



# DELHI TECHNOLOGICAL UNIVERSITY

Established under Govt. of Delhi Act 6 of 2009

(Formerly Delhi College of Engineering)

BAWANA ROAD, SHAHBAD DAULATPUR, DELHI-42

F.DTU/Council/BOM-AC/Notification/31/2018/2830

Dated : 3/9/19

## NOTIFICATION

In exercise of the powers conferred under Section 23, sub-section 2(xii) of the Delhi Technological University Act, 2009 (Delhi Act 6 of 2009), the Board of Management of the Delhi Technological University in its 32<sup>nd</sup> meeting held on 21.06.2019 vide agenda number 32.12 revised the Norms, Rules and Regulations for Undertaking Sponsored Research and Industrial Consultancy. The same was notified vide notification number F.DTU/Council/BOM-AC/Notification/31/2018/1728 dated 28.06.2019.

In its 33<sup>rd</sup> meeting held on 19.18.2019 the Board of Management approved minor modifications in point number 6.4 and 7.2.2 in the Norms, Rules and Regulations for Undertaking Sponsored Research and Industrial Consultancy. The modified rules and regulations are enclosed.

(Prof. Samsheer)  
Registrar

Enclosure : As above

F.DTU/Council/BOM-AC/Notification/31/2018/2830

Dated : 3/9/19

Copy to:

1. PA to V.C. for kind information of the Vice Chancellor
2. PA to Pro V.C. for kind information of Pro V.C.
3. All Deans
4. Registrar
5. Controller of Examinations
6. Deputy Registrar (Establishment/ Academic-PG)
7. Head, Computer Centre (with a request to upload the same)
8. Guard file

(Prof. Samsheer)  
Registrar



# Delhi Technological University

(Formerly Delhi college of Engineering)

## Government of N.C.T. of Delhi

Shahbad Daultapur, Bawana Road, Delhi- 110042

### NORMS, RULES & REGULATIONS FOR UNDERTAKING SPONSORED RESEARCH AND INDUSTRIAL CONSULTANCY

#### 1. Preamble

In the light of changing economic scenario, government policies and University priorities, the University considers sponsored research and industrial consultancy projects as an important means for extending benefit of scientific research work at the University to the sponsoring agencies broadening the experience base of the University community and as a tool for contributing to the country's and economic growth. Therefore, as a matter of policy, the University encourages its faculty members to undertake research and consultancy work as a measure of scientific/technical collaboration with outside agencies. Appropriate Research and consultancy projects, in addition, for providing much needed service to the government and industry, also benefit the concerned faculty members and the University in several ways. They enrich the professional experience and knowledge of faculty members and thus make them better educators. Research and consultancy projects provide a firsthand knowledge of the current problems of industry and the emerging area which is very helpful in tuning the curriculum to the national needs. The faculty members get an opportunity to apply their ideas for finding out the solutions to the problems in emerging areas. Furthermore, the consultancy work also provides incentives for their contributions to all categories of staff.

#### 2. Definitions

- 2.1 **University** means Delhi Technological University, Delhi
- 2.2 **Department** means all the academic departments, academic centre, centre of excellence and academic service centre at the University.
- 2.3 **Vice Chancellor** means **Vice Chancellor**, Delhi Technological University, Delhi.
- 2.4 **Dean of Industrial Research and Development (Dean, IRD)** means Dean for development of sponsored Research & Industrial Consultancy in Delhi Technological University, Delhi.
- 2.5 **IRD Advisory Committee** means committee for Sponsored Research & Industrial Consultancy, Delhi Technological University, Delhi, constituted in accordance with University rules.
- 2.6 **Project** implies sponsored research projects or industrial consultancy projects or routine testing projects.
- 2.7 **Sponsored Research Projects** means Research Projects sponsored by Government, public, private, national/international agencies and autonomous bodies. Generally the project cost including expenditure towards manpower, equipments, consumables and supporting services of the University is borne by the sponsor.

- 2.8 **Consultancy Project** means consultancy assignment/job given by outside agency to a faculty of the University for work within mutually agreed scope. It will also include a consultancy assignment/job referred to the Head of the Department or a functionary of the University (i.e. Vice Chancellor or Dean(s) or Registrar which may be taken up as a Consultancy Project by faculty.
- 2.9 **Routine Testing Project** implies those testing works where the rates are fixed by the department.
- 2.10 **Sponsor** means the organization that offers a Project to the University and provides necessary financial support for successful completion of the project in time.
- 2.11 **Principal Investigator (P.I.)** is a member of the faculty/scientist of the University with necessary expertise and competence to conduct a Research and consultancy work. Normally, the faculty/scientist who submits the project proposal and negotiates with the sponsor and is instrumental in getting the project funding is the Principal Investigator (PI). In case of research project, emeritus fellow/chair professor/ visiting professor may also be the PI.
- 2.12 **Investigator (I)** means a person from amongst the faculty/scientist (including Emeritus Fellow, chair faculty, visiting professor) co-opted by the Principal Investigator to work jointly with him/her on the project or any other Group 'A' staff so permitted by the VC/Dean (IRD).
- 2.13 **Consultant:** Consultant is an individual or government/ public sector undertaking/ government company engaged for a specific period to carry out specific job.
- 2.14 **Project Staff** means a person appointed in conformity with the guidelines to work on a project.
- 2.15 **University Research Development Fund (URDF)** means a part of the University Overhead Charges (UOC)/share received for sponsored research and Industrial consultancy project credited to a separate fund operated by Dean (IRD).
- 2.16 **Research Faculty Development Fund (RFDF)** means a fund for individual academic staff, to which a part of the University overhead charges/ share from Research and consultancy projects are transferred.
- 2.17 **Project Monitoring Committee:** Project Monitoring Committee (PMC) means the Committee constituted to monitor the large projects with outlay of more than Rs. 50 lacs.

### 3. General

- 3.1 There shall be an online process.
- 3.2 Consultancy project shall not anyway hamper the teaching and research work of the University.
- 3.3 Upper limit of payment to the faculty should not be higher than the annual salary of the faculty except as provided in these regulations.

- 3.4 There will be a limit to accept not more than 20 projects/consultancies in a calendar year i.e. from 1<sup>st</sup> January to 31<sup>st</sup> December.
- 3.5 In case, there is a special project, separate approval of BoM is required on the recommendation of the Committee for Research Development (CRD).
- 3.6 Individuals or Departments shall take up projects after taking approval of the Dean (IRD) through the Head of the concerned Department. All funds in connection with Projects shall be received in the name of the Dean(IRD)/ Registrar DTU Delhi. The account of Projects/URDF/RFDF will be maintained by IRD Office and controlled by Dean (IRD). Norms for project initiation and management are given at Annexure 1.
- 3.7 The time spent by a faculty/scientist on Consultancy Project will not exceed one day per working week plus one day during week end, thus a total of 104 man days during the calendar year.
- 3.8 Consultancy project from any sponsor can be taken up for a minimum amount of Rs. 50,000/-. For consultation work involving only site visit or personal discussion a minimum amount of Rs.10,000/- per man-day for faculty/scientist/ Gp A staff and Rs.1,000/- per man-day for technical and other non-academic staff may be charged.
- 3.9 University staff may be granted project leave up to 10 days during a calendar year for work related to Sponsored Research and industrial consultancy Projects, in addition to the special casual leave available as per University norms.
- 3.10 Report(s) and data collected/ originated out of project are the joint Intellectual Property of the sponsor and the investigators which can be used by the sponsor for its own use only and cannot be disclosed to a third party without prior consent of the sponsor and the Principal Investigator
- 3.11 The IPR policy of the University shall be applicable. However, if there is a condition in MoU signed between the Sponsor and PI, regarding the IPR issue that will take precedence over the condition laid down in the above para. The report of the Sponsored Research and industrial consultancy projects will be kept by PI for a period of 03 years from the date of closure of the project and for routine testing from the date of issue of report.
- 3.12 If a prima-facie case of malpractice and/or misconduct is established by a fact finding committee against a staff member in connection with project(s), the Vice Chancellor, on the recommendation of Dean, IRD 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.
- 3.13 All purchases under projects/RFDF/URDF shall be made as per norms prevailing in the university. In case of equipment which is to be carried outside, the same should be insured before they are taken out.

- 3.14 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 three membership.
- 3.15 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 (IRD)/ Vice Chancellor.

#### 4 Manpower

##### 4.1 Project staff

- 4.1.1 The project staff shall be appointed/hired for assisting/working on the project in any one of the following ways with the approval of Dean (IRD)/Vice Chancellor depending upon the specific requirements of the project, project length, constraints and the requirements with due justification.
- 4.1.1.1 Use of Existing Staff.** Existing Laboratory Staff such as technicians and those permanent or contractual 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 across various Departments in consultation with concerned HOD. Such staff may be paid as per the approved rates of Overtime/Honorarium in the University or as may be approved by PI and the Dean (IRD)/Vice Chancellor.
- 4.1.1.2. Direct Appointment by the University.** The PI may approach the competent authority and seek permission for direct appointment/hiring of engineers and staff on the project. Such staff shall be appointed for assisting/working on the project as per prescribed selection procedure, designations, qualifications and experience requirements and consolidated fellowship/emoluments as given at Annexure 2 and 3.
- 4.1.1.3 Hiring of Manpower by Hiring a Consultant/Placement Agency.** Sometimes, there may be a possibility of employed persons frequently quitting the job. In such a case, the PI may choose to hire an intermediate Consultant/Placement Agency through a tender who shall be made responsible for supplying the required qualified manpower for the entire duration. The PI shall seek permission from the Vice Chancellor through Dean (IRD) to exercise this option through a selection committee as given in Annexure 2 with the approval of Dean (IRD).
- 4.1.2 Open selections will be held for all project positions.
- 4.1.3 Appointments on all project positions drawing emolument shall be on contract only.
- 4.1.4 The Project staff shall work for fulfilling the objectives of the project.
- 4.1.5 Transfer of project staff from one project to another, either on completion or midway, may be permitted by Dean (IRD) on the recommendation of respective PIs.
- 4.1.6 The tenure of appointment of a project staff will be at the most for the remaining duration of the project. The severance notice may be issued to the project staff by the PI one month prior to the termination of appointment.

- 4.1.7 On the completion of one year or more and on the recommendation of PI, the enhancement of fellowship/emoluments of a project staff may be considered by the Dean (IRD).
- 4.1.8 A contractual project staff appointed shall execute a Contract Agreement with PI at the time of joining with the explicit provision that the contract may be terminated by either side, the staff or PI, by giving one month's notice or one month's consolidated emoluments in lieu of the notice. The contract will be complete when countersigned by Dean (IRD) who will retain the original contract agreement.
- 4.1.9 Appointment of project staff on ad-hoc basis against a project position can be considered by Dean (IRD) on the recommendation of the PI for a period not exceeding 89 days.

#### **4.2 Student Assistants**

The PI may engage University Students (who may or may not be getting fellowship/ assistantship) as student assistants for the project work. The payment for such engagement shall be limited to Rs 8000/- per month for UG and PG students, Rs 18000/-per month for Ph. D. students and Rs 40,000/- per month for Post Doc Fellows or as specified in the project and approved by the Dean-IRD.

#### **4.3 Consultants**

The PI may, with the prior approval of Dean (IRD) may avail the services of individuals not in the University service or government organization as Consultants. However, the amount payable to consultant(s) shall be limited to 40% of the total contracted amount in consultancy project.

### **5 Travel**

- 5.1 The most expeditious and convenient mode of travel should be used to minimize period of absence from the University. Admissible DA or actual boarding & lodging expenses will be paid on production of receipt. Expenses on local travel by taxi will be reimbursed against receipt as per actual. Besides the PI may consider to exercise the following options in consultation with the Dean (IRD)/Vice Chancellor :-
- (a) Using own transport and claiming a reimbursement at certain fixed rates as may be approved by Dean (IRD)/Vice Chancellor
  - (b) Hiring a travel agency for the duration of project through a Committee as may be approved by the Dean (IRD)/ Vice Chancellor.

Approval for domestic travel shall be accorded by PI including for self subject to leave approved by the competent authority. Faculty/Scientist and Group-A Officer are allowed to travel by AC taxi. Advance for travel will be approved by the Dean IRD.

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

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

- 5.2 Approval of Dean, IRD and the VC will be required for all international travels and any deviations from above.

## 6 Finance and Accounts

### 6.1 Research Project

6.1.1 At the time of submission of a sponsored research project proposal, the PI shall make a provision of University Overhead Charges (UOC) at the rate of 20% of the total project cost or at the rate permitted by the sponsor. However, this will not be treated as a condition for accepting the award of project.

6.1.2 **Transfer of Staff Costs out of Sponsored Research Project to Research Development Fund:** In the Sponsored Research Project amount charges under the budget head of faculty time, staff costs will be transferred to the Research Development Fund. Further, if any amount is provided by the sponsor as honorarium to the investigators as one of the components in a Sponsored Research Project, the same may be distributed among them.

### 6.2 Consultancy Project

6.2.1 At the time of submission of a consultancy project proposal, the PI shall make a provision for University share at the rate of 50% of the total contracted project cost. However, such share shall be 50% for routine tastings. In the case of industry supported training programmes and training programmes for faculty / industry persons organized by faculty of DTU as described in 8(j) and 8(k) of the introduction and general information, the university share shall be 50%.

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

Item	Consultancy project	Routine testing
Total money received	G	G
Goods and Services Tax (GST)	L	L
Total contracted amount (T)	(G-L)	(G-L)
University share (P)*	0.50T	0.50T
Remaining amount (F)	0.50T	0.50T
Total expenditure	E	E
Balance Amount for distribution (S)	(F-E)	(F-E)

\*However, in case of a large consultancy project funded by a Government Organisation, University share may be negotiated with the approval of Vice Chancellor.

6.2.3 For consultancy project with an outlay of Rs. 10 lacs or more interim distribution may be permitted subject to the condition that the total distribution does not exceed 40% of the balance amount and that the amount of distribution is commensurate with the work completed.

6.3 A separate account head shall be maintained for each project by IRD office. Asstt. Registrar (IRD Accounts) shall be responsible for the submission of audited statement of accounts as and when required by the sponsors.

6.4 For all ministerial staff, the upper limit for remuneration from Projects and other sources is 60% of the salary received in a financial year and for all Technical Staff it is 100%.

6.5 If any of the academic staff wishes to divert part or whole of his/her own remuneration to his/her Professional Development Fund, the same will be permissible.

- 7 **Development Funds.** Research Faculty Development Fund (RFDF) is a performance-linked fund created for the faculty and other academic staff of the University with the objective of supporting their professional needs. The fund can be utilized by the faculty to attend conferences, pay membership subscription to professional societies, and purchase books, journals, stationery, software, data base, computer and computer peripherals, etc. Similarly, University Research Development Fund (URDF) are proposed which will be built from the consultancy and research projects undertaken by the University. These funds will be used for the purpose of development of required infrastructure in the department and the University respectively.

### 7.1 Share of RFDF (Research Faculty Development Fund)

The distribution of University share to be credited to the RFDF are as per the following table.

**Distribution of University Share in percentage**

Type of Project and Component available for distribution	Distribution (%)			
	URDF	RFDF	Incentive to office Staff	Staff Welfare Fund
(A) Sponsored Research Project/HRD Programmes University Overhead Charges(UOC) Received from sponsor (I)	50	47	2	1
(B) Consultancy Project	97	0	2	1
(C) Routing Testing Project	97	0	2	1

### 7.2 Utilization of URDF/RFDF

7.2.1 The URDF may be utilized for following:

- Purchase of equipment for strengthening research in the University.
- Research promotion
- Research awards
- Scholarship to research scholars
- Infrastructure and facilities for research

7.2.2 The Research Faculty Development Fund (RFDF), meant for individual faculty, may be utilized for following:

The research proportion of individual faculty shall be credited to his/her University RFDF account as per the research requirements of the faculty. This may be utilized for

- Purchase of equipment for strengthening research in the laboratories/department.
- Attending and organizing conferences, symposium, workshop and seminars by the individual faculty.
- Creation of infrastructure facilities in the laboratory/department.

The Principal Investigator(s) (PI)/members earning more than the amount of the annual salary shall be eligible to get a share in proportion to the amount earned. The total amount earned by the PI over and above his or her annual salary shall be as under:

Total consultancy amount = 'X'

University Share = 50% of 'X'

Net Share available for distribution = 50% of 'X' – Expenditure



If the share of PI/members is less than or equal to his or her annual salary, then the share of PI/members would be equal to Net share available for distribution after deduction of expenditure.

If the share of PI/members is greater than the annual salary of PI, then the additional share available for the distribution by the PI/members would be 'Z'.

Example: -

Consultancy Amount = 'X'

University Share = 50% of 'X'

Net amount available for distribution (Y) = 50% of 'X' – Expenditure

If 'Y' is greater than annual salary of PI/members, then the additional share of PI/members and University share will be calculated as under:

Excess share for distribution 'Z' = Y - Annual Salary

University Share =  $0.75 \times 'Z'$

Additional PI Share (Z) =  $0.25 \times 'Z'$

All the properties including machines and equipment purchased from URDF/RFDF shall be the property of the University.

“The University share as 0.75 of Z shall be credited directly fully to the URDF”

## **8 Admission of Project Staff to Academic Programs**

8.1 A project staff is eligible to register for Ph.D. or Master's Programme of the University as per University norms subject to his/her satisfying the admission requirements of the University.

8.2 The concerned project staff will be required to give an undertaking that he/she will not be automatically eligible for award of University fellowship and shall finance himself/herself beyond the tenure of the appointment if University fellowship is not awarded.

8.3 The project staff admitted to Ph.D./ Master's programme will be governed by the relevant ordinances and fulfill his/her obligations towards the PI & the project in which he/she is appointed.

## **9 Sponsors Specific Conditions**

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

## **10 Exception Clause**

These guidelines shall normally be applicable to all Projects. However, any changes required which does not constitute to policy change may be approved by Vice Chancellor on the recommendations of Dean (IRD).

## **11 Review**

These rules may be reviewed normally in three years or as per needs.