

**OPERATIONAL GUIDELINES FOR A SPONSORED RESEARCH PROJECT**

1. **Principal Investigator (PI)** of a sanctioned project is considered to be the prime interface between the funding agency and IRD and is operational head of the project. The PI is advised to keep the whole project team aware about the progress of the project and involve the Co-PIs in all related project activities. In his/her absence, the PI may request any of the Co-PI to take-over the responsibility of running the project and inform the change to IRD using **online form on IRIS**. However, if the responsibility is being handed over to another faculty member other than Co-PI, prior approval of Associate Dean (R&D) is required.

Delegation of powers for various activities have been recently revised. Many of these have been incorporated in this document. However, PI/Co-PIs are advised to study the same circulated vide [IITD/IRD/M-65/10570 dated 24/12/2012](#) for smooth functioning. **Most of requests related to operational activities of projects are required to be submitted online using appropriate form on IRD Online System (IRIS) at <https://iris.iitd.ac.in/ird>. The requests for which specific format is not available, the same may be submitted online using 'General Requests'. The specific forms for online submission for other requests will also be added in IRIS in near future.**

2. **Receipt of Funds/Grants**

Nowadays most of the grants (start or subsequent) are being released through RTGS/e-payment. PIs are requested to coordinate with Funding Agency to obtain a written communication (or email) of release of funds and convey this information to IRD so that the grant may be credited to their project without any delay. IRD has simplified the procedure for grant allocation, which is given in circular no. [IITD/IRD/Accounts/415 dated 17/09/2012](#).

In case of extraordinary delays in release of subsequent grants, where funds are required for payment of staff salary and very necessary expenses, PI may request IRD to extend small loans using **online form on IRIS** to meet such expenses.

3. **Staff Recruitment**

IRD provides following options of recruiting project staff to kick-start the project activities:

- a) **Casual Appointments:** The PIs can immediately exercise this option and offer a contract of work on casual basis (informal selection) to anyone with suitable qualifications starting from the date of their choice using **online form on IRIS**. However such awards are restricted to 3 months only for each individual. These may be given against sanctioned positions or for one-time requirement of a special nature. In the meantime, the process for Project Appointments (renewable on yearly basis) against the sanctioned posts in the project can be initiated.
- b) **Project Appointments:** These appointments are contractual and renewed every year maximum up to the duration of the project or 5 years whichever is less. The request for the same may be initiated by filing offline [Form No. IRD/REC-2](#). The PI has two options for holding these selections:- Option I - Walk in test/ Interview; and Option II - Shortlisting followed by test and / or Interview. The composition of Selection Committee is to be sent to IRD in offline [Form No. IRD/REC-3](#).

IRD Unit will post the advertisement on IRD website and a general notice will be published in a National Newspaper twice in a month indicating the availability of advertised posts under various projects on IRD website.

- c) **Assistantships:** PIs are encouraged to select full-time M.Tech./Ph.D. students through M.Tech. & Ph.D. selection process of the Dept./Centre and extend assistantship through the Project against sanctioned staff positions. Use **online form on IRIS** for sending requests for new assistantships and their renewals.
- d) **Engagement on Honorarium:** Honorarium for providing assistance in project activities can be paid to full-time Ph.D./M.Tech./M.S.(R)/B.Tech./5<sup>th</sup> year Dual Degree students of IIT Delhi and students appointed under assistantship mentioned above as per approved norms using **online form on IRIS**.

The full time students from outside (during vacations)/casual students registered at IIT Delhi/other working professionals can be engaged for project activities with or without honorarium basis as per IRD norms. The requests for such engagements be forwarded using **online form on IRIS**.

Institute supporting staff may also be engaged for specific project and consultancy activities and paid honorarium with the approval of Associate Dean (R&D). The requests for such payments using offline [Form No. IRD/HON-3A](#) need to be forwarded through HoD/HoC in offline [Form No. IRD/HON-3](#) with justification of work being assigned. No honorarium can be paid to project staff employed in sponsored projects/consultancy jobs.

- e) **Hiring of Casual Labour:** Casual labour for special needs of the project can be hired for specific work on contracted amount (normally based on daily wage norms of the Institute) for a maximum period of 3 months using **online form for casual appointment on IRIS**. Beyond this period, such hiring is subjected to the recommendations of the Committee constituted by Associate Dean (R&D), for which a **online "General Request"** be forwarded through IRIS.
- f) **Appointing Visiting Scientists:** The PIs can appoint visiting scientists by invitation against a sanctioned post in a project with the prior approval of Dean (R&D).

The detailed norms for recruitment of project staff are available on IRD website at [http://ird.iitd.ac.in/recruitment\\_norms](http://ird.iitd.ac.in/recruitment_norms).

#### 4. Day to day Expenses

You may draw a permanent imprest up to Rs. 15,000/- for day to day expenses/petty purchase using **online form on IRIS**. Approval of Associate Dean (R&D) is required for drawing imprest beyond this limit. The accounts must be settled at the end of the financial year and can be drawn again in next financial year.

#### 5. Purchase of Equipments/Consumables

The equipment purchase takes time and needs planning.

- a) Please ensure the availability of sufficient funds in the project during the purchase process.
- b) Please ensure to follow the Comprehensive Stores & Purchase Rules 2008 of the Institute available at [Stores & Purchase website](#) to avoid any audit objection. Breach of purchase rules may lead to cancellation of order. These purchases can include Purchase/upgradation/buyback of equipments, fabrication, components, office equipments, consumables, stationery, Annual Maintenance Contracts, Annual Rate Contracts for goods and services.
- c) **Minor Purchases:** The PI is authorized to make purchases up to Rs. 2 Lacs (minor purchase) himself/herself by means of Purchase Committees. Purchase up to Rs. 15,000/- may be made without forming purchase committee. The purchases for a total value of more than Rs. 15,000/- and up to Rs. 1 lac can be done through a Purchase Committee approved by PI ensuring and certifying the reasonability of the price. If necessary, the buyer may draw an advance up to Rs.1.00 lac using **online form on IRIS** for making cash purchases while ensuring no single payment will exceed Rs. 15,000/- subject to timely adjustment. Advance payments to vendors or payment against delivery through cheque can be done by taking prior approval of competent authority through IRD. The IRD Unit has recently initiated the SBI Corporate Credit Card Scheme. The PI can now use this mode of payment for making minor purchases. Request for obtaining SBI Corporate Credit Card can be made using **online "General Request" on IRIS**.
- d) **Bills:** For all purchases kindly make sure that the bills have S.No., Date and TIN/PAN no. of the vendor/supplier.
- e) **Imports:** As per current rules, all imports (equipment, spare parts or consumables) regardless of their value should be processed through Central Stores & Purchase Section. In case of urgency, prior approval of the competent authority is required to make any purchase in foreign currency through internet/credit card etc. We are in the process of modifying imports under minor purchase.

#### 6. Travel

The PI, Co-PIs, students and staff can visit places for project work outside the Institute as per entitlement, subject to availability of funds under budget head "Travel or TA/DA" of the project. However sanction of concerned HoD/HoC is required for being away from the Institute.

- a) **Local Travel:** You can hire DLY Taxi within the National Capital Region (NCR) up to maximum limit of six times in a month, till a limit of Rs. 1600/- for up to 80km/8hr, Rs. 16/- per km and Rs. 100/- per hr thereafter for project/consultancy work. In case you have more than two projects, the limit on such hiring during the month will be ten without any prior approval. Metered Taxi and Radio Taxi can be hired as per IRD norms as notified in [IRD Circular No. IITD/IRD/M-109/1199 dated 11.02.2011](#) and [Circular No. IITD/ICDN/2013/1161 dated 04.09.2013](#). Prior approval of Associate Dean (R&D) is required using **online form on IRIS** only in case of any relaxation.
- b) **National:** PI can sanction travel to any faculty member (including self), staff and students engaged with the project anywhere in India subject to expenses limited to their respective entitlement. However, this is subjected to the approval of leave of kind due by the concerned authority.  
Taxis between NCR and nearby cities ( $\leq 600$  kms of total travel) can be hired @  $\leq$  Rs. 16/- per km for project/consultancy work.  
Taxis within city of visit or its nearby areas can be hired till a limit of Rs. 1600/- for up to 80km/8hr, Rs. 16/- per km and Rs. 100/- per hr thereafter as per requirement of project/consultancy work.  
All travel bookings are required to be made as per Institute norms. PIs can sanction expenses related to booking of travel tickets (including tatkal) and cancellation of travel tickets. Prior approval of Competent Authority using **online form on IRIS** is required only in case of any relaxation including non-Air India travel.
- c) **International:** You or others may travel abroad from a project only if a specific provision is available for international travel in the project sanction. Prior approval of competent authority using **online form on IRIS** should be obtained for ex-India visits (including non-Air India travel) and sanction of leave needs to be obtained from respective sanctioning authority. PI can sanction Registration fees for international conferences from research projects.
- d) Please ensure availability of funds in the project before booking tickets. Tickets may be booked through institute's travel agents by signing a [relevant form](#) available on IRD website, which is used by the agents to claim reimbursement directly from IRD.
- e) To help meet upcoming expenses during travel, you may draw advance using **online form on IRIS**. However, it may be noted that such advances need to be adjusted within fifteen days from the date of completion of journey.
- f) Submit the claim for all travel related expenses using prescribed reimbursement offline [Form No. IRD/TRV-5](#). This form is specific to all IRD related travels.

## 7. Organising Seminars/Workshops/Inviting Visitors

- a) The project may require to arrange/organize Seminars/Workshops/Meetings etc. PIs are empowered for staging such events where such provision exists and the expenses are within the approved budget from Funding Agency. In case no specific provision exists in the project, expenses within a limit of Rs. 15,000/- may still be sanctioned by PI, however, expensed beyond Rs. 15,000/- require prior approval of Associate Dean (R&D).
- b) Visitors from within country: You can invite outside scientist/expert to the Institute under a project for short duration (upto one week) for project related work with expenses limited to their entitlement. For visits exceeding one week and for any relaxation in entitlement, prior approval of the Associate Dean (R&D) is required using **online form on IRIS**. Non-Air India travel requires the approval of Dean (R&D) using **online form on IRIS**.
- c) Visitors from abroad: You may also invite Students/Researchers/Visitors for project activities from abroad that will require the approval of Dean (R&D) using **online form on IRIS**. In some cases, prior approval of MHRD is also required and the PI is required to submit additional details in offline [Form No. IRD/TRV-3A](#) available on IRD website or as a link in IRIS.

## 8. Entertainment Expenditure

You may spend an amount limited to 10% of the contingency amount or Rs. 20,000/- per annum whichever is lower on entertainment expenditure. For any relaxation, approval of Associate Dean (R&D) is required.

## 9. Honorarium to PI and Co-PI

You can claim honorarium in a project only if it is explicitly provided by the Funding Agency with approval of the competent authority.

## 10. Professional Provisions to enable efficient functioning of the Project

IRD provides specific provisions that may be charged to the project if required for its smooth functioning.

- a) You may purchase Data Card for mobile internet while travelling within the country for project related activities, kindly refer [Circular No. IITD/ICDN/2011/26 dated 04.01.2011](#).
- b) You may install telephones, faxes, broadband connections for project related activities with the approval of Associate Dean (R&D) and claim reimbursement from project funds.
- c) Part of the overhead charges is credited to the Professional Development Fund (PDF) of PIs and Co-PIs as described in the [IRD circulars IITD/IRD/M-38/624 dated 23.01.2012](#) and [IITD/IRD/M-109/9417 dated 08.11.2012](#). These are governed by PDF rules available on IRD website. The bills within approved norms related to the expenditure out of PDF can be submitted directly to IRD Accounts along with prescribed offline [Form No. IRD/PDF-1](#) authorising the purchase.
- d) You may purchase professional books. These books need to be entered in department library records before claiming reimbursement.
- e) PIs or Co-PI may avail the internet facility at home if residing outside IITD Campus with the approval of Associate Dean (R&D) as circulated vide [Circular No. IITD/ICDN/2011/26 dated 04.01.2011](#).
- f) PIs may opt for Membership of Association/Professional body from the project funds up to a membership fee of Rs. 15,000/- for each membership expense. The approval of Associate Dean (R&D) is necessary in case the membership amount exceeds this limit.

## 11. Special Casual Leave

You are permitted to go outside the Institute on Special Casual Leave, as per Institute norms, for work related to Projects, but without affecting your classes or other academic work in the Institute. The detailed guidelines can be referred in [Circular No. IITD/ICDN/BG/061/2010/1420 dated 31.08.2010](#).

## 12. Revision of Budget/Extension of duration

- a) Revision of Budget: The expenses under the project are booked under specific budget heads sanctioned by the funding agency in their sanction letter. At times, due to change in nature of activities, reallocation of funds may become necessary. Such changes are possible only after written sanction/approval of funding agency, particularly, in the case of Govt. funded projects. The request for the same can be submitted **online on IRIS using "General Request"**.
- b) Extension: The extension of duration of a project is possible only with the concurrence of concerned Funding Agency. It must be requested well in time using **online form on IRIS**.

## 13. IPR issues

The information generated under the projects is usually the joint property of the Funding Agency and the Institute unless otherwise stated in the Contract/Agreement with a funding agency or a collaborative partner with whom the ownership issue is mutually decided beforehand. The same may be protected by means of filing of copyrights/patents etc. through FITT. The applications for filing Copyright/Patents etc. and subsequent know-how/technology transfers are submitted in consultation with FITT Office. More details are available at FITT website <http://www.fitt-iitd.org/>.

## **RELAXATIONS & PRIOR APPROVALS**

- 1) Occasionally, you may require relaxation in provisions because of the special nature of the project activity or special circumstances necessary for smooth functioning of a project, you may request such relaxations from Competent Authority by sending your request along with justification to IRD Unit through relevant **online form or “General Request” on IRIS**.
- 2) Competent Authority may vary from Associate Dean (R&D), Dean (R&D) to the Director depending upon the nature of provision.
- 3) All requests for prior approvals from any of the competent authority should be sent directly to IRD office.

## **DO'S AND DON'TS**

- 1) PI is the prime interface between the Funding Agency and IRD. All correspondences from IRD regarding the project are routed/approved through PI unless mentioned/requested otherwise by the funding agency.
- 2) The sanctions in a project and spending norms of funding agency are considered supreme, and in cases, where funding agency has explicit provisions or restrictions with reference to any of the above, those must be followed. For example,
  - a. Qualifications and salaries of project staff (such as JRF/SRF/RA) sanctioned by various Funding agencies are bound by their respective circulars. PIs can not, at their discretion, recruit project staff in such projects at IRD scales without obtaining prior sanction from the funding agency.
  - b. Under CSIR funded projects, all appointments are required to be sent to CSIR for their approval.
  - c. Some funding agencies do not permit certain kinds of expenditure such as furniture etc. from the project.

PIs are advised to read such provisions from the website of funding agencies, a list of prominent funding agencies along with their website addresses is also available on IRD website.

- 3) For timely release of yearly grants, it is important and necessary to submit progress report/ completion report, contingent bills, utilisation certificates, statements of expenditures etc. in time to the funding agency. IRD helps in preparing all financial statements on the request of the PI at the end of a financial year. Provisional statements may be requested in between the financial years as needed. Please provide sufficient time for such requests to avoid inadvertent errors.
- 4) In case of CSIR projects, Institute is entitled to claim an overhead of 5% from CSIR when such reports are submitted in a timely manner.
- 5) Though we facilitate payments of advances for purchase, travel, or any other immediate expense, it is important to submit the adjustment timely (within 15 days) so as to avoid the liability of paying interest/penalty by the drawee as per Govt. of India norms.
- 6) Do not incur expenses after the sanctioned duration of the project. Request for extension of projects should be made to funding agencies well in advance.
- 7) While making a purchase, make sure not to pay Excise Duty as IITD is exempted from paying it.
- 8) Under unavoidable circumstances, project positions can be downgraded but within the same cadre. For any alteration in sanctioned position, prior approval of Associate Dean (R&D) and/or Funding agency is necessary.
- 9) Any cancellation and change of qualification of already published advertisement for recruitment will take effect only with the prior approval of Associate Dean (R&D). Scheduled selection committees can not be cancelled at short notice in order to avoid inconvenience to appearing candidates specially from outside Delhi.

**Note: The above guidelines have been drawn to acquaint the PIs/Co-PIs of the existing provisions for running of the projects. However these are subject to certain restrictions and conditions and are constantly revised to enhance the smooth functioning of projects at IIT Delhi. Kindly visit <http://ird.iitd.ac.in> for latest circulars and updates.**

*For any assistance/clarification, please contact:*

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