## 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](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](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.

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](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](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](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](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.

<table>
<thead>
<tr>
<th>Procedure</th>
</tr>
</thead>
<tbody>
<tr>
<td>➢ 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.</td>
</tr>
<tr>
<td>➢ Approved by the Director.</td>
</tr>
<tr>
<td>➢ Appointment letter is issued.</td>
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<tr>
<td>➢ Joining report is to be submitted by the employee.</td>
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</tbody>
</table>
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.

<table>
<thead>
<tr>
<th>Purpose</th>
<th>Procedure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appointment through selection committee</td>
<td>1. Approval of advertisement and selection committee is submitted for the Dean’s approval.</td>
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<td>2. Selection committee consists of the Chairman, 2 academic staffs and the PI as Convener.</td>
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<td>3. Position should be advertised on Institute’s website.</td>
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<td>4. Applications are received and interviews are conducted.</td>
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<td>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.</td>
</tr>
<tr>
<td></td>
<td>6. Appointment letter is prepared and then issued.</td>
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<tr>
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<td>7. Joining report is submitted by the employee duly forwarded by PI</td>
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<tr>
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<td>8. Agreement on Rs. 100/- stamp paper is to be submitted.</td>
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</tbody>
</table>
Extension of appointment

2. Approved by the DoRD & the Director.
3. Extension letter is prepared and then issued.

- **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.

<table>
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<tr>
<th>Form</th>
<th>Remarks</th>
</tr>
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<tbody>
<tr>
<td>Request for Employment of Students in Project:</td>
<td>1. Can be appointed as Project Fellow or Sr. Project Fellow or Project Sr. Research Asst.</td>
</tr>
<tr>
<td>For UG</td>
<td>2. Approved by DUGC and HOD</td>
</tr>
<tr>
<td></td>
<td>3. In case of student outside IITK, NOC of HOD and bonafide certificate.</td>
</tr>
</tbody>
</table>

For M.Tech/Ph.D

1. Can be appointed as Project Research Assistant, Project Sr. Research Assistant
2. Approved by thesis supervisor DPGC and HOD.

**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](http://web.iitk.ac.in/dord/rndforms/607.pdf)

**Procedure**

- 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](http://web.iitk.ac.in/dord/rndforms/605.pdf)

- Purchase Proposal Request along with the following documents is deposited in the Office
  - Minimum 3 quotations (for non-proprietary items).
  - Approval of Purchase Committee.
  - Comparative statement of quotations.
  - Recommendation of the Purchase Committee.
- 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

- 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 approve rates. Members can also travel through regular cabs or radio cabs – these can be 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.

<table>
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<tbody>
<tr>
<td>Apply online or fill up form (for project advance/request for journey approval and for TA advance).</td>
</tr>
<tr>
<td>Voucher is prepared.</td>
</tr>
<tr>
<td>Dean’s approval is taken.</td>
</tr>
<tr>
<td>Fund availability is checked at the time of Sr. No. generation.</td>
</tr>
<tr>
<td>Advance reference number is generated in the system and intimated to the advance holder.</td>
</tr>
<tr>
<td>Cheque/cash is prepared/ paid through ECS/cash mode (upto Rs. 10000/-).</td>
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</tbody>
</table>
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.

<table>
<thead>
<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>Settlement of advance</td>
<td>- Form is submitted to the Office.</td>
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<tr>
<td></td>
<td>- Adjustment is made in the system.</td>
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<td></td>
<td>- Sent to the audit for clearance. TA bill is not sent to Audit.</td>
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<td></td>
<td>- If advance is more than the expenditure, cheque/cash (Contingency/TA balance deposit slip) is deposited.</td>
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<td></td>
<td>- If advance is less than the expenditure, Sr. No. is generated and cheque is prepared.</td>
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</tbody>
</table>

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_appointment.php

Project transactions
http://web.iitk.ac.in/dord/rndforms/project_transactions.php

Project purchase forms
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

Project Payments
http://web.iitk.ac.in/dord/rndforms/project_payments.php

Student on project
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

RA hostel
http://web.iitk.ac.in/dord/rndforms/RA_hostels.php

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