php)

### **Student on project**

[http://web.iitk.ac.in/dord/rndforms/students\\_on\\_project.php](http://web.iitk.ac.in/dord/rndforms/students_on_project.php)

### **Students on fellowship**

[http://web.iitk.ac.in/dord/rndforms/students\\_on\\_fellowship.php](http://web.iitk.ac.in/dord/rndforms/students_on_fellowship.php)

### **RA hostel**

[http://web.iitk.ac.in/dord/rndforms/RA\\_hostels.php](http://web.iitk.ac.in/dord/rndforms/RA_hostels.php)

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