



Delhi Technological University

(Formerly Delhi college of Engineering)

Government of N.C.T. of Delhi

Shahbad Daultapur, Bawana Road, Delhi- 110042

**NORMS, RULES & REGULATIONS
FOR UNDERTAKING SPONSORED RESEARCH AND
INDUSTRIAL CONSULTANCY**

IN

DELHI TECHNOLOGICAL UNIVERSITY



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INTRODUCTION AND GENERAL INFORMATION

1. **Introduction.** Sponsored research and Industrial consultancy projects are an essential means of enhancing institution-industry interaction and faculty development. By supporting the Govt, PSU and the industry, the University intends to contribute towards the country's economic growth and serve the society. Therefore, as a matter of policy, the University encourages its faculty members to undertake scientific and technical research/collaboration and consultancy work with outside agencies.
2. **Objectives.** The objectives of promoting University consultancy and sponsored research project in the University shall be as given below :-
 - 2.1 The primary objective of undertaking any sponsored research projects and consultancy works shall be creation of new knowledge, widening and expansion of existing knowledge and experience of faculty and staff members.
 - 2.2 All types of sponsored research projects and consultancy works irrespective of value of the project shall be acceptable so long as there is a distinct value addition to the faculty and staff. The work must be challenging and must involve niche areas of expertise available in the University
 - 2.3 The research and consultancy works which are likely to bring repute to the University and increase the number of patents in favour of the faculty and the University will be given the top priority.
 - 2.4 All University consultancy and sponsored research projects in support/partnership of National and International agencies, Govt, PSUs, or Industries engaged in development of major infrastructure and/or in economic development shall be considered subject to the academic and administrative restrictions laid down by the University.
3. **IRD Cell : Organization For Control and Management.** For the purpose of administration in fulfillment of the objectives of the University research and consultancy as laid down above, the University shall run cell named IRD Cell headed by a Dean (IRD) selected for the following purposes :-
 - 3.1 Execution of all administrative functions including planning, budgeting, project monitoring (both technical and financial), budgetary control, compliance with terms and condition of agreement/ contract between sponsor(s) and the University etc.
 - 3.2 Administration of the all the contractual / deputed project personnel and inventory management of stores procured through the PI and HOD.

- 3.3 Promotion of University research and consultancy, Technology Transfer, IPR and Software Marketing activities etc
- 3.4 Liaison with PIs, the University and Sponsors;
- 3.5 Utilization and monitoring of various development funds such as URDF and RFDF as described
- 3.6 Any other activities that may be assigned from time to time.

4. **Categories.** The sponsored research and consultancy associated with the University can be broadly classified into two categories :

4.1 **University Research and Departmental Research at Academic Centers.** Every department has faculty and students involved extensively in research activities. Undergraduate education is greatly benefited by the environment of postgraduate programs, while both the curricula derives strength in a research environment created by doctoral and postdoctoral programs. Not only the departments of the University, the various academic centers are also involved in research activities, in order to contribute and benefit from the advances in knowledge frontiers, which will help generate state-of-the-art technologies responding to the need of the country.

4.2 **University Sponsored Research and Industrial Consultancy.** Sponsored Research (SR) and Industrial Consultancy (IC) are two important modes through which the faculty supports the development of knowledge and technology. Delhi Technological University (DTU) recognizes Sponsored Research (SR) and Industrial Consultancy (IC) as the essential attributes of teaching and research. A full-fledged office operating under Dean (IRD) provides administrative and accounting support to the faculty undertaking sponsored research and consultancy work.

5. **Eligibility and Restrictions.** Following eligibility conditions shall apply :-

(a) All types of University consultancy and sponsored research projects and related assignments can be taken up only by full time faculty including VC and academic staff. The extent of works undertaken be such that it will not interfere with the discharge of their normal duties.

(b) All types of University consultancy and sponsored research projects and related assignments, whether carried out by an individual or a group, irrespective of the quantum of facilities of the university availed and irrespective of amount involved shall be accepted only with the prior permission of the Dean (IRD)/VC. While seeking the sanction the nature of the job and time period involved must be specified.

(c) No ceiling limit has been prescribed for undertaking University consultancy and sponsored research projects and related assignments provided (i) consultancy work does not interfere with the normal teaching / research work in the University and other duties of the staff member(s) concerned and (ii) the total time to be spared by the consultant staff member(s) on all consultancy jobs in hand at a particular time should not exceed the laid down maximum limit of hours per week.

(d) University staff may be granted project leave up to 10 days during a calendar year for work related to Sponsored Research and industrial consultancy Projects, in addition to the special casual leave available as per norms.

6. **Exemptions.** These rules shall not apply to examination work such as paper setting, evaluation, superintendence, invigilation, fees for attending Selection Committee Meeting, honorarium, fees for report writing and publication, lectures etc. All fees for such academic work will be paid directly to the faculty concerned without any share accruing to the University. The permission of the concerned Head is to be obtained by the concerned faculty before undertaking such assignments except those which are confidential/secret in nature such as, paper setting for examination, attending UPSC selection committees etc. Absence from duty for work of this nature where payment of a fees is involved shall be on the basis of leave of the kind due and may be obtained in the usual manner.
7. **University Sponsored Research and Industrial Consultancy.** Sponsored Research and industrial consultancy are two important modes through which the faculty supports the activities contributing to the development of knowledge and technology. In the present times of continuous innovation and fast changing technology the curriculum must also be updated continuously to keep pace with time and research and consultancy projects help the faculty to remain in organic contact with the technological change. Thus, the activities of sponsored research and industrial consultancy have become an essential part of the activities of the teachers. Historically, this University was set up to cater to the development needs of India and that tradition has continued over the last several years. There is hardly any important project in the country particularly NCR region where DTU, Delhi has not contributed directly or indirectly. Major funding has been received for participation in various projects initiated by Delhi Govt and different Ministries of Government of India Besides, a number of major public and private laboratories/ organizations including DRDO, DMRC, ATB, Samsung etc have associated themselves with DTU. The University has well recognized core competence in traditional engineering and its benefit is harnessed for the country's industrial and economic growth by extending consultancy services. The University, through its faculty, can handle almost any type of problem/need of the industry.
8. **Consultancy Services.** The faculty of this University is competent to provide a wide variety of consultancy services in almost every discipline, some of them are:
- (a) Cause-and-remedy studies
 - (b) Pre-feasibility and feasibility studies
 - (c) Detailed project reports
 - (d) Design of systems/components/processes
 - (e) Validation of designs/drawings
 - (f) Development of industrial products/systems/processes
 - (g) Development of systems software
 - (h) Development of application software for offline and online applications.
 - (i) Technical and Energy Audit
 - (j) Industry supported training programmes
 - (k) Training programme for faculty/ industry persons organized by the faculty of DTU
9. **Modes of University Industry Interaction.** The University encourages its faculty, scientists, technicians and students to interact with industry in all possible ways with the spirit of deriving mutual benefit. The major modes of interaction are listed below :
- (a) Professional consultancy by the faculty to industries.
 - (b) Industrial testing by faculty & technicians at site or in laboratory.
 - (c) Joint research programs and field studies by faculty and people from industries.
 - (d) Visits of faculty to industry for study and discussions or delivering lectures.
 - (e) Visits of industry executives and practicing engineers to the University for seeing research work and laboratories, discussions and delivering lectures on industrial practices, trends and experiences.
 - (f) Memoranda of Understanding between the University and industries to bring the two sides emotionally and strategically closer.

- (g) Human resource development programmes by the faculty for practising engineers.
- (h) Workshops, conferences and symposia with joint participation of the faculty and the industries.
- (i) Participation of experts from industry in curriculum development.
- (j) Collaborative degree programs.
- (k) B.Tech. and M.Tech. projects/dissertation work in industries under joint guidance of the faculty and experts from industry.
- (l) Practicing engineers taking up part-time M.Tech./Ph.D. program at DTU, Delhi .
- (m) Short-term assignment to faculty members in industries.
- (n) Visiting faculty/professors from industries.
- (o) Professorial Chairs sponsored by industries at the University.
- (p) R&D Laboratories sponsored by industries at the University.
- (q) Scholarships/fellowships University by industries at the University for the students.
- (p) Practical training of students in industries.

10. **Initiation and Management of Consultancy Projects.** Each consultancy project has a Principal Investigator (PI) who is a faculty member/scientist in the service of the University and is responsible for :

- (a) Formulating the project proposal which may include planning of the work to be done, estimating costs according to the guidelines provided in the University regulations, if identifying other faculty member(s)/ scientist(s) in the service of the University to work as Co-investigators of the project and identifying technical staff for assistance, if required.
- (b) Co-ordination and execution of work.
- (c) Associating students, outside experts and external agencies, as and if required.
- (d) Handling all communications with the client.
- (e) Writing intermediate and final reports for the project.
- (f) Making recommendations to the Dean (IRD) regarding expenditure from the project funds and remuneration to be paid to faculty, staff and students.

11. **The Client (sponsoring organization).** The client usually approaches the University for consultancy work through a faculty member or a functionary of the University (i.e. Head of the Department, Dean IRD or Vice Chancellor/Pro-Vice Chancellor). Sometimes, some faculty/set of faculty members may also be interested in taking part in a bidding process to get a prestigious research/consultancy project offered by any national/international agency on competitive rates. When a faculty member is approached for the work, he will generally be the Principal Investigator, if the work falls in his area of expertise. If he does not wish to be the Principal Investigator, the HOD/Centre will identify a suitable person as the PI. If the project is referred to a functionary, the concerned HOD would identify the Principal Investigator according to the required expertise for the work. Normally the agreed charges of the project are to be deposited by the client, in full, before the work commences. However, this stipulation is negotiable. In cases where the work is started with only partial payment, the arrangement of balance payment will be clearly spelt out in advance and approved by Dean (IRD). The Registrar or the Dean, IRD, on behalf of the University will receive all the payment from clients. Principal Investigator will take the approval of Dean (IRD) through the concerned Head of the Department for undertaking the consultancy project.

12. **Information for a New Client.** A new client (an organization or industrial company looking for a consultancy service from this University) may proceed as follows:

- (a) The client may browse through the bio-data of faculty members and try to identify a faculty member whose expertise and experience are relevant to the problem/requirements of the client, and then write/speak to him.
- (b) When the client has identified an individual faculty member who can handle his problem, he can write a few words on his problem or requirement to that faculty member or speak to him on telephone. Telephone Numbers, e-mail address and fax of all faculty members/officials of the University are available on the website.
- (c) When it has not been possible to identify a faculty member for the work, the client may browse through the list and activities of the various departments, and try to identify a Department/Center of the University relevant to his problem/needs and write to the Head of the concerned Department/Center. The e-mail address or telephone and fax numbers can be seen from the web pages of the respective Department/Center. The Head will identify an individual faculty member who can take up the job and inform his /her name to the client so that further correspondence/dialogue can be held directly between them.
- (d) When it has not been possible to identify a centre/department for the work, the client may write briefly about his problem/needs to the Dean (IRD) at DTU. The Dean (IRD) will identify the department / individual faculty member and inform the client. Subsequently the client can have correspondence/ dialogue directly with the Head of Department or the faculty member.

13. **Testing Services.** Various departments of the University regularly undertake testing work utilizing the elaborate laboratory facilities and the expertise of faculty and technicians. However, routine testing is discouraged as it diverts attention from the primary responsibility of teaching and research. The examples of a few typical testing facility existing are:

- (a) Testing of the samples of paper, water, building materials and chemicals.
- (b) Routine, type and development tests on industrial products such as electrical/electronic meters, switches, transducers, cables, circuit breakers etc
- (c) Calibration of meters, instruments and transducers.
- (d) Environmental testing such as vibration, shock, temperature cycle, water and dust penetration.
- (e) Residual life assessment of buildings, dams, bridges and power-plant structures and equipment.
- (f) Performance testing of small hydro-electric power plants.
- (g) Testing using special facilities like : Wind Tunnel, Survey and Remote Sensing laboratories, Scanning Electron Microscope, Thermal Ionization Mass Spectrometer etc

Facilities

14. Various other facilities available within DTU are given on the website or can be obtained by writing to the Head of the Departments or the Dean (IRD)

Rules and Guidelines

15. The common guidelines for Sponsored Research", as approved by the BOM, Delhi Technological University are enclosed at Appendix A.



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Appendix A

NORMS, RULES & REGULATIONS FOR UNDERTAKING SPONSORED RESEARCH AND INDUSTRIAL CONSULTANCY

1. Preamble

In the light of changing economic scenario, government policies and University priorities, the University considers sponsored research and industrial consultancy projects as an important means for extending benefit of scientific research work at the University to the sponsoring agencies broadening the experience base of the University community and as a tool for contributing to the country's and economic growth. Therefore, as a matter of policy, the University encourages its faculty members to undertake research and consultancy work as a measure of scientific/technical collaboration with outside agencies. Appropriate Research and consultancy projects, in addition, for providing much needed service to the government and industry, also benefit the concerned faculty members and the University in several ways. They enrich the professional experience and knowledge of faculty members and thus make them better educators. Research and consultancy projects provide a firsthand knowledge of the current problems of industry and the emerging area which is very helpful in tuning the curriculum to the national needs. The faculty members get an opportunity to apply their ideas for finding out the solutions to the problems in emerging areas. Furthermore, the consultancy work also provides incentives for their contributions to all categories of staff.

2. Definitions

- 2.1 **University** means Delhi Technological University, Delhi
- 2.2 **Department** means all the academic departments, academic centre, centre of excellence and academic service centre at the University.
- 2.3 **Vice Chancellor** means **Vice Chancellor**, Delhi Technological University, Delhi
- 2.4 **Dean of Industrial Research and Development (Dean, IRD)** means Dean for development of sponsored Research & Industrial Consultancy in Delhi Technological University, Delhi
- 2.5 **IRD Advisory Committee** means committee for Sponsored Research & Industrial Consultancy Delhi Technological University, Delhi, constituted in accordance with University rules.
- 2.6 **Project** implies sponsored research projects or industrial consultancy projects or routine testing projects.
- 2.7 **Sponsored Research Projects** means Research Projects sponsored by Government, public private, national/international agencies and autonomous bodies. Generally the project cost including expenditure towards manpower, equipments, consumables and supporting services of the University is borne by the sponsor.

- 2.8 **Consultancy Project** means consultancy assignment/job given by outside agency to a faculty of the University for work within mutually agreed scope. It will also include a consultancy assignment/job referred to the Head of the Department or a functionary of the University (i.e. Vice Chancellor or Dean(s) or Registrar which may be taken up as a Consultancy Project by faculty.
- 2.9 **Routine Testing Project** implies those testing works where the rates are fixed by the department.
- 2.10 **Sponsor** means the organization that offers a Project to the University and provides necessary financial support for successful completion of the project in time.
- 2.11 **Principal Investigator (P.I.)** is a member of the faculty/scientist of the University with necessary expertise and competence to conduct a Research and consultancy work. Normally, the faculty/scientist who submits the project proposal and negotiates with the sponsor and is instrumental in getting the project funding is the Principal Investigator (PI). In case of research project, emeritus fellow/chair professor/ visiting professor may also be the PI.
- 2.12 **Investigator (I)** means a person from amongst the faculty/scientist (including Emeritus Fellow, chair faculty, visiting professor) co-opted by the Principal Investigator to work jointly with him/her on the project or any other Group 'A' staff so permitted by the VC/Dean (IRD).
- 2.13 **Consultant:** Consultant is an individual or government/ public sector undertaking/ government company engaged for a specific period to carry out specific job.
- 2.14 **Project Staff** means a person appointed in conformity with the guidelines to work on a project.
- 2.15 **University Research Development Fund (URDF)** means a part of the University Overhead Charges (UOC)/share received for sponsored research and Industrial consultancy project credited to a separate fund operated by Dean (IRD).
- 2.16 **Research Faculty Development Fund (RFDF)** means a fund for individual academic staff, to which a part of the University overhead charges/ share from Research and consultancy projects are transferred.
- 2.17 **Project Monitoring Committee:** Project Monitoring Committee (PMC) means the Committee constituted to monitor the large projects with outlay of more than Rs. 50 lacs.

3. General

- 3.1 There shall be an online process.
- 3.2 Consultancy project shall not anyway hamper the teaching and research work of the University.
- 3.3 Upper limit of payment to the faculty should not be higher than the annual salary of the faculty except as provided in these regulations.
- 3.4 There will be a limit to accept not more than 20 projects/consultancies in a calendar year i.e. from 1st January to 31st December.
- 3.5 In case, there is a special project, separate approval of BoM is required on the recommendation of the Committee for Research Development (CRD).

- 3.6 Individuals or Departments shall take up projects after taking approval of the Dean (IRD) through the Head of the concerned Department. All funds in connection with Projects shall be received in the name of the Dean(IRD)/ Registrar DTU Delhi. The account of Projects/URDF/RFDF will be maintained by IRD Office and controlled by Dean (IRD). Norms for project initiation and management are given at Annexure 1.
- 3.7 The time spent by a faculty/scientist on Consultancy Project will not exceed one day per working week plus one day during week end, thus a total of 104 man days during the calendar year.
- 3.8 Consultancy project from any sponsor can be taken up for a minimum amount of Rs. 50,000/-. For consultation work involving only site visit or personal discussion a minimum amount of Rs.10,000/- per man-day for faculty/scientist/ Gp A staff and Rs.1,000/- per man-day for technical and other non-academic staff may be charged.
- 3.9 University staff may be granted project leave up to 10 days during a calendar year for work related to Sponsored Research and industrial consultancy Projects, in addition to the special casual leave available as per University norms.
- 3.10 Report(s) and data collected/ originated out of project are the joint Intellectual Property of the sponsor and the investigators which can be used by the sponsor for its own use only and cannot be disclosed to a third party without prior consent of the sponsor and the Principal Investigator
- 3.11 The IPR policy of the University shall be applicable. However, if there is a condition in MoU signed between the Sponsor and PI, regarding the IPR issue that will take precedence over the condition laid down in the above para. The report of the Sponsored Research and industrial consultancy projects will be kept by PI for a period of 03 years from the date of closure of the project and for routine testing from the date of issue of report.
- 3.12 If a prima-facie case of malpractice and/or misconduct is established by a fact finding committee against a staff member in connection with project(s), the Vice Chancellor, on the recommendation of Dean, IRD may prohibit the concerned staff member to take part in any new project either as Principal Investigator or investigator, till such time that a final decision is taken by the appropriate authority in the matter. However, in such cases the concerned staff member will be expected to complete his/her obligations in the ongoing project(s) with which he/she is connected, in order that the ongoing projects and obligations to the sponsor do not suffer.
- 3.13 All purchases under projects/RFDF/URDF shall be made as per norms prevailing in the university. In case of equipment which is to be carried outside, the same should be insured before they are taken out.
- 3.14 Faculty/scientist may accept honorary membership of board of directors of companies with the condition that there will not be any direct involvement of the faculty in concerned industry/company and such membership in the respective expertise is limited to three membership.
- 3.15 A sitting fee is payable to an expert other than those involved in the project for attending consultation meetings duly notified by PI in connection with the project work with the approval of Dean (IRD)/ Vice Chancellor.

4 Manpower

4.1 Project staff

- 4.1.1 The project staff shall be appointed/hired for assisting/working on the project in any one of the following ways with the approval of Dean (IRD)/Vice Chancellor depending upon the specific requirements of the project, project length, constraints and the requirements with due justification.
- 4.1.1.1 Use of Existing Staff.** Existing Laboratory Staff such as technicians and those permanent or contractual staff who may be available without affecting Department schedule may be considered subject to the requirement of the project and availability of such staff. Such staff may be hired from across various Departments in consultation with concerned HOD. Such staff may be paid as per the approved rates of Overtime/Honorarium in the University or as may be approved by PI and the Dean (IRD)/Vice Chancellor.
- 4.1.1.2. Direct Appointment by the University.** The PI may approach the competent authority and seek permission for direct appointment/hiring of engineers and staff on the project. Such staff shall be appointed for assisting/working on the project as per prescribed selection procedure, designations, qualifications and experience requirements and consolidated fellowship/emoluments as given at Annexure 2 and 3.
- 4.1.1.3 Hiring of Manpower by Hiring a Consultant/Placement Agency.** Sometimes, there may be a possibility of employed persons frequently quitting the job. In such a case, the PI may choose to hire an intermediate Consultant/Placement Agency through a tender who shall be made responsible for supplying the required qualified manpower for the entire duration. The PI shall seek permission from the Vice Chancellor through Dean (IRD) to exercise this option through a selection committee as given in Annexure 2 with the approval of Dean (IRD).
- 4.1.2 Open selections will be held for all project positions.
- 4.1.3 Appointments on all project positions drawing emolument shall be on contract only.
- 4.1.4 The Project staff shall work for fulfilling the objectives of the project.
- 4.1.5 Transfer of project staff from one project to another, either on completion or midway, may be permitted by Dean (IRD) on the recommendation of respective PIs.
- 4.1.6 The tenure of appointment of a project staff will be at the most for the remaining duration of the project. The severance notice may be issued to the project staff by the PI one month prior to the termination of appointment.
- 4.1.7 On the completion of one year or more and on the recommendation of PI, the enhancement of fellowship/emoluments of a project staff may be considered by the Dean (IRD).
- 4.1.8 A contractual project staff appointed shall execute a Contract Agreement with PI at the time of joining with the explicit provision that the contract may be terminated by either side, the staff or PI, by giving one month's notice or one month's consolidated emoluments in lieu of the notice. The contract will be complete when countersigned by Dean (IRD) who will retain the original contract agreement.
- 4.1.9 Appointment of project staff on ad-hoc basis against a project position can be considered by Dean (IRD) on the recommendation of the PI for a period not exceeding 89 days.

4.2 Student Assistants

The PI may engage University Students (who may or may not be getting fellowship/ assistantship) as student assistants for the project work. The payment for such engagement shall be limited to Rs 8000/- per month for UG and PG students, Rs 18000/-per month for Ph. D. students and Rs 40,000/- per month for Post Doc Fellows or as specified in the project and approved by the Dean-IRD.

4.3 Consultants

The PI may, with the prior approval of Dean (IRD) may avail the services of individuals not in the University service or government organization as Consultants. However, the amount payable to consultant(s) shall be limited to 40% of the total contracted amount in consultancy project.

5 Travel

5.1 The most expeditious and convenient mode of travel should be used to minimize period of absence from the University. Admissible DA or actual boarding & lodging expenses will be paid on production of receipt. Expenses on local travel by taxi will be reimbursed against receipt as per actual. Besides the PI may consider to exercise the following options in consultation with the Dean (IRD)/Vice Chancellor :-

- (a) Using own transport and claiming a reimbursement at certain fixed rates as may be approved by Dean (IRD)/Vice Chancellor
- (b) Hiring a travel agency for the duration of project through a Committee as may be approved by the Dean (IRD)/ Vice Chancellor.

Approval for domestic travel shall be accorded by PI including for self subject to leave approved by the competent authority. Faculty/Scientist and Group-A Officer are allowed to travel by AC taxi. Advance for travel will be approved by the Dean IRD. Payment of charges to travel agents for Ticket purchase assistance, Visa assistance, Insurance etc. shall be admissible from project funds.

However, if sponsor has specified any specific condition(s) for travel under the project that shall be followed normally.

5.2 Approval of Dean, IRD and the VC will be required for all international travels and any deviations from above.

6 Finance and Accounts

6.1 Research Project

6.1.1 At the time of submission of a sponsored research project proposal, the PI shall make a provision of University Overhead Charges (UOC) at the rate of 20% of the total project cost or at the rate permitted by the sponsor. However, this will not be treated as a condition for accepting the award of project.

6.1.2 **Transfer of Staff Costs out of Sponsored Research Project to Research Development Fund:** In the Sponsored Research Project amount charges under the budget head of faculty time, staff costs will be transferred to the Research Development Fund. Further, if any amount is provided by the sponsor as honorarium to the investigators as one of the components in a Sponsored Research Project, the same may be distributed among them.

6.2 Consultancy Project

6.2.1 At the time of submission of a consultancy project proposal, the PI shall make a provision for University share at the rate of 50% of the total contracted project cost. However, such share shall be 50% for routine tastings. In the case of industry supported training programmes and training programmes for faculty / industry persons organized by faculty of DTU as described in 8(j) and 8(k) of the introduction and general information, the university share shall be 50%.

6.2.2 Details of distribution of project fund shall be as below:

| Item | Consultancy project | Routine testing |
|-------------------------------------|---------------------|-----------------|
| Total money received | G | G |
| Goods and Services Tax (GST) | L | L |
| Total contracted amount (T) | (G-L) | (G-L) |
| University share (P)* | 0.50T | 0.50T |
| Remaining amount (F) | 0.50T | 0.50T |
| Total expenditure | E | E |
| Balance Amount for distribution (S) | (F-E) | (F-E) |

*However, in case of a large consultancy project funded by a Government Organisation, University share may be negotiated with the approval of Vice Chancellor.

6.2.3 For consultancy project with an outlay of Rs. 10 lacs or more interim distribution may be permitted subject to the condition that the total distribution does not exceed 40% of the balance amount and that the amount of distribution is commensurate with the work completed.

6.3 A separate account head shall be maintained for each project by IRD office. Asstt. Registrar (IRD Accounts) shall be responsible for the submission of audited statement of accounts as and when required by the sponsors.

6.4 For all ministerial staff, the upper limit for remuneration from Projects and other sources is 60% of the salary received in a financial year and for all Technical Staff it is 100%.

6.5 If any of the academic staff wishes to divert part or whole of his/her own remuneration to his/her Professional Development Fund, the same will be permissible.

7 **Development Funds.** Research Faculty Development Fund (RFDF) is a performance-linked fund created for the faculty and other academic staff of the University with the objective of supporting their professional needs. The fund can be utilized by the faculty to attend conferences, pay membership subscription to professional societies, and purchase books, journals, stationery, software, data base, computer and computer peripherals, etc. Similarly, University Research Development Fund (URDF) are proposed which will be built from the consultancy and research projects undertaken by the University. These funds will be used for the purpose of development of required infrastructure in the department and the University respectively.

7.1 Share of RFDF (Research Faculty Development Fund)

The distribution of University share to be credited to the RFDF are as per the following table.

Distribution of University Share in percentage

| Type of Project and Component available for distribution | Distribution (%) | | | |
|--|------------------|------|---------------------------|--------------------|
| | URDF | RFDF | Incentive to office Staff | Staff Welfare Fund |
| (A) Sponsored Research Project/HRD Programmes University Overhead Charges(UOC) Received from sponsor (I) | 50 | 47 | 2 | 1 |
| (B) Consultancy Project | 97 | 0 | 2 | 1 |
| (C) Routing Testing Project | 97 | 0 | 2 | 1 |

7.2 Utilization of URDF/RFDF

7.2.1 The URDF may be utilized for following:

- a. Purchase of equipment for strengthening research in the University.
- b. Research promotion
- c. Research awards
- d. Scholarship to research scholars
- e. Infrastructure and facilities for research

7.2.2 The Research Faculty Development Fund (RFDF), meant for individual faculty, may be utilized for following:

The research proportion of individual faculty shall be credited to his/her University RFDF account as per the research requirements of the faculty. This may be utilized for

- a. Purchase of equipment for strengthening research in the laboratories/department.
- b. Attending and organizing conferences, symposium, workshop and seminars by the individual faculty.
- c. Creation of infrastructure facilities in the laboratory/department.

The Principal Investigator(s) (PI)/members earning more than the amount of the annual salary shall be eligible to get a share in proportion to the amount earned. The total amount earned by the PI over and above his or her annual salary shall be as under:

Total consultancy amount = 'X'

University Share = 50% of 'X'

Net Share available for distribution = 50% of 'X' - Expenditure

If the share of PI/members is less than or equal to his or her annual salary, then the share of PI/members would be equal to Net share available for distribution after deduction of expenditure.

If the share of PI/members is greater than the annual salary of PI, then the additional share available for the distribution by the PI/members would be 'Z'.

Example: -

Consultancy Amount = 'X'

University Share = 50% of 'X'

Net amount available for distribution (Y) = 50% of 'X' - Expenditure

If 'Y' is greater than annual salary of PI/members, then the additional share of PI/members and University share will be calculated as under:

Excess share for distribution 'Z' = Y - Annual Salary

University Share = $0.75 \times 'Z'$

Additional PI Share (Z) = $0.25 \times 'Z'$

All the properties including machines and equipment purchased from URDF/RFDF shall be the property of the University.

"The University share as 0.75 of Z shall be credited directly fully to the URDF"

8 Admission of Project Staff to Academic Programs

8.1 A project staff is eligible to register for Ph.D. or Master's Programme of the University as per University norms subject to his/her satisfying the admission requirements of the University.

8.2 The concerned project staff will be required to give an undertaking that he/she will not be automatically eligible for award of University fellowship and shall finance himself/ herself beyond the tenure of the appointment if University fellowship is not awarded.

8.3 The project staff admitted to Ph.D./ Master's programme will be governed by the relevant ordinances and fulfill his/her obligations towards the PI & the project in which he/she is appointed.

9 Sponsors Specific Conditions

Specific conditions of sponsor (e.g. DST, DAE, CSIR) for designation(s), qualifications and employment condition(s) for manpower and other expenditure related shall be followed.

10 Exception Clause

These guidelines shall normally be applicable to all Projects. However, any changes required which does not constitute to policy change may be approved by Vice Chancellor on the recommendations of Dean (IRD).

11 Review

These rules may be reviewed normally in three years or as per needs.

1. PROJECT INITIATION AND MANAGEMENT

- 1.1 Each project will have a Principal Investigator (P.I.) who will be a faculty member /Scientist in the service of the University and who will be responsible for :
- (i) Formulating the project proposal which may include
 - (a) planning of the work to be done,
 - (b) estimating costs according to the guidelines provided in the later section, and
 - (c) if necessary, identifying other Investigators, who shall also be faculty member(s)/Scientist(s) in the service of the University.
 - (ii) Co-ordination and execution of work,
 - (iii) Handling all communications with the sponsor,
 - (iv) Writing of intermediate and final reports according to the project proposal
 - (v) Ensuring that all reports bear the name of the Principal Investigator and his/her signatures and the name(s) of the Investigator(s) who participated in the project,
 - (vi) Signing the Memorandum of Understanding (MoU) or Agreement with the sponsor, if required. Guidelines for MoU/Agreement are given at Annexure 4.
- 1.2 The PI will, at his discretion, co-opt the names of other faculty members as Investigators.
- 1.3 The PI will prepare research project proposal in conformity with:
- (i) permitted designation and emolument/fellowship rates for project staff, with qualification and experience as specified by the sponsor otherwise of the University
 - (ii) provision for University overhead charges as per the rules of the University,
 - (iii) other guidelines for Sponsored Research Projects, and
 - (iv) Rules, Regulations & Statutes of the University
- 1.4 All research project proposals shall be submitted to the sponsors through the concerned Head of the Department and Dean (IRD).
- 1.5 It shall be the responsibility of the PI to get project work completed satisfactorily within the sanctioned grant and duration.
- 1.6 The PI shall ensure that the head-wise expenditure does not exceed the budgetary allocation as applicable.
- 1.7 The PI shall maintain the details of equipment purchased out of research project funds separately for each project and send a copy of the record to Dean (IRD) for placing the same before the Govt. of Audit, for verification or as and when required for any other purpose.
- 1.8 The PI shall be responsible for maintenance of Laboratory Record Book (LRB) as required for IPR submission, periodical and/or final technical report(s) of the research project work to the sponsor as required. He/she will also send a copy of the final technical report to Dean (IRD).
- 1.9 The PI shall write to the sponsor for timely release of funds with a copy to the Dean (IRD) for follow up, if necessary.
- 1.10 For Research Project: The sponsor which assigns the research project usually are approached by a individual or a functionary of the University (i.e. Head of the Department, Dean (IRD) or Vice Chancellor).
For Consultancy project: The sponsor which assigns the consultancy project usually approaches the University for Consultancy work through an individual or a functionary of the University (i.e. Head of the Department, Dean (IRD) or Vice Chancellor).

When an individual is approached for the work, he/she will be normally the Principal Investigator. If the project is referred to a functionary, the Principal Investigator would be identified by the Head of the Department to whom Dean IRD refers the project.

- 1.11 No retiring faculty member be allowed to submit a consultancy project proposal as Principal Investigator (PI), if its duration extends to one year or more beyond his/her date of retirement, or if more than half of the proposed duration of the project falls beyond the date of retirement of the PI.
- 1.12 The Emeritus Fellows, Chair Faculty, Visiting Faculty, faculty on contract etc. can be appointed/ nominated/ continued as principal investigator for research projects if the sponsors do not have any objection.
- 1.13 If the PI leave the University, retires or proceeds on leave or not available for some reason, Dean IRD, on the recommendation of the P.I. (if he/she is available) will appoint a new PI, who will assume the powers and responsibilities of the PI. The new PI should be agreeable to become PI. The new PI will also give an undertaking to complete the project in the remaining funds and time period, to the Dean (IRD) through H.O.D. However, in exceptional circumstances, a retired faculty member may continue to work as P.I. with the approval of the Vice Chancellor, if he/she continues to serve the University in some other capacity.
- 1.14 Normally the agreed charges of the consultancy project are to be deposited by the sponsor, in full, before the work commences. However, this stipulation is negotiable. In cases where the work is started with only partial charges deposited in advance, the arrangements of subsequent receipt of funds from the client have to be clearly spelled out in advance.
- 1.15 Project file will be closed with the submission of final project report and final settlement of accounts etc.

2. BUDGETARY NORMS

A. FOR RESEARCH PROJECTS

The total agreed charges of a Research project will consist of the University share, actual expenses of the project covering following.

- (i) Permanent equipment to be procured / fabrication of equipment or models (refer Annexure 5 for norms of procurement of materials).
- (ii) Consumable materials (refer Annexure 5 for norms to be followed)
- (iii) Travel expenses in connection with the project work (domestic and foreign if budgeted/ allowed by sponsor)
- (iv) Computational or other charges payable to any other outside agency.
- (v) All contingency expenses for report preparation of report and literature (books, journals) and any other item budgeted under the proposal and approved by the sponsor.
- (vi) Expenses for work to be carried out on payment basis, remuneration to student assistants.
- (vii) Insurance on equipment and manpower during travel.

B. FOR CONSULTANCY PROJECTS

The total agreed charges of a Consultancy project will consist of the University share, actual expenses and the remuneration to be distributed to the faculty and staff. The actual expenses should cover the following costs related to the project. The service tax will be applicable as per government rules.

- (i) Permanent equipment to be procured / fabrication of equipment or models.
- (ii) Consumable materials.
- (iii) Travel expenses in connection with the project work.
- (iv) Computational or other charges the Principal Investigator may have to pay to the University or any other outside agency in the course of the execution of the work.
- (v) Charges to be paid for the use of specific equipment in the departments or central facilities.
- (vi) Contingency expenses to cover cost of supplies, preparation of report, typing, word processing, drawing, drafting, stationery, reproduction, literature (books, journals, membership fee for professional societies), postage, courier, FAX and telephone (including rental and STD/ ISD call bills of telephone at residence or mobile phones), cost of insurance of personnel/ equipment being used for the project and medical reimbursement on duty (excluding major ailments) for staff etc.
- (vii) Expenses for work to be carried out on payment basis, remuneration to student assistants.
- (viii) Insurance on equipment and manpower during travel
- (ix) Any other costs considered appropriate.

The approval of the Dean IRD to make any expenditure from the project funds assumes that funds are available in the project for the purpose.

3. Collaboration with Outside Organizations

If collaboration with other Govt./Public Sector organizations is envisaged, the nature scope and financial budget of the proposed arrangements will also be specified at the time of submitting the project proposal for approval.

4. LIABILITY

In case any legal dispute arises between the Investigator(s) and the sponsor such that the Investigator(s) are in any way, held responsible to make good the losses incurred by the sponsor, such liability will be restricted to a maximum limit which will be calculated as follows:

Maximum Liability = The total amount charged for the project – the expenditure / liabilities on the project. It is in the interest of the Investigators to bring this fact to the notice of the sponsors. The expenditure / liabilities as determined by the University will be calculated as the expenditure / liability till such date on which the sponsors inform the Investigator in writing to stop work on the project for on going projects, or till the end of the project for completed projects. This amount does not include the remuneration paid to the Investigator(s) and staff of the University. The University may take a suitable insurance for this purpose on a rolling basis. The expenditure on this account may be charged to the IRDF.

The amount charged by the University is on lump sum basis. Submission of the requisite report on the work itself shall constitute the Utilization Certificate / final bill.

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5. DISAGREEMENTS / DISPUTES

- 7.1 Any disagreement within the University arising at any stage of a Consultancy project will be resolved in consultation with Dean (IRD) / Vice Chancellor to ensure an expeditious removal of bottlenecks and smooth functioning of the project.
- 7.2 In case of any dispute arising at any stage of Consultancy project between Investigator(s) and the sponsor(s), the Investigator(s) will be responsible for settlement of the dispute.
- 7.3 All legal action will be subject to jurisdiction at Civil Courts at Delhi.

6. ARBITRATION

In the event of any dispute or difference at any time arising between the parties relating to Consultancy project or any other clause(s) or any content of the right and liabilities of the parties or other matters specified therein or with reference to anything arising out of the Consultancy or otherwise in relation to the terms, whether during the Consultancy or thereafter, such disputes or differences shall be endeavoured to be resolved by mutual negotiations. If, however, such negotiations are infructuous, the dispute should be finally settled through Arbitration and Conciliation Act, 1996 by three arbitrators appointed in accordance with the said Act. The arbitrators shall give reasoned and speaking award.

7. PUBLICATION OF RESULTS

PI will have the right to publish the work carried out by him/her unless the sponsors have an agreement under which their prior permission is required. In such cases the draft paper before publication will be submitted to sponsors and if no objections are raised within one month of the submission of the proposal to publish the result, it will be assumed that the sponsors have no objection to the publication.

8. PROJECT MONITORING COMMITTEE

For large projects the Project Monitoring Committee with the following composition shall review and assess the progress periodically (at least once a year) for timely completion of the projects. The committee may also advise Dean (IRD) in any other matter on the project.

- | | |
|--|------------------------|
| (1) Dean, IRD | - Chairman |
| (2) Head of the concerned Deptt or his nominee | - Member |
| (3) Head of one more Deptt. from relevant field or his nominee | - Member |
| (4) One faculty Member from relevant field | - Member |
| (5) Principal Investigator | - Member |
| (6) One expert from outside the University in relevant field, if required, or representative of sponsor, if required by sponsor. | |
| (7) Asstt./Dy. Registrar (IRD.) | - Non-Member Secretary |

Further, certain guidelines for project control, management and monitoring are given at Annexure 6.

9. DOCUMENTS TO MAINTAIN

Following documents will be maintained by P.I through his team members and produced for audit as and when required

- (a) **Attendance Records.** Attendance/site visit record of the P.I, members, hired staff etc with man-hours spent during each visit.
- (b) **Inspection/Site Visit Register.** A register to record expert advice by expert members and consultants suggestions and remarks of the P.I and members with date and their signature during their visit to the site. Record feedback on its implementation also in the same register.
- (c) **Salary/Payment Record.** To record all payments made to P.I, members, salary and other payments made to staff.

- (d) **T & P Register.** Register for recording hire/purchase of all equipments, materials, all consumables, non-consumables items etc and its utilization.
- (e) **Travel Record Register.** To record details of all expenditure incurred on travel.
- (f) **Log books and Warranty/Gaurantee Record.** Log books be used to record number of hours, laboratory equipment or hired or purchased equipments have been used. Besides maintain warranty/guarantee certificates and also breakdown details of equipments.
- (g) **Correspondence File** - For all correspondence since intitation
- (h) **Agreement/Contract** - maintain complete record of all agreements, contracts, drawings and such document which may constitute legal requirement.
- (i) **Record of Monthly Progress Report** - Record of monthly progress report submitted to IRD and a copy of progress report submitted to client as may be desired by him.
- (j) **Any Other Document.**- Any other document as directed by Dean (IRD) or as may be decided by the P.I.

Note - The above documents may be merged but all records must be maintained for minimum 03 years or as may be laid down by the sponsor and produced for audit or any other purpose whenever required.

10. FORMS

To ensure smooth administration & management of Projects, only the forms supplied by Dean (IRD) will be used by the PIs and others concerned. The list of forms and their purposes are given below :-

| SN | FORM NO | NAME AND PURPOSE OF FORM |
|----|---------------|---|
| 1 | Dean (IRD) 01 | Forms for Approval of Consultancy Project |
| 2 | Dean (IRD) 02 | Consent of Proposed Investigator(s) from other than PIs Deptt |
| 3 | Dean (IRD) 03 | Involvement of Consultant |
| 4 | Dean (IRD) 04 | Student Assistantship-For UG/PG/Ph.D/Post Doc. Fellow |
| 5 | Dean (IRD) 05 | Approval of Project Positions |
| 6 | Dean (IRD) 06 | Advertisement to fill up Project Positions |
| 7 | Dean (IRD) 07 | Screening Committee Report (Walk in Interviews) |
| 8 | Dean (IRD) 08 | Selection Committee Report (through advertisement) |
| 9 | Dean (IRD) 09 | Contract with candidates selected engaged |
| 10 | Dean (IRD) 10 | Extension of Time/Revision of Project Amount |
| 11 | Dean (IRD) 11 | Travel (Domestic) |
| 12 | Dean (IRD) 12 | Travel (International) |
| 13 | Dean (IRD) 13 | Expenditure from RFDF |
| 14 | Dean (IRD) 14 | Distribution of consultancy project funds |
| 15 | Dean (IRD) 15 | Certificate of T & P items purchased under project |
| 16 | Dean (IRD) 16 | Proposal for Distribution of UOC received against Sponsored Research Projects |
| 17 | Dean (IRD) 17 | Request for hiring of services in the project (through approved agency) or for hiring of a placement agency |
| 18 | Dean (IRD) 18 | Letter for Termination of Project |

**SELECTION PROCEDURES FOR RECRUITMENT OF PROJECT STAFF
(Including for Walk in Interview)**

1. PREPARATION OF DRAFT ADVERTISEMENT

- (i) Principal Investigator will send the draft advertisement to Dean (IRD) for approval
- (j) Dean (IRD) will approve the draft advertisement and return it to the Principal Investigator for notification/ advertisement.

a. ADVERTISEMENT OF THE POSITIONS

The Principal Investigator will advertise the positions through University website and through other means and receive the applications.

3. SCREENING OF APPLICATIONS

- (i) The P.I. will fix the meeting of Screening Committee and send the report of the screening committee to Dean (IRD) for approval.
- (ii) The P.I. will issue the letters to the candidates called for interview after Screening Committee report has been approved by Dean (IRD).
- (iii) For walk in interview, screening is not required.

4. SCREENING COMMITTEE CONSTITUTION

- (i) Faculty from the existing panel approved by the Vice Chancellor -- Chairman
- (ii) Concerned Principal Investigator - Member
- (iii) One faculty member from the Department as available to the P.I. -- Member

5. INTERVIEW

- (i) The PI will fix the date of the interview and get the interview conducted. The PI will send the recommendations of the Selection Committee to Dean (IRD) for approval.
- (ii) The PI will arrange the walk-in-interviews on the advertised date by a duly approved Selection Committee.

6. SELECTION COMMITTEE CONSTITUTION

- (i) Faculty from the existing panel approved by the Vice Chancellor -- Chairman
- (ii) Head of the Concerned Department or his nominee - Member
- (iii) Concerned Principal Investigator -- Member
- (iv) One faculty member from outside the Department as available to P.I. - Member
- (v) One external expert from outside the University -- Member
If required by the sponsor

7. FINAL SELECTION / APPOINTMENT

Selection Committee report will be approved by Dean (IRD) and appointment letter will be issued by Asstt./Dy. Registrar (IRD).

**PROJECT POSITIONS, QUALIFICATIONS AND FELLOWSHIPS/EMOLUMENTS, TERMS
AND CONDITIONS FOR PROJECTS STAFFS**

1. Project Positions, Qualifications and Fellowships/Emoluments

| A. | Fellowships | Minimum Qualifications | Amount (per month) |
|-----------|--------------------------------|--|-------------------------------|
| 1 | Project Associate | B. Tech/B. Arch/M.Sc./M.A. | 20,000/- to 40,000/- + HRA |
| 2 | Research Associate | M. Tech/M. Arch/M. B.A. (2 years duration) Ph. D. in Science/Ph.D. in Arts | 25,000/ to 50,000/- + HRA |
| 3 | Project Fellow | Ph.D. in Engg/Ph. D. in Science with 2 year experience(After Ph.D)/ Ph. D. in Arts with 2 year experience (After Ph.D) or M.Tech. /MBA + 3 year or B.Tech. + 6 year experience | 30,000/- to 70,000/- + HRA |
| B. | Other Positions | Minimum Qualifications | Emoluments (per month) |
| 4 | Project Consultant | Ph.D. + 4 year experience Or M.Tech/M. Arch + 6 years experience or B.Tech/B. Arch +10 years experience | 50,000/- to 1,50,000/- + HRA |
| 5 | Project Assistant (Technical) | Diploma (3 years) duration or ITI with 4 years experience | 15,000/- to 30,000/- + HRA |
| 6 | Project Officer (Admin) | MBA/CA | 25,000/- to 50,000/- + HRA |
| 7 | Project Assistant (Admin) | Graduation | 15,000/- to 30,000/- + HRA |
| 8 | Project Attendant (Admn/Tech.) | 12 th pass or 10 th pass +2 year experience or 8 th Pass + 4 years experience | 8,000/- to 20,000/- + HRA |

Note :- (i) To meet specific needs of the project, any change in qualification and emoluments may be approved by Dean (IRD) on the recommendation by PI.

(ii) However, if sponsor (e.g. DST, DAE, CSIR) has specified any specific designation(s), qualification and employment condition(s) for manpower that shall be followed.

2. HRA: The project staff (including those appointed on ad-hoc basis) shall be entitled to HRA as per the University rules, if accommodation in the campus is not made available to him/her. If the person is residing within the DTU Campus House Rent Allowance (HRA) upto entitlement or actual payment made whichever is less will be payable. HRA shall be charged to the salary head of the respective project.

3. Conduct Rules: The project staff shall maintain record and secrecy of the findings/technical information and shall not communicate in any manner without the approval of the P.I any official document or information to any person or agency. They shall also follow general code of conduct of the University.

4. Disciplinary Proceedings: Dean (IRD) may, at his own discretion or on the recommendation of the PI, constitute committee(s) to conduct disciplinary proceedings against project staff, if necessary. On the basis of the report of the committee, suitable disciplinary action may be initiated and penalty be imposed by the Dean (IRD).

5. Leave: All project staff working on project shall be entitled for following types of leave:

Casual leave: 8 days per year on pro-rata basis

Earned leave: 2½ days per completed month of work

Maternity leave: 135 days (Only for the appointment for a year or more)

The record of the leave shall be allowed and maintained by PI.

6. Medical Insurance: Annual premium for medical insurance (from nationalized insurance company only) for illness requiring hospitalization may be reimbursed to project staff appointed for 1 year or more with the limit of sum assured of Rs. 2.00 Lac for self, Rs. 2.00 lac for spouse and Rs. 1.00 lac for each child (up to two children) on the recommendation of PI chargeable to project, if funds are available in the project.

GUIDELINES FOR MoU/AGREEMENT

If a MoU/Agreement is required to be signed with the sponsor of a Consultancy Project, it should generally include the following clauses. Additional clauses may be added if considered necessary:

1. **General**
This section should include the reference to the proposed Consultancy and identify the parties concerned pertaining to the MoU.
2. **Scope**
This section should spell out briefly the nature of work, its limitations and the expected end results.
3. **Time Frame**
This clause must indicate the expected duration of the project and should also indicate the schedule of review of progress, submission of reports etc., if any.
4. **Consultancy Charges and payment terms**
The document must clearly indicate the charges to be paid including applicable service tax along with payment terms.
5. **Responsibilities**
This clause should define clearly the responsibilities of the various parties with regard to making the data and/or material available for the work as also for the return of the same, as and if applicable.
6. **Patents/Publications**
The MoU should clearly spell out the arrangements proposed to be made with regard to any patents or publications arising out of the proposed Consultancy project.
7. **Force Majeure**
This is an important clause and must be included to safeguard the interest of the various parties due to one or more of the unforeseen force majeure events
8. **Arbitration**
The document shall provide for a suitable channel to settle any disputes or differences related to the execution of the Consultancy project, which shall conform to clause given earlier
9. **Liability**
This clause should indicate the maximum liability which is to be accepted in the event of the project being terminated without completion at any stage and shall be in conformity with clause given earlier
10. **Amendment to the MoU**
The clause should specify a provision for amendments to any one or more clauses of the MoU through mutual consent, at any stage during work of the project, due to any reason whatsoever. Two model formats of MoU, format 'A' and format 'B' are available on the Intranet of the University and may be used as such or with minor modifications conforming to the above guidelines. Format 'B' is concise and is recommended for smaller projects. Format 'A' is much more elaborate. If a different format is used, its legal vetting by the University's Advocate will be the responsibility of the PI concerned.

NORMS FOR HIRING/PURCHASE

Hiring/Purchase of Equipments, Materials and Consumables. Hiring and/or purchase of equipments, materials, consumables shall be done as expeditiously without wasting time as given below in the table. The inventory of items purchased will be maintained by the PI in a stock register and on completion of the project/consultancy work, the PI shall transfer the same to the inventory/stock register of the Dean (IRD) alongwith a Certificate (see forms) for further disposal. The purchases will be made as per GFR 2017 and wherever applicable through GeM portal.

| Purchase up to Rs 25,000/- | Purchase From Rs 25,001 to 2.50 lakh | Purchase above 2.50 lakh through E-tender and E-publishing |
|--|---|---|
| 1. No quotation is required. 2. PI will make the purchase solely. | 1. Minimum 3 tenders/ quotations are requisite. 2. Procurement will be made through limited tender enquiry. 3. Purchase Committee will constitute of PI/Co-PI, two other faculty members (at least one member from outside the consultancy/ project team), 4. Purchase order will be issued by PI/Co-PI. | 1. Minimum 3 tender responses are requisite. 2. Procurement will be made through National/Inter-national Competitive bidding 3. Procurement may be made through limited tender enquiry. 4. Purchase Committee will constitute of PI/Co-PI, two other faculty members (at least one member from outside the consultancy/ project team), one member from IRD and one member from accounts. 5. Requirement of GFR and advertisement/publicity etc as applicable shall be followed. 6. Purchase order will be issued by PI/Co-PI |

NOTE - In order to facilitate timely completion of projects, expeditious method of procurement in minimum possible time frame shall be adopted without violating Govt/University norms of procurement.

GUIDELINES FOR PROJECT CONTROL, MANAGEMENT AND MONITORING

Complete control and management of the consultancy and research work shall be exercised by the VC through Dean (IRD) Cell and the PI. Control, management and monitoring must not however interfere with the technical execution which is time bound, nor should it come in conflict with the primary responsibility & accountability for which the PI and his entire team are responsible. For this purpose, all the functions shall be defined as **Administrative Functions and Control, Technical Functions and Control and Financial Functions and Control**. These are described in the Table below along with primary and advisory responsibilities.

| Type of Function / Control | Description | Primary Responsibility & Accountability | Advisory Responsibility |
|---|--|--|--|
| Administrative Functions and Control | Administrative functions include acceptance of suitability of a consultancy/project, approval of proposal by any PI and his team, monitoring technical adequacy and progress, monitoring financial progress etc | VC through Dean (IRD) and HODs of the Departments | HOD or P.I may request for certain changes/ relaxations depending upon specific work & constraints |
| Note | In fulfillment of its administrative functions, Dean (IRD) shall be free to lay down or call for any document, nominate any appropriate team in consultation with the concerned HOD to visit the site etc. However, while on administrative matters, the decision of VC /Dean (IRD) shall be final but on all technical and financial matters, the decision of the PI shall be final and the P.I shall continue to be held overall responsible and accountable. | | |
| Technical Functions and Control | <p>1. Technical functions and control include all technical aspects of the consultancy/research project for which the P.I along with his team is to be considered competent and an expert. The complete team shall be collectively responsible Technically and held accountable JOINTLY.</p> <p>2. However, while formulating the proposal, the P.I must lay down clearly the technical expertise and responsibility of each of his members so that they are held accountable for decisions pertaining to that area/subject</p> | <p>The complete team shall be collectively responsible Technically and held accountable JOINTLY.</p> <p>P.I may however <i>ab initio</i> itself define the technical roles assigned to various members of his team.</p> | <p>Dean IRD and HOD may offer valuable suggestions, however, these will only be advisory. The decision of the team as conveyed by P.I shall be final on all technical matters</p> |
| Financial Functions and Control. | Financial functions include budgetary planning and expenditure on manpower, materials, TA/DA etc, optimal utilisation of funds on work and following Government DTU rules on expenditures. | Primary responsibility of the PI and his team | Dean (IRD), accounts and audit. |