

**Visvesvaraya Technological University**  
“Jnana Sangama”  
**Belgaum - 590 018, Karnataka State**

**VTU RESEARCH GRANTS SCHEME**

**CONTENTS**

1. Introduction
2. Purpose of the Award
3. Application for the grants
4. Procedure for sanction and operation of grants
5. Procedure for Recruitment of staff for Projects
6. Procedure for release of grant
7. Monitoring and annual progress reports
8. Closure Report
9. Norms for transfer of technology
10. Termination/ transfer of grants
11. Procedure for release of foreign exchange
12. Procedure for TA/DA claims for attending meetings etc.

Annexure - I: Application form for Projects

# **RULES FOR “VTU RESEARCH GRANTS SCHEME”**

## **1.0 INTRODUCTION**

**1.1** The Visvesvaraya Technological University, Belgaum (VTU) has instituted a "Research Grants Scheme" to harness and nurture the research talents available in its Affiliated Institutions in the State. The scheme will also assist in creation of facilities at their location for the promotion of research useful for the Society. Under this scheme, grants are offered for research in basic sciences and engineering. Rules along with pro-forma for applying for grants under this scheme are given as under.

## **2.0 PURPOSE OF THE AWARD**

**2.1** Projects of relevance to Science and Technologies would be supported to promote research culture among the faculty. This appraisal should be in narrative form and comprehensive enough to enable the scrutiny of the proposal to be made and the need for setting up of facility appreciated. No Salary/personal payment will be made to members of regular staff of Institutions involved with any of the research Projects supported by under this scheme.

**2.2** The grant shall be utilized for:

- (i)** Meeting salary of research and laboratory staff specially recruited for the Project/facility on temporary/contract terms on a consolidated basis.
- (ii)** Procuring special equipment, consumables etc. or for obtaining special services not normally provided by the institution such as calibration and testing of equipments and subsystems, fabrication of components etc. required for the project.
- (iii)** Meeting the cost of setting up of basic facilities for research.
- (iv)** Covering contingency expenses viz. postage, stationary, typing, printing, expenses on part-time/ full time typists/data entry operator on computers for the work related to the Project, if required.
- (v)** Meeting travel expenses in India for Project related activities; deputation abroad in connection with presentation of papers in International Symposia on Project related work.
- (vi)** Publishing research work in the form of a technical report for dissemination.

## **3.0 APPLICATION FOR THE GRANTS**

**3.1** The application by the concerned Institution for the grant shall be addressed to the Registrar, VTU and shall have the following:

- (i)** 10 copies of the application in the prescribed pro-forma (Annexure-I)
- (ii)** Certificate to the effect that basic necessary facilities and necessary competence as evidence of the existence of staff with the relevant technical background for the work are available
- (iii)** Declaration as to whether the work will be carried out at their Institution or will be shared by more than one Institution. In such a case the Institute applying for the grant shall act as Principal Investigator and other work centers as Co-Investigators. Monitoring and timely completion of the task

with the Co-Investigators shall be the sole responsibility of the Principal Investigator.

**3.2.** The responsibility to ascertain the capability of undertaking the Project work/task will rest with the appropriate specialist panel.

#### **4.0 PROCEDURE FOR SANCTION AND OPERATION OF GRANTS**

Procedure for sanction of grants for undertaking Projects shall be governed by the following rules:

**4.1** Research and Development Projects of interest to societal needs and other fundamental science/engineering fields formulated by the Institutions originate as Proposals submitted by the Institutions.

**4.2** All proposals will be referred to the Specialist Research Board of VTU.

**4.3** This VTU Research Grants Scheme shall also involve participation in terms of a funding from the grantee Institution. Based on the recommendations of the Research Panels the sanction of Projects/schemes will be cleared on a case to case basis.

**4.4** On sanction of the grant to an Institution, the Head of the Institution would be the financial controlling authority for operating the grant. The Project would be deemed to have become operative with effect from the date on which the Institution receives the grant cheque/DD.

**4.5** Re-appropriation of funds within the amount sanctioned, if required, may be approved by the sanctioning authority on request.

**4.6** Continuation of the Project/scheme beyond the original sanctioned period will be permitted only under special circumstances. Any revision or any subsequent revisions will have to be referred to the Vice Chancellor, VTU, for which sufficient advance action will have to be taken by the coordinator(s) of Research Panel(s).

**4.7** Projects/Schemes will be sanctioned for the entire projected period along with the total funds outlay with the year-wise breakdown of cash outgo. The grant, shall, however, be payable yearly. The Grantee will be responsible for the administration of the scheme and maintenance of separate accounts etc. The grant shall be exclusively utilized for the purpose for which it is sanctioned. Funds for subsequent years will be released on satisfactory progress based on the recommendations of the Review Committee and on the submission of

(a) Annual progress report

(b) Statement of accounts certified by the competent authority of the Institution.

**4.8** All accounts maintained by the Institute related to the Project/scheme will be subject to audit by their respective auditors. On completion / termination of the Project, accounts for the entire Project / scheme duly audited by the auditors shall be submitted to the Registrar, VTU, along with the unspent balance, if any, from the sanctioned funds in the form of DD in favor of the Finance Officer, VTU payable at Belgaum.

**4.9** During the progress of the Projects, the Institute concerned will provide all facilities to the Experts of the VTU / Members of the concerned Research Panel for visiting the Institute for ensuring timely achievements of the objectives of the Projects / schemes.

**4.10** Evaluation of the products/ processes developed under Research Grants Projects/schemes will be carried out by the Review Committee or Monitors appointed by VTU. The TA / DA of the Monitor could also be paid out of the TA/DA budget of the Project/scheme as per the University norms.

**4.11** Projects/schemes will be sanctioned only to Affiliated Institutions where basic infrastructure in the form of equipment/personnel for the work exists. A grant for special equipment/stores will be made only if

- (a) The said equipment/stores are exclusively required for the Project in hand and
- (b) The Institution concerned will not normally utilize them for their departmental work.

**4.12** Purchase of components/equipment involving foreign exchange will be permitted only in very special cases. The necessity for such equipment should be clearly indicated while submitting the proposal. The cost of maintenance of these equipments would be met by Project fund till the completion of the Project. Thereafter, it would be the responsibility of the grantee Institution to which the equipment is transferred.

**4.13** Alternatively, arrangements for use of such specialized equipment available in various R&D establishments to the extent possible may be made for smooth and expeditious execution of the Project.

**4.14** The responsibility for careful custody and maintenance of the equipment purchased out of the grant will be that of the concerned Institution. Equipment shall be purchased following the Stores and Purchase procedures of the institution. Proper stock of accounts should be maintained for the equipment purchased. The equipment should be stamped VTU Project No. .... All equipments purchased should be serially numbered. All inventory of equipment purchased out of the grant should be sent to the Registrar, VTU, in the prescribed form along with the periodical reports in 10 copies. The inventory should give the description of the equipment (whether expendable or non-expendable), its cost in rupees, date of purchase and the name of the supplier. The stock registers maintained by the Institutions for the purpose should be shown to the auditors for applying the necessary check with reference to the grant received. The auditors should be requested to issue a certificate that necessary check has been made and the inventory has been found to be in order. The inventory and the requisite certificate from the auditor should be furnished along with the audited accounts. The equipment / surplus stores will be the property of the University who will be responsible for its future transfer or disposal after the culmination of the Project. The Board at the written request of the grantee Institution may agree to out-right transfer of some or all equipment of VTU inventory to the Institution concerned based on the recommendations of the concerned Research Panel. The Vice Chancellor, VTU on behalf of the Board, may agree to such out-right transfers up to a ceiling of Rs. 10 lakhs. The Executive Council of VTU may approve transfer of equipment beyond this amount.

## **5.0 PROCEDURE FOR RECRUITMENT OF STAFF FOR PROJECTS**

**5.1** Recruitment of staff will be done as approved in the Project proposal.

**5.2** On approval of the Project proposal by the University, the Institution concerned will be responsible for recruitment of staff and will ensure that the normal recruitment procedures and audit rule in vogue are observed. For the VTU Projects of short duration the grantee Institute could evolve temporary norms for speedy recruitment/execution of the Project to enable completion of the Project within stipulated time frame.

**5.3** In case of the staff leaving the institution prior to the completion of work, it will be the responsibility of the Head of the Institution to see that continuity of work is maintained.

**5.4** The staff appointed under the Project will be temporary up to the duration of the Project.

**5.5** The staff on Projects could be employed on consolidated pay as applicable to Institute norms or on fixed emoluments per month for the duration of the Project.

## **6.0 PROCEDURE FOR RELEASE OF GRANT**

**6.1** On receipt of the sanction letter, the Institution will prepare a contingent bill (in triplicate) in the prescribed pro-forma and will submit the same to Registrar, VTU for counter signature and onward submission to The Finance Officer, VTU for payment.

**6.2** On receipt of the contingent bill, The Finance Officer, VTU will issue the cheque/DD in favor of the Institution and will send the same directly to the concerned authority of that Institution. An intimation of the payment will also be sent by the Finance Officer, VTU to the Registrar, VTU and the concerned Project investigator simultaneously.

**6.3** On receipt of the cheque by the Institute authority a formal receipt of the grant will be issued by the Institution to the Finance Officer, VTU. The date of receipt of the grant would reckon as the commencement date for the Project/facility.

## **7.0 MONITORING AND ANNUAL PROGRESS REPORTS**

**7.1** During the period of grant, the Institution is required to submit 10 copies (2 copies to The Registrar, VTU & remaining to the panel members and Monitor (s)) of annual progress reports on the Project in the prescribed pro-forma. The report will cover the work done during the year. The specialist panel will scrutinize the progress report and continuation/renewal of the Project sanction will be subject to its satisfactory progress.

**7.2** Monitoring: The Research Panel on behalf of the University may identify Monitor(s) for each Project. The Principal Investigator should make efforts to contact Monitor(s), invite them to their laboratory and brief them on the progress of the Projects. The initiative for the meeting between the Principal Investigator (PI) and the Monitors should rest with the PI. The dates of such interaction will be intimated to Secretary VTU well in

advance. It is generally expected that the Monitors and the Registrar, VTU should receive at least two reports (summary of progress) from the PI as follows:

- (i) Report by September of every year.
- (ii) Report by March of every year.

**7.3 Technical Reports:** The Monitoring committee will also assess the status of the Project with a view to generation of Technical reports. In case the Project has reached a significant stage or achieved a major breakthrough/milestone, the Monitoring committee may ask for submission of Technical Report. This Technical Report must reach the Monitors before the annual meeting. The standardized format for preparation of Technical Report is as follows:

VTU-RP-TR-PN-RN/YY,

Where

RP - Name of the Research Panel (abbreviated)

TR - Technical Report

PN - Project Number

RN - Technical Report No.

YY - Year.

Technical reports will be generated in A4 size sheets with attached drawings etc appropriately folded to come in A4 size. A document sheet in the prescribed format of the university is to be enclosed along with the Technical Report.

**7.4 Annual Meeting:** Final stage of monitoring for each Project is done annually for which a progress report is to be submitted and presented by the investigators in the annual meeting. In the absence of the annual progress report, the panel may recommend termination of the Project. The annual report will contain the following:

- (a) Part A: Admin: Accounts - grants, expenditure, balance and grants requested for the next year of the Project
- (b) Part B: Technical: Brief summary of progress made during the year (not more than 2 to 3 pages)

The technical presentations at the annual meeting are crucial for the panels to take decisions. It is generally expected that the Investigator/Principal investigator would present the progress himself. Only on special circumstances the panel will accept a representative.

**7.5** The Panel, based on the review by Monitors, annual report and presentation will recommend continuation/revision of scope/closure/ termination of Project to the University.

## **8.0 CLOSURE REPORT**

**8.1** A consolidated closure report (3 copies to the Registrar, VTU and one copy each to all panel members), in the prescribed format of the University, shall be submitted within 60 days of completion/closure/termination of the Project. The report should contain all necessary certificates and financial information. It should give complete technical details of Project, software activity, achievements and its utilization. A copy of all Technical Reports on Project submitted earlier should be enclosed with the final closing report submitted to the University.

## **9.0 PUBLICATION OF RESULTS/PRESENTATION OF PAPERS, PATENT RIGHTS AND NORMS FOR TRANSFER OF TECHNOLOGY (TOT)**

**9.1** The assistance rendered by the University shall be acknowledged in the paper. Three copies of reprints of published papers shall be sent the Registrar, VTU. For making any commercial use of the investigations carried out under research Grants Scheme, permission of the University shall be obtained.

**9.2** The results/inventions or patents arising from the work/Project will be the joint property of University, who will have the exclusive right to decide whether or not the results should be published and / or commercially exploited and if so, on what conditions.

**9.3** For consideration of the transfer of technology, a TOT Committee would be constituted by the University. This committee will consist of concerned panel coordinator, PI of the Project/representation of the Institution developing the know-how and a representative of the University. The Vice Chancellor, VTU may nominate any other member in the committee, if considered desirable.

## **10.0 TERMINATION / TRANSFER OF GRANTS**

**10.1** The University reserves the right of termination of the grant at any stage, if convinced that the grant has not been properly utilized or appropriate progress is not made.

**10.2** In case of an investigator leaving the Institution or going abroad etc, the executive authority of the Institution to whom the Project has been sanctioned will ensure that the investigator submits a detailed report of the work done before he is relieved. All equipment/stores purchased must be properly accounted for and the University informed about the resignation etc of the Investigator of the Project/scheme. The Institution will explore the possibility of continuing and bringing the Project to a satisfactory logical conclusion under some other suitable Investigator. The Vice Chancellor, VTU may also agree to the continuation of the Project by the same Investigator at his new Institution, if in his opinion, this will be in the best interest of the Project, provided that the executive authority of the new Institution also agrees to the continuation of the Project and no new facility/infrastructure is demanded. In such a case, the former Institution will transfer all the connected equipment/store purchased for the scheme, along with results achieved till that time, to the new Institution.

## **11.0 PROCEDURE FOR RELEASE OF FOREIGN EXCHANGE (FE)**

**11.1** If the Project involves any foreign exchange for purchase of equipment etc. the approval for the same would be given along with sanction of the Project. However, for release of foreign exchange, the case will be put up to the Finance Officer, VTU for his clearance. Only after his clearance, the Foreign Exchange would be deemed to have been released.

**11.2** The procedure for FE release will be as under:

- (a) The Investigator on receipt of the Project sanction letter will obtain Institution Research Committee clearance and thereafter submit the proposal to Registrar,

VTU along with CIF value of the equipment. The Registrar, will put up the proposal to the appropriate Committee for release of requisite Foreign Exchange and issue Duty Exemption certificate.

- (b) On receipt of advice of FE release, the Investigators shall further carry on the process for procurement of the equipment.

## **12.0 PROCEDURE FOR TA/DA CLAIM OF NON-OFFICIALS ATTENDING MEETINGS ETC**

**12.1** All Officials and Official Invitees are entitled to TA/DA as admissible under University norms.

----- \* -----

**VTU RESEARCH GRANTS SCHEME**  
**IMPORTANT GUIDELINES**

The applicants are requested to note the following important guidelines while submitting the applications.

**1) Travel Grant:** As VTU has separate provision to sanction travel grant to attend conferences and for presentation of research papers, the travel grants are not sanctioned under VTU Research Grants Scheme. Investigators may apply separately for the same.

**2) Staff Salary:** Maximum staff salary to appoint JRF for the project under VTU Research Grants Scheme is Rs. 12000/- per month and this provision is only given to the PI's holding Doctorate Degree.

**3) Institutional Overheads:** VTU research grants are sanctioned as an assistance to promote research in the Institutions affiliated to VTU. Institutions are requested to participate in this scheme in terms of funding wherever it is necessary. Hence institutional overheads are not sanctioned under this scheme.

**4) Maximum limits set to sanction grants for each individual project are as follows:**

- i) Rs. 06.00 lakhs for the Investigators, yet to register for PhD.
- ii) Rs. 12.00 lakhs for the Investigators pursuing their Doctorate Degree.
- iii) Rs. 20.00 lakhs for the projects in the thrust areas of research proposed by the Principal Investigators holding Doctorate Degree.

These limits are set with a view to sanction as many number of projects as possible within the budget provisions.

Please note that, the technically sound projects with a proposed grant of more than Rs. 20.00 lakhs submitted by meritorious Principal Investigators holding Doctorate Degree with adequate research background may also be considered for grant.

**5) There is no provision for grants to set up Centres of Excellence, setting up of laboratories etc.. Only the projects with adequate research content are considered for grants.**

**6) Each project must have a Co-Investigator working as a faculty in the same department and the College as that of the Principal Investigator. However, projects with Co-Investigator/s from different department/s of the College or from different College/s affiliated to VTU may be considered as a special case, if the same is justified. In such cases there may be additional Co-Investigator/s from the other department/s or College/s which are involved in the proposed project.**

**7) A single equipment costing more than Rs. 15.00 lakhs recommended for a project by the VTU Research Grants Committee, will be provided as central facility. The Colleges availing such a facility must allow Investigators of other Institutions affiliated to VTU, if they wish to use the facility with prior permission.**

**8) The financial out lay for a project proposal submitted by the Principal Investigator must show the break up of staff salary, equipments to be purchased for the project, consumables and contingencies along with cost details.**

**9) The project proposal submitted by the College must contain the quotations for the equipments to be purchased for the project.**

**10) Submission of the project proposal: The College has to submit only two hard copies and a soft copy of the project proposal. In the project proposal the Investigators have to provide their e-mail ID and mobile number for correspondence.**

**ANNEXURE - I**  
**FORMAT OF APPLICATION FOR GRANT OF RESEARCH**  
**PROJECT/SCHEME/FACILITY UNDER**  
**VTU RESEARCH GRANTS SCHEME**

(NB - Two hard copies & a soft copy of the Application are required to be submitted)

**(To be completed by the Principal Investigator)**

Sl. No.	Item	Details
<b>SECTION - A</b>		
1	Title of Research/Project Proposal	
2	(a) Name of the Principal Investigator: Designation Name of Institution: Address: e-mail ID: Mobile No.:	
	(b) Name of the Co-Investigator: Designation Name of Institution: Address: e-mail ID: Mobile No.:	
3	(i) Proposed Duration of the Research / Project proposal (ii) Proposed Date of Commencement of Project/Scheme/Facility (Attention is invited to section 5.5 of Rules)	
4	Amount of Grant Proposed <b>(in Rupees)</b>  <b>Ist Year</b> <b>IInd Year</b> <b>IIIrd Year</b>  <b>(a) Salary:</b>  <b>(b) Fixed Assets:</b>  <b>(c) Consumables:</b>  <b>(d) Others (Please Specify):</b>  <b>Total Amount Rs.</b>  <b>Please note: No grants for travel &amp; over heads</b>	

5	<ul style="list-style-type: none"> <li>(i) Department of Institution where R &amp; D Project will be carried out</li> <li>(ii) Other Departments, if any, which will co-operate in this Project.</li> <li>(iii) Details of Financial Support sought/obtained from other agencies.</li> </ul>	
6	<ul style="list-style-type: none"> <li>(a) Specific Aim of Project</li> <li>(b) Summary of Proposed Research/ Facilities and Objectives (Brief statement about the proposed investigation, its conduct and the anticipated results is not more than 200 words)</li> <li>(c) Key Words:</li> <li>(d) Classification of the Project: (Please state whether basic Research/ Dissemination of Information, Process Development, Hardware Development Study or Exploratory or Review of Investigation, misc).</li> </ul>	
7	<ul style="list-style-type: none"> <li>(a) Background and Justification (Basis for the Proposal with a brief Review of the state of the art in the subject, followed by an outline of the relevance and importance of the Project in particular towards Research / Development / Design)</li> <li>(b) Impact Expectation:</li> <li>(c) National Status:</li> <li>(d) International Status:</li> </ul>	<p>(Attach separate sheets)</p> <p>Bijapur and Bagalkot Districts witnessing the good and bad impacts due to backwater of the Alamatti reservoir. Part of land of Bijapur and Bagalkot district has come under submergence, and the people living in the upstream of the reservoir are most affected due to water level fluctuations of the reservoir.</p>
8	<ul style="list-style-type: none"> <li>(a) Approach (Details of approach intended to be adopted in the execution of the Project / Facilities indicating how each of the Objectives listed in item will be achieved).</li> <li>(b) Bar Chart / PERT Chart indicating major Milestones may please be attached.</li> </ul>	

9	Facilities available for carrying out the proposed R & D work in the applicant's Institution (to be attached as Appendix). Describe the general facilities at your disposal. List major equipment which are essential for this Project / facilities and available in your Institution.	
10	Previous work done in this or related fields (to be attached as Appendix). Describe briefly any work done that is particularly pertinent to the proposal & list (i) Your personal publications in this & related areas and (ii) Personal publication in other areas	
11	Details in respect of Research: Project facilities currently being undertaken/ likely to be undertaken by the PI and Co-Investigator from various sources including VTU (List all current Research support of the Investigator from VTU & other agencies). <b>Name of PI/CO-PI</b> <b>Name of Sponsoring Agency</b> <b>Title of Project/Facilities</b> <b>Total Amount</b> <b>Total Period of support with dates:</b> <b>From      To</b> <b>PI</b> <b>Co-PI</b>	
12	Biographical sketch of Investigator	(Attach separate sheets)
<b>SECTION - B</b>		
13	Name of Institution Submitting Application	
14	Address	
15	Name, Designation and full address of the Official to whom cheques are to be mailed.	

## **CERTIFICATE**

I have gone through the rules of VTU Research Grants Scheme and

- (i) I agree to abide by the terms and conditions set forth for the Research Grants scheme of the University and certify that basic necessary facilities for the proposed work are available and the same will be extended to the investigators(s).
- (ii) I certify that in case the present investigator is not available for any reason to continue the work on the Project/facilities alternate arrangements will be made to employ suitable Person/persons.
- (iii) I certify that separate accounts will be kept for funds received from VTU and spent on the Project/facilities and the same will be made available to the Auditors of this Institution and also to the University.

**Principal**

**Principal Investigator**