



योजना एवं वास्तुकला विद्यालय, भोपाल
School of Planning and Architecture, Bhopal

क्र.सं.यो.वा.वि.भो./कु.स./2019-20/18
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दिनांक: 11 अप्रैल, 2019
Date: 11th April, 2019

Dean (Research)

BoG has in its 36th meeting held on 8th December 2018, approved revised rules of R&D and Consultancy. Copy of the approved rules manual is attached for your reference and its implementation with immediate effect.

Encl.: a/a

राजेश मोजा
कुलसचिव
(Rajesh Moza)
Registrar

Copy:
Director
All Faculties



Research Manual

School of Planning and Architecture, Bhopal

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1.0 PREAMBLE

The SPA Act 2014, defines the role of the SPA's to promote education and research in architectural studies including planning of human settlements. The SPA Act defines the powers and functions vested with the school and includes organizing and undertaking research and innovations in architecture, planning and allied activities in such manner as the School may think fit, including in collaboration or association with any other School, educational institution, research organization or body corporate.

2.0 THE ORGANIZATIONAL FRAMEWORK

The following components constitute the organizational framework related to the administering of research activities in the School:

- 2.1 The Dean, Research is appointed by the Director on approval of Board of Governors, SPA, Bhopal to head the Research activities of the School for a period of two years.
- 2.2 The Dean (Research) is assisted by an office to provide specialized administrative and managerial support for the operation.
- 2.3 The Dean's (Research) office becomes the one point of contact for all research and consultancy projects, and all concerned matters will be routed through the office, with his/her recommendations.
- 2.4 The office would be responsible for maintenance of project records, financial records and administration of contractual/deputed project personnel.

3.0 RESEARCH ACTIVITIES OF THE OFFICE OF THE DEAN, RESEARCH

This office would include the following categories of activities:

1. Sponsored Research Projects
2. Consultancy Projects
3. Organizing and conduct of Training Programmes
4. Recommendation for approval of Research Centres
5. Other Development and Outreach Activities

3.1 Sponsored Research Projects

Sponsored research projects refer to all internally or externally funded research projects. They are time and cost bound projects sponsored by government, public, private, national/international agencies and autonomous bodies. The project funding may be used by the project team as approved in the respective budget head provided by the sponsoring agency. In such projects the principal investigator (PI) and other team members usually cannot charge honoraria/consultation fees unless specified in the sponsor's terms and conditions. The sponsored research projects may be classified into two broad types:

A. Sponsored Projects undertaken solely by SPA Bhopal

When faculty and staff of SPA Bhopal prepare research project proposals and execute them independently, such projects qualify as projects undertaken solely by SPA Bhopal.

B. Sponsored Collaborative Projects

When faculty of the school participates in collaborative projects with other national or foreign partners, such project qualify as collaborative projects. In such projects, even though there may be an overall project, there must be a separate scope of work statement and supporting budget modules defining the involvement of the faculty and staff of the school.



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3.2 Consultancy Projects

Consultancy project refers to time-bound specific projects sponsored by funding agencies with payment of consultancy fees/honorarium to the Investigator(s) in addition to all other expenses. This is effectively a contract work in which all outputs belong to the client or sponsor.

- A. This includes assignments/jobs given by an external agency to a faculty of the school for working on a mutually agreed scope.
- B. It also includes assignments/jobs referred to the Director/Dean (Research)/Heads of Departments/Center Heads or any other non-specific functionary of the school, which may be taken up as a consultancy project by faculty members.
- C. It may also include projects where a faculty approaches a client with a project proposal for consideration or an incubation idea with the intention of commercializing it.
- D. However, the school shall not participate in any process seeking technical and financial proposals through an open market competitive bidding system. Submission of technical proposals for projects through invitation or empanelment with subsequent submission of financial quote directly or through mutual discussion and negotiation will be permitted.
- E. The fee to SPA Bhopal would preferably be payable as per the norms of the Council of Architecture and ITPI. However, it has to be approved by the Director in consultation with the Dean (Research) and PI.
- F. For research/consultancy works involving conceptual inputs or suggestions on site visits, not having a full scale of services, and with high social relevance and impact, no minimum fee is prescribed. The PI would require justifying the qualification of any project as this type of work and seeking prior approval from the Director through Dean (Research) before finalizing the fees to be charged.

3.3 Training Programmes

- A. The faculty and academic staff of the School will conduct training programmes for students, faculty and professionals from other government and private organizations in the fields of architecture, planning and allied subjects. This would lead to skill development and capacity building and provide knowledge based support to the industry and help in disseminating the knowledge to a larger section of society, not limited to the school alone.
- B. All Seminars, Conferences, Workshops would be conducted by the Departments directly and would not be the purview of Dean (Research).
- C. Students' conventions would not be in purview of the Dean (Research).

3.4 Research Centres

In order to develop research domains reflecting the vision and objectives of the school, creation of Research Centres within the school would be appreciated. Any proposed Research Centre would be created on approval of the Senate and Board of Governors of SPA, Bhopal, based on proposals submitted and routed through the Dean (Research). Dean (Research) in consultation with Dean AA and HoDs will submit the recommendations to Director in this regard.

3.5 Other Development and Outreach Activities

In addition to the Research and Consultancy projects undertaken by the School, the Dean (Research) would be responsible for undertaking and initiating the following activities:

- A. Institute Lecture Series by eminent scholars and professionals conducted by the departments would be monitored by Dean (Research).



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- B. The Dean will arrange for periodic sharing of research activities amongst all faculty members.
- C. National and International collaborations with research organizations for developing and collaborating on a common agenda, including MoU's with external agencies.
- D. Entrepreneurship development to foster innovation, research and entrepreneurial activities in design and technology based areas.
- E. Intellectual Property Rights (IPR) issues. Intellectual Property of any kind created by faculty, students, staff will be owned by SPA, Bhopal. All conditions of IPR would be governed by the Intellectual Property Policy Document developed by the school as per the National norms.

4.0 GUIDING NOTES FOR PROJECTS

4.1 General

- A. The faculty and members of the academic staff are permitted to engage in projects to such extent which will not interfere with the discharge of their other institutional duties.
- B. Studio and office space of the Institute should be utilized for carrying out project related activities. However, appropriate charges for Institute infra-structure may be paid, if permitted by the sponsoring agency.
- C. In case of assignments/jobs by an external agency where any faculty of the school is directly contacted for working on a mutually agreed scope, the project would usually be undertaken by the same faculty forming his/her own team.
- D. In case of projects referred to a functionary of the institute (Director/Deans/Heads of Departments/Registrar/Center Head etc.)/ or more than one individual faculty, the same may be marked to the Dean (Research) for further action. The Dean (Research) will then circulate the request for proposal to all concerned heads and all faculty members inviting expression of interest for the role of PI as well as supporting team members. Faculty members interested in being PI will also be required to suggest teams and submit their capability profile for the project to the Dean (Research). In case of multiple teams expressing interest in undertaking the same project, the Dean (Research) in consultation with Heads of concerned Department(s) and Center(s) recommends the most suitable team, on the basis of mutually agreed parameters, for Director's approval. The selected PI and his/her team are then required to prepare technical and financial proposals for the project.
- E. Total amount of honorarium/remuneration to be received by the consultant faculty members should not be more than three months of the salary in a Financial Year.
- F. All sponsored research/ consultancy/training projects expenses will be met out of the project funds as per the rules of sponsoring authority.
- G. In the case of consultancy, the PI may with the approval of the Director through Dean (Research) may avail the services of individuals not in the institute service, or in any other government organization, as consultant to a project. However, in any project, the amount payable to the consultant(s) must not exceed 25% of the total contracted amount after deducting institute share and applicable taxes.
- H. If project has come in the name of PI, and if he/she leaves the institute to join any other research/educational organization, through proper institute norms, then the project may be transferred with the PI along with the remaining money, if it is acceptable to both the institutes and the sponsoring agency.
- I. Faculty visits to organizations as jury of competitions, for academic planning, research management, coordinating committee, invited lectures, conducting of viva-voce examinations, will not be governed by the Dean (Research) office.

4.2 Project Approval & Monitoring

- A. All projects proposed by faculty and staff of SPA, Bhopal will be routed through the Head(s) of Departments, to ensure that their institute/academic duties are not compromised (Refer Annexure 1 and 2 for formats of proposal submission).
- B. Dean (Research) will process the submitted proposals for Director's approval.



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- C. In case of any disagreement and conflict of interest, the matter will be referred to Director for resolution.
- D. All proposals sent from the institute to Clients would be accompanied by a covering letter from the Dean (Research)/Director stating the team composition for the project and including standard terms and conditions of engagement and payment applicable.
- E. Thereafter the responsibility of monitoring the progress of project, negotiations and finalization of scope of deliverables lies with the PI of the project.
- F. On finalization of scope, deliverables and time frame mutually accepted by the team and the client/sponsor, a final agreement/contract stating all terms of engagement and financial commitment is drawn up and signed by the Dean (Research)/Director as acceptable to client on behalf of the school.

4.3 Project Responsibility:

- A. The date of signing of MoU/Agreement, is considered as the project initiation date. The Dean (Research) marks the project to the concerned PI for execution.
- B. It is desirable to have Co-Principal investigators (Co-PI) to operate the project and meet the deliverable requirements in absence of the PI.
- C. For all projects awarded to the School, all responsibility related to project execution, monitoring, quality control and timely delivery lies with the PI of the project.
- D. The responsibility of project administration, utilization of funds, account keeping, disbursement of reimbursement and remuneration amongst team members lies with the PI.
- E. At the end of each Financial Year and at the end of the project, a project status and completion report and a fund utilization certificate needs to be sent to the sponsoring agency by the PI through the Dean (Research) after approval of Director.
- F. On completion of the project, a project report with funding utilization details should be submitted to the Office of Dean (Research), based on which the project account will be closed.
- G. Assets created through project would be property of the institute and would be transferred to the institute after the project is over. However, the faculty may retain those till he/she is working in the institute for further research work as per the institute norms.

4.4 Finance and Accounts

- A. All funds in connection with projects will be received in the name of Director, SPA, Bhopal in the form of DD/Electronic bank transfer.
- B. A separate account head for every project shall be maintained by the Office of Dean (Research) and accounts of all projects will be maintained by them with the assistance of the Institute's accounts department.
- C. Separate account for projects/ training programmes should be maintained if funding is received in foreign currency.
- D. Separate account for sponsored projects may be maintained, if warranted, by the funding agency.
- E. PI would have operational rights of the project account routed through the institute accounts department after due processing through Dean (Research) and Director.
- F. All PIs are required to submit advance requests through the office of Dean (Research) for processing by accounts personnel. Cash advance shall be drawn in the name of permanent employees only working in the projects.
- G. PIs are required to submit all verified statements of expenditure, to the office of the Dean (Research) for accounting purposes.
- H. The PIs shall be responsible for submission of internally audited statement of accounts as and when required by the sponsors.
- I. All purchase proposals following purchase procedures of the School, shall be processed through the office of Dean (Research).
- J. PIs of projects shall arrange to maintain Procurement-cum-purchase Registers and Stock / Asset Register.



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- K. The remuneration will be paid to the faculty / staff as per norms and on the recommendation of the PI.
- L. The share of institute overheads for different types of projects will be governed by the terms specified in the 'Section 5.0, Institute Policy on Budgetary Norms and Overheads' of the manual.
- M. Disbursal of project funds as Institute overhead and remuneration to faculty and staff will only be done on pro-rata basis on receipt of project funds from the client.
- N. Periodic reconciliation of accounts by PI and accounts department shall be done as and when required by Dean (Research) office.

4.5 Human Resources

- A. Project staff will be hired for all projects for assisting/working on the project as per the qualification and experience requirements specified by the school.
- B. The project staff shall work towards fulfilling the objectives of the project.
- C. Open selections will be held for all project positions according to the school's hiring regulations.
- D. Engagements on all project positions drawing emoluments will be on contract only.
- E. Any contractual staff appointed shall execute a Contract Agreement with the PI at the time of joining stating all terms and conditions and tenure of contract with provisions of terminating the contract by either side with a month's notice. The contract will be countersigned by the Dean (Research) and the original will be retained in the office of Dean (Research).
- F. Students (internal/external) may be engaged in projects as part of 'internship' on being selected by the PI and may be paid remuneration for their work, if project funds permit.
- G. GATE scholars of post graduate courses may be attached to PIs on sponsored research projects during session, with the consent of the Head of the Department, without separate remuneration, for a limited number of hours per week as per the scholarship rules, with information to Dean (Research).
- H. PhD scholars of the institute may be attached to PIs on sponsored research projects, with the consent of the Supervisor and Head of the Department during session, for a limited number of hours per week as decided by the PI and Head, without separate remuneration, with information to Dean (Research), preferably on projects aligned to their research domain. Project scholarship may be given to the scholars from the project, if they are not receiving any other fellowship.
- I. In case of research/consultancy projects, in which a significant component of work is undertaken as a studio exercise involving all students, expenses on travel, accommodation, food, stationery etc. may be borne out of project funds for all students. However, no payment of remuneration or manpower hiring charges would be permissible to students.

4.6 General Guidelines for Training Programmes

- A. For organizing and conducting Training Programmes, requests from faculty/departments/centres have to be routed through the Head/s of departments to the Dean (Research), who will obtain necessary approval of the Director (refer Annexure 2 for proposal format).
- B. Monetary requirement for the organization of such training programmes is to be recovered through sponsors or by charging of registration fees from the participants.
- C. Training Programmes may also be taken up at the request of external sponsor agencies to fulfill specific objectives. In such cases total/partial funding may be availed from the sponsor agency.
- D. Training Programmes which form part of the deliverables and outcomes of some research or consultancy project are required to be funded from the project fund.
- E. The cost of the school infrastructure shall be paid by the received funding.



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5.0 INSTITUTE POLICY ON BUDGETARY NORMS AND OVERHEADS

- A. The budgetary norms and share of institute overheads will be specific to the different research, consultancy and training activities undertaken by the school.
- B. In case of Government/academic sponsored research projects, Institute overhead may be waived off by the Director on recommendation of Dean (Research), if not permitted by the sponsoring agency.

5.1 Overheads

The overheads or institute share of funds received from the above mentioned sources would be used to maintain the following funds:

- A. **Institute Account:** This Account is SPA Bhopal project account operated by the Director.
- B. **Departmental/Center Development Fund (DDF):** This is a fund of the department/center to which a share of the overhead charges from Research and Consultancy projects are transferred. In case of multidisciplinary projects the department/center would be on the recommendation of PI. The head of the department/center operates the DDF. It is like a perpetual fund which may be accumulated over time. The DDF may be utilized for the following purposes:
 - i. Purchase of equipment for the department/center
 - ii. Office administrative charges (stationery, cartridge etc.)
 - iii. Taxi fare, travel reimbursement for guests visiting the department/center
 - iv. Additional expenses for academic study tours conducted nationally or internationally
 - v. Travel for potential project.
 - vi. Any Other on approval of Director
- C. **Professional Development Fund (PDF):** This is a fund for faculty and academic staff of the institute, to which a share of the institute overhead charges from Research and Consultancy projects are transferred. It is like a perpetual fund which accumulates over time. The PDF may be utilized for the following purposes by the faculty:
 - i. Purchase of equipment
 - ii. Travel (national and international) for research or related discussion
 - iii. Purchase of books, journal subscription, professional membership
 - iv. Teaching material and teaching aid
 - v. Expenses related to promotion of professional activities
 - vi. Travel for potential project.
 - vii. Any other expenditure with the approval of Director

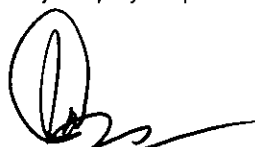
5.2 Distribution of Overheads:

The calculation and distribution of overheads into the various types of funds, according to the type of Research activity, is specified in the table enumerated below:

Sl. No.	Nature of Activity	Overheads to be charged as percentage of project cost (A)	Share of Overhead in various funds		
			Institute	DDF	PDF*
1.	Sponsored Research	10**	0.6 A	0.25 A	0.15 A
2.	Consultancy	30	0.4 A	0.3A	0.3 A
3,	Training Programmes	00	-	-	-

*The PDF will be divided amongst the PI and the team according to the percentage specified by PI.

**Institute overhead may be waived off, if not permitted by the project sponsoring agency.



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5.3 Service Tax Deduction

- A. In case of consultancy projects, at the stage of proposal submission, the budget will reflect a service tax component as applicable by Government of India at that point of time.
- B. When money is received from the sponsoring agency, at first instance, service tax will be deducted after which institute overheads will be deducted from the remaining funds and the balance funds are credited to the project account, as per the budgetary allocations of the project. This will be carried out on pro-rata basis.
- C. Service tax is not deducted if the funds are received in foreign currency.
- D. Other taxes as per Government of India norms (as applicable from time to time) would be deducted from the project funding.

6.0 FORMS AND ANNEXURES

Forms required for proposal submission are attached as annexure 1 and 2. All other forms will be available with the office of the Dean (Research) and online for use by all faculty and staff members and would be updated periodically.



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ANNEXURE 1: RESEARCH/CONSULTANCY PROJECT PROPOSAL FORM

(For Internal use only, to accompany all project proposals being forwarded to Office of the Dean
R&FW)

- I. (A) Name of the Project :
(B) Principal Investigator :
(C) Co-PI (s) : 1.
2.
(D) Any other Collaborating Agency : 1.
2.
(E) Research/Consultancy Agency being approached:
(F) Name of their Representative (with Email, phone):
(G) Value of the project proposed:
(H) Duration of the project proposed:
- II WHETHER dedicated infrastructure is required (space, equipments, staff, any other) for the project. If yes, specify details:
- III. STATE whether cost of the whole or any part of the Infrastructural facilities listed under II above to be met from proposed projects funds:
- IV. ANY other facility specifically required to be provided for by the Institute, but not provided for by the Consultancy Agency (e.g. Air-conditioning of rooms etc.):
- V. Provision for Institute Overheads:
- VI. Provision for Service Charges:
- VII. The Investigator is agreeable to nominate another faculty member to look after his/her project in case he/she goes on leave:
- VIII I have enclosed detailed proposal of the project:

Submitted by:

PRINCIPAL INVESTIGATOR(S)

Forwarded by:

HEAD(S) OF DEPARTMENT(S)

Reviewed & Recommended by:

DEAN (RESEARCH)

Approved by:

DIRECTOR



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ANNEXURE2: TRAINING PROGRAMME PROPOSAL FORM

(For Internal use only, to accompany all Training Programme proposals being forwarded to Office of the Dean Research)

1. (a) Title / Name of the Training Programme:

(b) Coordinating Department:

(c) Period:

(d) Coordinator(s):

2. Objective of organizing the Training Programme in the context of the present day needs:

Objectives (Max. 250 words):

3. Target Audience:

4. List of various sessions planned and attached : Yes () / NO ()

5. Funding from other sources:

S.No	Name of the Sponsoring Agency(ies)	Amount Requested/Sanctioned
1.		
2.		
3.		

6. (a) Total participants expected to participate

a. Participants from India : no(s)

b. Participants from abroad* : no(s)

c. Participants from SPA, Bhopal : no(s) and details if faculty/research scholars/students

*Permission from Ministry of External Affairs is necessary

(b) Likely resource person(s) invited for various training sessions

S.No.	Names of Resource Persons	Organization Affiliation
1.		
2.		
3.		
4.		
5.		

7. Total anticipated expenditure under the following heads:

(a) Travel expenses for Resource persons:

(b) Training Infrastructure expenditure:

(c) Boarding and Lodging of Resource Persons and Participants:

(d) Pre-event Printing (Reading material, programme brochure etc.):

(e) Stationery:

(f) Secretarial Assistance:

(g) Publication of proceedings and estimated expenditure (if required):

(h) TOTAL of (a) to (g) :



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8. Total anticipated income out of the following:

(a) Registration fee of the participants:

(b) Any other income / grant:

(c) **TOTAL of (a) to (b) :**

9. Grant requested from SPA, Bhopal (if any):

10. Any other information which you may like to add:

11. Enclosed detailed proposal:

Submitted by:

TRAINING PROGRAMME CO-ORDINATOR(S)

Forwarded by:

HEAD(S) OF DEPARTMENT(S)

Reviewed & Recommended by:

DEAN (RESEARCH)

Approved by:

DIRECTOR


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