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**AMITY UNIVERSITY**  
— UTTAR PRADESH —

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**POLICY GUIDELINES  
OF FUNDING FOR RESEARCH**

## **G-56<sup>1</sup> POLICY GUIDELINES OF FUNDING FOR RESEARCH**

*(In exercise of its powers conferred under the provisions of Section 6(a), 6(d),7(n),7(x) and 27 (2) (p) of the Amity University Uttar Pradesh Act, 2005 and Art. 20 of First Statutes, Amity University Uttar Pradesh, here by notifies these policy Guidelines).*

### **1. Scope/Applicability of the Policy**

This policy applies to all faculty/staff/students of the University to submit research proposals for funding through the concerned Directorate/ Domain.

### **2. Policy Statement**

This policy is to provide financial support for testing the feasibility of new ideas/concepts and/or potential conversion of research ideas/concepts into products/technology for economic and/or societal benefits

### **3. Rationale**

This policy envisages that certain ideas, concepts, products, processes and technologies need immediate financial support to become useful for the benefit of the people at large.

### **4. Policy Elaboration**

The proposals to be considered for funding should meet one or more of the following criteria:

- Validation of an idea or concept for developing a proposal seeking funding support from external sources;
- Validation of already developed product/process/technology, for further socio-economic benefit
- Adaptation of an existing technology for applications other than originally intended
- Development of technology for multiple applications
- Development of potentially useful product/process/technology with potentially high demand
- **Collaborative research projects that integrate multiple disciplines to address**

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**complex problems or create innovative solutions with potential impact across fields**

### **Applicability of the Policy:**

The primary objective of the Programme is to facilitate and support development of Minor and Major Project or techniques/technology aimed at specific end users. The Programme stresses on clearly identifying the needs for development of Scientific temperament and to bring forth the Innovations useful for the mankind. It envisages researchers, faculty, Students, Lab technicians involvement and association in the project development effort. The intention is that the Ideas, Concepts, Project, products/technologies developed under the Programme become useful for the benefit of the people at large. The specific objectives of the Programme are:

- To develop and integrate Various Concepts, projects , technologies following a holistic approach in identified areas;
- To promote application of modern/advanced technologies to socio-economic problem solving;
- To foster collaborations across disciplines to address complex challenges and create innovative solutions.
- To promote modernization of traditional technologies, tools and skills;
- To facilitate enhancing quality and performance of the traditional/non-traditional practices/items;
- To encourage developments in application of R&D activities; and
- To promote activities aimed at improving technology, technique, material, methods and other appropriate activities conducive for development of Scientific temperament and technology status in identified areas.

### **Regulation**

#### **1.1 Concept/ Project/Qualifiers' Criteria**

#### **1.2 Spectrum of Activities Qualified for Support**

Under the Programme, primarily those Projects/ Activities are supported for which “proof of concept” has already been established through Preliminary Data and Reviews. The Proposals aimed at Basic/applied R&D are encouraged. Proposals involving exploratory research are also considered under this Programme. Specifically, following activities are supported under the Programme:

- Basic Research and Analysis
- Applied Research and Analysis
- Management and , Humanities & Social Sciences domains
- Development and Engineering (D&E)
- Application oriented Research, Design and Development (RD&D) having Production Potential

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- Prototype Development of Product/ System/ Services/ Software Development (new, upgradation of the existing, field trials and demonstration)
- Process Development (new, up-scaling of the existing, field trials and demonstration)
- Interdisciplinary research collaborations addressing complex societal challenges
- Data Generation and Feasibility Study
- Provision for Production Facility on a limited scale for a specific Technology Segment to enable the Technology to become competitive
- Sophisticated Equipment and Technology based Job-Shops for cost-effective Fabrication Techniques
- Scientific Knowledge leading to future Technology Development
- Technological Capability Development

This policy applies to all AUUP faculty, staff and students.

### 1.3 Policy Statement

#### 1.3.1 Core Areas

Some of the typical areas in which Proposals can be submitted are listed below:

- Basic Science/Applied Science
- Biotechnology/Nanotechnology
- Molecular Electronics/Conducting Polymer and Biosensors.
- Water Purification and Rural Micro-Water Management
- Waste Utilization and Management
- Public Health and Safety
- Surface Engineering Techniques for Rejuvenation of Traditional Crafts.
- Laser/ Plasmas/ Microwave Technology
- Decentralized Energy Generation and Harvesting
- Alternate Fuels, Fuel Conservation, Efficient Utilization of Fuels
- ICT- driven Technologies
- Innovative Civil Infrastructure Technologies
- Platform Technologies for a Range of Applications

The above list is not exhaustive and Proposals in other areas are equally welcome if the activity is perceived to be useful by AMITY UNIVERSITY for technology advancement in the country and is not being taken up under any other major R&D programme of the Amity University.

#### 1.3.2 Forms of Project Proposal Grants

**For Institutions:** Project staff salaries, equipment, supplies and consumables, contingency expenditure, patent filing charges, outsourcing charges, internal travel, fabrication costs, testing charges, overheads, etc.

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**For Industry:** Only cost of consumables upto 50%.

For Institution/Industry Joint Programmes: Support to the Industry upto 50% of the cost of consumables.

The IPR will be under the purview of Amity University, Institution and Industry. If, however, the Industry returns the amount received as grant from Amity University, the IPR, at the discretion of Amity University, shall be appropriately assigned to the Institution and the Industry.

### Rationale

The Technology Qualifiers' Criteria and the core Areas requiring intervention are identified by Amity University in consultation with Project Advisory Committee (PAC). The Coordinators identified by PAC are actively involved in mobilizing the Projects by identifying the required capabilities and pooling the expertise of individuals and infrastructure of Institutes. The Project Proposals are also received directly, which are screened with a view to assess their suitability for consideration under the Project mandate. After initial scrutiny, both directly received as well as mobilized Proposals/Concepts are peer reviewed by experts and the Investigators are advised to revise the Concepts/Proposal, if needed. The Concepts/Proposals along with the Reviewers' Comments are placed before the Expert Advisory Committees (EAC) of the respective areas for their recommendation. Principal Investigators are called for presentation before EAC, if required. The recommended Concepts/Proposals are processed for financial concurrence and administrative approval as per the concerned Directorate/ Domains of Amity University.

The Projects are periodically monitored usually at site/Labs by the Project Review Committees (PRC) and/ or Group Monitoring Committees (at a common location at various stages of the progress of Projects). Close association between PI and PRC is ensured to achieve the Project Objectives. PI is advised to take necessary action on the recommendations of the Reviewers. Project Completion Reports (PCR) are sent to experts for comments. A presentation is also required to be made by PI on completion of the Project for final assessment and identification of the future course of action on the Project.

### Rules / Regulations

The Investigators are required to submit 15 copies of the complete Proposal printed on both sides of A4 size paper, with an electronic copy of the Proposal on a CD in MS Word.

The Proposal should be prepared and submitted strictly according to the formats prescribed in this Document.

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The duration of the Project should preferably be for a maximum period of 3 years. Projects for development of integrated systems requiring development of various sub-assemblies at multiple Institutes may be of longer duration. They should, however, be broken up in different phases in such a way that there are clearly defined deliverables at the end of each phase (of not greater than three years)

Copies of the Proposal and other required documents must be sent in one lot through proper channel to the concerned Directorate/ Domain.

Amity University may be contacted if the acknowledgement letter intimating the registration number of the Project is not received within one month from the date of dispatch of the Proposal.

It may be ensured that the registration number/ letter number (given by Amity University) and title of the Proposal are quoted in all subsequent communications.

It is expected that PI will remain in the service of the Institute throughout the duration of the Project.

Copies of the Proposal and other required documents must be sent in one lot through proper channel to the concerned Directorate/ Domain may be contacted if the acknowledgement letter intimating the registration number of the Project is not received within one month from the date of dispatch of the Proposal.

### Guidelines/Procedure (Optional as a Separate Section)

- The coordinating Institute implementing the Project is required to take all the financial and administrative responsibilities for the Project.
- In case of a multi-Institutional
- Project, PI has to obtain formal consent from the collaborating Institutes/scientists. Formal MoU/ Agreement may be worked out detailing the obligations and arrangements stated in the Proposal and got approved by AMITY UNIVERSITY subsequent to the sanctioning of the Project, before the funds are released by Amity University.
- International travel is not normally permissible under the Project.
- The Project personnel recruited for the Project are temporary and they should be paid according to AMITY UNIVERSITY norms.
- It is the policy of Amity University that the equipment procured under the Project be optimally utilized. The Principal Investigator shall permit the use of any spare or idle capacity of the equipment to legitimate users from the parent and other Institutes.
- For this scheme, it will be mandatory to have PI from AUUP.

**Amity University, AUUP, Noida**  
**Project Development (PD) Programme**  
**Terms & Conditions of the Grant**

- Approval of the Research Proposal and the grant released for it is for the specific Project sanctioned and the released grant should be exclusively spent on the Project within the stipulated period. The Institution may use funds obtained from any other Institute with the concurrence of Amity University, for the Project. Any un-spent balance out of the amount sanctioned must be returned to Amity University.
- Amity University also funds several minor Projects of Rupees 5-6 Lakh through its Funding body called ASTIF.
- For permanent, semi-permanent Assets acquired solely or mainly out of the Project grant, an audited record in the form of a register shall be maintained by the Institute. The term "Assets" include (a) the immovable property acquired out of the grant; and (b) movable property of capital nature where the value exceeds Rs 10000/-. The Institute is required to send to the Amity University a list of Assets acquired from the grant. The grant shall not be utilized for construction of any building unless a specific provision is made for that purpose. Full infrastructural facilities by way of accommodation, water, electricity, communication, etc. for smooth implementation of the Project shall be provided by the University.
- All the Assets acquired from the grant will be the property of the Amity University and should not be disposed off or encumbered or utilized for purposes other than those for which the grant had been sanctioned, without the prior sanction of Amity University.
- At the conclusion/ termination of the Project, the Amity University will be free to sell or otherwise dispose off the Assets which are the property of the Amity University. The Institute shall render to the Amity University necessary facilities for arranging the sale of these Assets. The Amity University has the discretion to gift the Assets to the Institute or transfer them to any other Institute if it is considered appropriate.
- The Institute / PI will furnish Six-Monthly Progress Report (5 copies) of the work on the Project on half-yearly basis. The first half-year period shall be rounded off to the last date of the sixth month. The subsequent periods of six months shall begin from the first day of the following calendar month. In addition, Amity University may designate a Scientist/ Specialist or an Expert Panel to visit the Institute periodically to review the progress of the work being carried out and to suggest suitable measures to ensure realisation of the objectives of the Project. During the implementation of the Project, the Institute will provide all facilities to the visiting scientist/ specialist or the Expert Panel by way of accommodation, etc. at the time of their visit. On completion of the Project, ten copies of a self contained Project Completion Report as per the Amity University format on the work done on the Project should be sent to Amity University.

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- At the time of seeking further installment of the grant, the Institute / PI has to furnish the following documents:
  - a) Utilisation Certificate (UC) and Statement of Expenditure (SE) for the previous financial year (in original or copy if sent earlier);
  - b) An authenticated Statement of Expenditure (SE) including committed Expenditure for the Project until the previous month.
    - Request for specific approval of Amity University to carry forward the unutilised grant to the next financial year for utilisation for the same Project, should be sent along with UC and SE, after completion of the financial year.
    - The concerned Directorate/Domain, Amity University at their discretion, shall have the right of access to the books and accounts of the Institute maintained in respect of the grant received from the Amity University.
    - The PI will maintain separate accounts for the Project.
    - The Institute will not entrust the implementation of the work (except the outsourced part as approved) for which the grant has been sanctioned to any other Institute nor will it divert the grant receipts to any other Institute as assistance. In case the Institute is not in a position to implement or complete the Project, it should, forthwith, refund to Amity University the entire grant received by it or the balance grant remaining with it.
    - All the personnel including Research personnel appointed under the Project, for the full/ part duration of the Project, are to be treated as temporary employees and will be governed by the administrative rules/ service conditions (for leave, TA/DA, etc.) of the University. They are not to be treated as employees of the Amity University which will have no liability, whatsoever, for the project staff after the completion of the Project duration.
    - For expeditious implementation of the research Project, PI will take the assistance of the Institute in the process of selection and appointment of staff and payment to them. Emoluments for the posts will be as per the norms of Amity University .
    - Amity University reserves the right to terminate the Project at any stage if it is convinced that the grant has not been properly utilised or satisfactory progress is not being made.
    - The Project becomes operative with effect from the date of release of the grant.
    - If PI to whom a grant for a Project has been sanctioned wishes to leave the University where the Project is based, PI/ Institute will inform Amity University of the same and in consultation with Amity University, take steps to ensure successful completion of the Project/ makes alternate arrangements for progressing the project, before PI is relieved.
    - Investigators wishing to publish technical/ scientific papers based on the research work done under the Project should acknowledge the support received from Amity University, indicating the Programme. Investigators are expected to publish a few of their research papers emerging out of the Project in indexed peer

reviewed Journals.

- If the results of research are to be IPR protected, the results should not be published without IPR Protection. For Projects identified to have a distinct potential for generating know-how, in the form of product/ process, that could be protected through patenting, copyrights etc., PI should carefully follow the “Guidelines/ Instructions for Technology Transfer and Intellectual Property Rights” provided in the Guidelines for Implementing Research Projects booklet issued by Amity University. For further information/ clarification on this subject, Advisor-Patent Facilitating Cell and for commercialization through ADSI.

### *Forms and other related sources*

#### *I. Application Format (Annexure – I)*

#### *Application Format*

- I. Broad subject area (Life Sciences, Physical Sciences, Chemical Sciences, Earth & Atmospheric Sciences, Mathematical Sciences, Engineering Sciences, Management, Humanities, Social Sciences, Others):
- II. Specialization :
- III. Title of the proposed project:
- IV. Name and address of the Investigator:
- V. Details of the proposed project to be undertaken:
  - Origin of proposal
  - Research work engaged in at present
  - Objectives of the proposed project
  - Review of R&D in the proposed area (National & International Status, Importance, patents etc.)
  - Preliminary / Feasibility study conducted, if any
  - Work plan (including *detailed methodology* and time schedule)
  - Future plans
  - Details of the research funding received in the past and/ongoing projects (mention Ref. no., title, duration, cost, funding agency, and brief achievements).
- VI. Name and address of the institution where the proposal will be/likely to be executed: Facilities provided/to be made available at the host institute/ Laboratory:
- VII. Name(s) and address(es) of Indian expert(s) in the proposed area:
- VIII. Details of financial requirements for three years (with justifications) and phasing for each year:

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S.No. Head	1 <sup>st</sup> year	2 <sup>nd</sup> year	3 <sup>rd</sup> year	Total
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1. Manpower Cost
2. Consumables
3. Travel (within India)
4. Contingency
5. Minor Equipment (Generic Name with minimum required accessories, make & model & Cost in Indian Rupees)

I. Have you ever applied before under Scheme for Project Funding? If yes, give details :

II. Any other information in support of the proposed project:

**I. Detail of Biodata (Annexure – II)**

1. Name of the Applicant :
2. Mailing Address (Indicate Telephone, Fax, E-mail, etc.)
3. Date of Birth :
4. Educational Qualifications (Starting from Graduation onwards):

S.No.	Degree	University	Year	Subjects	Percentage
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5. A. Details of professional training and research experience, specifying period.
- B. Details of employment (past & present)
- B. List of significant publications during last five years (with details)

6. Professional recognition, awards, fellowships received:

7. Any other information.

**Place & date:**

**Signature of the applicant**

**Effective Date (Required)**

The effective date of an edited, new, or revised policy/Regulations is the date of final approval by the applicable Competent Authority or an alternate date agreed upon by the responsible office and applicable governance group.

**Policy History (Required)** {key information about, and documents comprising, the "legislative" history of the Policy.}

Documents the date of initial approval of a policy/regulations/guidelines as well as dates of approved substantive and editorial changes over time. In addition to providing the final version of content in a Word document for a new or revised policy/Regulations, the responsible office communicates the approval date to Office of the Registrar to add during the publishing process.

**A. Current version-- Revision.** [#\_\_\_\_]: Effective date [\_\_\_\_\_].

Date approved by Academic Council/Executive Council [\_\_\_\_\_].

Date approved by Court [\_\_\_\_\_]. Date(s) of editorial revisions [\_\_\_\_\_].

Background information for Revision [#\_\_\_\_]: {insert URLs & hyperlinks to documents explaining and showing the changes for this specific revision. Include:

- a) Cover memorandum to Registrar describing proposal;
- b) Marked up proposal showing changes made from previous version by ~~strikeout~~ and underlining fonts if available;
- c) Drafting notes; and Any other useful legislative history information.}

**B. Prior versions.**

Revision [#\_\_\_\_] (URL & hyperlink/document): Effective dates [\_\_\_\_to\_\_\_\_].  
Revision [#\_\_\_\_] (URL & hyperlink/document): Effective dates [\_\_\_\_to\_\_\_\_]. {and if any are available, the documents explaining the history of these earlier versions will be accessible through a link included on the page where the full text of earlier version is shown---- so that all available historical documents can be accessed through the website by following the links to each prior version of the Policy or through policy/regulations/guidelines manual.}