<table>
<thead>
<tr>
<th>Sl.No</th>
<th>Title</th>
<th>Page No.</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Introduction</td>
<td>1</td>
</tr>
<tr>
<td>2</td>
<td>Vision And Mission</td>
<td>2</td>
</tr>
<tr>
<td>3</td>
<td>Objectives</td>
<td>3</td>
</tr>
<tr>
<td>4</td>
<td>Relevance of Consultancy &amp; Sponsored Research</td>
<td>4</td>
</tr>
<tr>
<td>5</td>
<td>Organizational Structure And Duties Of The Centre For Research And Development</td>
<td>5</td>
</tr>
<tr>
<td>6</td>
<td>Definitions</td>
<td>6</td>
</tr>
<tr>
<td>7</td>
<td>Sponsored Research</td>
<td>8</td>
</tr>
<tr>
<td></td>
<td>7.1 Project Proposal</td>
<td>8</td>
</tr>
<tr>
<td></td>
<td>7.2. Project Implementation</td>
<td>9</td>
</tr>
<tr>
<td></td>
<td>7.3 Appointment Of Project Staff</td>
<td>9</td>
</tr>
<tr>
<td></td>
<td>7.4. Principal Investigator Roles and Responsibilities</td>
<td>11</td>
</tr>
<tr>
<td></td>
<td>7.5 Purchases (Equipments)</td>
<td>12</td>
</tr>
<tr>
<td></td>
<td>7.6. Contingency and Consumables</td>
<td>14</td>
</tr>
<tr>
<td></td>
<td>7.7. Travel</td>
<td>15</td>
</tr>
<tr>
<td></td>
<td>7.8. Overhead charges</td>
<td>17</td>
</tr>
<tr>
<td></td>
<td>7.9. Advances</td>
<td>17</td>
</tr>
<tr>
<td></td>
<td>8.0 Maintenance Of Stock Registers</td>
<td>18</td>
</tr>
<tr>
<td></td>
<td>8.1 Project reports and statement of expenditure &amp; Project closure</td>
<td>18</td>
</tr>
<tr>
<td></td>
<td>8.2. Ethical Clearance</td>
<td>19</td>
</tr>
<tr>
<td>8</td>
<td>Consultancy</td>
<td>20</td>
</tr>
<tr>
<td></td>
<td>8.1 Approval for Undertaking Consultancy</td>
<td>20</td>
</tr>
<tr>
<td></td>
<td>8.2 Terms and Conditions for Undertaking Consultancy</td>
<td>20</td>
</tr>
<tr>
<td></td>
<td>8.3 Project proposal</td>
<td>21</td>
</tr>
<tr>
<td></td>
<td>8.4. Budget Distribution and terms of payment</td>
<td>22</td>
</tr>
<tr>
<td></td>
<td>8.5. Implementation of the Consultancy Project</td>
<td>22</td>
</tr>
<tr>
<td></td>
<td>8.6. Reports and accounts</td>
<td>22</td>
</tr>
<tr>
<td></td>
<td>8.7. Disputes and Arbitration</td>
<td>23</td>
</tr>
<tr>
<td>9</td>
<td>List of funding agencies</td>
<td>24</td>
</tr>
<tr>
<td></td>
<td>Annexures</td>
<td>25</td>
</tr>
</tbody>
</table>
1. INTRODUCTION

Annamalai University made a humble beginning with few departments in the year 1929. In course of time, Annamalai University made a significant strides in all spheres of education viz., teaching, research and extension. Now Annamalai University looks majestic being one of India’s largest public residential universities with 10 Faculties and 49 departments of study. Annamalai University has become education and research hub of the country and a force to reckon with. It has attracted students far and wide not only within India as well from outside to have their higher qualifications. Further, noticing rich diversified research expertise available in single campus has attracted host of companies and institutions to have a tie up to do cutting-edge research at the frontier of science and engineering. The Annamalai University provides ambient atmosphere and go long way in promoting research culture among the faculties as well to the external people who seeks help from the university to take up collaborative research. This has brought in big transformations wherein research activities are in full swing in all the ten faculties. The output of research activities by the faculties have been so phenomenon that the in eyes of various ranking agencies which categories the university based on research and publications has placed Annamalai university as one of the best universities in India.

In order to encourage to take up basic and applied research and transfer of sound technology to the needy people and to be facilitator for the conduct of research in the University and to be bridge between funding agencies and principal investigators, a Centre for Research and Development was established in the year 2014. The centre works in a vibrant manner and looks after the research activities carried out in the university.

The regulations have been framed to systematize procedures to facilitate research and development (R & D) activities that would help generate resources, establish national and international collaborations, foster academy-industry interaction, address issues of social and national relevance, spawn inventions, extend service to social organizations, lead to value addition for faculty and students in the academic world, and most importantly, provide visibility for the University in academic and R & D activities.
2. VISION AND MISSION

VISION STATEMENT
To be the premier research-intensive university to serve the societal needs and nation

MISSION STATEMENT
Inculcate a culture of research and innovation on the campus to be centre of excellence for research and development
3. **OBJECTIVES**

The objectives of promoting University consultancy and sponsored research project in the University are

- Encourage Faculty members to undertake projects that serve to advance knowledge, address societal needs, integrate applied knowledge for teaching, generate data for research, and stimulate innovation.

- Affirm policies for sponsored research and consultancies.

- Address potential conflicts of commitment between primary academic duties of the faculty and consultancy activities.

- Safeguard the intellectual property of Annamalai University and its Faculty.

- Inculcate Good Research Practices (GRP) based on scientific integrity and research ethics.
4. RELEVANCE OF CONSULTANCY & SPONSORED RESEARCH

In addition to offering several kinds of traditional and professional education programmes by the University, sponsored research and industrial consultancy are two essential important modes through which it train teachers capable of inspiring the next generation of engineers, scientists and researchers and supports the activities contributing to the development of knowledge and technology. In the present times of continuous innovation and fast changing technology the curriculum must also be updated continuously to keep pace with time and research and consultancy projects help the faculty to remain in organic contact with the technological change. Thus, the activities of sponsored research and industrial consultancy have become an essential part of the activities of the academic institutions and their teachers. Such projects also help the Institute and concerned faculty member in enriching the professional experience and knowledge base and in disseminating the research findings. This channelize much coveted resource generation for the university. Operation of diversified research projects helps in university strength and sustainability through capacity building. Human resources generation is on the unveil by associating the students with the projects at masters and doctoral levels. Advances in science and engineering increasingly require the collaboration of scholars from various fields and thus promotes interdisciplinary activities which benefits the scholars and faculties. Historically, this University was set up to cater to the developmental needs of the society and industries. The University being multi faculty has a well-recognized core competence in traditional subjects and professional courses like engineering, agriculture and medicine and its benefit is harnessed for the industrial and economic growth by extending consultancy services.
5. ORGANIZATIONAL STRUCTURE AND DUTIES OF THE CENTRE FOR RESEARCH AND DEVELOPMENT

The Centre for Research and Development of AU will be headed by the Director nominated from among the senior Professors by the Vice-Chancellor. The tenure of the Director shall be for a period of three years. The Directorate will be located in the prominent location in the University provided with sufficient infrastructure amenities.

An Executive Committee comprising twelve members of AU representing different faculties shall assist the Director. The director, the Chairperson of the Executive Committee shall convene a meeting of the committee once a month or as and when necessary. A Research Advisory Council consisting of 20 members shall meet twice a year to analyse the policies and programmes of the Directorate of Research. The Vice-Chancellor shall be the Chairperson of the advisory Council with the Director as its Member-Secretary, Deans of all Faculties, Four members co-opted from the Executive Committee as the ex-officio members and four representatives from a Research Institution /Industry/ NGOs/Community as members.

1. The Directorate of Research & Development will have the following functions
2. Facilitate Sponsored Projects and Consultancies.
   - Information dissemination about call for proposals
   - Aiding the Researchers to identify the right funding agency
   - Assisting the individuals to understand the procedures
4. Assess progress of projects if any flaw in operation is pointed out by the funding agency.
5. Assess progress of Consultancies
6. Create database on funding agency and disseminate the information
7. Bring out brochures and newsletters on training programmes, research output of faculty and consultancy activities.
8. Establish Ethical Committees.
9. Assist in signing MoUs, file patents and establish IPRs.
10. Foster Academy-Industry interaction.
11. Involve Scientists from research Institutions and industries in the academic programmes and curriculum development.
12. Ensure Quality of research.
6. DEFINITIONS

Project
It refers to sponsored research projects or industrial consultancy projects or routine testing projects.

Sponsored R & D Projects
They are those sponsored wholly or partially by Government, public, private, national, international agencies and autonomous bodies. These cover technical expertise, basic science, process design and process modelling and simulation, application of computational methods, software development, engineering/production/fabrication of product for testing/trials/ evaluation or testing of products/creation of infrastructural facilities etc. These could also be in advanced areas of research resulting in up scaling, technology transfer, and generation of intellectual property.

Grant-in-aid R&D Projects
They are those funded by government departments and international bodies for supporting basic or applied R&D, creating new facilities, providing infrastructure, conducting surveys, maintaining large, nationally important R & D groups, generating databases, and developing material/data repositories. Synonymous with Sponsored Project.

Consultancy Projects
They are projects sponsored by industry/ organization within mutually agreed scope. This involves assistance in solving specific problems or performing a specific task in return for pecuniary consideration. These could be both Research and Development (R & D) and knowledgebase projects

Technical Services
It refers to those services for which the rates are fixed by the department. The concerned Head of the Department will be the PI.

Sponsor
It means the organization that offers a Project to the investigator and provides necessary financial support for successful completion of the project in time.

Client
It refers to an industry/organization that sponsors a consultancy project

Principal Investigator (PI)
He is a member of the faculty of the University with expertise and competence to conduct research projects. An Emeritus Professor may also be the PI

Principal Consultant (PC)
He is a member of the faculty of the University with expertise and competence to conduct consultancy work

Co-Principal Investigator / Co-Investigator
He is a person co-opted by the Principal Investigator from amongst the faculty within AU or from other institutions to work jointly with him/her.

Project Staff
It means a person appointed on contractual basis in conformity with the guidelines to work on a project.
Memorandum of Understanding (MoU)/ Memorandum of Agreement (MoA)

It is a document containing clauses for undertaking research projects and signed by both partners, i.e. Annamalai University and National/International Agencies/Industry/NGOs/Academic & Research Institutions.

Dean

It means Dean of the concerned faculty to which the investigator belongs.

Department

An academic department is a division of a university devoted to a particular academic discipline.

Director of Research

It means a member of the faculty who monitors project proposals and progress.
7. SPONSORED RESEARCH

7.1. PROJECT PROPOSAL

R&D Project Format:
- The project proposal shall adhere to the format prescribed by the concerned funding agency.
- If collaboration with other institutions/organizations is envisaged, the nature, duration, and financial implications shall be indicated.
- The PI should state clearly if any extra space is required for the project. The Head of the Department will certify the feasibility of carrying out the project within the existing space or availability/non-availability of extra space.

Terms and Conditions for NGO-Sponsored Projects

If the project is sponsored by a non-government agency, the following documents shall be attached with the proposal:
- A statement on terms and conditions including patent rights and royalties.
- If a MoU is to be signed, the exact terms and conditions shall be specified.

International Projects

There is an increasing interest in the utilization of Annamalai University’s knowledgebase/expertise by foreign clients.

A Foreign Client is deemed to be
i) A juridical entity registered/situated outside India
ii) A company registered in India with more than 50% equity holding by foreign entity.
iii) All UN and World Organisation/Bodies such as UNDP, UNIDO, UNESCO, UNU, World Bank, IUCN, MFF, UNEP-GEF etc.
iv) NRI client seeking to utilise/exploit knowledgebase of Annamalai University abroad.

If the grant application is being sent to a foreign agency prior permission shall be obtained from the Government of India before submitting the proposal. The PI should submit the proposal under the agreement for security and sensitivity clearance in the prescribed format.

The Government of India guidelines/instructions on the subject (vide O.M. No.1/116/5/98-TS-dated 21 Dec., 1999) specifies all projects involving foreigners/foreign collaboration in any form need a first level scrutiny from security and sensitivity angles by the concerned Ministry for clearance by the Secretary of the concerned Ministry/Department or a High-Level Committee of the Govt. of India depending upon the nature of the project.

All proposals for undertaking projects involving foreigners/foreign collaboration by AU should obtain security and sensitivity clearance of Competent Authority after due diligence and scrutiny by the Head of the Department, Dean of the Faculty, and Director of Research/Registrar.

Before forwarding the project to the funding agency it is important to examine aspects of redundancy, intellectual property, and ethics. It shall be ascertained whether the equipment requested is already existing within the department/Central Instrumentation facility.

Strict confidentiality will be maintained at all levels, in scrutiny of proposals to protect the intellectual property of the PI.
All project proposals shall be forwarded through the Head of the concerned Department, Dean of the respective Faculty, the Director of Research and Registrar

In case of Consultancy, Testing and Training, a copy of all the documents such as work orders, budget etc. received from the organization/ Industries by the faculty belonging to the Department should be sent to the Director through proper channel

7.2 PROJECT IMPLEMENTATION

Project Sanction

Once the project is sanctioned by the funding agency, the PI shall send a copy of the sanction letter indicating the total amount sanctioned and the break up into different expenditure heads. The funds are generally sent to the Registrar by the funding agency. If the PI receives the cheque, it shall be immediately dispatched to the Registrar. Order for implementation of the project shall be given to the PI by the Registrar.

Project Start Date

The date of commencement of the project is normally the date of receipt of the cheque for the first instalment/date of receipt of the financial sanction of the project fund from the funding agency.

Project code Number

After the project is sanctioned, a Project code Number (PCN) will be assigned. A copy of the implementation order with the PCN will be sent to the PI. This PCN will be used by principal investigator for all administrative and financial dealings after the project is sanctioned. The project code number is unique which is linked to type of funding agencies

7.3 APPOINTMENT OF PROJECT STAFF

Attempts shall be made to hire suitable Project Staff as soon as possible

Advertisement

Wide publicity shall be given for appointment of project staff by the concerned principal investigator in print media, circulated to various Universities and research institutions as well as in university website and professional websites giving detailed information on essential and desired qualification, salary and perks and duration of project. (as per the requirement of the Funding agency).

A minimum of fifteen days shall be provided before selection procedure is set in motion

Appointments for less than 6 months need not be advertised.

Minimum Qualifications and Emoluments

Generally, grant agencies specify the minimum qualifications for the sanctioned positions and these shall be adhered to. If the minimum qualifications are not indicated, Annamalai University or Govt. norms shall be followed

The emoluments for Project positions are subject to change and the latest revised scales specified by the grant agency may be followed. Project staff are entitled to House Rent Allowance (HRA) if the funding agency has sanctioned the same
The minimum qualifications for the project personnel will be as prescribed by the Funding agency. The qualification for Field / Project / Technical Assistants shall be decided by the PI.

**Selection Procedure**
Project Staff selected based on regular advertisement / circular can be employed for the Entire project / consultancy period
The procedure to be followed shall be as follows
1) The candidates, if necessary after a preliminary short listing and written test, would be Interviewed by a Selection committee (according to the norms laid down by the funding agency) constituted as follows:

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<tr>
<th>S. No.</th>
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<tbody>
<tr>
<td>1</td>
<td>Head of the Department</td>
<td>Chairperson</td>
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<td>2</td>
<td>One Professor from the Department nominated by the Vice-Chancellor</td>
<td>Member</td>
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<tr>
<td>3</td>
<td>Subject Expert – Other Department / Institute</td>
<td>Member</td>
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<tr>
<td>4</td>
<td>Principal Investigator</td>
<td>Convener</td>
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<tr>
<td>5</td>
<td>Co-Investigator (if any)</td>
<td>Member</td>
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2) Interview
- The date for the interview shall be fixed in consultation with the members of the Selection Committee.
- The interview letters must be mailed to the candidates well in advance.
- The Subject Expert (external member) shall be paid TA/DA and sitting fee as per University norms from the project funds.
- Project Staff admitted to M.Phil. /Ph.D. programme will be governed by both the Projects and M.Phil. /Ph.D. ordinances.
- After the interview, the Minutes of the Selection Committee meeting shall be sent to the Registrar with the following details:
  a) Name of the post
  b) Number of candidates called for the interview
  c) Number, names, and qualifications of the candidates who appeared for the interview
  d) Name of the candidates) selected for the post(s) and the emoluments.
  e) Wait-listed candidates
- The Committee may also recommend if the candidate can register for M.Phil./Ph.D. if he/she fulfils the admission requirements of AU

3. **Appointment order stipulations**
- The appointment of all Project Staff shall be on contract basis, and the letter should indicate the duration, and the terms and conditions of the appointment. Furthermore, it
shall be made clear that the appointment is purely temporary and no claim may be made for regular appointment.

- The term of appointment shall be for a maximum period of one year at a time or until the end of the project, whichever is earlier.
- All the terms and conditions for the appointment of the project staff shall be indicated in the contract agreement entered into between the PI and the selected candidate in the format prescribed in Annexure-1. The appointment may be extended at the end of one year based on the performance of the project staff.
- Project Staff who want to be relieved in the middle of the project work with genuine reason, shall submit resignation to the Registrar through the PI.
- Services of the project staff may be terminated by the PI if the performance is not satisfactory.
- The payment of salary to project staff starts from date of he/she joining the project scheme
- The appointment order for the project staff will be issued by the Registrar on the recommendation of selection committee
- The appointee should be employed only in one project

4. Conduct Rules
- The Project Staff shall maintain all records meticulously and confidentiality of the scientific/technical information and shall not divulge any information concerned with the project.
- Project Staff shall follow the general code of conduct and discipline laid down by the department and Annamalai University
- The Project Staff may be terminated on grounds of indiscipline, dereliction of duty or misconduct on the recommendation of the PI, Co-PI and HoD

5. Leave Rules
- All Project Staff are entitled to 12 days casual leave per year
- Women Staff are eligible for Maternity Leave of 135 days only if they have been appointed on the project for more than a year.
- A leave register and an attendance register shall be maintained by the PI.
- An attendance register shall also be maintained in the concerned department.

7.4. PRINCIPAL INVESTIGATOR ROLES AND RESPONSIBILITIES
- The Principal Investigator (PI) is charged to conduct objective research that generates independent, high quality, and reproducible results
- The Principal Investigator is responsible for the management and integrity of the design, conduct, and reporting of the research project and for managing, monitoring, and ensuring the integrity of any collaborative relationships.
- Principal Investigator is responsible for the direction and oversight of compliance, financial, personnel, and other related aspects of the research project and for coordination with department and administration personnel to assure research is conducted in accordance with university and sponsoring agency policies and procedures
- In the absence of the PI, whenever needed, the Co-Principal Investigator / Co-Investigator will undertake the responsibility of running the project as per the advice of the Vice-Chancellor.

- Emeritus Fellows may be appointed as PIs if the sponsoring agency does not have any objection. However, they will be required to have a Co-Investigator, who is a permanent faculty in the University.

- Retired faculty shall not claim laboratory space on par with existing faculty. They shall share laboratory space with the Co-Investigator or a common facility.

7.5. PURCHASES

- The procedures laid down by the University shall be followed for all purchases. This will include rules for e-tendering and Rules framed by the Tamil Nadu Transparency in Tenders Act 1998 (TNTT) (Tamil Nadu Act No. 43 of 1998) for tendering, evaluation and acceptance of the tender including possible exemptions under this Act such as single source of supply, proprietary items, low value purchases etc.

- A fast track process shall be followed for processing requests for purchases.

- The Purchase Committee duly constituted by the Vice-Chancellor with the Director of Research as the Chairperson shall meet twice a month for project related purchases.

- Purchase of Equipment shall be based on the University norms.

- Purchase of Consumables and Equipment shall be based on Rate Contracts approved by the University. A list of companies approved by AU from which items may be ordered can be obtained from the Grants Section. This list will be reviewed each year.

- The form for procuring items in the Rate Contract may be obtained from the concerned section in the University. It is important to fill in the dates of ordering and receiving items in the order form to have a permanent record of the purchase process.

- If there is any necessity to purchase Consumables and Equipment urgently under Rate contract system, PI may be allowed to place orders directly up to Rs. 10,000/- per annum for each project either in one instance or two instalments. Payment can be made by the PI out of the advance drawn by him and for settlement, the usual procedure has to be followed. However, for orders worth more than the above mentioned amount, necessary orders have to be obtained from the University before placing orders.

- Orders for Equipment/Consumables in the Rate Contract shall be placed within a week and the same notified to the PI.

- If the item is proprietary, and available with only one company, a certificate to that effect shall be produced.

- Purchase of Equipment below Rs. 10 lakhs will involve a limited tender. The date of validity of the quotation shall be at least one month after the date of the Purchase Committee. If the item selected by the PI is not the lowest priced, a note justifying the purchase must be included.

- Fresh quotations need not be called for if a repeat order is to be made of an item purchased through the Purchase Committee of Annamalai University within the last
six months or up to the duration during which the company agrees to supply for the same rate

- Purchase of Equipment and consumables above Rs. 10 lakhs will involve Open Tenders. This shall be publicized through national dailies with wide circulation and also through Annamalai University website

- While calling for tenders, the price of the equipment, transportation charges F.O.R. Annamalainagar, installation charges, cost of additional components if any required for the commissioning of the equipment shall be mentioned. The University will not accept the charges other than those mentioned in the tender after the commissioning of the equipment.

- Orders for Equipment and Consumables will normally be placed with the supplier whose quotations are the lowest unless the PI justifies an alternate supplier for technical reasons

- While purchasing Equipment, provision shall be made to include comprehensive Annual Maintenance Contract for a period of 3-7 years as well as Insurance

- Commissioning and Installation of Machinery/ Instruments: The contingency amount may be used for civil/ structural/ electrical work in connection with commissioning and installation of equipment purchased in a project. This expenditure shall be envisaged while drafting the research proposal and duly incorporated in the budget estimate

**Payment for Imported Items**

- Payments for the purchase of imported equipment shall be made in Indian currency. If payment is mandated only in foreign currency, then the same may be done based on the current foreign exchange rate fixed by the Reserve Bank of India.

- Payment for imported items can be made by Advance Draft, Letter of Credit, or Sight Draft or Wire Transfer

- Advance Draft made to foreign suppliers by the bank will require the following documents: A-1 form, A-2 form, Proforma Invoice, Letter addressed to the Bank. Advance payments must be minimised as the original documents (Bill of Entry, wrappers, and invoice) are received only later.

**Letter of Credit**

The following documents should be submitted to the bank for opening a letter of credit:

(i) Letter of request to the bank to open an LC.
(ii) Purchase Committee approval for equipment
(iii) Signed Agreement on a non-judicial paper between the bank and Annamalai University
(iv) Proforma Invoice.

**Sight Draft**

- This is issued by the bank only after the goods are received from the suppliers and is therefore the best mode of payment. The following documents are to be submitted:
[4] Invoice
[5] Bank Notice
[7] Letter to the bank (Annexure-2)
[8] Purchase Committee approval for equipment.

Customs Clearance
- For items that are imported, the supplier or the agent will provide details of the cargo arrival notice containing the Airway Bill Number (AWB No.) of the shipment, flight number, date of arrival, Cargo agent to be contacted for delivery order, and final invoice. The following documents have to be provided to the Customs Clearing Agent of Annamalai University who will clear the consignment:
  [1] Cargo arrival notice
  [3] Invoice
  [5] Authorization from the bank if the payment is through sight draft or letter of credit.

Demurrage Charges
- It is important to clear the shipment from customs as soon as possible to avoid demurrage charges.
- In the event of a demurrage charge being levied due to a delay in customs clearance, a special request to condone the demurrage has to be made by the PI to the Registrar explaining the reasons for the delay.

7.6. CONTINGENCIES
- Contingency amount refers to the money set aside to cover any unforeseen expenses of the project. Contingency expenses are required because any project can face an uncertainty because of which certain costs are incurred.
- It includes the purchase of the following
  a) Payments for services rendered by other laboratories/institutions.
  b) Local hospitality, accommodation and hospitality expenses for visiting scientists and review teams
  c) Membership fee for Professional Societies and journal subscriptions
  d) The PI/Project Staff can claim registration fee for conferences/workshops from the contingency by producing documentary evidence.
  e) Acquisition of books and documents of relevance to the research topic in case these are not available in the library (These would become the property of the Institution Library and after purchase and accession may be issued to the Department/Scientist till they are needed.)
  f) test materials (plants, animals), photography
  g) Unforeseen expenditure likely to be incurred
CONSUMABLES
- Consumables (also known as consumable goods, non-durable goods, or soft goods) are goods that are intended to be consumed and consumers (project people) use recurrently.
- It includes the following
  a) Stationary (Paper, cartridges, Pen drive, CD's, Files)
  b) Typing of research reports including preparation of the final report
  c) Publication charges/reprints/off-prints of research papers published as an outcome of the research
  d) Computer utilities, charges for analysis of data (computer charges)
  e) Communication charges (postal expenses for publication and progress reports).

7.7. TRAVEL
- Project Investigators and consultants are permitted to visit on field work, attend meetings conferences, seminars and workshops within the country with prior permission by the University authorities on the recommendation of the HOD, Dean and Director Research
- The request for travel by the project staff should be submitted to the Head of the Department concerned through PI, prior to take up the travel.
- In case of emergency, the PI may attend workshops/ conferences/ review meetings/and any project related activities with intimation to the authorities
- If the projects involve cruises as in Marine Sciences, prior permission is mandatory.
- PIs are permitted to utilize Travel Grant for field work, to attend review meetings, conferences, seminars, and workshops and project related activities subject to the guidelines laid down by the funding agency.
- The principal investigator of projects must take care that the total expenditure for travel shall not exceed the amount, allotted under this head in the project.
- The most expeditious and convenient mode of travel shall be used to minimize the period of absence from work
- All travel related to projects will be treated as on duty. All travel related to consultancy and testing will be treated as special casual leave to which the faculty member/staff is entitled.

Travel Allowance
- Travel Allowance (TA) and Dearness Allowance (DA) shall be paid as per University norms for the following:
  o PI
  o Co-PI / Co-Investigator
  o Subject Expert in the Selection Committee
  o Project Staff
  o Ph.D. students working on the project.

Mode of Travel
- By Train: 2-tier A.C. for the PI, Sleeper Class for Staff and Students working in the project (Ticket to be produced).
- **By Air:** The PI shall be permitted airfare as per eligibility subject to the availability of funds and approval by the Vice-Chancellor. Boarding passes shall be produced as evidence of air travel.

- Air Travel is permitted for Project Staff if the work is to be carried out in far away places like Andaman, Nicobar or Lakshadweep islands, North East India or Jammu & Kashmir

- If international travel is allowed by the funding agency, per diem shall be granted for the days spent overseas as specified by Govt. of India norms. Boarding passes shall be produced as evidence of air travel. Visa and insurance charges are also permissible. If the flight ticket has been booked through a travel agent, Service charge may be claimed.

- Air Travel is permitted for Project Staff for attending conferences or undertaking research work in overseas labs with the approval of the funding agency and the PI.

- **By Road:** Bus Fare (Ticket to be produced) /Taxi fare may be permitted, as per University rules, provided trip sheets with vehicle number and toll gate receipts, if any, are produced as evidence of travel

- For field visits, if the journey commences from Chidambaram, Written permission to hire a vehicle should be obtained from Director Research before the journey.

- The DA settlement will be as per the guidelines of the government

**Accommodation**

- Will be reimbursed for actual expenses on production of receipts subject to a maximum as prescribed by the government for A class cities and other places

- Boarding expenses and other incidental charges are to be kept at reasonable limit based on place of visit

- For project staff, the accommodation expenses Rs 300/- per day lump sum OR Actual (Printed bills to be furnished) subject to a maximum of Rs750/- for A class cities and Rs 500/- for other places

- The DA settlement for the project staff will be 2/3 of sleeper class train fare as lump sum.

- Boarding expenses and other incidental charges for project staff Rs 300 per day

**Number of Days**

- The number of days should be informed to The Registrar in the advance letter and a written permission should be obtained.

**Advance for TA/DA**

- When an advance for travel is required, it should be specifically mentioned in the TA/DA approval request (annexure 3) and in the case of Air Travel a copy of the proforma invoice for air fare /e-ticket should be enclosed.

- If the mode of travel is higher than the eligible class, investigator/consultant/project staff should furnish justification for the same and obtain approval of the Registrar/Vice- Chancellor.

- The travel should be performed during the Projects/ consultancy tenure
Registration Fee
- When registration fee is payable documentary evidence, i.e. conference brochure should be enclosed
- The project investigator/consultant make payment of registration fee directly and claim reimbursement later producing the documentary evidence

Settlement of Final Claim
- The final TA/DA claim should correspond to the original approval of the University authorities
- If mode/class of travel is higher than the eligibility, investigator/consultant has to submit, with the claim, the approval of Registrar/Vice-Chancellor is justifying the same
- The travel should have been performed during the Project tenure.
- Sufficient funds should be available in the project and specifically under the "Travel" head in case of the sponsored project

7.8. OVERHEAD CHARGES
- This covers the expenses incurred by the University for providing infrastructure, maintenance, payment of utilities bills, and engaging staff for maintenance of project accounts.
- A separate account shall be maintained by Annamalai University for the Grants including Overhead charges received under sponsored research projects.
- The amount deducted as overhead charges will be in line with funding agencies
- In the case of private funded projects and private consultancy, overhead charges deducted will be 30% of the project cost

7.9. ADVANCES
- Advance will not be sanctioned for purchase of Equipment and Consumables
- PIs can however draw an advance for the day-to-day expenditure in running the project from the Contingency and Travel head of accounts. Advance may also be drawn for hiring services in the prescribed form available in the University section concerned
- If the actual expenditure incurred by the PI exceeds the advance amount, then the excess amount may be claimed by producing the vouchers/bills, provided there is sufficient balance remaining under the respective head of account.
- Fresh advance will not be sanctioned normally unless the bills for the previous advance are settled.
- Bills that are submitted must be pre-receipted with a Revenue Stamp affixed if the amount is for more than Rs. 5000/-and the payment is made directly to the company / person
- For reimbursements, a cash memo shall be produced.
- The contingent bill together with the pre-receipted vouchers/bills duly signed by the PI and the Head of the Department shall be forwarded to the Registrar for payment to the concerned company
Advance Adjustment
- The advance drawn shall be settled within 2 months. Failure to do so may result in the amount being deducted from the salary of the PI.
- Adjustment of advance received towards meeting the day to day expenditure in running the project shall be made by using the prescribed format available in the University section concerned.
- This must be accompanied by vouchers duly signed by the PI with the stock entry noted on the vouchers
- Vouchers for hospitality should indicate the number of persons to whom hospitality was extended and the amount spent per member.
- Vouchers for hospitality should indicate the number of persons to whom hospitality was extended and the amount spent per member.
- The vouchers shall be arranged in chronological order. A statement of expenditure and head wise must also be filled. The Adjustment Bill must be signed by the PI and Head of the Department and forwarded to the Registrar for adjustment
- Any procedural objections to bills submitted by the PI for clearance such as errors, omissions, etc. shall be notified in a single note and reverted to the PI within 2 weeks
- Bills which are in order shall be cleared by the Grants and Finance Sections within 3 weeks of submission. The PI should report to the Director of Research/Registrar if bills are not cleared within the stipulated time
- All note-sheets/bills of purchase sent to the Finance Section shall be duly acknowledged

8.0 MAINTENANCE OF STOCK REGISTERS
- All purchases must be entered in the stock register of the department only after physical verification and then issued to the respective PI.
- The PI shall maintain separate stock registers for equipment, consumables and contingencies
- Each item purchased shall be recorded on a separate page with details including date of purchase, bill number, description of the item, quantity (if applicable), unit price and total price including discount and taxes.
- Physical verification of stock shall be conducted at least once a year by the Head of Department and reported to the Finance Officer

8.1 PROGRESS REPORTS AND STATEMENTS OF EXPENDITURE
Annual Reports
- The PI shall submit the Annual Progress Report together with the Statement of Expenditure and Utilization Certificate within 30 days after the financial year end (30thApril) or as and when required by the funding agency
- The Finance Office shall verify the accounts and return the same to the PI within two weeks together with a forwarding letter for onward transmission to the funding agency
- The audited statement of accounts shall be submitted to the funding agency after verification.

Final Reports
- The Final Progress Report and the Accounts Reports shall be submitted within 3 months of completing the project or as and when required by the funding agency in the format prescribed by the respective funding agency.
- Any discrepancy in the financial aspects shall be immediately settled.
- The financial aspects shall be verified by the Local Fund Audit of the University and the audited accounts submitted to the funding agency.
- One copy of the Final Technical Report should be retained by the respective PI and should be lent to the Head of the Department whenever required.
- The PI reserves the right to publish the data generated from the project unless the agreement with the sponsor requires prior permission or prohibits publication.
- The PI shall acknowledge the funding agency in the publications resulting from the project.
- All publications resulting from the project shall be intimated to the funding agency.

Project Closure
- The date of closure of research projects is as specified in the sanction letter.
- If extension of the project is necessitated, prior approval shall be obtained from the funding agency.
- A list of equipment purchased from the project fund and the consumables remaining after project completion shall be transferred to the department stock register.
- The Head of Department shall ensure that the list of permanent assets is entered in the stock register within four weeks of submission by the PI.
- After entry in the stock register, the items required by the PI shall be reissued and those that are not required taken to the stores.

Documents to Maintain
- Following documents will be maintained by P.I through his team members and produced for audit as and when required:
  a) Attendance Records. Attendance/site visit record of the P.I, members, staff etc. with man-hours spent during each visit.
  b) Stock Register: This Register shall be updated with record of purchase of all equipments, materials, all consumables, non-consumables items etc. and its warranty or guarantee and utilization.
  c) Travel Record Register. To record details of all expenditure incurred on travel.
  d) Correspondence File - For all correspondence since commencement.
  e) Record of Progress Report - Progress report submitted to client /funding agency.

8.2. ETHICAL CLEARANCE
- All projects involving use of all data and material relating to human subjects as well as laboratory animals must be approved by the appropriate Ethical Committees constituted by the University.
- The PIs and Project Staff shall follow the regulations stipulated by appropriate bodies for undertaking research. Annamalai University has constituted Institutional Committees to scrutinize and approve research proposals.
- The Institutional Animal Ethics Committee (IAEC) shall examine proposals involving research on laboratory animals.
- Project Staff engaged in scientific experiments on animals shall act in conformance with the provisions of the Prevention of Cruelty to Animals Act, 1960 and breeding of and experiments on animals (Control and Supervision Rules, 1998 Act amended). These provisions are enforced by the CPCSEA.
- Where research is being conducted in collaboration with another institution outside the University, the ethics policies of those institutions should be appended to any proposals to be considered by the Research Ethics Committee.
- The PI will be solely responsible for any legal issues that may arise in implementation of the project.

8 CONSULTANCY

Consultancy
- AU encourages faculty to undertake consultancy with industries and other extramural agencies to promote intellectual exchange, create synergies, spawn innovations and inventions, and extend their services to socially useful enterprise. However, while undertaking consultancy faculty members shall ensure that commitment to academic duties is not compromised.
- Consultancy involves professional assistance rendered to industries/organizations and includes scientific, engineering, and technical services, literature survey, preparation of evaluation reports, or other advice based on the knowledgebase/expertise of the individual/group.
- The faculty member who undertakes consultancy is designated as a Principal Consultant (PC).
- Consultancy may be Institutional or individual and is of three categories:
  a) Knowledgebase Consultancy, also known as Retainer Consultancy, involves providing advice without using University facilities.
  b) R&D-Based Consultancy for which University facilities are used (infrastructure, equipment, consumables).
  c) Technical Services that refer to services rendered to clients based on knowledge/expertise/technical skills/laboratory facilities and comprise the following: Testing and Analysis, Training, Fabrication, production and supply of special products for R&D, and supply of information/databases. These do not require advice or interpretation of results.

8.1 Approval for Undertaking Consultancy
- A request for consultancy services may be received either directly by the faculty or by the University.
- A Faculty member may undertake consultancy work only after obtaining permission from the Registrar (Annexure-4).
- Each request for consultancy will be examined based on the long-term benefit to the University and whether it will adversely affect the faculty member’s commitment to University duties. Due cognizance shall therefore be taken of his/her workload, qualifications and experience vis-à-vis the specific requirements of the consultancy as well as the honorarium likely to accrue before granting approval.
- Consultancies that involve use of departmental equipment and facilities shall require approval by the Head of the Department
- MoU with Industries, Governmental and Non-Governmental agencies may be established only on prior approval by the Vice-Chancellor. A specimen copy of an MoU is provided in Annexure 5

8.2 Terms and Conditions for Undertaking Consultancy
- Faculty members shall not undertake any consultancy that is likely to have an adverse effect on the reputation and integrity of the University
- Faculty members shall disclose all financial conflicts of interest before undertaking consultancy to facilitate review and resolution by the Executive Committee.
- Contractual agreements with clients shall be executed by AU and not by an individual or team of consultants
- The project work may be terminated by either party by giving the other party a notice period of 30 days. However, both parties will meet any residual obligations in connection with the project
- AU shall not be held liable for any loss, damage, delay or failure of performance, resulting directly or indirectly from any cause, which is beyond its reasonable control (Force Majeure).
- All rights pertaining to any intellectual property generated / created / invented during the course of the project, will be the joint property of AU and the Client
- The consultancy report is the technical opinion of the individual Faculty member, based on his/her expertise and does not reflect the views of Annamalai University.
- Any consultancy report given by the PC shall not be construed as a legal document, certificate or endorsement.
- Consultancy reports shall also not be used for marketing of products or processes, without prior consent from Annamalai University. Annamalai University shall however reserve the right to use the results of the project for teaching and research
- The consultants(s) shall take care to avoid any legal complications as a result of the consultancy
- The PC or the team of consultants shall be solely responsible for any legal issues that may arise from implementing the consultancy projects.
- A faculty member who takes up consultancy shall not spend more than one third of his/her time on consultancy, other two thirds being spent on teaching and research. In practice, the time spent by a faculty on Consultancy shall not exceed one day per working week at the rate of 5 working days per month.
- Annamalai University Faculty may be granted leave up to 10 days in a calendar year for work related to sponsored research and consultancy in addition to special casual leave.

8.3 Project Proposal
- The format for R&D based Consultancy Projects will essentially be the same as for sponsored research projects. However, the following shall be taken into consideration while estimating the budget:
  a) Cost of man-days of Project Staff
  b) Cost of consumables
  c) Equipment Cost (existing equipment may be charged as specified by University rules or new equipment either be provided by the client or purchased by the Consultant and charged to the client). Such equipment purchased shall be the property of the Department after completion of the project
  d) Cost of field work
  e) Contingency costs
  f) Travel Cost
  g) Overhead charges (varies with type of consultancy undertaken)
  h) Consultants Remuneration (Intellectual fee) - subject to the condition that the total annual income of the consultant(s) does not exceed 50% of the total emoluments in a year.

8.4 Budget Distribution
- From the total consultancy amount excluding travel cost and after deducting the service tax, the following distribution shall be made
  - For Knowledgebase (Retainer Consultancy)
    a) Overhead charges : 45%
    b) Remuneration : 55%.
  - For R&D-Based Consultancy
    a) Overhead charges : 30%
    b) Project Costs : 50%
    c) Remuneration : 20%.
  - For Technical Services (other than supply of information/databases):
    a) Overhead charges : 25%
    b) Equipment maintenance and running cost : 50%
    c) Remuneration : 25%.
  - If the Consultancy involves a team, the Executive Committee will decide the quantum of fee to be distributed between the Principal Consultant and other team members

Terms of Payment
- The client shall pay an advance of 50% of the total cost of project for Knowledgebase Consultancy and 100% for R&D Consultancy or as approved by the Research Committee.
- All financial transactions will be with the Registrar, Annamalai University through demand draft or cheque or e-transfer
8.5 **Implementation of the Consultancy Project**  
- The same principles laid down for Sponsored Projects will also apply for Consultancy Projects.

8.6 **Annual and Final Reports and Accounts**  
- On completion of the consultancy project, one copy of the report shall be submitted to the department and another to the University  
- The Principal Consultant shall submit periodic and final audited statements of accounts of the consultancy project  
- The Principal Consultant shall submit to the Registrar the project completion certificate and the statement of financial receipts from the client.  
- Complete details of the consultancy amount received by the faculty together with payment acquittance shall be submitted to the Finance Section through the Dean for Income tax purpose for each financial year.  
- From the earnings received by the Consultants, 10% Income Tax will be deducted when the total earnings of the PC exceeds the permissible amount fixed by the Govt. of India (I T undertaking to be enclosed)  
- The PC shall be issued Form 16A at the end of every financial year detailing the amount received from consultancy activities and submit while filing returns to the Income Tax Department.

8.7 **Disputes and Arbitration**  
- Any disputes that may arise during the course of the Consultancy project will be resolved by a committee appointed by the Vice-Chancellor  
- If the disputes arise between the Client and the Consultant(s), the consultants shall be responsible for settling the dispute.  
- Should mutual negotiations prove infructuous, the disputes may be settled by three arbitrators appointed in accordance with the Arbitration and Conciliation Act 1996 (Central Act 26 of 1996).
9. LIST OF A FEW FUNDING AGENCIES

The financial support for teaching staff working in the universities to undertake research activities and also travel programme for research related activities are provided by various funding agencies located at both national and International levels. By virtue of government of India entering into bilateral agreement with foreign countries helps to undertake collaborative projects with them and it can be routed through Department of science and technology.

The Web addresses of the funding agencies, wherever available, are provided for obtaining further information and the formats for submitting proposals. The proposals for projects are to be routed through the proper channel

List of funding agencies:
1. All India Council for Technical Education (AICTE) - http://www.aicte-india.org/
2. Atomic Energy Regulatory Board (AERB) - http://www.aerb.gov.in
3. Board of Research in Nuclear Sciences (BRNS) - http://daebrns.gov.in
5. Commissioner of Horticulture and Plantation Crops (CHPC) - http://www.tn.gov.in
6. Council of Scientific and Industrial Research (CSIR) - http://www.csir.res.in
8. Department of Atomic Energy - http://dae.nic.in
9. Department of Biotechnology - http://dbtindia.nic.in
10. Department of Environment & Forests (DEF) - http://envfor.nic.in
11. Department of Information Technology - http://deity.gov.in
12. Department of Ocean Development (DOD) - http://dod.nic.in
14. Indian Council of Medical Research (ICMR) - http://www.icmr.nic.in
15. Indian Space research organization - http://www.isro.org
16. Indira Gandhi Centre for Atomic Research (IGCAR) - http://www.igcar.ernet.in
17. International Centre for Genetic Engineering and Biotechnology - http://www.icgeb.org
24. Tata Institute of Fundamental Research - https://www.tifr.res.in/
27. The National Medicinal Plants Board, GOI, New Delhi. - https://www.nmpb.nic.in/
28. Indian Council of Agricultural Research - https://icar.org.in/
From

_____________________            Date:

Department of _________
Annamalai University

To

The Principal Investigator
Department of _________
Annamalai University

Respected Sir/Madam,

I ____________ appointed as a ____________ in the _______ Project entitled
“__________________________________________________” under the Principal
Investigator of _______________________, Department of ___________________.
Annamalai University am aware that my appointment in the above project is made on a
contractual basis for a period of _____ months with effect from ____________ on a pay
scale/ consolidated pay of Rs. ____________ per month.

I am also informed that my appointment in the project is purely temporary and I will
not claim any right in respect of appointment or seniority or preference in any future
vacancies in the regular Annamalai University post by virtue of this temporary service in the
above project.

I assure you that I will abide by the rules of the University.

Thanking you,

Yours faithfully,

Principal Investigator

(__________)
ANNAMALAI UNIVERSITY

The Registrar
Annalal University
Annalainagar-608002

To
The Manager
XXXX Bank
Annalainagar Branch,
Chidambaram.

Ref………………………………
Import Code No …………………

Dear Sir,

The University has imported ……………………………………………….. from
M/s………………………………………………………………..on advance/sight draft
basis. We need to make payment in foreign exchange by way of bank draft. The
particulars of the invoice and the amount required to be remitted to the party
concerned in foreign currency is/are given below:

<table>
<thead>
<tr>
<th>Sl.No.</th>
<th>Name and Address of the Party</th>
<th>Bill No.</th>
<th>Amount in Foreign Currency</th>
</tr>
</thead>
</table>
| 1.     | Under the various provisions relating to import of commodities without the
import license for research labs by the research institution as per details given in
Appendix(V) para (22) of Import Trade Control Hand Book of Rules and
Development research institutions can import Scientific
Instruments/Chemicals/reprints.

We are enclosing the following documents:
- Form A-I in duplicate
- Form A-II in duplicate
- Bill/Invoice
- Bill of Entry/Parcel wrapper.

We request you to please issue a foreign bank draft for ………………………
in favour of Ms/s……………………………………………………………………
The amount in Indian rupees may please be debited from the ANNAMALAI UNIVERSITY
account …………………maintained in your bank and operated upon by the
undersigned, under intimation to us.

Yours faithfully,

Registrar
ANNAMALAI UNIVERSITY

REQUEST FOR SANCTION OF TA/DA/REGISTRATION FEE FROM Project/Consultancy Funds

Principal Investigator  Consultant

PURPOSE OF VISIT (Letter of Invitation/announcement details to be attached)

- SEMINAR
- SYMPOSIUM
- MEETING / DISCUSSION
- REGISTRATION FEE

Name & Designation :
Department :
Basic Pay Rs. :
Project Title :

Project Code Number :

<table>
<thead>
<tr>
<th>Date &amp; Time of Leaving</th>
<th>Date &amp; Time of Return</th>
<th>No. of Working Days</th>
<th>Place(s) of visit</th>
<th>Details of the Meeting / Programme</th>
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Amount of Registration Fee  Mode of Travel*

AIR/TRAIN/BUS

Advance required [YES/NO] to be settled within 30 days of completion of the visit.

The faculty member has to certify about alternate arrangement made for academic commitments during the absence from university.

Alternate arrangement made ( ) Not made ( )

Signature of Principal Investigator / Project Consultant
Forwarded
The visit of Dr.__________________________ is required and is in connection with the consultancy / project referred above

Professor and Head
Department of _____

The Dean
Faculty of ______

SANCTION/RECOMMENDATION
Certified that provision exists and sufficient funds are available in the project for this travel under the head______________.

ASO   SO   AR   Director   AFO   FO   Registrar
      CRD

Vice-Chancellor
# ANNAMALAI UNIVERSITY

## Form for Accepting Consultancy

<table>
<thead>
<tr>
<th>Name(s) of the Consultant(s)*</th>
<th>Designation</th>
<th>Department/Faculty</th>
<th>Contact details (Phone &amp; E mail id)</th>
</tr>
</thead>
<tbody>
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</table>

* If more than one faculty is involved, Principal Consultant is to be identified.
* If more than one department is involved, the percentage share of overheads for each department may be indicated.

### Title of the Consultancy work

- Name and address of the client
  (Please attach a copy of the client’s letter duly attested by the consultant)
- Total consultancy amount **
  (Excluding Service Tax)
  **Service Tax, at applicable rates, to be collected from the clients along with the consultancy charges
- Number of Hours likely to be spent
- Equipment/instruments required
- Duration of the work
  - Starting date
  - Closing date
- Budget Estimate
  - Manpower - Rs.
  - Travel expenses - Rs.
  - Consumables - Rs.
  - Equipment*** - Rs.
  - External consultant - Rs.
  - Sub-contracting of part of the work - Rs.
  - Total expenses - Rs.
- Estimated honorarium for the consultant(s) - Rs.
- Overheads of the consultancy fees - Rs.

### Notes

***For procurement of Equipment University procedure shall be followed and the equipment shall not be handed over to the client.
All bills relating to expenses listed above should be certified by the principal consultant.

Date:                                      Signature of the Consultant(s)
Recommendation
Dr/Mr./Ms. ..............................is recommended/Not recommended to take up the above consultancy
because..................................................................................................................
........................................................................................................................................

Date                                        Signature                                                         Signature
HOD                                                                   Dean

Permitted/ Not permitted to take up the consultancy work

Date:                                  Director                     Registrar

For Office use
Consultancy No.                        Consultancy Type:          Date:

Forwarded to the Principal Consultant through proper channel

Date                                       Signature of the Superintendent

Date of completion of the assignment      Date

Certified that the consultancy assignment has been successfully completed and report submitted to the client. Copy of the letter to the client with acknowledgement is enclosed. The remuneration payable to the consultant may be released, as per the distribution of the honorarium, in the format attached.

Date                                      Signature of the Consultant(s)
**Form for payment of Remuneration / Honorarium to Staff**

Department/Centre :  
Consultancy/Testing assignment No :  
Dated:  

<table>
<thead>
<tr>
<th>Sl. No</th>
<th>Department/centre</th>
<th>Name &amp; designation</th>
<th>Employee ID.No</th>
<th>Amount of Honorarium/Remuneration Rs.</th>
<th>Income Tax Rs.</th>
<th>Net amount Rs.</th>
<th>Bank a/c number</th>
</tr>
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</table>

Date:  
Signature of the Principal consultant  

Date:  
Signature of HOD  

Signature of Dean
GUIDELINES FOR MoU/ MoA AGREEMENT

The following clauses shall be included for a MoU/Agreement between a Client and AU for a Consultancy project, Additional clauses may be added if considered necessary:

1. General
   This includes the reference to the proposed Consultancy and identifies the parties entering into a MoU /MoA.

2. Scope
   This section details the nature of work, its limitations and the anticipated outcome of the project.

3. Time Frame
   This clause shall indicate the duration of the project, milestones and deliverables.

4. Consultancy Charges and payment terms
   The charges for consultancy shall be indicated including service tax and terms of payment.

5. Responsibilities
   The responsibilities of the various parties and the allocation of tasks must be clearly indicated.

6. Patents/Publications
   IPR issues relating to patents or publications arising from the proposed Consultancy project shall be clearly indicated.

7. Force Majeure
   This clause shall be included in order to safeguard the interests of the various parties due to one or more of the unforeseen force majeure events.

8. Arbitration
   The document shall provide for a suitable channel to settle any disputes or differences that may arise during execution of the Consultancy project.

9. Liability
   The maximum acceptable liability in the event of premature termination of the project shall be indicated.

10. Amendment to the MoU
    The provision for amendments to one or more clauses of the MoU through mutual consent, at any stage during work of the project, due to any reason whatsoever shall be specified.

The PI shall be responsible for legal vetting of the MoU/ MoA.
LETTER FOR INCOME TAX UNDERTAKING

Name : 
Designation : 
Department : 
Name of the Consultant work : 
Consultancy code Number : 
Name of the Firm : 
Total consultancy Amount : Rs.
Over Heads : Rs.
Remuneration amount for the Consultant : Rs.
TDS @ 10% deducted & paid to IT : Rs.

Certified that I will include the remuneration amount received through consultancy work during the year _____________ as additional income and it will be shown in “Other Income” category when the income tax is calculated in the corresponding financial year

Signature
Principal consultant
CENTRE FOR RESEARCH AND DEVELOPMENT
ANNAMALAI UNIVERSITY

REQUEST FOR REFUNDING OF UNSPENT AMOUNT TO FUNDING AGENCY

Date: ____________

Title of the Project : 

Project Code No : 

Name of the Principal
Investigator and Designation : 

Name of the Funding Agency

Project Tenure : 

Amount : 

Mode of Payment (Tick the Appropriate box and Provide the Details):
 a) DD in Favour of: _______________________________
 b) Cheque the Name : ________________________________
 c) E-Transfer:
    A/C No: ________________________________________
    IFSC CODE: ____________________________________

Address to which the DD/Cheque to be sent:

Signature of PI with Seal and Date

Forwarded

Signature of the HOD with Seal

Signature of the Dean with seal
REQUEST FOR FORWARDING UTILIZATION CERTIFICATE AND STATEMENT OF EXPENDITURE TO FUNDING AGENCY

Date: _______

Title of the Project : 

Project Code No : 

Name of the Principal Investigator and Designation : 

Name of the Funding Agency : 

Project Tenure : 

Document(s) Required : 

a) Consolidated statement of Expenditure – Period – 
b) Utilization Certificate - period – 

Audited : Yes/No 

Address to which the Document(s) to be sent: 

Signature of PI with Seal and Date 

Forwarded 

Signature of the HOD with Seal 

Signature of the Dean with seal