



R & D POLICY

(b) RESEARCH PROPOSAL & CONSULTANCY POLICY

Policy No: AI/RD/RPCP/005	Version No: 003	Owner: Principal	Page 1 of 21
Date of issue: 01 May 2024	Review date: 01 Jan 2025	Applicability: Staff, Students and Researcher	

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1. Introduction

AIT established with a motto of ‘Nurturing Aspirations Supporting Growth’. The reputation and success of any educational Institutes highly depends on attaining its objectives by aligning the staff, students and researcher towards research initiatives and relevant activities. The policy aims to help Stakeholders such as staff, students and researcher achieve excellence and to benefit human society as a whole to applied for economic growth. They are encouraged to carry out research activities & consultancy in the respective domains and interdisciplinary areas with a set of guidelines. The policy outlines the process of developing and submitting grant proposals. The Institute is committed to provide required monetary and infrastructural support towards promotion of research grant proposal and consultancy.

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2. Purpose and Scope

- The purpose of this policy is to outline the process of developing and submitting a research proposal, which could include grants, consultancy, contracts, or clinical trials, to an external sponsor.
- This policy will enable the Head of the Institutes to support Principal Investigators (PI) in the proper development and submission of a research proposal in accordance with sponsor guidelines.
- The scope of this policy applies to all stakeholders collectively to imbibe, promote and sustain research excellence in all AIT.

3. Policy Statement

The policy states the research grant incentives and consultancy amount are issued by the Management for staff, students and researcher for research grants, in order to create an environment that will foster research excellence in AIT. This document outlines the principles that should be considered while planning and conducting research. It should be followed strictly while recording, reporting and applying the results produced are emphasized.

4. Objectives

- i. The objective of research grant policy and consultancy is to provide guidelines and a framework for stakeholder within AIT to engage in scholarly research writing, and grant submission for academic excellence.
- ii. To secure financial support for a specific project or program. Grants serve as a vital source of funding for research, community projects, educational programs, and other initiatives.
- iii. To enable researchers, organizations, and individuals to advance their research goals, implement projects, and achieve specific outcomes. The proposal outlines the objectives of the project and how the funding will be utilized to meet those objectives:
 - a. to advance the understanding of a particular subject or address critical issues.

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- b. to address a specific need or problem within a community or a broader context. The proposal outlines how the project will tackle the identified challenges and make a positive impact.
- iv. To enhance capacity and resources which includes acquiring equipment, hiring personnel, or developing infrastructure.
- v. To establish or strengthen partnerships and collaborations.
- vi. To meet funding agency criteria include demonstrating how the proposed project aligns with the agency's mission, goals, and specific areas of interest.
- vii. To demonstrate accountability and feasibility of the proposed project.
- viii. To communicate impact and its sustainability beyond the grant period
- ix. To implement incentives for research activities and consultancy work.

5. Procedure

- i. Staff, Students and Researcher are encouraged to identify relevant funding opportunities that align with your project or research goals. Explore government agencies, private foundations, and other organizations that support projects in their field.
- ii. As per the guidelines provided by the funding agency the eligibility criteria, deadlines, required documents, and any specific instructions for preparing and submitting the grant proposal.
- iii. If PI or Co-PI have any questions or need clarification on any aspect of the application process, contact the funding agency. Many agencies provide contact information for program officers or staff who can assist applicants.
- iv. Prepare a comprehensive grant proposal that clearly outlines the project's objectives, methodology, budget, timeline, and expected outcomes. Tailor the proposal to meet the specific requirements outlined in the guidelines.
- v. Collect all supporting documents required for the grant application. This may include letters of support, resumes of key personnel, financial statements, and other relevant materials.

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vi. Create a detailed budget that clearly outlines how the grant funds will be utilized. Ensure that the budget aligns with the objectives of the project and complies with the funding agency's guidelines.

- Fill out any required application forms provided by the funding agency. This may include online forms, downloadable templates, or specific documents that must be submitted along with the proposal.
- Thoroughly proofread the entire proposal and accompanying documents. Check for clarity, coherence, and adherence to the guidelines. Revise as needed to strengthen your case for funding.
- If required, obtain necessary signatures on the proposal and other documents. This may include signatures from Institutes all representatives, collaborators, or project team members.
- Submit the grant proposal by the specified deadline. Pay attention to submission methods, which may include online submission portals, email, or postal mail. Ensure that all required materials are included in the submission.
- After submission, confirm receipt of the proposal with the funding agency. Some agencies may provide confirmation emails or receipts to acknowledge successful submission.
- Follow up with the funding agency to inquire about the timeline for decisions. Await the review process and be prepared to provide additional information if requested.

vii. Consultancy Work

- Any faculty receive proposal of consultancy the concerned shall bring to the notice of Head of the department, Head of the Institutes, and Head of the Research &Development mandatorily.
- Faculty should carry out the consultancy work within stipulated time and report to Head of the department, Head of the Institutes, and Head Research & Development.
- For the realising of received consultancy charges to be request made to Dean R&D for further approval process.

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6.Roles and Responsibilities

a) Responsibilities of Principal Investigator

- Each funding agency has their own set of guidelines and regulations, which both the PI and Co-PI must ensure that they are being strictly followed.
- PI and Co-PI should work with the head of the department to create a detailed budget that covers all aspects of the research. Monitor expenditures throughout the project to ensure adherence to the budget.
- Develop a detailed project plan outlining tasks, timelines, and milestones. Oversee the execution of the project to ensure that it aligns with the approved proposal and meets objectives.
- The PI and Co- PI must strictly adhere to the objectives mentioned in the proposal that has been approved by the funding agencies. Even small changes in work that deviate from the sanctioned work cannot be considered, without the knowledge of the sponsoring/funding agencies.
- Provide regular updates to the funding agency through progress reports, financial reports, and other required documentation. Retain research records for 3 years after study completion date and maintain subject confidentiality
- A proper repository should be maintained for all project related to financial transactions with the signatures of PI, Co-PI, Head of the Department, Dean R&D, Head of the Institutes, QA office and Assistant Director Research.
- During the closure of every financial year, a Utilization Certificate (UC), Statement of Expenditure (SoE) and project report has to be submitted, according to the guidelines of the funding agency need to be followed through proper approval from the Institutes level office.
- If PI leaving AIT to another Institutes/ organization/ establishment for any reason within the period of the project, then PI have to transfer the project to his/her department head and

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department head will identify the potential member to take up the charge, upon obtaining prior approval from the concerned funding agency with the consent of Co-PI.

- PI & Co-PI should oversee the data analysis process. Interpret results and draw meaningful conclusions to be communicated to reputed SCI Journals or Reputed Conference.
- With the sanctioned grants PI or Co-PI should conduct FDP/SDP for skill developments in the field of research work. Seek opportunities for professional development and training to enhance skills relevant to the project.
- Consultant for the received consultancy work should complete the work systematically putting in a loop with all stakeholders.

b) Responsibilities of Department Research Committee (DRC)

- Once the proposal has been prepared by faculty members or researchers within the department should assess proposals prior to submission.
- Evaluate proposals based on predefined criteria, including scientific merit, feasibility, alignment with department goals, and adherence to funding agency guidelines.
- The committee should give a constructive feedback to researchers whose proposals are under consideration. This may include suggestions for improvement or clarification.
- The committee assist researchers in understanding and navigating the grant application process. Provide guidance on proposal development and budget planning.
- If the department has discretionary funds or resources to support research, the DRC may allocate these resources based on the merit of proposals or as part of a broader research strategy.
- Based on the potential of research proposal DRC recommend for collaborate with other committees or departments to optimize the use of available resources.
- Ensure that proposed research projects adhere to ethical standards and meet Institutes all guidelines, including obtaining Institutes Review Board (IRB) approval for studies involving human subjects.

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- Stay informed about Institutes all policies related to research and ensure that all projects comply with these policies and promote interdisciplinary collaboration by identifying opportunities for joint research initiatives or partnerships within the Institutes or with external entities.
- Provide a platform for researchers to network and share their expertise, fostering a collaborative research culture within the department.
- DRC should regularly monitor the progress of ongoing research projects within the department that have received grant funding and also intimate the progression to Head of the Institutes as well as to Assistant Directorate of Research.
- In a regular basis the committee assess the outcomes and impact of research projects to determine their success and contribution to the department's research goals.
- The committee should encourage and support the professional development of researchers within the department. Facilitate opportunities for training, workshops, and conferences in line to the research grants.
- Maintain transparent communication with researchers regarding committee decisions, expectations, and any changes in policies or procedures.

c) Responsibility of Dean/Co-Ordinator R&D

- The Dean of Research and Development plays a critical role in fostering a vibrant research culture within the Institutes and ensuring the success of research endeavor through effective leadership, strategic planning, and resource management.
- Critically examine all the project proposals submitted by an expert committee specially constituted for the purpose and forward the same to the funding agencies. This procedure is adopted mainly to ensure the projects meet certain basic minimum quality criteria and encourage the faculty to be quality conscious.
- To review and approve a Principal Investigators’ proposal within his/her Institutes. Considerations include:
 - Does this proposed project fit with the College mission(s)?

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- Are the cost sharing commitments made by the Department appropriate and acceptable?
- Does the budget fully reflect the costs necessary to successfully perform on the project?

iv. To review and approve a Principal Investigators’ proposal within his/her department.

Considerations include:

	Y/N
1.1.1 Does the proposed project fit with the department mission?	
1.1.2 Is the faculty member able to complete this project at the level of defined effort given his or her other AI obligations?	
1.1.3 Are there sufficient resources to carry out the proposal? This review includes resources currently available at AI and any equipment or materials and supplies purchased during the project.	
1.1.4 Does this proposal need review by AI’s compliance committees?	
1.1.5 Is any proposed cost share acceptable and are these funds available during the proposed period of performance?	

- v. Monitor the progress and ensure Research / Consultancy Projects meet the various deadlines.
- vi. The annual progress report completed in all respects of all the ongoing projects has to be obtained from the concerned Principal Investigators (PIs) in proper format and the same has to be signed by Dean (R&D), Head of the Institutes, Head QA and Assistant Director Research on behalf of the Institutes and forwarded on time to the funding agencies.
- vii. Prepare the Budget Proposals for the office of Dean (R&D) and followed with Head of the Institutes, Head QA office and Assistant Director Research.

d) Responsibilities of QA Office

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- Review grant proposals to ensure that the research design, methods, and any potential risks are consistent with ethical standards.
- For projects involving human subjects, collaborate with Institutes all Review Boards (IRBs) to ensure compliance with ethical guidelines and the protection of participants.
- Verify that grant proposals comply with relevant regulations and guidelines, including those set by government agencies and funding bodies.
- Keep abreast of changes in regulations and requirements related to research and grant funding with regular review data management outlined in grant proposals to ensure the proper handling, storage, and security of research data.
- Establish and enforce protocols to ensure the integrity of research data, including measures to prevent data fabrication or manipulation.
- The office assess COI disclosures provided by researchers to identify any potential conflicts of interest related to the grant proposal and work with researchers and administrators to manage and mitigate conflicts of interest in accordance with Institutes all policies.
- QA office Investigate allegations, in cases of suspected research misconduct related to grant-funded projects, initiate investigations in accordance with Institutes all procedures.
- Facilitate fair and impartial investigations, protecting the rights of both the complainant and the accused. It also offer pre- submission reviews of grant proposals to identify and address potential compliance issues before submission to funding agencies.
- Collaborate with the Principal Investigator (PI) and other relevant offices to monitor ongoing research projects funded by grants to ensure continued compliance.
- The office adhere to ethical standards, regulatory compliance, and Institutes all policies throughout the research process and clearly communicate ethical and regulatory requirements to researchers during the grant proposal development process.
- Continuously assess and update QA processes to reflect changes in regulations, institutes all policies, and best practices in research compliance and proactively identify potential

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compliance risks associated with grant-funded research and propose risk mitigation strategies.

- Address instances of non-compliance promptly and implement corrective actions as necessary.

e) Responsibilities of ADR (Assistant Director Research)

- Review proposal components, including the project narrative, budget, and supporting documentation, to ensure completeness and alignment with grant guidelines.
- Work with the Quality Assurance (QA) Office to ensure that grant proposals adhere to ethical standards, regulatory requirements, and Institutes all policies.
- If applicable, collaborate with the Institutes all Review Board (IRB) to address ethical considerations in grant proposals, particularly those involving human subjects.
- Help PIs develop realistic and well-justified budgets for grant proposals. Ensure that the budget aligns with the project's goals and is in accordance with the funding agency's guidelines.
- Monitor budget expenditures and ensure that spending aligns with the approved budget throughout the grant period. Oversee the logistics of the proposal submission process, including assembling required documents, ensuring compliance with submission deadlines, and liaising with the funding agency or submission platform.
- Continuously scan for relevant funding opportunities and inform PIs about potential sources of funding that align with their research interests. Act as a point of contact between researchers and funding agencies and also communicate with funding agencies to seek clarification on guidelines and address any issues related to proposals.
- Maintain regular communication with PIs to provide updates on funding opportunities, proposal statuses, and other relevant information.
- Collaborate with relevant offices to resolve challenges or concerns that may arise during the grant proposal process and continuously evaluate and implement best practices in grant proposal development and management.

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- Establish mechanisms for gathering feedback from researchers to identify areas for improvement in the support provided
- The annual progress report completed in all respects of all the ongoing projects has to be obtained from the concerned Principal Investigators (PIs) in proper format and the same on behalf of the Institutes and forwarded on time to the funding agencies.

7. Standard Outline for Research grant proposal:

Title page	<ul style="list-style-type: none"> • Project title • Name and contact Information • Institutes affiliation
Abstract	<ul style="list-style-type: none"> • Brief summary of the research project • Objectives, methods, and expected outcomes • Usually limited to a specific word or character count
Introduction	<ul style="list-style-type: none"> • Background and context of the research problem • Statement of the research problem or question • Justification for the study (importance and relevance)
Literature Review	<ul style="list-style-type: none"> • Review of existing literature related to the research topic • Identification of gaps, controversies, or areas needing further exploration • Explanation of how your research contributes to existing knowledge
Objectives and Hypotheses	<ul style="list-style-type: none"> • Clearly state the research objectives • Formulate hypotheses if applicable
Research Design and Methods	<ul style="list-style-type: none"> • Explanation of the research design (e.g., experimental design, observational study, survey)

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	<ul style="list-style-type: none"> Detailed description of research methods and techniques Data collection procedures Data analysis methods
Expected Results	<ul style="list-style-type: none"> Anticipated outcomes and their significance How the results will contribute to the field
Timeline	<ul style="list-style-type: none"> Breakdown of the project timeline Milestones and deadlines for each phase of the research
Budget	<ul style="list-style-type: none"> Detailed budget breakdown Justification for each budget item Explanation of how the funds will be used to support the research
Ethical Considerations	<ul style="list-style-type: none"> Discussion of any ethical issues related to the research Explanation of how ethical concerns will be addressed
References	<ul style="list-style-type: none"> Complete list of references cited in the proposal Follow the citation style recommended by the funding agency
Appendices	<ul style="list-style-type: none"> Any additional materials or information that supports the proposal This may include CVs, letters of support, preliminary data, etc.
Data & Results	Straightforward
Discussion	Your ideas on what the data means
Conclusion	Summary of the findings ;Limitations of the study; Recommendations

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Acknowledgement	Especially grant sources
Reference	Pay special attention to the guidelines for references

8. Incentives for granted proposals and consultancy:

a) Internal Scrutiny Process

The following guidelines apply to the submission and processing of application:

- A fully completed Application Form (**Annexure 1**), dated and signed by the researcher, supervisor (if applicable) and departmental head.
- The application must be approved by the relevant departmental research committee head and department head.
- The application to be attached with grants proposals, registration fee receipt attested from Head of the department.
- The details will be verified by Dean Research office and intimated to the researcher after internal check.(Refer Internal Administrative Check)
- The above process needs to be communicated to Head of the Institutes, QA office and Assistant Director R&D (ADR) to carry out further approval and claim for incentives for granted proposals based on **Annexure 2**.

b) Internal Administrative Check

The published work should be communicated to respective Department Head. Department head need to form a DRC for checking the details for further approval. If DRC found potential in the work publish and meeting the guidelines of the policy. DRC can recommend to Dean R&D Office for further approval process. Dean R&D will communicate the details to Head of the Institutes, followed by QA Head, and Assistant Director R&D for claiming incentives adhering to the policy.

- The incentive application with proof details of proposal forwarded by Department Research Committee to Dean R&D office. Dean R&D will verify the submitted details inline to the Institutes policy and recommend for further approval to Head of the Institutes.

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- Head of the Institutes need to send the details to QA office for the verification of the quality of the published work and further approval.
- Once it is forwarded from QA Office to ADR office incentive amount claimed will be checked with Finance Office for the availability of the Research Fund.
- Institutes Finance Office give an implication to ADR office whether fund is available or not for the current year budget. If funds available, the information to be pass to ADR office from Finance Officer.
- Depend upon the information received from Finance Office, ADR office can recommend the claim for management approval. Once the approval is done ADR office need to communicate all stakeholders of the policy.
- 5% of the sanctioned grant amount will be incentive for PI and CoPI's.
- 20% of the 5% sanctioned grant amount will be issued as advance fund.
- Balance 80% of the 5% sanctioned grant amount will be issued after submission of the Utilization Certificate. (UC)

c) Incentive for proposal submission:

- Submission of proposals from faculty members with verification from Head of the Department (HOD), Dean R&D, Head of the Institution, Assistant Director of Research (ADR) and Head QA for the further approval process on the claim made.
- Refer to Annexure-2

9. Consequences and Compliance

- Knowing, International, or reckless violations of this policy are considered research misconduct defined by AIT Research proposal Policy and as such, will be referred to the Assistant Director R&D, Head of the Institutes, Head QA, Dean R & D with loop of Department Head.
- Violation of the policy that do not rise to the level of research misconduct may subject the individual to corrective action or other sanction by ADR. Disagreement regarding the order of authorship do not, in and of themselves of the policy or research misconduct.

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10. Change History

Version no.	Effective Date	Significant Changes	Previous Version no.

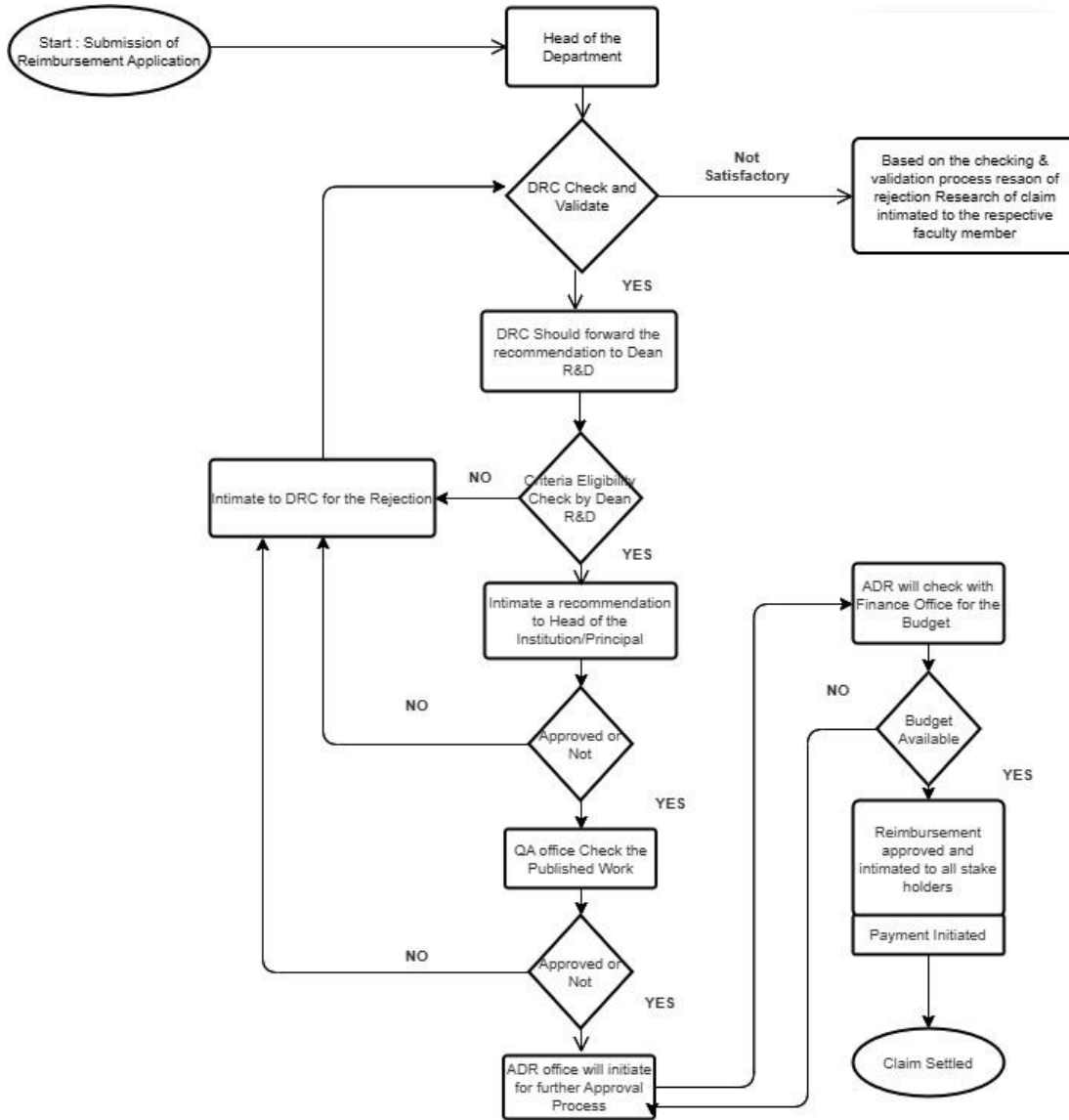
11. Flow Chart

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12. Annexures and Tables

Consultancy amount will be reimburse to respective consultant by the management.

Table 1

Incentives for Granted Proposal and Consultancy

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SL.No.	5% of Sanctioned Amount		For Example, Rs.10,00,000 is Sanctioned
1	Single PI	Full 5%	Rs. 50,000
2	PI	3.75 %	Rs. 37,000
	First Co-PI	1.25 %	Rs. 12,500
3	PI	2.5 %	Rs. 25,000
	First Co-PI	1.5%	Rs. 15,000
	Second Co-PI	1.0 %	Rs. 10,000
4	PI	2.5%	Rs. 25,000
	First Co-PI	1.0%	Rs. 10,000
	Second Co-PI	0.9%	Rs. 9,000
	Third Co-PI	0.6%	Rs.6,000

Table 2

Incentive for Grants Proposal Submission

Sl. No	Number of the Proposal Submitted	Incentive Amount
1	1 st Proposal	Rs. 1000
2	2 nd Proposal	Rs. 2000
3	3 rd Proposal	Rs. 4000

Annexure-1

Application Form


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Acharya Institute of Technology, Bangalore -560107, Karnataka, India		
1. Project Title:	Sanctioned Body: Sanctioned Number: Sanctioned Date:	
2. PI (Name & Address):	Date of Birth	
Institutes/ Department	Emp Id	
3. Co-PI (Name & Address):	Date of Birth	
Institutes/ Department	Emp Id	
4. Broad area of Research 4.1 Sub Area		
5. Approved Objectives of the Proposal:		
Date of Start:	Total cost of Project:	
Date of completion:	Sanctioned amount: Expenditure as on _____:	
Duration of the Project		
6. Methodology		
7. Salient Research Achievements:		

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Policy Drafting & Review Committee	Managing Director Acharya Institutess	Head, Quality Assurance Acharya Institutess



ACHARYA INSTITUTE OF TECHNOLOGY

Acharya Dr. Sarvepalli Radhakrishnan Road, Soladevanahalli, Bengaluru -560 107, India

R & D POLICY

(b) RESEARCH PROPOSAL & CONSULTANCY POLICY

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Patents filed/ to be filed:

Major Equipment (Model and Make)

Sl.No.	Sanctioned List	Procured (Yes/ No) Model & make	Cost (Rs in lakhs)	Working (Yes/ No)	Utilization Rate (%)

9. Declaration

I declare that the above in an accurate description of my contribution to this work, and the contributions of authors are described above.

PI/Co-PI Signature

Comments:

Signature of Head of the Department

Comments:

Signature of Dean R&D

Comments:

Signature of Head of the Institutes

Comments:

Signature of ADR, Acharya Institutes

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Comments:

Signature of Managing Director, Acharya Institutes

Annexure-2

Incentive Form (Proposal Submission)

From: Name: Dept: College: Mobile: Email:	To, The Management Acharya Institutes, Bangalore
--	--

Dear Sir/Madam,

I hereby request you to kindly grant the incentives for _____ work for the year _____.

Signature of Applicant

1. Project Title:	Sanctioned Body: Proposal-1 st / 2 nd / 3 rd
2. PI (Name & Address): Institutes/ Department	Date of Birth Emp Id
3. Co-PI (Name & Address):	Date of Birth

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Institutes/ Department	Emp Id
7. Broad area of Research 7.1 Sub Area	
8. Approved Objectives of the Proposal:	
Date of Start:	Total cost of Project:
Date of completion:	Sanctioned amount: Expenditure as on _____:
Duration of the Project	
9. Methodology	
10. Research work which remains to be done under the project (for on-going projects)	
11. Declaration I declare that the above in an accurate description of my contribution to this work, and the contributions of authors are described above.	

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-sd-	-sd-	
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Head of the Dept: _____ <div style="text-align: right; border: 1px solid black; padding: 2px; width: fit-content; margin-left: auto;">Signature</div>	Head QA: _____ <div style="text-align: right; border: 1px solid black; padding: 2px; width: fit-content; margin-left: auto;">Signature</div>
Dean R & D: _____ <div style="text-align: right; border: 1px solid black; padding: 2px; width: fit-content; margin-left: auto;">Signature</div>	Finance Department: _____ <div style="text-align: right; border: 1px solid black; padding: 2px; width: fit-content; margin-left: auto;">Signature</div>
Principal: _____ <div style="text-align: right; border: 1px solid black; padding: 2px; width: fit-content; margin-left: auto;">Signature</div>	Management: _____ <div style="text-align: right; border: 1px solid black; padding: 2px; width: fit-content; margin-left: auto;">Signature</div>
ADR: _____ <div style="text-align: right; border: 1px solid black; padding: 2px; width: fit-content; margin-left: auto;">Signature</div>	

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