RULES & REGULATIONS

for

CONSULTANCY SERVICES

(Formed under Section 3 of Research and Consultancy Cell, NIT Kurukshetra)

Research & Consultancy Cell

National Institute of Technology Kurukshetra

(Revised w.e.f. from FY 2018-19)

1. DEFINITIONS

1.1 **Co-Investigator** means a faculty of the Institute co-opted by the Principal Investigator to work jointly with him/her having necessary expertise and competence on the consultancy service hereinafter referred as CI.

1.2 **Consultancy Services** means a consultancy work / assignment / job given by an outside organisation/agency to a faculty of the Institute for work within mutually agreed scope. It will also include a consultancy work / assignment / job referred to the Head of the Department or Dean (R&C) or the Director, which in turn is taken up as a Consultancy Service by the faculty. This is a time and cost bound activity. The Consultancy Services are classified as:

a **Type-I Consultancy Services** include all such assignments which do not require Institute's laboratory facility, such as Designs, Proof Checking / Vetting of Designs, Preparation of Detailed Project Reports, Third Party Quality Control and Site Visits, Engagement / services of Individual(s) by any organization for a time period or for a particular consultancy assignment in an advisory capacity or as an expert, and other similar assignments.

b **Type-II Consultancy Services** include all such assignments that require laboratory facilities of the Institute, such as Material Testing, Mix Designs, Soil Stabilization and Field Testing and other similar assignments.

c **A consultancy service of mixed nature** involving both type of testing and design assignments can be split into Type 'I' and Type 'II' in the proportion to be decided judiciously by the PI in advance.

1.3 **Consultant** means an individual or government / public sector / private organisation engaged for a specific period to carry out a specific consultancy service.

1.4 **Dean of Research & Consultancy** means Dean for Research and Consultancy, referred in Schedule-C of the NIT Statute, at the National Institute of Technology Kurukshetra, Kurukshetra, hereinafter referred as Dean (R&C).

1.5 **Department** means all the academic departments, academic centres and schools at the Institute.

1.6 **Director** means Director of the National Institute of Technology Kurukshetra, Kurukshetra.

1.7 **Faculty** means a regular teaching employee of the Institute as per Recruitment Rules of the Institute and amended from time to time.

1.8 **Institute** means National Institute of Technology Kurukshetra, Kurukshetra.

1.9 **Institute Overhead (IO)** means an allocated fund for the Institute out of the fund received from sponsor for SRPs and Consultancy Services.

1.10 Institute Consultancy Overhead (ICO) means an allocated fund for the Institute out of the charges received for consultancy services and shall be kept in the separate account under the earmarked fund of R&C Cell.

1.11 Overall Consultancy Expenditures (OCE) means total permissible expenses to be incurred for a consultancy service subject to a maximum of 32 % of total contracted amount of the consultancy. This expenditure comprises of the Overhead Charges (OC) and PI Consultancy Service Expenditures (PIC).

1.13 Overhead Charges (OC) means administrative and managerial expenses at Central and Departmental levels for a consultancy service. This expenditure comprises of the Central Overhead Charges (OCC) and Departmental Overhead Charges (OCD).

1.13.1. Central Overhead Charges (OCC) means administrative and managerial expenses at Central level for a consultancy service.

1.13.2. Departmental Overhead Charges (OCD) means administrative and managerial expenses at Departmental level for a consultancy service.

1.14 Principal Investigator means a faculty of the Institute with necessary expertise and competence to undertake/ conduct a consultancy service. Normally, the faculty who submits the consultancy proposal and negotiates with the sponsor and instrumental in getting the consultancy funding is the Principal Investigator, hereinafter referred as PI.

1.15 PI Consultancy Services Expenditures (PIC) means expenses incurable for and during the course of consultancy service, subject to a maximum of 20 % of total contracted amount of the consultancy service. PIC includes expenditures on hospitality, stationary, material, preparation of project report, P&T charges, salary/ payment to labour, honorarium/payment to staff, sitting fee of outside experts called for consultation, contingency, consumables, equipment including computer, printer and their peripherals, materials/items of non-consumable nature including office/lab furniture etc. and other miscellaneous expenditures related to consultancy services.

1.16 R&C Cell means Research and Consultancy Cell of the Institute.

1.17 Salary means the basic pay in the respective pay level and the dearness allowance thereon.

1.18 Sponsor means any organization, such as Government/ Semi-Government/ PSU/ Autonomous Bodies/ Private industry including any other organisation not covered here, who funds consultancy services to the Institute.

1.19 Staff means a regular non-teaching employee of the Institute as per Recruitment Rules of the Institute and amended from time to time.

2. GENERAL

Individual(s) or Department shall take up projects after taking approval of the Dean (R&C), through the Head of the concerned Department. All funds in connection with

Consultancy Services shall be received in the name of the "***Director, NIT Kurukshetra (Consultancy)***".

Norms for consultancy service initiation and management are given in Annexure-I.

The funds receipt / payments in connection with Consultancy Services can be made through DD/ Cheque/ Electronic transfer or any other mode as may be prescribed by the Institute.

3. MANPOWER

3.1 Hiring of casual staff/labour: The P.I. can hire casual staff and or casual labour as per approved rates of the Institute/DC rate.

3.2 For hiring special skilled service, the PI may decide and pay as per the requirement of the consultancy services. The service under this category will be of purely on temporary and need based.

3.3 Use of Existing Staff: Existing regular Staff of Laboratory/office such as technicians / lab attendants / ministerial staff who may be available without affecting Department schedule may be considered subject to the requirement of the project and availability of such staff. Such staff may be hired from any department as per the requirement of the PI.

3.4 Consultants: The PI with the prior approval of Director on recommendation of Dean (R&C) may avail the services of individuals not in the Institute service, or government organization as Consultants for any consultancy service.

3.5 The total amount payable under this section shall be covered within the limit of PIC. In case the estimated expenditure is expected to increase beyond PIC limit under this section, the proposal may be prepared in advance along with facts and figure for submission to Director through Dean (R&C) for prior approval.

4. TRAVEL

4.1 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 bill(s).

4.2 Approval for domestic travel shall be accorded by PI; whereas, for travel of PI prior approval of Dean (R&C) is required. All faculty members are allowed to travel by own vehicle/AC taxi/train/Air as per requirement of the consultancy service. Depending upon location/nature of the project/equipment to be carried /time, the PI may allow the non-faculty staff also to travel by own vehicle/AC taxi/train/air irrespective of their entitlement of travel (i.e. the TA shall be paid accordingly).

4.3 The expenses incurred for carriage of an equipment in a car/suitable vehicle will also be covered under travel expenses.

4.4 Advance for travel, if any, will be approved by the Dean (R&C).

4.5 Payment of charges to travel agents for Ticket purchase assistance, Visa assistance, Insurance etc. shall be admissible.

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

4.7 Approval of the Director, through Dean (R&C), will be required for all international travels.

4.8 Institute TA/DA rules will be applicable except for entitlement of travel as mentioned in clause 4.2 above.

5. FINANCE AND ACCOUNTS

5.1 A separate account shall be maintained for each consultancy service by the R&C Cell and shall be responsible for the submission of audited statement of accounts as and when required by concerned organisation / persons.

5.2 At the time of submission of a consultancy service proposal, the PI shall make a provision for Institute Consultancy Overhead (ICO) at the rate of 40% and 60% of the total contracted amount of the consultancy service for Type-I and Type-II consultancy services respectively.

5.3 Details of distribution of Consultancy Services amount shall be as below:

Table 1: Details of Distribution of Consultancy Service Amount

Distribution of Consultancy Service Amount	**Type of Consultancy Service**	
	Type-I	**Type-II**
Total Consultancy Charges received (CC)	CC	CC
Goods and Service Tax as applicable (GST)	GST	GST
Total Contracted amount (T)	(CC - GST)	(CC - GST)
Overall Consultancy Expenditure (OCE)	OCE	OCE
Balance Amount for Distribution (X)	(CC – GST -OCE)	(CC – GST -OCE)
Institute Consultancy Overhead (ICO)	0.4 X	0.6 X
Amount to be distributed by PI	0.6 X	0.4 X

5.4 The amount to be distributed by PI, as mentioned above, is to be distributed amongst the PI, CI(s) and technical/laboratory staff of concerned department(s) only, and shall be at the sole discretion of PI.

5.5 A faculty (as PI and/or CI) can draw remuneration/share out of consultancy services up to his/her gross salary earned during the financial year, as per distribution given in Table 1.

In order to motivate the faculty and to enhance the consultancy services for revenue generation at the Institute level, in case the remuneration/share out of consultancy services exceeds to his/her gross salary, the excess amount shall be distributed in the ratio of 25:75 between the concerned faculty and Institute (ICO).

5.6 For all ministerial staff, the upper limit for remuneration from consultancy services is 60% of the gross salary received in a financial year and for all technical /lab staff it is 75%.

5.7 Any amount received out of the consultancy services, irrespective of its nomenclature, shall be considered for the purpose of deciding the upper limit.

5.8 The above limits out of consultancy services are subject to the condition that consultancy work does not interfere with the normal teaching / research work in the Institute and other duties of the faculty / staff member(s) concerned.

5.9 Overall Consultancy Expenditure (OCE) shall be 32% of total contracted amount (T) including PI Consultancy Service Expenditures (PIC) of 20% and Overhead Charges (OC) of 12%. The Overhead Charges (OC) comprises of the Central Overhead Charges (OCC) and Departmental Overhead Charges (OCD) to the extent of 10% and 2% respectively.

The Central Overhead Charges (OCC) are payable for administrative and managerial expenses at Central level for a consultancy service. Its distribution shall be decided by the Director in consultation with Dean (R&C) and Registrar.

The Departmental Overhead Charges (OCD) are payable for administrative and managerial expenses at Departmental level for a consultancy service. Its distribution shall be decided by the PI in consultation with HOD, wherein the share of HOD shall not be more than half of the OCD.

6. INSTITUTE CONSULTANCY OVERHEAD (IOC) FUND

Institute Consultancy Overhead (ICO) shall be calculated on periodical basis or job basis and shall be maintained under R&C Cell as earmarked fund. It shall be utilized for both recurring and non-recurring expenditures with the prior approval of the Director in the interest and development of academic and research activities as and when required. Its utilization also includes for the purpose of development of Institutional Infra structure facilities like equipment laboratories, class rooms, committee/ conference rooms, R&D facilities; repair, maintenance and A.M.C of equipment; and seed money for research project/ activities.

7. EXCEPTION CLAUSE

These rules and regulations shall normally be applicable to all consultancy services. However, any procedural and/or administrative changes which does not constitute to policy change may be approved by the Director on the recommendation of Dean (R&C).

8. REVIEW

These rules may be reviewed from time to time as per needs.

Annexure 1

Norms for Consultancy Services initiation and management

I. General

a. Each consultancy service shall have a Principal Investigator (PI) who will be a faculty and shall be responsible for:

i. Formulating the project proposal which may include -
- Planning of the work to be done;
- Estimating costs according to the nature of project and expenses/expertise involved;
- The minimum rates for routine testing jobs to be charged as consultancy fee will be maintained by specialization wise each section of the department. The rate can, however, be charged by the PI on the higher side depending upon the complexity involved and size of the project; and
- If necessary, identifying Co-Investigators whose prior approval is required.

ii. Co-ordination and execution of work.

iii. Handling all communications with the sponsor.

iv. Writing of intermediate and final reports according to the consultancy service proposal.

v. Ensuring that all reports bear the name of the Principal Investigator and his/her signatures and the name(s) of the Co-Investigator(s) who participated in the consultancy service.

b. It shall be the responsibility of the PI to get consultancy service completed satisfactorily.

c. The PI shall ensure that the head-wise expenditure does not exceed as applicable.

d. The Pl shall write to the sponsor for timely release of funds.

e. For Consultancy Service, the sponsor which assigns the consultancy assignment usually approaches the Institute for Consultancy work through an individual or a functionary of the Institute i.e. Head of the Department, Dean (R&C) or Director.

When an individual is approached for the consultancy service, 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 Director / Dean (R&C) refers the consultancy service. The HOD while allocating the consultancy service to a faculty of the concerned specialisation shall ensure equitable distribution of such projects involving the participation of maximum number of faculty as far as possible.

f. No retiring faculty member be allowed to submit a consultancy service proposal as Principal Investigator (PI) if more than half of the proposed duration of the consultancy service falls beyond the date of retirement of the PI.

g. If the PI leaves the Institute, retires or proceeds on leave or is not available for some reason, Dean (R&C), on the recommendation of the P.I. (if he/she is available) appoints 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 assignment in the remaining funds and time period, to the Dean (R&C) 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.

h. Normally the agreed charges of the consultancy service 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.

i. Sponsor shall deposit consultancy charges preferably through DD/ Cheque/ Electronic transfer or any other mode as may be prescribed by the Institute in the name of "Director, NIT Kurukshetra (Consultancy)". PI may receive the consultancy charges on behalf of Director, NIT Kurukshetra, to be deposited with the R&C Cell at the earliest preferably within next two working days of the receipt of the same.

j. Consultancy assignment file will be closed with the submission of final consultancy report and final settlement of accounts.

k. The work on the assignment can be started by the P.I. in anticipation of the approval of the consultancy job, if disapproval of the competent authority is not received by the PI within 4 working days of applying for the project to the HOD of the respective department.

l. The final report of the consultancy assignment shall normally be issued by the PI to the sponsor/client after completion of the consultancy service in all respect and after the consultancy fee has been deposited with the Institute. Interim reports can, however, be issued on firm assurance of receiving the consultancy fee from the sponsor.

m. The forwarding of report (final or interim) to the sponsoring agency (service receiver) shall have the diary number of Research & Consultancy Cell.

II. Collaboration with Outside Organizations

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

III. 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 of the total amount charged for the project as consultancy fee after deduction of the statutory taxes and the expenditure / liabilities occurred 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 ongoing projects, or till the end of the project for completed projects.

V. 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 the 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.

VI. Documents/Material to Maintain

The report (soft copy or hard copy) of the consultancy projects will be kept by PI for a period of 03 years from the date of issue of report. All documents/records related to payment of consultancy fee and expenditure/payments/distribution will be maintained by In-charge Account/ PI as the case may be for a period of 03 financial years from the financial year in which the report is submitted to the sponsor.

Material received for testing in the lab shall normally be retained in respective labs for a period of one week from the date of issue of test report to the sponsor/client.

VII. FORMS

To ensure smooth administration & management of consultancy services, only the prescribed forms by Dean (R&C) will be used by the PIs and others concerned. For reference, the forms CS01 and CS 02 are attached along with the annexure.

Form CS: 01

NATIONAL INSTITUTE OF TECHNOLOGY KURUKSHETRA

Request for Approval of Consultancy Job

Dated: .....

1. Name of the project and its brief description: .....

   .....

2. Sponsoring agency: .....

3. Type of consultancy service as per clause 1.2 of the rules applicable (tick one)

a	b	c

4. If this project is divided into phases, the phase no.: .....
5. Total Consutancy Charges/Fee to be realized from the party (CC):

   Contracted amount :..... + GST: .... Total: .....

6. PI Consultancy Service Expenditures (PIC): Rs.....
7. Co-Investigator (s) i.e.CI(s) to be associated:
   (i) ..... (ii) ..... (iii).....
8. Duration of Project: One week / Two Weeks / One Month / Six months / More

Encl: Attested copy of the letter
from sponsoring agency.

Signature of the Principal investigator
Name:.....
Department:.....

The laboratory facilities for this job can be provided in the department without affecting the teaching work (only for 1.2-b).
The above request may be approved.

HOD

Job No.: ..... Allotted on .....

Approved / Not approved

Dean (R&C)

Research & Consultancy Cell to send the copies of approval / disapproval to the following:

1. HOD of respective department
2. Principal Investigator
3. Chief Audit Executive
4. In-charge Accounts: R&C Cell
5. Office of Dean R&C for records

Form CS: 02

NATIONAL INSTITUTE OF TECHNOLOGY KURUKSHETRA

Date:.....

Name of PI: ..... Deptt.:.....

Job No.: ..... no. jobs under **Clause** ..... as per details given below:

Sr. No.	Job No.	Report No.	Gross Fee	Conslt. Fee	GST	Actual expenses claimed	Now Being Ded.			Date of Amt. Rec.
							Report	Overhead Charges (OC)		
								OCD (2%)	OCC (10%)	
	Total									

Amount to be distributed : Rs.....

Institute Consultancy Overhead (ICO) i.e. Institute share: Rs.....

Amount to be distributed by PI i.e. staff share : Rs.....

Distribution of amount

Name of faculty/staff/etc.		2% OCD (Rs.)	Report (Rs.)	Share of Staff Members (Rs.)	Total

Certified that

1. The distribution has been made strictly as per rules and as approval obtained.
2. The work has been done outside Institute hours. (only for 1.2-a).
3. No. bill is pending with me and total expenditure has been included.
4. The work has been completed and the report sent to the party vide Report Nos. as mentioned above.

Principal Investigator HOD

Checked and found in order. The share of no faculty/staff member has exceeded the limits prescribed. The amount exceeded the prescribed limit has been distributed as per the rules.

In-charge Accounts: R&C Cell

Checked & in order Recommended Recommended Approved

CAE Dean (R&C) Registrar Director