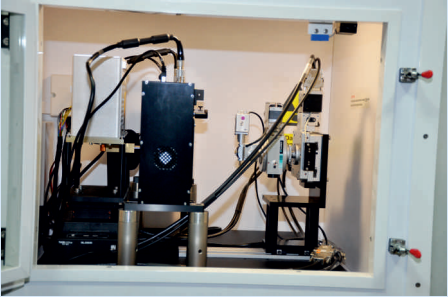
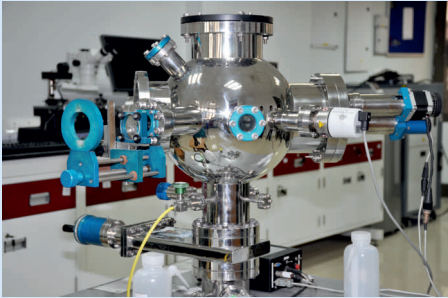
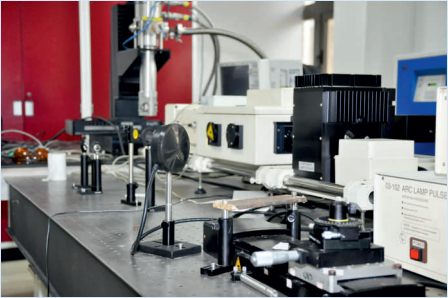


# **Manual on R & D Project Management with Guidelines**

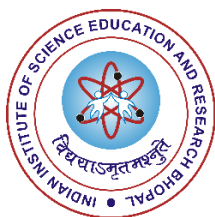


**2021**

**भारतीय विज्ञान शिक्षा एवं अनुसंधान संस्थान भोपाल**  
**Indian Institute of Science Education and Research Bhopal**



# **Manual on R & D Project Management with Guidelines**



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**भारतीय विज्ञान शिक्षा एवं अनुसंधान संस्थान भोपाल**  
**Indian Institute of Science Education and Research Bhopal**

Bhopal Bypass Road, Bhauri, Bhopal - 462 066  
Madhya Pradesh, India

## Contents

Sl	Particulars	Page
<b>Introduction &amp; Policy Framework</b>		
1	About the R&D manual	1
2	Dean, Research and Development (DoRD)	1
3	Office of Research and Development	1
4	R&D Management Committee	3
5	Type of R&D projects	4
	A. Sponsored Research Projects	4
	B. Consultancy Projects	5
	C. Travel Grants	7
	D. Institutional Center Projects	8
6	Steps & Guidelines for Proposal Submission (Sponsored / Consultancy / Testing)	8
7	Institute Schemes for Research and Development	8
	A. Start-up Grant	9
	B. Interdisciplinary Research Projects	10
	C. Institute Research Facilities Operation and Management Committee (ReFOM)	10
	D. Central Instrumentation Facility (CIF)	11
	E. Fellowships	11
8	Institute Entrepreneurship Policy	12
9	Center of Excellence on Forces in Nature – From Galaxies to Molecules (FinN)	12
10	Centre for Photonic Sciences and Engineering	13

11	Organizing Conferences / Symposium / Workshops	14
12	Patent Filing and Management	15
13	MoUs, Contracts, Agreements etc.	16
<b>Guidelines</b>		
14	Overheads and Taxes	17
15	Professional Development Account (PDA)	17
16	Books	19
17	Project Appointments	19
18	Quick notes	35
19	Purchase Procedure	45
20	Office of Research Integrity	49
21	Conflict of Interest	67
22	Link to R&D Forms	71



## **1. About the R&D Manual**

The present R&D manual has been designed to provide an overview about R&D related policy framework, procedures, and guidelines in order to facilitate the Institute faculties and the scientific staff.

This manual is for reference purpose only.

## **2. Dean, Research and Development (DoRD)**

<https://www.iiserb.ac.in/dord>

The Director appoints the Deans of respective affairs in consultation with the Chairperson, Board of Governors from amongst the faculty members with sufficient seniority for a tenure of three years. The Dean is deemed to be the Institute's officer and enjoys such powers and performs such duties as may be delegated to him/her by the Director with the prior approval of the Board.

## **3. Office of Research and Development**

<https://research.iiserb.ac.in/>

The Office of Research and Development, IISER Bhopal acts as a research governing body for the Institute. The Office provides administrative and managerial support for a seamless operation of sponsored and consultancy research and other R&D activities.

The Office facilitates the Institute and faculties to communicate and establish relationships with national and

international funding agencies, industries, development organizations, bilateral agencies, start-ups, and other relevant entities. Key role of the Office of R&D, therefore, is to enable a creative environment for impactful research. Major activities of the Research and Development office are as under.

- ❖ *Facilitating Institute-Industry interactions:* The Office strives to build relations with industries and enterprises through collaborations and MoUs. Thereby, opening avenues for the IISERB faculties to conduct cutting edge research in emerging areas, particularly of interest to the industries.
- ❖ *Building-up collaborative programs:* The Institute encourages the faculties to build-up collaborations with Indian as well as international academic/research institutions and industries through signing Memoranda of Understanding, thus, pushing for collaborative research
- ❖ *Technology Development and Transfer:* To facilitate the transfer or licensing of technologies (developed by the Institute faculties, researchers, and students as a result of R&D activities) to industries/user agencies
- ❖ *Research projects administration:* Under mentioned cells facilitate the administrative support and seamless functioning of research projects
  - Project Management Cell and account cell
  - Personnel and Establishment Management Cell
  - R&D Account Cell
  - MoU Cell
  - Store & Purchase Section



## **4. R&D Management Committee**

The R&D Management Committee has been formed by the Director in consultation with the Dean, R&D to advise on the Institute's R&D operations and management. The committee also plays an active role in establishing procedures to ensure the compliance of funding agency rules and regulations.

The committee is represented by all streams and interdisciplinary programs. The committee acts as a vibrant entity to discuss policy matters and gives its initial feedback to the Institute. The committee members are expected to highlight the shortcomings in the procedural matters thereby improving the overall R&D ecosystem. The committee constitution is as under:

Chairman:	DoRD
Co-Chair:	Dean, Academic Affairs
Members:	One faculty member from each Department nominated by the Director
Member Secretary:	Assistant Registrar / Officer In-charge, R&D

## 5. Type of R&D Projects

### A. Sponsored Research Projects

<https://research.iiserb.ac.in/pages/projects>

A sponsored project can be funded to a PI by government, private industry, or an international client. In general, a faculty is involved in basic research in these projects. The PI may utilize funds as per the budget-heads approved by a funding agency.

#### I. Individual Projects

The Institute encourages the faculties to explore latest and impactful research in basic and applied science and technology areas and to create high-end technology/knowledge resources through sponsored research grants. Research grants for such projects are provided by national and international governments, private funding agencies, foundations, bilateral organizations and other sources.

#### II. Collaborative Projects

IISERB faculties are motivated to augment collaborative research projects with national and international academia. The collaborative projects must dedicate a separate budget and scope of work statement for the Institute representative.

##### *Steering notes*

Following major budget heads should be considered while preparing a project budget estimate-

- (a) Manpower

- (b) Equipment
- (c) Consumables
- (d) Travel (national, international)
- (e) Contingency
- (f) Taxes, insurance, bank charges, annual maintenance charges (AMC)
- (g) Overheads (@20% of the total budget). However, the percentage may vary if the overheads are anchored for the scheme by the funding agency
- (h) Any other project-specific costs

## **B. Consultancy Projects**

<https://research.iiserb.ac.in/pages/projects>

A consultancy is defined as an assignment where a faculty or research staff provides intellectual knowledge to the industry, specific to their commercial interests. Outputs in all forms belong to the sponsor during a consultancy.

The Institute's faculty members have proficiency in diverse research streams to cater intellectual knowledge of interest to the industry. IISERB invigorates the faculty members to undertake consultancy work (from national or international companies) which is a crucial means to reinforce the industry innovation and growth.

It is expected from the faculties that the payments for a consultancy be routed through the Institute. Thus, consultancy payments by the sponsor must be made in the name of the Institute. The faculty is expected to estimate the time and budget required to accomplish the task.

## Budget Calculation for Consultancy Projects

Consulting fee to be paid to PI	A
Consulting fee to be paid to co-PI	B
Consulting fee to be paid to other investigator(s)	C
<b>Total consulting fee, D</b>	<b>A+B+C</b>
Equipment usage cost	E
Supplies (Equipment and minor instruments) and any contingent expenses	F
Manpower (students, external experts)	G
Travel	H
<b>Other expenses, I</b>	<b>E+F+G+H</b>
<b>Total expenses, J</b>	<b>D + I</b>
Overheads to IISERB (25% of Total consulting fee), <b>K</b>	$0.25*J$
<b>Sub-total including overheads, L</b>	<b>J+K</b>
<b>GST, M</b>	$0.18*L$
<b>Net consultancy charges N</b>	<b>L + M</b>

The proposal will be reviewed by the committee comprising Dean- Research & Development (Chairperson), Head of the Concerned Department, two area experts (nominated by the Director), CEO-IICE/CS<sup>2</sup> & Dean, Academic Affairs as members.

At the stage of proposal submission, the budget will reflect project costs (1X), 25% overheads (0.25X) and GST (18% of 1.25X). GST is subject to periodic revision by the Government of India.

### *Steering notes*

- ❖ In case of consultancy, the proposal is generally prepared by the PI as per client requirement
- ❖ The budget should mention funds breakage, generally consultancy fee as the primary component
- ❖ The budget may include manpower, equipment, travel, contingency and other costs as per the requirement
- ❖ Overheads @25% and taxes (GST @18%) must be included in every consultancy project. GST is subjected to periodic revision
- ❖ Overseas consultancy with foreign currency budget does not include GST
- ❖ *IPR issue:* All IPR related issues are agreed upon between the Institute and the funding agency. Preferably, IPR will be jointly shared by IISER Bhopal and the funding agency
- ❖ An MoU/agreement that satisfies all the conditions, particularly of the overheads, taxes will be approved by the Institute. Any deviation from the norms (e.g. reduction of overhead) will have to be discussed and explicitly approved. The approving authority for any relaxation is the Director, IISERB

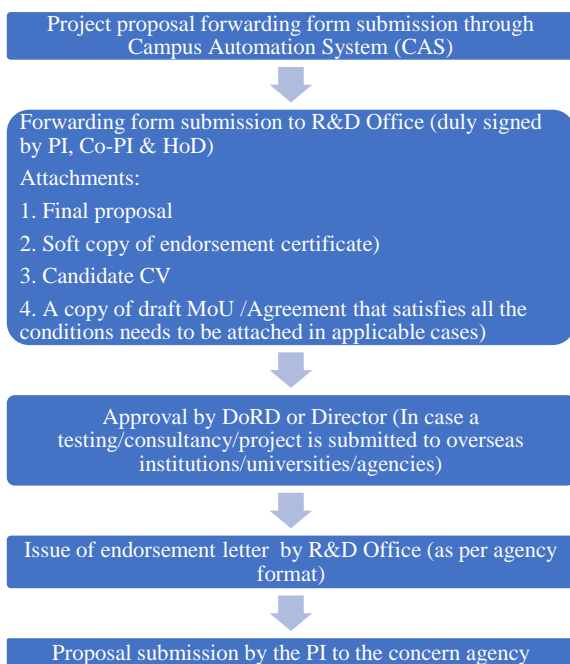
### **C. Travel Grants**

National and international travel support is provided by the funding agencies. All the travel expenses are paid out of the travel grants.

## D. Institutional Center Projects

All the Institutional Center Projects should have a management structure and should be duly approved by Dean (R&D) and the Director.

## 6. Steps & Guidelines for Proposal Submission (Sponsored / Consultancy / Testing)



## 7. Institute Schemes for Research and Development

The Institute faculty, research staff and students research with goals and objectives ranging from intellectual curiosity, addressing contemporary challenges, technology development, or writing scientific publications. The Institute gains immense recognition from these activities and thrives on

faculty quests. The Institute standing in the world as one of repute and prestige rests squarely on its performance in the research domain. Consequently, the Institute has facilitated a healthy ambience for research-both in terms of state-of-the-art infrastructure and scholastics.

The Institute's R&D activities target innovation and technology development through collaborations with academia, governments, start-up enterprises, industries to meet the immediate and upcoming societal and industrial demand. The scope and scale of research have significantly emerged from the era of graduate theses to funded projects to cross-sectoral R&D programs.

#### **A. Start-up Grant**

<https://research.iiserb.ac.in/pages/institute>

The Institute provides in-house grants up to INR 20.00 lakhs to a new faculty for initiating research. The faculty's fund request should include a brief research proposal and related requirements for the upcoming 2 years. Start-up grant acts as a launchpad for new faculties to acclimatize and expand their R&D portfolio through subsequent proposal submissions. The grant will be released annually as per the requirement and unutilized money (if any) will be surrendered at the end of 2<sup>nd</sup> year. The proposal is reviewed by the Institute level committee constituted as follows:

Chairperson: Director

Members: Deputy Director

Dean, Research and Development

Dean, Faculty Affairs

Head of the Department

The start-up grant can be utilized to procure scientific equipment, computer peripherals, printer, books, office/lab furniture, manpower, and relevant miscellaneous items.

## **B. Interdisciplinary Research Projects**

<https://research.iiserb.ac.in/pages/institute>

The purpose of this scheme is to augment interdisciplinary and collaborative research ambience among the Institute faculties. The proposal is to be submitted by a team of two or more faculty members from contrasting disciplines working in various departments/centers. It is anticipated that these cross-sectoral teams will grow to form a top-notch expert group with outstanding expertise on a specific interdisciplinary theme. It is expected that these interdisciplinary expert groups will attract strong funding support from external agencies and catalyze the synergic cross-sectoral research among the faculty members across the Institute leading to innovative products, start-ups, joint patents & publications, and thesis supervisions.

## **C. Institute Research Facilities Operation and Management Committee (ReFOM)**

The Institute has created various research facilities/instruments for the scientific community (<https://www.iiserb.ac.in/cif/about>).

To formulate a procedure for the management and



operation of such research facilities/instruments, a Research Facilities Operation and Management Committee (ReFOM) has been constituted. The Committee shall be responsible to monitor, plan, help, and establish a procedure for operation and management of research facilities/instruments created by the Institute funds. The committee shall also recommend for repair/upgrade of such existing research facilities besides providing a recommendation for creating new research facilities in the Institute. The details on ReFOM committee can be accessed on the link <https://docs.google.com/spreadsheets/d/1MDPPMRX99fV9cbiNARGKk4L1zhgrjAJYu2WxSbNcLIU/edit?usp=sharing>

#### **D. Central Instrumentation Facility (CIF)**

<https://www.iiserb.ac.in/cif/glance>

The Central Instrumentation Facility (CIF) is a common analytical instrumentation facility at IISER Bhopal. The CIF houses sophisticated instruments. CIF caters its facilities to IISERB departments and external academic & research institutes and private companies at reasonable charges.

The CIF strives to continually upgrade and improve the facilities maintaining the quality, functionality and flexibility

#### **E. Fellowships**

The Institute mentors various fellowships awarded by the funding agencies. The fellowships are broadly categorized as:

1. *Professional fellowships*: Faculties are eligible to apply for fellowships such as Inspire, BOYSCAST, Swarnajayanti, Raja Ramanna, J.C. Bose etc. They need to submit the proposal along with the application
2. *Emeritus fellowships*: Retired faculties apply for fellowships to UGC, AICTE, CSIR, DAE and other sources. After receiving such fellowship, appointment letter is issued to the faculty who joins the Institute and salary is released by the Office of R&D

### *Steering notes*

- a. For professional fellowships, a standard project account is opened in the Office for fellowship received. The operation of the project account is similar to other projects

## **8. Institute Entrepreneurship Policy**

IISERB entrepreneurship policy is available at [https://web.iiserb.ac.in/prabandhak/assets/forms/R&D/IISERB\\_Entrepreneurship\\_Policy.pdf](https://web.iiserb.ac.in/prabandhak/assets/forms/R&D/IISERB_Entrepreneurship_Policy.pdf)

## **9. Center of Excellence on Forces in Nature – From Galaxies to Molecules (FinN)**

The center of excellence on Forces in Nature- From Galaxies to Molecules' has been recently established in order to conduct research on overarching importance of forces for science. The

center brings together various research groups working with different energy scales and forces on a common platform for posing new questions of interdisciplinary nature. Thus, maximizing the group synergies through similar methods in different contexts. The unifying theme is mathematical and theoretical concepts.

Major objectives of the center are:

- ❖ to promote new approaches development based on exchange of ideas and expertise across various energy and force scales
- ❖ to brainstorm on collaborative opportunities that solves inter-disciplinary expertise demands
- ❖ to secure external funding to facilitate inter-disciplinary activities
- ❖ to provide infrastructure to share common ideas and solve problems of mutual interests
- ❖ to provide training to students and young researchers in inter-disciplinary areas through specialized courses and academic (sub-)programs hosted by the center
- ❖ to jointly organize (inter-) national workshops/seminars

## **10. Centre for Photonic Sciences and Engineering**

The Institute has established ‘Centre for Photonic Sciences and Engineering’ as a dedicated centre for advanced research in various aspects of photonics. The vision is to develop this center into a world-class research facility to perform cutting-edge research in the frontiers of photonic sciences and engineering encompassing areas related to interdisciplinary

sciences. Two-dimensional coherent spectroscopy is exploited to understand light-matter interactions in semiconductor nanostructures and Terahertz spectroscopy is employed to investigate low-energy dynamics and functionalities of complex materials. Quantum microscopy is used for quantum sensing and Fluorescence spectroscopy, both at the ensemble and single molecular resolution are applied to unravel the properties of metal nanoclusters, material sciences and addressing problems related to Chemical Biology. Ultrafast Raman spectroscopy is used to decipher the information about electronic and vibrational quantum coherences. Pump-probe microscopy and spectroscopy is employed to develop nanoscale understanding of charge-carrier dynamics in energy nanomaterials as well as to understand dynamic processes in living organisms.

## **11. Organizing Conferences/Symposium/Workshops**

[https://web.iiserb.ac.in/prabandhak/assets/office\\_orders/R&D/Office-Order-GOI-rnd.pdf](https://web.iiserb.ac.in/prabandhak/assets/office_orders/R&D/Office-Order-GOI-rnd.pdf)

Events such as conferences/symposiums/workshops are vital for academic networking, partnership and knowledge exchange. Worldwide, academicians put their effort into bringing together academicians of common research interest. The Institute provides support for organizing such conferences that helps in improving the brand value of IISER Bhopal.

The Institute encourages the use of its facilities during conferences. The facilities are chargeable and it is expected that conferences will have minimal or no impact on regular academics.

In case of workshops, conferences, and seminars, 15% of the total receipts (registration as well as grants) will be transferred to the overhead account of the Institute.

The detailed procedure is given on the R & D website for organizing International conferences.

## **12. Patent Filing and Management**

[http://web.iiserb.ac.in/prabandhak/assets/office\\_orders/R&D/IPR\\_Policy\\_Document.pdf](http://web.iiserb.ac.in/prabandhak/assets/office_orders/R&D/IPR_Policy_Document.pdf)

The Institute's scope and scale of pursuing research has substantially evolved through collaborative projects, technology mission, technology transfer and Intellectual Property Rights (IPR).

IPRs are created by the faculties while working on projects funded by either Institute or external agencies. IPR is a buzzword in the global economy. The Institute should try to keep its rights intact as far as possible. Sharing of IPRs is decided by negotiations with the funding agency and on a case to case basis. For sharing and commercialization of IPRs, the Institute has the Board approved policy.

The IPRs generated for revenue generation by faculty/staff/students individually or in collaboration, will be treated as the property of IISER Bhopal. On a case-by-case basis, the Institute will get into an agreement with the creator(s) of the IPR, regarding the sharing of revenues that may accrue by selling/leasing/granting rights of such IPR.

### **13. MoUs, Contract, Agreements etc.**

Salient features of MoU and proforma for declaration by the PI are accessible at

[http://web.iiserb.ac.in/prabandhak/assets/office\\_orders/R&D/Circular\\_MoU\\_12\\_10\\_2019.pdf](http://web.iiserb.ac.in/prabandhak/assets/office_orders/R&D/Circular_MoU_12_10_2019.pdf).

A sample MoU proforma for the faculties is available at

<https://web.iiserb.ac.in/prabandhak/assets/forms/R&D/sampleMoU.pdf>.

The Institute's research philosophy has progressed from inter-departmental collaboration to inter-institutional partnerships at national and international level. The Institute looks forward to signing several MoUs/contracts/agreements with national and international academic/research institutions and industries. The objectives of these MoUs include promoting, strengthening, maintaining scientific and academic cooperation, exchange of faculty, students, staff, technology transfer, intellectual property sharing to innovate research and educational programs, and sharing scientific instruments of common interest.

## 14. Overheads and Taxes

Overheads refer to the payment due to the Institute from the grant approved by the funding agency/organization/industry.

GST is required to be paid for all consultancy and testing projects, as per the Government norms.

Sl.	Nature of project	Overheads (A)	Overheads share of various units	
			Institute	PDA
1.	Sponsored	20%	0.60 A	0.40 A
2.	Consultancy	25%	0.85 A	0.15 A
3.	Conferences/ workshops/symposia	15%	0.85 A	0.15 A

## 15. Professional Development Account (PDA)

IISERB faculties are involved in carrying out sponsored research, consultancy, outreach activities, etc. which need extra effort and time. To encourage faculties, the Institute has a provision for maintaining a PDA in which part of overheads from the projects can be transferred and utilized by the faculty members for their professional development activities.

### Credits in the PDA

The following may be credited into the PDA:

- ❖ Overheads of sponsored/consultancy projects (as per the Institute approved disbursement)
- ❖ Unspent balance amount of consultancy projects
- ❖ Any other income such as honorarium, a sitting

fee may also be included

### **Utilization of PDA**

The PDA can be utilized for the following purposes:

- ❖ Purchase of equipment or laboratory consumables
- ❖ Travel (national and international) for research or related matters. Payment of travel expenses to a visiting guest of the laboratory
- ❖ Conference related payments
- ❖ Purchase of books, journal subscription, professional membership
- ❖ Teaching material and teaching aids
- ❖ Expenses related to promotion of professional activities
- ❖ Recruitment of qualified staff
- ❖ Purchase of computer and related accessories
- ❖ Refurbishment of office and stationery material
- ❖ Telephone/broadband charges
- ❖ Any other operational/research related expenditure with the approval of DoRD

As PDA is treated as a project, all purchases must be made following the Institute Purchase Rules for projects. No honorarium can be drawn from this account.



## 16. Books

The rich knowledge resource created from research endeavors is preserved in the form of books. Right from the beginning, book-writing has been a strong point of IISERB faculties. The robust academic environment prevailing on the campus encourages faculty members to write books in the area of their expertise.

As a global practice, books authored by faculty or research staff are not treated as projects or consultancies. Hence, the royalties received on books authored by faculty members should be reported to the Institute and no overheads will be charged.

## 17. Project Appointments

<https://www.iiserb.ac.in/forms#RD>

Project appointment can be made in Sponsored Research Projects/Consultancies and other Miscellaneous Projects in three categories, as per the approved guidelines and notifications

- a. Ad-hoc appointment (Maximum for 3 months)
- b. Regular Project Appointments
- c. Part/full-time appointment of students in projects

### **a. Ad-hoc appointment (Maximum for 3 months)**

**Approving Authority** – Dean, Research and Development, upon recommendations of the duly constituted recommendation committee.

**Process of Appointment** – Application in the prescribed format along with the CV of candidate.

- ❖ No Extension beyond three months
- ❖ A candidate once appointed on an ad-hoc basis cannot be appointed again on an ad-hoc basis in any other project within the institute (within a 2-year period)

**b. Regular Project Appointments**

**Approving Authority** - Dean, Research and Development

**Process of Appointment**

1. Approval of Advertisement & Selection Committee
2. Publishing of Advertisement on the Institute Website
3. Interview by the selection committee
4. Approval of Selection committee report by DoRD
5. Issuing Offer letter by R&D office
6. Document verification & Joining

- ❖ An appointment can be made for a maximum duration of one year at a stretch which is renewable from time to time as per the requirement of the project.
- ❖ The renewal is only on a yearly basis upon recommendation of the PI, maximum upto five years.

- c.** Full time PhD/BS-MS students from within and outside the Institute can be paid from projects/consultancies for providing assistance in project activities honorary basis. The maximum honorarium payable to the students is as

follows:

PhD students (without fellowship)-     INR 35,000/- per month

PhD students (with fellowship)-     INR 1,000/- per day

BS-MS students-     INR 500/- per day

Approval by HoD and DoAA will be required in case of IISER Bhopal students. In case of student outside IISER Bhopal, NOC from the HoD / head of the concerned Institute and bonafide certificate will be required.

❖ Salary structure and qualifications

(<https://www.iiserb.ac.in/forms>)

- A. Scientific/Technical manpower positions with remuneration, essential qualification, and upper age-limit other than JRF/SRF/RA in R&D programmes.

Sl.	Manpower Position	Essential Qualifications	Age limit (yrs)	Monthly Emoluments
1.	Scientific Admin. Asst. /Field Worker	Graduate degree in any discipline	50	INR 18,000/- + HRA
2.	Laboratory Asstt./ Technician / Project Asstt./ Project office Asstt. / Technical Asstt. / Field Asstt.	B.Sc./3 years Diploma in Engineering & Technology <i>For non-science streams, Graduate degree in any discipline</i>	50	INR 20,000/- + HRA Increment of 15% for 3 years of experience with a maximum ceiling of 4 such revisions i.e. upto 12 years of experience.
3.	Project Associate-I	Master's Degree in Natural or Agricultural Sciences/MVSC or bachelor's degree in Engineering or Technology or Medicine from a recognized University or equivalent <i>For Non-science streams Master's degree in any discipline</i>	35	(i) INR 31,000/- + HRA to Scholars who are selected through (a) National Eligibility Tests - CSIR-UGC NET including lectureship (Assistant Professorship) or GATE or (b) A selection process through National level examinations conducted by Central

				Government Deptt. and their Agencies and Institutions. INR 25,000/- + HRA for others who do not fall under (i) above.
	Project Associate-II	<p>(i) Master's Degree in Natural or Agricultural Sciences/MVSc or bachelor's degree in Engineering or Technology or Medicine from a recognized University or equivalent;</p> <p>(ii) 2 years' experience in Research and Development in Industrial and Academic Institutions or Science and Technology Organisations and Scientific activities and services</p> <p><i>For Non-science streams, Master's degree in any discipline</i></p>	35	<p>INR 35,000/- + HRA to Scholars who are selected through a process as mentioned 3(i) above.</p> <p>(ii) INR 28,000/- + HRA for others who do not fall under (i) above.</p>
4.	Senior Project Associate	(i) Master's Degree in Natural or Agricultural Sciences / MVSc or bachelor's degree in Engineering or	40	INR 42,000/- + HRA

		<p>Technology or Medicine from a recognized University or equivalent; and</p> <p>(ii) Four years' experience in Research and Development in Industrial and Academic Institutions or Science and Technology Organisations and Scientific activities and services</p> <p>OR</p> <p>Doctoral Degree in Science /Social Sciences/ Engineering / Technology / Pharma / MD / MS from a recognized University or equivalent</p> <p><i>For Non-science streams Master's degree in any discipline</i></p>		
5.	Principal Project Associate	<p>(i) Master's Degree in Natural or Agricultural Sciences or Bachelor's Degree in Engineering or Technology or Medicine from a recognised University or equivalent; and</p>	40	INR 49,000/- + HRA

		<p>(ii) Eight year experience in Research and Development in Industrial and Academic Institutions or Science and Technology Organisations and Scientific activities and services</p> <p>OR</p> <p>(i) Doctoral Degree in Science / Engineering / Technology / /Social Sciences/ Pharma / MD / MS from a recognized University or equivalent; and</p> <p>(ii) Four year experience in Research and Development in Industrial and Academic Institutions or Science and Technology Organisations and Scientific activities and services</p> <p><i>For Non-science streams Master's Degree in any discipline</i></p>		
6.	Project Scientist-I	Doctoral Degree in Science/ Medicine/ Pharma/Social Sciences or Master's	35	INR 56,000/- + HRA Increment of 5% for every 2 years of

		Degree in Engineering or Technology from a recognized University or equivalent		experience subject to performance review.
7.	Project Scientist-II	(i) Doctoral Degree in Science/ Medicine/ Pharma/ Social Sciences or Master's Degree in Engineering or Technology from a recognized University or equivalent; and (ii) Three year experience in Research and Development in Industrial and Academic Institutions or Science and Technology Organisations and Scientific activities and services	40	INR 67,000/- + HRA Increment of 5% for every 2 years of experience subject to performance review.
8.	Project Scientist-III	(i) Doctoral Degree in Science/ Medicine/ Pharma/ Social Sciences or Master's Degree in Engineering or Technology from a recognized University or equivalent;	45	INR 78,000/- + HRA Increment of 5% for every 2 years of experience subject to performance review.



		(ii) Seven year experience in Research and Development in Industrial and Academic Institutions or Science and Technology Organisations and Scientific activities and services		
9.	Project Manager	Doctoral Degree in Science / Medicine / Pharma / Social Sciences / MD or Master's Degree in Engineering or Technology from a recognized University or equivalent with 20 year of experience in relevant field.	Min age of 45 years	INR 1,25,000 – 2,00,000/ (Consolidated)

Note: This post is meant for big-ticket projects (costing more than Rs. 10.0 crore) or for a Center which manages Central Facilities of the Institute. The concerned Department / Agency may fix remuneration in the given band depending on the length of experience following their appraisal / approval process.

All the positions mentioned in the “A” above are in line with the office Memorandum issued by the Ministry of Science and Technology, Department of Science and Technology dated July 10, 2020.

B. Emoluments and guidelines on service conditions for JRF/SRF/RA engaged in R&D programme of the Central Government Departments/Agencies.

Sl	Designation	Qualification	Emoluments (per month)
1.	Junior Research Fellow (JRF)	<p>Post Graduate Degree in Basic Science OR Graduate / Post Graduate Degree in Professional Course selected through a process described through any one of the following:</p> <p>a. Scholars who are selected through National Eligibility Tests - UGC NET including lectureship (Assistant Professorship) and GATE.</p> <p>b. The selection process through National level examinations conducted by MHRD and its Agencies and Institutions such as UGC/IIT/IISc. /IISER /IIIT etc.</p>	Rs. 31000/- + HRA
2.	Senior Research Fellow (SRF)	Qualification prescribed for JRF with two years of research experience	Rs. 35,000/- + HRA

3.	Research Associate -I	Ph.D/MD/MS/MDS or equivalent degree or having 3 years of research, teaching and design and development experience after MVSc/M.Pharm/ME/M.Tech with at least one research paper in Science Citation Indexed (SCI) journal.	Rs. 47,000/- + HRA
	Research Associate -II		Rs. 49,000/- + HRA
	Research Associate -III		Rs. 54,000/- + HRA

Note: After completion of two years, an external assessment by the Institution where the student is enrolled for Ph.D.is mandatory for upgradation from JRF to SRF. The fellow may be awarded SRF after successful assessment.

Annual Satisfactory Assessment is mandatory to continue the benefit of fellowship during SRF period.

House Rent Allowance (HRA): All the project fellows may be provided hostel accommodation wherever available. Those who have been provided accommodation in hostels shall not be entitled for HRA. Wherever provision of hostel accommodation is not possible, HRA may be allowed to all the above categories as per

Central Government norms applicable in the city/location where they are working. The percentage required for calculating HRA will be based on the fellowship amount.

All the positions mentioned in the “B” above are in line with the office Memorandum issued by the Ministry of Education, Department of Higher Education dated January 31, 2019.

## Other T&C of appointments:

1. The posts are purely contractual & temporary. Under no circumstances these personnel be given any preference for any other regular positions
2. Hiring strictly as per the terms and conditions of project
3. No House Rent Allowance will be paid to an employee who wishes to avail the hostel facility. Deduction of accommodation charges will be made from employees' salary as per the rates notified by the DoSA office from time to time
4. A declaration from the HoD & Supervisor is mandatory about the good antecedents and credentials of the candidate, if the candidate is an alumnus or an ex-employee of the Institute
5. Annual increment @10% on initial consolidated salary on satisfactory performance can be awarded subject to the recommendation of Project Investigator norms of the funding agency.
6. Any candidate who is found unsuitable for the assigned job or removed from the position on disciplinary ground by any department of the Institute or elsewhere should not be hired for project employment in any department/section of the Institute
7. Committee composition as per the funding agency norms, wherever available, in other cases, as under:

HoD or Nominee	Chairperson
Two Faculty Member	Member
Project Investigator	Convener
8. In case of migration of a project employee from one project to

another project, valid reasons and justification for such migration without the need for undergoing a fresh selection process be submitted. In those cases, the personal file No. & pay shall remain the same, since it is to be treated as a transfer.

9. In case of retired personnel from the Institute service, the academic qualifications can be relaxed commensurate with the experience and the designation with proper mapping to the designations and experience levels
10. *Upgradation of a project employee:* If the PI considers upgrading a project employee within the same project, he/she after reviewing the employee performance can recommend for upgradation without going through a separate selection committee. However, in case of upgradation of the employee to work in some other project, the case shall be put up through the selection committee for consideration. The upgradation should be justifiable in terms of additional qualifications and experience, acquired commensurate with the position for which being considered
11. *Half-time or part-time project employment:* Because of the requirements and limited provisions in certain projects, suitable candidates can be considered for half-time employment in projects with suitable designation as per the approved structure. However, the employee shall be paid only 50% of the respective salary payable to a full-time employee. As per the project requirements, a flexible working session can be decided, e.g forenoon or afternoon shift
12. *Adjunct employment or joint employment in two projects:* If an expert or a professional is required for two projects at the same time or in view of financial provisions in any single project, a

project employee can be considered for adjunct or joint employment, thus facilitating for working in two projects simultaneously. The financial burden can be shared appropriately from each of the two projects. PIs of the two different projects shall be the joint signatories of the selection committee for such an appointment

13. At the time of selection, the selection committee can recommend a higher start by offering a maximum of five increments for experienced candidates. The higher start from the initial level of the scale can be calculated duly counting the number of years of previous experience and offering one increment each for each year of service already put in, over and above the minimum number of years required towards applicable experience
14. If a person is already working or has worked earlier in any specific project of the Institute or a comparable organization the last pay drawn may be taken as the basis for fixing the consolidated pay for the fresh position being appointed for
15. *Insurance cover:* The faculties may facilitate their short-term contract project/regular employees for a group accidental, medical and life insurance as per the funds available in their respective projects.
16. *Leave Entitlements:* as per the funding agency norms (if available), in other cases as follows:

<b>Type of Employment</b>	<b>Casual leave per quarter*</b>	<b>Total casual leave entitlement in a year</b>	<b>Annual leave per month</b>	<b>Total annual leave entitlement in a year</b>	<b>Medical leave without pay</b>
Project contract employee	02	08	2 ½	30	Maximum 30 days on production of valid medical certificates

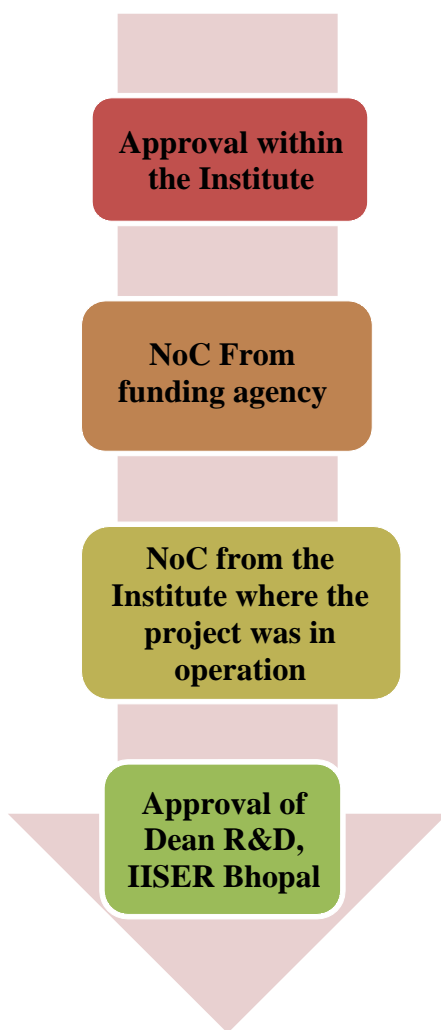
\*15 days of special casual leave applicable for Post-Doctoral Fellows for attending conference/workshop/symposia etc.

*Note: If medical leave (without pay) extends beyond 30 days at a time, such period of absence shall be counted as discontinuation of services and a new incumbent may be inducted in his/her place through the process of selection committee.*

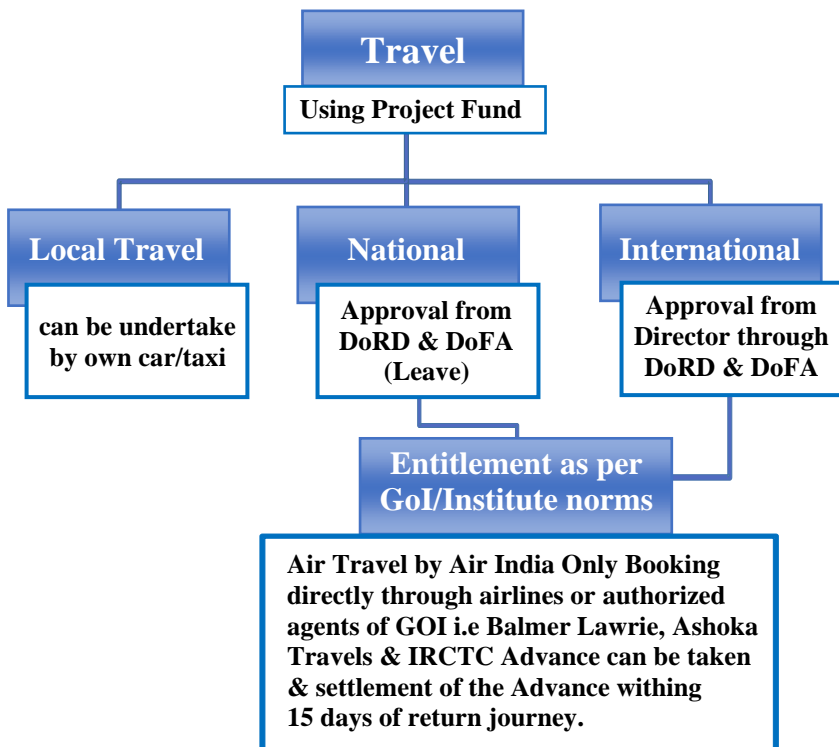


## 18. Quick Notes

**Transfer of Ongoing Fellowships & Sponsored Research Projects  
from Other Institutes to IISER Bhopal**

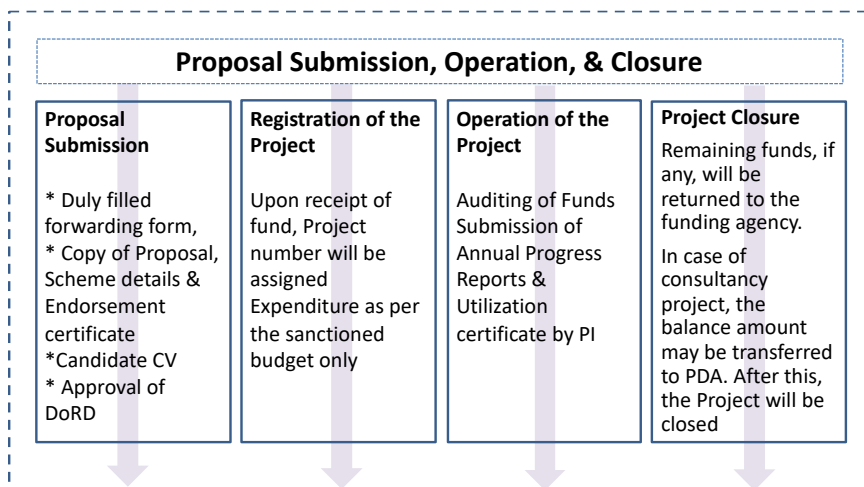


## Travel approvals

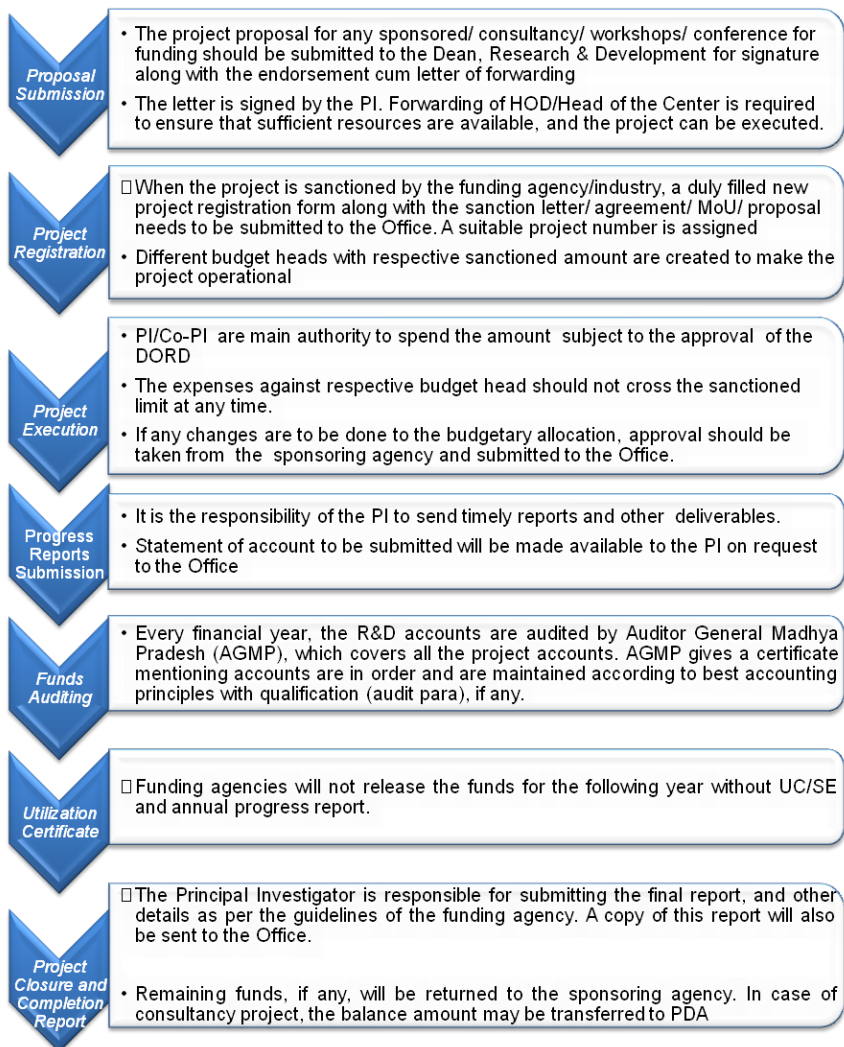


*For details, please visit F&A webpage  
(<https://www.iiserb.ac.in/financeoffice>)*

## Project lifecycle (a)



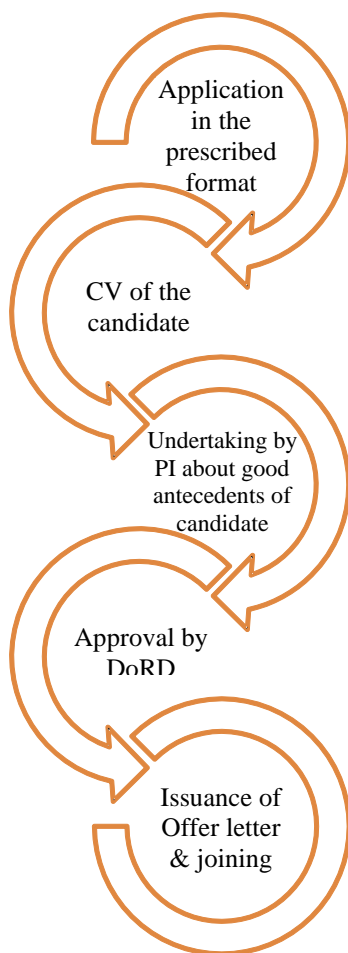
## Project lifecycle (b)



## Appointments

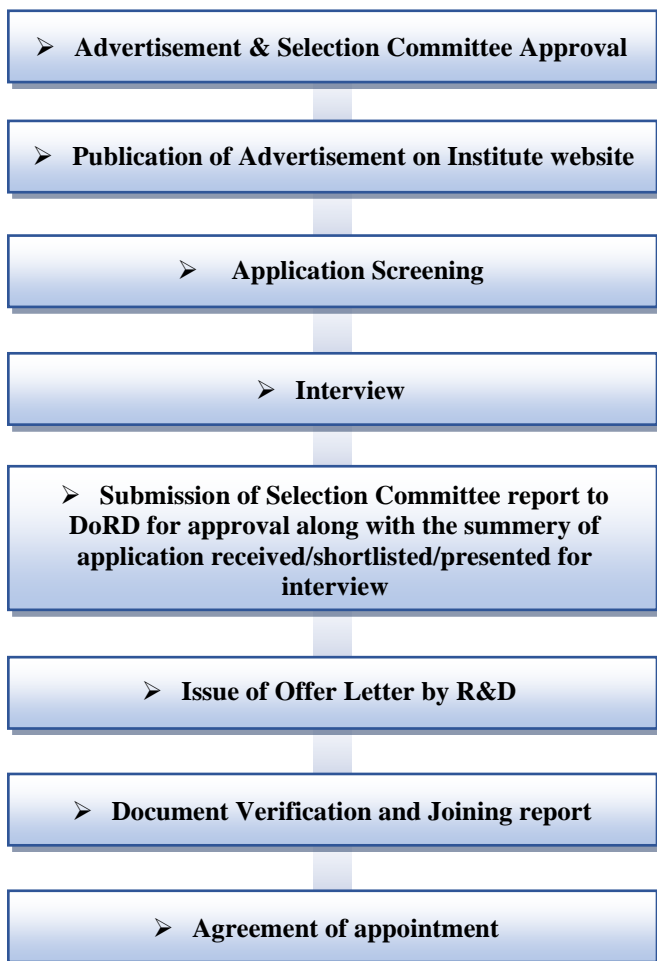
Ad-hoc (appointed for a maximum period of three months)

<http://web.iiserb.ac.in/prabandhak/assets/forms/R&D/305adhoc.doc>



## Steps of regular project appointments

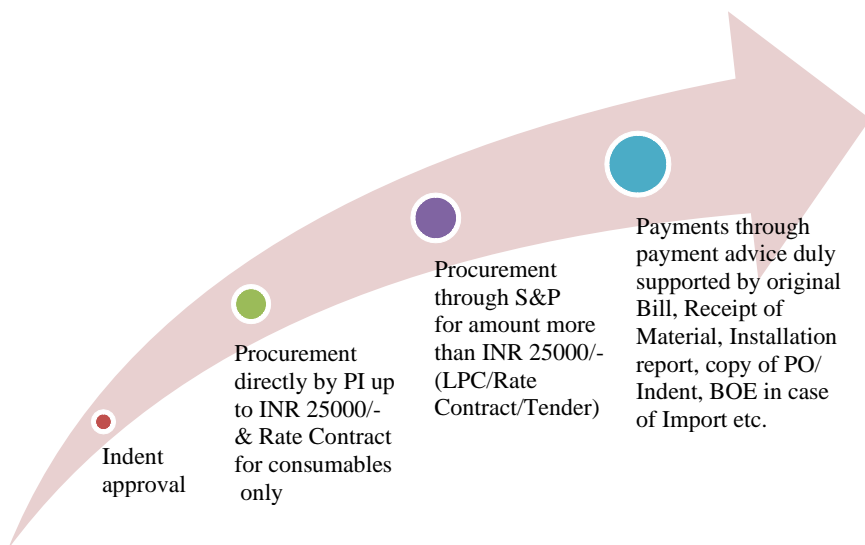
<https://www.iiserb.ac.in/forms>



For details, kindly refer the section “Project Appointments”

## Steps of Procurement/Expenditure

<https://www.iiserb.ac.in/storesoffice/manuals>



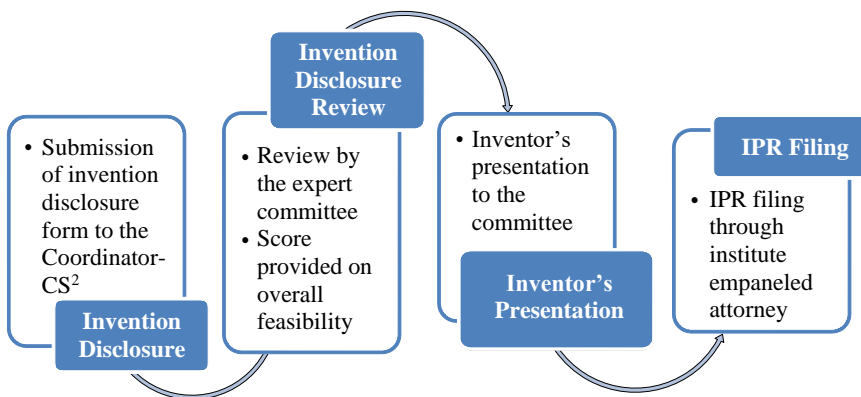
## Intellectual Property Ownership

IISER Bhopal ownership	Inventor/Author ownership	Third Party ownership
<ul style="list-style-type: none"><li>• In case the IP was created by using IISERB funds or facilities</li><li>• IP was created with the significant use of funds or facilities administered by IISER Bhopal</li><li>• The IP was created as a part of the normal professional duty or work for hire</li><li>• The IP was created in the course of or pursuant to a sponsored/consultancy research agreement with IISER Bhopal</li><li>• The IP was created as a part of academic research and training leading towards a degree or otherwise</li><li>• All copyrights on software, teaching materials created as part of IISER Bhopal academic program</li></ul>	<ul style="list-style-type: none"><li>• In case IP was created without using IISER Bhopal resource</li></ul>	<ul style="list-style-type: none"><li>• In case of exchange programs between IISER Bhopal and other institutions will be governed by specific provisions in the contract between the third-party and IISER Bhopal</li></ul>

Kindly visit [https://cs2.iiserb.ac.in/Intellectual\\_Property\\_Support.php](https://cs2.iiserb.ac.in/Intellectual_Property_Support.php) for details

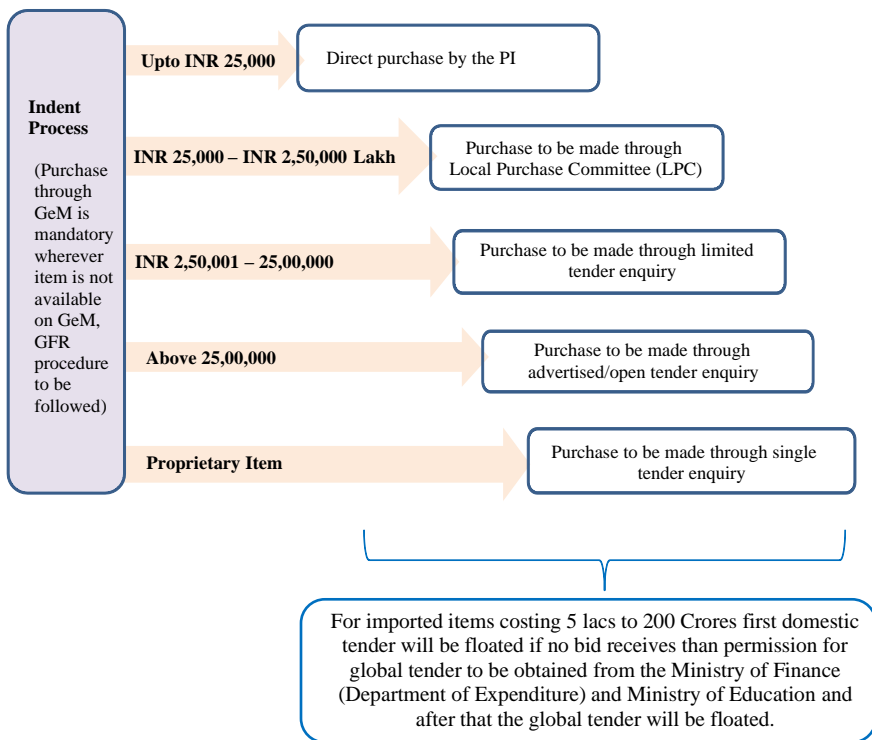


## Patent Filing Process



## Purchase Types

<https://www.iiserb.ac.in/storesoffice/manuals>



For details, kindly visit section 20 and Store and Purchase link at <https://www.iiserb.ac.in/storesoffice>

## 19. Purchase Procedure

All items purchased under a project are property of the Institute, though are to be used primarily for the project. They are to be purchased using the Institute approved procedures. After the project terminates, they remain with the Institute unless there is a specific provision or requirement of returning the same. Consequently, each item purchased is recorded in the asset register. The BoG approved guidelines for purchase procedures as *Stores and Purchase Manual* are available at the Institute website (<https://www.iiserb.ac.in/storesoffice/manuals>).

Purchase through GeM is mandatory wherever item is not available on GeM, GFR procedure to be followed as under:

Purchase Category	Purchase process
Category A: Direct Purchase (upto INR 25000/-)  Forms are available at <a href="https://www.iiserb.ac.in/storesoffice/forms">https://www.iiserb.ac.in/storesoffice/ forms</a>	<ul style="list-style-type: none"><li>❖ Although single quotation is admissible in case of standard items, it is advisable to get more than one quotation for competitive rates</li><li>❖ The request along with bills/cash memos is received in the Office</li><li>❖ Voucher prepared in R&amp;D</li><li>❖ DoRD approval is taken</li><li>❖ Sent to Internal Audit</li><li>❖ After Internal Audit clearance, it goes to DR (F&amp;A) for signature</li><li>❖ A cheque is prepared and payment made to vendor through RTGS/NEFT</li></ul>

<p>Category B: Indigenous (above INR 25000/- to 2,50,000)</p> <p>Forms are available at <a href="http://web.iiserb.ac.in/DORD/forms/Project_Purchases.htm">http://web.iiserb.ac.in/DORD/forms/Project_Purchases.htm</a></p>	<ul style="list-style-type: none"> <li>❖ Purchase Proposal Request along with the following documents is deposited in the Office</li> <li>❖ Minimum 3 quotations (for non-proprietary items)</li> <li>❖ Approval of Purchase Committee for purchases above upto 2.5 lakhs</li> <li>❖ Comparative statement of quotations</li> <li>❖ Recommendation of the Purchase Committee</li> <li>❖ After checking fund availability, Dean approval is taken</li> <li>❖ The sanction sheet is prepared by S&amp;P Office</li> <li>❖ SS sent to audit section for clearance</li> <li>❖ Dean signature is taken on the sanction sheet</li> <li>❖ Amount is committed in the system (Ingress)</li> <li>❖ The sanction Sheet is approved in the Office</li> <li>❖ The purchase order is prepared by S&amp;P Office</li> <li>❖ Payment voucher is prepared according to terms &amp; condition of Purchase Order</li> <li>❖ After Internal Audit clearance, it goes to DR (F&amp;A) for signature</li> <li>❖ Cheque is prepared &amp; payment made</li> </ul>
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<p>Category C: Indigenous (More than INR 2,50,000)</p> <p>Forms are available at <a href="http://web.iiserb.ac.in/DORD/forms/Project_Purchases.htm">http://web.iiserb.ac.in/DORD/forms/Project_Purchases.htm</a></p>	<ul style="list-style-type: none"> <li>❖ Purchase through Limited Tender Enquiry (from Rs. 2,50,001/- to Rs. 25 Lakh) (GFR Rule no. 162)</li> <li>❖ Advertised/Open Tender Enquiry (Above Rs. 25 Lakh) (GFR Rule no. 161)</li> <li>❖ Single Tender Enquiry (Proprietary Item) (GFR Rule no. 166)</li> <li>❖ Purchase through the GeM (GFR Rule no. 149)</li> <li>❖ Purchase through Buy-back offer</li> </ul>
<p>Category D: Procurement of imported items (upto 5 lacs and spare parts)</p> <p>Forms are available at <a href="http://web.iiserb.ac.in/DORD/forms/Project_Purchases.htm">http://web.iiserb.ac.in/DORD/forms/Project_Purchases.htm</a></p>	<ul style="list-style-type: none"> <li>❖ Purchase Proposal Request along with following documents to be deposited in the Office</li> <li>❖ Quotations / Proforma invoice</li> <li>❖ Technical literature / catalogue of equipment</li> <li>❖ End-use Certificate (if required)</li> <li>❖ Non-Manufacturing in India Certificate</li> <li>❖ Proprietary Certificate (if applicable)</li> <li>❖ Proforma invoice is valid for 60 days</li> <li>❖ After checking fund availability, Dean approval is taken on the sanction sheet.</li> <li>❖ If the purchase is more than one crore, Dean R&amp;D will be the chairman of the purchase committee</li> <li>❖ Issuing of a purchase order by S&amp;P section</li> </ul>

	<ul style="list-style-type: none"> <li>❖ Letter of Credit</li> <li>❖ (LC)/Telegraphic Transfer (TT)/Swift transfer received for payment from Import section</li> <li>❖ LC covering letter prepared by S&amp;P and issued by DR (F&amp;A)</li> <li>❖ Bank transfers the amount to supplier's account in the form of Telegraphic Transfer or LC</li> <li>❖ Debit /credit advice received from bank and voucher is prepared in the R&amp;D office</li> </ul>
Category E: Procurement of imported items more than 5 lacs to 200 Crores	<ul style="list-style-type: none"> <li>❖ Approval in accordance to order issued by Ministry of Education &amp; Ministry of Finance, Department of expenditure</li> <li>❖ Upon approval, the rest procedure is the same as mentioned in the "D" above.</li> </ul>

## Note

1. The standard form for purchase committee approval available at <https://www.iiserb.ac.in/storesoffice/forms>

## **20. Office of Research Integrity**

### **1. Introduction**

IISER Bhopal has carved a niche in global academia and has shown great potential to strive forward. In order to maintain the integrity and quality of research, the office of research integrity (ORI) at the institute is committed to identifying and firmly handling instances of research misconduct by present/past members of the institute, however rare they may be. In this connection, this document provides an overview of policies related to good research practices. A framework for identifying research misconduct and initiating corrective action is also included.

### **2. Organisational structure**

Office of Research Integrity (ORI) has been established at IISER Bhopal to encourage and enable a culture of research integrity and implementation of good academic research practices. The ORI will be a part of the office of Research and Development (R&D) at IISER Bhopal. The Dean R&D will head ORI, and the office of R&D will facilitate its activities.

#### **Role, duties and responsibilities of ORI:**

The primary responsibilities of the ORI are:

##### **2.1 To educate about the code of good academic research practices**

The primary role of the ORI is to make sure that the academic fraternity at IISER Bhopal is aware of the do's and don'ts of good academic research practices. This is to ensure that any cases of research misconduct can be avoided to the extent possible. In order to promote this ORI should facilitate periodic orientation and training on research and publication

ethics.

## 2.2 To implement and sustain a culture of research integrity

ORI should act as the primary point of contact for queries related to research integrity and compliance with the code of good research practices. This is to maintain a culture of research integrity at the institute.

## 2.3 To monitor any instances of academic/research malpractice

Any member of the institute can bring instance(s) of academic/research malpractice (for typical examples, please refer to section 4.0) to the notice of ORI. ORI should serve as a resource for sound confidential advice related to research integrity.

## 2.4 To develop guidelines to deal with allegations of research misconduct

ORI should develop its code of conduct and enlist guidelines (detailed below) to deal with allegations of research misconduct. It should ensure that swift action is taken while maintaining fairness when dealing with any case of research misconduct brought to its notice.

## 2.5 To maintain the records of all the research misconduct inquiries

ORI should keep record and document the source of allegation, the process followed to address it, the outcome of the investigation and any penalties that might have been meted out for future reference.

# 3. **Good research practices**

The following practices are an indicative list and not



exhaustive. If in doubt, you may always contact ORI for specific information.

### 3.1 Record keeping of all raw data in soft/hard copies.

All researchers of IISERB should keep all the records of procedures and data, including interim and final research outcomes in soft/hard copies, as appropriate. The PI should ensure proper record keeping of all the researchers in the group and formulate policies for data management and data protection.

### 3.2 Proper citation of previous work.

It is encouraged to make sure that the previous relevant work is cited in the manuscripts/reports/theses to give due credit to the researchers in the field in an unbiased manner.

### 3.3 Acknowledging all the contributors

All the researchers should acknowledge the contributors to a given piece of work and also cite the use of any kind of results, ideas and methods of others.

### 3.4 Declaring a conflict of interest

In order to promote transparency within the IISERB research community, ORI strongly encourages to disclose the potential conflict(s) of interest in writing to the concerned authorities/committees. The conflict(s) of interest is(are) not limited to personal financial gain; it includes a long list of professional academic activities including peer reviewing grants/manuscript, serving on various decision-making committees to give recognition or funding.

### 3.5 Follow all the ethical guidelines

All the research carried out at IISERB must comply with

relevant regulatory and ethical standards. If your research involves direct human participation or human sample, all necessary permissions and approvals must be taken before initiating research and be updated in case there is any change in the research plan. In case there is any doubt whether such permission is required or not the PI should seek advice from ORI.

### 3.6 Helping new members of the lab

Whenever a new member joins in any research group the existing senior researchers in the group should make an effort to help the new members in all possible ways to develop the required scientific skills. The PI of the group should ensure this practice.

### 3.7 Openness and accountability

ORI understands the need to protect the intellectual property of a researcher. However, after publishing, ORI encourages the researchers of IISERB to be as open as possible in discussing their research to the scientific community and to the public.

### 3.8 Promoting positive research environment

A positive research environment and good laboratory culture helps to improve productivity. ORI encourages a healthy research-favourable environment within the research groups.

### 3.9 Authorship based on contribution.

Authorship is the credit for a researcher's individual contribution in any publication and it also carries accountability. Unfortunately, there is no universal rule or standard to determine the authorship order in the publication.

In this regard, ORI encourages the PI to identify his or her contribution and make a decision about authorship.

### 3.10 Image manipulation check before submission

Authors are encouraged to use the online available tools such as <https://ori.hhs.gov/droplets> or <https://www.elsevier.com/editors-update/story/publishing-ethics/the-art-of-detecting-data-and-image-manipulation> etc. to check the image manipulation.

### 3.11 Plagiarism check

Authors are required to use the available tools for plagiarism check before manuscript/report/thesis submission, such as Turnitin (<https://www.turnitin.com/>) and Urkund (<https://secure.unkund.com/account/auth/login>) etc.

Additionally, it is advised to refer to the following link for more information on good academic research practices. [https://www.ugc.ac.in/e-book/UGC\\_GARP\\_2020\\_Good%20Academic%20Research%20Practices.pdf](https://www.ugc.ac.in/e-book/UGC_GARP_2020_Good%20Academic%20Research%20Practices.pdf).

## 4. Identifying research misconduct

Research misconduct includes different types of scientific misconduct occurring at different stages of work. It can begin as early as the conceptualisation of the study itself to the dissemination of findings. Research misconduct typically includes, but is not limited to, plagiarism, fabrication and/or falsification in proposing, performing, reviewing and/or reporting research findings. Research misconduct may include but not limited to the following which may be classified under this area from time to time by the committee:

- ❖ *Plagiarism and Auto-plagiarism* include using work in

published or grey literature, their words, process or results without appropriate credit via full citation and making it appear as if their work is one's own and reusing one's work fully or in part without full disclosure/credit, respectively

- ❖ *Misappropriation* can take various forms and includes using as is and or building on someone else's idea, typically acquired in the process of reviewing manuscripts of grant applications. Essentially pretending someone else's intellectual property whether ideas, processes or results as one's own constitutes misappropriation
- ❖ *Violating globally accepted research practices* includes cherry-picking literature or any form of manipulation of experiments, data analyses or reporting to obtain a pre-decided or preferred outcome without disclosing all details and misleading others to align with the researcher's narrative
- ❖ *Falsification of data as compared to manipulating the experiments or the data to generate preferred results is actually fabricating the data entirely, often to lead to pre-decided research outcomes*
- ❖ *Failure to validate research findings includes the refusal to provide experimental results, images, and other data in sufficient detail that are needed to replicate a study for verification*
- ❖ *Questionable practices of authorship* include requiring authorship that is not deserved based on intellectual contributions for one's own self or others, excluding contributions from others to deliberately deny co-authorship where deserved, or submitting multi-author papers to journals without the consent of all authors

- ❖ *Failure to respond to known instances of unsuccessful validation* includes the failure to issue erratum or retract published articles that are found unverifiable or containing errors (intentionally or otherwise) either by the original authors or others
- ❖ *Failure to comply with legislative and regulatory requirements* includes deliberate violations of rules that relate to usage of chemicals, care of an animal or human subjects, use of equipment and research funds
- ❖ *Inappropriate behaviour in instances of suspected misconduct* includes a failure to cooperate in inquiries of misconduct by duly empowered bodies in cases of alleged misconduct against one's own self, deliberately concealing known or suspected misconduct, and the destruction of any evidence related to a claim of misconduct. Likewise, retaliating against people claiming potential research misconduct or intentionally alleging misconduct knowing there is no transgression are also considered inappropriate

The above list includes common kinds of misconduct and should not be considered all-inclusive or exhaustive. A determination on whether or not a particular instance constitutes misconduct will sometimes have to be made based on the case and its circumstances.

The following are, however, not considered as 'research misconduct'

- ❖ Errors that occur unintentionally despite exercising due diligence and differences in conceptualisation, design, conduct, interpretation or judgment in presenting research methodology or outcomes
- ❖ Any other misconduct not directly related to research. These

items should not be co-joined when evaluating allegations of research misconduct

Further, in general, research misconduct includes, committing inappropriate acts as well as omissions, with reference to research. Also, in assessing whether or not something is ‘misconduct’, the evaluation must be made based on the norms, practices and rules in place that were prevailing at the time that alleged misconduct under investigation took place and not by retrospectively applying practices or norms that are prevalent after the event took place.

### *Causal factors and remedial actions*

Davis et al. (2007) examined data from closed files of the Office of Research Integrity (ORI) in the US, which is supported by several branches of the National Institutes of Health (NIH). They analysed this data to identify seven clusters of potential causes for research misconduct viz., personal and professional stressors, organisational climate, job insecurities, two categories of rationalisations, personal inhibitions, and personality factors.

Overall, the authors find that personal and professional stressors include both standard stressors like publish-or-perish pressure and a variety of situational stressors that come in the way of upholding research integrity. They also argue that organisational structures from the laboratory to larger systems may unintentionally create a platform for misconduct through various forms of alienation. They argue that job insecurity factors are a more individual response to withstand pressures rather than being an organisational factor.

The most interesting outcome of this preliminary analysis of causal factors for research misconduct is perhaps some recommendations on avoiding the occurrence of such misconduct. These include:

- ❖ Periodic training and education in the responsible conduct of

research (RCR). Online teaching modules that address the structural realities of scientific research and their potential to create undue pressures on individuals to deviate from research integrity together with proven and accepted strategies for managing these pressures

- ❖ Closely related to RCR education and training, institution of employee assistance programs for all research staff and suitable means to increase awareness about these programs. Training mid-level research managers to be aware of various stressors their subordinates face and to understand the implications of poorly managed stress at an individual level on the overall organisational research environment and the integrity of research outcomes

IISER Bhopal is cognizant of the need to empower our researchers and various levels and provide them with necessary tools for successful research while upholding the highest standards of research integrity and ethics. To this end, the ORI will facilitate measures such as those discussed above and develop additional tools that are relevant and specific to its research environment and ethos.

All the faculty members will be required to sign a statement saying that they have gone through the Research Integrity Guidelines of the Institute and they will abide by these guidelines.

## **5. Corrective action**

### **5.1 Receipt of complaint**

- 5.1.1 The complainant needs to submit a written complaint to the ORI at [ori@iiserb.ac.in](mailto:ori@iiserb.ac.in)
- 5.1.2 The ORI will be the office responsible for coordinating the fair and effective resolution of the complaint

- 5.1.3 Every effort will be made to maintain the confidentiality of the complainant, accused, witness and complaint to the extent possible.
- 5.1.4 The complainant is responsible to furnish all the details such as the identities of all the parties involved, supporting documents, relevant dates, locations, and publications, if any. All the documents and evidence must be appropriately preserved by the ORI
- 5.1.5 The Dean R&D is the HoD of the ORI and shall take cognizance of the complaint and Convene the meeting of the Standing Screening Committee (herein as “SSC”), preferably within a week of receiving all the essential documents and details from the complainant
- 5.1.6 The Institute authorities may also refer any matter to be probed by the ORI on Suo-moto basis, if need be

## **5.2 Constitution of the Standing Screening Committee for fact finding enquiry:**

- 5.2.1 A Standing Screening Committee equivalent to the fact-finding committee for these classified matters, shall be headed by
- (1) Dean of R&D (Chairperson)
  - (2) Dean of Academic Affairs
  - (3) Dean of Faculty Affairs
  - (4) Head of the concerned department/s where the accused is posted and;
  - (5) Research Integrity Officer as Member-Secretary
- 5.2.2 The SSC is the authority designated to receive such



complaints and screen them out for the genuineness and give preliminary findings for further decision by the Director, on behalf of the Board of Governors, having been delegated with such powers by the BoG on its behalf, as to whether a full-scale enquiry is required in the matter or not, by assigning the investigation to the Institute Standing Investigation Committee (herein as “ISIC”)

- 5.2.3 In order to ensure a fair and transparent process, any possible conflict of interest needs to be disclosed by the members of the both the committees in each instance

### **5.3 Procedural guidelines for the Standing Screening Committee and Disciplinary Authority**

- 5.3.1 The SSC after verifying the authenticity/ merit of the complaint shall give its findings to the Director, specifying if there is a prima facie evidence. The Director after due diligence, may accept or reject the findings with observations recorded to that extent
- 5.3.2 If, convinced with the findings of the SSC, the Director shall have the delegated authority to decide whether to assign the same for further investigations by the ISIC, on behalf of the Board of Governors
- 5.3.3 The Disciplinary Authority or the authority delegated with such powers on accepting the recommendations of the Standing Screening Committee, if any, shall issue the charge-sheet on the respondent in accordance with the standard procedure of service rules or the rules applicable to the respondent

The action taken shall be reported to the Board of Governors, in both the cases.

- 5.3.4 Research integrity issues are generally subjective in nature. Genuine mistakes can often be misinterpreted as intentional malfeasance. The SSC and ISIC must differentiate between these two cases
- 5.3.5 All the evidence and facts should be appropriately documented by the SSC, which should be handed over to the ORI, along with a recommendation for further action
- 5.3.6 If the findings indicate that there are no reasonable grounds for the allegation, the complaint will be dismissed by the Director based on the findings of the SSC or based on merits. The recommendation to dismiss the complaint should be accompanied by the reasons for dismissal. In order to minimise the false complaints, the committee may also recommend suitable action against the complainant if the Standing Screening Committee finds that the complainant has malaise intentions and has made deliberate false claims.
- 5.3.7 The action taken report shall be submitted to the Board of Governors for further necessary ratification or directives, if any

#### **5.4 Disciplinary authority and constitution of the investigation committee**

- 5.4.1 If, the charges are admitted by the respondent, there is no need for conducting a detailed enquiry into the matter and the Disciplinary Authority shall issue the show cause notice for award of the proposed penalty, as per rules.
- 5.4.2 In case, the charges are denied by the respondent, the Director on behalf of the Board of Governors shall assign the job of full-scale / detailed enquiry to the Institute Standing Investigation Committee for holding an inquiry into such

charge, in accordance with principles of natural justice and standard procedures of enquiry as laid down under CCS(CCA) Rules, 1965.

5.4.3 The institute level Research Integrity Investigation committee (Standing Investigation Committee) shall comprise of the following:

- (1) Three Institute Professors from various departments of the institute. The committee will be headed by one of the three professors designated as a Chairperson while notifying the standing committee for each calendar year by the Director.
- (2) Dean R&D as a Member-Secretary of the committee.
- (3) Two other members nominated on a case to case basis, by the Director.
- (4) The Research Integrity Officer being the Presenting Officer of the case with all the facts and records produced from all concerned and;

## **5.5 Process of investigation**

5.5.1 ORI shall present and make available all the records relevant to the investigation with the investigation committee. The investigation committee may ask for the necessary records from the respondent such as grant application, progress report, manuscript drafts, primary data, electronic records, etc. that are considered relevant to the investigation.

5.5.2 The investigation committee will be given access to the laboratory and will be allowed to interview the complainant, the respondent and any other laboratory member which the committee considers necessary to gather information. The

Institute Standing Investigation Committee shall hold the proceedings in the Institute after intimating the Parties, and the proceedings shall be recorded in writing.

- 5.5.3 If the Respondent or Complainant remains absent despite due notice and without cause or justification or if they refuse to participate in the inquiry, it is open to the Institute Standing Investigation Committee to proceed with the inquiry placing the said party ex-parte and submit a report based on evidence/material available on record.
- 5.5.4 After the conclusion of the inquiry, the Investigation Committee shall prepare a report which shall contain- (a) the articles of charge (b) the defence of the respondent in respect of each article of charge; (c) an assessment of the evidence in respect of each article of charge; (d) the findings on each article of charge and the reasons thereof.
- 5.5.5 It is expected to complete the investigations and report submission within a period of 90 days from receiving the complaint. The committee may seek extension of time, in such compelling circumstances with the prior approval of the Director.
- 5.5.6 The Investigation Committee shall forward to the disciplinary authority the records of inquiry which shall include: (i) the report prepared by it (ii) the written statement of defence if any, submitted by the respondent (iii) the oral and documentary evidence produced in the course of the inquiry; (iv) written arguments if any, led by the Parties during the course of the inquiry.

## **5.6 Process after investigation**

- 5.6.1 If the accused is a Group 'A' employee of the Institute, upon

receipt of the Investigation Report, if the respondent has been held guilty of the charges or otherwise, the same shall be placed before the Board of Governors in case of the respondent is appointed by the Board of Governors for necessary acceptance / rejection of the report with reasons recorded.

- 5.6.2 In all other cases such as students, temporary research staff, Group 'B' employees etc., the report be submitted to the Director for necessary acceptance / rejection of the report with reasons recorded.
- 5.6.3 When disciplinary action is proposed, the Disciplinary Authority or the Director, as the case may be shall issue a show-cause notice along with a copy of the Institute Standing Investigation Committee Report to the respondent asking for show-cause as to why the proposed penalty should not be levied which should be responded within ten days after serving the same on the respondent.
- 5.6.4 Thereafter, the Disciplinary Authority or the Director, as the case may be, shall proceed with the appropriate action after taking into consideration the gravity of the allegations/charges proved and the reply, if any, submitted by the respondent, which should then be communicated to the respondent and shall be entered into the personal file of the respondent.
- 5.6.5 If the Disciplinary Authority finds that the inquiry has not been held in accordance with the applicable rules, a de-novo investigation or direct inquiry from the stage of perceived defect may be ordered.

## **5.7 Punitive actions**

As far as employees are concerned, penalties enumerated as per institute rules as applicable to the individual member. In addition, the Disciplinary Authority is at liberty to also impose one or more of the following penalties.

- 5.7.1 In Case Respondent is a Faculty Member or any other Employee, whether permanent, on probation, or on contract, the Disciplinary Authority may;
- a. Issue a written warning
  - b. Delay career advancement (promotion for example) for a specified time period in the range of 1 to 5 years
  - c. Declare the respondent ineligible for future IISER Bhopal awards for a specified time period
  - d. Inform agencies that have funded the respondent's research
  - e. Inform relevant National and International Academies
  - f. Strip the respondent of all prior IISER Bhopal awards or recognitions
  - g. Make the respondent ineligible to receive any form of research funding from the Institute for a specified time period in the range 1 to 5 years,
  - h. Prohibit the respondent from taking on any new PhD/UG students for a specified period in the range of 1 to 5 years,
  - i. Recommend against contract extension or confirmation on probation.
  - j. Award major / minor penalties in accordance with the Statutes/ Service Rules/Conduct Rules/Manuals/Code of Conduct as applicable to the individual as per the

rules/laws adopted/promulgated by the Institute

- k. Besides the above, any judicial or legal proceedings as per the prevailing laws of the land.

5.7.2 In Case Respondent is an R&D project staff, the disciplinary authority may

- a. Issue a written warning
- b. Strip the research staff of any IISER Bhopal awards
- c. Declare the respondent ineligible to be considered for future awards
- d. Inform Agencies that Sponsor the research staff.
- e. Terminate employment / Dismiss the individual from the position held including debarring for future employment in the Institute or elsewhere.
- f. Besides the above, any judicial or legal proceedings as per the prevailing laws of the land.

5.7.3 In Case Respondent is a Student, the Disciplinary Authority may

- a. Issue a written warning
- b. Strip the student of all awards
- c. Declare the student ineligible for any awards
- d. Inform Agencies that sponsor the student
- e. Expel the student
- f. Withdraw the Degree(s) / Diploma(s) / Certificates awarded.
- g. De-register from all the memberships and from the alumni status.

- h. Besides the above, any judicial or legal proceedings as per the prevailing laws of the land.
- 5.7.4 Any other person temporarily or permanently associated with the Institute or deputed temporarily to the Institute services and all those who are not covered under the above definitions:
- a. Recommend suitable action against the individual to the concerned cadre controlling authority.
  - b. Register complaint with the appropriate Commission / Authority of National or International jurisdiction for initiating suitable action as per the applicable laws to the individual.
  - c. Besides the above, any judicial or legal proceedings as per the prevailing laws of the land.

## **5.8 Appellate authority**

Any person aggrieved by the Report-cum-Findings and the consequential action taken by the Disciplinary Authority may file a First Appeal before the Board of the Governors, IISER Bhopal or before the Appellate Authority as applicable to the individual / delinquent.



## 21. Conflict of interest

### I. Institute's statement on Conflict of Interest:

"Conflict of Interest" means the existence of conflict between the duties and responsibilities of any individual or entity involved in discharge of the Institute or public affairs, in which the Personal / private interest of such individual or entity could improperly influence the discharge of duties, responsibilities and functions, or result in breach of public trust, or be construed as private or commercial interest of any person or organization or entity.

A conflict of interest may exist even if it results into no violation or unethical or improper act from such an action. Hence, it would include all those matters, resulting into conflict of interest, which might not have been specified in any Act / Law / Regulations / Byelaws/ Statutes / Rules / Manuals / Provisions / Practices etc., but found worth of probing under this policy of the Institute or any law or regulation that may be enforced in future.

### II. The Ombudsman Committee

In the case of violation of this policy, there shall be an Ombudsman Committee to probe into the matters of conflict of interest as specified below, constituted by Director, IISER Bhopal, every calendar year:

1.	One member to be nominated by the Director, IISER Bhopal on yearly basis	Ombudsman
2.	Dean, R&D	Ex- officio Member
3.	Dean, Academic Affairs	Ex- officio Member
4.	Two Nominees of Director nominated on a case to case basis	Member (s)
5.	Research Integrity Officer	Ex- officio Non-Member Secretary

The Ombudsman Committee shall follow all the principles of natural justice and standard procedures of full-scale enquiry taking the model of CCS (CCA) Rules, 1965 and submit the report to the Disciplinary Authority for further necessary acceptance or rejection of the recommendations for award, within a period of 90 days.

The Disciplinary Authority may award any Minor or Major penalties, based on the findings of the Ombudsman Committee on serving a show-cause notice on the proposed penalty, duly following all the standard procedures under the relevant Institute rules as applicable to the individual.

### **III. Declarations by the employee(s) of the Institute**

Declaration in the prescribed proforma be mandatorily furnished by the individuals and the entities involved in the conduct of affairs of the Institute. A few occasions are mentioned below:

- i. At the time of first appointment/joining the Institute or on becoming a part of Institute affairs including by permanent or temporary employee(s), consultant(s), student(s), PDF's etc.
- ii. Handing over and taking over charge on a new position/department at the Institute.
- iii. Being appointed/nominated as a member in any committee such as admission committees, Selection Committees, Enquiry Committees, Confidential Committees, Statutory Committees at the Institute.
- iv. Being appointed/nominated at any positions other than mentioned above as sought by the competent authority, wherever applicable.

\*\*\*

## **Declaration on ‘Conflict of Interest’**

**(Ref. to the Institute’s Policy Statement)**

1.	Name of the individual or entity	
2.	Designation(s) / Position(s)	
3.	PF No. / any permanent ID No (s).	
4.	Department	
5.	Permanent Address	
6.	E-mail and Mobile No.	

I / We,..... certify that I / We shall

- a) abide by all the rules and practices of the Institute from time to time to avoid any personal or vested interests in conduct of Institute or public affairs from time to time.
- b) avoid any activity related to the conduct of the affairs of the Institute, resulting into conflict and compromise of institutional interest and directly or indirectly affecting the prospects of the Institute and pass on undue personal or professional benefits in tangible or intangible manner to own-self / family / relatives / friends or organizations or business and non-business entities in which the undersigned have personal and vested interests.
- c) refrain from accepting any such assignment / hospitality and bring it to the notice of the competent authority, where there is

a possible conflict with the institutional interest and result into personal or professional benefits in direct or indirect manner.

- d) refrain from serving on the committees / forums / platforms / bodies etc., along with the family members / relatives / entities in the conduct of Institute affairs / public affairs such as Administrative / Admissions / Professional works / Academic and Research activity etc.
- e) refrain from participating in any official capacity on professional matters of family members / relatives / organizations, etc.

Signature

Place:                      Name of Individual / Representative of the entity:

Date:                      Designation:

## 22. Link to R&D forms

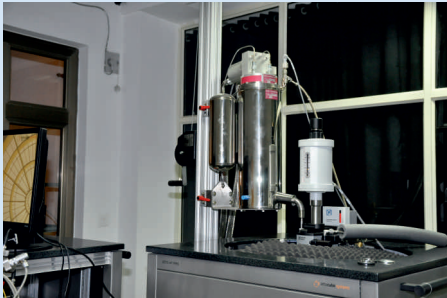
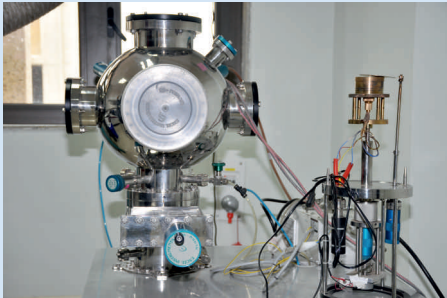
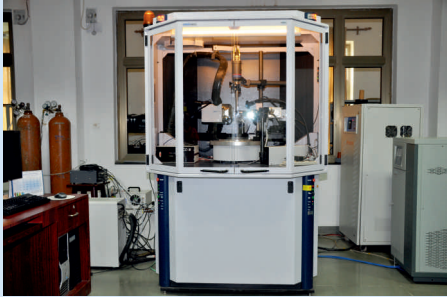
Sl.	Form	PDF version	Word version
1	Declarations by PI (s) and Salient features of MOU	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Annexure_1_MOU.pdf">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Annexure_1_MOU.pdf</a>	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Annexure_1_MOU_hindi.doc">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Annexure_1_MOU_hindi.doc</a>
2	Approval of Advertisement and Selection Committee		<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/301aprovalselection.doc">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/301aprovalselection.doc</a>
3	Joining Report		<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/R&amp;D_Form_306.doc">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/R&amp;D_Form_306.doc</a>
4	New Project Forwarding Form	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/ProjectForwardingForm_19-5.pdf">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/ProjectForwardingForm_19-5.pdf</a>	
5	Leave Application	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/R&amp;D_Leave_Application.pdf">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/R&amp;D_Leave_Application.pdf</a>	
6	New Project Registration Form	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/ProjectRegistrationForm.pdf">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/ProjectRegistrationForm.pdf</a>	
7	Report of the Selection Committee		<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/302Report_selection.doc">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/302Report_selection.doc</a>

8	Request of Ad-hoc Appointment		<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/305ad-hoc.doc">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/305ad-hoc.doc</a>
9	Request for Extension of Appointment in Project		Request for Extension of Appointment in Project
10	Dependent Details		<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Dependent.doc">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Dependent.doc</a>
11	CDEC/EDEC	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/scan0271.pdf">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/scan0271.pdf</a>	
12	I-CARD	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/I-CARD.pdf">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/I-CARD.pdf</a>	
13	Specimen agreement copy	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/SAMPLE_AGREEMENT.pdf">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/SAMPLE_AGREEMENT.pdf</a>	
14	Biodata Form		<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/biodata.doc">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/biodata.doc</a>
15	Leave Encashment Form		<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/leave_encashment.doc">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/leave_encashment.doc</a>

16	Bank details- Current Account	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/R&amp;D_BANK_DETAILS.pdf">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/R&amp;D_BANK_DETAILS.pdf</a>	
17	MOU Form		<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/MOU_form_29-7-15.docx">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/MOU_form_29-7-15.docx</a>
18	Details to be Enclosed with Requisition for Payment (Honorarium Remuneration) to a Non-Resident Individual	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/DETAILS-FOR-FORM-15-CA-&amp;15-CB.pdf">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/DETAILS-FOR-FORM-15-CA-&amp;15-CB.pdf</a>	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/DETAILS-FOR-FORM-15-CA-&amp;15-CB.docx">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/DETAILS-FOR-FORM-15-CA-&amp;15-CB.docx</a>
19	Exemption for Donation to IISERB u/s 80(G) of I.T Act.	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/80G_Approval.pdf">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/80G_Approval.pdf</a>	
20	Sample MoU	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/sampleMoU.pdf">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/sampleMoU.pdf</a>	
21	Bank details- Savings Account	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/SBI_Saving_Bank_Details_R&amp;D.pdf">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/SBI_Saving_Bank_Details_R&amp;D.pdf</a>	
22	No Dues Form	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/NoDuesForm_">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/NoDuesForm_</a>	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/NoDu">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/NoDu</a>

		Emp_RnD.pdf	esForm_Emp_RnD.doc
23	Requisition for payment of Remuneration / Honorarium for project staff	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Honorarium_Form.pdf">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Honorarium_Form.pdf</a>	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Honorarium_Form_hindi.doc">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Honorarium_Form_hindi.doc</a>
24	Bank details for DST-SERB Projects	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Bank_Account_for_SERB.pdf">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Bank_Account_for_SERB.pdf</a>	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Bank_Account_for_SERB_hindi.docx">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Bank_Account_for_SERB_hindi.docx</a>
25	Approval Form for International Conference	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Approval_form_for_International_Conference.pdf">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Approval_form_for_International_Conference.pdf</a>	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Approval_form_for_International_Conference_hindi.doc">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Approval_form_for_International_Conference_hindi.doc</a>
26	Consultancy Projects Advance Approval Form	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Consultancy_Projects_advance_approval_form.pdf">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Consultancy_Projects_advance_approval_form.pdf</a>	<a href="https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Consultancy_Projects_advance_approval_form.docx">https://web.iiserb.ac.in/prabandhak/assets/forms/R&amp;D/Consultancy_Projects_advance_approval_form.docx</a>







**अनुसंधान एवं विकास कार्यालय**

***Office of Research & Development***

**भारतीय विज्ञान शिक्षा एवं अनुसंधान संस्थान भोपाल**

**Indian Institute of Science Education and Research Bhopal**

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