

Motilal Nehru National Institute of Technology
Allahabad

No. 645 /AOS/16th FC Meeting/2009

August 24, 2009

Dean (R&C)


The Finance Committee in its meeting held on 26.06.2009 considered the proposed corrected and modified Research and Committee norms of the Institute has approved the same with the modification vide resolution No. 16.05.

Res. No. 16.05:

"The Finance Committee considered the proposed corrected and modified Research & Committee norms of the Institute and approved the same with the modification in para No. 8.4 and 9.0 of the R & C norms. Final and modified Research and Consultancy Norms as approved is enclosed herewith as **Annexure No. 1.**"

The above decision of the Finance Committee is duly approved by the Board of Governors in its 20th meeting held on 26.06.2009.

Kindly ensure necessary action at your end.



21/08/09
(Sarvesh K. Tiwari)
Registrar (Oftg.)

No. 645 /AOS/16th FC Meeting/2009

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Copy forwarded for information and necessary action to:-

1. All Heads of Departments/All Deans
2. Dy. Registrar (Accounts)/Dy. Registrar (Academic)
3. S.P.O./ A.E. (M)/A.E. (E)/ Medical Officer/PTP
4. E.O. to Director


21/08/09
(Sarvesh K. Tiwari)
Registrar (Oftg.)

PROPOSED MODEL RULES FOR INDUSTRY SPONSORED RESEARCH, CONSULTANCY & TESTING

1. INTRODUCTION

The Institute considers industry sponsored research work, consultancy & testing as important activities to achieve several objectives such as:

- contributing to the infrastructural & industrial growth of the Nation and for welfare of the human society,
- fostering industry institute interaction,
- helping students, especially post-graduate students for their industrial orientation,
- enhancing professional expertise of the faculty members and technical staff,
- generating funds for the Institute's development and academic growth of the faculty
- developing insight for practical feasibility in research,
- providing service to the community/society, and
- extending knowledge/know how for technology itself.

Therefore, as a matter of policy, the Institute encourages its faculty members to undertake research and consultancy work. The research scholars, post graduate and under graduate students may also be encouraged to be involved as student associates in such work. However the research, consultancy and testing work should no way disturb teaching and other usual activities of the academic staff, associated staff and students.

2. SCOPE

The scope of work is broadly outlined as follows, all in the project mode:

Government sponsored and similar research (Type I)

All the projects concerning research work including specialised Technology Development Mission projects sponsored by any government organisation or similar funding agencies shall be classified as Type I projects.

Industry sponsored research (Type II)

Sponsored R&D projects usually of 2-5 years duration with substantial funding through grants from industries (both National and International), including specialised Technology

Development Mission projects. Such projects include long-term basis, developmental, and applied research, leading to appropriate solutions to scientific and technological problems.

Consultancy (Type III)

Projects or jobs awarded/assigned/accepted from Industry, NGOs, or Government departments, which are generally of short duration (varying from a few weeks to a year), having clear cut deliverables, and which are aimed at solving specific problems of interest to user agencies will be considered as Consultancy. Consultancy may be of advising in nature, and also of highly specialized training, team building, product/software development etc. These projects are not expected to use any laboratory facilities and any other equipment.

Testing (Type IV)

Such projects will cover Laboratory testing/ field testing/field measurement, calibration of equipment/instruments, testing of materials, design, software etc.

The above may involve:

- (a) Visit to actual sites of work place of Institutions, Industries, organizations and other external agencies to assess the nature and magnitude of the problem faced and technical services required,
- (b) Surveying of land, traffic, infrastructure, market, plant and machinery, techno-economic feasibility, damages, environment, pollutants, wastes etc.

Collaborative and other Projects (Type V)

Any R&D and/or training projects in collaboration with any organization/Institute or any other projects not covered in Type I, II, III or IV, will be classified as Type V category. Also the type of work not covered under Type I to Type IV as above shall be decided on case to case basis by the Director.

3. RESEARCH AND CONSULTANCY COMMITTEE

There shall be a Research and Consultancy (R & C) Committee to manage Research and Consultancy works in the Institute.

The R & C committee shall be appointed by the Director with Dean (R&C) as Chairperson and deputy Dean (R&C) as the convener.

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4. ROLES

4.1 Director:

- Overall guidance and deciding norms and logistics for sponsored research, consultancy and testing
- Projecting the image of the Institute at top levels nationally and internationally as a centre of excellence for research and consultancy in addition to its academic excellence
- Interacting with high level contacts and for guiding Dean (R&C) and other faculty members for facilitating the above mentioned activities
- Oversight of the activities for smooth functioning and quality of service
- Appoint team for interdepartmental projects, or any other projects as seemed to be important by him
- To resolve in case of disputed/unresolved matters at the level of Head/Dean
- Institute level all statutory correspondences for all projects.
- For any consultancy/ testing project above Rs one lakh, proposal for team etc. sent him, he will in turn try for a wider participation, before approving.

4.1.1 Director's office staff/ Secretarial Assistance:

- To co-ordinate the movement of various files between Departments, Dean (R&C) office and to maintain their proper record.
- To provide secretarial help to the Director in the matter related to R&C in performing his role.
- Any other work assigned by the Director related to the R&C activities.

4.2 Dean (R&C):

- To encourage and promote sponsored research projects in the Institute
- To promote interaction between the Industry/ Government organizations and the Institute for the research, consultancy and collaboration
- To assist the Director for functioning for his/her role
- To co-ordinate with different departments in the Institute for management of testing and consultancy projects and sponsored research projects
- To interact with different clients for their feedback
- To take up and follow up matters with statutory bodies

4.2.1 Deputy Dean (R&C):

- To assist Dean (R&C) in facilitating of various sponsored research projects, consultancy and testing projects in the Institute

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- To call the R&C committee meeting as and when required by Dean R&C or the Director.

4.2.2 Dean (R&C) office staff / Secretarial Assistance:

- To maintain the records of testing, consultancy and research projects in the Institute
- To maintain the account of the projects
- To deposit the various taxes imposed by Govt. of India from time to time
- To co-ordinate between Dean/Director's office and various departments
- All other works directed by the Dean(R&C)/Director

4.3 HODs:

- Appointment of principal investigator & the team maintaining professional harmony in the department (Except for those Projects for which the faculty members themselves initiate the projects). For any consultancy/ testing project above Rs one lakh, proposal for team etc. shall be sent to the director, who will in turn try for a wider participation before approving.
- To facilitate all the sponsored research projects, testing and consultancy projects in the department.
- Making recommendations to the Dean (R&C) regarding expenditure from the project funds and honoraria to be paid to faculty, staff and students as per norms.
- To resolve all the disputes regarding testing and consultancy works in the department.

4.3.1 Departmental Office staff / Secretarial Assistance:

- To maintain all the records of sponsored research projects and testing & consultancy projects in the department
- To co-ordinate between Dean (R&C) office and the department

4.4 Principal Investigator (PI):

- To execute the project and to prepare report
- To get new projects from Industry, Government and other agencies
- Handling intermediate technical communications with the clients
- Responsible for the completion of the project in specified time
- Responsible for maintaining integrity and quality of work done

4.4.1 Team Members:

- To do the job assigned to him/her by PI

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▪ To coordinate with the PI for the completion of the project

4.4.2 Student/Research Associates:

▪ To work with the PI and the team as per project requirements.

*Office staff in the departments, R&C office and Director's office, who opts for any R&C remuneration, may not be eligible for hand receipt/conveyance for extra time working for the period.

5. FEES

The total agreed charges of a consultancy project will consist of the cost for Institute support, actual expenses, service tax and cess as prescribed by GOI from time to time, honorarium and remuneration to be distributed to the faculty and staff involved.

Usually no work will be taken of value less than rupees five thousand plus GOI taxes.

Note: Estimates for the above expenses should be carefully prepared by the Principal Investigator keeping in view the cost of equipments/depreciation, material and services to be procured from market and the time required for the project. The proforma bills raised against these estimates must be in standard printed form and properly maintained in the laboratory for any future communication. HOD shall make sure that estimates are properly done and norms maintained. Any project estimate above five lakh (excluding taxes etc) will have to be approved by the Director. While estimating the Institute support charges, service tax, and other such components will have to be included.

5.1 Testing & Consultancy Fee

Fees shall depend upon several factors such as time spent, importance of advice and experience of the faculty etc. The remuneration will be paid to the faculty/staff as per the norms and rules of the Institute and on the recommendation of the Principal Investigator through Head of the Department concerned.

5.2 Each department would submit to the Dean (R&C) a list of testing which could be offered by them along with the rate for charge/fees, and also the areas where the department is capable of offering consultancy.

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5.3 Realization of Consultancy fee

All fees in connection with the consultation/testing work shall be paid in advance to the Institute in favour of 'Director MNNIT', which would be in turn be transfer to the Dean (R&C) accounts.

6. NORMS OF EXPENDITURE

- 6.1 The entire expenditures in a project of Type III should not exceed the amount as given in clause 7.1(5) and for projects of Type IV should not exceed the amount as given in clause 7.2(5). In special circumstances if the expenditure is likely to exceed the above mentioned amount, prior approval from the Director must be obtained on the recommendation Dean (R & C).
- 6.2 The norms for the expenditure for the projects of type II and V will be decided in consultation with the Principal Investigator, HOD concerned, Dean (R&C) and the same may be approved by the Director on case to case basis.
- 6.3 Institute students may engaged as associates for consultancy and testing work on payment of Rs. 150/- per day for UG students and 200/- per day for PG / Ph. D. students.
- 6.4 Principal Investigator can engage experts from outside the Institute with maximum payment not exceeding 20% of the amount after payment of Institute charges and with the approval of the Director on the recommendation of Dean R & C. This will be within the limit of total expenditure.
- 6.5 Site visit charges for faculty members will be minimum Rs. 1000/-, Rs. 1500/- for HOD and Dean (R&C) and Rs. 2000/- for the Director per day and T.A. / D.A. shall be as per Institute norms or could be as per client's norm whichever is higher.
- 6.6 Special casual leave may be admissible for individual consultancy work for seven working days in a semester. For absence beyond 7 days for consultancy work, leave as due will be taken by the staff member.. Any absence from the Headquarters in connection with consultancy project of any type will be with prior approval of HOD/ Dean(R&C)/ Director as applicable, and station leaving form have to be filled up as usual.
- 6.7 The accompanying supporting staff for site visit will be paid Rs. 150/- per day and T.A./D.A. as per Institute norms. Special Casual Leave of maximum of 07 days may be given to the supporting staff on the recommendation of PI and the HOD concerned per semester in special cases of expertise.
- 6.8 Expenditure / travel / field visit proposals for R&C projects need not be put to the Director through Dean (R&C) for approval.

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7. DISTRIBUTION OF CONSULTANCY & TESTING FEES

The total remuneration to be received by a staff from consultancy/testing work normally should not exceed 75% of his/her gross salary received during the financial year. Director may allow consultants to receive remuneration exceeding the prescribed limit on case to case basis depending on the merit of the case. All the distribution of the consultancy & testing fees should be done in the same financial year after completion of the work unless completed at the fag end. The PI for consultancy/ testing project will submit distribution in a standard proforma based on the following distribution:

7.1 Distribution for Type III Project (with use of computers and other infrastructures of the department)

(1) Total fee received	= A
(2) Deduction for service tax and/or any other Tax by GOI	= B
(3) Project Money (X)	= A - B
(4) Institute Overhead (Y)	= 25% of X
(5) Maximum Expenditure for project as actuals (E)	= 25% of (X-Y)
(6) Distribution as given below (D)	= X - (Y+E)
(a) Honorarium to Director	= 2.6 % of D
(b) Honorarium to Dean and Dy. Dean (R&C)	= 2.0 % of D
(c) Honorarium to HOD	= 2.5 % of D
(d) Remuneration for secretarial assistance for Director	= 1.0 % of D
(e) Remuneration for Additional secretarial assistance to Dean (R & C) if any	= 1.0 % of D
(f) Remuneration for secretarial assistance for Department	= 1.0 % of D
(g) Remuneration for PI and Investigators	= 89.9 % of D
- (to be decided by the PI)	

7.2 Distribution for Type IV Project (involving use of Laboratory facilities)

(1) Total fee received	= A
(2) Deduction for service tax and/or any other Tax by GOI	= B
(3) Project Money (X)	= A - B
(4) Institute Overhead (Y)	= 40% of X
(5) Maximum Expenditure for project as actuals (E)	= 25% of (X-Y)
(6) Distribution as given below (D)	= X - (Y+E)

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- (a) Honorarium to Director = 2.6 % of D
- (b) Honorarium to Dean and Dy. Dean(R&C) = 2.0 % of D
- (c) Honorarium to HOD = 2.5 % of D
- (d) Remuneration for secretarial assistance for Director = 1.0 % of D
- (e) Remuneration for Additional secretarial assistance to Dean (R & C) if any = 1.0 % of D
- (f) Remuneration for secretarial assistance for Department = 1.0 % of D
- (g) Remuneration reserved for any other paramount need decided by the Director in consultation with the PI = 2.0 % of D
- (h) Remuneration for Investigators, supporting staff (I) = 87.9 % of D
 - 65% of I will be investigators remuneration
 - 35% of I will be testing / laboratory supporting staff remuneration

(If there are more than one supporting staffs involved in the testing work, the remuneration among them will be distributed in proportion of their basic salary)

Note: Any staff being paid, employed specifically for R&C jobs may not be paid any remuneration.

8. PROJECT INITIATION AND MANAGEMENT

8.1 Governmental Sponsored and Industry Sponsored Projects

Each government sponsored or Industry sponsored project will have a Principal Investigator (P.I.) who will be either appointed / approved by the director or appointed by the sponsoring agency. No project of the Institute would be sent outside without prior intimation to Dean (R&C) so that proper records are maintained. Nor projects would be sent outside the institute without the approval / consent of the Director. If officiating Director needs to forward any project for urgency may consult director before forwarding. PIs, normally may be a faculty member in the service of the Institute and will be completely responsible for the completion of the project. PIs would maintain financial and other records as per norms and procedure laid down by the project agency. PIs will have full freedom regarding the appointment of research fellows/research associates / faculty members and support staff depending upon the needs of the project.

8.2 Consultancy/Testing Projects

Each consultancy/ Testing Project will have a Principal Investigator (P.I.) who will be normally a faculty member in the service of the Institute and who will be completely responsible for the completion of the project work. All the proposals for consultancy,

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testing, research would have to be sent to the Director who would allocate to the departments and in some cases to the faculty member directly with intimation to Head and Dean (R&C).

8.2.1 Appointment of Principal Investigator (P.I.) and the team

The requisition of consultancy project work will go to the Director who will authorize HOD for appointment of the Principal Investigator and the team as per expertise required for the project. HOD concerned will appoint PI and form the team in consultation with the PI. Information about the PI appointed and the team formed shall be communicated to the dean R&C, before taking up the work. Any controversy in appointing PI and/or team shall be looked into by Dean (R&C) and solve. If it is felt, it may be sent to the Director. Any change in PI and the team at a later stage (if any) must be communicated to Dean (R & C) clearly stating the reason for such change. For interdisciplinary or other important projects Principal Investigator and the team shall be appointed by the Director in consultation with respective HODs and the information shall be provided to the Dean (R&C). For inclusion of Ph.D students, the respective supervisor's consent is to be taken. In case of research projects, the PI will be appointed / approved by the Director or the sponsoring agency.

8.3 Collaboration with outside organization/subcontracting

If collaboration with outside Institution or subcontracting a part of the project is envisaged; the nature, scope and financial budget of the proposed arrangements will also be defined at the beginning of the project and to be sent to the Director through Dean (R & C), for his approval.

To take care of any consultancy and testing above Rs one lakh, Project may be sent to the director for his approval.

8.4 Encouragement for Research Projects

- (1) There will be provisions for extending additional facilities to the PIs, coordinators etc. of the research projects (for producing PhDs, publications, patents etc.) from the fund of the Dean (R&C), in terms of attending National/International conferences, equipping and updating the laboratories, traveling for academic work, trainings etc. A Standing Committee constituted by the Director will make suitable recommendations to him for approval on the basis of the quantum of the research projects, its outcome, publications, collaborations, patents etc.

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- (2) Although research projects are by and large in the credit of the faculty members, it is observed that the projects are awarded also on the basis of the status of the Institute, Infrastructure available, its management etc., and the Institute Authority ultimately has to sign utilization etc., hence there shall be some control and monitoring of the Projects. However, more special provisions shall be made for the research projects of the Institute vis-à-vis the testing/consultancy projects.
- (3) The norms of projects in which the rules are specified by the respective funding agencies, shall be adopted in the frame work of the Institute's norms.

9. FUNDS

The funds received for the purpose will be first deposited in the Institute Account and then transferred to a bank account in the name of Dean (R&C), M.N.N.I.T, Allahabad. The account will be jointly operated by the Dean (R&C) and Director. Cheques upto Rs. 25000/- will be signed by either the Dean (R&C) or the Director whereas cheques for amount higher than Rs.25000/- will be signed by both the Dean (R&C) and the Director.

10. FEEDBACK

The Dean (R&C) will occasionally interact with the clients for their feedback about the services and also will take some formal feedback, and would give the feedback analysis to HODs, if necessary to the Director to ensure quality of the services.

11. DOCUMENTATION OF REPORTS

The reports generated after completion of consultancy/testing project will be submitted to the Office of the Dean (R & C) clearly stating the project No., by the Principal Investigator (P.I.) through concerned HOD along with the record of final distribution of amount for further processing. The expenditure and final distribution would be forwarded to the Director for his approval.

12. OTHERS

Amounts may be modified by the Director on recommendation of the R&C as and when it is essential. In exceptional cases, Director may make some alterations in the stated norms. If a situation that is not covered above arises, it would be resolved by the Director of the Institute.

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