

भारतीय प्रौद्योगिकी संस्थान रुड़की
INDIAN INSTITUTE OF TECHNOLOGY ROORKEE
प्रायोजित शोध एवं औद्योगिक परामर्श कार्यालय
SPONSORED RESEARCH & INDUSTRIAL CONSULTANCY OFFICE

सं0आईआईटीआर / स्रिक / 829 जी-01
No. IITR/SRIC/829 /G-01

दिनांक : जुलाई 10, 2018
Dated : July 10, 2018

अधिसूचना / Notification

अभिशासक परिषद ने अपनी 55 वीं बैठक में प्रायोजित शोध एवं औद्योगिक परामर्श समिति द्वारा अनुशंसित प्रायोजित शोध एवं औद्योगिक परामर्श से सम्बन्धित संशोधित नियमों को अनुमोदित किया है (प्रतिलिपि संलग्न) जिनको कि संस्थान में तात्कालिक प्रभाव से कार्यान्वयन हेतु अधिसूचित किया जाता है।

The Board of Governor in its 55th meeting has approved the revised rules for Sponsored Research and Industrial Consultancy as recommended by the Sponsored Research and Industrial Consultancy Committee (copy enclosed) is notified for application with immediate effect.


10/07/2018

सहायक कुलसचिव (स्रिक-प्रशासन)
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RULES FOR SPONSORED RESEARCH AND INDUSTRIAL CONSULTANCY

1. PREAMBLE

In the light of changing economic scenario, government policies and Institute priorities, the Institute considers sponsored research and industrial consultancy projects as an important means for extending benefit of scientific research work at the Institute to the sponsoring agencies broadening the experience base of the Institute community and as a tool for contributing to the country's and economic growth. Therefore, as a matter of policy, the Institute 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 Institute 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 first-hand 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 Institute** means Indian Institute of Technology Roorkee, Roorkee
- 2.2 Department** means all the academic departments, academic centres, centres of excellence and academic service centres at the Institute.
- 2.3 Director** means Director, Indian Institute of Technology Roorkee, Roorkee.
- 2.4 Dean of Sponsored Research & Industrial Research (Dean, SRIC)** means Dean of Sponsored Research & Industrial Consultancy (Dean SRIC), Indian Institute of Technology Roorkee, Roorkee.
- 2.5 SRICC** means Sponsored Research & Industrial Consultancy Committee (SRICC), Indian Institute of Technology Roorkee, Roorkee, constituted in accordance with Institute Senate manual.
- 2.6 Project** implies sponsored research or institute projects or industrial consultancy projects or routine testing projects or Sponsored through Institute resources.
- 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, equipment, consumables and supporting services of the Institute is borne by the sponsor.
- 2.8 Consultancy Project** means consultancy assignment/job given by outside agency to a faculty of the Institute 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 Institute (i.e. Director 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. The concerned Head of the Department will be the PI.

- 2.10 Sponsor** means the organization that offers a Project to the Institute 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 Institute 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 Director.
- 2.13 Consultant:** Consultant is an individual or government/ public sector undertaking/ government company or private 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 covering (a) project staff and (b) project research staff.
- 2.15 Research Development Fund (RDF)** means a part of the Institutional Overhead Charges (IOC)/share received for sponsored research and Industrial consultancy project credited to a separate fund operated by Dean (SRIC).
- 2.16 Departmental Development Fund (DDF)** means a fund of the Department to which a part of the Institute overhead charges/ share from Research and consultancy Projects are transferred.
- 2.17 Professional Development Fund (PDF)** means a fund for individual academic staff, to which a part of the Institute overhead charges/ share from Research and consultancy projects are transferred.
- 2.18 Project Monitoring Committee:** Project Monitoring Committee (PMC) means the Committee constituted to monitor the large projects with outlay of more than Rs. 200 lacs.

3. GENERAL

- 3.1** Individuals or Departments shall take up projects after taking approval of the Dean (SRIC) through the Head of the concerned Department. All funds in connection with Projects should be received in the name of the IIT Roorkee. The account of Projects/RDF/DDF/PDF will be maintained by SRIC Office and controlled by Dean (SRIC). Norms for project initiation and management are given at Annexure 1.
- 3.2** 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.
- 3.3** Consultancy project from any sponsor can be taken up for a minimum amount of Rs. 100,000/- excluding GST. For consultation work involving only site visit or personal discussion a minimum amount of Rs. 15,000/-per man-day for faculty/scientist/ Gp A staff and Rs. 2,000/-per man-day for technical and other non-academic staff may be charged.

3.4 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.

3.5 The IPR policy of the Institute 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.

3.6 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 Director, on the recommendation of Dean, SRIC 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 on-going project(s) with which he/she is connected, in order that the on-going projects and obligations to the sponsor do not suffer.

3.7 All purchases under projects/PDF/DDF shall be made as per institute norms. In case of equipment which is to be carried outside, the same should be insured before they are taken out.

3.8 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 five membership.

3.9 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 (SRIC).

4. Manpower

4.1 Project staff

4.1.1 The project 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.

4.1.2 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 (SRIC) 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 in the range of 10% to 20% of a project staff may be considered by the Dean (SRIC).
- 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.
- 4.1.9** Appointment of project staff on ad-hoc basis against a project position can be considered by Dean (SRIC) on the recommendation of the PI for a period not exceeding 89 days.
- 4.1.10** Foreign nationals having relevant visa may also be appointed for fellowship for a period of 6 months on adhoc basis which may be extended upto One year on the recommendations of PI

4.2 Student Assistants

The PI may engage Institute 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. 12,000/- p.m. for UG and PG students, Rs. 30,000/- p.m. for Ph.D. students and Rs. 60,000/- p.m. for Post Doc Fellows.

PI may also offer internship to UG/PG/Ph.D. students from IITR or other national and foreign institutes/universities upto a period of 3 months to work under project and a monthly payment also be made upto a maximum of PG fellowship amount admissible in vogue.

4.3 Consultants

The PI may, with the prior approval of Dean (SRIC) may avail the services of individuals not in the Institute service or government organization or private company 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 Institute. Admissible DA or actual boarding & lodging expenses will be paid on production of receipt, subject to a maximum of twice the daily gross salary at the ceiling of the person's pay scale. Expenses on local travel by taxi will be reimbursed against receipt as per actual.

Approval and advance for domestic travel shall be accorded by PI including for self subject to leave approved by the competent authority.

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 Any deviation for the travel in India, shall require the approval from Dean SRIC.

International travel for faculty and institute staff, shall require approval by Director through PI and Dean SRIC. However the funding from the project/PDF shall be approved by the Dean SRIC.

International travel of project staff and consultants shall be approved by Dean SRIC.

International travel of students shall be approved by Dean SRIC on the recommendation of Head and Dean Academic Affairs.

5.3 Out of pocket expenses will be payable for the actual period of field work at the work place at the following rates and will not be admissible for the journey period.

<u>Category of Staff</u>	<u>Rate</u>
Class 'A' and 'B' and Consultants	Rs.1000/- per day or part of a day
Class 'C' and 'CMTS', Project staff and others	Rs.750/- per day or part of a day

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 Institutional Overhead Charges (IOC) 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 Institutional share at the rate of 25% of the total contracted project cost. However, such share shall be 40% for routine testing.

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

Item	Consultancy project	Routine testing
Total money received	G	G
GST	L	L
Total contracted amount (T)	(G-L)	(G-L)
Institute share (P)*	0.25 T	0.40 T
Remaining amount (F)	0.75 T	0.60 T
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, Institute share may be negotiated with the approval of Director.

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 60% 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 SRIC office. Asstt. Registrar (SRIC 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 gross 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.

6.6 The consultancy project norms shall be applicable for sponsored short term courses dealt by Centre of Continuing Education.

7. PDF AND DDF

7.1 Share of PDF & DDF

The distribution of institute share to be credited to the PDF and DDF are as per the following table.

Distribution of Institute Share in percentage

Type of Project and Component available for distribution	Distribution (%)				
	RDF	DDF	Elect. Chr.	PDF	Incentive to Office Staff & Staff Welfare Fund
(A) Sponsored Research Project/HRD Programmes Institutional Overhead Charges Received from sponsor (I)	50	25	-	20	5
(B) Consultancy Project	50	15	5	25	5
(C) Routine Testing Project	70	20	5	0	5

7.2 Utilization of PDF

7.2.1 The PDF can be utilized by the concerned individual for the following purposes:

- Travel (domestic and abroad) and related expenditure for individual, student or project staff / outside expert / consultant / intern.
- Exploratory visits
- Engagement of project staff
- Fee and related expenditure for acquiring training/qualification(s)
- Membership fee of professional societies
- Books, journals related, printing charges for high quality journal and publications, stationary, computer consumables, any storage media, chemicals and any type of consumables required for academic and research work.

- g. Mobile phone (once a year), data card for internet, telephone call (pre or post paid), connectivity charges
- h. Office peripherals, furniture for lab and offices, camera (all types), instrument, computer (all types) and peripherals
- i. Instruments, fabrication of equipment, new facilities, repairs, maintenance of equipment, calibration of the instruments, NABL accreditation expenditure etc.

7.2.2 Approval for self, students, project and institute staff, outside expert and intern for domestic travel by PI.

International travel for faculty and institute staff, shall require approval by Director through PI and Dean SRIC. However the funding from the project shall be approved by the Dean SRIC.

International travel of project staff and consultants shall be approved by Dean SRIC.

International travel of students shall be approved by Dean SRIC on the recommendation of Head and Dean Academic Affairs.

Engagement of persons and expenditure for more than the limit of expenditure with single offer under PDF shall require the approval from Dean (SRIC).

7.2.3 The items procured out of PDF shall be properly accounted for by the concerned department /centre and shall remain as the property of the Institute. However, items purchased under 7.2.1 f & 7.2.1 g can be retained by the concerned faculty members permanently during the period of service and/or on retirement/leaving the service of the Institute. Any items purchased under clauses 7.2.1 h and any major assets procured may be retained by the concerned person on payment as per clause 7.2.4.

7.2.4 For clause 7.2.1 h the depreciated value (for which the rate of depreciation will be a flat 25% per year) or 5% of the purchase value, whichever is higher, will be payable.

Note: The following conditions will also apply for retaining items under this clause:-

- (i) He/she has served the Institute for a minimum period of 10 years.
- (ii) He/she has purchased these items from PDF.
- (iii) Only one Desktop PC and one Laptop, peripherals and other electronic items (one of each type, like only one printer, one scanner etc.) can be retained by the concerned person.

7.2.5 After leaving the Institute the PDF will also be available to the concerned person for 3 years for expenditure at sl. 7.2.1 a, c and e only.

Note: Leaving the Institute means not serving the Institute in any capacity like faculty/ re-employed faculty/Emeritus Fellow/Chair faculty/visiting faculty etc. Serving as consultant will not be counted as serving the Institute.

7.2.6 For the faculty members coming from different IITs, who carry out projects and other activities involving contribution towards their PDF, on request the fund so accumulated could be transferred from one IIT to another, within IIT system with the approval of the competent authority.

7.3 Utilization of DDF

DDF fund can be utilized for the following purposes:

- a. Development of Departmental Infra structure facilities like equipment / furniture for laboratories, class rooms, committee/ conference rooms.
- b. Repair, maintenance and A.M.C of equipment.
- c. Repair and maintenance of office and lab
- d. Seed money for holding conferences/ workshops and seminars etc.
- e. Engagement of project staff / hired manpower services (within 20% of total available funds at the beginning of the financial year)
- f. Instruments, fabrication of equipment, new facilities, repairs, maintenance of equipment, calibration of the instruments, NABL accreditation expenditure etc.

The budget for utilizing DDF may be recommended by the Departmental / Centre Administrative Committee (DAC/CAC) of the Department and approved by the Dean, SRIC. For any special requirements not covered above a proposal may be sent by the DAC/CAC of the Department for consideration of the Dean SRIC.

8. Admission of Project Staff to Academic Programmes

- 8.1 A project staff is eligible to register for Ph.D. or Master's Programme of the Institute as per Institute norms subject to his/her satisfying the admission requirements of the Institute.
- 8.2 The concerned project staff will be required to give an undertaking that he/she will not be automatically eligible for award of Institute fellowship and shall finance himself/ herself beyond the tenure of the appointment if Institute fellowship is not awarded.
- 8.3 The project staff admitted to Ph.D./ Master's programme will be governed by the relevant ordinances and fulfil 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 Director on the recommendations of Dean (SRIC).

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 Institute 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 Institute,
 - (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. Any other Group 'A' employee so permitted by the Director can be co-opted as Investigator.
- 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 institute
 - (ii) provision for Institution overhead charges as per the rules of the Institute,
 - (iii) other guidelines for Sponsored Research Projects, and
 - (iv) Rules, Regulations & Statutes of the Institute
- 1.4 All research project proposals shall be submitted to the sponsors through the concerned Head of the Department and Dean (SRIC).
- 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 (SRIC) 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 (SRIC).

- 1.9 The PI shall write to the sponsor for timely release of funds with a copy to the Dean (SRIC) for follow up, if necessary.
- 1.10 For Research Project: The sponsor which assigns the research project usually are approached by an individual or a functionary of the Institute (i.e. Head of the Department, Dean (SRIC) or Director).

For Consultancy project: The sponsor which assigns the consultancy project usually approaches the Institute for Consultancy work through an individual or a functionary of the Institute (i.e. Head of the Department, Dean (SRIC) or Director).

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 SRIC 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, etc. can be appointed/ nominated/ continued as principal investigator for research projects if the sponsors do not have any objection.

The retired faculty/scientist working under Emeritus Fellowship be allowed to continue as Principal Investigators in the ongoing consultancy projects, if the sponsors do not have any objection.

Emeritus Fellows, Chair Faculty, Visiting Faculty, etc. can only be investigator(s) for the new consultancy projects.

- 1.13 If the PI leave the institute, retires or proceeds on leave or not available for some reason, Dean SRIC, on the recommendation of the P.I. (if he/she is available) appointing 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 (SRIC) through H.O.D. However, in exceptional circumstances, a retired faculty member may continue to work as P.I. with the approval of the Director, if he/she continues to serve the institute 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 Institute share, actual expenses of the project covering following.

- (i) Permanent equipment to be procured / fabrication of equipment or models.
- (ii) Consumable materials.

- (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 and literature (books, journals) and any other item budgeted under the proposal and approved by the sponsor.
- (vi) Expenses for *manpower*, work to be carried out on payment basis, assistantship/ internship 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 Institute 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 GST 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 Institute 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 *manpower*, 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 SRIC 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/Private 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 to the sponsor for approval. However amount for collaboration with private organisation(s) for consultancy project(s) may not exceed to 40% of total budget for project.

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

5. DISAGREEMENTS / DISPUTES

- 5.1 Any disagreement within the Institute arising at any stage of a Consultancy project will be resolved in consultation with Dean (SRIC) / Director to ensure an expeditious removal of bottlenecks and smooth functioning of the project.
- 5.2 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.
- 5.3 All legal action will be subject to jurisdiction at Civil Courts at Roorkee/ Haridwar/ High Court at Nainital.

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 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 there 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 (SRIC) in any other matter on the project.

- | | |
|---|------------------------|
| (1) Dean, SRIC | - 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 institute in relevant field, if required, or representative of sponsor, if required by sponsor. | |
| (7) Asstt. Registrar (SRIC-Admn.) | - Non-Member Secretary |

9. FORMS

To ensure smooth administration & management of Projects, only the forms supplied by Dean (SRIC) will be used by the PIs and others concerned.

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 (SRIC) for approval
- (ii) Dean (SRIC) will approve the draft advertisement and return it to the Principal Investigator for notification/ advertisement.

2. ADVERTISEMENT OF THE POSITIONS

The Principal Investigator will advertise the positions through institute 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 (SRIC) 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 (SRIC)
- (iii) For walk in interview, screening is not required.

4. SCREENING COMMITTEE CONSTITUTION

- | | | |
|--|----|----------|
| (i) Faculty from the existing panel approved by the Director | -- | 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 (SRIC) 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

Project Staff

- | | | |
|--|----|----------|
| (i) Faculty from the existing panel approved by the Director | -- | 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 Institute | -- | Member |
| If required by the sponsor | | |

For Ph.D. Admission

For Ph.D. Admission of Project staff, the eligibility and selection process etc shall be As per Ph.D. regulations in vogue.

7. FINAL SELECTION / APPOINTMENT

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

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.	25,000/- to 60,000/- + HRA
2	Research Associate	M. Tech/M. Arch/M. B.A. (2 years duration)/Ph. D. in Science/Ph.D. in Arts	30,000/- to 75,000/- + 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	40,000/- to 1,00,000/- + 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	75,000/- to 2,50,000/- + HRA
5	Chief Executive Officer of lab/ centre	Ph.D. + 5 year experience or M. Tech. + 10 years' experience or B.Tech. + 12 years experience of interaction and advisory support with manufacturers and user companies	2,00,000/- to 3,00,000/- + HRA
6	Chief of lab	Ph.D. + 5 year experience or M. Tech. + 10 years' experience or Bachelor in engineering with 20 years' experience and out of which minimum 8 years in leading position of laboratory	2,00,000/- to 3,00,000/- + HRA
7	Project Assistant (Technical)	Diploma (3 years) duration or ITI with 4 years experience or 10th pass with 10 years experience	15,000/- to 45,000/- + HRA
8	Project Officer (Admin/Account)	MA/MSc/MCom with four year administrative/accounting experience or MBA/CA	25,000/- to 75,000/- + HRA
9	Project Assistant (Admin)	Graduation	15,000/- to 45,000/- + HRA
10	Project Attendant (Admn/Tech.)	12 th pass or 10 th pass +2 year experience or 8 th Pass + 4 years experience	10,000/- to 30,000/- + HRA

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

- HRA : The project staff (including those appointed on ad-hoc basis) shall be entitled to HRA as per the Institute rules, if accommodation in the campus is not made available to him/her. If the person is residing within the IIT 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.
- 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 institute.

3. Disciplinary Proceedings: Dean (SRIC) 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 (SRIC).

4. 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.

5. Medical Insurance: Annual premium for medical insurance (for illness requiring hospitalization may be reimbursed to project staff appointed for 1 year or more with the limit of sum assured of Rs. 3.00 Lac for self, Rs. 3.00 lac for spouse and Rs. 1.50 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

P.I. shall sign all type of contracts / agreements pertaining to Projects, Research and Development with the approval of Dean SRIC. However in specific case Dean SRIC may also sign the contract.

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 *GST* 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 Institute 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 Institute's Advocate will be the responsibility of the PI concerned.

