



## **RULES FOR CONSULTANCY PROJECTS**

With a view to extend the benefits of expertise developed by its faculty, the Graphic Era (Deemed to be University) considers it as its duty to contribute towards the development of our society and the country. Therefore, as one of its policies, it encourages its faculty to undertake Consultancy Projects from outside agency. The rules and norms for such Projects at this University are presented herewith.

### **1. DEFINITIONS:**

**1.1 University** means Graphic Era (Deemed to be University), Dehradun.

**1.2 Department** means and includes all academic departments, academic centers of excellence, academic service centers, Science and Technology Entrepreneurship Park (STEP) and Technology- Business Incubation (TBI) Centre.

**1.3 Consultancy Project** means a 'paid assignment' given by an outside agency to a faculty member or Department(s) of the university on mutually agreed scope and terms & conditions as per University norms. Accordingly the Consultancy Project can be designated as:

**(i) Departmental Consultancy Project:** Project which is referred to the Head of the Department (HOD) of the University.

**(ii) Individual Consultancy Project:** Project which is referred to an individual faculty of the university i.e. any project which is not a Departmental Project.

**1.4 Sponsor** means the agency or organization which offers a consultancy project along with accepted finance for successful completion of the project in time.

**1.5 Consultant** means an individual or Department engaged to carry out a consultancy project.

**1.6 Principal Investigator (PI)** means an individual faculty of the University, who with his expertise, is instrumental in getting a consultancy project and submits the project proposal for approval of competent authority (VC or his/her nominee) of the University.

**1.7 Co Investigator (CI)** means a faculty member including visiting faculty/expert(s) associated with the University, or co-opted by the Principal Investigator (PI) to work jointly on the project.

**1.8 Project Staff** means a person appointed in the project for project related works.

## **2. TYPES OF CONSULTANCY PROJECTS:**

**TYPE I: Consultancy Project:** It is the one in which consultant gives advice on interpretation of Data/Site visit/ Discussion on the problems faced by the outside sponsoring agency.

**TYPE II: Consultancy Project:** It is the project in which samples provided by the sponsoring agency, are tested using University Laboratories/ Facilities.

**TYPE III: Consultancy Project:** It is the project which involves the usage of laboratory and field equipments of the University along with data/sample collection and interpretation of results of investigations as per terms & conditions of the project.

**TYPE IV: Consultancy Project:** It is a relatively long duration (>1 year) turn- key project which requires monitoring of the work being done on the basis of consultant advice.

**TYPE V: Consultancy Project:** It is tender-based project which involves design, erection, fabrication, commissioning and post completion maintenance handling.

## **3. GUIDELINES FOR PROJECT FORMULATION:**

As a first step, Sponsoring Organization approaches the University through a Faculty/Head of Department/Dean/PVC/VC. After discussing with the sponsor, the University experts shall prepare a project proposal taking in to account the following important aspects.

**3.1 Scope** in short, about the nature or type of work- its limitations and the expected end result.

**3.2 Time Frame** in term of expected duration of the project and also the schedule of review of progress, submission of reports etc.

**3.3 Budgetary Aspects** including University Share and Taxes along with payment schedule by sponsor.(see Section 5-Budget)

**3.4 Other Terms and Conditions and Responsibilities** of the parties involved for data/land acquisitions, availability of equipments and any other aspect as required for the success of the project.

**3.5 Force Majure Clause** as a safeguard against unforeseen events beyond the control of concerned parties.

**3.6 Amendment Clause** in the 'Agreement' between the 'parties', if required at any stage.

**3.7 Publication/Patent** clause be clearly indicated.

**3.8 Arbitration Clause** is spelt out in case of dispute or any confusion arising out with regard to the execution of the project.

**3.9** Any other Clause relevant to the Project.

#### **4. GENERAL CONDITION**

##### **4.1 Projects Initiation and Management**

Each consultancy project will have a PI who will be a faculty member in the service of the university and who will be responsible for formulating the project proposal which may include:

- a. Planning of the work to be done
- b. Identification of Investigators from University, and outside University (in case of collaboration).
- c. Estimation of Consultancy charges.
- d. After mutual agreement between the sponsor and University expert, PI will take approval for undertaking the consultancy project from the Dean Projects /VC. Subsequently a Project Number will be assigned to the project.
- e. The agreed charges as per budget of the project shall be deposited by cheque in the name of Registrar GEU along with a letter with a copy by the sponsor to the PI. The work will commence only after the University receives the consultancy charges. In case of partial deposit, the client (sponsor) has to spell out subsequent release of funds.
- f. Coordination and execution of work.
- g. Handling of all communications with the client/ (sponsor).
- h. Writing interim and final reports according to the project proposal.
- i. PI will maintain the record of the expenditure of the project.
- j. Timely submission of all report(s) duly signed by the PI.

**4.2 Approval and Responsibility** - The consultancy work may be taken up only after due approval of the VC on the recommendation of Dean (Projects) through Head of Department (HOD). Principal Investigator (PI) with the help of CI(s) shall be responsible for proper management and satisfactory completion of work within the budget and the duration as per terms and conditions of the project. He/she shall be responsible for maintenance accounts, stock registers

for consumable and non consumable items and submission of interim/ final reports under his/her signature.

### **4.3 Other Conditions**

- a. The consultancy charges through crossed Cheque /Draft in the name of Graphic Era (Deemed to be University), Dehradun, be sent alongwith a letter addressed to Registrar with copy to PI for information and necessary action.
- b. Approval of the VC on the recommendation of the Dean (Projects) may be taken by PI to avail the services of persons not in the University services as consultant, provided PI certifies that the services are of a nature for which the expertise is not available in the university
- c. **Minimum Charge:** Consultancy Project for an amount less than Rs 50,000/-be avoided However; for Type 1 Consultancy or the minimum fee for Faculty/Expert may be charged at the rate of Rs 5000/- per day.
- d. **Project Leave:** For consultancy work, PI & CI and other employees of the University may be allowed project leave for not more than twelve working days in a semester.

## **5. BUDGET**

Total Consultancy Charges should cover the following important aspects.

- i. Permanent equipment if any, to be procured/ fabricated.
- ii. Consumable items.
- iii. Travel and Transport expenses in connection with the project along with boarding, lodging, dearness allowance, field allowance to faculty/staff for field works and any other allowance etc.
- iv. Computational or other charges for the work by consultants/hired individual.
- v. Contingency expenses, including hospitality, expenses for work to be carried out on payment basis, remuneration to student assistants etc.
- vi. If collaboration with outside organization/Institutions/individual experts or subcontracting a part of project is envisaged, the nature, scope and financial budget be specified in the original proposal.
  - a. Consultancy on the basis of factors such as the weekly time to be spent, importance of advice and experience of PI and other investigators / consultants.
- vii. Any other charges, relevant to the project.

## 6. APPOINTMENTS AND RECRUITMENTS

### 6.1 Principal Investigator (PI) and Co-Investigator (CI)

- i. For Individual Project, an individual faculty who submits the Project proposed for approval of the University is normally appointed as its Principal Investigator (PI) along with proposed Co-Investigator (CI).
- ii. For Departmental Projects, HOD will be Principle Investigator (PI).
- iii. If the PI who is due to retire from the university service, will identify new PI at least three months before his/her retirement. The new PI will give undertaking to complete the project in the remaining funds and time period.
- iv. If a PI leaves the University, a suitable CI or any other faculty competent to complete the project, shall be appointed as PI by the VC on the recommendation by Dean(Project)

### 6.2 Recruitment, Leave and Conduct

#### A. Project Fellows

##### **Procedural Steps:**

- i. Advertisement of the post after approval of Dean (Projects)
- ii. Screening of the applications received by the PI by the Screening Committee

##### **Screening Committee:**

- a. Principal Investigator (PI)
- b. Co-Investigator(s)
- c. One Faculty from the department
- iii. **Selection:** Candidate shortlisted by Screening Committee shall be invited for interview with the

##### **Selection Committee which shall consist of:**

HOD of Concerned Department Chairperson

Principal Investigator (PI)

One Faculty member from Department

One faculty member from other Department

- iv. **Appointment:** After approval of the Selection Committee report by VC on the recommendation of the Dan (Project) the appointment letter shall be issued by Registrar. The appointment shall be for the period up to the completion date of the Project. The appointee shall be governed by University rules and the conditions laid down in the Project.

- v. Pending regular selections, PI can appoint a Project Fellow/ Staff on approval by Dean (Project) for a period not more than Six months or till regular selection is made, which ever is earlier.

#### **B. Project Staff**

- i. Selection of other Project Staff shall be made as per procedures followed under University rules, However, guidelines if any, provided by the sponsoring agency may also be followed as far as possible.
- ii. In specific circumstances, adhoc appointment can made after due approval of Dean (Project).
- iii. In special cases, short term engagement of suitable person can be made on work-hire basis on the recommendation of PI, by Dean (Project)

**C. Leave:** Project Fellow /staff may get a leave of 12 days in year on prorata basis.

**D. Rules and Code of Conduct:** Project Staff /Fellow shall be governed by the rules and code of conduct of the University and shall adhere to the term and conditions of the Project.

#### **7. EXPENDITURE NORMS:**

(a) **Job Work:** The Principal Investigator (PI) may get specific job done on payment from outside. However such payments may not exceed 10 % of the total amount contracted for the project.

(b)**Student Assistants:-** The PI may engage university students as Student Assistants for consultancy and testing work on payment of Rs 100/- per hourr subject to a maximum of 45 hrs per month.

(c)**Hospitality:** Expenses incurred on hospitality shall not exceeding Rs 400/- per head per meal and Rs 100/- per head for snacks etc.

(d)**Travel:** The most expeditious and convenient mode of travel should be used to minimize period of absence from the University. Faculty / Officers are allowed to travel by AC Taxi/Air (Economics class) and paid actual boarding and lodging expenses, subject to a maximum of twice the basic salary per day, on production of receipt(s).

(e) **Consultants:** Provision for involving experts from outside the University as consultants, if necessary, will be made at the time of acceptance/approval of project. An amount up to not more than Rs.50000/- or 10 % of the consultancy fee whichever is less can be paid to the consultant.

#### **8. PROJECT MONITORING COMMITTEE**

With a view to monitor the progress and satisfactory completion of the project, a Project Monitoring Committee shall be constituted for long duration (>1 year) projects. It shall consist of

- (i) Dean (Project)
- (ii) HOD

(iii) PI & CI

## **9.PROJECT REPORT**

As per terms and conditions of the project, interim report (if required) and final report shall be submitted by the PI after due deliberations and discussions with Coordinator of the Sponsoring agency. The reports should be forwarded through Dean (Project) with information to VC.

## **10. DISTRIBUTION OF CONSULTANCY FUND**

After submission and acceptance of report on the project, the fund shall be distributed on the recommendations of PI as shares of University, PI & Co PI and others, if any in a manner given below.

Total Consultancy Charge	=	F
University Share (Initial)	=	0.05F*
Balance Fee Amount (B)	=	0.95F
Total Expenditure	=	E
Savings	=	B-E=S

### **Distribution of funds from Saving (S) in Percent**

Recipient Of Saving (s)	Types Of Consultancy Project				
	I	II	III	IV	V
a) University	15	30	20	10	To be decided by the committee of VC , Pro-VC & Dean (Projects)
b) Investigators	85	70	80	90	

\*2% of the charge of Type V Consultancy of amount less than Rupees one Crore or 1% of the Charges subject to minimum of Rupees two lakhs for Type V Consultancy of more than Rupees one Crore.

## **11. DISAGREEMENT/DISPUTES**

- i. Any disagreement arising at any stage of the Consultancy Project related issues, will be resolved by Dean (Project)/Vice Chancellor and the representative of the Sponsor.
- ii. Legal actions, if any, will be under the jurisdiction of the court at Dehradun /High Court at Nainital.

**12. PUBLICATION OF RESULT:** Principal Investigator (PI) and for Co-Investigator will have the right to publish the work carried unless the sponsors have an agreement under which their prior consent is required.