



डॉ० शकुन्तला मिश्रा राष्ट्रीय पुनर्वास विश्वविद्यालय, लखनऊ  
Dr. Shakuntala Misra National Rehabilitation University, Lucknow  
उत्तर प्रदेश सरकार

पत्राक 69 / पत्रा.सं०-1794 / D.S.M.N.R.U. / 2024-25

दिनांक -11/04/2025

**Notification of Guidelines for Research Project/Consultancy-2024**

Guidelines for Research Project/Consultancy-2024 is hereby notified for information and compliance.

(Rohit Singh)  
Registrar

C.C

1. P.S. to Honourable Vice Chancellor.
2. Finance Officer.
3. Dean, Academics.
4. All Deans of the Faculty.
5. All Heads of the Departments.
6. Controller of Examination.
7. System Analyst with instruction to upload it on University website.
8. Guard File.

(Rohit Singh)  
Registrar

## GUIDELINES FOR RESEARCH PROJECTS/ CONSULTANCY- 2024

Dr. Shakuntala Misra National Rehabilitation University, Lucknow

### VISION

To be a global leader in research in the field of disability and rehabilitation, special education, knowledge creation, innovation, science & technology, and create an accessible, non-discriminating, inclusive, and sustainable society through reverse integration.

### MISSION

- To create knowledge through team effort for the benefit of society and the nation.
- To promote research in all the discipline including the field of Disability with a special focus on the rehabilitation and empowerment of Persons with Disability.
- To inculcate a spirit of entrepreneurship and to impart the ability to devise globally recognized solutions for the problems of inclusive society and industry.
- To train teachers capable of inspiring the next generation of academicians, professionals & para-professionals, engineers, scientists, and researchers.
- To work intensely with industry in pursuit of the above goals of disability studies, special education, and research leading to the development of cutting-edge, commercially viable, and accessible technologies
- To operate in an ambiance marked by overriding respect for ability and merit.

### 1. SCOPE

These Guidelines shall be called the "R&D rules" for the research projects / Consultancy hereafter & shall apply to all activities stated therein.

### 2. TERMINOLOGY

**2.1. Sponsored Research Project:** Time and cost-bound projects sponsored by the Government, private, national/international agencies, and autonomous bodies. The project cost means the cost towards manpower, equipment, consumables, and support services of the University and same will be borne by the sponsoring agency/ies.

**2.2. Sponsor:** The organization that sponsors the research project to the University and/or its teachers and gives necessary financial support for the successful and timely completion of the project.

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**2.3. Principal Investigator/Investigator-In-Charge (PI):** A faculty member of the University with the necessary expertise and competence to conduct a Sponsored Research/ Industrial Consultancy work. Normally, the faculty member who submits the project proposal and negotiates with the sponsoring agencies to get the project is the Principal investigator.

In case, the original Principal Investigator leaves or for any other reason his/her service is not available to the University and if there is no Co-Principal Investigator in the project, the Director (R&D) may appoint a new Principal Investigator for such projects in consultation with the concerned Head with the permission of the competent authority.

**2.4. Co-Investigator (Co-PI):** A faculty member co-opted by the Principal Investigator to work jointly with him/her. If the Principal Investigator leaves the University or goes on leave, the Co-Investigator will assume the power of the Principal Investigator with the approval of the Director (R & D).

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

**2.6. Individual Research and Development Grant Fellowship:** Research and Development grants-in-aid offered to individual faculty, and research fellows from the sponsors and executed using University facilities with financial support from the granting agencies towards equipment, contingency, overhead, fellowship etc.

**2.7. Director, R&D:** Director, R & D Cell is nominated by the Vice-Chancellor, Dr. Shakuntala Misra National Rehabilitation University, Lucknow as Head of the Research & Development Cell. The Director, R & D has full responsibility for project administration including:

- I. Acceptance of Sponsored Research and Consultancy projects from the Sponsor on behalf of the University.
- II. The recruitment, extension, assessment, termination, and invoking disciplinary procedures against project staff.
- III. The Director, R & D will be authorized to approve purchases up to a sum of Rs. 5,00,000/- (Rs. Five Lakh) only. The supply order will be issued by the PI authorized under intimation to the Registrar/ Finance Officer of the University.
- IV. An Advisory Committee may be constituted by the Director, R & D under his/her Chairmanship for facilitating the research and development activities in the University.

**2.8.** RDC may form multiple committees to smoothen its functioning with respective committee members nominated by the Director- RDC and approved by RAC. The organisational structure of RDC comprising of various committees for specified functions may be as under (Fig.1):

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 Anand Kumar, P. Singh, Jeeva, Dr. S. V. Singh, and others.



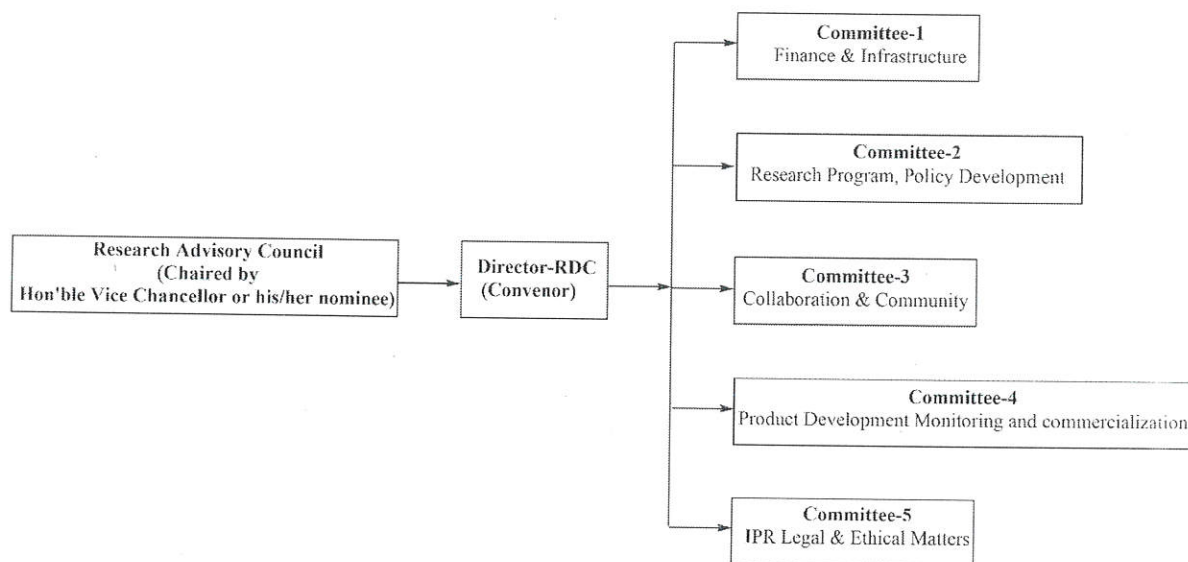


Fig.1 Organisational structure of RDC.

2.9. **University Development Fund (UDF)** means a part of the Institutional Overhead Charges received for sponsored research projects and a part of the University share from the Industrial Consultancy project credited to a separate fund operated by the Finance Officer, DSMNR University which will be transferred every year to University Development Fund.

2.10. **Departmental Development Fund (DDF)** means a fund of the Department/ Faculty/Center to which a part of the University shares from Consultancy Projects and overhead charges from the Sponsored Research Projects are transferred to the concerned academic departments/faculty/institute. The objective of this fund is to provide an additional grant to the departments/faculty/institute for its developmental activities.

2.11. **Professional Development Fund (PDF)** means a fund for individual academic staff who will contribute to PDF, which will help an individual 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 Principal Investigator.

2.12. **Corpus Fund** means a fund shall be the welfare of the Teaching Faculty, University Staff and students as well as for other purposes as Vice-Chancellor may deem fit.

### 3. SUBMISSION OF PROJECT PROPOSAL

Principal Investigators submit his/ her research proposal along with Annexure I through the Head of the Department to the Dean of the Faculty to the Director (R&D) office to complete the necessary Project proposal submission requirements and Endorsement Certificate. The Principal Investigator must ensure that the proposal is free of plagiarism and in proper proposal submission format of the funding agency. The research proposal should be submitted at least six working days before the last date of proposal.

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submission to the office of the Director, R & D for the endorsement certificate or any other requirements related to it.

**NOTE:**

- I. The P.I. should submit his Project Proposal to the Head of Department along with Annexure 1
- II. The Head of the concerned Department should endorse and forward the Project proposal through the Dean of the Faculty to the Director, R & D office within two working days.
- III. The office of the Director, R & D should endorse and forward the approved research project proposals to the given funding agency or Principal Investigator for the online offline submission within four working days of receipt of the proposal.
- IV. Project Proposals that require Ethical Clearance Bio-Safety Clearance Animal Ethics Clearance will be concurrently submitted to the concerned Committee by the PI under intimation to the Director, R & D. The concerned Committee should convey its decision within a reasonable period of 3-5 months. The secretary of the concerned committee shall provide a certificate of submission of the application for clearance within 3-5 days after submission of the application and final clearance can be issued when the committee scrutinizes the application. Director, R & D cannot be held liable for such clearances as it is subject-specific. In case the same is not available within the stipulated time, the Director, R & D shall remind the concerned Chairman to ensure that the clearance is issued without delay.
- V. 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 Principal Investigator directly to the Director, R & D office.
- VI. Approval from the Vice Chancellor will not be required for the submission of a new proposal. The approval of the Director, R & D is sufficient for the submission of the proposal. Director, R & D should inform to Registrar by sending an endorsement copy to the office of the Registrar

**4. ALLOTMENT OF PROJECT CODE NUMBER.**

On sanction of the project, the Principal Investigator will submit the registration form to the Director, R & D (Annexure 2) on receipt of the first installment of funds of a new project. The office of the Director, R & D will allot a project code no, and communicate the same to the Principal Investigator and other concerned offices within 2-3 days. This number must be referred to in all correspondence relating to the project.

- I. The project grant will be received in the name of Registrar/Finance Officer DSMNRU, Lucknow by cheque/draft or electronic transfer.
- II. On sanction of the Project, PI will submit the registration form to the Director, R&D (Annexure-2) on receipt of the first installment of funds of a new project, the office of the Director, R&D will allot a project code number and communicate the same to the PI and other concerned offices within 2-3 days. This number must be referred to in all correspondence relating to the Project.
- III. Once the Principal Investigator or the funding agency informs the Director, R&D/Registrar/ Finance Officer that the funds have been sanctioned and are likely to transfer, a proactive effort

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- from the Finance/ Research & Development Cell is required to track the transfer of funds in the bank and inform the PI so that work can start immediately.
- IV. **Maintenance of the independent account and Project ID:** Nowadays most of the grants (start or subsequent) are being released through RTGS/e-payment. On getting the sanction order for the Project. Principal Investigators should coordinate with the Funding Agency for the release of funds and convey this information to the Finance Section so that the grant may be credited to their project account without any delay. Projects are primarily in three categories such as Grant in Aid Project (GAP), Sponsored Project (SSP), and Consultancy Project (CNP). The coding of the above project should be designated as GAP/SSP/CNP. A separate project account should be opened in the University Bank, with a unique Project number, which could be "types of project/Department/Funding Agency/Year of Start/ R&D office Code of The Project for example GAP/DES/DST/2018/R&D/014
  - V. The effective date of implementation of the project shall be as defined by the granting agency. If such a date is not defined by the funding agency, then the date of issuance of sanction letter of the granting agency shall be the effective date of implementation of the project.
  - VI. Any expenditure incurred before the allotment of the Project code number and after the expiry of the tenure of the Project shall not be admissible unless permitted by the funding agency
  - VII. **Operational Head of the Project.** The Principal Investigator of a sanctioned project is considered to be the prime interface between the funding agencies and is considered the operational head of the project. The Principal Investigator of the Project should be treated as the Head of the concerned unit. Normally, the faculty member who submitted the project proposal and discusses/negotiates it with the sponsoring/funding agency and is instrumental in getting the project is the Principal Investigator. For administrative reasons, the Principal Investigator of some projects may be appointed by a competent authority in consultation with the concerned HOD, if the original Principal Investigator leaves or his/her services are not available to the project for any other reason.
  - VIII. **Contingency grant of the projects:** The Principal Investigator of the project shall be responsible for the use of contingency funds as per the project requirements Uttar Pradesh Procurement Rules, 2016 & its subsequent modifications and GEM Guidelines are to be followed for the usage of contingency funds.

5. **FILE ROUTE:** Principal Investigator/C.I. → Head of the Department → Dean of the Faculty → Director, R&D → Finance Officer (if required) → Registrar (duration 3-5 working days)(if required) → Hon'ble VC (if required)

\*The Registrar will mark the file to the Assistant Registrar (R&D) after approval of the competent authority.

#### 6. STRUCTURE OF THE DIRECTOR R&D OFFICE:

- i) Director
- ii) Deputy Director/s
- iii) Assistant Director/s

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## 7. RECRUITMENT PROCEDURE:

7.1. All project appointments will be contractual and on the temporary basis of consolidated monthly emoluments as applicable to different sponsored projects

7.2. The tenure of contractual appointment of a project shall be as per the project specifications/guidelines

7.3. A project employee shall execute a contract Agreement on non-judicial stamp paper of value at least Rs. 100 at the time of joining with the explicit provision that the contract may be terminated by either side (Staff and Principal Investigator) by giving one month's notice or one month's consolidated emoluments in place of the notice.

7.4. Selection of JRF/ SRF/ RA/ Project Assistant/ Project Attendants or any other shall be as per the guidelines provided by the sponsoring agency and with the approval of the Director, R & D. In case there are no explicit guidelines of the sponsoring agency then university rules or as decided by the office of Director, R & D shall be applicable

7.5. The Pls shall consider the prevailing emoluments package, general qualifications, and experience for staff while preparing the project proposal (Annexure 3). The Principal Investigator will also submit the qualification(s) & experience prescribed for the positions. The proposed qualification & experience can be higher but not lower than the R & D office of DSMNRU/ Funding Agency norms.

**The PI has two options for holding these selections which are as under:**

**Option i-Walk in Interview/written test**

**Option ii-Shortlisting followed by test and/or Interview**

7.6. After receiving requests from the concerned Principal Investigator, R&D office will get the advertisement (covering all the requests) published and post it on the DSMNR University website and notice board and send to one National/ Local leading newspaper each of Hindi and English language for advertisement indicating 'details of the advertised Project Positions are available on the University website'. Interested candidates may visit the website. To limit the expenditure, in case of re-appointment in the same project, an advertisement notice will be posted on the University website and can be communicated to at least 10 other Universities/Institutes by email. The proforma for advertisement is given in Annexure 4 (with the approval of the Director, R&D).

7.7. The Selection Committee for the recruitment of project staff for each project will be constituted as follows:

- a. The shortlisting of the applications of project staff is to be done by the Principal Investigator and sent to the Director, R & D for approval.
- b. Selection Committee for Project staff recruitment as given in the Annexure 5:

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i) Principal Investigator	Chairman
ii) Director, R & D or his nominee	Member
iii) Head of the Department or Coordinator of the Department/ Centers	Member
iv) Co-PI (if any)	Member
v) An expert from the Department (to be nominated by the Dean of the Concerned Faculty) -	Member
vi) An expert from a related discipline preferably From another Faculty or another University/Institute (to be nominated by the Vice-Chancellor or his nominee)	- Member
vii). Expert nominated by the Funding Agency (if any)	-Member
viii), SC/ST/ OBC/ PH/Women Nominee (to be nominated by Director, R & D)*	-Member

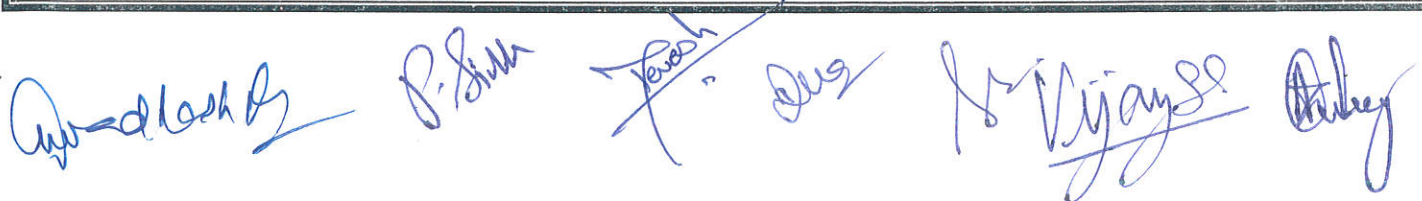
\* The SC/ST/ OBC/ PH / Women Nominee is only essential in the case of SC/ST/ OBC/ PH/ Women applicants under any project if any of the above members of the selection committee does not belong to the mentioned category. A minimum of Five members including the Vice Chancellor nominee shall constitute the quorum of the committee.

The Committee is to be approved by the Hon'ble Vice-Chancellor. On the recommendations of the selection committee, the Principal Investigator shall fix the duration of the contractual appointment, and the monthly consolidated emoluments as per the norms of the funding agency. A summary of candidates called for interview will be prepared as given in Annexure 6. The contract is to be renewed every year on the recommendation of the Principal Investigator after the approval of the Director, R & D.

7.8. Proceedings of the Selection Committee meeting will be recorded as per proforma in the Annexure 7 and 8. After the Selection Committee, the Principal Investigator will forward the documents and details as per the proforma available in Annexures 9 & 10 to the Director, R & D. The office of the Director, R & D shall examine the proceedings of the Selection Committee and communicate approval or otherwise to the Principal Investigator within one week of receipt of complete documents. The Principal Investigator shall issue letter/s of appointment as per Annexure 10 and forward a copy of the joining letter (Annexure 11A) to the Director, R & D within 6 working days from the date of joining of the project staff.

7.9. In case of an urgent requirement, the Principal Investigator can hire project staff for a period of a maximum of up to 3 months after approval of the Director, R & D. The PI must ensure that the hiring is as per specific requirements, within the financial limits of the project and is following the relevant rules/guidelines of the Funding agency/ University at the given time. In any event, approval for contractual engagement for more than 3 months would not be given. The essential qualifications of the project staff will be the same as the sanctioned post under the sponsored project.

7.10. The project employees may be entitled to HRA if accommodation on the campus is not made available to them. Expenditure towards subsidized campus accommodation/ HRA may be charged to the salary head of the respective project. HRA shall not be granted to project staff in case of consolidated salary proposed by the Principal Investigator and the same sanctioned by the funding agency





7.11. All project staff shall work for the project only unless agreed to otherwise by the Director, R & D

7.12. Principal Investigators shall be the sanctioning and controlling authority for all types of leaves for project staff.

7.13. **Conduct Rules:** project employees shall

- A. Follow the general code of conduct as approved by the Director, R & D (Annexure 11B)
- B. Maintain secrecy of the research findings/ technical information and shall not get involved in unauthorized communication of any official document or information to others without consultation with the Principal Investigator.

7.14. Based on the Principal Investigator / Co-Principal Investigator report, the Director, R&D may constitute a committee to conduct disciplinary actions against project staff. Suitable disciplinary action may be initiated and punishment shall be imposed by the Director, R & D.

7.15. Promotion from JRF to SRF shall be as per the guidelines of the funding agency.

7.16 Distribution of Overhead Charges

The distribution of overhead charges of the sponsored project shall be 20% to PI as Professional Development Fund (PDF), ad rest 80% shall be distributed as per the followings:

- (a) 50% to University Development Fund (UDF);
- (b) 15% to Departmental Development Fund (DDF); and remain
- (c) 15% as Corpus Fund.

The DDF may be utilized by the concerned Department for the purchase of equipment/material or any other academic activity and promotion of the Industry participation. PDF can be utilized by PI as repairing of equipment, publication charges in open access journal of SCI/Scopus/web of Science.UDF can be utilized to pay Chartered Accountant (CA) for Audited Statement of the project and as TA-DA-honorarium charges to experts nominated from another institute/university.

## 8. FINANCE AND ACCOUNTS:

8.1 A separate book of accounts shall be maintained for each project. R&D Office shall be responsible for the submission of statements of accounts as and when required by the sponsorer, Govt. audited statements of accounts at the end of each financial year shall be provided if required by the sponsoring agencies.

8.2 In general, for sponsored research projects, 10-20% of the total project cost shall be charged towards Institutional charges (overheads) for utilizing the infrastructural and other facilities of the University. However, if the norms of the funding agency specify the same or have no such admissible head, then the norms of the funding agency shall be followed.

8.3. Principal Investigators shall arrange to maintain Procurement-cum-purchase Registers and Stock / Asset Registers as per UP Procurement Rules, 2016 and its subsequent amendments. These shall be

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verified by DSMNR University empanelled Auditors/Chartered Accountant as and when required. All purchase proposals in line with the purchase procedures of the University shall be processed by the R & D office.

8.4. Accounts for sponsored projects shall be maintained under five broad budget heads. They are Salary, Equipment, Contingency & Consumables, Travel and Institutional Charges Overhead. Minor adjustments in approved budget heads may be permitted by the Director, R & D without violating the norms of the funding agency significantly.

8.5. All expenditures shall normally be made within the proposed date of completion of the project. An exception may be permitted with the consent of the sponsoring agencies.

8.6. Principal Investigators shall be allowed to spend Rs. 25,000- as an urgent requirement of consumable, IT-related items, stationeries, and other lab-related items, and adjust within three months of spending.

8.7. Under special circumstances, Principal Investigator may request for transfer of funds from one head to another head (Annexure 12) of the same project with the approval of the funding agency (if required).

#### 8.8 Purchase procedure:

On receipt of the 1st installment of the project grants from the funding agency, the Principal Investigators will inform the office of the Director, R & D about the break-up of the received grant under different budget heads, unless already indicated by the funding agency. On receipt of subsequent grants also, the Principal Investigator shall intimate the breakup of funds.

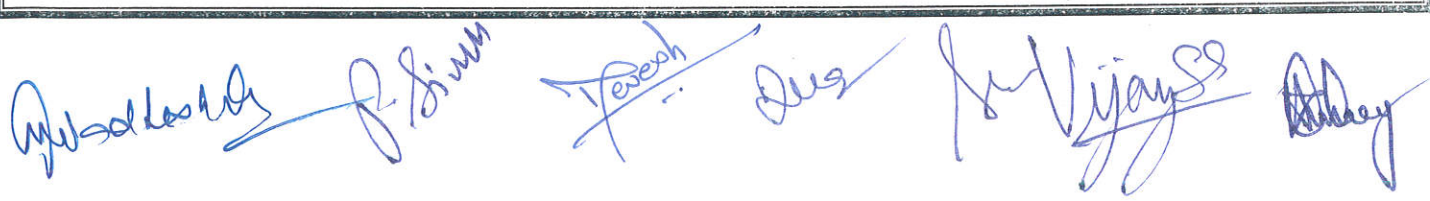
The Principal Investigator can reallocate the previous year's unspent balance (as per UC of the previous year) under different heads, as required, provided that the reallocated amounts remain within the total amount sanctioned by the funding agency under the given budget heads.

- Each project must have a separate Project Purchase Committee (PPC) as given below:

I. Principal Investigator of the project	Chairman
II. HoD can nominate any Faculty of the Department	Member
III. Head or his/her nominee	Member
IV One Faculty of the same Department	Member
V. One Faculty of other Departments (Who has project experience)	Member
VI. Assistant/ Deputy Registrar (R&DCell)	
Member	
VII. Co-Principal Investigators (if any)	Member
VIII. Nominee of the Finance Officer of the University	Member

**Note:**

(i) The Principal Investigator should obtain approval of the Project Purchase Committee in every financial year.





(ii) The Director, R & D may approve the constituted Project Purchase Committee by the Principal Investigator and the Finance Office must be informed about the approval of the project purchase committee.

(iii) The Chairman with at least three members (including nominee of the Finance Officer and AR/ DR, R&D Cell) of the Project Purchase Committee may complete the quorum.

- The Director, R & D will be authorized to approve purchases upto a sum of Rs. 5,00,000/-.
- Director, R&D may seek the opinion of the Finance Officer of the University before granting the approval in the cases he/ she may consider necessary to do so.
- The PPC may constitute a technical committee for evaluating technical specifications of the instruments/equipment or expert members should be incorporated in PPC. The recommendation of the committee will be approved by the Director, R & D. While the purchase of equipment of Rs. 1,00,000/- and above will be done through the tendering process.
- All purchases of non-consumable and consumable items and other expenses will follow the terms and conditions of the funding agency and as per UP Procurement Rules, 2016, and GEM Guidelines.

8.9. The office of the Director, R & D should help the Principal Investigator in time-bound purchases under sponsored projects without administrative delay, and General Financial Rules are to be followed for Purchase under the Project. The Director, R & D will be authorized to approve purchase orders up to a sum of Rs. 5,00,000/-. The supply order will be released by the PI. The Supply order for goods of Rs. 5,00,001/- and above shall be placed by the Registrar of the University after the recommendation of the Project purchase committee and approval of Hon'ble VC, DSMNR University. General Financial Rules of UP Procurement Rules, 2016, and GEM Guidelines related to purchasing and subsequent amendments from time to time shall be implemented.

**Table-1A procedure for the purchase of goods under the project**

Amount of Purchase	Procedure of purchase	Remarks
Up to Rs. 20,000/-	Open Market Purchase	General Financial Rules of UP Procurement Rules, 2016, and GEM Guidelines and its amendments are to be followed.
Rs. 20,001/- – 99,999/-	Through quotations	
Rs. 1,00,000/- and above	Through Tender	

Note: The committee will survey the market to ascertain the reasonableness of rate, quality & specifications and identify the appropriate supplier before recommending placement of a purchase order. The members of the Committee will jointly record the following certificate: "Certified that we the members of the purchase committee are jointly and individually satisfied that the goods recommended for purchase are of the requisite specification and quality priced at the prevailing market rates and the recommended supplier is reliable and competent to supply the goods in question and it is not debarred by the Government of Uttar Pradesh."

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**Release of Payment-**After supply of the items/ products/ equipments the process of payment shall be initiated by the PI after completing all the necessary procedures. The payment shall be released after the approval of the Vice- Chancellor routed through Finance Officer and the Registrar of the University.

#### 9. TA AND DA RULES:

Travel may be undertaken for any meeting of funding agency visits, meetings outside the University, participation in Conferences/Workshops/Seminars in India and abroad, if permitted by the funding agency) The Government of Uttar Pradesh TA & DA rules will apply to the Principal Investigator/s and project employees for all sponsored research/consultancy projects. However, there could be some relaxation in the TA & DA rules for the Principal Investigators and project staff, subject to the availability of funds and with prior approval of the Director, R & D as given in the detailed TA & DA rules for the R&D staff. Many of the projects require travel both local and outstation. The Principal Investigators Principal Investigators/Consultant Incharges and Project Staff can visit places outside the University as per entitlement, subject to availability of funds under the budget head "Travel or TA/DA" of the project. The rate of mileage would be as per the rules followed by the Govt. of Uttar Pradesh as adopted by DSMNR University for local and outstation tours. The advance may be provided to the Principal Investigator/Consultant Incharge on his/her request to attend conferences, which can be adjusted after submission of the bills. Alternatively, the amount can be reimbursed to the respective Principal Investigator/Consultant Incharge on submission of bills verified by him/her. Travel expenses of the external expert can be incurred by the contingency head of the project.

#### 10. CONSULTANCY PROJECTS:

Each consultancy project has a Consultant Incharge (CI) who is a faculty member or/non-teaching staff, (currently in the service of the University) subject to the approval of competent authority is responsible for:

- I. Formulating the project proposal which may include planning the work to be done, estimating costs according to the guidelines provided in the University regulations, identifying other faculty member(s) in the service of the University to work as Co-CI of the project, and identifying technical staff for assistance, if required.
- II. Coordination and execution of work.
- III. Associating students, outside experts, and external agencies, as and when required
- IV. Handling all communications with the client.
- V. Writing intermediate and final reports of the project.
- VI. Making recommendations to the Director, R & D regarding expenditure from the project funds and remuneration to be paid to faculty, staff, and scholars.

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 / Director, R & D. or Vice-Chancellor). When a faculty member is approached for the work, he/ she will generally be the Consultant-In-charge, if the work falls in his/her area of expertise. If he/ she do not wish to be the CI the

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HoD/ Coordinator will identify a suitable person as the CI. If the project is referred to a functionary, the concerned HoD would identify the Consultant-In-Charge according to the required expertise for the work.

Normally the agreed charges of the project are to be deposited by the client, in full, before the work commences. However, this stipulation is negotiable. In cases where the work is started with only partial payment, the arrangement of balance payment will be spelled out in advance and approved by the Director, R & D. All the payment from the clients will be deposited in the account earmarked for Consultancy by the University through its Finance Officer.

Consultant-In-Charge will take the approval of the Director, R&D Cell through the concerned Head of The Department for undertaking the consultancy project

#### 10.1. Information for a New Client

A new client (an organization or industrial company looking for a consultancy service from this Institute) may proceed as follows:

1. If the client has identified an individual faculty member who can handle his problem, he can write about his problem/requirement to that faculty member.
2. If not, the client can browse through the bio-data of faculty members and try to Identify a faculty member whose expertise and experience are relevant to the problem requirements of the client, and then write/ email to the faculty member.
3. If (2) is not possible, the client may browse through the list and activities of the various departments, try to identify a Department of the University relevant to his problem/needs and write to the Head of the Department. The e-mail address or telephone can be seen on the web pages of the respective Department. The Head will identify an individual faculty member who can take up the job and inform his/ her name to the client so that further correspondence dialogue can be held directly between them
4. In case (3) is also not possible, the client may write briefly about his/ her problem/ needs to the Director, R & D. A detailed address of the Director, R & D is provided on the University website. The Director, R & D will identify the department/ Individual faculty member and inform the client. Subsequently, the client can contact directly the Head of Department or the faculty member.

#### 10.2 Testing Services

The University will undertake routine and non-routine testing jobs provided facilities are available and such testing does not interfere with any teaching or R&D work. The testing jobs can be initiated by the faculty with the prior permission of the Head of the Department.

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**10.3 Honorarium and University Charges**

The distribution of service charges of the consultancy shall be 60% to CI and others involved in the project work as an honorarium and 10% to the University Development Fund (UDF); 20% to the Departmental Development Fund (DDF) and 10% to the Corpus Fund. The DDF may be utilized by the concerned Department for the purchase of equipment/material or any other academic activity and promotion of the Industry participation.

**11. INTELLECTUAL PROPERTY RIGHTS (IPR):**

11.1. Unless otherwise agreed with the Sponsor in the project agreement, Intellectual property Rights for any discovery or invention originating from the Sponsored Research and Consultancy Project shall jointly rest with the University, Investigator(s), and the Sponsoring Agency unless the Sponsoring Agency authorizes the University in writing to have the exclusive right. Patent/copyright application before the Registrar/Controller of Patents shall be filed by the R&D Cell office based on the recommendations made by the patent Copyright Committee,

11.2. For the effective protection of IPR, it is necessary that the Principal Investigators should maintain a register that gives the details of the work done and salient findings on a daily/weekly basis. This register should be signed by the PI and by at least one other faculty/project employee as a witness to the result.

11.3. For the copyright protection of software technology, registration of the software at the University shall be made and properly documented. The list shall be centrally made available to the R&D Cell office.

**12. TECHNOLOGY TRANSFER:**

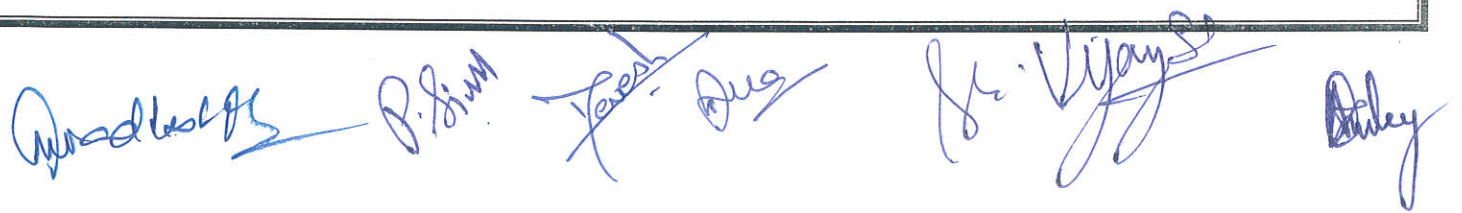
The Principal Investigator shall not independently transfer technology either on an exclusive or non-exclusive basis to any party without the comment of the IPR owners. The terms and conditions for each such technology transfer shall be worked out on a case-to-case basis with the approval of the Director, R & D/Vice-Chancellor, DSMNR University.

**13. DUTIES AND RESPONSIBILITIES OF THE PRINCIPAL INVESTIGATORS**

13.1. Sponsored Research and Consultancy projects shall be undertaken only with the prior approval of the Director, R&D. All research project proposals are to be submitted to the R&D Cell office for endorsement of the Director, R&D before onward transmission to the funding agency. In case of online submission, the Principal Investigator needs to submit a copy of the proposal to the R&D Office for endorsement of the Director before online submission.

13.2. It shall be the responsibility of the Principal Investigator to get the project work completed satisfactorily within the sanctioned grant and duration.

13.3. The Principal Investigators shall ensure that the head-wise expenditure does not exceed the budgetary allocation for effective control, periodic (or as and when required) expenditure details shall be made available by PIs to the R&D office.





- 13.4. The PIs shall be responsible for the submission of periodical and/or final technical report(s) of the project work as may be required by the sponsoring agency, He/She shall also send a copy of the final technical report to the Director, R & D
- 13.5. The Principal Investigator shall write to the sponsor for the timely release of the fund with a copy to the Director, R & D for follow-up. R & D Office will provide the unaudited/audited statement of accounts to the Principal Investigator for forwarding the same to the sponsor.
- 13.6. The Principal Investigator shall sanction/control the leaves for the contractual employees working on their projects under intimation to the R & D Cell.
- 13.7. **Submission of Annual Statement of Expenditure/utilization certificate, closure of Project Account, and issue of "No Dues Certificate" to the Principal Investigator:** The Principal Investigator and Co-Investigator (if any) will be responsible for the timely submission of the progress report 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 office of the Director, R & D will support quick settlement/issue of the SE and UC, and these will be expeditiously forwarded to the concerned funding agencies so that next year's funds are released in time. The Principal Investigator should settle the accounts within three months of the completion of the Project. The Principal Investigator should submit a request for the closure of the project after the completion of the project (Annexure 13) and Dues from the office of the Director, R & D
- 13.8. Within three months of completion of the project, a list of all non-consumable items (Equipment, Books, Journals, and any other Capital item) procured out of Project Funds shall be given to the Head of the Department in prescribed proforma, so that the same can be taken into the stock of the Department/Faculty/Centre. These items shall remain with the PI/Co-PI till he/she continues to be formally associated with the Department/Faculty/Centre. A copy of the same should be provided to the Research and Development Cell after issuing a "No Dues" certificate by the Head of the Department in respect of the project concerned. After completion of the project, the non-consumable items (Equipment, Books, Journals, and any other Capital items) shall be transferred from the stock book of the project to the stock book of the Department under the information to Store & Purchase (*Nazarat*) section and R& D Cell.
- 13.9. Soon after the final account is settled, the PI should submit an application to the R & D Cell for the issue of a "No Dues" certificate as per the proforma and enclose 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 the project/scheme within 6 months from the date of final settlement of accounts.
- 13.10. The 'No dues' Certificate to PI/Coordinator can also be issued if the equipment and non-consumable items procured under the project by PI are handed over to Co-PI or any other relevant faculty member and so recorded. The No-dues certificate in this case will be issued based on the above-said transfer certificate signed by both PI and by Co-PI or relevant faculty members to whom the charge is given and countersigned by the Head/Coordinator of the Department/Faculty/Centre/Unit.

*Handwritten signatures:* Anandkumar, P. Singh, J. Singh, S. Singh, H. Vijay, and others.

#### 14. FINANCIAL BENEFITS TO PRINCIPAL INVESTIGATORS/ CO-PRINCIPAL INVESTIGATORS/ CIs AND PROJECT STAFF

14.1. Within the framework of a sponsored project, Pls shall be permitted to have a consultancy fee/honorarium, if the sponsor so approves. The consultancy fee honorarium thus received shall be shared between the Pls and the University in the 60:40 ratio.

14.2. Depending on the availability of funds under the Travel head and with the approval of the Director, R&D, expenses (TA, DA, Registration Fee, etc.) for presenting papers in National Conferences/seminars/workshops in fields relevant to the project, shall be given to Pls/ Co-Pls/CIs from the project fund provided such visits are approved by the Director, R&D as per TA/DA rules of State Government.

14.3. On recommendations of Pls, contractual project staff and students working in projects may be permitted with the approval of the Director, R&D to present papers in National Conferences. TA, DA, and Registration Fee support can be provided to project staff and students from the available funds under the Travel head of the project.

14.4 The Pls shall prepare project proposals considering:

- (i) The prevailing scholarship/ consolidated salary
- (ii) General qualifications and experience of staff required
- (iii) Rules of the R&D.

All such proposals require approval by the Director, R&D.

#### 15. ADMISSION OF RESEARCH WORKER TO ACADEMIC PROGRAMME OF THE UNIVERSITY

A project staff such as Junior Research Fellow (JRE), Senior Research Fellow (SRF), project assistant or any other person working in a sponsored scheme/ project of the University is eligible to register for the PG/ PhD program as per the University/ UGC regulations. The minimum duration for completion of the total credit requirements for PG/ PhD programs shall be as per the PG/ PhD regulations of the University.

#### 16. EXCEPTION CLAUSE:

These R & D Guidelines shall normally apply to all research projects, consultancies, testing services, software marketing technology transfer, and intellectual property rights any exception/ deviation to these rules may be considered by the Vice-Chancellor/ Competent Authority for approval depending on the merits of the case.

*[Handwritten signatures and initials at the bottom of the page]*



17. The statement of expenditure and utilization certificate will be prepared at the end of each financial year by the PI and sent to the sponsoring agency through the Director, R & D.
18. Submission of Progress Reports and other Deliverables is the responsibility of the PI to send timely reports and other deliverables to the sponsoring agency through the Director, R & D.
19. After completion of the project, the final report should be submitted to the funding agency through the Director R&D with a soft copy for the record of the Director R&D
20. A completion certificate should be obtained by the Principal Investigator from the funding agency for successful completion of the project based on which project account will be closed with intimation to the R&D office.
21. The project file will be closed with the submission of the final technical and financial project report and the consumable and non-consumables to the central stock register.
22. Collaborative projects between two or more Universities/ organizations can be submitted only after the approval of respective competent authorities. The funds will be received by the host University/Organization of the Principal Investigator and the host University/Organization will have the responsibility to transfer the funds to the collaborative Universities/ organizations as specified in the project proposals. If the sponsorer agrees, funds can be released by the sponsorer separately to the participating Universities.

### 23. PROFESSIONAL DEVELOPMENT FUND (PDF)

To support the professional development of the faculty members of the University, PDF has to be created in the University. It will be centrally managed by the office of the Director R&D/ Finance Officer. PDF will made available to those individual faculty members who will contribute to the PDF (non-lapsable) (Annexure 14)

#### 23.1. UTILIZATION OF PDF BY PIs:

The PDF 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 projects/ 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

*[Handwritten signatures and initials at the bottom of the page]*

#### 24. PROCUREMENT PROCEDURES:

All purchases related to sponsored projects should be made as per the approved U.P. Procurement Rules, its Amendments, and GEM guidelines.

#### 25. PRESCRIBED FORMATS:

Forms related to various activities of the R&D can be available with the R&D Office and on the designated website.

#### 26. MANAGEMENT OF CENTERS OF EXCELLENCE!

The Centers of Excellence funded by various funding agencies will operate as independent R & D Offices in the University. The Chairmen/ Heads of the Centers, appointed by the competent authority will have financial and academic administration responsibility as approved by the competent authority, However, the supervision of these Centers will be done by the office of the Director, R & D.

#### 27. SEED GRANT/ UNIVERSITY GRANT

The University may provide a seed grant to faculties to augment the facilities for research laboratories (depending on the availability of funds). The faculty member will write a research proposal. The proposal should include a description of the research that he/she wishes to conduct over the next 2-3 years. It is a platform meant to help faculties to prepare for subsequent proposal submissions. In other words, the seed grant is a seed for seeding bigger projects.

##### Guiding notes:

- The proposal will be submitted to the Director, R & D. The Director will arrange to get review comments from the subject experts. Review comments will be appropriately incorporated/addressed by the Faculty before final submission.
- The proposal will be presented by the faculty before a University level committee, consisting of Dean-Academic, Director IQAC, Director R&D, HOD and 2 Faculty members/experts to be nominated by the Vice Chancellor.
- The initiation grant is normally for an amount above one Lakh and not exceeding two Lakh for the faculties to support the research as proposed by the faculty member and approved by the University Level Committee. The said committee will be constituted by R&D Cell and approved by the Vice-Chancellor.

##### Note:

- (1) Amendments in the guidelines for the sponsored research project can be made after approval of the Vice-Chancellor of the University.
- (ii) In case of discrepancies, the funding agency's rules and regulations may abide by all.

\*\*\*\*\*

*[Handwritten signatures and initials at the bottom of the page]*



## DR. SHAKUNTALA MISRA NATIONAL REHABILITATION UNIVERSITY, LUCKNOW

## OFFICE OF THE RESEARCH &amp; DEVELOPMENT CELL

I/we Principal Investigator and Co-Principal Investigator(s) certify that:

1. The proposal is as per the format prescribed by the funding agency. Yes/No
2. Clearances from the relevant Committees has been obtained or application has been sent for approval:
  - 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 required for the project:  
Yes/ No
4. The same project has not been submitted by the PI/ Co-PI elsewhere Yes/ No
5. Institutional/Overhead Charges have been included in the proposal (At least 20% of the project cost or as per funding agency norms).  
Yes/ No

Co-Principal Investigator

Principal Investigator

Head of Department

Shakuntala Misra  
Sr. Prof.  
Dr. S. Misra

P. Misra  
Prof. Dr. S. Misra  
Vijay  
Dr. S. Misra

## ANNEXURE: 2

**DR. SHAKUNTALA MISRA NATIONAL REHABILITATION UNIVERSITY, LUCKNOW**  
**OFFICE OF THE RESEARCH & DEVELOPMENT**

**New project Registration Form**

Project Title	
Sponsoring agency	
Project start date	
Project duration	
Is there any agreement /MOU? (Tick one)	<b>Yes/No</b>
Total amount sanctioned *	
Project type (Tick one)	Grant in Aid/ Sponsored research/Consultancy/Testing (Non-routine)/ Conference/short courses/Travel grant/initiation grant/Lab Development A/c/ Professional Development A/c University Project/any other (please specify)_____

Name of the Principal Investigator		Mob. No.											
Name of the Co-Principal Investigator		Mob. No.											
Project to be operated by (Tick one)		Only by PI/either PI or Co-PI											

**Enclosure: Sanction letter, copy of agreement/ MoU, and any other relevant correspondence.**

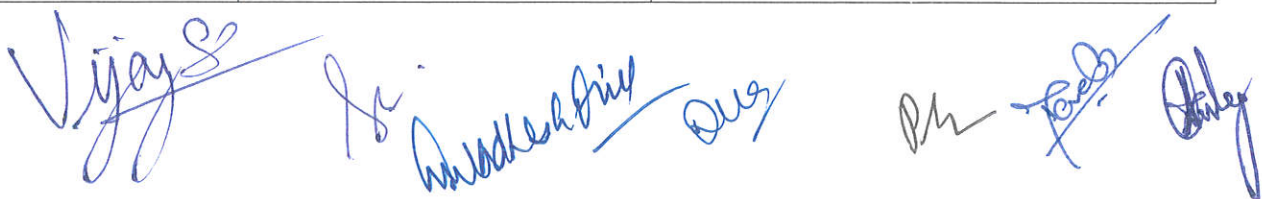
**\* Note:** Head-wise allocation of funds and University overhead should be given by the Principal Investigator.

**Signature**

Co-Project Investigator	Project Investigator	Head of the Department
-------------------------	----------------------	------------------------

**Office of the R&D Cell**

Type of Project	GAP/SSP/ CNP/ Testing (Non-routine)	
Remarks		
Project number	Type of Project/ Department/ Funding Agency/ Start Date/ R&D Office Code	
Dealing Assistant	A.D./D.D. (R&D)	<b>Approved</b>  Director (R&D)





**ESSENTIAL QUALIFICATIONS FOR STAFF POSITIONS UNDER PROJECTS**  
(Nomenclature/Designations should be as per sanction of the Funding Agency Norms)

**RESEARCH POSITIONS**

(Emoluments as provided by the funding agency)

**Research Associate/ Project Scientists:**

As specified by Principal Investigator/Co-Principal Investigator and approved by funding agency and Director, R&D

**SRF:**

**Age:** Upper Age limit – 32 years: (Age relaxation as per specifications of the funding agency concerned).

**Qualification/Experience:** NET/GATE or equivalent as per specifications of the funding Agency concerned with 55% marks (equivalent grade) in Post-Graduation/qualifying degree. At least two years of research experience in a related field.

**JRF:**

**Age:** Upper age limit – 28 years: (Age relaxation as per specifications of the funding agency concerned).

**Qualification:** NET/GATE or equivalent as per specifications of the funding agency concerned with 55% marks (equivalent grade) in Post-Graduation/qualifying degree.

**Experience:** As specified for the project.

**Research/Project Assistance/Fellow:**

As per the funding agency norms or specified in the project by Principal Investigator & Co-Principal Investigator as per the need of the Project.

**NON-RESEARCH POSITIONS**

(Emoluments as provided by the funding agency)

**Office/ Project Assistant:**

As per the funding agency norms or specified for the project by Principal Investigator & Co-Principal Investigator as per the need of the Project.

**Junior Officer/ Junior Project and Field/Laboratory Assistant or Attendant:**

As per funding agency norms or specified for the project by Principal Investigator & Co-Principal Investigator as per the need of the Project.

**Note:** Qualifications should have the approval of the Director, R&D before their advertisements.







## ANNEXURE: 5

**CONSTITUTION OF THE SELECTION COMMITTEE**  
(When the same has not been specified by the funding agency\*)

## A. Composition in respect of Research positions

- |   |            |
|---|------------|
| 1. Principal Investigator   | - Chairman |
| 2. Director, R&D or his nominee   | - Member   |
| 3. Head of the Department   | - Member   |
| 4. Co-PI (if any)   | - Member   |
| 5. An expert from the Department/Faculty<br>(to be nominated by the Dean of the Faculty)  | - Member   |
| 6. An expert from a related discipline preferably from another<br>Faculty or another University/Institute<br>(to be nominated by the Vice-Chancellor) | - Member   |
| 7. Expert nominated by the Funding Agency (if any)  | - Member   |
| 8. SC/ST/ OBC/ PwD/ Women Nominee<br>(to be nominated by Director, R&D*)  | - Member   |

## B. Composition in respect of Non-Research/Contractual positions. The composition of the Selection Committee for non-research/contractual positions shall be as under:

- |  |          |
|--|----------|
| i) Principal Investigator  | Chairman |
| ii) Director, R&D or his nominee   | Member   |
| iii) Head of the Department or Coordinator of Centre/Faculty             | Member   |
| iv) Co-Principal investigator/s, if any                                  | Member   |
| v) SC/ST/ OBC/ PwD/ Women Nominee<br>(to be nominated by Director, R&D*) | Member   |

Provided that to ensure that the number of members in the Committee is not reduced in the event of one person holding more than one slot, the Director, R&D may be required to nominate additional members. When HoD/ Coordinator of the Center/Faculty and Principal Investigator are the same, the next senior-most faculty in the Department/Faculty/Center will be a member. When the Director, R&D is the Principal Investigator, the Vice-Chancellor shall nominate a member in the committee.

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

(ii) The Selection Committee may, if necessary, recommend 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 about the composition of the Selection Committee, the same should be followed invariably.*

*Vijay* *Is* *Anand* *Dus* *PS* *Tej* *Shrey*

**PROFORMA FOR SUMMARY**

Summary of candidates called for interview for the post of .....under  
Project

.....,  
Department/Faculty/Center of .....  
vide Advertisement No..... dated.....in.....(Name  
of Newspaper).

1. Number of Applications  
received: .....

2. Minimum Qualification  
prescribed for calling for Interview:.....

.....  
...

**Candidates called for Interview: .....**

Sl. No.	Name & Address	Whether SC/ST/ OBC	Disability (if any)	Sex	Date of Birth	% marks, year of passing and name of Board/university				Research Experience	Remarks
						High School	10+2	U.G.	P.G.		

Note- Reservation rule of University/GoI/ UP Government will apply

Candidate not called for an interview with reason.

Sl.	Name & Address	Whether SC/ST/ OBC	Disability (if any)	Sex	Date of Birth	% marks, year of passing and name of Board/university				Research Experience	Remarks
						High School	10+2	U.G.	P.G.		

Signature of the committee members (as given in Annexure 5).

*Vijay* *Dr. Anandhakar* *Dr. P. S. S. S.* *P. S. S. S.* *P. S. S. S.*



## ANNEXURE: 7

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

Name of Department: .....

Name of Faculty: .....

Project Title: .....

Name of Principal Investigator: .....

S. No.	Name of the candidate	Assessment of experts with respect to the candidate	Maximum Marks	Marks obtained	Remarks

**SIGNATURE OF MEMBERS WITH NAME AND DATE:**

(1)

(2)

(3)

(4)

(5)

(6)

*Amal Kishore*

*Dus*

*Dr. Vijay SS*

*PSM*

*Seetha*

*Shirley*

## PROCEEDINGS OF THE SELECTION COMMITTEE

Minutes of the meeting of the Selection Committee held on ..... at ..... am/pm in the chamber of..... DSMNR University to select (Post) .....for the Research Project entitled .....

Project Code No. ....

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

Prof. /Dr.	Principal Investigator:	Chairman
Prof. /Dr.	Director R&D (or his nominee):	Member
Prof. /Dr.	HOD or his/her nominee :	Member
Prof. /Dr.	Co-Principal Investigator:	Member
Prof. /Dr.	* : Expert	Member
Prof. /Dr.	** : Expert	Member
Prof. /Dr.	SC/ST/OBC/ PwD/ Women nominee (to be nominated by Director R&D*)	Member

Notes:

\* Expert member from the Department/Faculty (to be nominated by the Dean of the Faculty)

\*\* Expert Member from another Faculty or another University/Institute (to be nominated by the Vice-Chancellor.

For the post of....., (No. of candidate) .....candidates were called for the interview, out of which ..... turned up. The members of the Selection Committee ..... thoroughly examined and interviewed the candidates and after due consideration resolved to recommend that:

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

Waitlist candidate (if any)

1.

2.

Signature of the members with name and date:

*(Handwritten signatures and names of the members of the Selection Committee)*



ANNEXURE: 9

DETAILS REGARDING APPOINTMENT UNDER THE PROJECT

1. Name of Principal Investigator :
2. Name of the Funding Agency :
3. Reference No. & Date of Sanction :
4. Duration of the Project :
5. Sanctioned Posts :
6. Advertisement (name of the Newspaper): **Enclosure No.**
7. Required Qualification (As per Advertisement):
8. Précis of the candidates called for the interview: **Enclosure No.**
9. Qualification of the selected candidate:
10. Experience :
11. Recommendation of the Selection Committee: **Enclosure No.**
12. Proposed Copy of appointment letter to be sent to the candidate **Enclosure No.**

PRINCIPAL INVESTIGATOR

.....  
COMMENTS OF THE OFFICE (R&D)

Checked the above information.

DEALING ASSISTANT

Based on 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.

A.D/ D.D. (R&D.)

DIRECTOR, R&D

*Vijay*  
*Amal*  
*Pr.*  
*Qus*

*P. S. M.*  
*Teach*  
*Deleg*

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ANNEXURE: 10

DR. SHAKUNTALA MISRA NATIONAL REHABILITATION UNIVERSITY, LUCKNOW-226017

APPOINTMENT LETTER FOR PROJECT STAFF

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 in a Job on Contract basis, on an emolument 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 Contract 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 six months, extendable from time to time depending upon your performance.
3. It is not an appointment at the University, temporary or otherwise. It is purely a job contract 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 DSMNR University against any post/position.
4. The Contract may be terminated at any time without assigning any reason thereof.
5. No traveling allowances will be paid to you either for undertaking the contract or on termination of the same.
6. Your engagement on contract will be subject to the production of documentary evidence in support of your date of birth, qualification, and caste certificates
7. In case it is detected at any stage that you have committed any fraud or forgery in seeking this contract, your contract shall be immediately dispensed with, without any notice.
8. Your contract shall be subject to the terms and conditions that may be framed from time to time as per the requirement of the research work

1 of 2





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 the contract without any notice.

10. In the event of any dispute arising out of this contract, the decision of the Vice Chancellor, DSMNR University shall be final and binding on you.

If you are willing to accept the above offer of contract on the terms and conditions stipulated, you are requested to join within 7 working days from the date of issue of this letter failing which the offer will automatically stand cancelled.

**Dated:**

Yours faithfully

(Principal Investigator)

Copy to the following for information and necessary action

1. The Director, R&D, DSMNR University
2. Dean of concerned Faculty
3. The Head of the Department
4. Registrar
5. Finance Officer
6. The Assistant/Deputy Director (R &D), DSMNR University.

(Principal Investigator)

*Vijay S*  
*Anandesh*  
*Dus*  
*P. Sin*  
*Leesh*  
*Praveen*

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ANNEXURE: 11 A

DR. SHAKUNTALA MISRA NATIONAL REHABILITATION UNIVERSITY, LUCKNOW-226017

JOINING LETTER

Date

From:

To  
The Principal Investigator  
Department/Faculty/Centre .....  
Dr. Shakuntala Misra National Rehabilitation University,  
Lucknow-226017

Subject: Joining report for the post of under the project .....

Respected Sir/Madam,

Thank you very much for your letter No.....dated .....regarding  
appointment as under the Project entitled  
“.....”

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 the DSMNR  
University rules.

Thanking you,

Yours faithfully

Copy to:

1. The Director, R&D
2. Assistant/Deputy Director (R & D)

Vijay S  
Anandesh D  
Jr.  
Dus  
P. S. M  
S. S. M  
S. S. M



## ANNEXURE 11B

DR. SHAKUNTALA MISRA NATIONAL REHABILITATION UNIVERSITY, LUCKNOW-226017

## CODE OF CONDUCT FOR PROJECT STAFF

- i) Project data both hard copy and the soft copy have to be submitted by project staff to Principal Investigator yearly and at time of completion of project/resignation/termination.
- ii) Project staff shall not be allowed to publish project data in any journal, conference, patent, book and book chapter without the consent from the Principal Investigator. In case he/she publishes data without the approval of the Principal Investigator then legal action will be taken to protect IPR.
- iii) Any grievance related to the project staff will be addressed through Principal Investigator/ Director R&D/Female representative. A committee of the following can be constituted:
  1. Director, R&D
  2. Principal Investigator
  3. SC/ST representative
  4. OBC representative
  5. PwD representative
  6. Female representative
  7. Subject expert nominated by Director, R & D out of a panel submitted by Principal Investigator
- iv) A total of eight casual leaves shall be granted to project staff in one academic year thus 2 casual leaves in 3 months can be granted to project staff. In case the funding agency has its own specific rules about leaves to project staff, the same will prevail. In case, there is no specific provision made by the funding agency regarding other leaves such as Medical Leave, Maternity Leave and Holidays, leave provisions for the contractual appointments made by the University shall prevail.
- v) Project staff will not be allowed to contact directly to the funding agency related to any issue. All communication to any external agency/individual should be discussed with the Principal Investigator.

Project staff

(Name &amp; signature)

Co-Principal Investigator (if any)

(Name &amp; signature)

Principle Investigator

(Name &amp; signature)

The bottom of the page contains several handwritten signatures in blue ink. On the left, there are three signatures under the 'Co-Principal Investigator' heading. On the right, there are four signatures under the 'Principle Investigator' heading. The signatures are stylized and difficult to read.

## ANNEXURE: 12

**DR. SHAKUNTALA MISRA NATIONAL REHABILITATION UNIVERSITY,  
LUCKNOW-226017**

**Request for transfer of expenditure between the heads within the same project**

**Dated:**

Name of Principal Investigator			
Project No.			
Head from which expenditure is to be transferred	Budget Head From	Budget Head To	Amount
Response for Transfer			
Reference of Approval from Funding Agency and Date (Attach a copy of Approval letter)			
Signature of PI			

**For office use only**

<b>Dealing Assistant</b>	<b>Assistant/Deputy Director (R&amp;D)</b>	<b>Director, R&amp;D</b>
--------------------------	--	--------------------------

*Vijay 28*

*Anandesh*

*Dug*

*P.S.M*

*[Signature]*

*[Signature]*



ANNEXURE: 13

**DR. SHAKUNTALA MISRA NATIONAL REHABILITATION UNIVERSITY, LUCKNOW-  
226017****Dated:****From**

Name:  
Project No.:  
Department/Faculty:

**To**

**Director (Research & Development)**  
**Dr. Shakuntala Misra National Rehabilitation University**  
**Lucknow- 226017**

**Subject: Request for closure of Project**

The sponsored research/consultancy Project No..... has been completed. The date of completion was..... In this context, the following information may be noted (Please tick as applicable).

1. The project completion report has been sent to the sponsoring agency.
2. Equipment/non E consumable including books and furniture purchased from this Project grant have been entered in the Department's/ University's Stock Register.
3. All advances (TA/Consultancy) have been settled in the project.
4. No reimbursement for any purchase/expenditure is pending.

Given the above, the project may be closed with immediate effect and the final statement of account be prepared. Any balance may also be refunded to the sponsoring agency. The information regarding excess expenditure, if any, may please be provided so that the sponsoring agency can be requested to send the additional amount.

**Principal Investigator****Head/ Coordinator of the Department****Dean of the Faculty****Approved/Not Approved****Director, R&D**

*Vijay 28*  
*Anurag S. S.*  
*Dug*  
*P.S.M.*  
*[Signature]*  
*[Signature]*

DR. SHAKUNTALA MISRA NATIONAL REHABILITATION UNIVERSITY, LUCKNOW-226017

**PERFORMA FOR  
TRANSFER OF FUND TO PROFESSIONAL DEVELOPMENT FUND (PDF)**

Date:

Name of Principal Investigator, Designation and Department			
Project No.			
<b>Transfer of funds to PDF of concerned Principal Investigator (a part from overhead charges)</b>			
Sl. No.	Details of transfer	Budget Head	Amount
1.	Consultancy Project (Any amount will be transferred after completion of the Project)		
2.	The amount for Lectures & Lab work related to continuing (or self-financial) courses will be transferred after completion of the activity		
3.	Software technology transfer, royalty, Fees, etc.		
4.	Sponsored Project overhead charges of Principal Investigator		
5.	Any other item (specific permission of Director, R&D required)		
Principal Investigator		Head/ Coordinator of Department	

(For office use)

Dealing Assistant	Assistant/Deputy Director (R&D)	Director (R&D)

*Vijay S.* *Anand K.* *P. S.* *P. S.* *P. S.* *P. S.*