

RESEARCH & CONSULTANCY

Rules and Regulations



NATIONAL INSTITUTE OF TECHNOLOGY UTTARAKHAND
Srinagar Garhwal, Distt - Pauri Garhwal, Uttarakhand
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1. PREAMBLE

With the advancement of government policies and Institute priorities, NIT Uttarakhand is striving to develop into an Institution where new ideas, research and scholarship flourish and the innovators of tomorrow may emerge. The Institute encourages the academic staff to undertake the research and consultancy projects, in order to extend their research work and gain professional experience at the Institute, thereby contributing to country's scientific/technical as well as economic growth. The research and consultancy projects are very useful for maintaining external and global linkages. These projects, especially related to consultancy, provide incentives to the concerned staff and are main source of revenue for the Institute.

2. DEFINITIONS

- 2.1. **Institute** means National Institute of Technology Uttarakhand constituted under National Institute of Technology Act 2007.
- 2.2. **Department** means an academic unit within the meaning of the Statutes of NITs.
- 2.3. **Director** means Director of National Institute of Technology Uttarakhand, Uttarakhand
- 2.4. **Dean, Research & Consultancy** means Dean of Research & Consultancy, National Institute of Technology Uttarakhand.
- 2.5. **Associate Dean, Research & Consultancy** means Associate Dean of Research & Consultancy, National Institute of Technology, Uttarakhand.
- 2.6. **ODRC** means Office of Dean Research and Consultancy.
- 2.7. **Project** implies sponsored research projects or industrial consultancy projects or routine testing projects.
- 2.8. **Sponsor** means the organization, public or private that offers a Project to the Institute and provides necessary financial support for successful completion of the project in time.
- 2.9. **Principal Investigator (PI)** is a member who is the faculty of the Institute with necessary expertise and competence to conduct a Research and Consultancy work. Normally, the faculty who submits the project proposal and negotiates with the sponsor and is instrumental in getting the project funding is the Principal Investigator (PI).
- 2.10. **Co-Principal Investigator (Co-PI)/Co-Investigator** means a person from amongst the Faculty/Scientist (including Emeritus Fellow, Chair Faculty, Visiting Professor)/Industry co-opted by the Principal Investigator to work jointly with him/her on the project so permitted by the Director. He/she may be from any other Academic/Research Institute/Industry as decided by PI.
- 2.11. **Academic Staff** means member of the Academic Staff of the Institute within the meaning of the Statutes of NITs.
- 2.12. **Project Team** means members of the Academic Staff of the Institute who are PI and Co-PI in a Project.
- 2.13. **Project Staff** means personnel appointed in conformity with the guidelines to work on a research project and the tenure of which are co-terminus with the projects. *This includes Technical Assistant, Junior Research Fellow, Senior Research Fellow, Research Associate, Project Associate, and Project Consultant etc.*

- 2.14. Consultant** is an individual or government/public sector undertaking/government or private company engaged for a specific period to carry out specific job.
- 2.15. Memorandum of Understanding (MoU)** means document that describes the broad outlines of an agreement and communicate the mutually accepted expectations of all of the parties involved.
- 2.16. Intellectual Property** means an intangible property that is a result of a project, such as patents, copyrights, etc.
- 2.17. Proper Channel** means process from PI to Head of Department to Assistant Registrar (R&C) to Associate Dean (R&C) to Dean (R&C) to Director.
- 2.18. Project Selection Committee (PSC)** means committee formed for the selection of Project Staff.
- 2.19. Project Monitoring Committee (PMC)** means the Committee constituted to monitor the sponsored research projects with an outlay of more than Rs. 50 lakhs.
- 2.20. Project Purchase Committee (PPC):** Applicable as per the Institute rules.

3. GENERAL RULES AND REGULATIONS:

- 3.1.** Individuals or Departments shall take up projects after taking approval through proper channel. All funds in connection with Projects should be received in the name of NIT Uttarakhand.
- 3.2.** The ODRC shall be the nodal office for all the Projects in the Institute.
- 3.3.** The Account Section shall maintain all the financial records pertaining to the Projects including Research Fund. For this purpose, the Account Section shall be controlled by the Dean (R&C). Norms of project initiation and management are given in respective section.
- 3.4.** All purchases under Projects shall be made as per institute norms. In the case of equipment, which is to be carried outside, the same should be insured before they are taken out.
- 3.5.** Report(s) and data collected/originated out of project are the joint Intellectual Property of the sponsor, Principal Investigator and the Institute 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, Principal Investigator and the Institute.
- 3.6.** The Intellectual Property Right (IPR) policy of the Institute shall be applicable for all the intellectual property generated through projects. All rights pertaining to any intellectual property generated/created/invented in the due course of the project, will be the joint property of the Institute and Sponsor. However, if there is a condition in MoU signed between the Sponsor and PI/Institute, regarding the IPR issue that will take precedence over the condition laid down in the above para.
- 3.7.** PI will maintain the report of the Project(s) for a period of 03 years after the date of closure of the project(s).
- 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.** 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) or publication, the Director on the recommendation of Dean (R&C) 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.

- 3.10. 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 for 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 the date on which the sponsors inform the Investigator in writing to stop the project. 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 research fund.

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.

- 3.11. 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 is 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.

- 3.12. 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 organization(s) for consultancy project(s) may not exceed to 40% of total budget for project.

- 3.13. PROJECT MONITORING COMMITTEE:** For sponsored research projects (with an outlay of more than Rs. 50 lakhs) the Project Monitoring Committee (PMC) with the following composition shall review and assess the progress periodically (at least once a year) for timely completion of the project. The committee may also advise Director in any other matter on the project.

(i) Dean (R&C)	-	Chairman
(ii) Head of the concerned Department or his nominee	-	Member
(iii) Head of other Department from relevant field or his nominee	-	Member
(iv) One Faculty Member from relevant field	-	Member
(v) One expert from outside the Institute in relevant field, if required, or representative of sponsor, if required by sponsor	-	Member
(vi) Principal Investigator	-	Member
(vii) Assistant Registrar (R&C)	-	Member Secretary

4. PROJECT CATEGORY AND NORMS

4.1. SEED GRANT PROJECT

As per norms approved by FC/BoG, the Institute provides a seed grant of Rs. 10.00 Lakhs (max.) to new/eligible faculty members having Ph.D. degree for initiating research. The faculty member will write

a research proposal against the call for Seed Grant Proposal. It is a platform meant to help faculty to prepare for subsequent proposal submissions.

4.2. SPONSORED RESEARCH PROJECTS

Sponsored Project refers to a research project sponsored by an agency as per the guidelines of the sponsor. The Institute encourages Academic Staff to undertake sponsored research projects. The administrative guidelines and process in the Institute are tuned to create conducive environment for the same.

A. RESEARCH PROJECT INITIATION AND MANAGEMENT:

4.2.1. Each funding agency has its own format and guidelines. The proposal should be submitted after thoroughly going through the recommended guidelines.

4.2.2. Each project will have a Principal Investigator (PI) who will be a Faculty Member in the service of the Institute and will be responsible for;

- (i) Formulating the project proposal which may include;
 - a) Planning of the work to be done,
 - b) Estimating costs, and
 - c) If necessary, identifying other Investigators, who shall also be Faculty Members(s)/Scientists(s) in a reputed institute.
- (ii) Co-ordination and execution of the work.
- (iii) Handling all communication with the sponsor through the nodal office.
- (iv) Writing of intermediate and final reports according to the project proposal.
- (v) Ensuring that all reports bear the name of Principal Investigator and his/her signatures and the names(s) of the Investigators(s) who participated in the project.
- (vi) Signing the memorandum of Understanding (MoU) or Agreement with the sponsor, if required.

4.2.3. 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) Rules, Regulations & Statutes of the Institute.
- (iii) Other guidelines for sponsored research project.
- (iv) While making an estimate of the funds required for a project, the following budget heads may be taken into account:
 - a) Salary of Project Staff
 - b) Equipment (Major/Minor)
 - c) Consumables
 - d) Travel (Domestic/International)
 - e) Contingency
 - f) Hiring Services/Others
 - g) Institution Overhead Charges (IOC) as per the rules of the Institute*

*The project proposal to all funding agencies must ask for a minimum of 20% Institution Overhead Charges (of the Total Grant of the Project) for the Institute or as per guidelines of sponsor. However, this will not be treated as a condition for accepting the award of project and the limit may be relaxed.

4.2.4. Teaching Posts, viz. those of Professors, Associate Professor, Assistant Professor, should not be asked for in the project proposals, however, posts of Research Staff as per the pay scales applicable to

CFTIs/UGC/CSIR/DST etc. may be included in the proposals. Other posts asked in the project proposal should carry scales of pay identical to those of the corresponding posts in the Institute/CFTIs, on a consolidated salary, not exceeding the total emoluments at the minimum of the scale of the equivalent posts in the Institute, may also be included in the budget proposal.

- 4.2.5. The members of the Academic Staff shall submit the project proposal, containing the Financial and Technical details of the project proposal, to the **ODRC** through proper channel, which shall contain;
- i. Project Submission Form.
 - ii. Project proposal (as per the format of funding agency).
- 4.2.6. After obtaining approval from the Director, **ODRC** will hand over a forwarding letter and the copy of the project proposal to the PI for submission to the funding agency.
- 4.2.7. If the research project is with a non-government agency, a statement on terms and conditions of the project including the right of patents and royalties must be spelt out clearly.
- 4.2.8. If any Memorandum of Understanding (MoU), vis-à-vis, terms and conditions and deliverables have to be signed between the Institute and the funding agency, the Dean (R&C) will be the signatory on behalf of the Institute along with the Principal Investigator and Co-PI.
- 4.2.9. The letter of sanction and details of the amount sanctioned under different budget heads, duration of the project and other terms and conditions should be communicated to the ODRC with a copy of the Project approval by the PI.
- 4.2.10. The date of Start of project will be the date of actual receipt of first installment of the grant sanctioned or as specified by the funding agency, before the start of Project. PI must fill up the project initiation form.
- 4.2.11. Every research projects shall bear a unique Research Project Identification Number (**RPIN**) to be given by ODRC.
- 4.2.12. The PI shall ensure that the head-wise expenditure does not exceed the budgetary allocation as applicable.
- 4.2.13. The PI shall be responsible for the maintenance of Laboratory Record Book (LRB) 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 ODRC.
- 4.2.14. The PI shall communicate to the sponsor for timely release of funds with a copy to the Dean (R&C).
- 4.2.15. It shall be the responsibility of the PI to get project work completed satisfactorily within the sanctioned grant and duration.
- 4.2.16. The Period spent by the PI, Co-PI and Project Staff on field work or collaborative work in another Laboratory related to research work of the project should be treated as being on duty (leave as admissible should be applied) and will need the approval by Dean (R&C), on recommendation of the concerned HoD. TA/DA if admissible will be borne by the project.
- 4.2.17. In situations where visits are required before the funding is received from the sponsor for the research project, the TA/DA may be reimbursed from research fund.

B. FINANCIAL GUIDELINES

- 4.2.18.** For all public funded projects, it will be obligatory on the part of Project team (i.e. PI/Co-PI) to abide by Institute Rules of Expenditure that includes procurement, travel, remuneration etc., shall be applicable, unless an exception has been made out by the funding agency.
- 4.2.19.** For Committee Purchase (as given in GFR-2017) a standing Project Purchase Committee (PPC), comprising-PI/Co-PI, representative from finance section/Assistant Registrar (Store) and ODRC etc, may be constituted.
- 4.2.20.** All bills in respect of project (including bills for advance) will be signed by PI and sent to the Account Section duly completed in all respects for payment. It will be the responsibility of the PI to see that the bills are completed in all respects and that they are in order.
- 4.2.21.** Purchase order up to Rs. 1,50,000/- can be placed by PI/Co-PI in coordination with Institute Central Stores and Purchase Section. For purchase above Rs. 1,50,000/- the institute procurement process shall be followed.
- 4.2.22.** Advances will be paid to the PI/Co-PI by cheques/electronically, who will be responsible for rendering the account of such advances within the period of 15 days from the date of drawing the advance. However, this shall not apply in case of Letters of Credits (LCs) where the money is always with the bank; LCs should be cleared within 30 days of receipt of equipment/material.
- 4.2.23. MAINTENANCE OF STOCK REGISTERS**
- i. Each project should have separate stock register for consumable and non-consumable articles. The PI shall maintain the details of the procurement out of research project funds separately for each project and send a copy of the record to ODRC for placing the same before the Govt. of Audit, for verification or as and when required for any other purpose.
 - ii. 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 ODRC as and when required for any other purpose.
 - iii. Physical verification of stock should be conducted at least once in a year/after the completion of the project, and the result thereof should be reported to the Institute Central Stores and Purchase Section.
 - iv. Equipment purchased specifically for each project will be the property of the Institute on the termination of the project unless the sponsoring body desire otherwise.
- 4.2.24.** As per Institute norms, the salary of all part-time ad-hoc, regular, daily-wages based and consolidated salary based employees of project will be credited to their respective bank accounts which must be mentioned on the fellowship or salary bills, duly countersigned by the PI.
- 4.2.25.** In case, the funding agency makes ad-hoc payments of the installments, the PI may provide the break-up under different heads of the project.
- 4.2.26.** PI may do the re-appropriation of funds amongst budget heads subject to the consent/permission from the concerned sponsoring agency, and PI should inform the details to Dean(R&C).
- 4.2.27.** For all the projects funded through International agencies, non-governmental agencies etc. separate rules of expenditure may be worked out as per the mutually agreed terms and conditions if necessary, or else the same rules shall be applicable.
- 4.2.28.** Collaborative projects between two or more Institutes/Organizations can be submitted only after the approval of respective competent authorities. The funds will be received by the host

Institute/Organization of the PI; and the host Institute/Organization will have the responsibility to transfer the funds to the collaborative Institutes/Organizations as specified in the project proposals. If the sponsor agrees, funds can be released by the sponsor, separately, to the participating Institutes.

- 4.2.29.** The PI should prepare the Statement of Expenditure (SE) and Utilization Certificate (UC) of every project annually, or/and as per the time schedule prescribed by the funding agency which will be audited by Account Section and will be issued subsequently. The same may be sent to the ODRC within 15 days of the said date for confirmation/reconciliation for onward transmission to the funding agency.

C. REVIEW AND CLOSURE

- 4.2.30.** It is the responsibility of the PI to prepare and send timely Annual Progress report, other deliverables along with the settlement of accounts to the sponsoring agency through the Dean (R&C).
- 4.2.31.** Statement of account to be submitted will be made available to the PI on request by the designated Institute officer. On verification, the reports and accounts with a forwarding letter should be returned to the PI for onward transmission to the funding agency. Any minor discrepancy should be resolved mutually. In case of any major discrepancy, the PI should approach to the Dean (R&C) to get the matter sorted out.
- 4.2.32.** After the completion of project, PI should submit the report directly to the funding agency and maintain a record of hard and soft copy. At the most, report may be counter signed by the Head of the Department/Dean(R&C) or for information only. PI should inform the ODRC by sending the copy of covering letter.
- 4.2.33.** Closure of the Project should be done within six months of the completion of the project. The final technical and fiscal report should be prepared by the PI in accordance with the requirements of the funding agency, and the same shall be submitted to the Accounts for verification.
- 4.2.34.** After the completion/termination of project, the equipment/non-consumable items may be transferred to the Department stock register except where the sponsoring bodies do not allow the Department/Institute to retain the equipment/non-consumable items. PI should send the Information to ODRC.
- 4.2.35.** A completion certificate should be obtained by the PI from the funding agency for successful completion of the project based on which project account will be closed with intimation to the Dean(R&C)/Director.
- 4.2.36.** The project will be considered as closed after the expiry of the period of raising objections on project report by sponsor.
- 4.2.37. Superannuation of the Academic Staff:** The Academic Staff member shall be allowed to work as a PI only up to the age of Superannuation, i.e. 65 years. After that the Co-PI shall be made PI of the project. If there is no Co-PI in the project someone else associated with the project shall be made PI in consultation with the sponsoring agency.

4.2.38. OVERRIDING POWER

The Director, on the recommendation of Dean (R&C), shall have the authority to overrule any of these rules in the overall interest of the Institute, and the reasons for the same shall be recorded explicitly.

4.3. CONSULTANCY PROJECTS

A consultancy project is one where faculty and research staff provide knowledge and intellectual inputs to industry (within India and abroad), primarily for their purposes. This is effectively a contract work in which all outputs belong to the client. The Institute has expertise in various research areas to provide knowledge and intellectual inputs which are of interest to the relevant industries. Faculty members are encouraged to undertake consultancy works, an important component in industrial growth of the Nation.

A. SCOPE OF CONSULTANCY SERVICE OFFERED

- 4.3.1. The Institute encourages Academic Staff to undertake consultancy assignment in the areas of their Academic and Research pursuit, as envisaged in the National Institute of Technology Act 2007.
- 4.3.2. Consultancy Services may be offered to Industries, Service Sector, Government Departments and other National and International agencies in niche areas of expertise available in the Institute.
- 4.3.3. The requirement originates from the industry concerned. The faculty is expected to estimate the time and cost required to accomplish the task.
- 4.3.4. The service offered shall be along the lines of 'Professional Services' and will hence carry with them obligations and ethical requirements associated with such services.
- 4.3.5. Consultancy services offered may cover a variety of activities such as Feasibility Studies, Technology Assessments, Assessment of Designs and/or Current Manufacturing Process, Material, Energy, Environmental and Manpower Audits, Product Design, Process Development, Software Development, General Troubleshooting, Condition Assessment & Retrofitting Exercises, Intensive efforts for transfer of highly focused skills and expertise to selected groups in specific organizations, vision and strategy statement and so on.
- 4.3.6. Testing & Evaluation services are to be normally offered in selected specialized areas. In order to meet the needs of certain Governmental and related agencies and special Clients (who have long term association with the Institute) routine testing services may be offered, but to a limited extent.
- 4.3.7. The facilities available in the Institute may be utilized for routine testing of samples for external agencies/Institute on payment basis only.
- 4.3.8. All Consultancy and related Jobs need to be structured and executed in the spirit of promoting Institute-Industry Interactions, as a vehicle for augmenting (current) levels of excellence in teaching and research.

B. CONSULTANCY PROJECT TYPE

- a) **Type-I** : Addressed to specific faculty expert or any Institute Functionary, i.e., HoD, Dean or Director, and has Laboratory component.
- b) **Type-II** : Addressed to specific faculty expert or any Institute functionary, i.e., HoD, Dean or Director, and does not have Laboratory component.
- c) **Testing** : Addressed to specific faculty expert or HoD

C. NORMS FOR TESTING:

- i. The Institute will undertake testing jobs provided facilities are available and such testing does not interfere with any teaching or research work. The testing jobs can be initiated by the faculty once request is received for the testing job.
- ii. The procedure for overall operation of the project is similar to that of consultancy project.

D. CERTIFICATION:

The Institute (through its faculty) is **not** authorized to undertake certification in any form. At best, one can say that, on a given day, with a given sample, a well-defined test yielded the following results.

- 4.3.9. The consultancy project norms shall be applicable for the sponsored short term courses dealt by the Centre of Continuing Education or other such activities.

E. GENERAL GUIDELINES: PROJECT INITIATION AND MANAGEMENT

- 4.3.10. The sponsor which assigns the consultancy project usually approaches the Institute for Consultancy work through an individual or a functionary of the Institute (Head of the Department, Dean (R&C) or Director).
- 4.3.11. When a specific Faculty Member is approached for the work, the PI shall normally be the concerned Academic Staff member, subject to the condition that the work falls within his/her area of academic/research pursuit.
- 4.3.12. If the project is referred to a functionary, the PI would be identified by the HoD as per the area of specialization, willingness and availability of the member.
- 4.3.13. Each consultancy project will have a team of Academic Staff members essentially including a Principal Investigator (PI). If required, co-PIs will have to be chosen by the PI as per their area of specialization and the deliverables are the responsibility of the PIs.
- 4.3.14. The members of the Academic Staff must submit the Consultancy project proposals (prepared in response to a client's request) to the ODRC through proper channel for its endorsement and further approval along with the consultancy project agreement form, who may examine the scope of the work and cost estimates. It is essential to discuss the proposed work plans with a client vis-a-vis the scope, in order to obtain clarity before the consultant prepares the cost estimates. The proposals shall contain the followings;
- a) Name of the team members involved in the project
 - b) Scope of the work
 - c) Financial details
 - d) GST number of Client/Firm as well as account details of R&C for e-transfer
 - e) Copy of the letter from the Client.
- 4.3.15. After approval, ODRC shall assign a unique Consultancy Project Identification Number (CPIN) and communicate the requirement of PI along with financial quote & standard terms and conditions to the client for taking up the project. All the reports sent to the Client shall have a dispatch number to be obtained from the ODRC.
- 4.3.16. The consultant should be aware of the potential for the generation of Intellectual Property during the execution of projects. Normally, all the rights pertaining to any intellectual property generated/created/invented and of commercialization in due course of the project will be the property of the Institute.
- 4.3.17. The services of external consultant that include, experts from other Institutes, retired Faculty/Research Scientists may be utilized to a limited extent in order to provide comprehensive services to clients. Such external consultants will be entitled to a lump sum consultant fees which may be fixed after taking into account essential expenditure directly related to the assignment.

- 4.3.18. For the case of invitation from other Institute to the faculty as an external consultant, the respective faculty will be permitted to take part in the consultancy. The Faculty may receive the fee/honorarium by disclosing the same to the Institute.
- 4.3.19. Out of the campus travel on account of consultancy assignments should be undertaken with intimation to the HoD while in case of HoDs, intimations should be sent to the Director. It is, however, anticipated that such approvals will be given within two working days in order to ensure that the prior commitments to Clients are honored. In emergencies, prior intimation and subsequent sanction could be considered/acceptable.
- 4.3.20. If the PI leaves the Institute, retires or proceeds on leave or not available for some reason, Dean (R&C)/Director, on the recommendation of the PI (if he/she is available) will appoint a new PI, who is agreeable to become PI and will assume the powers and responsibilities of the PI. The new PI will also give an undertaking to complete the project in the remaining funds and time period, to the Dean (R&C) through HoD. However, in exceptional circumstances, a retired faculty member may continue to work as PI with the approval of the Director, if he/she continues to serve the Institute in some other capacity. The consent/approval of new PI may be taken from sponsor, if required.

F. LIMITATIONS

- 4.3.21. Time spent by Faculty Members on Consultancy Project and related assignments will be one working day per week plus during weekend/holiday, with a limit to total of 52 working days in the calendar year.
- 4.3.22. Consultancy assignments may be taken up and implemented, within the constraints indicated above, provided they do not have any adverse impact on the ongoing academic, research and related activities. Further, such assignments need to be carefully scheduled in the light of ongoing commitments. If required, a clear indication of the earliest date on which the assignment can commence may be clearly spelt out in the Proposal Form.
- 4.3.23. No retiring member shall be allowed to submit a new consultancy project proposal as Principal Investigator, if his/her 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.
- 4.3.24. The services of permanent employees of the Institute may be utilized for the execution of the consultancy projects provided it does not affect their primary functions and responsibilities to the Institute.
- 4.3.25. Students who are willing to work on consultancy projects may be permitted to do so, provided it does not affect their academic commitments and performance. Such work by students may be compensated by suitable honoraria.
- 4.3.26. **CONFLICT OF INTEREST:** Consultants shall disclose to the Dean (R&C) in writing the existence of;
Any scope for potential disproportionate self-gain, Dean (R&C) will review such cases and decide appropriately, with the advice of a committee to ensure that no actual conflict of interest exists and that such an involvement by the consultant does not adversely affect the consultant's objectivity integrity, or commitment to the Institute and to the profession.

G. FINANCIAL GUIDELINES

- 4.3.27.** Consultancy project from any sponsor can be taken up for a minimum amount of Rs.10,000/- excluding GST. For consultation work involving only site visit or personal discussion a minimum amount of Rs. 5,000/- per man-day for Faculty/Scientist/Group A Staff, and Rs. 1000/- per man-day for technical and other non-academic staff may be charged.
- 4.3.28.** All the payments for consultancy projects shall be in the name of the Institute through DD or electronic transfer.
- 4.3.29.** The Institute normally requires the cost of the consultancy project to be deposited by the sponsor /client, in full, before the commencement of work. However, based on the needs of the client and circumstances, the Institute may, in exceptional cases, permit commencement of work with payment to be made as per agreed upon milestones.
- 4.3.30.** In the case of large assignment a payment schedule linked to milestones can be worked out. Such a payment schedule should ensure that;
- Advance payment is received for every segment of work, and
 - The number of installments is reasonable and consistent with ease of implementation. The number of installments may not exceed four for a project implemented over a one-year period and this number needs to be scaled down accordingly for shorter duration projects.
- 4.3.31.** Expenses should be carefully managed by the Principal Investigator keeping in mind the market rates for equipment, material, and services to be procured from the market and the time required for the project. The expenditure will be made through normal Institute procedures. Expenses includes;
- Permanent equipment to be procured/fabrication of equipment or models.
 - Consumable materials.
 - Visit fee and Travel expenses in connection with the project work.
 - Contingency expenses to cover cost of supplies, preparation of report, typing, word processing, drawing, drafting, stationery, literature (books, journals, membership fee for professional societies), postage, courier 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.
 - Expenses for manpower, the work to be carried out on payment basis and remuneration to student assistants etc.
 - Computational or other consultant charges, the PI may have to pay to the Institute or any other outside agency in the course of the execution of the work.
 - Charges to be paid for the use of specific equipment in the departments or central facilities.
 - Insurance on equipment and manpower during travel (if required).
 - Any other recurring and nonrecurring expenses.
- 4.3.32.** Expenses incurred on reasonable hospitality in connection with the consultation work can also be charged as expenses on actual basis on production of receipt.
- 4.3.33.** At the stage of proposal submission, the budget will reflect project costs, Institute share (as applicable) and GST. GST is subject to periodic revision by the Government of India. GST is not deducted on projects, if the funds are received in foreign currency. GST on equipment is not chargeable, in case equipment is to be returned to the funding agency/organization after completion of the project. This should be clearly spelt out in the MoU/proposal itself.

- 4.3.34. At the time of submission of a consultancy project proposal, the PI shall make a provision for Institute Share at the rate of 40% of the total contracted project cost of **Type I** and **II**. However, such share shall be 60% for the routine testing.
- 4.3.35. 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/Director through proper channel.
- 4.3.36. After receiving the e-transfer detail along with GST number (preferably through email), the file will be marked for Account section for verification of e-transfer. Once, Account Section verifies that amount has been received in the account; the Account Section will generate the invoice in quadruplet [one copy each for Client (true copy), PI, ODRC and Account Section] and send the file back to ODRC with invoice in triplicate.
- 4.3.37. PI will intimate the receiving of required documents/material/information sought from the client to ODRC. Once, both the required documents/material/information and e-transfer has been verified, the file will be back to PI mentioning to initiate the project.
- 4.3.38. The PI while seeking approval of expenditure from the specific Project funds should specifically mention the project 'Budget Head' to which that expenditure will be debited.
- 4.3.39. Project specific services of the Consultants from outside the Institute may be sought, subjected to the certification by the PI stating that the expertise of the kind is not available in-house and prior approval of the Dean (R&C) is required. The payment to such Consultant shall be limited to 15% of the fee charged and Rs. 100,000/- whichever is less.
- 4.3.40. PI may get specific job work done on payment from outside, such payment may not exceed 5% of the Total Cost for the project and for higher amount specific permission may be sought from Dean (R&C) subject to the ceiling of 10% of TC.
- 4.3.41. Preliminary Diagnostic Discussion/Site Visits may be charged at a minimum rate of Rs. 5,000/- per day per expert. As an industry friendly move, the consultant may decide to absorb such charges into the final project cost.
- 4.3.42. Out of pocket expenses per day, @ Rs. 5000/- for Academic Staff and @ Rs. 750/- for Technical Staff (Project staff and others) will be admissible for the actual period of field work which will comprise collection of field data from natural environment, mapping of an area, installation and maintenance of instruments in the field, performance of test in the field, etc. or as per the guidelines of sponsor. This is over and above other admissible expenses.
- 4.3.43. **STUDENT ASSISTANTSHIP**: Principal Investigator may engage Institute students (who may or may not be getting fellowship/assistantship) as Student Assistants with the approval of Dean (R&C) for consultancy and testing work on payment of Rs. 250/- per hour subject to a maximum of 50 hours per month. This is subjected to the budgetary and other limitation of the funding agency. The expenditure on this account can be booked under manpower charges/contingency.
- 4.3.44. For travel outside the Institute, the most expeditious and convenient mode of travel should be used to minimize period of absence from the Institute. There will be no restriction placed by the Institute on the mode of travel. Admissible DA or actual boarding & lodging expenses will be paid. Expenses on local travel by taxi will be reimbursed against receipt as per actual.

- 4.3.45. The permission to leave the Head quarter shall be as per the Institute rule, besides regular Institute leaves. No additional leaves shall be maintainable for taking up the consultancy assignments. In addition to the special casual leaves available as per Institute norms.
- 4.3.46. For, international consultancy projects:
- Funds are received in foreign currency;
 - The research collaboration of NIT Uttarakhand with the other party/funding agency should be in conformity with the laws of all the Countries involved and/or International laws as the case may be.
- 4.3.47. The project expenditure for equipment and consumables will be maintained in a separate stock register by PI.
- 4.3.48. A separate account head shall be maintained for each project by the Account Section. Head, Accounts Section shall be responsible for the submission of audited statement of accounts as and when required.
- 4.3.49. After completion of the project, PI will submit the project completion report along with deliverables to the ODRC in the project file for forwarding the deliverables and bill to the client/funding agency.
- 4.3.50. ODRC will approve the deliverables and send the report to client along with the invoice through dispatch section and send the file back to PI. In case, the client has physically taken the deliverables, the handing over report needs to be submitted and same will be sent to client with Invoice.
- 4.3.51. The project file will be closed with the submission of the final technical and financial project report and transfer of the non-consumables and consumables to the Department's stock register.
- 4.3.52. After completion of work, the PI will initiate the disbursement related note-sheet and complete the process as per the R&C norms. The key file will be maintained by respective PI while a copy of closing report by ODRC to maintain the record.
- 4.3.53. The statement of expenditure (SE) and utilization certificate (UC) will be prepared at end of every financial year by the competent designated authority. The account of the 'Research and Development' shall be annually audited through professional chartered accountant and the report thereof shall be submitted to the Director.
- 4.3.54. Distribution of amount for the consultancy projects and routine testing will be as follows;

Table 1: Distribution of amount for the consultancy projects and routine testing

S. No.	Item	Type-I & II	Routine Testing
1	Total Agreed Charges	G	G
2	Total taxes/GST	T	T
3	Institute Overhead (IO)	0.25(G-T)	0.4(G-T)
4	Total Contracted Amount (C)	G-T-IO	G-T-IO
5	Total Expenditure on the Project (E)	E	E
6	Balance Amount to be paid to Investigators and staff.	C-E	C-E

Note: Institute Overhead charges shall be distributed suitably for the development of department, Institute and concerned PI and Co-I as DDF, IDF and PDF.

4.3.55 DISTRIBUTION OF INSTITUTE OVERHEARD CHARGES(IOC) & INSTITUTE SHARE

The distribution of Institute Overheard Charges/Institute Share to be credited to the PDF and DDF are as per the following table.

Type of Project and Component Available for Distribution	Distribution (%)		
	IDF	DDF	PDF
(A) Sponsored Research Project/ HRD Programmes Institutional Overhead Charges (IOC) received from Sponsor	50	25	25
(B) Consultancy Project	50	25	25
(C) Routing Testing Project	70	20	10

4.4. If any of the Academic Staff member wishes to divert part or whole of his/her own remuneration to his/her Professional Development Fund, the same will be permissible.

4.5. UTILIZATION of PDF

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

- a) Travel (domestic and abroad) and related expenditure for individual, student or project staff/ outside expert/consultant/intern.
- b) Exploratory visits
- c) Engagement of project staff
- d) Attending Conferences/Short Term Course/Workshop/Training Programs etc.
- e) Fee and related expenditure for acquiring training/qualification(s)
- f) Membership fee of professional societies
- g) Publication charges for reputed journal/conferences/books (excluding article processing charges), purchase of books, stationary, computer consumables and any storage media, chemicals and any type of consumables required for academic and research work.
- h) Mobile phone (once a year), data card for internet, telephone call (prepaid/postpaid), connectivity charges.
- i) Office peripherals, furniture for labs and offices, camera (all types), computer (all types) and peripherals.
- j) Instruments, fabrication of equipment, new facilities, repairs/maintenance of equipment, calibration of the instrument, NABL accreditation expenditure etc.
- k) Annual health checkup.

4.5.2. The items procured out of PDF shall be properly accounted by the concerned department/centre and shall remain as the property of the Institute. However, items purchased 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 major items purchased/assets procured may be retained by the concerned person.

4.5.3. 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:

- a) He/she has served the Institute for a minimum period of 10 years.
- b) He/she has purchased these items from PDF.
- c) 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.

4.5.4. After leaving the Institute the PDF will also be available to the concerned person for 3 years for expenditure.

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.

- 4.5.5.** For the faculty members coming from different NITs, who carry out projects and other activities involving contribution toward their PDF, on request, the fund so accumulated could be transferred from parent Institute to other Institute of National Importance with the approval of the Competent Authority.
- 4.6. UTILIZATION of DDF:** The budget for utilizing DDF may be recommended by all the faculty members of the department and sent to Dean (R&C) through proper channel for its approval from the Director. For any special requirements not covered above a proposal may be sent through proper channel. DDF fund can be utilized for the following purposes:
- a) Development of Departmental Infrastructure, 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 labs.
 - d) Seed money for holding conferences/workshops and seminars etc.
 - e) Engagements 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 instrument, NABL accreditation expenditure etc.
- 4.3.56 For consultancy project with an outlay of Rs. 10 lakhs 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. However, in case of a large consultancy project funded by a Government Organization, Institute share may be negotiated with the approval of Director.

H. OTHER CONDITIONS

- 4.3.57 **DECLARATION:** All work undertaken by the Institute as part of the project will be in good faith and based on material/data/other relevant information given by the Client requesting for the work.
- 4.3.58 **CONFIDENTIALITY:** Due care will be taken by the Institute to maintain confidentiality and discretion regarding confidential information received from the Client, including but not limited to results, reports and identity of the client.
- 4.3.59 **REPORTS:** Any test or other consultancy report given by the Institute will be based on work performed according to available standards/facilities and/or open domain literature in any event. This report may not be construed as a legal document, certificate or endorsement and may not be used for marketing of the products or processes, without prior consent from the Institute. The institute reserves the right to retain one copy of the report and use the results of the project for its internal teaching and research purposes.
- 4.3.60 **WORK PERFORMANCE:** Every effort will be made to complete the specified work according to the planned time schedule. However, the Institute will not be held responsible for any delays caused beyond its reasonable control.

- 4.3.61 **CONFLICT OF INTEREST:** The Institute may take up work for other clients also in the same area, provided to the best of the Institute's knowledge; there is no conflict of interest in undertaking such projects.
- 4.3.62 **TERMINATION:** The project work may be terminated by either party. However, both parties will meet any residual obligations in connection with the project.
- 4.3.63 **LIABILITY:** The Institute shall not be held liable for any loss, damage, delay or failure of performance resulting directly or indirectly from any cause, which is beyond its reasonable control (Force Majeure). The liability of the Institute shall be limited to the funds received for the project.
- 4.3.64 **MoU/AGREEMENT PREPARATION:** Institute has guidelines for drafting MoU/Agreement. When MoU is acceptable to both the parties, it is sent to the Director, through Dean (R&C) for its approval along with the Note File (summary of MoU). A copy of the duly signed MoU will be sent to the other party and a copy will be retained in the ODRC. After approval, PI/HoD/Asso. Dean(R&C)/Dean(R&C)/Director as the case may be, will sign the MoU.
- 4.3.65 **RESOLUTION OF DISAGREEMENTS/DISPUTES:** Any disputes arising out of the project at stage shall be amicably settled by both the Project Team and Client. For unresolved dispute, the Director may constitute a committee comprising – Dean (R&C) convener and two external members for reconciliation and recommendation. Any unsettled disputes may be subject to resolution as per the Indian Arbitration and Conciliation Act 1996. All legal action will be subjected to jurisdiction at High Court at Nainital. The terms and conditions will apply to all the projects taken up by the Institute, unless otherwise mutually agreed to in a separate document.
- 4.3.66 **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 endeavored and 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.
- 4.3.67 **BREACH OF CONDUCT:** To examine/investigate any complaint/information of breach of professional misconduct, the Director may constitute a committee comprising, Dean (R&C), convener, and two external members. The Committee may recommend restraining the PI/Co-PI from undertaking Industrial Consultancy assignment for a specified period. Further, any breach of Code of Conduct, the matter may be referred to a committee constituted for Disciplinary proceeding as per the First Statute of NITs.
- 4.3.68 **OVERRIDING POWER:** The Director, on the recommendation of Dean (R&C) shall have the authority to overrule any of these rules in the overall interest of the Institute, and the reasons for the same shall be recorded.
- 4.4 The Institute overhead charges of Sponsored Research Project/MoE programmes are to be credited as research Fund.

5 **ENGAGEMENT OF RESEARCH STAFF**

5.1 The project staff may be engaged for all project positions by open selection for assisting/working on the project as per prescribed selection procedure, designations, qualifications and experience requirements and consolidated fellowship/emoluments as given in following table X.

Table X: Project Positions, Qualifications and Fellowships/Emoluments:

S. No.	Fellowships	Minimum Qualifications	Amount (per month)
1.	Junior Research Fellow (JRF)	PG degree with 60% in sciences or first class graduate degree in engineering disciplines and NET/GATE qualified.	As per norm of funding agency or As per norms set by Department of Science & Technology, Government of India/MoE.
2.	Senior Research Fellow (SRF)	First Class PG Degree in sciences with 2 years' of research experience or first class post graduate degree in engineering disciplines or first class graduate degree in engineering with 2 years' of research experience.	As per norm of funding agency or As per norms set by Department of Science & Technology, Government of India/MoE.
3.	Research Associate	Ph.D. in Science/Engineering or PG degree in engineering disciplines with 2 years' of research experience.	As per norm of funding agency or As per norms set by Department of Science & Technology, Government of India/MoE.
4.	Project Associate	B. Tech/B. Arch/M.Sc./M.A.	20,000/- to 60,000/- + HRA or As per norm of funding agency
5.	Project Fellow	Ph.D. in Engg/Ph.D. in Science with 2 years' experience (After Ph.D)/Ph.D. in Arts with 2 years' experience (After Ph.D.) or M.Tech./MBA + 3 year or B. Tech. + 6 year experience	40,000/- to 100,000/- + HRA or As per norm of funding agency
6.	Project Consultant	Ph.D. + 4 years' experience or M.Tech/M. Arch + 6 years' experience or B.Tech/B. Arch +10 years' experience	75,000/- to 250,000/- + HRA or As per norm of Funding Agency
9.	Project Assistant (Technical)	Diploma (3 years) duration or ITI with 4 years' experience or 10 th pass with 10 years of experience	15,000/- to 45,000/- + HRA or As per norm of Funding Agency
10.	Project Assistant (Admin)	Graduation	15,000/- to 45,000/- + HRA or As per norm of Funding Agency
11.	Project Officer (Admin/Account)	MA/MSc/MCom with four years administrative/accounting experience or MBA/CA	25,000/- to 75,000/- + HRA or As per norm of Funding Agency
12.	Project Attendant (Admin/Tech.)	12 th pass or 10 th pass + 2 years' experience or 8 th Pass + 4 years' experience	10,000/- to 30,000/- + HRA or As per norm of Funding Agency

Note:-

- To meet specific needs of the project, any change in qualification and emoluments may be approved by the Dean(R&C)/Director on the recommendation of PI.
- However, if sponsor (e.g. DST, DAE, CSIR, DRDO, ISRO etc.) has specified any specific designation(s), qualification and employment condition(s) for manpower that shall be followed.
- The Research Staff (TA/JRF/SRF/RA) will be paid a lump-sum amount as stipend as per norms of Government of India, communicated through Department of Science and Technology/UGC etc.

- 5.2 In order to avoid any delay in starting the research projects, the project staff on ad-hoc basis in concurrence with the sanctioned project position can be considered by Dean(R&C)/Director on the recommendation of the PI for a period not exceeding 90 days.
- 5.3 The process of recruitment of project staff should be started simultaneously as per the procedure prescribed by the Institute and completed at earliest possible, preferably within 3 months from the date of the commencement of the project.
- 5.4 Appointment of the research staff in projects positions (TA/JRF/SRF/RA etc.) for sponsored/consultancy projects will be purely on temporary basis for the duration of the project only and will be co-terminus with the project. The appointed staff will have no claim for regular appointment in the Institute on the termination of project.
- 5.5 All post of TA/JRF/SRF/RA etc. shall be created against a specific proposal of research/development nature and an estimate of the time period for which the service of the TA/JRF/SRF/RA etc. are needed shall be decided at the time of creation of these temporary positions and shall work for fulfilling the objectives of the project.
- 5.6 The tenure of appointment of any project staff mentioned above 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.
- 5.7 The maximum tenure of the engagement of TA/JRF/SRF/RA shall be for a period of 5 years for JRF and 4 years for SRF/RA with initial appointment for a period of one year. The annual report submitted by Research Staff shall be sent to a committee constituted by Director for evaluation of the performance of the research staff. Based on the recommendation and approval of the Director, the tenure of the Research Staff shall be extended for one year at a time for the second, third and fourth year. One month notice is required for the termination of the contract from either side.
- 5.8 On the recommendation of committee, the enhancement of fellowship/emoluments in the range of 10 to 20% (or as per norms) of a project staff may be considered by the Dean(R&C)/Director.
- 5.9 All contractual project staffs shall be appointed with the prior approval of the Head of the Institution. 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. All contracts will be executed by the Director and will retain the original copy of contract.
- 5.10 Transfer of project staff from one project to another, either on completion or midway, may be permitted by the Dean(R&C)/Director on the recommendation of respective PI.
- 5.11 PI may also offer internship to UG/PG/Ph.D. students from NIT Uttarakhand or other national and foreign institute/universities up to a period of 3 months to work under project and a monthly payment also be made up to a maximum of PG fellowship amount admissible in vogue.
- 5.12 The Institute may also allow engagement of Short Term Project Staff on contract for the sponsored projects that include Technical Assistant/Technician etc.
- a) Such person shall be paid consolidated remuneration, which shall be commensurate with the skill employed. The qualification, consolidated remuneration and other condition can be decided by a committee constituted by Director on Recommendation of PI.

- b) Such engagement shall normally be for a period of one year which is extendable maximum up to duration of the project. The extension on a year to year basis shall be based on an annual report submitted by the project staff with recommendation of the PI followed by the approval of the Competent Authority.
- c) They shall not be allowed any other allowances beyond the consolidated remuneration and shall be eligible for 8 days Casual Leave and 2 days Restricted Leave. However, 15 days of leave per year with full pay can be sanctioned on medical ground for hospitalization and the leave application should be supported by medical certificate.
- d) The person engaged as project staff shall neither be allowed to take up another assignment on any of the other ongoing project of the Institute nor shall he/she be continued on expiry of the project duration.

5.13 CONSULTANTS

- a) The services of specialists on deputation from Government Research Institutions or public or private sector can be obtained. Wherever services of such person are required on deputation basis, the conditions of services may be regulated according to the standard terms of deputation with the approval of Sponsor.
- b) Foreign national having relevant visa may also be appointed for fellowship for a period of 6 months on adhoc basis which may be extended up to One year on the recommendation of PI.

5.14 TERMS AND CONDITIONS FOR PROJECTS STAFFS

- 5.14.1 The staff employed in the projects will be governed by the same rules and conditions of service as applicable to temporary employees in the Institute from time to time.
- 5.14.2 **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 NIT Campus, House Rent Allowance (HRA) up to entitlement or actual payment made whichever is less will be payable to Institute. HRA shall be charged to the salary head of the respective project.
- 5.14.3 **Conduct Rules:** The project staff shall maintain the record and secrecy of the findings/technical information and shall not communicate in any manner without the approval of the PI to any official document or information to any person or agency. They shall also follow general code of conduct of the Institute.
- 5.14.4 **Disciplinary Proceedings:** The Dean(R&C)/Director 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(R&C)/Director.
- 5.14.5 **Leave:** All the 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 TRAVEL:

- 6.1 The TA/DA in the project for field work and visits outside Institute can be paid as per rules of the Institute or as per guidelines of the funding agency to the PI, Co-PI and Project staff as well as Ph.D. students working on jobs related to the Project work upon approval and justification by the PI.
- 6.2 The TA/DA, accommodation as well as registration fee for the UG, PG and full time Ph.D. Students for participating/attending the conference/workshops/symposia/STTPs/STCs/Industrial Visit/Tech Fest/Technical Competition/GIAN courses/TEQIP sponsored courses within the country may be given as follows or as norms of funding agency;

Student	Registration/ Participation Fees	Dearness Allowance (Fooding) @per day, per student (₹)	Accommodation Charges (Lodging) @per day, per student (₹)	Travelling Allowance	
				Train	Second AC
Ph.D.	As per actuals	‘500/-’	‘450/-’	Bus	AC Bus
PG	As per actuals	‘500/-’	‘450/-’	Train	Second AC
				Bus	AC Bus
UG	As per actuals	‘500/-’	‘450/-’	Train	Third AC
				Bus	AC Bus

- 6.3 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.
- 6.4 Approval and advance for domestic travel shall be accorded by PI including for self-subject to leave approved by the Competent Authority.
- 6.5 Approval for international travel for self, student, project and institute staff, outside expert and intern.
- International travel for Faculty and Institute Staff shall require approval by Director through PI and Dean (R&C).
 - International travel of project staff and consultants shall be approved by Director through proper channel.
 - International travel of students shall be approved by Dean(R&C)/Director on the recommendation of Head and Dean Academic Affairs.
- 6.6 Any deviation for the travel with in or out side India shall require the approval from Dean(R&C)/Director.

7 **ADMISSION OF SPONSORED RESEARCH PROJECT STAFF TO ACADEMIC PROGRAMMES:**

- 7.1 A project staff working in a sponsored project is eligible to register for Ph.D. or master’s programme of the institute as per Institute norms subjected to his/her satisfying the admission requirements of the Institute.
- 7.2 The concerned project staff will be required to give an undertaking that he/she will not be automatically eligible for the award of Institute fellowship and shall finance himself/herself beyond the tenure of the appointment, if Institute fellowship is not awarded.
- 7.3 The project staff admitted to Ph.D./Master’s programme will be governed by the relevant ordinances and fulfil his/her obligation towards the PI & the project in which he/she is appointed.
- 7.4 If the project fellow qualifies all the criteria as mentioned above, he/she may join PhD with same Faculty Member with mutual consent and student may avail the fellowship from the same project:

8 **SPONSORS SPECIFIC CONDITIONS:**

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

9 EXCEPTION CALUSE:

These guidelines shall normally be applicable to all Projects. However, any change required which does not constitute to policy change may be approved by Director on the recommendation of Dean(R&C).

10 REVIEW:The R&C policy/rules may be reviewed normally in three years or as per need.



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

1. For the appointment of the post under the sponsored project, application should be invited after giving wide publicity regarding the vacancies.
2. **PREPARATION OF DRAFT ADVERTISEMENT**
 - i. Principal Investigator will send the draft advertisement to Dean(R&C)/Director for approval.
 - ii. Dean(R&C)/Director will approve the draft advertisement and return it to the Principal Investigator for notification/advertisement.
3. **ADVERTISEMENT OF THE POSITIONS**
The Principal Investigator will advertise the positions through institute website and through other means and receive the applications.
4. **SCREENING OF APPLICATIONS**
 - i. The PI will fix the meeting of screening committee and send the report of the screening committee to Dean(R&C)/Director for approval.
 - ii. The PI will issue the letters to the candidates called for interview after screening committee report has been approved by Dean(R&C)/Director.
 - iii. For walk in interview, screening is not required.
5. **SCREENING COMMITTEE CONSTITUTION:**
 - i. Concerned Principal Investigator : Chairman
 - ii. One faculty member from the same department as available to the PI : Member
 - iii. One faculty member from other department as available to the PI : Member
6. A **Project Selection Committee (PSC)** shall be constituted in the beginning of the project by PI with the approval of Director and shall serve throughout the duration of the Project. The PSC shall recommend the appointments to the posts of Junior/Senior Research Fellows/Research Assistants and all other technical and non-technical staff. The PSC may also recommend at the time of appointment whether or not JRF/SRF should be considered by for registration for Ph.D. in the Department, if requested so by the candidate and the proposed by the supervisor.
7. **PROJECT SELECTION COMMITTEE (PSC) CONSTITUTION**
The selection committee for Project Staff shall be called "Project Selection Committee" (PSC), and shall be as follows;
 - i. Concerned Principal Investigator : Chairman
 - ii. Head of the concerned Department or his nominee : Member
 - iii. Director' nominee : Member
 - iv. One faculty member from same Department as available to PI : Member
 - v. One external expert from other Department or outside the Institute : Member
(If required by the sponsor)
8. **INTERVIEW**
 - i. The application will be processed by the PI/Co-PI and the applicants will be called for interview before selection committee.
 - ii. The PI will arrange the walk-in-interviews on the advertised date by a duly approved Selection Committee

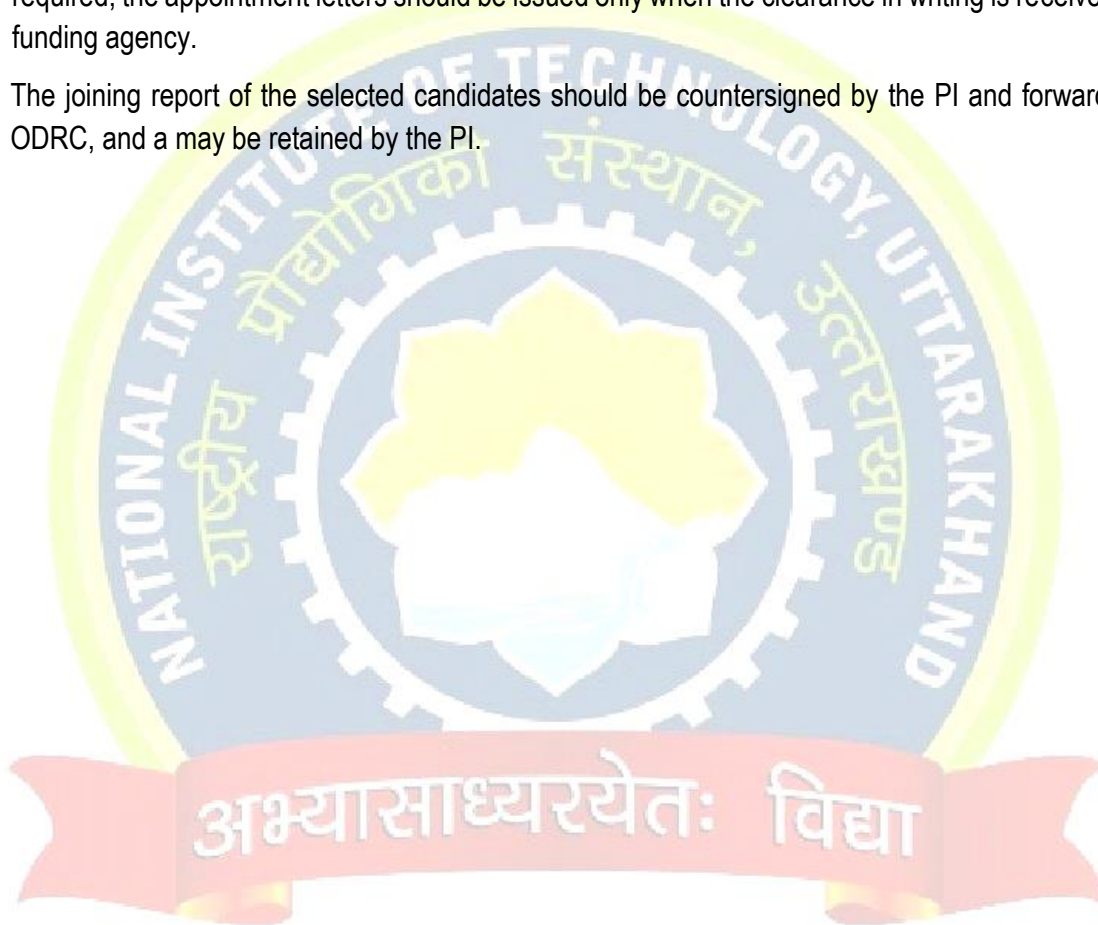
- iii. The PI will fix the date of the interview and get the interview conducted. The PI will send the recommendations of the Project Selection Committee to Director for approval.
- iv. Travelling allowance/dearness allowance may not be paid to the candidate for the interview for the employment in the project.

9. FINAL SELECTION/APPOINTMENT

Selection Committee report may be approved by the Dean(R&C)/Director and the appointment letter may be issued to selected candidate(s) by the Registrar except in the case of project in respect of which the appointment letters to the candidates are to be issued by the sponsoring agency.

A copy of the appointment letter should be sent to ODRC. All appointment letters should clearly indicate the terms and conditions of appointment. In case wherein approval of the funding agency is required, the appointment letters should be issued only when the clearance in writing is received from the funding agency.

- 10. The joining report of the selected candidates should be countersigned by the PI and forwarded to the ODRC, and a may be retained by the PI.



GUIDELINES FOR MoU/AGREEMENT

PI shall sign all type of contract/agreements pertaining to Projects, Research and Development with approval of Dean(R&C)/Director. However, in specific cases Asso. Dean/Dean(R&C)/Director 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.
 - a) **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.
 - b) **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.
 - c) **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.

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