

## **Guidelines for proposals to Dte. of ER & IPR**

### **1. Eligibility**

DRDO scheme is instituted to nurture and harness the research talents available in the country for national defence and security. Under this scheme, grants are offered to Indian academic institutions of national importance/repute, national science and technology centres, research institutions, non-profit professional societies performing advance research, acclaimed scientists attached to approved research institutions, UGC/AICTE/MHRD recognized self financing/private institutions, herein after referred as, for the purpose of performing extramural research and activities in areas of interest to DRDO.

DRDO Grants-in-Aid Scheme does not encourage applications for assistance to build up basic facilities in the research Institute except under special facilities required for projects. Projects may be granted to permanent faculty member/ researcher as Principal Investigators of grantee institute. PI will be able to take one research project at a time from DRDO funding. No payment/remuneration to be made to PI, faculty members, regular staff of Grantee Institute drawing regular salary from the grantee institution. Projects may be handled by more than one Principal Investigator and/or multiple institutions.

### **2. Application Process**

While applying for the grant, the concerned institution would forward soft copy of the application in prescribed form RB-01 to Director ER&IPR, along with necessary documents and certificates. Proposals will be received throughout the year.

### **3. Procedure of Grant**

Research projects under this scheme broadly originate as follows:

1. Projects of interest to DRDO are referred to the research institutes through direct engagement, wherever the research capability of the institute in similar area is known or the research institute is of repute and is ready to undertake the sponsored research as per ER terms and conditions.
2. Focus areas of Research are at DRDO web portal. Research institutes, can respond with specific research proposal to DRDO.
3. The research institute based on its current research activities and capability proposes to undertake research in defined areas which have significance to current or future defence technologies of interest to DRDO.

Essential sanction processes are illustrated below:

<b>Stages</b>	<b>Process</b>
<b>Proposal Content</b>	The proposal needs to address the needs of DRDO / Defence services. The proposal will provide aim and objective of the research activity, relevance, current status, time period, facilities available as envisaged in terms of infrastructure and special equipment along with budgetary quotation, major activities and time lines, cost and its breakups, stages of reviews, likely outcomes/ deliverables, documentation, and details of the Co-PI etc. A format of the standard proposal is at ER/RB-01.

<b>Proposal Submission</b>	PI to submit the soft copy of project proposal application ink signed by competent authority and sent to Director, ER & IPR. DRDO HQ along with necessary documents and Certificates detailed in ER/RB-01. Proposals will be received throughout the year.
<b>Proposal Scrutiny &amp; Review</b>	Directorate of ER & IPR will scrutinise proposals for completeness and duplicacy and then send to Director General (Aero, Naval, Missiles, Life Sciences, Electronics, Cyber, Microelectronic devices). The DG (Cluster) and DRDO laboratory directors will inform PI about any deficiency and advise to revise or present the proposal to them accordingly.
<b>Approval &amp; Sanction</b>	After technical review/ acceptance, projects will be processed for sanction by Directorate of ER & IPR through Competent financial Authority (CFA) with appropriate financial concurrence. Director ER & IPR/ Appropriate authority will issue sanction letter and follow-up procedures for release of funds.
<b>Fund Release</b>	<p><b>I.</b> For release of first instalment, Grantee Institute need to submit information as available on web site or as per following in case of manual submission:</p> <ul style="list-style-type: none"> <li><b>a.</b> Contingent bill – ER/RB-02</li> <li><b>b.</b> ECS Mandate – ER/RB-03</li> <li><b>c.</b> MOC/MOU (for high value projects more than Rs 1 Cr.)</li> </ul> <p><b>II.</b> For subsequent release of funds the following need to be submitted by the grantee institute:</p> <ul style="list-style-type: none"> <li><b>a.</b> Contingent bill- ER/RB-02</li> <li><b>b.</b> Annual progress report- ER/RB-04</li> <li><b>c.</b> Audited Statement of accounts and expenditure, Utilisation certificate – ER/RB-05</li> <li><b>d.</b> Equipment details –ER/RB-06</li> <li><b>e.</b> The grant is to be released annually. However the PI/Registrar of Institute need to spend the advance given for Ist time. The next grant will be released only the difference of grant</li> </ul> <p>Grantee Institutes to open a saving bank account and adjust/refund the accrued interest.</p>
<b>Progress Report &amp; Review</b>	<p><b>I.</b> The PI will submit half yearly progress report as per ER/RB-04. The date of ECS transfer of first instalment by PCDA will be the project start date.</p> <p><b>II.</b> Projects (Less than Rs 1 Crore) will be reviewed biannually by cluster DG/collaborating lab/CC/Panel board. A Project advisory committee (PAC) will review the project annually. PAC will have a representative from ER&amp;IPR, and at least one member from the collaborating DRDO labs.</p>

	<p><b>III.</b> High value (More than Rs 1 Crore) projects will be reviewed as per MoC/MoU.</p> <p><b>i)</b> Biannually by a Research Program Implementation Group (RPIG) and advice mid-course corrections wherever required in case of ER &amp; IPR.</p> <p><b>ii)</b> Annually by Project Advisory Committee (PAC) which will look into techno-managerial aspects like overall technical progress, release of funds including recommendations for reappropriation of allocated funds and other financial aspects, special requirements and considerations in support of research progress, publication &amp; presentation of papers in conferences &amp; filing of patent, recommend short closure of projects and any other issues and provide appropriate recommendations to the approving authority.</p>
<p><b>Project Closure</b></p>	<p><b>I.</b> Project closure documents will constitute of following two sets of documents:</p> <p><b>a)</b> A Financial Report which will essentially contain the statement of accounts (ER/RB-05).</p> <p><b>b)</b> A Technical Report will be prepared with all necessary technical details as required to document and transfer knowledge (know-how and know-why) in sufficient details from the research team to the DRDO laboratory project teams. The TR will also contain following:</p> <ul style="list-style-type: none"> <li>• Final completion report ER/RB-07</li> <li>• Future scope of work</li> </ul> <p>The PI will submit the closure documents within 60 days of completion/closure/ termination of the project.</p> <p><b>II.</b> In case funds are not utilised by the end of project, unspent balance will be refunded to Director, ER&amp;IPR through Demand Draft drawn in favour of PCDA (R&amp;D). The refund will also include interest accrued on the fund deposited against the project, if any.</p> <p><b>III.</b> In case of timely non refund of unspent amount, the grantee institution will be liable for payment of penal interest as per GFR -2017 as amended from time to time.</p> <p><b>IV.</b> Surplus stores to be disposed as per and the money generated should be refunded to ER&amp;IPR through Demand Draft drawn in favour of PCDA (R&amp;D).</p>

## Procedure for release of Grants for Conduct of Seminar/Symposia/Conference/Workshop etc.

Director, ER &IPR will also receive proposals for seeking financial support (full or partial) for conduct of symposia/seminars/workshops/courses etc. Proposals which are of interest to defence will be supported to the extent possible.

<b>Stages</b>	<b>Process</b>
<b>Proposal Content</b>	Application for grants will contain details as per ER/RB-09.
<b>Proposal Submission</b>	<b>I.</b> Hosting Institute/Society need to nominate a coordinating faculty/ Convener who will represent the institute for making proposal for the grant and processing all activities in connection with the event. <b>II.</b> The coordinator can file the proposal online. For manual submission the application form generated by the system need to be ink signed and sent to Director, ER & IPR DRDO HQ for processing.
<b>Proposal Scrutiny &amp; Review</b>	<b>I.</b> Directorate of ER &IPR will review proposals in terms of its usefulness and relevance to DRDO. <b>II.</b> Sanction will be granted by the Competent Financial Authority (CFA) with appropriate financial concurrence. <b>III.</b> Director ER & IPR will issue sanction letter and follow-up all procedures for release of funds.
<b>Fund Release</b>	Grantee institute need to submit the ECS Mandate –ER/RB-03 for release of funds.
<b>Settlement of Accounts</b>	On conclusion of the symposia / seminar / workshop / course, the institute will render a comprehensive report to Director, ER & IPR which will include seminar/workshop proceedings. Settlement of accounts along with submission of utilization certificate ER/RB-10 should be done within 60 days after conclusion of the event.

### **4. Detailed Rules**

#### **Hiring of Staff/ JRF/ SRF/ Research Scientists**

- a) The following categories of staff may be employed by the institute for the project sanctioned:
- i. Research Scientists (RS)
  - ii. Research Associates (RA)
  - iii. Senior Research Fellow (SRF)
  - iv. Junior Research Fellow (JRF)
  - v. Project Assistant (PA)
  - vi. Workshop/Technical Assistant (TA)

- b) Pay Structure: The Research Staff on projects can be employed in pay scale as per Government guidelines.
- c) Staff Selection Procedure: For staff not covered in above the research staff can be employed as per the norms of the institution/ university under intimation to Director, ER & IPR.
- d) The staff employed under the Grants-In-Aid scheme is the full time employee for research work on the project. They should not be engaged for routine lecture or demonstration work in the institution in which the projects are based.
- e) The staff appointed for all practical purposes, treated as employees and is subjected to the administrative control and rules (leave, TA/DA/medical/HRA etc.) of the institution/ university where projects are based.
- f) DRDO holds no obligation for absorption of such Staff/ talent after the completion of project.

### **Reports and Publication**

Prior permission of the ER&IPR should be obtained for publishing or presenting any technical information connected with the DRDO sponsored projects or activities. Research outcome that are having potentials of patenting shall be processed first for filing patents. The financial assistance rendered by DRDO will be acknowledged in the paper. A copy of reprint of published papers will be sent to Director, ER & IPR. For making any commercial use of the investigations carried out under Grants-in-Aid scheme, prior permission of DRDO would be essential.

### **Equipment Retention Policy**

- a) All equipment should be marked with ER & IPR Project Number and serially numbered.
- b) Proper stock accounts should be maintained for the items purchased.
- c) A list of equipment mentioning all details should be sent to Director, ER&IPR in the given format (ER/RB-06).
- d) The ownership of equipment procured through the grants-in-aid funding will rest with DRDO.
- e) Any request for retention of equipment to the institute for the benefit of academic purpose or in support of future research may be considered. Such request for retention should be submitted to Director, ER&IPR, as applicable with appropriate justifications for consideration. (Format No. ER -08)

### **Termination of Grants**

In case of PI/Co-PI leaving the institution or going abroad, the executive authority of the institution to which the project has been sanctioned will ensure that an alternate PI is identified for bringing the project to a satisfactory logical conclusion.