

## **Guidelines for implementing University Funded Research Projects**



**Institutional Research Cell,**

**D. Y. Patil Education society,**

**(Deemed to be University),**

**Kolhapur 416 006**

## **Introduction**

D. Y. Patil Education Society, (Deemed to be university), DYPES DU, Kolhapur consists of medical college, Centre for Interdisciplinary Research, Nursing, Physiotherapy, and Hospitality. DYPES DU promotes R&D programs in newly emerging and challenging areas of medical science, nursing, physiotherapy, hospitality and interdisciplinary research by providing seed money for the implementation of the project proposals.

## **GENERAL TERMS AND CONDITIONS**

- a. Any faculty at any time can have one research project as a PI and one research project as a Co-PI.
- b. After submission documents mentioned in section 6, the PI can apply for new project as PI or Co PI.
- c. The PI should maintain Accession Register and Dead Stock Register for the materials purchased under the project budget heads.
- d. The Principal Institution assumes financial and other administrative responsibilities of the project.
- e. In case of inter-departmental project, formal agreement from the collaborating scientists should support the proposal.
- f. International travel is not permissible under the project.
- g. The proposals are considered for approval/rejection by Institutional research committee and experts. The IRC may seek expert opinion, wherever required.
- h. It is the policy of The University to maximize the use of equipment. In this light, Investigator shall permit the use of spare or idle capacities of equipment procured under the project by other users. Time sharing for the instrument during the course of the project and afterwards is to be determined on case-to-case basis.

The project which is approved for implementation is provided with a financial sanction which is subject to certain terms and conditions. These guidelines assist for smooth implementation of the project in conformity with these terms and conditions.

## **1. Sanction Order**

- a. Once the project is approved, a formal sanction order is issued by The Registrar as per the recommendations of the IRC/expert committee. The total cost of the project is finalized based on the latest quotation Equipment approved under the project and other relevant documents related to manpower, contingencies etc. submitted by the Investigator. The sanction order provides the detailed breakup of funds allocated under non-recurring and recurring expenditure heads like Equipment, Manpower, Travel, Consumables, Contingencies etc.
- b. Copies of the sanction order with the terms and conditions annexed to it are sent to the Principal Investigator (PI) and the authority (Registrar, Finance officer, Research Director)
- c. Any correspondence regarding the project should invariably quote the sanction order No. and date and should be addressed to the concerned official by name.
- d. Subsequent to the sanction order, the acceptance letter signed by PI and Co-PI should be submitted to the office of the Registrar.
- e. Subsequent to the acceptance letter the released amount is deposited in the bank account of the principal investigator.
- f. On intimation of transfer of funds, the PI should acknowledge the receipt with date and amount credited by e mail to The Registrar and Research Director.

## **2. Date of Commencement of Project & its Duration**

- a. The duration of the project is between one to three years and this is specified in the sanction order.
- b. The project becomes operative with effect from the date on which the grant is received by the Principal Investigator.

### **3. Principal Investigator & Co-Investigator (s) and the Implementing Department**

- a. The Principal Investigator (PI) has the primary responsibility for the implementation of the project. The project team consists of the PI, Co-Investigator(s) and the project personnel appointed as per the sanction order. It is necessary to ensure that the project is carried out by the project team in a cohesive manner. Periodic meetings of the team are essential for this purpose.
- b. In case of PIs who would be superannuating during the duration of the project, association of a “in service” Co-Investigator may be ensured by the Department head. In such cases, the Department Head should inform to the Registrar and Research Director well in advance, about their “no objection” for providing the infrastructural facilities to the PI for implementation of the project after his superannuation.
- c. Having accepted the responsibility for the implementation of the project, the PI should be committed to implement the project over its duration and should have no plans to go on long leave.
- d. In case the PI leaves the project due to unforeseen circumstances, the Co-Investigator could be considered as the PI for the duration of absence/remaining period of project subject to the approval of the PI, Head of the Department, Research Director and the Registrar. Such a request should be sent at least three months in advance along with a detailed bio-data of the Co-Investigator.
- e. In a case of superannuation of the PI, the Co-PI will be considered as PI for all administrative reasons including financial transfer and other responsibilities.
- f. The PI as well as the implementing Department has the responsibility of informing the Registrar and Research Director about any change in the status of the PI/ Co-Investigator including relieving them on short term deputation for a continuous period of 3 months or more.
- g. The project stands terminated in the absence of the PI/ Co-Investigator for a continuous period of 3 months without intimation to the Registrar and Research Director
- h. The implementing Department has an important role to play and take steps to ensure successful completion of the project, before relieving the PI.

- i. The implementing Department should provide full infrastructural facilities such as accommodation, water, electricity, communication facilities etc. for smooth implementation of the project.

#### **4. Project Staff(s)**

- a. All the personnel including Research personnel appointed under the project, for the full/ part duration of the project will be governed by the administrative rules/ service conditions of the D Y Patil Education Society.
- b. The sanction order specifies the number of personnel, in different categories, sanctioned under the project. The category of post and its emoluments are governed as approved in the sanction letter.

#### **5. Release of grants in yearly instalment and financial management**

- a. The grants for the project are released on the basis of yearly requirements taking note of the technical progress and expenditure incurred. The first sanction order indicates the budgetary allocation for the duration of the project under various heads like Equipment, Manpower, Travel, Consumable, Contingency etc.
- b. The first instalment of grant is released after the receipt of Acceptance letter from PI. It consists of the entire grant for the 'Equipment' and recurring grant for the first year of the project.
- c. Diversion of funds from non-recurring head i.e., Equipment to recurring head like Manpower, Consumable etc. is normally not allowed. However, reallocation/ reappropriation of grants under different heads requires prior approval of Research Director/IRC. Research Director may be authorized by IRC to permit the reallocation/reappropriation in certain situations.
  - i. The Equipment sanctioned on the project should be procured at the earliest to avoid any cost escalation. The PI and the implementing Department should complete all formalities of the University in advance for placing the order.
  - ii. The subsequent instalment of grant would be released annually on the basis of expenditure incurred in the previous financial year and expected expenditure in that year.

- f. However, any request for release of the next instalment should be accompanied by the following documents:
- I. utilization Certificate and Statement of Expenditure for the previous financial year (in original or copy if sent earlier);
  - ii. Technical Annual Progress Report, if not sent earlier.
- g. Formal approval of the Research Director must be taken to carry forward the un-utilized non-recurring component grant from the previous financial year to the present financial year. This request may be made while sending the authenticated Statement of Expenditure and Utilization Certificate after the financial year.
- h. The Statement of Accounts and the Utilization Certificates are year wise and are to be submitted within a period of three months.
- i. In case the Principal Investigator is not able to implement the project, the balance grant should be refunded to The University and statement of expenditure.
- j. For permanent, semi-permanent or infrastructural assets acquired solely from the project grants, an audited record in the form of a register in the prescribed format shall be maintained by the Department. The term "Assets" include (a) the immovable property acquired out of the grant; and (b) movable property of capital nature where the value exceeds Rs 10,000/-. The Department is required to send to The University a list of assets acquired from the grant.
- k. The grant shall not be utilized for construction of any building unless specific provision is made for this purpose in the sanction order.
- l. All the assets acquired from the grant will be the property of The University and should not be disposed off or encumbered or utilized for purpose other than those for which the grant had been sanctioned, without the prior sanction of The University.
- m. After completion/ termination of the project, The University will be free to sell or otherwise dispose of the assets which are the property of the University.
- n. The University reserves the right to terminate the project at any stage if it is convinced that the grant has not been properly utilized or appropriate progress is not being made as per the approved project objectives.

- o. The Finance officer, at his discretion, shall have the right of access to the books and accounts of the Department maintained in respect of the grant received from the University.

## **6. Progress evaluation and Monitoring**

i) The PI through the Head of the Department will furnish to Research Director two hard copies and a soft copy of the Annual Technical Progress report of the work carried on the project on an annual basis.

ii) The University also organizes Annual progress meeting wherein the PIs/ Co-PIs are invited to present the technical progress of their project. It is mandatory to attend such meeting. This provides an opportunity to review their progress based on which any requests by the PIs for additional grants/ extension in duration etc. are considered by the University. Subsequent releases of grant would be based on the reviewing the progress of the project.

iii) On completion of the project, the PI through the Head and Dean should send the following documents to Research Director:

Two copies of the Project Completion Report in the prescribed format;

- a) Consolidated audited statement of expenditure and utilization certificates;
- b) List of assets/ equipment in the prescribed format; and
- c) The un-spent balance should be sent through a crossed Cheque/ Demand Draft drawn in favor of The University.

## **7. Guidelines for publication of results and safeguard of Intellectual Property Rights**

i) Investigators wishing to publish technical/ scientific papers based on the research work done under the project should acknowledge the assistance received from The University.

ii) The Investigator(s) should not enter into collaboration with a foreign party (individual/ industry) without prior approval of The University.

iii) Investigators should publish the research papers emerging out of the project work in Scopus/Web of Science/ Indian Citation Index/MedPub indexed Journals.

iv) If the results of research are to be legally protected, the results should not be published without action being taken to secure legal protection for the research results.

v) In the emerging scenario at the National and International level, the Intellectual Property Rights (IPR) has assumed greater significance. Following are the guidelines which the PI and the implementing Department must follow in regard to IPR:

a) Institutions are required to seek protection of Intellectual Property Rights to the results of research on R&D projects. IPR include patents, registered designs, copyrights and lay out design of integrated circuits (IC).

b) IPR generated by The University funded projects, be owned by the University and Principal investigator and his team on equal sharing basis The IPR filing process will be done by The University at its cost.