

# **SHARDA UNIVERSITY**

Plot No. 32, 34, Knowledge Park-III, Greater Noida-201306 (U.P)

## **Guidelines on Research and Development, Sponsored Research, Consultancy Projects & Testing**

Sharda University established as a state private university in Greater Noida through the U.P. State Legislative Act in 2009 and approved by UGC. Following are the guidelines for Research and Development, Sponsored research, consultancy projects, & testing etc.

Sharda University provides an excellent environment for research and development activities. These activities are coordinated by the Director Academic Affairs.

The faculty members are encouraged to engage in sponsored and consultancy research projects, subject to limitations as detailed in **Clause 5**. The faculty members are also encouraged to collaborate with other faculty members of university and other researchers of various departments for carrying out research in area of their expertise and multi-disciplinary areas. The University shall be party to *Intellectual Property generated out of such R&D activities and shall use them freely for academic purposes*.

The present document sets out the guidelines to be maintained to facilitate research and consultancy activities by the faculty members of the University in close collaboration with the students and other members of the staff.

## **2. STRUCTURE OF THE GUIDELINES:**

The present document considers (i) sponsored research projects, (ii) consultancy projects and (iii) testing and quality control assignments using laboratory facilities of the university and (iv) organizing management development programmes and/or workshops, seminars as four distinct modes of participation in R&D activities. Each of them will be considered differently in terms of overhead charges, sharing of professional fees among different heads and limitations imposed in terms of number of working hours in a year allowed to be put in outside the university campus by an individual faculty member

### **3.1 SPONSORED RESEARCH PROJECTS:**

#### **3.1.1:**

A faculty member may like to approach various national and international funding agencies and industries for sponsored projects in the areas of the desired research interests. Generally, the research proposals

are submitted as per the format of the respective agency. The PI will submit the initial proposal to the prospective sponsor after ensuring with the Coordinator, Research & Development that all technical formalities – budgetary allocations, man power requirements from the university etc. - required by the University under the present guidelines have been strictly adhered to.

### **3.1.2:**

Each sponsored research project will have a Principal Investigator (PI) or Principal Coordinator (PC). The PI will be responsible for the following:

- Formulating the project proposal which may include (i) planning of the work to be done, (ii) estimating costs according to the guidelines provided in a later section, and (iii) identifying other collaboration partners/Coordinator and consultants, if necessary.
- Execution of work.
- Handling all communications with the clients after the project has been accepted.
- Submission of intermediate and final reports as agreed upon in the project proposal.
- Making recommendations to the Coordinator R&D regarding the expenditure from the project funds and honoraria to be paid to faculty, staff and students.

### **3.1.3:**

The funding norms of agencies sponsoring research projects are not identical. On successful negotiation of the funding norms, a contract document clarifying the financial agreements, deliverables and time frame will be signed by representatives from the sponsoring agency, university and the PI.

### **3.1.4:**

The R&D Office will assign a project/job number immediately on receipt of the first installment of funds and inform the same to the client, PI and the HOD of the concerned Department. This completes the process of initiation of a consultancy project.

### **3.1.5 RECEIPT OF FUNDS/GRANT:**

1. All the cheques issued by the project sanctioning agency/authority shall be in the name of the University only.
2. The Accounts Branch of the University shall maintain a separate account for the consultancy money received by the University.
3. The University after deducting the service charges that may be levied and paid to the Government shall retain its 25 per cent share in the balance amount.

The disbursement of rest of the money amongst the principal investigator, the Co-investigator if any, and the supporting staff shall be made as per the recommendations of Principal Investigator and after seeking the approval of the competent authority.

### **BUDGETARY NORMS:**

#### **3.1.5.1:**

Service tax as applicable from time to time from the total budget of the consultancy project has to be deducted as service tax, which would be deposited in the Government account in advance with the Government of India in addition to the university overhead (current rate is 25% of the total amount). However, Service tax will not be deducted; if the funds are received in foreign currency. The project investigator will provide the break-up of the project amount at the time of submitting the proposal also while opening the account. Estimates for the above expenses should be carefully prepared by the PI keeping in mind other market rates for equipment, material and services R&D norms for salaries, commercial rates for computer usage, etc.

#### **3.1.5.2:**

Cost of a sponsored project will consist of two parts viz., actual expenses, and consultancy fee/ honoraria. The actual expenses should cover the following costs related to the project:

- Permanent equipment to be procured.
- Consumables to be used.
- Computational charges (at commercial rates)
- Charges to be paid for the use of specific equipment in the Department(s) or in central facilities.
- Contingency expenses to cover cost of supplies, preparation of report, typing, drafting, stationery, reproduction, literature (books, journals, membership fee of professional societies), postage and telephone (including rental and STD/ trunk call bill of telephone at residence) and other miscellaneous expenses.
- TA/DA to cover site visits, meetings outside the university and the participation in conferences within India or abroad. The most expeditious and convenient mode of travel should be used to minimize the period of absence from the university. There will be no restriction, from the university, on travel by air or taxi on grounds of entitlement. DA will be paid as per university rules. Actual lodging expenses, in addition to full DA, will be paid on production of receipt, as per the university R&D office norms. For each site visit, a fee will be charged by the university from the project fund at a rate specified in the project proposal.

- Salaries of project employees shall be borne by the university by debit to the project fund.
- Administrative expenses for providing infrastructure for execution of project and to cover indirect expenses. The university will charge overhead towards administrative expenses at the rate of 25% of the total project cost (excluding the service tax).
- 30% of the project cost of sponsored research projects will be collected as overhead charges if the sponsor is a private organization. In case of a sponsor being a public organization, their norms of allowable overhead expenses will be charged.
- Any other cost.

### **3.1.6:**

**Norms for sharing of funds received as overhead costs among different heads have been given separately in Clause 4.**

### **3.1.7:**

There is no rigid norm for consultation fee/ honorarium to be paid to faculty members. This depends upon several factors such as importance of advice, expertise available in the country, experience of the faculty, etc. Although the consultation fee is not related to the time spent by the faculty member on the project, many experienced persons charge about four times their daily salary for the equivalent of full day of work. Norms can be decided on case to case basis with the approval of the university.

### **3.1.8:**

Faculty can opt to have a Professional Development Account (PDA) as part of university pooled resources in which part of overheads from the ongoing projects and honorarium out of outreach activities can be transferred and utilized for professional development activities.

### **3.1.9:**

Sharing norm of honoraria/consultancy fees: 25% of the honorarium/consultancy charges would be deposited in the university chest for purposes of research and development. The remaining 75% would be disbursed among the faculty and non-teaching employees connected with the project. The norm for distribution of the amount would be recommended by the PI for approval of the competent authority.

However, the maximum amount that any employee shall draw will not exceed the limit of 100% of gross salary in a financial year.

### **3.1.10:**

Project file will be closed with the submission of final project report and disbursement of all committed expenditure including honoraria, university overheads and service tax. Coordinator, Research & Development will maintain the database on all kind of activities.

## **3.2 CONSULTANCY PROJECTS:**

### **3.2.1:**

The university encourages Faculty to undertake consultancy work. The consultancy work should be of such nature that it enriches the professional experience and the knowledge of a faculty member of this university and, thus, makes him/her a better educator and researcher.

### **3.2.2:**

Organizations usually approach the university for consultancy work through a faculty member or a functionary of the university (i.e. Coordinator or Director). When a faculty member is approached for the work, he/she will be the PI. If he/ she does not wish to be the PI or if the project is referred to a functionary, the PI would be identified through appropriate discussions. The project proposal prepared by PI will be forwarded to the client through the Coordinator, Research & Development.

### **3.2.3:**

The responsibilities of the PI will be the same as mentioned in the context of a sponsored research project.(Clause 3.1.2)

### **3.2.4:**

**The University requires the total cost of the project to be paid by the client, in advance, before the work commences. In case the project is to continue for more than a year, the university may permit, at its discretion, commencement of work with only yearly cost deposited in advance. All payments from clients will be received by the university. The expenditure and disbursements will be made as per the university procedures.** A contract document clarifying the financial agreements, deliverables and time frame will be signed by representatives from the sponsoring agency, university and the PI.

### **3.2.5:**

The project will be initiated immediately after the receipt of the contracted amount from the client as mentioned in the financial agreement, with the R&D Office assigning a project/job number and informing the same to the client, PI and the HOD of the concerned Department.

### **3.2.6:**

Norms regarding receipts of funds/grant will remain identical to those prescribed for sponsored research projects mentioned earlier in this document (Clause 3.1.5).

### **3.2.7:**

Budgetary norms followed will be identical to those mentioned in **Clause- 3.1.6.**

**3.2.8:**

Norms of charging and sharing of consultancy fees will be guided by **Clauses-3.1.7-3.1.9** above.

**3.2.9:**

Account closure norms to be followed are given in Clause 3.1.10

**3.3 TESTING AND QUALITY CONTROL ASSIGNMENTS:**

**3.3.1:**

A faculty can also undertake routine or non-routine testing projects, which are required by industries/utilities for the performance evaluation of their specific products. The testing projects involve utilization of university laboratory facilities. University, however, discourages undertaking any certification work, unless certain facilities of the university are recognized by appropriate authority for this purpose.

**3.3.2:**

The charges will be estimated by the faculty member who will supervise the testing work with 10.30% (or as applicable from time to time) as service tax. The testing fee charged from the client will be divided into three equal parts for university funds, R&D Fund, and distribution to faculty members and staff. It is, however, expected that the permissible amount may be distributed to faculty and staff in case of non-routine testing jobs and only to staff members for routine testing jobs.

**3.3.3:**

The responsibilities of the PI will be the same as mentioned in the context of a sponsored research project.(Clause 3.1.2)

**3.3.4:**

**The University requires the total cost of the testing to be paid by the client, in advance, before the work commences. All payments from clients will be received by the university. The expenditure and disbursements will be made as per the university procedures.**

A contract document clarifying the financial agreements, deliverables and time frame will be signed by representatives from the sponsoring agency, university and the PI.

**3.3.5:**

Testing activities will be initiated immediately after the receipt of the contracted amount from the client as mentioned in the financial agreement, with the R&D Office assigning a project/job number and informing the same to the client, PI and the HOD of the concerned Department.

### **3.3.6:**

Norms regarding receipts of testing fees will remain identical to those prescribed for sponsored research projects mentioned earlier in this document (Clause 3.1.5).

### **3.3.7:**

Budgetary norms followed will be identical to those mentioned in **Clause- 3.1.6.**

### **3.4:**

**Organizing Management Development Programmes, Seminars and Workshops.**

#### **3.4.1:**

The university also encourages Faculty to organize Seminars and workshops as well as conduct MDPs. Such programmes should be of such nature that it enriches the professional experience and the knowledge of a faculty member of this university and, thus, makes him/her a better educator and researcher.

#### **3.4.2:**

**The financial norms to be followed have been elaborated in Sections 3.1 and 4.**

## **4. Distribution of Receipts under Overhead Clause among various Constituents:**

### **4.1:**

When money is received from the funding agency, overheads as approved would be deducted. When money is received from a private organization/ funding agency as a consolidated amount, the overhead will be deducted as per rules of the funding agency. In absence of any such rule with the funding agency, University will be free to take the decision.

### **4.2:**

When money is received from the funding agency, overheads as approved would be deducted. When money is received from a private organization, a consolidated amount of 30% would be deducted as overheads.

### **4.3:**

The overheads (A) collected from sponsored and consultancy projects as well as courses and conferences will be distributed among the university. Professional development account (PDA) and Departmental Promotional Account (DPA) as per the norms given below.

Nature of Project	Overheads %	Overheads Share Of Various Units		
		University	DPA	PDA
Sponsored a) Government b) Private	(as per rules)  30%	0.6 A	0.25 A	0.15 A
Consultancy	30%	0.7 A	0.3 A	NIL
Courses (within University)	15%	0.7 A	0.3 A	NIL
Conferences/workshops /symposia	20%	0.7 A	0.15 A	0.15 A
Courses (outside University)	15%	0.7 A	0.3 A	NIL
Testing Fee	40% +30% +30% = <b>100%</b> (total)	40% of the total receipts	30% of the total receipts	30% of the total receipts as honorarium/ PDA

The University to decide on the utilization of overheads.

#### **4.4 PROFESSIONAL DEVELOPMENT ACCOUNT (PDA):**

Faculty members of university are involved in carrying out Sponsored Research, Consultancy, Continuing Education/outreach activities, which need extra efforts and time. To encourage these activities, university encourages faculty members to have a Professional Development Account (PDA) in which part of overheads from the projects and contributions out of outreach activities can be transferred and utilized by the faculty members for their professional development activities. This document presents general guidelines for operation of the PDA taking into account various decisions taken subsequent to the introduction of the PDA.

The amount will be maintained in a separate account head by the University and utilized for the identified activities.

##### **4.4.1 SOURCE OF FUNDING INTO PDA:**

- Apart from receiving a share of the overhead charges as detailed in an earlier section,, PDA can receive funds from any of the following sources.
- Any leftover amount from a consultancy project, which a PI does not wish to draw as honorarium.
- Amount transferred from Continuing Education/outreach Programme in lieu of lecture honorarium, software/technology transfer fees, royalty etc.



- Any other similar amount with the recommendation of Coordinator, Research & Development and approval of the university.
- Interest accrued on the security deposit of the students shall be transferred to the PDA account to be used entirely for purposes of organizing workshops/ conferences held in the University. This amount shall be utilized for the purpose, stated herein, alongwith other amounts deposited in PDA account from other sources as mentioned in point 4.3.

#### **4.4.2 UTILIZATION FROM PDA ACCOUNT:**

The following are the utilization and types of expenditure permissible from PDA account:

- The account is primarily for the professional development of Faculty/University. PI and other investigators will be permitted to use project funds for participation in conference/ workshops/ seminars within India and one conference/ workshop/ seminar outside India in a year. Normal university rules will be applicable for payment of TA/DA for such participations.
- It can be used for the expenses towards pre-consultancy visits, project development visits, seed money for preparation of project proposal, attending national and international conferences, purchase of books, subscription of journals, any other expenditure for research and development purpose, expenditure on teaching material, teaching aids etc. and for any other purpose with the recommendation of Dean Research, Coordinator, Research & Development and approval of the Vice-Chancellor. No honorarium can be drawn /paid from this account.
- Retention of personal computer and accessories purchased from PDA funds, by the academic staff on superannuation of service on the following terms and conditions is permissible:

The member of the academic staff should have served the university for a minimum period of 10 years before superannuation/resignation and should have purchased the personal computer, printer, scanner and UPS/ inverter/stabilizer from his PDA. The equipment should have been used by him/her for at least a period of 2 years before the date of superannuation/resignation.

A token amount of 5 % of the cost of the equipment or buy-back value fixed by the vendor, whichever is lower, shall be charged from the staff member.

Only one computer (either a laptop or a desktop), one printer and one UPS or inverter or stabilizer shall be given to the member of the academic staff.

Utilization of funds from PDA may not be allowed to a person on long or short leave on 'Foreign Service terms' or on extra-ordinary leave. He/she may, however, be allowed to utilize the PDA, while on sabbatical leave.

#### **4.5 Department Promotional Account (DPA)**

Head of the Department operates DPA.

The following may be credited into the DPA:

1. 25% of the overheads collected from sponsored research projects of the faculty of the department.
2. 30% of the overheads collected from consultancy projects of the faculty of the department.
3. 30% of the overheads collected from courses conducted by the faculty of the department within university.
4. 15% of the overheads collected on the Conferences/ workshops/ symposia organized by the Department.
5. 30% of the overheads collected from courses conducted by the faculty of the department outside Sharda University.
6. Interest earning of Endowment Fund Account, if any.
7. Conference balance
8. 30% of balance receipt of testing.

#### **4.5.1 UTILIZATION OF DPA:**

The DPA can be utilized for the following purposes:

1. Taxi fare, travel reimbursement to guests visiting the department.
2. Telephone charges
3. Purchase of equipment for the department
4. Contractual payment for work assignment
5. Office administrative expenses (stationary, cartridge)

#### **5. LIMITATIONS:**

**5.1** Despite the fact that consultancy projects are encouraged by the university, it has some limitations as follows:

- The time spent by faculty/ staff members on consultation work should be limited, on an average, to one day per week.
- Absence of faculty/staff member on consultancy work on duty from campus should be limited to 30 days in a year, which should normally not exceed 7 working days during an ongoing term.

- It is expected that only those consultancy projects will be accepted by the university, which provide challenge befitting professional competence of the faculty members. Sufficient caution also needs to be exercised to ensure that consultancy projects do not interfere with the normal duties of the faculty members.
- The University expects that students will also be encouraged by the concerned PI to participate in testing and routine day to day work in laboratory, data processing and analysis linked to sponsored and consultancy projects to gain benefits of on job training.

The Academic Council is approved the above Guidelines on Research and Development activities; Sponsored research projects, consultancy projects, and testing and quality control assignments vide Item No. 3.10 in the 3rd Academic Council Meeting dated 18<sup>th</sup> September 2010.

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