



सिद्धार्थ विश्वविद्यालय, कपिलवस्तु सिद्धार्थनगर-272202

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सूचना

एतद्वारा समस्त सम्बन्धित को सूचित किया जाता है कि विश्वविद्यालय मे प्राप्त विभिन्न रिसर्च अनुदान के उपभोग/क्रियान्वयन हेतु गठित समिति की संस्तुतियों को विद्यापरिषद की बैठक दिनांक 20-03-2023 के बिन्दु संख्या-02 एवं कार्यपरिषद की बैठक दिनांक 23-03-2023 द्वारा प्रदत्त अनुमोदन के क्रम में "Guidelines for Sponsored Research Project and Consultancy at Siddhrath University" निर्गत की जाती है।

विस्तृत विवरण विश्वविद्यालय की वेबसाइट www.suksn.edu.in पर उपलब्ध है।

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पत्रांक 361 / शोध / सि0वि0वि0 / 2023

दिनांक 1 / 4 / 2023

प्रतिलिपि:—निम्नलिखित को आवश्यक कार्यवाही हेतु प्रेषित।

- 1-समस्त सम्बन्धित परियोजना प्रभारी।
- 2-कुलसचिव/वित्त अधिकारी, सिद्धार्थ विश्वविद्यालय, कपिलवस्तु, सिद्धार्थनगर।
- 3-प्रभारी रिसर्च एण्ड डेवलपमेंट अनुभाग।
- 4-सहायक कुलसचिव(शैक्षणिक), सिद्धार्थ वि0वि0, कपिलवस्तु, सिद्धार्थनगर।
- 5-निजी सचिव, कुलपति को माननीय कुलपति जी के अवलोकनार्थ।
- 6-प्रभारी कम्प्यूटर सेल को इस आशय से प्रेषित कि उक्त सूचना सिद्धार्थ विश्वविद्यालय की वेबसाइट अपलोड कराना सुनिश्चित करें।
- 7-सम्बन्धित पत्रावली में संरक्षित हेतु।

सहायक कुलसचिव(शोध)

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**Research and Development (R&D)
Guideline for Sponsored Resresearch Project
and Consultancy at Siddharth University**



Siddharth University Kapilvastu

Siddharthnager-272202, Uttar Pradesh

<https://www.suksn.edu.in>

A. GUIDELINES FOR THE SPONSORED RESEARCH PROJECT AND CONSULTANCY

The National Education Policy (NEP) 2020 envisages the promotion of quality research within the Higher Education system. Research and innovation are important aspects to enhance quality education by the Higher Education Institutions (HEIs). The establishment of Research and Development office at the Siddharth University, Kapilvastu, Siddharth Nagar is expected to play a crucial role in promoting and catalyzing multidisciplinary/ transdisciplinary and translational research.

VISION

To be a leader in Science and Technology and to put in places a robust mechanism for developing and strengthening the research ecosystem within the Siddharth University.

SCOPE

These guidelines shall be called as "Research and Development (R&D) guidelines for Sponsored Research Project and Consultancy at Siddharth University".

1. DEFINITIONS:

Center of Excellence: The Center of Excellence refers to the Center of Excellence instituted at the Siddharth University

Client: means an individual or an organization or any agency for whom consultancy project is to be or has been taken.

Co-Investigator (Co-PI): A faculty member of the University or external institution/ University who shall work along with Principal Investigator on the specified project, as notified by the Siddharth University

Competent Authority: The competent authority shall be referred to the Vice Chancellor of Siddharth University or any other designated position to whom the Vice Chancellor has delegated the authority.

Consultancy Project: Time-bound specific problem-solving projects sponsored by funding agencies/organization with payment of consultancy fee/honorarium to the Investigator(s)/Consultants in addition to all other expenses.

Consultant In-charge (CI): means 'Project Coordinator' who shall be a faculty member and who intends or undertake a consultancy project.

Consulting Project: implies the industrial consultancy projects or routine testing projects.

Consultancy Project Staff: a person appointed in conformity with the guidelines to work on a project.

Department: The 'Department' refers to the constituent academic units of the Siddharth University running the academic programs.

Faculty: The 'Faculty' refers to the constituent Faculty of the University.

Individual Research and Development Grant/ Fellowship: Research and Development grants-in-aid

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offered to individual faculty, research fellows from the sponsors and executed using University facilities with financial support from the granting agencies towards equipment, contingency, overhead, fellowship etc.

Principal Investigator / Investigator-In-Charge (PI): A faculty member of the Siddharth University with the necessary expertise and competence to conduct a Sponsored Research / Industrial Consultancy work and assigned by the Siddharth University as the lead in-charge of the project.

Faculty Professional Development Fund (FPDF) means fund for individual academic staff who will contribute to PDF, the objective of which will be to help an individual faculty in their professional development. A part of the University overhead charges from Sponsored Research Projects (as a non-lapsable component) shall be transferred to the PDF of the concerned PI.

Research Center: Research Center refers to the Research Centers instituted at the Siddharth University

Research Staff: The staff employed under the project on temporary basis in the University

Sponsor: The Government/Public/Private/ Autonomous Bodies/ organizations that sponsor the project to the University and provide necessary financial support for the successful completion of the project in time. The sponsor can be national or international organization with due legal status.

Sponsored Research Project: Time and cost bound projects allocated to the faculty members of Siddharth University sponsored by external agency/ identified sponsor

University: The 'University' refers to Siddharth University at Kapilvastu, Siddharth Nagar, Uttar Pradesh

2. SUBMISSION OF PROJECT PROPOSALS

The faculty members shall prepare the project and the PI shall submit the project to its parent department.

2.1 Each Department will have a Project Screening Committee (PSC), with the following composition:

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|---|-----------------|
| a) The Dean of the Faculty to which the PI belongs | Chairman |
| b) The Head of the Department / In-charge to which the PI belongs | Member/Convener |
| c) The Head of the Department (or his nominee) to which the Co-PI(s) belongs. | Member |
| d) PI & Co-PI (s) of the concerned Project | Member |

2.2 The Head of the concerned department shall fix the meeting of PSC with the consent of the Dean of the Faculty within three working days of submission of the Project Proposal.

2.3 The PSC will recommend the submission or otherwise of the Research Proposal within a couple of days of the meeting as per the format given in **Annexure 1**.

2.4 The PSC will certify the checklist as given in **Annexure 1**.

2.5 The office of the concerned administration (Research and Development) should endorse and ensure forwarding the approved research project proposal to the concerned funding/sponsoring agency within

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one week of receipt of a proposal.

- 2.6 Project proposals that require Ethical Clearance/Bio-Safety Clearance/ Animal Ethics Clearance will be concurrently submitted to the concerned Committee/s by the PI. The concerned Committee should convey its decision within a fortnight of submission. In case the same is not available within the stipulated time, the Research and Development office shall remind the concerned Chairman to ensure that the clearance is issued without delay.
- 2.7 The University shall have its duly constituted Ethics Review Board for the review and issuing of the clearance certificate.
- 2.8 If a project has one or more Co-PI, the role of PI and Co-PI(s) may be defined. All the correspondence relating to the Project will be sent by the PI directly to the administrative office (R&D).
- 2.9 In case of the interdisciplinary/ multidisciplinary projects submitted through the Center of Excellence/ Research Centers of the University, the submission shall be made through the PSC of the respective centers. The Center of Excellence/Research Centers shall notify their respective PSC (s) with the approval of competent authority.

3. ALLOTMENT OF PROJECT CODE NUMBER

- 3.1 On receipt of sanction/first installment of funds of a new project, the administrative office (Research and Development) will allot a project code no. and communicate the same to the PI and other concerned offices within a week. This number must be referred to in all future correspondence with respect to the concerned project.
- 3.2 Once the PI or the funding agency informs the administrative office (Research and Development) that the funds have been sanctioned and likely to arrive soon, the Finance and R&D Section along with the PI shall ensure the arrival of funds and smooth communication to everyone concerned.
- 3.3 The effective date of implementation of the project shall be as defined by the sponsoring agency. If such a date is not defined by the funding agency, then the date of joining of the PI/date of receipt of the grant (whichever is earlier) shall be the effective date of implementation of the project. However, in all such cases, the date of implementation of the project must be intimated by the PI to the administrative office.
- 3.4 Any expenditure incurred prior to the implementation date of the Project and after the expiry of tenure of the Project shall not be admissible unless permitted by the funding agency. However, in case of any extraordinary condition, the decision of the competent authority will be final.

4. PROCESS OF RECRUITMENT IN THE PROJECT.

- 4.1 All positions approved by the funding agency under the project will be filled in after due process. For all scientific/Research staff positions, the advertisement should be made in at least one reputed newspaper/ Employment News/Current Science (or equivalent journal for other disciplines)/ University website, while for support staff (non-research), the advertisement should be published on University website. The guidelines of the sponsoring agency shall be followed for the process of recruitment in the project. The detailed information shall be made available on the University website as per the proforma given in **Annexure 2**.
- 4.2 In cases where either the available contingency grant is limited and/or the period for which appointment is to be made is less than a year, advertisement in press may not be necessary. Instead, the PI will be required to send copies of advertisement to at least 10 universities/ Institutes/Centre/national laboratories/ Research Institutes under Certificate of Posting across the country via speed post or email.
- 4.3 All advertisements must be displayed on department/faculty notice boards and on the University

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website.

- 4.4 The PI should draft the advertisement for staff positions available under the project following the general guidelines as given in **Annexure 2 and 3**. The minimum qualifications for Research staff (Scientist, RA, SRF, JRF or Project Assistant etc.) under the project will be in conformity with those required by the funding agency and the University. Further, the minimum qualifications required for JRF will be commensurate with eligibility conditions for registration for Ph.D. in the Siddharth University, in addition to those of CSIR/UGC JRF/NET/SLET or the funding agency. For support staff, the qualifications and remunerations will in general be as per the comparable support staff positions in the University, unless otherwise specified by the funding agency (**Annexure 3**). *The PI must ensure that advertisement is made as per rules. If the advertisement contravenes any of the guidelines prescribed by the funding agency and/or University, the proceedings of the Selection Committee shall be null and void.* The PI may seek advice/clarification of the office of the administrative office (Research and Development) in case of doubt.
- 4.5 The PI will provide the draft advertisement to the Press and Public Relation Office (PRO) of the University for publication in the desired newspaper/journal (as specified above), with a copy to the office of administrative office (Research and Development). A detailed notification as in Annexure 2 will also be sent simultaneously to PRO Cell for forwarding the same to the Computer Centre for placing it on the University website.

5. SELECTION AND APPOINTMENT ON SANCTIONED POSITIONS IN THE PROJECT

- 5.1 All appointments on the approved positions under a project will be made through interview by a Selection Committees constituted for the purpose as given in the **Annexure 4**. Short-listing of applicants to be called for interview will be made by the PI (and Co-PI, if applicable) and a précis of candidates called for interview will be prepared as given in **Annexure 5**. No TA/DA will be payable to candidates appearing for interview, unless provided for under the project.
- 5.2 If positions sanctioned by the funding agency are required to be taken over by the University after the termination of the project, selections in such cases will be as per the process followed for equivalent permanent positions.
- 5.3 Proceedings of the Selection Committee meeting will be recorded as per proforma in the **Annexure 6 and 7**. Soon after the meeting of the Selection Committee, the PI will forward the following documents (**Annexure 9**) to the administrative office (Research and Development).
- A merit list of the appointments has been made in conformity with the prescribed rules as per the Annexure-6.
 - Selection committee proceedings and clear recommendation.
 - Mark-sheets and other relevant documents of the selected candidates
 - Two copies of précis showing the bio-data of candidate who have been selected against the posts/research fellowship
 - List of applicants along with the details of qualification.
- 5.4 The Research and Development Section shall examine the proceedings of Selection Committee and communicate approval or otherwise to the PI with in a fortnight of receipt of complete documents. The PI shall issue appointment letter as per Annexure 8 and forward a copy of joining letter (**Annexure 10**) to the R&D Section, within three working days of the joining of the candidate. The R&D section shall forward the relevant documents to the Funding/ Sponsoring Agency, if necessary.
- 5.5 The tenure of the positions sanctioned in the project will be for the period as stipulated in the

approval letter beginning with the actual date of implementation of the project till termination of the Project. The University will not be responsible for any liability of the project staff beyond the duration / scope of the Project.

- 5.6 The fellowship/stipend shall normally be terminated on completion of its tenure or from the date the Fellow/ Research staff resigns and his/her resignation has been accepted by the PI. The Fellowship/stipend may be terminated by the funding/sponsoring agency or by the competent authority at the University on the recommendation of the PI and Head of the Department. Same will also apply to other staff appointed in the project.
- 5.7 The period of the engagement may be extended, based on the request of PI, subject to the availability of the funds in the project as well as duration of the project. All the appointments in the project/consultancy shall be co-terminus with the project/consultancy.
- 5.8 If a fellow/ research staff leaves without permission, stipend/fellowship due at any time shall not be paid to him/her, till all dues are cleared and certified by the PI.

Terms and conditions of Appointment

All appointments on projects shall be purely temporary and can be made only if the position is explicitly sanctioned by the funding agency. The emoluments payable to any of the appointees will be as per the sanction given by the funding agency. All appointments will be co-terminus with the project. Other Terms & Conditions of appointment should be as per funding agency / University guidelines. In case the positions are not explicitly mentioned the P.I. will make specific proposal about positions.

6. HIRING ON DAILY WAGES OR ON CONTRACTUAL BASIS

If there is a need, the PI is allowed to hire on daily wages/contract for a period not exceeding 30 days at a time. For contractual hiring for a period longer than 30 days, approval of administrative office (Research and Development) will be required on the prescribed Performa. *The PI must ensure that the hiring is as per specific requirements, within the financial limits of the project and is in accordance with the relevant rules/guidelines in operation at the given time.*

For continuation of the same contractual employee for more than 30 days approval from competent authority should be obtained. In any event, approval for contractual engagement for more than 3 months in the same project would not be given. The relieving of the project staff shall be issued only after obtaining the no dues certificate from the concerned PI.

7. PURCHASE PROCEDURES

- 7.1 On receipt of the 1st installment of the project/ grant from the funding agency, the PI will inform the office of the administrative office (Research and Development) and the Finance Officer about the breakup of the received grant under different budget heads, unless already indicated by the funding agency. On receipt of subsequent grants also, the PI shall intimate the breakup. The PI can reallocate the previous year's unspent balance (as per U/C of the previous year) under different heads, as required and permissible provided that the reallocated amounts remain within the total amount sanctioned by the funding agency under the given budget heads.
- 7.2 All purchases of non-consumable and consumable items and other expenses will be in accordance with the terms and conditions of the funding agency and as per the purchase rule of the Siddharth University.

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8. PROJECT PURCHASE COMMITTEE

Each project must have a separate **Project Purchase Committee (PPC)** with PI as Convener. For purchase of items that require prior registration of order in the Finance section (purchase on limited or open-tender basis), the Project Purchase Committee will be as follows and must be notified by the competent authority:

- | | |
|---|-----------------|
| a) Head of the department / his Nominee | Member |
| b) Two permanent teachers from the department
/Allied department | Member |
| c) Principal Investigator | Member/Convener |
| d) Co-Investigator/s (if any) | Member/s |
| e) Finance Officer Nominee | Member |

The approved Project Purchase Committee will be effective for the entire duration of the project. In some cases, if required, PI can also make purchase through departmental purchase committee.

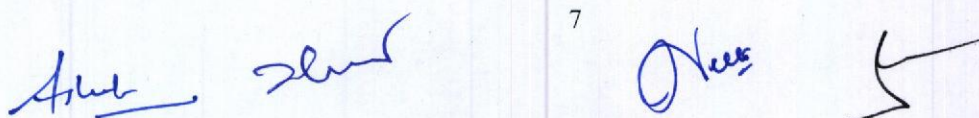
9. UTILIZATION OF PROJECT FUNDS

- 9.1 The PI shall maintain a record/ stock register of all the consumable and non-consumable items (Equipment, Book, Journals and any other Capital item) purchased under the project. The stock entry of all the non-consumable items shall be supplied to the R&D section through the concerned head of departments.
- 9.2 A list of all non-consumable items (Equipment, Book, Journals and any other Capital item) procured out of Project Funds shall remain with the P.I. till he/she continues to be formally associated with the Department. In case of special circumstances, if the P.I. translocate to other institution, the project transfer along with the non-consumable items will be done as per the regulation by the University and funding agency.
- 9.3 The equipment grant is to be used to procure equipment(s) as approved by the Funding Agency. However, if there is a need to change specification of the equipment or requirement of additional equipment, it should be done only with prior concurrence of the Funding Agency.
- 9.4 Re-appropriation of Funds from one approved item to another will be permitted in the light of specific guidelines of the Funding Agency or with the approval of the competent authority.
- 9.5 Claim for TA/DA for project related travel by the PI/Co-Investigator/ other project staff will be made as per the entitlement under Government of India rules OR as provided especially by the Funding Agency. Central Government and state Government funded project will be entitled for claiming TA/DA as per the rate allowed by the Central and State Government respectively. The TA/DA bill of PI, Co-PI and any other employee involved in the Project will be sent through the concerned Head of the Department to the Finance Office for payment. In case the PI/Co-PI has to travel, for contingent reasons, by air but is not entitled for the same, a prior approval of the competent authority may be obtained.
- 9.5 The finance office will introduce a checklist to ensure that all objections, if any, on a given bill submitted for payment are listed at one time so that the PI can comply with all of them in one step to avoid unnecessary delays in passing and payment of bills.

10. ADVANCE PAYMENT FROM THE PROJECT GRANT

In order to meet day-to-day contingent expenses of the project, the PI can draw temporary advance (up to Rs. 25,000/-) from project fund in his/her own name or his nominee. The adjustment account

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against the advances is to be submitted within a period of one month from the date of drawl of advance.

11. UTILIZATION OF OVERHEAD CHARGE / ADMINISTRATIVE CHARGES

11.1 The overhead/administrative charges accrued by the implementation/completion of the project shall be distributed as under.

- (i) PI(s) and Co-PI of the Siddharth University: 65% of the overhead/ administrative head of the grant shall be allocated and utilized by the PI and Co-PI involved in the Project which shall be distributed equally amongst them or specified by the PI.
- (ii) 20% of the overhead/ administrative head of the grant shall be allocated and utilized by the host department for the development activities which shall be operated by the concerned Head of Department
- (iii) 5% of the overhead/ administrative head of the grant shall be allocated to the concerned Faculty (s) where the PI/Co-PI belongs which shall be operated by the concerned Dean.
- (iv) 10% of the overhead/ administrative head of the grant shall be retained by the University which will be used for Development Activities and infrastructure facility to promote research in the University with the approval of the competent authority.

11.2 In case PI and Co-PI are from different Departments/ Faculties, the disbursement of point (i) and (iii) shall be distributed amongst the concerned department and faculty where the PI and Co-PI belong respectively. The University shall maintain a Faculty Professional Development Fund (FPDF) of each faculty member, separately. The amount disbursed in point no. (i) shall be allocated towards the respective Faculty Professional Development Fund (FPDF) and operated by the faculty members as per the University norm.

11.3 The above overhead /administrative charges shall be utilized for the following purposes:

- a) Strengthening/developing of Infrastructural facility in lab or in department. This can include expenditure on items like furniture, equipment, books etc.
- b) Travel of PI/Co-I and/or registered Ph.D. scholars under the concerned PI/Co-PI for attending seminars/ conferences/ workshops etc.
- c) Payment of Audit fee* to the external Auditor for the concerned project on the request of the PI which shall be debited out of the admissible account of PI under the overhead / administrative charges (if required).
- d) Expenses related to filing of patents.
- e) Membership of Professional Society and Journals
- f) Other developmental and academic activities

* In the case where there is no provision of the overhead/ administrative charges in the project or not provided by the funding agency, the admissible audit fee to the External Auditor if required, shall be paid by the University.

12. SUBMISSION OF ANNUAL STATEMENT OF EXPENDITURE/UTILIZATION CERTIFICATE, CLOSURE OF PROJECT ACCOUNT AND ISSUE OF "NO DUES: CERTIFICATE

12.1 The PI and Co-Investigator/s (if any) will be responsible for timely submission of Progress reports as required by the funding agency. At the end of each financial year, the Annual Statement of Expenditure (SE) and the Utilization certificate (UC) will be prepared by the PI. The R&D along with Finance Section will ensure quick reconciliation of the SE and UC and will expeditiously forward these to the concerned funding agencies so that the next year's funds are released in good

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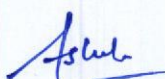

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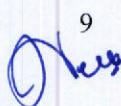
- 12.2** The Principal Investigator should settle the accounts within three months on completion of the Project. Utilization Certificate (from Chartered Accountant, if required) will be obtained by the R&D along with Finance Section within six months from the date of completion of the Project/receipt of the last installment from the funding agency, whichever is later.
- 12.3** Soon after the final account is settled, the PI should submit an application to the administrative office (Research and Development) for the issue of "**No Dues**" certificate as per the proforma and enclosing therewith the Audit and Utilization Certificate, Statement of Expenditure and Final Technical Report. The "**No Dues**" or "**Dues**" certificate will be issued to the Principal Investigator of project/ within one financial year from the date final accounts were settled.
- 12.4** Responsibility of adhering to the rules and regulations stated herein lies with the Principal Investigator and the concerned administrative R&D office.

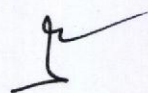
13. NON-AVAILABILITY/ TRANSFER/ RELOCATION/ DEMISE OF PRINCIPAL INVESTIGATOR

In the cases where the Principal Investigator is not available/ not able to continue the project in the University due to the various conditions such as transfer/ relocation/ superannuation/ untimely demise/ termination etc. the following process shall be adopted:

- a) In case of relocation and transfer the concerned PI can request the transfer of the project along with him. Such request should provide the detailed status of the completion of the project and the assets created as well as to be transferred along with the project. However, the no objection certificate towards the same shall be issued as per the policy of the funding agency and after the approval of the competent authority.
- b) In case the project is non-transferable or not transferred, the Co-PI (if any) shall be designated as the PI of the project.
- c) In case of the non-availability of the PI due to various circumstances such as untimely demise/ termination etc. and there is no Co-PI, the concerned Head of the Department shall be responsible for the identification of the expert amongst the faculty members to be designated as PI.
- d) Any the change of PI shall be subject to the approval of the funding agency and competent authority.
- e) In case of the non-availability of the PI/Co-PI in any circumstances the concerned Head of the Department shall be responsible for the execution/ implementation/submission/ surrender/ closure of the project in consultation with the funding agency.
- f) Any case for the transfer/relocation/ surrender/ change in PI or Co-PI etc. shall be referred for the approval of the competent authority through the research committee of the department/Faculty.
- g) The competent authority can nominate any faculty member for the execution/ implementation//submission/ surrender/ closure of the project/ communication with the funding agency.

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14. FACULTY PROFESSIONAL DEVELOPMENT FUND (FPDF)

To support the professional development of the faculty of the University, PDF shall be created at the University by the Faculty. It is centrally managed by the Finance office. FPDF is made available to only individual faculty who has contributed to the FPDF (non-lapsable).

14.1 CREATION/GENERATION OF FPDF:

The FPDF may be generated by crediting:

- 65% of the Administrative Overheads of Sponsored Research Projects amongst PI/Co-PI(s).
- 65% of the University charges of the consultancy jobs amongst consultant/Co-consultant.
- Unspent amount of consultancy jobs as per the recommendation of the consultant In-charge.

14.2 UTILIZATION OF FPDF BY PIs:

The FPDF can be utilized for the following purposes:

- TA/DA and Registration fee for attending the Conferences in India or abroad and professional activity promoting sponsored research project/consultancy.
- The membership fee for Professional Societies.
- Purchase of Professional Books, Video, e-resources etc.
- Equipment, fixtures and furniture in the lab and office, maintenance charges.
- Upgradation or purchase of portable or desktop computers and related peripherals for use by the faculty at the workplace.
- Charges for Insurance cover/AMC/repair for the equipment and assets items such as laptops, desktops, or any other instruments etc (bought from the project).
- Patent /publication processing fees.
- Any other purpose of academic or professional development, with permission.

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B. CONSULTANCY POLICY

The consultancy services for each faculty shall serve as a point of contact between the University, faculties, various industries, Government and non-Government agencies, and individuals with technical and scientific skills on hand at the University. The purpose of the consultancy services shall be to engage University employees to contribute their knowledge and skills for the betterment of society and to foster and promote stronger collaborations with a view to make faculty and technical staff expertise available for solving problems of shared interest. The collaborative work to be chosen shall provide faculty members, technical personnel, and students with unique possibilities to expand their expertise and develop innovative concepts for research programs.

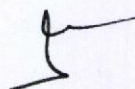
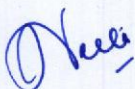
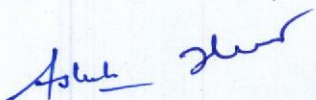
1. General Guidelines

- 1.1 The consultancy job can be taken up by any member of the academic staff of the University with the prior approval of the competent authority provided the engagement of the faculty members in such job can be taken up such an extent that it does not affect the discharge of their academic and/or other duties of the University. The Vice-Chancellor with the academic and professional expertise shall also be eligible to run the consultancy projects in the University. The participation of the research/postgraduate students in such work to be encouraged.
- 1.2 All the consultancies, whether carried out by an individual, or group of faculty consultants shall be considered as University Consultancy and must be notified and carried out with the permission of the University.
- 1.3 No consultancy project will be undertaken by the academic staff and any other members without the prior approval of the competent authority.
- 1.4 The entire expenditure for the operation of the project is required to be met by the sponsoring agency/Client.
- 1.5 The responsibility for the operation and closure of the consulting project lies with the Consultant In-Charge (CI). The University shall provide all the necessary infrastructure and administrative support for the smooth running of the consulting project.

Type of Consultancy

The consultancy work may be either based on:

- Laboratory and/or other infrastructure and expertise of a faculty member for the development of a product, the component of the product, or services for any external industry/group/agency.
- Faculty expertise being of advisory nature to any outside enterprise, organization, or individual for a predetermined fee and duration.
- Data survey analyses or case studies or both for any organization, trust or agency.
- Conducting any specific courses, presiding over organized activities, or providing professional advice/discussion to any outside organization or person for a charge.



- Payments or royalties obtained from outside for any Intellectual Property by any of the universities.

2. Consultancy Services Administration and Process

- 2.1 The client (sponsoring organization) usually approaches the University for Consultancy Work through a faculty member or a functionary of the University (i.e. Head of the Department, Research and Development office or Vice-Chancellor). When a faculty member is approached for the work, he/she will generally be the CI if the work falls in his/her area of expertise. If he/she does not wish to be the CI, the HOD/Centre will identify a suitable person as the CI. If the project is referred to a functionary, the concerned Head of the Department would identify the CI according to the required expertise for the work.
- 2.2 The Screening Committee for consulting projects will be same as for the Project Screening Committee (PSC) (described above for the Sponsored Project).
- | | |
|---|-----------------|
| a) The Dean of the Faculty to which the CI belongs | Chairman |
| b) The Head of the Department / In-charge to which the CI belongs | Member/Convener |
| c) The Head of the Department (or his nominee) to which the Co-CI(s) belongs. | Member |
| d) CI & Co-CI (s) of the concerned Project | Member |
- 2.3 The Screening Committee may decide any other consulting standards, rules, and provisions, as well as whether to approve or reject the proposal, with the approval of the Competent Authority of the University.
- 2.4 The consulting fee will be deposited by the client in the university bank account as per the terms of the agreement.
- 2.5 The CI will take the approval of the administrative office (Research and Development) through the concerned Head of the Department for undertaking the consultancy project.
- 2.6 The CI will serve as the focal point for all consulting initiatives. It will be responsible for maintaining all documents pertaining to consultation.

3. Consultancy Charges/Fees

The consultancy charges/fees of consultancy project shall consist of honorarium to CI, Co-CI (if any), honorarium to technical and supporting staff, the University charges, contingency/consumable, expenses for fieldwork, travel, etc. The honorarium to the technical and supporting staff will be paid as per norms and on the recommendation of the PC and approval by competent authority of the University.

4. Distribution of the consultancy funds

The distribution of the consultancy fund among the group of faculty/ individual faculty member undertakes the consulting project shall be as follows:

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S. No.	Concerned Party	% Of Consultancy Charges	Breakup
1.	Honorarium to CI, Co-CI and other expenditures	70%	The concerned CI shall provide the distribution of expenditure to the Research and Development Section which shall be notified. The CI can modify the distribution with the approval of the competent authority.
2.	University Charges	30%	Utilization as per the guideline provided in point no. 11 of the overhead / administrative charges under sponsored project.

In case CI and Co-CI are from different Departments/ Faculties, the disbursement of the University charges shall be distributed amongst the concerned department and faculty where the CI and Co-CI belong respectively.

For any honorarium to the CI, Co-CI, technical and supporting staff, the finance section will ensure that income tax is deducted at source as per the University norms. The consultancy charges that will not be utilized for the proposed work shall be credited to the Faculty Professional Development Fund (FPDF) of the concerned Department.

5. Selection and Appointment of Consultancy Project Staff

The selection and appointment procedure of the project staff in Consultancy project will be same as explained above for the sponsored projects or as per the agreement with the consulting agency.

6. Payment of Honorarium

- (I) PG and Ph.D. students, willing to work on external consultancy projects may be permitted without making any compromise on their academic commitments and performance. Such work by the students may be compensated by suitable Honorarium as proposed by the CI and approved by the competent authority.
- (II) Dual honorarium to the full-time work by the Project Staff shall not be permissible. However, considering the location and early stage of the University, the permission for engagement of the Project Staff on part-time basis may be sought by the CI.

7. Appraisal and Closing Report

The faculty member's engagement in consulting activities will be recorded in their appraisal report and given due weightage in the final performance index.

Following completion of the consulting work, the CI will submit a completion report to the Research and Development office in specified format. The report should include all pertinent information regarding the consulting work, resources used by the university, outcomes, and reviews/feedback from the other party for whom the task was implemented.

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In the cases where the CI/Co-CI leaves in between due to various conditions such as transfer/ relocation/ superannuation/ untimely demise/ termination etc., the competent authority shall appoint a new CI/Co-CI based on the competence and ability and recommendation by the Head of the Department. However, transfer of the consultancy to other organization/institution with the CI shall be applicable to only those consultancies which have been generated by the concerned CI in the individual capacity, and shall be administrated as per the point no. 13 of project guidelines.

In case of any emergent or contingent situations other than the above or in case of any conflict or interpretation of the above rules, the decision of the Vice Chancellor, Siddharth University shall be final and binding on all.

All the disputes or grievances subject to the research and consultancy at Siddharth University shall be subjected to the jurisdiction of Siddharth Nagar, Uttar Pradesh, India.

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The PROJECT SCREENING COMMITTEE, DEPARTMENT OF
Examined the research proposal submitted by On

The Committee certifies that:

- | | |
|---|-----------------------|
| 1. Proposal is as per the format prescribed by the funding agency. | Yes/No |
| 2. Clearances from the relevant Committees have been obtained or application for approval sent: | |
| a. Ethical Committee | Yes/No/Not Applicable |
| b. Bio-safety Committee | Yes/No/Not Applicable |
| c. Animal Ethical Committee | Yes/No/Not Applicable |
| 3. Basic general infrastructural facilities exist in the Department/Institution OR have been provided for in the project. | Yes/No |
| 4. Same project has not been submitted by the PI/ Co-PI elsewhere | Yes/No |
| 5. Institutional/Overhead Charges have been included in the proposal if permitted by the funding agency. | Yes/No |

Signatures of the members of PSC:

Comments of the Faculty In-charge, (Research and Development)

The above project proposal is complete and hence approved to be forwarded to the concerned agency/institution.

Approved / Not Approved

Faculty I/c, (Research and Development)

Asheer *Shah* *Other*

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Draft guideline for the Advertisement

Application are invited for the post of _____
with a Salary/Stipend/Fellowship/Fixed amount of Rs. _____ in
a _____ (Name of the Funding Agency) Sponsored Project entitled
(Title of the Project) “ _____ ”
sanctioned up to (Duration/Tenure) _____. The post is
temporary and co-terminus with the project. The candidates should be (Essential
qualifications)

_____. The upper Age
Limit is _Years (relaxable for 5 years for SC/ST/Physically Handicapped/Female
candidates; (in case of non-research positions, upper age limit may also be relaxed for
the duration of earlier work in a project/scheme in Siddharth University. subject to the
University rules prevalent at that time). All things being equal, SC/ST candidates will
preferred as per GOI rules.

Desirable qualifications, if any _____.

Application mentioning Name, permanent and correspondence address, names of father and
mother, telephone no. and e-mail address (if available), details of educational career
(starting from High School or equivalent) along with attested copies of all mark-sheets &
certificates and details of any research or other experience etc., if any, should reach
within xxxx days of the advertisement,

_____, to the P.I., Department of _____, Faculty of
_____, Siddharth University, Kapilvastu, Siddharth Nagar- 272202. No

TA/DA will be paid if called for interview.

**Remark: While sending the draft advertisement to the Press, Publicity and Publication
Cell, the P.I. should specify the name of the News Papers (s) in which advertisement
is to be made. The Press, Publicity and Publication Cell will also send a copy of the
same to the Computer Centre for placing the advertisement on the Siddharth
University website.**

Asst. Prof.

Dr. ...

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ANNEXURE-3

ESSENTIAL QUALIFICATIONS FOR STAFF POSITIONS UNDER PROJECT/S

(Designations should be as per sanction of the Funding Agency Norms)

RESEARCH POSITIONS (Emoluments as provided by the funding agency)

Research Associate :

- Age : Upper age limit- 45 years: (5 years' relaxation for Female/SC/ST/Physically Handicapped Candidate) or as specified by the funding agency.
- Qualification/Experience : Doctorate or equivalent degree or as per specific requirement of the funding agency concerned.

SRF :

- Age : Upper Age limit – 32 years: (5 years' relaxation for Female/SC/ST/ Physically Handicapped Candidate) or as specified by the funding agency.
- Qualification/Experience : NET/GATE or equivalent as per specifications of the funding Agency concerned or Post- Graduation, with 55% marks. At least two years research experience in related field.

JRF :

- Age : Upper age limit – 28 years: (5 years' relaxation for Female/SC/ST/ Physically Handicapped Candidate) or as specified by the funding agency
- Qualification : NET/GATE or equivalent as per specifications of the funding agency concerned or Post-Graduation, with 55% marks.
- Experience : As specified for the project.

Research/Project Assistance/Fellow :

- Age : Upper age limit – 28 years: (5 years' relaxation for Female/SC/ST/ Physically Handicapped Candidate) or as specified by the funding agency
- Qualification : Post Graduation, with 55% marks
- Experience : As specified for the project.

NON-RESEARCH POSITIONS

(Emoluments as provided by the funding agency)

Office/Project Assistant :

- Age : Upper age limit- 35 years: (5 years' relaxation for Female / SC /ST / Physically Handicapped

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Candidate). Upper age may be relaxed for the duration of earlier work in a project/scheme in Siddharth University subject to the University rule prevalent at that time or as specified by the funding agency

- Qualification : Graduate with 55% marks, diploma/degree in the Specified area as per requirement of the Project
- Experience : As specified for the project.

Junior Office/Junior Project/Field/Laboratory Assistant or Attendant :

- Age : Upper age limit – 30 years: (5 years' relaxation for female/ SC/ST/ Physically Handicapped Candidate). Upper age may be relaxed for the duration of earlier work in a project/scheme in Siddharth University subject to the University rules prevalent at that time or as specified by the funding agency
- Qualification : Graduate or Intermediate with 2-3 years' Laboratory/field work experience or as per specified requirement of the funding agency concerned.
- Experience : As specified for the project.

Note: The above criteria for age, qualification and experience are non-binding. The concerned PI/ Consultancy In-charge (CI) can fix the age, qualification and experience as per the requirement of the project and approval of the competent authority.

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CONSTITUTION OF SELECTION COMMITTEE

(WHEN THE SAME HAS NOT BEEN SPECIFIED BY THE FUNDING AGENCY*)

a) **Composition in respect of Research positions**

- | | | |
|------|--|-----------------|
| i) | Head of the Department | Chairperson |
| ii) | Vice Chancellor's nominee | Member |
| iii) | Principal Investigator | Member/Convener |
| iv) | Co-Principal investigator/s, if any | Member |
| v) | Expert Member recommended by the
Principal Investigator | Member |

b) **Composition in respect of Non- Research positions**

The composition of selection committee for non-research/contractual positions shall be as under:

- | | | |
|------|--|-----------------|
| i) | Head of the Department | Chairperson |
| ii) | Registrar's nominee (teaching or non-teaching) | Member |
| iii) | Principal Investigator | Member/Convener |
| iv) | Co-Principal investigator/s, if any | Member |

NOTE: (i) Quorum for selection committee for research position must include three persons including external expert and, for non-research position must include three persons including Registrar's nominee.

(ii) The appointments on research as well as non-research positions will be based on tests/interviews

(iii) The Selection Committee may, if necessary, recommended a panel of not more than two candidates per position. The panel will be valid for a maximum period of one year.

** If the Funding Agency has laid down specific guidelines with regard to the composition of Selection Committee the same should be invariably followed.*

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[Signature]

CONSTITUTION OF SELECTION COMMITTEE

(WHEN THE SAME HAS NOT BEEN SPECIFIED BY THE FUNDING AGENCY*)

a) Composition in respect of Research positions

i)	Head of the Department	Chairperson
ii)	Vice Chancellor's nominee	Member
iii)	Principal Investigator	Member/Convener
iv)	Co-Principal investigator/s, if any	Member
v)	Expert Member recommended by the Principal Investigator	Member

b) Composition in respect of Non- Research positions

The composition of selection committee for non-research/contractual positions shall be as under:

i)	Head of the Department	Chairperson
ii)	Registrar's nominee (teaching or non-teaching)	Member
iii)	Principal Investigator	Member/Convener
iv)	Co-Principal investigator/s, if any	Member

NOTE: (i) Coram for selection committee for Research position must include three persons including external expert and, for Non-Research position must include three persons including Vice Chancellor's Nominee.

(ii) The appointments on research as well as non-research positions will be based on tests/interviews

(iii) The Selection Committee may, if necessary, recommended a panel of not more than two candidates per position. The panel will be valid for a maximum period of one year.

** If the Funding Agency has laid down specific guidelines with regard to the composition of Selection Committee the same should be invariably followed.*

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ANNEXURE-6

**PROFORMA FOR PREPARATION OF MERIT INDEX OF CANDIDATES BY MEMBERS
OF THE SELECTION COMMITTEE**

S. NO.	Name of the candidate	Assessment of experts in respect of candidate	Marks obtained	Remarks

SIGNATURE OF MEMBERS:

- (1)
- (2)
- (3)
- (4)
- (5)

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ANNEXURE-7

DRAFT OF PROCEEDINGS OF THE SELECTION COMMITTEE

Minutes of the meeting of the Selection Committee held at _____ am/pm on _____ in the chamber of _____, Faculty _____, Siddharth University to select (Post) _____ for the Research Project entitled “ _____ ” (Project Code No.)


The following Members were Present (list as required):-

Prof. /Dr.	PI	:	Member/Convener
Prof. /Dr.	HOD	:	Chairman
Prof. /Dr.	Co-PI	:	Member
Prof. /Dr.	Expert*	:	Member

For the post of _____, _____ candidates were called for the interview, out of which _____ turned up. The members of the Selection Committee thoroughly examined the candidates and after due consideration resolve to recommended that:

Dr./Shri/Ms./Km./ _____ is recommended for temporary appointment as _____. The appointment is co-terminus with the Project.

Signature of the members:



ANNEXURE-8

**PROFORMA FOR PROVISIONAL APPOINTMENT LETTER FOR
RESEARCH/CONTRACTUAL POSITIONS
SIDDHARTH UNIVERSITY, KAPILVASTU, SIDDHARTH NAGAR- 272202**

Ref. No./

To:

Subject: **Engagement of _____ under the sponsored Project**
“ _____ ”

Reference: Your application dated _____ Dear Sir/Madam,

On the recommendation of the Selection Committee which met on _____, you are engaged as
on an emoluments of **Rs.**

_____ (Rupees _____ only) per month, on the following terms and
conditions: -

1. The engagement is for the above externally funded Project only, and is not transferable to any other Project.
2. The Appointment is for the duration of the said project and co-terminus with it, or for a period not exceeding _____ months/years, whichever is earlier. However, the initial engagement will be for a period of xx months, extendable from time to time depending upon your performance.
3. It is not an appointment in Siddharth University. It is purely temporary for the period as stipulated in clause 2 above. It does not, therefore, confer any right, claim, implicit or explicit, for your continuation/regularization/absorption in Siddharth University against any post/position.
4. The appointment may be terminated at any time without assigning any reason therefore.
5. No traveling allowances will be paid to you either joining, or on termination of the same.
6. Your joining will be subject to the production of the following documents at your expense at the time of your reporting for duty:
 - i. Medical certificate of health and physical fitness for the appointment issued by the Medical Superintendent.
 - ii. Documentary evidence in support of your date of birth, qualification and caste.

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7. In case it is detected at any stage that you have committed any fraud or forgery in seeking this job, your appointment shall be immediately dispensed with, without any notice.
8. Your appointment shall be subject to the terms and conditions that may be framed from time to time as per the requirement of the research work.
9. You are required to give an undertaking to the effect that the above-mentioned conditions are acceptable to you and you shall abide by them. Any violation shall attract termination of appointment without any notice.
10. In the event of any dispute arising out of this contract, the decision of the Vice-Chancellor, Siddharth University shall be final and binding on you.

If you are willing to accept the above offer of appointment on the terms and conditions stipulated, you may please commence the work immediately and in any case, within a week from the date of receipt of this letter failing which the offer will automatically stand cancelled.

Yours faithfully,
(Principal Investigator)

Dated:

Ref. No.

Copy to the following for information and necessary action

1. Dean (_____)
2. Head of the Department (_____)
3. Registrar, Siddharth University
4. Finance Officer, Siddharth University
5. Research and Development Section, Siddharth University
6. P.S. to VC
7. Office Copy

(Principal Investigator)

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ANNEXURE-9

**SIDDHARTH UNIVERSITY, KAPILVASTU, SIDDHARTH NAGAR
DETAILS REGARDING APPOINTMENT UNDER THE PROJECT**

1. Name of Principal Investigator :
- 2 Name of the Funding Agency :
- Reference No. & Date of Sanction :
3. Duration of the Project :
4. Sanctioned Posts :
5. Advertisement : **Enclosure No.**
6. Required Qualification (As per Advertisement):
7. Précis of the candidates called for interview: **Enclosure No.**
8. (i) Qualification of the selected candidate:
(ii) Experience :
9. Recommendation of the Selection Committee: **Enclosure No.**

PRINCIPAL INVESTIGATOR

.....
COMMENTS OF THE OFFICE (RESEARCH AND DEVELOPMENT SECTION)

Checked the above information.

DEALING ASSISTANT

On the basis of the information provided above and scrutiny of the papers the recommendation of the Selection committee has been found in order/not found in order due to the following reasons:

The appointment is confirmed/cancelled.

CONCERNED OFFICIAL

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JOINING LETTER

To
The P.I.
Title of the Project _____ Department / Faculty
Siddharth University

Subject: Joining report for the post of _____ under the project (No. _____)

Respected Sir,

Thank you very much for your letter No. _____ dated _____ regarding appointment as _____
_____ under the Project entitled " _____ " (Project No. _____).

I accept all the terms and conditions mentioned in the appointment letter and hereby report on
duty w.e.f. _____ (F.N./A.N.) and request you to do the needful as per University
rules.

Thanking you,

Yours faithfully,

Enclosures :

1. Marksheets and certificates of academic qualification (High school onward)
2. Experience certificate (if any)
3. Medical certificate
4. Adhaar Card

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