



THE GANDHIGRAM RURAL INSTITUTE (DEEMED TO BE UNIVERSITY)

காந்திகிராம கிராமிய நிகர்நிலைப் பல்கலைக்கழகம் | गांधीग्राम ग्रामीण संस्थान (मानित विश्वविद्यालय)

கிராமம் உயர் நாடு உயகும்

Ministry of Education (Shiksha Mantralaya), Government of India.
Accredited by NAAC with 'A' Grade (3rd Cycle)

RESEARCH AND DEVELOPMENT CELL

RESEARCH POLICY

The Gandhigram Rural Institute (GRI) adopts a three pronged Educational strategy comprising of Teaching, Research and Extension. Generation of new knowledge being the mandate of higher educational institution, GRI rightly emphasizes on creating a vibrant research atmosphere ensuring the climate of academic freedom, freedom of inquiry, the right to disseminate the results and the privilege of conducting research on Societal and Nation's needs with the view to contribute for the growth and development of humanity as a whole and towards Integrated Rural Development addressing Rural issues and problems (Development) either directly / indirectly through creation of value based society encompassing Gandhian ideologies in particular.

OBJECTIVES

- i. To create and foster an ambience for research throughout and at all levels in the Institute.
- ii. To contribute towards the needs of the Nation/State/Region by undertaking scientific and action research.
- iii. To ensure the data and records are accurate, authentic and reliable.
- iv. To build up a broad research framework encompassing the various aspects including innovation, strategies and administration.
- v. To enhance the efficiency in undertaking research activities by creating a support system and
- vi. To encourage faculty members to mobilize funds / resources from National / International sources through collaborative avenues from within or with other agencies/organizations/individuals.

1. UNDERTAKING RESEARCH

Research is the mandatory activity of faculty members of Gandhigram Rural Institute which can result in quality publications in Internationally acclaimed journals and presentations in National/International Conferences/Seminars, quality presentations in meetings and training programs, generation of patents/products which are directly / indirectly useful to the society/industry, enhancement of livelihood options, quality of rural life and other similar research ventures. The research activity can be in the domains of knowledge of both traditional and contemporary and in cutting edge areas across all disciplines. Innovations towards Integrated Rural Development through creation of value based society encompassing Gandhian ideologies are given prominence.

2. RESEARCH PROGRAMMES

The guidelines on academic programs for research will be based on MHRD/UGC guidelines and as approved by Research Advisory Committee (RAC) of the institute. The recommendations of the RAC will be placed before academic council for approval. The implementation of the regulations will be based on the Board of Management (BOM) directives. The Research programmes will be coordinated by the Dean/Head/ /Director/ Coordinator at the School/Department/Centre.

3. FACULTY RECRUITMENT AND PROMOTION

Research being the mandatory activity of the institute, the recruitment of faculty members and promotional avenues will be based on the accomplishments in research as stipulated by UGC and other statutory bodies. The assessment of research accomplishments will be based on MHRD/UGC guidelines issued from time to time.

4. RESEARCH PROJECTS AND GRANTS

The Faculty is encouraged to mobilize resources from National and International Funding agencies either individually or in collaboration with faculty members of this institute or other institutes with the approval of the authorities for financial assistance. The funds mobilized will be routed through the regular administrative channels of the

institute and it is the responsibility of the researcher to complete the project on time and within the allocated budget fulfilling all the objectives of the project and adhering to the stipulations of the funding agencies. The Administration of the projects will be coordinated by a designated section in the administrative office under the supervision of Director (R&D) with the overall control of Registrar. Any dispute arising out of the project is binding on the researcher and not on the institute.

5. SEED MONEY

Authorities of the Institute, depending on the availability of the financial resources may sanction seed money to the researchers based on the guidelines stipulated from time to time.

6. RESEARCH DATA

- i. It shall be the responsibility of the researcher to collect data concerning human and animal subjects in accordance with the regulatory framework governing the use of human/animal subjects.
- ii. In the collection and use of data, the laws governing the access to privacy and personal information shall be respected.
- iii. The Researcher shall subject the data of his/her research work to a verification process by a third party, if need be.
- iv. The Data shall be retained by the researcher for a specific period stipulated by the funding agency (or) for a period of 5 years from the publication of data.

7. RESEARCH PUBLICATIONS

- i. The Institute encourages the publication of research articles by the faculty, research scholars and students in journals of repute. The publications are ought to be in UGC recognized journals.
- ii. Presentations at the National and International academic meets are also encouraged.

- iii. The Schools/ Departments/ Centres are also encouraged to bring out quality journals/ Books through their faculty with the permission of the authorities.

8. RESEARCH AWARD

The Institute shall encourage the faculty members to embark on research activities by instituting the research awards for faculty, scholars and students. The guidelines for research awards will be framed by the committee appointed for that purpose by the authorities of the Institute.

9. COLLABORATIVE RESEARCH

The Researcher shall collaborate with peers/Institutions to undertake collaborative interdisciplinary research with the approval of the authorities. It is preferable to reach agreement so that the rights and use of research output/data shall not lead to any dispute. Further the ownership of intellectual property rights may be well defined in the agreement itself.

10. COMMERCIALIZATION OF RESEARCH

The Researcher with the due approval of the collaborators, if any and the permission of the sponsoring agencies and with the approval of the authorities of the Institute, shall seek to develop the research products/outcome into a commercial venture through venture capital scheme (or) incubation units (or) through agreed regulations of the institute.

11. INTELLECTUAL PROPERTY RIGHTS

It is the policy of the institute to encourage the faculty members to patent their research products through Intellectual Property Rights (IPR) framework. The Institute shall support such endeavors for patent verification, filing and examination through IPR cell.

12. PLAGIARISM

It shall be the responsibility of the researcher to ensure that he/she does not engage in plagiarism. With respect to the plagiarism, the regulations of UGC as approved by the authorities of the Institute shall be binding on the researcher.

13. RESEARCH ETHICS

The Researcher shall follow the ethical code of conduct prescribed by the Institute in the adoption of research practices, conduct of research with animal and human subjects which come under the regulatory framework available. The researcher shall conform to all ethical principles in the publication of research work also.

14. RESEARCH MISCONDUCT

- i. The Researcher shall comply with regulatory framework governing the conflicts of interest and consulting activities.
- ii. The Researcher shall not involve in any misconduct with regard to the research activities and will be governed by the disciplinary rules of the Institute.
- iii. The Institute reserves the right to undertake any steps for ensuring integrity & honesty by taking suitable steps against the individual or group, wherever required.

15. CUSTODIAN OF POLICY

The Research policy of the Institute will be reviewed every 3 years or as and when required by the authorities. The Institute has the right to modify or bring a new policy of research. The Registrar, GRI will be the custodian of the policy.



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RESEARCH AND DEVELOPMENT CELL

NORMS FOR EXECUTING PROJECTS

1.0 Formulation of Research and Development - Guidelines

Existing SPARC (Sponsored Project and Action Research Cell) will be replaced by a new cell called Research and Development (R&D) with improved functional autonomy to administer all the projects of GRI.

The administration of all the projects in GRI will be done by the R&D.

- 1.1 The R&D will be headed by a Senior Academician who will be the Director in addition to his basic duties in the Department / Faculty.
- 1.2 The cell will be member by adequate administrative staff including a person from finance.

2.0 Functions of 'R&D'

- 2.1 The Director will scrutinize all the project proposals received from various Project Investigators duly forwarded by HODs and forward to the funding agencies in a maximum of 2 days time.
- 2.2 **The Director will obtain the consent of the Registrar for forwarding the proposal.**
- 2.3 **Once the sanction for a project is received from the Funding Agency the S.O., R&D will open a file in the name of the project, provide unique ID to the project, open a separate file and also will mark a copy of the sanction order to Finance Officer, the Principal Investigator and Co- principal Investigator, if any.**
- 2.4 **Once the grant is received, the Director, R&D will advice Finance Section to deposit the same in the appropriate Account of the University, and mark a copy of the DD to the Principal Investigator.**
- 2.5 The R&D will also open a separate Ledger for each project allotting the fund to various heads in different pages of the ledger.
- 2.6 The R&D will process all the proposals pertaining to the purchase of equipments, advances, appointment of project staff, tour, etc. and issue sanctions accordingly, by duly obtaining remarks from Finance Officer and approval from the Registrar wherever required.
- 2.7 Once in three months, the R&D will send the status of Accounts to the Principal Investigators.
- 2.8 As and when the requests from the Principal Investigators are received for FUC, the R&D will facilitate the issue of the same within seven days by duly getting the signature of F.O. and the Registrar.

- 2.9 The R&D will also verify the accounts of each project with the ledgers of F.O. section
- 2.10 The R&D will also maintain Stock Register for each project separately.
- 2.11 Wherever Auditing of project accounts need to be done, the same will be done and such auditing charges will be met from the concerned projects.

3.0 Functions and Responsibilities of Finance Office

- 3.1 The Finance Office will similarly have a separate section called Project Account Section (PAS) with required Man power. That is F.S. II will be replaced or renamed as PAS.
- 3.2 As soon as the copy of the letter for project sanction is received from R&D, PAS will open a file for each project separately.**
- 3.3 Once the Project Grant is forwarded to Finance Section by R&D and a copy of the DD is received by Principal Investigator, Finance Section II (PAS) will open a separate ledger allotting different pages to different subheads of the project and maintain the detailed head-wise account.**

FO's Account will give the final status of account after the disallowed amount, if any. The ledger maintained by R&D will be only a guideline Account in facilitating R&D to process the papers of the projects. So once in three months R&D will have to update the Ledger of Account for each project with Ledger of PAS.

- 3.4 After processing the bills for payment PAS' / FO will raise the cheque and handover to R&D for effecting payment to clients or to the P.I.s.
- 3.5 On request from 'R&D', PAS / FO will prepare FUC on the basis of their ledger and handover to R&D for further necessary action.

4.0 Classification of Projects

- 4.1 Generally projects which help in generation of new knowledge, developing new technical process or creating new products or such ventures worthy of academic standards of the University teachers, etc. can be taken by the staff of the University in tune with the objectives of the University.
- 4.2 The Investigators will themselves require expertise in the field to which the proposed project is made out so that Rural University will have more experts and professionals to lend their services to the needy. The project can be carried out by the investigators without any prejudice to the other duties and responsibilities of the Investigator in the university.
- 4.3 The project can be classified into three types on the basis of the nature and budget
 - a. Budget Defined Projects
 - b. Budget Un-Defined Projects
 - c. Consultancy Projects

4.3.1. Budget Defined Projects:

The projects in which the funds are allotted under definite heads will fall under this category. However, the Principal Investigator can temporarily transfer the money from one subhead to another subhead with due approval of the Vice-Chancellor and the same has to be readjusted once the subsequent fund is received.

4.3.2. Budget Undefined Projects:

Undefined projects are those wherein no definite allocations of funds are made under different heads, but only blanket allocation of funds is made by the funding agency. In such cases the P.I.'s will be asked to give various budget heads which will be approved by the R&D. Any subsequent deviation from that will be permitted only with the approval of the Vice-Chancellor. These head-wise allotments will be entered in the ledger by R&D and also with a copy marked to FO.

4.3.3. Consultancy Projects:

4.3.3.1 Projects which involve solving of problems using the expertise available in the Department / individual faculty can be classified as consultancy projects.

4.3.3.2. For the implementation of consultancy related works, the facilities available in the university may be used with the permission of the Authorities. Projects which involve development of new products can not be categorized under this heading. Revenue sharing will be as in 14.5.

4.4 MOU: The special officer of R&D is authorized by the University to sign the MOU on behalf of the University, if need be, for the project.

4.5 It is the responsibility of the PI to adhere to the MOU in letter and spirit.

5.0 Technical Services

5.1 Engineering / Science Departments may permit outside agencies to utilize their testing facilities / instruments.

5.2 Laboratory services can be offered to the requesting organizations / individuals on payment basis.

5.3 Only technical persons of the departmental / faculty / Centre will be permitted to operate instruments.

5.4 Instruments can be spared (i) for taking data on rental basis (ii) charges can also be collected for data analysis and expert opinion.

5.5 For the expert opinion, rules of consultancy sharing will be as per Item 14.5

5.6 The Head of the Department concerned may get prior permission for fixing the charges for each of these tests / measurements.

- 5.7 A pamphlet indicating the testing facilities will be brought out along with the charges for the same by the R&D.
- 5.8 Amount accrued through lending of lab service will be shared by the Institute (GRICF) and the Department (DDF) in the ratio 50:50. At the end of June, September, December and March the Departments will transfer the accrued sum for depositing into GRICF & concerned DDF.

6.0 The date of commencement of the project

It is normally the date of receipt of the first installment of the project fund or the guidelines as laid out by the funding agency will be date of commencement of the project. Such date will also be communicated to the funding agency to avoid any confusion regarding dates.

7.0 General Approval

The Principal Investigators can get general and overall approval for the project operation as shown in (Annexure-I) which will be processed in 5 working days. Such letters will be addressed to the Registrar by the P.Is but will be submitted to R&D office directly.

The PIs, are expected to give as explicit details as possible in the overall approval sought by them for purchase of Equipments (as per item 2.0, annexure-I) consumable (as per item 3.0, annexure-I) and other purchases (as per item No.3.0, annexure-I etc.) In the overall approval itself the PI can get the call letter approved. (as per annexure IB, Selection Committee (as per IC), Purchase Committee (as per ID). This will be valid for the entire period of the project unless the PI wants to change it. **[However the entire budget has to be well within the norms prescribed by the funding agency].**

8.0 Recruitment of Project Staff

- 8.1 Qualification of the project staff shall be as prescribed by the Funding Agency, otherwise by the Principal Investigator.
- 8.2 The Principal Investigators are encouraged to employ non stipendiary Ph.D., scholars / PG students / Scholars on part time basis so that it leads to enrichment of student knowledge. The salary claim may be made in prescribed format (Annexure - II).
- 8.3 **A committee comprising the following will be constituted by the authorities of the University for the Selection of project staff.**
 1. **Principal Investigator / Project Holder - Convener**
 2. **Co- Principal Investigator - (Wherever applicable)**
 3. **Head of the department - Member**
 4. **Nominee of the Funding Agency / - Member (in the case of later PI will submit a panel of 3 names from which VC will nominate one expert)**
 5. **Special Invitee/Subject expert as the case may be**
(Incase the PI happens to be the head, a senior teacher of the Department will be included)

Special Officer, R&D may also serve as VC nominee. This nomination will be valid for the entire duration of the project. However, at the request of P.I. the committee can be reconstituted by the authorities during the course of the project. TA/DA, if additional Experts are called as special invitees, will be met from the Project fund.

8.4 In each selection process, the marks will be awarded as follows: 30 credits to the prescribed qualification, 20 credits to the additional related qualification, 20 credits to the relevant previous experience @ 5 credits per year and remaining 30 credits to the performance in the interview. Such 30 credits of the interview will be the average of all the three (four) experts as shown in Annexure-III B.

8.5 The Vice-Chancellor's nominee is needed in the selection committee only for the project staff whose salary will be above Rs.10,000/- per month. For less than Rs.10,000 category a local 2/3 member selection committee with HOD, Principal Investigator and Co-Principal Investigator is empowered to select the project staff. However, procedure will be as per Annexure - III B.

9.0 Purchase of equipments and materials

9.1 All the purchases are to be made as per GFR norms & duly utilizing the purchase committee.

Sl. No	Value in Rs.	Mode of Purchase
1.	Less than Rs.25,000	Can be done by Principal Investigator/Co-Principal Investigator without calling for quotation.
2.	25,000 - 1,00,000	By calling for three quotations and utilizing the purchase committee for the project/at DGCA rates
3.	1,00,000 - 25,00,000	Limited tender from Registered supplier. The Number of tender should be more than three. Web publicity may also be done.
4.	Greater than 25,00,000	Invitation of tenders by advertising in News papers.

9.2 Purchase of goods can be done directly under rate contract.

9.3 For procurement of goods up to Rs. 25 lakhs, limited tender may be invited from registered suppliers of DGS & D. The number of supplier/Firms should be more than three. Web based publicity may also be done.

9.4 For procurements of goods of estimated value of Rs.25 lakhs and above - Invitation of tenders by advertisement in Newspapers is to be followed.

10.0 Travel

10.1 Travels related to the projects are to be permitted by the Director, R&D.

10.2 For presentation of the project proposal, the university will give on duty leave and the travel by eligible class. However this can be permitted twice a year.

10.3 When the university funds are utilized, it is subject to availability of funds.

11.0 Advance

11.1 Advances will be paid as per the requirement of PI on the basis of sanction order. For multifarious activities of the project single advance can be given.

11.2 Advance will have to be settled within 15 days from the completion of the last activity for which the advance is claimed. No further advance will be paid unless account for the previous advance are submitted.

11.3 The P.I. can have separate advance for each project.

11.4 The P.Is having more than one project can have one Account in their name and operate all the project accounts.

12.0 Coordinators / PI's Honorarium

The P.I.'s / Coordinators of the project will be paid honorarium / coordinating charges as per the allocation given in the budget. This amount is not to be treated either as a consultancy charges / or the PDF allocated under overhead charges.

13.0 Patent / know how transfers

13.1 The faculty members are encouraged to take patents / transfer of know how of patents/ process/ development

13.2 When the patent rights belong to the Institute, the service charges, sale proceeds received by the Institute will be shared by the concerned faculty member and the Institute on 50:50 basis.

13.3 Similarly share between individual and the university will be effected on know how transfer also.

13.4 In this regard, GRI will engage a consultant for Patent Filing. The consultancy fees, processing fee will be borne by the Institute, if the patent rights belong to the Institute.

13.5 Sale of software developed by the faculty will also be encouraged and the norms for the know how transfer can be made available

14.0 Over Head Charges / Consultancy Charges

14.1 Generally the over head charges to the extent of 20% may be included by the Principal Investigators in the sponsored research projects. However in case the funding agencies have their own norms, the same will be adopted.

14.2 For training programmes the institutional charges of 10% may be levied. The proposal should indicate the budget expenditure, so that contradictions do not arise at a later stage.

14.3 The overhead charges will be shared as follows

- i. **40% to Principal Investigator's Development Fund (PDF)** and
- ii. **60 % to Institute Fund (i.e.,) Institutional Charges**

14.4 The PDF can be used for the following purposes by the Principal Investigators

- Membership in professional bodies
- Subscription of Journals
- Infrastructure improvement for his research / Lab
- Attending conferences and Other project presentations
- Travel abroad
- Evaluation meetings of the projects after the project period
- Utilizing the grant for the extended period of the project, if funding agency did not sanction additional fund

14.5 Sharing of Consultancy Charges:

- a. **If the facilities of GRI is utilized for the consultancy work 50% of the Consultancy component will go to GRI and 50% to the Consultant / Group.**
- b. **If the facilities of the Institute are not utilized for the consultancy work 1/3 of the charges will go to the GRICF and 2/3 to the Individual or Group.**
- c. **Fund accrued so by the consultancy projects from item 14.5 (a) and (b) will go to GRI as follows.**
 - i) **50% Department Development Fund (DDF)**
 - ii) **30 % Gandhigram Rural Institute Fund (GRIF)**
 - iii) **20% Gandhigram Rural Institute Corpus Fund (GRICF)**
- d. The consultancy component of the consultants will be shared by the consulting group amongst themselves and suitable formula will be worked out by R&D in consultation with main / chief consultant.

14.6 Unspent amount if any, will be either refunded to the Funding Agency/deposited to Corpus Fund of the Institute.

15. Miscellaneous

15.1 All correspondences by P.I. with the funding agency with regard to the financial aspect / sanction / settlement of accounts are to be routed through R&D.

15.2 An imprest amount of not exceeding Rs.5,000.00 may be sanctioned for each project to the Principal Investigator, based on PI's request.

15.3 The request for sanction may be made in the proper format.

15.4 After the utilization of advanced amount, further request can be made in the proper format and thus the imprest can be periodically recouped. The imprest amount sanctioned should be noted while rendering account. The imprest amount will be suitably reduced/ increased as per requirements.

15.5 The advance clearance certification will be issued by Finance Section within 10 days from the date of settlement of accounts.

15.6 The utilization certificate will be issued to the funding agency within 10 days from the date of submission of accounts after the closure of the project.

While requesting for UC, the PI should enclose a certificate from the Head of the concerned faculty / department Centre that the assets purchased out of the project funds are transferred to the department stock register. However, the PI will continue to use these assets till superannuation / retirement / leaving GRI.

15.7 The P.I.'s can be permitted to be away on duty for a period of maximum of 3 days in a month per project for the project related work.

15.8 It is the responsibility of the P.I.'s to see that his / her academic schedule is not in any way affected.

15.9 The request for OD should be through the Head of the Department in the prescribed format. The Principal Investigators must get prior permission for undertaking travel.

15.10 The guidelines of the funding agency will be followed with regard to TA / DA only if detailed and specific rates, procedures, documents, etc., are clearly defined. When no clear guidelines are stipulated, the Institute rules will be followed.

15.11 The R&D will evolve user friendly formats for claiming fellowship, expenditure proposal, statement of accounts, application for OD, permission for travel etc.,

15.12 The R&D will insist on submission of accounts by the P.I.'s with in four weeks, and process claims in **10 days**. No bill will be kept pending in R&D for more than 2 weeks.

16.0 Monitoring of Projects

The SPARC may appoint monitoring committee consisting of teacher of the Institute with experience in project handling to monitor the implementation of the project, to verify whether physical and financial targets are achieved.

16.1 Principal Investigators may be asked to send half yearly physical and financial progress report against the targets to the R&D.

17.0 Grievance Mechanism

Any grievance with regard to the functioning of the R&D / settlement of accounts / issue of sanction orders can be brought to the notice of the Registrar immediately.
