Centre for Technology Development and Transfer

ANNA UNIVERSITY
CHENNAI - 600 025.

Guidelines 2021
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Guidelines
For
Consultancy and Sponsored Research Program
2021
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1.0 Introduction

The motto of Anna University is “Progress through Knowledge”. The institution has been striving to serve its motto ever since its inception in 1978. At the time of its silver jubilee, the institution felt that for full realization of its motto, internal processes for establishing seamless connectivity between knowledge created and developed at the Anna University with the progress of the state and the country need to be streamlined.

On the 28th December 2005, the Anna University resolved to establish a dedicated centre for establishing direct links among the research and subsequent business processes involving external stake holders. In February 2007, it was named “Centre for Technology Development and Transfer” (CTDT) and was tasked to facilitate internal processes for implementation of consultancy and sponsored projects and at the same time liaise with stake holders including the public funded agencies and private players investing into the research at Anna University. The centre was formally inaugurated by His Excellency President of India. Dr. APJ Abdul Kalam in the science week of 2007 on 23rd February.

Role of CTDT in strengthening Research Innovation Ecosystem:

Anna University is committed to strengthen its “Research Innovation Ecosystem”. One of the key elements in a vibrant research innovation ecosystem rests in the efficiency of interconnections of resources and competencies and strength of internal relations. Essentiality of functional autonomy for nourishing innovation processes was recognized early by the leadership of Anna University.

Leadership of CTDT:

CTDT remains an empowered centre of Anna University with its own administrative and financial powers delegated to the Director of the centre as a part of participative management philosophy of the leadership of the Anna University. The Director of CTDT is a professor in service of the University engaged both in research and teaching and at the same time sharing time for discharging responsibilities of the Directorship of CTDT. The names and profiles of leaders of the centre since 2006 are as detailed below:
<table>
<thead>
<tr>
<th>S.No</th>
<th>Name of the Director and professional background</th>
<th>Period of Directorship</th>
<th>Photograph</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td><strong>Professor Dr. M. Madhusoothanam</strong>&lt;br&gt;Department of Textile Technology,&lt;br&gt;ACT campus, Anna University</td>
<td>2006-09</td>
<td><img src="image1" alt="Photograph" /></td>
</tr>
<tr>
<td>2</td>
<td><strong>Professor Dr. B. N Shankar,</strong>&lt;br&gt;Department of Physics,&lt;br&gt;CEG campus, Anna University</td>
<td>2009-10</td>
<td><img src="image2" alt="Photograph" /></td>
</tr>
<tr>
<td>3</td>
<td><strong>Professor Dr. G. Thanigaiarasu,</strong>&lt;br&gt;Department of Mechanical Engineering,&lt;br&gt;CEG campus, Anna University</td>
<td>2010-12</td>
<td><img src="image3" alt="Photograph" /></td>
</tr>
<tr>
<td>4</td>
<td><strong>Professor Dr. S. Kanmani,</strong>&lt;br&gt;Centre for Environmental Studies,&lt;br&gt;CEG campus, Anna University</td>
<td>2013-15</td>
<td><img src="image4" alt="Photograph" /></td>
</tr>
<tr>
<td>5</td>
<td><strong>Professor Dr. J. Kumar,</strong>&lt;br&gt;Crystal Growth Centre,&lt;br&gt;ACT campus, Anna University</td>
<td>2015-16</td>
<td><img src="image5" alt="Photograph" /></td>
</tr>
<tr>
<td>6</td>
<td><strong>Professor Dr. S. Thamarai Selvi,</strong>&lt;br&gt;Department of Computer Technology,&lt;br&gt;MIT campus, Anna University</td>
<td>2016-19</td>
<td><img src="image6" alt="Photograph" /></td>
</tr>
<tr>
<td>7</td>
<td><strong>Professor Dr. K. Baskar,</strong>&lt;br&gt;Crystal Growth Centre,&lt;br&gt;ACT campus, Anna University</td>
<td>2019-till date</td>
<td><img src="image7" alt="Photograph" /></td>
</tr>
</tbody>
</table>
Functions served by CTDT:

The centre plays the critical function of "playing one stop centre" for not only building relations with external stakeholders but also in facilitating smooth transactions among the internal shareholders for all activities relating to research, consultancy and training. Playing a proactive role in building external relations and facilitating the internal processes for creating an enabling ecosystem for internal stakeholders and faculty members of the University for meeting their research aspirations form the major focus of all function of CTDT. The centre facilitates the internal users in all stages from formulation to completion of all project related activities. It also facilitates the Project Investigators in utilization of funds and timely submission of Utilization Certificates to the funding agencies.

Advisory and Oversight processes for CTDT:

The centre has established its own advisory mechanism with external members to oversee the activities and guide the principles and policy changes that are needed for time to time. The suggestions and recommendations of the advisory committee are placed before the competent authorities of the University for formulating policy guidelines for the centre.

Programme Design and Consultative processes of CTDT:

Periodical consultation meetings with faculty members are held for soliciting their views and suggestions as well as in development of R&D programmes with a focus on resource mobilization from external agencies. The centre is deeply engaged in generation of funds for augmentation of R&D facilities and strengthening of the research innovation ecosystem.

Activities relating to Strengthening of Research Innovation Ecosystem as CTDT:

By definition, an innovation ecosystem in an evolving set of actors, activities and artefacts (in the form of products and services) as well as relations and institutions which are relevant to the innovations and its applications. Actors namely the population of innovators and those engaged in converting the innovations into gainful products and services are key to the ecosystem, the CTDT is actively engaged in the design and development of Human Resource strengthening in the innovation cycle.
Set of Seven Key Actions of CTDT and one goal in strengthening Research Ecosystem:

The actions are Promote Innovations, Innovate Processes, Connect Competencies, Train People, Urge collaborations, Reward Successes and Energize Ecosystem (PICTURE). A common goal for all these actions is mobilize both intellectual and financial resources as measures of strengthening research innovation ecosystem.

Motivation for the revised guidelines:

CTDT has been gaining experience in strengthening Innovation ecosystem since its inception in Anna University. Based on the experience and feedback from both research investigators and stakeholders, the guidelines for consultancy and sponsored projects implemented at the Anna University were reviewed and modified in September 2015. The guidelines 2021 is a culmination of experience based on lessons gained over several project man years. A single point motivation is to strengthen the research innovation ecosystem at the Anna University to serve society better and at true to the motto “Progress through Knowledge”.
2.0 Vision & Mission of CTDT

The following are the Vision & Mission statement of CTDT.

**Vision Statement :-**
To serve the motto of Anna University through tangible and traceable contributions to the research innovation ecosystem comprising innovators, entrepreneurship, technology products and services by enabling mutually gainful technology relations and designer partnerships.

**Mission Statement :-**
Treble the impact of research innovation ecosystem of Anna University on the external stakeholder population from its current levels by 2026 and present an evidence backing for the claims of enhanced stakeholder value of the CTDT.
3.0 Modes of R & D funding and charging pattern in India

3.1 RESEARCH AND DEVELOPMENT

3.1.1 Grant-in Aid:

Grant-in Aid is given through competitive grant model for supporting research proposal of an investigator (or a group) for working on their own research ideas in their areas of expertise. Granting agencies provide fund for project personnel, consumables, equipment and other project related expenditures with a fixed contingency amount for using the services of the host institution and its infrastructural support. Costs of the permanent staff as well as time spent by the investigators cannot be claimed from Grant in Aid Agency. Grant in Aid is not extended to building infrastructure as a matter of principle. The funding agency does not make any claims or control over the research results obtained. Publications, patent etc. could be obtained by the host institution and the investigator as per their own norms and rules of Governance. DST in India is a Grant in aid agency. Mostly, basic science is supported under this category. If research under this category through support from public funds leads to technology licensing will come under “non-exclusive” clause and the exclusive right cannot be accorded to one agency or user.

3.1.2 Sponsored Research and Development:

Some funding agencies sponsor R&D in their own areas of interest and need. The theme of research is of interest to the sponsoring agency and have interest in the research results. They could support all possible costs of sponsored research and development and contingencies as a percentage of the overall project costs. The costs of the institute for the time spent by the permanent staff also could be built in. However, the sponsoring agency may lay a claim over the research results not for the ownership of the intellectual property but on the revenue gained by it as well as the first right to use. The terms and conditions of sponsored R&D may need to be clearly spelt out prior to the commencement of the project. Application and user domains in sponsored research become important. Sponsored research and development provides a provision to accord “exclusive” use for a finite mutually agreed term for giving first move advantage in the market place.
3.1.3 Contract Research and Development:

Contract R&D is a current ongoing theme. In this mode of R&D terms and conditions as well as contractual obligations of both parties must be clearly spelt out. In Contract, R&D Contracting agency forms out their own efforts for their gain. They are expected to meet all the tangible and intangible costs of R&D which includes time costs of all staff involved, project related expenditures, institutional overheads and contingencies plus an intellectual fee as mutually agreed upon by the contracting parties. On research outputs of contract research the contracting agency has the claims. While IPR may belong to the R&D agency the right to transact on them needs to be negotiated earlier. In some cases joint ownership of IPR may arise under this clause of support.

3.1.4 Intra-Mural Research and Development:

Academic and research institutions may support research and development as their own intra mural activity. In such cases the investigator enjoys claim over the IPR but not the right to transact directly with the clients. The IPR is registered as a property of the institution and such research may need to be supported through their own internal resources. For example, projects supported by Anna University will be grouped under Intra Mural R&D whereas those from DST are under Extra Mural Research.

3.2 CONSULTANCY SERVICES IN R&D

Consultancies are grouped among R&D services delivered over a period of time with defined and pre-stated roles and responsibilities. These services could be advisory, ad-hoc in nature or retainer or specific project type. Due to the nature and types of consultancy services could be variant, generally, charges are worked out on the basis of Full Time Equivalents of man hours and expertise hours spent on delivering the service. Each institution may develop costs of Full Time Equivalents based on their own institutional norms.

3.2.1 Advisory Consultancy:

Often advisory consultants operate as individuals and they rely on their own knowledge and expertise. Each institution may develop its own norms of sharing the consultancy amount earned with the consultants or their own staff. Any expenditure on the consultancy services rendered should be full recovered from the client. Any savings of the consultancy fees received
are shared among the institution and advisory consultants generally in the ratio of 1.5:1 basis. Each institution develops its own norm of sharing the savings.

3.2.2 Ad hoc consultancy:

Ad hoc consultancy limits the role and responsibilities and the consultant generally bears them all. Hence monies received from Ad hoc consultancy mostly is shared with the individuals and people directly involved in the consultancy work. The legal and other liabilities are minimal in such consultancy work. The institutional fee for such consultancies is mostly related to the time shared by the consultants with their own official institutional work. Sharing of benefits between consultant and institution could be of the order of 65-70: 35-30.

3.2.3 Retainer Fee based consultancy:

Retainer type consultation is mostly between two of more institutions and the professional services from the expertise pool of the institution is involved. Retainer fee based consultations are generally worked out on the basis of Full Time Equivalent man hour spent for the consultation process on annual basis. Institutional fee for the services would include some annual contract fees plus the actual expenditures if any as per the institutional norms. Sharing of the annual revenue from the retainer fee with the employees is more in the nature of intangible benefits such as facilitation in Professional Development processes etc.

3.2.4 Project Consultancy Services:

Time bound and activity packages related project consultancies often carry legal liabilities and responsibilities as organization. These consultancy services are best delivered as institutions with signatories signing the agreement. Costing of the services must be made on the basis of institutional norms after taking into account of competitions in the market place for consultancy services. A general guideline for costing such services is project related direct costs: Consultant honorarium: Intellectual fee for the institution is 40:30:30. About 30% of the reminder of the project consultancy fee received after the satisfactory completion of the work is distributed among those participated in the consultancy work. A workable formula is 60:15:15:5 among the directly involved: indirectly involved: indirectly supported: institutional benevolence for large scale project consultant work.
4.0 Relevance and Innovation Value of Externally Funded R & D projects in a University System

The avenues available to a researcher in a University system in India are
a) Grant in Aid from national R&D funding agencies,
b) Sponsored projects from both public and private sector,
c) Contract R&D from both national and international agencies,
d) Intramural research support from the University,
e) Various types of consultancy services for both private & governmental agencies,
f) R&D services for training, capacity building and testing as well as certification.

Intangible Benefits of Attracting Externally funded R&D projects of a University:

Any externally funded R&D project offers five benefits to the investigator and the University. They could be grouped as

1) peer recognition,
2) objective external review of research goals and objectives,
3) strengthening of in-house R&D capacity and capability,
4) possible utilitarian or application value of research findings and
5) extra resources committed to the project offering flexibility and autonomy.

Tangible Benefits from Externally funded R&D projects to the University:

Some tangible benefits which could be quantified are feasible. They are

1. Externally funded projects provide provisions for activity-related manpower. In a university system, this provision offers advantages of connecting PG and PhD students to the projects. Education and training related to a project leads directly to research initiated manpower for strengthening innovation ecosystem in the country which could be quantified

2. Industry relevant projects provide also an insight into real life challenges needing research backed solutions. They enjoy the potentials to connect knowledge to solutions to industry relevant problems. Training people to Solution science is a direct advantage. This is an
opportunity to connect knowledge to progress. Especially if sponsored or contract R&D projects from the private sector could be attracted, it might be easier to assess the impact more easily.

3. Increased application potentials for externally funded R&D projects: Sponsored and contract R&D projects are generally on problems of interest to the funding agency. There is likely to be a direct relationship between the researcher and the user. The application or innovation potentials increase markedly in such cases.

4. The University system offers potential to generate a resource which could be used gainfully under the scheme “Professional Development Fund” (PDF) sourcing financial resources from externally funded projects. PDF offers resource with flexibility for investment into various enabling measures for fostering an innovation ecosystem.

5. Global experience has shown that when the research and development activities supported by public and private sector on equally sharing basis leads to a more vibrant innovation ecosystem than those supported fully by either private or public funds alone. The national level of impacts of R&D backed by Public Private Partnerships appears to be higher. Private sector funding offers the advantage of flexibility and benefits of progressive planning which is essential for fostering an innovation ecosystem. Public funds are often subject to deterministic plans with pre-decided deliverables and goals.

**Likely benefits to the University and the individual faculty members from externally funded projects are listed hereunder**

1. Faculty Development – short-term training and in-house courses of industry.

2. Undertaking high level research projects aimed at new product or process development, import substitution, etc. in collaboration with the sponsoring industry to create a conducive ecosystem for Make in India and lead globally.

3. Undertaking real-time industry problems as research & development and consultancy assignments.

4. Organizing training in industries for faculty members under the faculty exchange program and to encourage reciprocal participation.
5. Promoting transfer of technology generated at the University.

6. Conducting workshops to identify requirements, industry wise, and to organize industrial surveys on specific themes.

7. Exchange of professionals from industry as Visiting Faculty or Adjunct Professors for short and long periods and deputation of faculty to industry to gain industry experience and work on specific projects in industry.

8. Institution of Chairs – Industry sponsoring special Chairs / staff positions with all expenses met where well known in this field of research persons can be appointed for fixed periods.

9. Institutional evaluation – industry cooperating with academicians to evaluate the performance of institutions as regards social relevance and effectiveness of Programmes.

10. Services to industry – University can provide service to industry in consultancy works and testing services, R&D activities, continuing education for working professionals, library services etc.

11. Adoption of Institutions / Programs – providing full support for specific programs / courses of short or long duration, adopting institution as whole by one or more industries and starting new institutions on a cooperative basis for catering to the industry’s specific manpower needs.

12. Undertaking industry problems as student projects by UG / PG students.

13. Student training and assessment – associating industry professionals in training and evaluation of work to provide formal and informal feedback.

14. Upgrading and updating Curriculum – associating experts from the industry in curriculum planning and review.

15. Commercialization of Technologies developed by Students / Faculty.

16. Resource support – industries provide infrastructure resources like equipment, books, etc., or funding for specific programmes and projects and CSR funds.

17. Extending to industries the test facilities and other physical resources for development work.
18. Conducting continuing education programmes, short term and refresher courses for personnel from industries.

19. Arranging guest lectures by experts for faculty and students.

20. Promoting participation of industries in curriculum planning and development, teaching programmes and others academic activities.

Long Term Benefits

- Technology development and transfer to industry in mission mode.
- Undertaking pioneering / large scale projects in consortium mode.
- Setting up joint facilities.
- Creating Innovative knowledge society with Entrepreneurial mindset among students / faculty.

    It also provides visibility for the University in academic and R&D activities.
5.0 Role and Responsibilities of CTDT

CTDT is entrusted with the responsibility of promoting technology development through funded projects, consultancy, testing and training and with a role of protecting the developed technologies/products/research findings. CTDT also has the responsibility of commercializing developed technologies through business incubation and entrepreneurship development.

The responsibilities of CTDT are highlighted in the functional structure given below.

The Centre is responsible for the following functions:

5.1. Technology Development

5.1.1 Research promotional Activities

a. Awareness creation
b. Organizing and conducting interactive programmes/meetings with industries and R&D establishments
c. Motivating Faculty/Researchers/Students through awards, incentives, etc.
d. Show casing Technologies/Research findings
e. Engage the Consultants as brand Ambassadors
f. Publication of technical write-ups on R&D activities
g. Organizing visits both to the industry and by industry
h. Conducting appreciation programmes on state of the art technologies for specific sectors

5.1.2 Research Support Activities

a. Dissemination of information about call for research proposals
b. Mentoring and initiate new sponsored and consultancy projects
c. Aiding the Researchers to identify the right funding agency
d. Tracking the status of submitted proposals
e. Assisting the individuals to understand the procedures
f. Monitoring the progress of the projects, submission of timely reports/UC/SoE/and refund if any to the funding agencies.
5.2. Technology Transfer

5.2.1 Promotional Activities

a. Create awareness among Staff / Research Students / UG, PG students about industry sector based needs and Technology Transfer.
b. Conducting of regular educational programs about commercialization of research.
c. To promote Intellectual Property awareness among students, staff through streamlined awareness campaigns.
d. To organize short-term Intellectual Property modules, seminars, workshops and conferences.
e. Awareness creation on Entrepreneurship Development among staff, Research Students and UG / PG students through seminars, workshops, interactive training programme etc.

5.2.2 Support Activities

a. Identifying suitable industry for Technology Transfer.
b. Supporting proper test bed for evaluating the technologies.
c. Directing individual to relevant experts in the industry.
d. Help in distinguishing type of intellectual property one may have invented or produced.
e. Helping staff to file for IP protection.
f. Provide legal assistance through legal cell of the University.
g. Mentoring Academicians, Researchers, Students and Entrepreneurs for filing Patents and Trademarks in an effective manner.
h. Protect Intellectual property creations generated by staff / Students and Researchers through streamlined approach in Patent filling.
i. Provide consultancy services towards enterprising skill development.
j. To develop a methodology to monitor the present level of technology and its future development.
k. Providing facilities like Venture labs / Makers lab.
l. Providing business advisory services and information of the various Investors and Venture Capitalists.
m. Identifying individual / organization / industry those who need help.
n. Framework for commercialization.
o. Providing business development services and resources.
5.3 Sponsored Research Projects of individuals:

➢ Forward the project proposals of the individuals as PI and Co-PI as per the norms of funding agency and to receive the grant from the National funding agency irrespective of overheads.

➢ The processing of MoU / MoA related to the Sponsored Research Projects submitted by the individuals.

➢ Forward proposals to organize National Level Seminars / Workshops / Conferences and to receive the grants.

Note:

➢ International projects / programs which involved bilateral activities with overseas institutions of the individuals / Department / Centre should be routed through Centre for International Relations directly. (Example: EU – projects, UKIERI, International conferences etc.)

➢ Programs / Schemes of the Department / Centre should be routed through Director, Planning and Development (Example: FIST-DST, SAP-UGC etc.)
6.0 Definitions in the framework of Anna University

6.1 Grant in Aid

Grants are provided by national funding agencies like DST, SERB etc. under Extra Mural Research support as an aid to investigators on competitive mode for pursuing their own individual research goals. Project contingencies under Grant in Aid are generally small and fixed. Grant in Aid does not cover the costs of investigators time or building infrastructure.

6.2 Sponsored Research

Funding agencies identify research thrust areas and themes and invite proposal for research. Industrial houses could sponsor research on specific themes of importance to them. Government agencies like DAE, DoS, DRDO could sponsor research in Universities for understanding the underlying principles of interest to their own knowledge domains as part of their Human Resource Development Initiative. These agencies are interested in the research results for their own benefits. Private agencies could sponsor research and stake claims for first use of the results for private good. In sponsored research the time spent on the project by full time faculty could also be charged and created as a revenue for the institution.

6.3 Contract Research

Major Corporates, international agencies and other private bodies award contract research and development in public funded institutions with well-defined contractual and legal obligations. Project costing of contract research would include all the direct and indirect costs of the research centre and the rights over intellectual property generated need to be negotiated and agreed upon as part of the contractual terms.

6.4 Consultancy

Consultancy work can be taken up to solve problems referred by industries, institutions, government agencies and corporations, societies and any other bodies, including professionals/individuals wherein the professional expertise and knowledge of the faculty members (Consultants) as well as the infrastructural facilities of the University will be utilized. The facilities of the University will be used for the research work, theoretical analysis or
experimentation required for generating and validating information in solving the industrial problems. The assignments are heavily dependent on the existing know-how and skill of the faculty members involved. The consultants have to pay the applicable charges to the Departments / Centres for the utilization of equipment / facility.

6.5 Retainer Consultancy

Where the expertise of the faculty members, without the use of any University facility, is provided either at the University or in the premises of the client, such consultancy shall be taken up on “Retainer” basis, with prior approval of CTDI.

6.6 Testing

These are assignments like the Testing / Calibration of instruments / development of software etc., for industries / institutions undertaken by the faculty members (Consultants), wherein the facilities available in the University are utilized to a great extent. Applicable charges as fixed by the consultative committee of Department / Centre shall be charged for the utilization of facility / equipment.

6.7 Training Programme

These are offered by the faculty members to persons from academic institutions, industry, Government and user agencies on topics of interest to them, where the outsiders want to upgrade their knowledge and skills, and where the faculty has the required expertise in addition to training to students / staff.
7.0 Submission of Proposals for Research & Development projects and Consultancy, Testing and Training in Research & Development (R & D)

7.1 Research and Development Projects

The proposals for submission of projects together with the details of infrastructure by the PI must be forwarded through the Head of the Department / Director of the Centre, to the Director, CTDT, for forwarding to the funding agencies.

7.1.1 Date of Commencement of R & D Projects

The date of commencement of the project is normally the date of receipt of the grant for the first installment as per the Anna University norms or date of receipt of the financial sanction of the project grant from the funding agency if it is indicated either in the sanction proceedings / guidelines of funding agency.

7.1.2 Closure of project of R & D Projects

The date of prospective closure of sponsored research projects is determined as per the sanction letter of the funding agency. If the project is to be extended, prior approval of the sponsoring agencies should be obtained by the Principal Investigator. On actual completion of project, the Project Investigator should arrange for the preparation of the final report and should obtain audited statement of accounts through CTDT. Project Completion report, Statement of Expenditure (SoE) and Utilization Certificate (UC) have to be submitted to the funding agencies at the end of every financial year and on completion of the project. The unspent balance as per audited statement has to be returned to the funding agency and it is the responsibility of the PI to make arrangements through CTDT.

7.2 Testing and Training

In case of 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 and autonomous centre should be sent to the Director, CTDT, within one week of their receipts.
7.3 Consultancy

The Company / Organisations / Governments / Individuals can contact the Consultants or vice-versa to get the services / solutions. The faculty member of Anna University i.e. Consultant can propose the budget requirement for the Consultancy work. Approval letter from the Company / Organisations / Governments shall be obtained indicating the nature of work and quantum of money. The Consultant can raise the claims as and when required or after the completion of the work depending on the nature of Consultancy work in the case of departments. The funds will be transferred to the Autonomous Centres as per CTDT norms. Once the Consultancy work is completed, a letter from the Funding agency / Company or a self-declaration of the consultant endorsed by the HOD / Director of the department / Centres, stating that the work has been completed shall be submitted to CTDT along with Completion report to release the final payment.
8.0 Guidelines for Budget distribution

8.1 Budget Distribution

The budget distribution for Projects, Consultancy, Testing, Training and Technology Transfer are given below:

8.1.1 Research and Development Projects

<table>
<thead>
<tr>
<th></th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project cost</td>
<td>Rs. 1,00,000/-</td>
</tr>
<tr>
<td>Overheads</td>
<td>Rs. 15,000/-</td>
</tr>
<tr>
<td>Total Cost</td>
<td>Rs. 1,15,000/-</td>
</tr>
</tbody>
</table>

15% of overhead shall be distributed as given below:

5% to be transferred to Registrar, Anna University (General Fund)

4% to be transferred to the respective Director of Autonomous Centre / Deans of Constituent Colleges. Accounts will be maintained at CTDT for the non-audited Departments / Centres.

2% to be transferred to the Professional Development Fund (PDF) account of PI. In cases where there are 2 or more PIs / Co-Pis from Anna University, the amount to be shared equally among the PIs / Co-Pis and deposited in their respective PDF a/c maintained at CTDT.

4% to be retained at CTDT

While submitting the project proposals to various funding agencies, the overhead charges of 15% is to be included in the total project cost and also one Co-Principal Investigator should be from Anna University along with PI. However, overhead cost shall be deducted as per the sanction order and norms of the funding agency.

Once in six months, the Principal Investigator should send the progress report of the Research project along with the expenditure details to CTDT. If the funding agency is not sanctioned overheads for the Research projects, it need not be deducted.
8.1.1 (i) Funded by Private Organizations:

Deduction of respective taxes (i.e. GST/TDS etc) are compulsory for the research project funded by private organizations.

8.1.1 (ii) Collaborative / Joint research projects:

The faculty members from other self-financing / affiliated / Other Universities can act as Co-Principal Investigator in collaborative and joint research projects with the following conditions:

➢ The competence of Co-Principal Investigator and specific deliverables should be clearly indicated in the proposal. Separate budget provision for Anna University and Collaborating institutions should be given clearly in the proposal.

➢ MoA (Memorandum of Agreement) is to be signed by both faculties with the approval of appropriate authority of the Institution as per Anna University MoA norms once the project is sanctioned.

➢ The faculties (Co-Investigator) from the other Self-Financing / Affiliated / Other Universities / Institutions have to obtain the consent from their institution for the utilization of project funds and the payments for the project activities as per Anna University norms.

➢ The PI’s shall be aware of the online submission of the project portal. The hard copy generated should be submitted to CTDT.

➢ In case of two or more Principal Investigators are approved by the funding agency for the project, then the 2% PDF amount from the overhead charges should be shared equally as per the CTDT norms.

➢ Anna University faculty members who are interested to collaborate with other University faculty members for submission of joint collaborative project proposal to the funding agency should follow the conditions given below:

   o The Anna University faculty should get prior permission from CTDT.

   o The Anna University faculty member will be the Principal Investigator / Co – Principal Investigator for the jointly funded projects.
o The sanctioned fund will be operated only in the CTDT / Autonomous Centre, Anna University.

o The equipment procured from the project should be maintained in the respective Department of Anna University as per the allocation of grants by the funding agency.

o In the proposal submission, separate budget for the Anna University and collaborative University have to be clearly given.

➢ The faculty members should compulsorily include at least 15% of overhead charges for the projects while preparing the budget in the project proposal wherever the funding agency has not given any specific guidelines.

8.1.1 (iii) Commercialization of products:

The products developed indigenously by the faculty members of Anna University are being promoted in the open market which enables commercialization of products. For such cases, Vice-Chancellor’s approval through CTDT needs to be obtained for each and every sale of the product.

8.1.1 (iv) Inter-Institutional projects:

Memorandum of Agreement (MoA) between institutions stating that the Faculty of University Department of Anna University will be the Principal Investigator or one of the Investigators with full financial allocation and the Faculty of Affiliated institutions / Other University / Institutions will be the Principal Investigator or Co-Principal Investigator without any financial implications from Anna University.

MoA should be signed between the Principal Investigator of Faculty of University Departments of Anna University and Faculty of Affiliated institutions / Other Universities / Institutes through CTDT.

8.1.1 (v) Women Scientist Scheme:

The regular faculty members interested to act as Mentor for the Women Scientist Scheme are need to send the proposal through CTDT where the faculty member should have minimum three years of service before superannuation at the time of submission.
On the total overhead amount allocated by the funding agency, the following distribution is to be made:

i. Anna University overheads - 6%
ii. CTDT Overheads - 5%
iii. Dept / Centre Overheads - 4%

There will not be any PDF amount for the temporary women staff or any other temporary staff / student submitting the proposals through the regular staff member of Anna University who will act as a Mentor.

8.1.2 Consultancy

On the total consultancy amount after deducting the respective taxes, as applicable, the following distribution will be made.

i. Anna University overheads - 7.5%
ii. Dept / Centre Overheads - 7.5%
iii. CTDT Overheads - 15% (Of which 10% to be kept for the support of R&D)
iv. Consultant remuneration,
   including all expenditure - 70% (budget for remuneration and other expenditure should be clearly given)

The distribution of the consultancy charges will be made initially 60% instead of 70% of Consultant remuneration including all expenditure and the remaining balance of 10% will be released after the receipt of completion report along with expenditure incurred as against the released amount, if any from the faculty consultant.

Procedure to be followed for undertaking Consultancy works:

➢ The Industries, Institutions, Government agencies and corporation, societies and any other bodies, including professionals / individuals can contact the regular faculty members (consultants) of Anna University to get the services / solutions.

➢ The Consultant can propose the budget requirement for the consultancy works and approval letter from the firm / individual stating the nature, duration of the work and consultancy amount offered should be obtained.
The Consultant should send the hardcopy of the online submission of the consultancy acceptance form to CTDT through proper channel along with the approval letter from the funding agency and other related documents.

The CTDT will raise a Proforma invoice to the funding agency to receive the funds and also permission to take the consultancy works.

The Consultant should follow the funding agency to know the details of the remittance and once the fund is transferred, the Consultant can send an online request to CTDT.

After verifying the transaction details provided by the Consultant, CTDT will issue the Sanction proceedings to execute the work.

The Consultant can raise the claims as and when required or after the completion of the work depending on the nature of the consultancy work in case of departments whereas the funds (90%) will be transferred to Autonomous Centre.

Once the consultancy work is completed, completion certificate from the funding agency / Consultant self-declaration may be sent along with the completion report of the work to CTDT to release the final payment.

The remuneration should be shared only to the faculty members involved in the consultancy work (Consultant / Co-Consultants / External Consultant) as per the original proposal however the consultant can engage or appoint staff for the conduct of consultancy work as per CTDT (project) norms.

8.1.3 Retainer Consultancy

1. Can provide advisory services, without using the facilities at the University, either at the place of the client or in the University.

2. Duration of the assignment can be for specific periods of three months, six months or one year, as per the needs of the client, with the periodical visits restricted to half a day or one day in a week.

3. Consultancy charges shall not be less than Rs. 10,000/- per day plus taxes, as applicable.

4. Travel, local conveyance and hospitality expenses to be borne by the client.

5. For visits to the client’s place, the consultant can avail eligible Special Casual Leave.
Of the total consultancy amount available after deducting the applicable service tax, the following distribution will be made.

i. Anna University overheads - 15%
ii. Dept / Centre Overheads - 15%
iii. CTDT Overheads - 15% (Of which 10% to be kept for the support of R&D)
iv. Consultants remuneration, including all expenditure - 55%

8.1.4 Testing

On the total testing amount after deducting the applicable tax, the following distribution will be made.

i. Anna University overheads - 25%
ii. CTDT Overheads - 20%
iii. Dept / Centre maintenance - 25%
iv. Payment of remuneration to Dept. faculty and staff involved - 30%

8.1.5 Training

The norms for utilization of the income from training programs shall be as follows:

i. Anna University overheads - 10%
ii. CTDT Overheads - 10%
iii. Dept / Centre maintenance - 10%
iv. Coordinator for the conduct of the program - 70%

Deduction of respective taxes are compulsory as per the norms of the Government for the training programmes. The faculty member should submit the following for the claim of the fund.

a. The brochure / flyer related to the training programme with period of the programme.
b. The summary of the Training Programme.
c. Budget breakup details of Sanctioned and released amount of the above Training Programme.
d. The approval from the University / Department / Centre to conduct the above training programme.
e. The training related documents has to be submitted to CTDT within two days of receipt of fund.
8.1.6 Technology Transfer

The University encourages transfer of know how or marketing rights of products / processes developed by the faculty. In all such cases Memorandum of Understanding has to be signed with the client to whom the technology or the marketing rights are being transferred. The proceeds from such operations shall be shared on a 20:20:60 basis as per IPR policy for sharing revenues by the University, CTDT and the faculty.

To encourage and assist the faculty members for the transfer of technologies developed by them, a committee can be constituted by the Vice-Chancellor to deal with the industry. The Committee may also recommend the appropriate MOU between Industry and Anna University, which can be placed for the due approval of the Vice-Chancellor after the clearance from the Legal Cell of Anna University so that the MOU shall be placed in the Syndicate for the approval of the transfer of Technology on exclusive basis. In the case of non-exclusive transfer of technology MoA shall be signed by the Registrar with the approval of Vice-Chancellor and shall report to Syndicate for information.

The Technology Transfer committee should have the following members.

1. Inventor - Member
2. HOD / Director of the Dept. / Centre - Member
3. Expert Member within the University (to be nominated by the Vice-Chancellor) - Member
4. Expert Member from other Institutions / Industry (to be nominated by the Vice-Chancellor) - Member
5. Director - CTDT - Chairman & Convener

Development of Software

Any software having intellectual property developed by the faculty member / student will be the joint property of the developer, the University and any other agency who might have contributed to its creation, as applicable. The terms of sharing revenue from its commercial exploitation among the involved parties are to be worked out on a case-to-case basis.
8.1.7 Sponsored seminar / workshop / conference / summer / winter schools:

After deducting the relevant taxes, i.e. GST / TDS from the grants for the conduct of Sponsored seminar / workshop / conference / summer / winter schools in University, the following distribution will be made.

i. Anna University overheads - 5%
ii. CTDT Overheads - 2.5%
iii. Dept / Centre-overheads - 2.5%
iv. Coordinator to the conduct of programs - 90%

If the overhead is not allocated by the Government funding agencies, then 10% of the total Registration fee / revenue generated from the other sources will be deducted as overheads and the above distribution will be made.

8.1.8 Settlement of Accounts:

The Autonomous Centres are empowered to give administrative and financial sanction towards administrative and Infrastructure development expenditure for the overhead amount transferred by CTDT and it is their responsibility to maintain the account and keep the bills and vouchers for submission to audit as and when required as per the norms of the University.

In case of Departments, the accounts will be maintained at CTDT to issue necessary administrative sanction, admit the bills for payment. The expenditures like purchase of consumable items, Contingency for the administrative purpose and infrastructure development should be done as per the Finance and Accounts manual of the University.

8.2 Purchase of Equipment / Instrument / Capital Goods and Materials

All purchases of equipment and materials related to PROJECTS are only for research purposes. The necessary certificate related to Customs Duty / Excise Duty exemption will be signed by the Registrar. The request from the HOD / Director / concerned will be endorsed by the Research Advisory Committee and submitted to the Registrar / Centralised Procurement Office (CPO) for the issue of certificate for the purchase of equipment and materials related to projects.
The rules followed by the University, including e-tendering and that framed under Tamil Nadu Transparency in Tenders Act, 1998 (TNTT) for tendering, evaluation and acceptance of the tender including possible exemptions under this Act such as single source of supply, low value purchases, etc. are to be followed for procurement of items, will be applicable to all purchases of equipment and materials for projects / consultancy. The investigators should follow the purchase procedure as prescribed time to time by Anna University.

8.2.1 Machinery / Instruments, Maintenance Contract

The department can enter into a maintenance contract with the firm which supplies the Machinery / Instruments for projects or its authorized dealers after the warrantees period. Expenses for the same can be met from the contingency grants of the projects / Department / Centre.

8.2.2 Machinery / Instrument Erection and Commissioning

For erecting and commissioning of Machinery / Instruments purchased in a project, funds available under the head contingency can be utilized. Since all the projects are time bound, execution of such work can be entrusted by the HOD / Director directly, based on the opinion of expert members in civil and electrical engineering for structural and electrical works, to any reputed contractor by calling quotations and the HOD / Director will release the work order.

If the value of civil or electrical work is less than Rs. 20,000/- the work can be entrusted by the HOD / Director to any contractor or executed by purchasing / hiring required materials / Labour. The norms prescribed time to time by the University will be applicable for such work.

8.2.3 Purchase of items listed under head 101 in the finance and account manual, Anna University

If the funding agency has approved the purchase of items listed under section 101 of Finance and accounts Manual, 1999 (Refrigerator, Television sets, Cameras, Computers, Fax, Photocopier, office equipments, Audio / Video recorders, Musical instruments, Air conditioners and furniture) and mentioned it while releasing the grant, Director CTDT can give the sanction proceedings for the purchase of such items.

Faculty members associated with the projects are permitted to purchase various items such as books, software, components and consumables or subscribe technical journals / pay the membership fee as per University norms through Credit Cards and ask for reimbursement from
project / Professional Development Fund (PDF). The maximum permissible limit for membership is 500 USD per purchase.

The claims are to be sent to CTDT along with STOCK BOOK REGISTER (SBR) entries and details of customs duty paid, if any. Any customs duty at the existing rate can be reimbursed over and above 500 USD separately on production of supporting documents. If they are purchased on single quotation basis justification shall be provided along with the claim for reimbursement.

8.2.4 Maintenance of Stocks

Maintaining the correct account of the stock is important as per the purchase norms. The procedures outlined in the University Finance and Accounts manual must be adhered with regard to the maintenance of stocks. The information about the assets created through projects shall be furnished to CTDT while submitting the funds utilization certificate, in GFR 19 / GFR 12A form.

8.3 Maintenance of Accounts

The total fee received from the clients for consultancy work shall include the consultancy charges and Goods and Service Tax (GST), as applicable and payable as per the Government of India Rules. All payments shall be made only in the name of "Director, CTDT", Anna University and sent to CTDT along with the details in a form, indicating the number of installment and details of the project / Consultancy assignment.

In the case of Sponsored programs i.e., Projects, Consultancy, Testing, Training, Technology Transfer etc., sanctioned to autonomous centre's, payment will be made in favor of The Director of the respective Centre and transferred to the autonomous Centre, whereas in the case of University departments the funds will be maintained by the CTDT.

From the earnings received by the consultants, IT will be deducted, when the total earnings by the consultant in that financial year exceeds the permissible amount fixed by the Government. At the end of every financial year, every consultant will be issued a Form (Form 16A) related to the actual amount the consultant has received by way of Consultancy and Testing charges during the year along with the IT deduction. It is mandatory for the Consultant to receive this Form (Form 16A) and submit the same to the Income Tax Department while filing his / her returns.
In case of Sponsored programs i.e, Projects, Consultancy, Testing, Training, Technology Transfer etc., for Departments, the accounts will be maintained in the CTDT office, while those of the autonomous Centres will be maintained by the respective Directors of the autonomous Centres.

*The utilization of the funds for the project shall be based on the approval of the funding agency. Funds cannot be diverted for any use other than the designated purpose without the approval of the funding agency. Any re-appropriation is possible only with the approval of the funding agency.*

In the case of sponsored projects, request for unaudited / audited Utilization Certificate shall be made by the Principal Investigator to the Director, Centre for Technology Development and Transfer. The Principal Investigator must ensure timely submission of UC, Progress reports and release of grants by the funding agencies.

### 8.4 Project / Consultancy Staff Recruitment

The projects can have the staff appointed, *on a temporary basis*, for technical activity, by any of the procedures given below:

1. Staff appointed based on regular advertisement and selection.
2. Staff appointed on ad-hoc basis
3. Students employed on part-time basis
4. University staff engaged for specific tasks

In cases of appointment for administrative activity under the project (where the funding agency has given its approval) the Principal Investigator, has to approach the Common Selection Committee through the HOD / Director of Centre. A copy of the appointment order issued by the HOD / Director in such cases should be sent to the Director, CTDT.

If the services of external consultants are required, the faculty consultants on consultancy assignments can avail, with the prior approval of the Director CTDT, provided the faculty member certifies that the services are of a nature for which the expertise is not available in the department / University. The honorarium payable to external consultants shall not exceed 50% of the 70% given to the consultants for carrying out the work.
8.4.1 Staff appointed on a temporary basis

In order to attract good candidates for project / consultancy activity, the advertisement for temporary positions in projects can be released either in the University website or in professional journals. The expenditure can be met from the contingency grants of the project, with prior approval from Director CTDT.

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.

a) The candidates, if necessary after a preliminary short listing and written test, would be interviewed by a Selection Committee constituted as follows:

   a. Heads of the Dept’s / Directors of Centre’s - Ex-officio Member.
   b. Principal Investigator / Faculty consultant - Convener. (If HOD / Director is the PI, then a Co-PI or a Senior Faculty member can act as one of the members.)
   c. One nominee of Director, CTDT from the panel of names approved by the Vice-Chancellor.
   d. Any member as per the mandatory requirement of the funding agency if any.

b) The appointment orders as per the specified format given by CTDT are to be issued by the HODs or by the respective Directors of autonomous centre’s where the staff will be employed.

c) In the appointment order, the name of the project should be mentioned and appointee should be employed only in one project.

d) The maximum tenure of project staff appointment can be for the duration of the project period with the consent of the PI.

e) Wherever the services of the project staff are needed for some work other than the project where he / she is employed, such should be done only with the approval of the Principal Investigator of the project. In such cases, the project staff is eligible for overtime (OT) / allowance / remuneration from other sources provided such remuneration during the month should not exceed 25% of his / her salary for that month.

f) It is the responsibility of the Principal Investigator to monitor the terms and conditions of all staff appointed in the specific project.
g) In the case of extension of project staff for another term within the project period, the extension should be recommended by the Principal Investigator and endorsed by the HOD / Director of the respective centre. The extension orders will be issued by the HOD / Director of the respective center.

h) Copies of appointment / extension orders issued to staff by HODs / Directors of autonomous Centre's must be sent to CTDT and to respective departments and research centre's.

8.4.2 Staff appointed on ad-hoc basis

Wherever necessary, suitable candidates may be given ad-hoc appointments at any point during the course of the project / Consultancy, but restricted to a maximum of 6 months at a stretch. The PI should certify that the qualification and experience of the candidate are suitable to appoint on ad-hoc basis along with justification for the need of such ad-hoc appointments.

In cases where extension is requested, then the individual has to go through the procedure indicated for ‘Selection of staff on temporary basis’.

8.4.3 Hiring Services

The hiring services can be claimed only under the head approved by the funding agency.

8.4.4 Students employed on Part-time basis

Services of full time students may be utilized after office hours and during holidays for specific scientific / technical works relating to the Project / Consultancy projects with the approval of the HOD and the guide of the student, especially during their project semesters. The remuneration that could be paid to the student shall depend on the following norms.

<table>
<thead>
<tr>
<th>Rs. Per hour</th>
</tr>
</thead>
<tbody>
<tr>
<td>For UG students:</td>
</tr>
<tr>
<td>For PG (Master Degree students</td>
</tr>
<tr>
<td>For Ph.D students</td>
</tr>
</tbody>
</table>

Maximum number of hours in a month must be restricted to 50 hours. Remuneration shall be paid only through bank transfer.
8.4.5 *Project / consultancy Staff Salary*

7.4.5 (i) *Norms of funding agency*

Wherever the funding agency has specified norms of appointment of project staff, the norms of the funding agency shall apply.

7.4.5 (ii) *CTDT Norms*

In cases where the funding agency has not specified the norms, the project staff shall be paid from the project head of salary / wages / staff on a consolidated basis under various categories within the salary range specified as follows:

<table>
<thead>
<tr>
<th>S.No</th>
<th>Post Name</th>
<th>Eligibility</th>
<th>Salary Range (Rs.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>i.</td>
<td>Field Assistant</td>
<td>SSLC or equivalent</td>
<td>Rs. 8,000- 15,000</td>
</tr>
<tr>
<td>ii.</td>
<td>Technical Assistant</td>
<td>HSC or equivalent</td>
<td>Rs. 10,000- 18,000</td>
</tr>
<tr>
<td>iii.</td>
<td>Project Assistant</td>
<td>B.Sc / BA / BBA / BCom</td>
<td>Rs. 12,000- 24,000</td>
</tr>
<tr>
<td>iv.</td>
<td>Projects Technician</td>
<td>Diploma or equivalent (&gt; 3 years of education after +2)</td>
<td>Rs. 15,000-25,000</td>
</tr>
<tr>
<td>v.</td>
<td>Project Associate I</td>
<td>B.E. / B.Tech / M.Sc / Junior MBBS / MCA / MBA / M.Com or equivalent (&gt; 4 years of professional education after +2)</td>
<td>Rs. 20,000-35,000</td>
</tr>
<tr>
<td>vi.</td>
<td>Project Associate II</td>
<td>M.E. / M.Tech / M.Phil / M.Arch / M.V.Sc / M.D / MTP or equivalent experience after the first degree &gt; 6 years of professional education after +2)</td>
<td>Rs. 25,000-60,000</td>
</tr>
<tr>
<td>vii.</td>
<td>Project Scientist</td>
<td>Ph.D / Equivalent Industrial / R &amp; D experience (minimum 4 years after PG)</td>
<td>Rs. 40,000-1,00,000</td>
</tr>
</tbody>
</table>
The range of salaries have been proposed to accommodate the variation in the prevailing rates in the industry, the qualification and experience of the candidate, the availability of funds in the Project etc. and the Selection Committee should recommend the salary to be fixed for a given candidate.

8.5 **Travel**

- Project Investigators and consultants are permitted to visit on field work, attend meetings conferences, seminars and workshops, within the country, utilizing the funds of the project / consultancy, subject to provision, with prior permission of the Director CTDT or by the University authorities.

- All the visits of project and consultancy staff, including for promotional visits and for project presentation, shall be approved by Director, CTDT / HOD / Director of the Autonomous Centre.

- The claim bill towards, the visits within 200 km (to and fro) distance from the institution may be admitted with the prior approval of the concerned Head of the Department.

- 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 related to the project, Consultancy, Testing of the Departments will be accepted by Director, CTDT. Only such travels are approved by the Head of the Department or Director, CTDT.

- The principal investigator of projects must take care that the total expenditure for travel shall not exceed the amount allotted under travel head in the project.

- With regard to claiming of taxi / auto fare the actual can be claimed for traveling to / from the Airport / Railway Station *with due certification of the receipt.*
8.5.1 TA & DA norms for faculty members wherein expenses are booked under the head Projects & Consultancy

Journey : **By Train:** Up to 2 tier A/C (Ticket should be produced.)

**By Air:** As per eligibility (Boarding pass should be produced). If the flight ticket is booked through a travel agent, Service charge / GST / tax paid by the agent can also be claimed.

**By Road:** If private vehicles are hired, original printed and stamped receipts along with printed trip sheet with vehicle number will only be accepted.

For field visits, if the journey commences from Chennai, vehicles should be hired through Logistic Centre / approved travel agencies.

Journey DA : **By Train:** 2/3 of II tire AC as lump sum.

**By Air:** Rs. 2000/- per trip, to and fro, including all expenses incurred in undertaking the journey and journey DA.

Accommodation Expenses : **Projects sponsored by Govt. Funding agency / CTDT:**

Actuals (Bills to be furnished) subject to a maximum of Rs. 6,000/- for 'A' class cities and Rs. 4,000/- for other places.

Will be reimbursed at actual expenses on production of receipts.

**Projects supported by Pvt., funding agency and for Consultancy:**

Will be reimbursed at actual expenses on production of receipts.

Boarding and all other incidental charges : Rs.2,000/- per day lump sum

Number of Days : The number of days should be informed to the CTDT office in advance.
8.5.2 TA & DA for Project / consultancy staff, Students involved in Projects / consultancy and Technical staff

The expenses are booked under the head Projects & Consultancy shall be reimbursed for their travel and accommodation expenses based on their certification / recommendation by the investigators / consultants.

Journey

: **By Train:** Up to III Tier A/C

: **By Air:** With Prior approval from Director, CTDT / Director of the Centre.

: **By Road:** For field visits, if private vehicles are hired, original printed and stamped receipts along with printed trip sheet with vehicle number will only be accepted and if the journey commences from Chennai, vehicles should be hired through Logistic Centre / approved travel agencies.

Journey DA

: **By Air:** Rs. 1,000/- per trip, to and fro, including all expenses including all expenses incurred in undertaking the journey and journey DA.

: **By train:** 2/3 of III- Tier AC fare on which they travelled.

Accommodation Expenses:

Projects sponsored by Govt. funding agency:

Actual (Printed bills to be furnished) subject to a maximum of Rs. 3500/- for ‘A’ class cities and Rs 2000/- for other places. Will be reimbursed at actual expenses on production of receipts.

Projects supported by Pvt. Funding agency and for Consultancy:

Will be reimbursed for actual expenses on production of receipts.

Boarding and all other incidental charges

: Rs. 1,000/- per day lump sum.

Number of Days

: The number of days should be informed to the CTDT office in the advance letter and a written permission from CTDT / HOD should be obtained.
8.5.3 Sitting Fee

The sitting fee / honorarium for the external members attending various committee meetings including the selection of Project / Consultancy Staff in the Projects / Consultancy is fixed as Rs. 3,000/- per session and not exceeding Rs. 5,000/- per day for multiple sessions. The expenditure is to be met from the respective project fund.

8.5.4 Registration Fee

- When registration fee is payable by the Project Staff, then documentary evidence, i.e. conference brochure should be enclosed.
- The Registration fee will be drawn by DD / online transfer in favor of the organizers/conference account and handed over to the investigator / participant.
- The project investigator / consultant may also make payment of registration fee directly and claim reimbursement later producing the documentary evidence.
- Permission / Sanction proceedings from the Director, CTDT should be obtained for claim of the registration fee.

8.5.5 Advance for TA / DA

- When an advance for travel is required, it should be specifically mentioned in the TA/DA approval request and in the case of Air Travel a copy of the proforma invoice for air fare/ air ticket / train ticket / 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 Vice- Chancellor.
- The travel should be performed during the Project / Consultancy tenure only to claim.
- Sufficient funds should be available in the project and in the case of sponsored project under the “Travel” head.

8.5.6 Settlement of Final Claim

- The final TA / DA claim should correspond to the original approval of the Director / University authorities.
- If mode/class of travel is higher than the eligibility, investigator/consultant has to submit, with the claim and the approval of Director CTDT/Registrar/Vice-Chancellor 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.

- Air tickets/Train tickets e-tickets and boarding pass should be enclosed.

If the funding agencies do not support the travel expenses of faculty members for presentation of the proposals, Director CTDT is authorized to approve the reimbursement of the travel expenses from CTDT funds with the approval/ratification by the Vice Chancellor.

8.5.7 International Travel

In the case of international travel using the grants of projects as per the norms of funding agency, the requests of the faculty members, project staff from the departments and autonomous centre will be routed through the Director, CTDT for permission by the Vice-Chancellor for prior permission. A copy of the proceedings issued by the Director, CTDT will be sent to PR section. The norms for the Travel and DA allowances are to be followed as per Centre for International Relations/University norms.

8.5.8 Refreshment and Hospitality Expenses

Contingent grant in projects can be used for refreshment expenses and to meet the local conveyance, accommodation (as per eligible norms) and hospitality expenses for visiting members and review teams, based on the submission of the original bills with certification by the investigator.

8.5.9 Professional Body membership

Membership fee of Professional Societies including Life or annual membership of professional bodies and subscription to the journals, using Credit Card or by normal subscription shall be permitted with a ceiling of 500 USD in a year per project from the contingency grants of the projects of the faculty member, on production of the receipts.
8.6 MOU / Agreements / Contracts

All MOU’s related to Projects, Consultancy, Testing and Training will be processed by the Director, CTDT and placed in the Syndicate for approval. The MOU will be signed by the Registrar, Anna University.

All Memoranda of Agreements (MOA) / contracts for consultancy work / projects shall be signed by the consultants / Principal Investigators with the prior approval of Director CTDT after legal vetting.

8.7 Incentives

Professional Development Fund (PDF)

Individual accounts will be maintained by the Centre for all faculty members belonging to the Department / Centre for contributions through sponsored projects. This amount can be utilized for the purposes such as travel, visits abroad, telephone expenses, professional body membership, health & accident insurance including during travel in India / abroad, refreshments, hospitality expenses and any other expenses related to conduct of research as detailed below. The claim for the same shall be made in a prescribed form, with due certification of all bills and vouchers, submitted in original. The papers will be processed at CTDT and payment will be made by the Director, CTDT.

The PDF share of the investigator, accumulated through project Overheads can be utilized for various purposes described above. Also, if any of the government funding agencies and industry provide honorarium to the investigators of sponsored projects and if there is a provision for such honorarium in the project proposal, the same may be utilized by the investigators as per PDF norms.

At the time of retirement, the PDF thus accrued though sponsored projects cannot be withdrawn by the investigator, but can be used to create an endowment at the University or donate the funds to the department / centre. The PDF amount if any available after the retirement will be treated as lapsed and will be revenue to the CTDT.
The PDF can be utilized by the concerned faculty member for the following purposes:

1. TA / DA, taxi fare and registration fee for attending a conference / workshop / symposium / seminar / meeting etc., or deliver an invited lecture (subject to sanction of appropriate leave by competent authority) to a place in India or abroad and for making exploratory visits for further sponsored research, with prior approval of Director CTDT. TA/ DA will be paid as per the CTDT / University norms for visits within the country and abroad.

2. Membership fee of Professional Societies including Life or annual membership of professional bodies and subscription to the journals, using Credit Card or by normal subscription shall be permitted with a ceiling of 500 USD in a year from the PDF of the faculty member, on production of receipts.

3. Purchase of professional Books, journals, stationery including computer stationery, Software or data on any storage medium.

4. Equipments / Electronic Gadget, Mobile Phones, Laptop, Palmtop, iPod can be purchased and taken into stock register of the University.

5. Expenses towards maintenance of the equipments purchased through projects.

6. Up-gradation or purchase of laptop or desktop computer and related peripherals like digital camera / web camera for use by the faculty member at any location as per the work requirement.

7. Purchase of office and laboratory furniture.

8. Reimbursement for any type of telephone calls, including pre-paid cash card.

9. Refreshment and local conveyance expenses during project activity / meetings.

10. Boarding, lodging & entertainment expenses for the visitors on official visits.

11. All purchases shall be made as per University rules.

12. Reimbursement will be made to the concerned faculty member in all cases except for the purchase of equipment.
13. The items procured out of PDF shall remain property of the University. However, the non-consumable items procured through PDF may be taken away by the concerned faculty from the Department / Library, on payment of book values, during the period of service or within 3 years of retirement / leaving the service of the University. The value can be fixed by the Department / Centre’s consultative committee.

14. For any expenditure not covered above, prior approval of the Director CTDT / Vice Chancellor is necessary.

15. Creation of Endowments / scholarships / awards or Donations to the University shall be allowed by using the PDF.

8.8 Research Support Schemes

The Centre for Technology Development and Transfer would take up various initiatives to encourage and promote revenue-generating R&D activities in Anna University. From the resources it generates, it would strive to provide funds to the faculty members / students to create research facilities, prepare project proposals, conduct research, development of a product etc. It would also strive to extend financial support for filing patent applications of the faculty / students of the University through the Centre for IPR.
9.0 List of a few Funding Agencies

There are a number of funding agencies, both at the national and international level, which fund projects and also support travel programmes for research related activities. Some of the Government departments like DRDO, ISRO, and Atomic Energy support research project funding through their laboratories. A few industries also establish research laboratories in academic institutions by supporting the procurement of major laboratory facilities, both for academic and research related activities. A list of major agencies is given below.

In addition, the Government of India has entered into bilateral agreements with a number of countries such as Australia, Germany, Italy, France, Brazil, Japan, USA etc., Research proposals can be submitted through the Department of Science and Technology for joint research projects. In addition, European Commission supports research activities through Public Private Partnership programmes. Internationally, there is a British Council, DFG/ BMBF/DAAD programmes of Germany, NSF/ NIST of USA provide funds for collaborative research in association with researchers in the countries concerned.

The Web addresses of the funding agencies, wherever available, are provided for obtaining further information and the formats for submitting proposals. The proposals from the individual PI’s for projects are to be routed through the Heads concerned and the Director, Centre for Technology Development and Transfer. The project proposals for schemes / programs for the Department / Centre shall be submitted through Planning and Development. Bilateral programs involved overseas visits / Scientists from abroad / grants from abroad / exclusive partners from overseas should be submitted through Centre for International Relations including participation in Conference / Symposia conducted in abroad.

List of a few National and International funding agencies:

<table>
<thead>
<tr>
<th></th>
<th>Agency</th>
<th>Website</th>
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<tbody>
<tr>
<td>1</td>
<td>Aeronautical Development Agency</td>
<td><a href="https://www.ada.gov.in/">https://www.ada.gov.in/</a></td>
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<td>3</td>
<td>Agricultural Produce Cess Fund</td>
<td><a href="http://www.icar.org.in/">http://www.icar.org.in/</a></td>
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<tr>
<td>4</td>
<td>Agriculture and processed Food Products</td>
<td><a href="http://apeda.gov.in/apedawebsite/index.html">http://apeda.gov.in/apedawebsite/index.html</a></td>
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<tr>
<td>5</td>
<td>All India Council for Technical Education</td>
<td><a href="http://www.aicte-india.org/">http://www.aicte-india.org/</a></td>
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<tr>
<td></td>
<td>Agency Name</td>
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<tr>
<td>6</td>
<td>Animal Husbandry, Dairying &amp; Fisheries</td>
<td><a href="http://dahd.nic.in/">http://dahd.nic.in/</a></td>
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<tr>
<td>8</td>
<td>Board of Research in Nuclear Sciences</td>
<td><a href="https://brns.res.in/">https://brns.res.in/</a></td>
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<tr>
<td>10</td>
<td>Center for Educational Testing &amp; Evaluation</td>
<td><a href="https://cete.ku.edu/">https://cete.ku.edu/</a></td>
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<tr>
<td>11</td>
<td>Central Power Research Institute</td>
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<td>12</td>
<td>Centre for Wind Energy Technology</td>
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<td>13</td>
<td>Chennai Petroleum Corporation Limited</td>
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<td>17</td>
<td>Consumer Welfare Fund</td>
<td><a href="http://consumeraffairs.nic.in">http://consumeraffairs.nic.in</a></td>
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<tr>
<td>19</td>
<td>Council for Advancement of Peoples Action and Rural Technology</td>
<td><a href="http://capart.nic.in/">http://capart.nic.in/</a></td>
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<tr>
<td>20</td>
<td>Council of Scientific and Industrial Research</td>
<td><a href="http://www.csir.res.in">http://www.csir.res.in</a></td>
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<td>22</td>
<td>Department of Animal Husbandry</td>
<td><a href="http://www.dahd.nic.in">http://www.dahd.nic.in</a></td>
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<tr>
<td>23</td>
<td>Department of Atomic Energy</td>
<td><a href="http://www.dae.nic.in/">http://www.dae.nic.in/</a></td>
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<tr>
<td>24</td>
<td>Department of Biotechnology</td>
<td><a href="http://www.dbtindia.nic.in">http://www.dbtindia.nic.in</a></td>
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<td>25</td>
<td>Department of Chemicals &amp; Petrochemicals</td>
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<td>26</td>
<td>Department of Education</td>
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<td>27</td>
<td>Department of Electronics and Information Technology</td>
<td><a href="http://meity.gov.in/">http://meity.gov.in/</a></td>
</tr>
<tr>
<td>28</td>
<td>Department of Food Processing Industries</td>
<td><a href="http://www.mofpi.nic.in">http://www.mofpi.nic.in</a></td>
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<tr>
<td>30</td>
<td>Department of Non Conventional Energy Sources</td>
<td><a href="http://www.mnre.gov.in">http://www.mnre.gov.in</a></td>
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<tr>
<td>No.</td>
<td>Organization Name</td>
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<tr>
<td>31.</td>
<td>Department of Science and Technology</td>
<td><a href="http://www.dst.gov.in/">http://www.dst.gov.in/</a></td>
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<tr>
<td>32.</td>
<td>Department of Scientific &amp; Industrial Research</td>
<td><a href="http://www.dsir.gov.in">http://www.dsir.gov.in</a></td>
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<tr>
<td>33.</td>
<td>Department of Space</td>
<td><a href="http://www.dos.gov.in">http://www.dos.gov.in</a></td>
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<tr>
<td>34.</td>
<td>Forests Research Institute</td>
<td><a href="http://www.fridu.edu.in/">http://www.fridu.edu.in/</a></td>
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<td>35.</td>
<td>Haryana Operational Pilot Project</td>
<td><a href="http://agriharyana.nic.in/hopp.htm">http://agriharyana.nic.in/hopp.htm</a></td>
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<td>37.</td>
<td>Indian Council of Agricultural Research</td>
<td><a href="http://www.icar.org.in">http://www.icar.org.in</a></td>
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<tr>
<td>38.</td>
<td>Indian Council of Medical Research</td>
<td><a href="http://www.icmr.nic.in">http://www.icmr.nic.in</a></td>
</tr>
<tr>
<td>39.</td>
<td>Indian Council of Social Science Research</td>
<td><a href="http://www.icssr.vsnl.net.in">http://www.icssr.vsnl.net.in</a></td>
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<td>40.</td>
<td>Indian Space Research Organisation</td>
<td><a href="http://www.isro.gov.in">http://www.isro.gov.in</a></td>
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<tr>
<td>41.</td>
<td>Indira Gandhi Centre for Atomic Research</td>
<td><a href="http://www.igcar.ernet.in">http://www.igcar.ernet.in</a></td>
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<td>42.</td>
<td>International Foundation for Science</td>
<td><a href="http://www.ifssde">http://www.ifssde</a></td>
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<td>43.</td>
<td>Integrated Child Development Services</td>
<td><a href="http://wcd.nic.in/schemes/integrated-child-development-servicesicsd">http://wcd.nic.in/schemes/integrated-child-development-servicesicsd</a></td>
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<td>44.</td>
<td>Life Sciences Research Board</td>
<td><a href="https://drdo.gov.in/drdo/boards/lsrb/plsrb.htm">https://drdo.gov.in/drdo/boards/lsrb/plsrb.htm</a></td>
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<td>45.</td>
<td>Ministry of Environment &amp; Forests</td>
<td><a href="http://www.moef.nic.in">http://www.moef.nic.in</a></td>
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<td>47.</td>
<td>Ministry of Rural Development</td>
<td><a href="http://rural.nic.in/netrural/rural/index.aspx">http://rural.nic.in/netrural/rural/index.aspx</a></td>
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<td>48.</td>
<td>Oil and Natural Gas Corporation Limited</td>
<td><a href="http://www.ongcindia.com/wps/wcm/connect/ongcindia/home/">http://www.ongcindia.com/wps/wcm/connect/ongcindia/home/</a></td>
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<td>49.</td>
<td>Rural Development &amp; Panchayat Raj</td>
<td><a href="http://www.tnrd.gov.in">http://www.tnrd.gov.in</a></td>
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<td>51.</td>
<td>Space Applications Centre</td>
<td><a href="http://www.sac.gov.in/Vyom/index.jsp">http://www.sac.gov.in/Vyom/index.jsp</a></td>
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<td>52.</td>
<td>State planning commission</td>
<td><a href="http://www.spc.tn.gov.in">http://www.spc.tn.gov.in</a></td>
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<td>53.</td>
<td>Tamil Virtual Academy</td>
<td><a href="http://www.tamilvu.org/">http://www.tamilvu.org/</a></td>
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<td>54.</td>
<td>Tamilnadu Pollution Control Board</td>
<td><a href="http://www.tnppcb.gov.in">http://www.tnppcb.gov.in</a></td>
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<td>55.</td>
<td>UGC-DAE Consortium for Scientific Research</td>
<td><a href="http://www.csr.res.in/">http://www.csr.res.in/</a></td>
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<td>56.</td>
<td>University Grants Commission</td>
<td><a href="http://www.ugc.ac.in/">http://www.ugc.ac.in/</a></td>
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</tbody>
</table>
ANNEXURE A

CTDT ACTIVITIES

CTDT Activities

- Technology Development
- Technology Transfer (Intellectual Property Protection, Entrepreneurship Development, Technology Business Incubation)
- E-Governance
- Other Administration

Research promotional Activities

a. Awareness creation
b. Organizing and conducting interactive programmes / meetings with industries and R&D establishments
c. Motivating Faculty / Researchers / Students through awards, incentives, etc.
d. Showcasing Technologies / Research findings
e. Using the Consultants as brand Ambassadors
f. Publication of technical write-ups on R&D activities
g. Organizing visits both to the industry and by industry
h. Conducting appreciation programmes on state of the art technologies for specific sectors

Research Support Activities

a. Information dissemination about call for proposals
b. Mentoring and initiate new sponsored and consultancy projects
c. Aiding the Researchers to identify the right funding agency
d. Tracking the status of submitted proposals
e. Assisting the individuals to understand the procedures

Promotional Activities

a. Create awareness among Faculty / Research Scholars/ Students about industry sector based needs and Technology Transfer
b. Conducting of regular educational programs about commercialization of research
c. To promote Intellectual Property awareness among students, faculties through streamlined awareness campaigns.
d. To organize short-term Intellectual Property modules, seminars, workshops and conferences.
e. Awareness creation on Entrepreneurship Development among faculty, Research Scholar and students through seminars, workshops, interactive training programme etc.

Support Activities

a. Identifying suitable industry for Technology Transfer
b. Supporting proper test bed for evaluating the technologies
c. Directing individual to relevant experts in the industry
d. Help in distinguishing what type of intellectual property one may have invented or produced
e. Helping Faculty to file for IP protection
f. Provide legal opinion
g. Mentoring Academicians, Researchers, Students and Entrepreneurs for filing Patents and Trademarks in an effective manner
h. Protect Intellectual creations generated by Faculty/ Students and Research Scholars through streamlined approach in Patent filling
i. Provide consultancy services towards enterprising skill development.
j. To develop a methodology to monitor the present level of technology and its future development.
k. Providing facilities like Venture labs /
l. Providing business advisory services
m. Identifying individual / organization / industry who need help
n. Framework for commercialization
o. Providing business development services and resources

a. Designing and Developing CTDT website
b. Automation of Project Management Related Activities, Consultancy, testing, training, student innovative projects, awards
c. Collection, Creation and maintenance of database relevant to seminar, exhibition, conferences of research
d. Handling online queries
e. Server Management
f. Network Administration
g. System Maintenance

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