

ANNEXURE – 3

STANDARD TERMS CONDITIONS FOR RESEARCH PROJECTS TO BE FINANCED FROM STEEL DEVELOPMENT FUND (SDF).

A- GENERAL

- a) The research institutions/laboratories/organizations pursuing the R&D project with financial assistance from SDF will be held responsible for non-completion of project or leaving the project mid-way.
- b) The research institutions/laboratories/organizations will not allow the project co-coordinators to leave a project undertaken by him without completing it or without making alternate arrangement in consultation with Ministry of Steel.
- c) Ten copies of the Project Completion Report (PCR) should be sent by the research institutions/laboratories/organization to the Secretariat to the Empowered Committee, Ministry of Steel, (Technical Wing), Government of India, UdyogBhawan, New Delhi 110011. One copy of the PCR should also be sent to the Secretary, SDF Managing Committee, Joint Plant Committee (JPC), IspatNiketan, 52/1A, Ballygunge Circular Raod, Kolkata-700 019 within one month of the completion of the project in the proforma given at **Attachment-1.4**.
- d) Quarterly (end of March, June, September & December) Progress Report on the Research Project should be submitted to the Ministry of Steel, (Technical Wing), Government of India, UdyogBhavan, New Delhi-110011 and to Secretary, SDF Managing Committee, Joint Plant Committee (JPC), IspatNiketan, 52/1A, Ballygunge Circular Road, Kolkata-700 019 as per proforma given at **Attachment-1.1**.
- e) **Empowered Board of Experts will be constituted as per policy in force for review and monitoring of the progress of the projects. TA/ DA of the members of the Empowered Board (EB) for attending the meetings of EB would be reimbursed from the Travel Head of the SDF grant given for the R&D project. Provision for TA/ DA should be incorporated in the project proposals.**

B-FINANCIAL

- i) **A dedicated project account/ head should be created for keeping the SDF grant so that the expenses in the project under various heads could be tracked. The interest accrued, if any, on the SFD Grant, should be refunded to JPC, Kolkata.**
- ii) The details of expenditure as on last date of each quarter should be submitted in the proforma given at **Attachment-1.2**.

- iii) The researcher(s) will keep proper account of the money. In case there is surplus money on completion of the project, the same should be returned to Steel Development Fund (SDF).
- iv) The researcher(s) will provide utilization certificate duly endorsed by the respective Head of organization to the Secretary, SDF Managing Committee, Joint Plant Committee, Kolkata and Ministry of Steel, (Technical Wing) in the proforma given at **Attachment-1.3**.
- v) A separate mention may be made in the Balance Sheet of the Company/Organization about the money to be sanctioned from SDF and the auditor(s) of these organization will audit the utilization of the money, as per the rule of the respective organizations.
- vi) **Money should normally be spent for the particular end use for which it is sanctioned i.e. expenditure under different heads would normally not exceed the sanctioned amount barring minor adjustments. However, in case, the cost of a particular equipment/ head vis-à-vis the approved cost exceeds 20%, The Project Investigator should obtain prior approval of Ministry of Steel. However, such relaxation is subject to the condition that the overall cost of the project remains within the approved grant.**
- vii) The assets including prototype(s) or pilot plant if any, wholly or partly acquired out of SDF money during the course of implementation of the project or any materials including scrap, component etc., generated during the execution of the project or left over at the end of the project shall not be disposed within 10 years of procurement/installation without the written permission of the Ministry of Steel (Technical Wing). However, if and when the assets are sold with the permission of Ministry of Steel, the money may be paid back to the financiers in proportion of actual amount received from them.
- viii) After the project proposal has been approved by the Empowered Committee (EC) for SDF funding, the executing agency shall not accept new sponsor or obtain funds from agencies other than those from whom such funding was envisaged in the approved project proposal, except with the prior written permission of Secretariat to the EC, Ministry of Steel, (Technical Wing).
- ix) Any expenditure incurred for the project by the proposer prior to the sanction shall not be admissible against SDF funding.
- x) Without specific approval of the Empowered Committee (EC), Ministry of Steel, (Technical Wing), SDF money will not be utilized for foreign training envisaged, if any, in the research project.

C - INTELLECTUAL PROPERTY RIGHT (IPR)

- i) The ownership of Patent Right shall lie with the institution/organization and no individual inventor/project coordination will file patent in its own name or assign any rights to any body else to file the Patent. The Institution/

Organisation will also indemnify the Government against any possible infringement of IPR.

- ii) The researcher shall not publish or present their new ideas & research results before patenting without specific permission of the Ministry of Steel, (Technical Wing). For permission for publication/presentation of research results (before patenting), the researcher will apply to Ministry of Steel, (Technical Wing) giving details in the proforma given at **attachment-1.5** along with a undertaking duly countersigned by the Head of Deptt./Dean of research/Vice-chancellor/ Director as the case may be stating that matter contained in the publication/presentation does not reveal any data/information which would be detrimental to subsequent filing or granting of patent.
- iii) Ministry of Steel will give permission based on the above undertaking, which may be subject to a review, by the IPR Committee later.
- iv) If the knowledge generated from the research is used in house then no payment is to be made to SDF. If the patent/knowledge is sold by the inventor for commercial use, @ of 20% of the payment received should be ploughed back to SDF.

Attachment-1.1

Quarterly(end of March, June, September & December) Progress Report for the period.....

1.0 Objectives (target) :

2.0 Activities completed (Summary) in earlier Periods :

- i) S.No.:
- ii) Activities :
- iii) Target date of completion :
- iv) Actual date of completion :
- v) Cumulative Progress & results obtained :
- vi) Expenditure incurred for the activities :
- vii) Remarks :

3.0 Details of Progress made since last quarter.

- i) S.No.:
- ii) Activities :
- iii) Target date of completion :
- iv) Actual date of completion :
- v) Expenditure incurred for the activities :
- vi) Results obtained so far:

4.0 Assessment & Remarks.

- i) Details of balance work left out and likely date of completion of the project based on the progress as on date.
- ii) Highlights of achievement so far vis-à-vis the targets/objections set for the R&D Project indicating if the results obtained so far are on expected lines and whether it will be beneficial to continue the work.
- iii) Suggestions/proposals to modify the course of action, if any, with justifications.

5.0 Details of laboratory equipments/Assets purchased/installed since beginning.

Name	Location	Original Cost in Rs.	Present Condition
i)			
ii)			
iii)			

(Signature with date)

**STATEMENT OF QUARTERLY AND YEARLY EXPENDITURE ON R&D
PROJECTS AS ON-----.**

A. SDF MONEY:

- i) S.No.
- ii) Sanction Heads
- iii) Funds Allocated (head-wise)
- iv) Expenditure incurred (head-wise, quarter-wise & year-wise)
- v) Cumulative Expenditure
- vi) Balance as on date (Col. iii-v)
- vii) Remarks, if any

i) Signature of Principal Investigator ii) Signature of Registrar/Accounts Officer

iii) Signature of Head/ Director of Institution iv) Signature of the Statutory Auditor with stamp

B. Details of expenditure of money from other sources including internal sources (head-wise, quarter-wise & year-wise)

**UTILIZATION CERTIFICATE OF MONEY FOR THE QUARTER AND YEAR
ENDING ON.....**

- 1) Title of the Project/Scheme:
- 2) Name of the Institution:
- 3) Principal Investigator:
- 4) Ministry of Steel (Technical Wing) letter No. & date sanctioning the project:
- 5) Head of account as given in the original sanction letter
- 6) Amount brought forward from the previous financial year quoting Ministry of Steel /JPC Letter No. and date in which the authority to carry forward the said amount was given.
- 7) Amount received during the financial Year (Please give No. & date of JPC Sanction letter for the amount):
- 8) Total amount that was available for expenditure (including commitments) during the financial year (S.No.6+7):
- 9) Actual expenditure (including commitment) incurred during quarter and during the financial year:
- 10) Balance amount available:
- 11) Unspent balance refunded adjusted, if any (please give details of Cheque No. etc.):
- 12) Amount to be carried forward to the next quarter and financial year (if applicable):

Certified that the expenditure of Rs.....(Rupees.....)Mentioned Col.No. 9 of Annexure 1.3 was actually incurred on the project/scheme for the purpose for which it was mentioned.

(Signature of Principal Investigator)

(Signature of Registrar/Accounts Officer)

(Signature of Head/Director of the Institution)

(Signature of the Statutory Auditor with Stamp)

PROFORMA FOR SUBMISSION OF PROJECT COMPLETION REPORT (PCR)

1. Title of the project:
2. Principal Investigator(s) and Co-Investigator(s):
3. Implementing Institution(s) and other collaborating Institution(s):
4. Date of commencement:
5. Planned date of completion:
6. Actual date of completion:
7. Objectives as stated in the project proposal:
8. Deviation made from original objectives if any, while implementing the project and reasons thereof:
9. Experimental work giving full details of experimental set up, methods adopted, data collected supported by necessary table, charts, diagrams & photographs:
10. Details analysis of results indicating contributions made towards increasing the state of knowledge in the subject:
11. Conclusions summarizing the achievements and indication of scope for future work, if any.
- 11.a Receivables & implementation of the research results in the industry with benefits accrued or likely to accrue.
12. S&T benefits accrued:
 - i) List of Research publications

S.No.	Authors	Title of paper	Name of the Journal	Volume	Pages	Year

- ii) Manpower trained on the project
 - a) Research Scientists or Research Associates
 - b) No. of Ph.D. produced
 - c) Other Technical Personnel trained
- iii) Patents taken, if any

13. **Financial Position:**

No.	Financial Position/ Budget Head	Funds Sanctioned	Expenditure	% of Total cost
I	Salaries/Manpower Costs			
II	Equipment			
III	Supplies & Materials			
IV	Contingencies			
V	Travel			
VI	Overhead Expenses			
VII	Others, if any			
	Total			100%

14. Procurement/Usage of Equipment

a)

S.No	Name of Equipment	Make / Model	Cost(FE/Rs)	Date of installation	Utilization Rate (%)	Remarks regarding maintenance/breakdown

b) Plans for utilizing the equipment facilities in future

Date

Name and Signature with

a. _____
(Principal Investigator)

b. _____
(Co-investigator)

Notes:

1. The Project Completion Report (PCR) should be in bound form and should be sent within one month from the date of completion of the project.
2. Cover page should include the title of the project, file number, names and addresses of the investigator.

PROFORMA FOR SEEKING PERMISSION FOR PUBLICATION/PRESENTATION OF RESEARCH RESULTS (BEFORE PATENTING)

Title of Publication/Presentation	
Author's Affiliation	
SDF Project No./ Title	
Project Features	Is Invention Novel? Yes <input type="checkbox"/> No <input type="checkbox"/> Does Invention involve any Inventive Step? Yes <input type="checkbox"/> No <input type="checkbox"/> Does invention have a potential of new patent (national/international) Yes <input type="checkbox"/> No <input type="checkbox"/>
Name of the Journal/Seminar/Workshop	
Abstract of publication/presentation in brief	

I/We hereby declare that the matter in the proposed publication / presentation does not contain any Intellectual Property Assets (IPA) and also does not reveal any data/information that will be detrimental to subsequent filing/granting of patent.

Principal Investigator/Project Coordinator

HOD/Dean/Vice-Chancellor/Director