



RULES, GUIDELINES and RELATED INFORMATION
DULY RECOMMENDED BY BOARD OF ICSR & II IN ITS MEETING HELD ON
18TH JULY 2019

INDUSTRIAL CONSULTANCY & SPONSORED RESEARCH (ICSR)
INDIAN INSTITUTE OF TECHNOLOGY ROPAR
RUPNAGAR (INDIA)

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PREAMBLE

IIT Ropar is striving to develop itself into an Institution-of-Excellence in Research, Development and Consultancy through original research of highest standards and leadership in technology innovation.

In addition to formal UG and PG programs, IIT Ropar encourages faculty, academic staff, staff and students to undertake sponsored research project sand industrial consultancy to strengthen the research impact of the Institute.

In order to fill the above and to create an ambiance in which new ideas, research and development and consultancy flourish, IIT Ropar has established an Industrial Consultancy and Sponsored Research (ICSR) Division.

ICSR facilitates faculty, academic staff, staff and students in conducting research and consultancy in compliance with the policies and guidelines of the sponsoring agencies and the Institute. The goal of ICSR is to assure compliance while facilitating research and consultancy.

This manual presents ICSR policy framework about rules and regulations to execute sponsored research projects and industrial consultancy.

DEFINITIONS

Institute

Institute refers to Indian Institute of Technology Ropar (IITRPR).

Director

Director refers to the Director, Indian Institute of Technology Ropar.

Dean, ICSR

Dean, ICSR refers to the Dean of Industrial Consultancy and Sponsored Research, Indian Institute of Technology Ropar.

BICSR

Board of Industrial Consultancy and Sponsored Research (BICSR) shall consist of members of each Department to be nominated by the respective HODs.

Department

Department refers to all the academic schools, academic centres, centres of excellence and academic service centres at Indian Institute of Technology Ropar.

Sponsor

Sponsor refers to the organization that offers a sponsored project/industrial consultancy to the Institute and provides necessary financial support for successful completion of the project in time.

Principal Investigator

Principal Investigator (PI) is a member of the faculty (including Emeritus) of the Institute with necessary expertise and competence to conduct a sponsored research/industrial consultancy. 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) under these rules. In a special case, PI may be appointed by the Director on the recommendation of the Dean, ICSR and in consultation with concerned Head of Department for administrative reasons if the original PI leaves his/her service or is not available for the project for any other reason.

Co-Investigator or Co-Principal Investigator

Co-Investigator or Co-Principal Investigator (Co-PI) is the working/retired faculty member co-opted by the Principal Investigator to work jointly with him/her and approved by the funding agency and/or Dean, ICSR.

Individual Research and Development Grant

Individual Research and Development Grant (IRDG) is the research and development grant-in-aid offered to an individual faculty member or a research fellow by the sponsor towards the cost of equipment, contingency and overhead expenses, fellowship *etc.*

Project Research Staff

Project Research Staff is a person appointed/engaged on contract in conformity with the provisions of these guidelines in a sponsored research project as a fellow or associate or with a similar designation and receiving fellowship.

Project Staff

Project Staff is a person appointed/engaged on contract (excluding project research staff) following the provisions of these guidelines to work on a sponsored research project. The project staff includes research, technical and office personnel.

Consultant

Consultant is a person appointed as consultant for a specific period to carry out a specific job.

Institute Development Fund (IDF)

A part of the institutional overhead charges received for any sponsored research and industrial consultancy project is credited to a separate ICSR fund, to be operated by Dean, ICSR. This fund is designated as IDF. A part of the ICSR fund shall be transferred every year to the Institute Development Fund which shall form the corpus of the Institute.

Departmental Development Fund (DDF)

A part of the Institute overhead charges from sponsored research projects shall be transferred to the DDF of the concerned academic Department(s). The objective of this fund is to provide additional grant to the Department for its development activities.

Professional Development Fund (PDF)

There shall be a Professional Development Fund for individual academic staff, the objective of which shall be to help individuals in his/her professional development. A part of the Institute overhead charges from sponsored research projects shall be transferred to the PDF of the concerned academic staff and utilized by him/her as per ICSR norms.

GUIDELINES

1. SPONSORED RESEARCH PROJECTS

Sponsored research project refers to one in which the PI does not charge honorarium/consultation fee. Funds shall be used by the PIs as approved in the respective budget head by the funding agency. For projects from industry and other agencies, any balance funds at the end of the project may remain with the Institute. In such cases, the balance funds will be distributed to faculty and staff involved in the project in accordance with ICSR guidelines.

1.1. Projects involving IIT Ropar Faculty only

The Institute encourages investigation of basic and applied areas of science and technology, and high-end technology development in the form of sponsored projects. Research grants for such projects are given by government agencies and industries (both national and international). These projects are usually of 2-5 years duration with periodic appraisals, while research objectives and goals may be refined along the way.

1.2. Collaborative Projects

Faculty may also participate in collaborative projects with other domestic or foreign partners. In such projects, even though there may be an overall project, there must be a separate budget and scope of work statement to be done by the faculty and staff of the Institute. The summary statement provided to the Institute should be based primarily on the portion to be done by the Institute. The Institute will treat this like any other sponsored project.

1.3. Institute Projects

In case the Institute is awarded a sponsored project directly, or a proposal is submitted at the Institute level, the Principal Investigator would be identified by the Director.

1.4. Preparation of the Proposal and Guiding Notes

The project proposal should be formulated according to the format prescribed by the concerned sponsoring agency. While making an estimate of the funds required for a project, the following budget heads to be taken into account:

- a) Salary of Project Staff (with designations)
- b) Equipment
- c) Consumables
- d) Travel (specify if there is need for international travel)
- e) Contingency
- f) Institute Overheads Charges (IOC)

All project proposals are to be sent to Dean, ICSR for endorsement. The 'Project proposal form' duly completed must be submitted along with the proposal. ICSR Office will assign a unique internal number to the project proposal.

IPR issue: All IPR related issues will be governed as per the agreement between the Institute and the funding agency.

MoU/Agreement preparation: The Institute has guidelines for drafting MoU/ Agreement.

The project normally will be started after the receipt of funds. The project expenditure for equipment and consumables will be maintained in a separate stock register by PI. The statement of expenditure and utilization certificate will be prepared at the end of every financial year by the designated Institute officer and sent to the sponsoring agency through the Dean, ICSR.

Collaborative projects between two or more Institute s/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 Institute s/organizations as specified in the project proposals. If the sponsor agrees, funds can be released by the sponsor, separately, to the participating Institute s.

1.5. Submission of Progress Reports and other Deliverables

It is the responsibility of the PI to send timely reports and other deliverables to the sponsoring agency through the Dean, ICSR. Statement of account to be submitted will be made available to the PI on request to the designated Institute officer. After completion of the project, final report should be submitted to the funding agency through the Dean, ICSR with a soft copy for the record of the Dean, ICSR and for RTI purposes. 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 ICSR Office. The project file will be closed with the submission of the final technical and financial project report and transfer of the non-consumables to the Central stock register.

2. CONSULTANCY PROJECTS

The Institute has expertise in various research areas to provide knowledge and intellectual inputs which are of interest to the industry. It encourages its faculty to undertake consultancy work which is an important tool in industrial growth of the Country.

2.1 Guiding Notes

A consultancy project/task/work is one where faculty and research staff provide knowledge and intellectual inputs to industry (within India and abroad), primarily for the purposes of the concerned industry. This is effectively a contract work in which all outputs belong to the client.

All payments for consultancy work must come in the name of the Dean, ICSR (IIT Ropar R and D Account) of the Institute. The Institute will then do the needful for complying with statutory laws and then give the honorarium to the faculty/staffs the case may be.

The requirement originates from the industry concerned. The faculty is expected to estimate the time and cost required to accomplish the task.

Proposal is then prepared by the PI. It should specifically mention breakup of funds, normally consultancy fee as the primary component. It may also have budget for supporting manpower, equipment, travel, contingency, Institute overheads and expenses for IPR (if need be).

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. All consultancy proposals must be sent to Dean, ICSR for endorsement and approval along with the consultancy project agreement form.

Office of ICSR will assign a unique internal number to the project proposal.

The Institute normally requires the cost of the consultancy project to be deposited by the 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. The expenditure and disbursements will be made through normal Institute procedures. The project expenditure for equipment and consumables will be maintained in a separate stock register by PI.

In international consultancy projects:

- a) Funds are received in foreign currency
- b) The research collaboration of IIT Ropar with the other party/funding agency should be in conformity with the laws of all the countries involved and/or International laws.

IPR issue: All IPR related issues are agreed between the Institute and the funding agency. Preferably, IPR will be jointly shared by IIT Ropar and the funding agency.

MoU/ agreement preparation: Institute has guidelines for drafting MoU/Agreement. When MoU is clear from all angles and acceptable to both the parties, it is sent to the Director, IIT/Dean, ICSR for 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 retained in the office of Dean, ICSR. After approval, PI/HoD/Dean, ICSR/Director as the case may be will sign the MoU.

Project responsibility: These projects are headed by a Principal Investigator (PI), and may have Co-Principal Investigators (Co-PIs) and the deliverables are the responsibility of the PIs. The Institute provides the PIs necessary support.

The statement of expenditure and utilization certificate will be prepared at every financial year end by the competent designated authority. After completion of the project, final report should be submitted to the funding agency. 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/ICSR stock register.

3. TESTING

The word refers to testing a component or a product against a standard. Examples could be testing the strength of concrete in construction, compaction strength of soil, calibration of pressure gauges, and chemical identification of unknown species. 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 faculty once request is received for the testing job.

3.1. Guiding Notes

The procedure for overall operation of the project is similar like that of consultancy project.

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. SPECIAL GRANTS

Sometimes, there are special grants given to the Institute for purposes like grants for infrastructure improvement, laboratory improvement, conference (from DST/CSIR *etc.*), donations (e.g. alumni), *etc.*, where no direct deliverables are envisaged.

4.1. Guiding Note

Such grants may be treated as a project for operational reasons. For such projects, the Institute overheads may be reduced or waived. The decision will be taken on a case-by-case basis by the Dean, ICSR/ Director.

5. MANPOWER RECRUITMENT, ELIGIBILITY CRITERIA AND PAYMENT

5.1 Open selections will be held for all project staff positions. The broad guidelines for hiring of manpower under various ICSR projects are laid down in Appendix -A. The same may be revised or changed by BICSR as and when deemed necessary.

5.2 Project research staff shall be paid a consolidated fellowship per month and other project staff shall be paid consolidated amount of compensation per month.

5.3 The designations available for the project research staff and project staff, eligibility criteria viz, qualification, experience, age and consolidated emoluments will be as specified by the sponsoring agency/Institute. Any changes/ additions/deletions to the same can be made by BICSR.

5.4 All appointments for project posts shall be on contract only.

5.5 The project research staff shall work for fulfilling the objectives of the project.

5.6 Transfer of project staff from one project to another, either on completion or midway, may be permitted by Dean, ICSR.

5.7 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.

5.8 The project staff appointed in the project shall seek permission of the PI and Dean, ICSR before applying for higher studies and employment outside IIT Ropar.

5.9 On the completion of two years and on the recommendation of an Assessment Committee, appointed by Dean, ICSR for the purpose, the enhancement of fellowship of a project research staff may be considered by the Dean, ICSR. The composition of Assessment Committee shall be as specified under clause - 12.

5.10 A contractual project staff appointed under budgeted provision shall execute a Contract Agreement with PI and HOD at the time of joining with the explicit provision that the contract may be terminated by either side, the staff or PI and HOD, by giving one month's notice or one month's consolidated emoluments in lieu of the notice. The

contracts will be complete when countersigned by Dean, ICSR who will retain the original contract agreement.

- 5.11** Selection of project research staff shall normally be made as per the Institute norms. However, guidelines prescribed by the sponsoring agency shall be adhered to as far as possible.
- 5.12** All appointment letters shall be issued under the signatures of AR/DR unless decided otherwise by Dean, ICSR.
- 5.13** The appointment letter to be issued to project staff should spell out all terms and conditions of the contract including the time limit.
- 5.14** In special circumstances, ad-hoc appointment on a research post of a person having the prescribed qualification can be considered by the Dean, ICSR on the recommendation of the PI for a period, which will normally be for a period not exceeding one year.
- 5.15** In special circumstances, short term assignment on work hire on per hour basis or per unit-of-work basis may be permitted by the Dean, ICSR on the request of the PI.
- 5.16** The project research staff shall be entitled to HRA as per the Institute rules. If accommodation in the campus is not made available to him/her HRA shall be charged to the salary head of the respective project.
- 5.17** Leave: Leave entitlement for the research/project staff shall be entitled as per policy or as specified by the sponsoring agency. Any changes/ additions/deletions to the same can be made by BICSR.
- 5.18** The project staff shall
 - i. Follow general code of conduct as approved for Institute employees, and
 - ii. Maintain record and secrecy of the research findings/technical information and shall not get involved in unauthorized communication of any official document or information.
- 5.19** The Dean, ICSR may, at his/her own discretion or on the recommendation of the PI/HOD, 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 punishment be imposed by the Dean, ICSR.
- 5.20** Project staff of one sponsored project can be hired for another similar project (if he/she fulfils the eligibility criteria) with same or another PI for smooth running of the project.

6. FINANCE AND ACCOUNTS

- 6.1** At the time of submission of a project proposal, the PI shall make a provision of Institutional Overhead Charges (IOC) at the rate of 20% of the total project cost or at the rate specified by the sponsor.
- 6.2** All purchase proposals will be routed by PI to office of the Dean, ICSR, which shall process the same as per availability of funds and rules made herein.

- 6.3** Salary of the project staff shall be released on monthly basis upon the recommendation of PI which should reach the office of Dean, ICSR latest by 25th of every month so that the salary can be released within next 6 working days.
- 6.4** PIs/HODs shall arrange to maintain stock/asset registers. These shall be submitted to the Audit/Institute as and when called for.
- 6.5** ICSR Office will provide an account of expenditure to the PI either periodically or as and when needed by the PI.
- 6.6** Accounts for sponsored projects shall be maintained under the budget heads specified in the sanction letter from the sponsor. Minor adjustments in approved budget heads may be permitted by the Dean, ICSR.
- 6.7** All expenditure shall normally be made within the proposed date of completion (PDC) of the project. Exceptions may be permitted by the Dean, ICSR with the consent of the sponsor.
- 6.8** In the event of non-availability of fund in a project, to meet the excess expenditure (if any) due to unforeseen reasons, the sponsoring agency will be approached by the PI through HOD and Dean, ICSR to sanction additional fund to permit the expenditure from another project of the same sponsor.

6.9 TA/DA Rules

The most expeditious and convenient mode of travel should be used to minimize period of absence from the Institute. Admissible DA or actual boarding and lodging expenses will be paid on production of receipt wherever required as per entitlement. PI/project staff will need an approval of Dean, ICSR for undertaking domestic/international journey. All air travel to be undertaken by Air India in case of Government funded projects. For non-Air India flights, prior approval of the Director is required with a justification, however, the Dean, ICSR can approve the same provisionally, which will be finally approved by the Director. In case of non-government projects/consultancies, the Dean, ICSR can approve the non-Air India journey. Expenses on local travel by taxi will be reimbursed against receipt as per actual or entitlement whichever is less. Advance for travel, if any will be approved by the Dean, ICSR. Reimbursement of charges to travel agents for ticket purchase assistance, visa assistance, insurance, porter charges or any other charges ancillary to the project/consultancy related incurred in the process of travel *etc.* shall be admissible from project funds. However, if sponsor has specified any specific condition(s), viz, mode of travel, class of travel, *etc.*, for travel under the project that shall be followed normally. Approval of Dean, ICSR will be required for any deviations from above.

Taxi bill as per actual or entitlement whichever is less. Wherever taxi bill is not available taxi bill to be reimbursed as per actual based on certification and proper justification by the PI.

6.10 Out of Pocket Expenses for Field Work

Out of pocket expenses, expenses not provided in the TA/DA, will be payable for the actual period of field work at the workplace at the rates given in the **Annexure– 1**.

- 6.11** The PI may engage Institute 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 the amount/fellowship as specified by the MHRD/IIT Ropar.
- 6.12** A request for payment of an advance as per the purchase rules to PI or Co-PI, duly forwarded by the concerned PI, may be considered for approval by Dean, ICSR. Further, an imprest for each financial year during the project tenure may be sanctioned to PI by Dean, ICSR.
- 6.13** Adjustment account for an advance drawn shall be submitted within 30 days of return from the journey or date of issuing the cheque/transfer of money, whichever is later. In other cases, TA claim should preferably be settled within 60 days from joining the Institute after completion of the journey.
- 6.14** An individual shall normally be allowed to draw another advance only after adjusting the previous one taken by him/her.
- 6.15** All payments to project staff, persons engaged on work hire and students engaged for project work will be made by ICSR Office by only online transfer.

7. MEDICAL FACILITIES

Medical facility shall be provided to the project staff as per the provisions laid down for the students of IIT on payment of annual insurance charges (for medi-claim and personal accident insurance). Cashless facility to the project staff for OPD in empaneled hospitals within/outside Rupnagar is not permissible. However, the project staff can utilize the services of in-house medical facilities.

8. DUTIES AND RESPONSIBILITIES OF THE PRINCIPAL INVESTIGATOR (PI)

- 8.1** Only the faculty and other academic staff in the service of the Institute can be PIs of a sponsored research project.
- 8.2** The PI will, at his/her discretion, co-opt the names of other faculty members as Co-PIs or Co-Investigators with their consent. A retired faculty member can be co-opted if the funding agency permits the same explicitly, but only as a Co-Investigator.
- 8.3** The PI will prepare research project proposal in conformity with:
- Permitted designation and emolument/fellowship rates for project staff, with qualification and experience as specified by the sponsoring agency.
 - Provision for institution overhead charges shall as per the rules of the Institute or as per the guidelines of the sponsor.
 - Other guidelines for sponsored projects, and rules, regulations and statute of the Institute
- 8.4** All research proposals shall be submitted to the sponsors through the concerned HOD and Dean, ICSR.
- 8.5** It shall be the responsibility of the PI to get project work completed satisfactorily within the sanctioned grant and duration.

- 8.6 The PI shall ensure that the head-wise expenditure does not exceed the budgetary allocation.
- 8.7 The PI shall maintain the details of equipment purchased out of project funds separately for each project and send a copy of the record to Dean, ICSR for placing the same before the audit authorities, for verification or as and when required for any other purpose.
- 8.8 The PI shall be responsible for maintenance of Laboratory Record Book (LRB) as required for Intellectual Property Right (IPR) submission, periodical and/or final technical report(s) of the project work to the sponsoring agency as required. He/she will also send a copy of the final technical report to Dean, ICSR.
- 8.9 The PI shall write to the sponsor for timely release of funds with a copy to the Dean, ICSR for follow up, if necessary.
- 8.10 The PI/HOD shall sanction/control leave due to research and other contractual staff working in their projects.
- 8.11 If the PI leaves the Institute, retires or goes on leave, Co-Investigator or Co-Principal Investigator will assume the powers and responsibilities of the PI with the approval of the Dean, ICSR, however a retired person should not be appointed as PI. However, in exceptional circumstances, a retiring faculty member may be allowed to work as PI with the permission of the Director if he/she continues to serve the Institute in some other capacity. No retiring faculty member will be allowed to submit a project as PI if its 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.

9. LEAVE

- 9.1 PI going out of station for project work will be considered on duty.**

10. PROFESSIONAL BENEFITS TO INVESTIGATORS AND PROJECT STAFF

- 10.1 The PI and other investigators from the Institute shall be entitled to receive contribution to their Professional Development Funds out of clause-16.
- 10.2 Depending upon the availability of funds under travel head, Dean, ICSR may permit the PI/Co-Investigator to charge TA/DA and registration fee to the project account for presenting papers in National/International Seminars, Conferences *etc.* within the country in a subject relevant to the project from travel/contingency grant. In case of foreign travel for the same purpose, approval may be given by the Director on the recommendation of HOD and Dean, ICSR, provided the funding agency has allowed this facility specifically.
- 10.3 Project research staff and students working in projects may be permitted by Dean, ICSR on the recommendation of PI to present papers in conferences; seminars *etc.* within the country with TA/DA and registration fee support, provided adequate funds are available under travel head/contingency of the project.
- 10.4 Depending upon the availability of funds under the contingency/books head, the PI/Co-PI/Investigators may individually charge the membership fee of one professional

society in a year to the project funds with the permission of Dean, ICSR, provided the funding agency has not disallowed the facility specifically.

11. PROJECT EVALUATION COMMITTEE

In case the sponsor desires the constitution of a Project Evaluation or Monitoring Committee, the same will be constituted by the Dean, ICSR as per the guidelines of the sponsor. In other cases, Dean, ICSR may recommend to the Director for appointment of such a Committee, if he/she feels it desirable or necessary in case of projects with more than 50 crore.

12. ASSESSMENT COMMITTEE

Progress of research staff working in a sponsored research project will be assessed at the end of one or two years as per the requirements of the sponsor by a committee comprising the following:

1. Head of the concerned Department
2. One faculty member from the Department
3. Principal Investigator
4. One expert from outside the Department or the Institute in relevant field, as and if required by the funding agency

13. ADMISSION OF PROJECT RESEARCH STAFF TO ACADEMIC PROGRAMMES

13.1 Eligibility requirement of IIT Ropar project staff applying for Ph.D. will be treated similar to that of external registration program (ERP) candidates.

13.2 Eligibility Criteria

- For the candidates having Master Degree in Engineering/Science/Humanities:
 1. Minimum 6.5 CGPA OR 60% in PG programme
 2. Must have at least 06 months of experience in the project work at IIT Ropar
 3. Letter of recommendation from PI of the project under which he/she is working.
 4. Publications, if any will carry high weightage
- For the candidates having Bachelor's Degree in Engineering
 1. Minimum 8.0 CGPA / 75 % in UG programme OR Minimum 7 CGPA / 65 % with valid GATE score.
 2. Must have at least 06 months of experience in the project work at IIT Ropar
 3. Letter of recommendation from PI of the project under which he/she is working.
 4. Publications, if any will carry high weightage.

13.3 IIT Ropar Project staff will be directly shortlisted. However, they will have to clear written test/interview for admission.

13.4 The fellowship will be paid from the projects. However, they can be paid fellowship from the institute provided they have cleared the NET/GATE, as applicable. Further, candidates can also continue the PhD programme without fellowship.

13.5 There is no limit for number of project staff to be admitted under a supervisor for Ph.D programme.

13.6 The PI of the project should give an undertaking that the project staff, enrolled in the Ph.D. programme, shall be paid fellowship from the project grant till the completion of the project.

13.7 The project staff having left with more than one year of tenure is eligible to take admission in the Ph.D. programme under this category.

13.8 In case if the Project staff get selected in the Ph.D. programme by fulfilling all the eligibility criteria as may be laid for regular Ph.D. he shall draw his fellowship from the project only till the completion of the project and then can be eligible to move institute fellowship.

(Approved by Senate in its 31st meeting vide Resolution No. S31/R8/19/399)

14. EXCEPTION CLAUSE

These guidelines shall normally be applicable to all the sponsored research projects and industrial consultancy. Any exception/deviation or anything not specifically covered may be considered for approval by Dean,ICSR in the interest of the Institute / research project.

15. FORMS

To ensure smooth administration and management of the sponsored research projects and industrial consultancy, only the approved forms will be used by the PIs and others concerned.

16. DISTRIBUTION OF INSTITUTE OVERHEAD CHARGES SHARE IN PERCENTAGE

The overheads charged against the projects shall be credited to different internal funds as earmarked in the table given below. The ratio of fund and nature of fund can be changed at the discretion of the BICSR.

	IDF (ICSR Fund)	DDF	PDF	Incentive to office Staff and Staff Welfare Fund
(A) Sponsored research project institutional overhead charges received from agency (I)	*55 %	15 %	20 %	10%
(B) Type of industrial consultancy project				
(i) Type-I, individual (without laboratory)	*55 %	15 %	25 %	5 %
(ii) Type-II, individual (with laboratory)	*70 %	10 %	15 %	5 %
(iii) Type-III, departmental (with laboratory/without laboratory)	*70 %	15 %	10 %	5 %

* The IDF in full will be transferred to the Institute Corpus (IRG).The expenditure on staff and other recurring/ non-recurring expenditure for ICSR office will be met from the Institute funds.

17. RULES OF GENERATION AND UTILISATION OF PROFESSIONAL DEVELOPMENT FUND (PDF)

Professional Development Fund (PDF) of a faculty member or other academic staff member shall be generated by crediting a certain percentage as specified above.

- a) The Institute Overhead Charges (IOC) received in a sponsored research project from the funding agency.
- b) Institute share from a consultancy project and unspent balance, if any,
- c) Institutional overhead charges received from HRD programmes.

The PDF can be utilized by the concerned faculty member for the following purposes:

- 17.1** TA/DA and registration fee for attending a conference/workshop/symposia/seminar/meeting *etc.* or delivering a talk without restriction on number of such visits (subject to sanction of appropriate leave by competent authority) to a place in India or abroad and for making exploratory visits for further sponsored research/ consultancy work, with approval of Dean, ICSR. In case a student is a co-author of a paper being presented in a conference *etc.* and the PI wishes to pay from his/her PDF for the student's registration fees and travel, the same will also be permissible.
- 17.2** Membership fee of professional societies.
- 17.3** Purchase of professional books, journals, stationery, computer stationery, software or data on any storage medium.
- 17.4** Equipment/phone/fax/air-conditioner facilities for laboratory/office can be purchased with the prior approval of the Dean, ICSR as per the existing norms of the Institute.
- 17.5** Upgradation or outright purchase of laptop or desktop computer and related peripherals like digital camera/ web camera for use by the faculty member at any location as per the work requirement on approval of Dean, ICSR.
- 17.6** Purchase of office and laboratory furniture.
- 17.7** Cost of handset (Cellular Phone) once in two years and Rs.2500/- per month on any type of telephone calls including prepaid cash card. In case of a theft, repurchase may be allowed by Dean, ICSR on furnishing of a copy of FIR along with the request for repurchase. On subsequent incident of theft, repurchase shall however, be allowed after the completion of two years period.
- 17.8** All purchases and travel shall be made as per rules.
- 17.9** The items procured out of shall be properly accounted for and shall remain property of the Institute. However, any non-consumable items mentioned at serial nos. 17.3, 17.5, 17.7 above may be taken away by the concerned faculty from the departmental library/laboratory, on payment of book values as per GOI rules during the period of service or within 3 years of retirement/leaving the service of Institute.
- 17.10** If expenditure on the above items at one time exceeds **Rs. 25,000/-**, approval of the Dean, ICSR will be necessary. For items at Serial No. 17.6, a prior approval of the Dean, ICSR will be necessary irrespective of the amount involved. For any expenditure not covered above, recommendation of Dean, ICSR and prior approval of the Director will be necessary.

17.11 PDF will be available to the faculty member up to three years of his/her leaving the Institute or up to three years after retirement.

17.12 Donation to IDF from PDF may be allowed by desiring faculty member(s) /academic staff is permitted

18. RULES FOR GENERATION and UTILIZATION OF DEPARTMENTAL DEVELOPMENT FUND

Departmental Development Fund (DDF) of concerned Departments/Centres/Schools/Inter-disciplinary Programmes shall be utilized to support their educational research and development activities, and infrastructure and other related requirements. The departmental development funds may be utilized by the head of the Department/Centre/Schools/IDP concerned, in accordance with the Departmental Policy or a Departmental Consultative Committee, with the prior approval of the Dean, ICSR. The account of DDF will be maintained by ICSR Office and controlled by Dean, ICSR. The departments concerned may submit expenditure bills to ICSR Office for processing payment.

Appendix – A

GUIDELINES FOR HIRING OF MANPOWER UNDER VARIOUS ICSR PROJECTS

The PIs can utilize the services of the personnel for the project duration under the following categories:

- a. Staff Appointed based on Regular Advertisement/Announcement and Selection.
- b. Staff Appointed on Ad-hoc Basis.
- c. Students Engaged under Project.
- d. Institute Staff Engaged for Specific Tasks.

Possible Designations

(i)Research staff	(ii)Supporting staff (Tech)
Principal Project Officer (PPO)/ Principal Scientist	Project Technician (PT)
Senior Project Officer (SPO)/ Senior Scientist	(iii)Supporting staff (Non-tech)
Project Officer (PO)/ Scientist	Senior Project Assistant (SPA)
Project Associate (PAS)	Project Assistant (PA)
Research Associate (RA)	Project Attendant (PAT)
Provisional Research Associate (PRA)	(iv)Others
Senior Research Fellow (SRF)	Senior Project Consultant (SPC)
Junior Research Fellow (JRF)	Project Consultant (PC)

Qualifications

Essential/desirable qualifications for various project posts are prescribed by sponsoring agency/ICSR Board from time-to-time.

Tenures of Appointment

For Supporting Staff: Duration of appointment should not exceed 1 year

For Research Staff: One year at a time.

Maximum Duration of Appointments: Maximum period of 3 years for supporting staff and 5 years for research staff.

(The duration of appointment is subject to age limit applicable for supporting staff)

a. Staff Appointed Based on Regular Advertisement/Announcement and Selection

Appointments can be made through campus announcement/advertisements in newspapers (if enough funds are available in the project) and through circulation to other institutions and also in the Institute website.

Designation, minimum qualification, experience and salary range for various categories of project posts shall be as per the rules and regulations of the funding agency/Institute. Additional desirable qualification and experience can also be prescribed in the advertisement.

If suitable candidates are not available, the post may be filled by appointing a lower category staff.

The following step-by-step procedure is followed for the recruitment of staff:

- i. The PI has to send a request for approval to Dean, ICSR for recruitment of staff giving the minimum qualifications and experience, desirable qualification, duration of the appointment *etc.*.
- ii. Dean, ICSR approves the Selection Committee duly proposed by the PI
- iii. ICSR Office/PI issues the advertisement/announcement as per the prescribed norms for which the expenditure, if any will be debited to the project contingencies. The announcement is also released in the Institute website.
- iv. Applications from candidates including their bio-data on plain paper are received directly by the PI.
- v. Applications are processed and short-listed by the Selection Committee and then sent to the ICSR Office with recommendations for scrutiny and approval.
- vi. The PI, in consultation with the Chairman and members of the Selection Committee has to fix a date and venue for the interview and also to take action for calling candidates for interview.
- vii. Trade tests if any and the selection interviews are to be organised by the PI in consultation with the Chairman and Selection Committee members.
- viii. Bio-Data of the candidates in the prescribed form to be obtained and certificates verified before the commencement of interview.
- ix. The proceedings of the Selection Committee meeting prepared in the standard format provided by the ICSR Office are to be sent to the Dean, ICSR, for approval along with other papers as per the check list.
- x. On approval by the Dean, ICSR AR/DR shall issue an offer of appointment to the selected candidate(s).

Generally, initial appointments to be made for one-year duration, which may be extended for next two to three years as per duration of the project or co-terminus with the projects, subject to satisfactory performance of the candidates during the first year. The candidates thus offered appointment under selection mode are required to produce a physical fitness certificate from civil/Institute hospital/registered medical practitioner.

b. Staff Appointed on Ad-hoc Basis

In special circumstances, ad-hoc appointment on a research/staff position of a person having the prescribed qualification can be considered by the Dean, ICSR on the recommendation of the PI for a period, which will normally be for a period not exceeding one year. Staff can be appointed on ad-hoc basis at any time of the project. Request for ad-hoc appointments including part-time employment in the projects can be made by the PI. This application with the recommended salary and proposed selection committee is forwarded by the PI to the Dean, ICSR, who will appoint the staff on the advice of the committee. The candidate can be given a consolidated salary commensurate with his/her qualification and experience, conforming to the designation of the project posts.

Staff appointed for project positions on part-time basis normally work for half the usual working hours. Their salary is fixed not less than 50% of the pay range applicable for the post. PI cannot engage more than one part time staff in a project.

c. Students Engaged under Projects
• **Appointments through MS/Ph.D admissions**

The candidates admitted for MS/PhD in the Institute are offered project positions on the recommendations of the PI and on approval of Dean, ICSR. For this, the PI obtains prior approval from Dean, ICSR for including the project position for MS/PhD selection purposes. The candidate selected for this position by the MS/PhD interview committee will be issued offer of appointment for the project post.

• **Students engagement on part-time basis**

Facility exists to utilize students for specific works in projects. The remuneration can be paid only to regular students. Students registered through other categories such as through project for MS/PhD are not eligible under this category.

- i. Remuneration rate has to be fixed by the concerned PI at the rate between Rs.100/- and Rs.300/- per hour. These rates can be revised by BICSR from time-to-time.
- ii. During the academic session, only part-time engagement is allowed. Such part-time engagement should not exceed a maximum period of 40 hours per month. During vacation period this is 160 hours/month.
- iii. The payment shall be only for the duration for which the student has actually worked. The payment will be made based on the claim and certification by the PI.
- iv. All part-time payments will be only for the duration of the project. The part-time payment is to be made within two months of completion of the work by the students from the contingency head of the projects.

• **Student internship**

The "Student Internship" for facilitating the training of B.Tech students of IITs and other Engineering Colleges for short duration can be extended utilizing the contingency fund of projects. The candidates shall be selected by the respective PI based on the performance in the examinations and the recommendations of the referees working in the area of interest.

A minimum amount of Rs. 6,500/-per month will be paid as stipend to the students. The total duration shall not normally exceed two months.

Hostel accommodation and mess facility would be provided on payment-basis, subject to availability confirmed by the Office of Student Affairs.

d. Institute Staff Engaged for Specific Tasks

The Institute staff can be engaged for specific tasks in the projects outside the normal Institute working hours. Since the rates are revised periodically, the prevailing rate at the time of engagement of staff may be ascertained by the PI from the ICSR Office. No prior approval of the Dean, ICSR is necessary for engaging such staff. The terms and conditions for engaging staff for such work are as follows:

- i. The remuneration payable in any calendar month shall not exceed 7 man days.
- ii. The rate of remuneration depends on the starting salary (Initial Basic Pay+DA) in the scale of pay and not on the actual basic pay drawn by the incumbent as on date.
- iii. All claims for payment, made by staff member and approved by the PI must reach ICSR Office before 3rd of every month. The payment, if approved and subject to availability of funds in the project will be made by the 20th of the month.

- iv. The PI should note that such payments are NOT allowed under some schemes, such as the CSIR, IRDF or Ministry of HRD, Indo-German Project Schemes; therefore they should ensure compliance of the sponsoring agency norms.

Composition of Selection Committees

1.	Head of the Concerned Department	Chairman
2.	One Faculty from the Department	Member
3.	Concerned Principal Investigator	Member
4.	Co-Principal Investigator (if any)	Member
5.	One faculty member from outside the Department	Member

Procedure to be followed after Release of Advertisement

Once the advertisement is uploaded on the website, the following procedure will be followed according to the choice opted:

Option I : Walk-in-interview

- i. This type of selection is preferred where response from only limited number of candidates as per qualifications / experience in the related area(s) is expected.
- ii. The PI will propose the selection committee and finalize the test/interview date/time and venue at the time of sending the advertisement request to ICSR on the prescribed format.
- iii. The uploaded advertisement will clearly mention the date, time and venue of the walk-in-interview. The interested candidates would report for walk-in-interview with dully-filled application on the prescribed form. The candidates will be advised to bring original certificates / testimonials.
- iv. The following schedule shall be followed for such selections:

Slot	Request received	Advertisement Date	Walk-in-interview
Slot-I	The requests for advertisement received from PIs during 13 th – 27 th day of any month	1 st of the next month	Can be after 15 th of the month
Slot-II	The requests for advertisement received from PIs during 28 th – 12 th day of the following month	15 th of the same month	Can be after 1 st of the next month

- v. The PI with the help of selection committee would conduct the interviews and chairperson would ensure smooth conduct of interview as per ICSR norms. Candidate will not be provided with any TA/DA for attending the interview.
- vi. The minutes mentioning the project number, post advertised, short-listing criteria (if any), name of the selected candidates, salary proposed, justification, if any (for fixing salary other than at the start of the slab) duly signed by the committee members along with applications/CVs (on prescribed format) of all the candidates are to be sent to ICSR Office for further processing.

- vii. Once ICSR Office receives the minutes of the selection committee, verification of selected candidates will be carried out as per the shortlisting criteria. Thereafter minutes will be sent to Dean, ICSR for approval.
- viii. Further the ICSR Office will issue offer letters for appointment to the selected candidate(s) along with the performa of joining form-cum-check-list, medical fitness certificate and character certificate. Once the candidate submits the joining report duly forwarded by PI along with the requisite documents listed in the joining form-cum-check-list, his/her joining will be notified.

Option II: Shortlisting followed by Test and / or Interview

- i. This option is advisable in cases where many candidates/applications are expected.
- ii. The candidates will be given at least 15 days' time to submit their applications from the date of issue of advertisement.
- iii. The applications either can be invited in ICSR Office through post or through web link (under development) or directly by the PI (through post or email), depending upon his discretion.
- iv. In case the applications are invited in ICSR Office, the same will be forwarded to the PI for shortlisting.
- v. The PI will shortlist the candidates on the basis of minimum advertised qualifications / experience. However, the shortlisting criteria may be higher than the minimum advertised depending upon the volume of the applications received against the advertisement.
- vi. The PI would decide and fix the date, time and venue (in consultation with the selection committee members) for written/skill test and/or interview.
- vii. The procedure and schedule of selection must be clearly mentioned in the interview letter, which must be sent at least 15 days in advance to the shortlisted candidates by the concerned PI by speed post or email or both. Notice of the interview along with the list of shortlisted candidates will be displayed on ICSR website.
- viii. The PI with the help of selection committee would conduct the interviews and chairperson would ensure smooth conduct of interviews as per ICSR norms.
- ix. The minutes mentioning the project number, post advertised, short-listing criteria (if any), name of the selected candidates, salary proposed, justification, if any (for fixing salary other than at the start of the slab) duly signed by the committee members along with applications/CVs (on prescribed format) of all the candidates is to be sent to ICSR Office for further processing.
- x. Once ICSR Office receives the minutes of the selection committee, verification of selected candidates will be carried out as per the shortlisting criteria. Thereafter the minutes will be sent to Dean, ICSR for approval.
- xi. Further the ICSR Office will issue offer letters for appointment to the selected candidate(s) along with the performa of joining form-cum-check-list, medical fitness

certificate and character certificate. Once the candidate submits the joining report duly forwarded by PI along with the requisite documents listed in the joining form-cum-check-list, his/her joining will be notified.

Other Provisions

PI may decide to hold web-based interview of any candidate with the permission of Chairperson. The selection committee may also recommend and place the candidate(s) on panel which shall remain valid for the duration of the project or one year whichever is earlier. However, the panel will expire if fresh interviews are held for the project positions.

No application fee is required to be submitted by the candidates with the application in both the options. The guidelines for fixation of salary in respect of superannuated government employees shall be followed as approved by the Competent Authority.

Guidelines for Chairperson ICSR Selection Committees

The following guidelines are to be followed about recruitment/selection of project appointments:

1. The Chairperson will ensure that any candidate who does not fulfil the advertised qualifications / experience is not interviewed/ recommended for selection. The candidates appeared/ appearing for final exams will not be considered qualified, if their result is still awaited as on the last date of receipt of application. The candidates not fulfilling the minimum advertised qualification cannot be considered even for the lower post, if such lower position has not been advertised.
2. Fixation of salary: Usually the salary and allowances such as HRA publicized through advertisement must be honoured unless there is a proper justification in this regard. Fixation of salary should be commensurate with the qualification and experience held by the candidate. In case committee recommends fixation at higher stage within the scale, the same may only be given with proper justification. The committee may consider higher qualification than that advertised towards required experience / in lieu of necessary experience only in case of technical positions.
3. The selection committee, in its wisdom, may select a candidate for a lower post provided he / she fulfils the advertised qualifications and experience for the higher post advertised. The candidates not fulfilling the minimum advertised qualification cannot be considered even for the lower post, if such lower position has not been advertised.
4. Any cancellation and change of qualification in published advertisements for recruitment will take effect only with the prior approval of Competent Authority.
5. The scheduled selection committee meetings cannot be cancelled or rescheduled at short notice in order to avoid inconvenience to appearing candidates especially from outside Punjab. In case of absence of chairperson or PI/Co-PI due to exigency, his/her nominee may be involved to allow smooth conduct of interviews as scheduled.
6. The Chairperson will also ensure that all candidates who come to attend an interview are interviewed properly by the selection committee.
7. The concerned selection committee members should dissociate themselves completely from the process of selection where their own close relatives are involved. No close

relative of any selection committee member should be appearing in the test/interview. In case, it is so, the concerned committee member may nominate any other faculty member in his/her place or abstain himself/herself from the selection process.

Extension of Appointment

Advance intimations about the end of term of appointment of all staff working under selection basis and regarding research staff under short-term engagement basis are sent to the PI by the ICSR Office.

On receipt of concurrence from PI and as per other terms and conditions of the offer of appointment, the engagement of the staff is extended subject to availability of funds and project duration.

Staff for whom request for extension of term has not been received from PI will be relieved on completion of their term of appointment, after taking due approval of Dean, ICSR

JRF, SRF and Assistantships

PIs are encouraged to select full-time M Tech/PhD students through M Tech/PhD selection process of the Department/Centre and extend JRF, SRF and assistantship through the project against sanctioned staff positions. The request for these assistantships can be sent to ICSR Office for approval of Dean, ICSR.

Assistantship to Full Time PhD/M Tech. Students of IIT Ropar

PIs can also offer assistantships to already admitted full time M Tech/PhD students from projects at any time of the year against sanctioned staff positions (JRF/SRF/RA/Project Associate/Project Scientist).

Gap Period Assistantships

Gap period assistantship to PhD students, who are drawing their fellowship/assistantship from the projects, will be provided to the students once the projects get over and there is no other project to pay them assistantship. The norms for such awards of assistantship will be as under:

- i. PhD students would be supported for a maximum period of two years. Within this period, either they would complete their PhD programme or switch to Institute teaching assistantship (if available and recommended by the Dean, ICSR) or switch to research assistantship from another project.
- ii. All assistantships provided by ICSR from the projects would preferably be at the corresponding Institute assistantship levels.
- iii. Students on ICSR assistantship can be assigned teaching assistantship responsibilities by the Departments/Centres if required.
- iv. Normally ICSR assistantship would be restricted to supporting only one/two assistantship in PhD, under a faculty member at a given time depending upon his/her track record. The track record of faculty member in sponsored research and

consultancy would also be considered for supporting more than one student at one time.

- v. The request for assistantship should be made online/on prescribed format in ICSR Office for this purpose. The supervisor must clearly indicate the duration for which support is required and expected source of support after the expiry of this period.
- vi. Under no condition, the student will be supported beyond the present time limit i.e. five years for those pursuing PhD and beyond two years for those who are pursuing M Tech/M.Sc.

Leave Norms

Leave is not a right. It can be granted by concerned PI in respect of project staff. Leave entitlements for the project staff are follows:

Sl. No.	Type of leave	No of days (on pro-rata basis)
i.	Casual leave	08
ii.	Medical leave	20
iii.	Maternity leave	As detailed below
iv.	Paternity leave	15 (within 06 months of birth)
v.	Leave at the Discretion of PI	20

Maternity leave: Women project staff appointed under selection basis are eligible for maternity leave as per GoI norms subject to the following:

- i. They should have rendered at least 9 months service prior to proceeding on maternity leave.
- ii. The project duration/service after re-joining from maternity leave should not be less than one year.
- iii. Maternity leave will be sanctioned on production of necessary medical certificate.
- iv. Salary for the maternity leave period will be disbursed only on re-joining from maternity leave.
- v. Under special circumstances maternity leave can be granted to women scientist/ young scientist working under short term engagement basis, on the recommendations of the PI.

Reliving Procedure

The following are the notice periods prescribed for leaving or terminating the project employment:

Category of staff	Appointment	Notice period
Research	Selection	30 days
Supporting	Selection	30 days
Research	Short-term engagement	30 days
Supporting	Short-term engagement	7 days

Forwarding Requests

All applications of project staff for outside employment, NOC, experience certificate *etc.* should be routed through the PI. Requests received without the recommendations of the PI will not be processed.

Final Settlement of Salary

The last month's pay of the staff member will be withheld and the same will be released only on receipt of 'No Due Certificate' from the PI/Hostel Management.

Do's and Don'ts

Any cancellation of recruitment or change of qualification in published advertisements will take effect only with the prior approval of Competent Authority. Scheduled selection committee meetings are not to be cancelled or rescheduled at short notice in order to avoid inconvenience to appearing candidates especially from outside Punjab. In case of absence of Chairperson or PI/Co-PI due to exigency, his/her nominee may be involved to allow smooth conduct of interviews as scheduled.

The concerned selection committee members should dissociate themselves completely from the process of selection where their own close relatives are involved. In case, it is so, the concerned committee member may nominate any other faculty member in his/her place or abstain himself/herself from the selection process. The sanctions in a project and spending norms of funding agency are considered supreme, and in cases, where funding agency has explicit provisions or restrictions with reference to any of the above, those must be followed, for example, qualifications and salaries of project staff (such as JRF/SRF/RA) sanctioned by various funding agencies are bound by their respective circulars. PIs cannot, at their discretion, recruit project staff in such projects at ICSR scales without obtaining prior sanction from the funding agency.

Under CSIR funded projects, all appointments are required to be sent to CSIR for their approval along with their duly-filled Form-G (in original). Under unavoidable circumstances, project positions can be downgraded but within the same cadre. However, qualification and experience must be clearly publicized for downgraded positions before interviewing /selecting any candidate.

Instructions to Project Staff

The project appointees are required to submit/furnish the following documents in ICSR Office at the time of joining the project post(s) within a maximum period of 15 days, failing which the joining/formal appointment will not be notified and hence no salary will be released:

- a. Self-attested copies of all certificates related to qualifications/work experience (2 sets to be submitted in case of CSIR sponsored projects)
- b. Two latest passport-size colour photographs.
- c. NOC/relieving letter from previous employer (if any).
- d. Self-attested copy of relevant certificate of SC/ST/OBC/Ex-servicemen/physically handicapped, if applicable.
- e. Medical fitness certificate from IIT Ropar hospital/Institute recognized hospitals/practicing doctor.
- f. Character certificate on prescribed format.
- g. Medical facility shall be provided to the project staff as per the provisions as laid down for the students of IIT.

- h. In case, HRA is applicable, the employee needs to fill House Rent Allowance Claim Form.

After joining the project post the candidate concerned will be given joining notification along with their project employee code for issue of their I-card / internet access facility and library

facilities. For availing such facilities, the candidates will have to complete the required formalities with the concerned units for issue of their I-card, internet access and library facilities.

Eligibility for accommodation: subject to availability of accommodation in the campus.

Salary: The salary bill for ICSR project staff are processed at ICSR on 25th and end of each month.

Terms and conditions: All the terms and conditions governing the project post/appointments are also given in **Annexure- 4.**

Resignation: Appointments are renewable on yearly basis by the office of ICSR upon the recommendations of the PI. However, ICSR has a right to terminate appointment with a notice of one month upon the recommendations of the PI. Candidate too may resign from the post by giving one month notice or salary in lieu of the notice period to ICSR through PI. Resignation / termination letters duly signed by ICSR Office shall be forwarded to PI for information

Clearance/no-dues: The candidates will have to submit clearance / no dues certificate to the ICSR Office for their final settlement. Signature/stamp of all concerned authorities in the No-dues / Clearance Form must be obtained for processing their case for final settlement (ICSR/REC-8).

Annexure -1

OUT OF POCKET EXPENSES FOR THE FACULTY/STAFF FOR FIELD WORK

Sl No.	Category of staff	Rate
1.	Faculty (PI)	As prescribed in the project or consultancy proposal, otherwise as claimed by the P I with a proper justification
2.	Project staff having monthly fellowship of Rs. 25000/- and above	As per actual or Government of India rates, however if the actual is more than GoI rates, a proper justification, countersigned by PI of the project should be given
3.	All other	Maximum Rs. 400/-per day or part of a day

Annexure- 2
FORMAT OF MINUTES OF THE SELECTION COMMITTEE

INDUSTRIAL CONSULTANCY and SPONSORED RESEARCH
INDIAN INSTITUTE OF TECHNOLOGY ROPAR

Minutes of the Selection Committee Meeting

Minutes of the meeting of the Selection Committee held on.....for making project appointment(s) to the post of in the consolidated pay-slab of Rs.....under the sponsored research project/individual consultancy titled“..... ..” in operation under Dr./Prof..... (PI) of this Institute in response to the advertisement number..... dated.....and subsequent amendments made thereto.

The Selection Committee comprising the following members met onfor making selection for project appointments as mentioned above.

1. _____ Chairman
2. _____
3. _____
4. _____

Selection Committee noted the following advertised and short-listing criteria:

Advertised:

Shortlisting:

The following candidates attended the interview:

1.
2.
3.

(Please attached list, if many candidates appeared)

After interviewing the candidates (physically / through skype / telephonically or other modes) and assessing their suitability for the advertised posts, the committee recommends the following for project appointment(s):

S.No	Name	Post	Period	Starting Salary	HRA and Other Allowances

In case salary recommended is higher than the initial advertised slabs, justification for higher starting salary :.....
.....

Signatures of all the Members

Chairperson

Annexure- 3

FORMAT OF INTERVIEW CALL LETTER

INDUSTRIAL CONSULTANCY and SPONSORED RESEARCH INDIAN INSTITUTE OF TECHNOLOGY ROPAR

Interview Call Letter

No.: IITRPR/ICSR/

Dt.:...../...../.....

Subject: Interview for the contractual post of “.....” in the consolidated Pay slab of Rs..... under the research project entitled“.....”, (Reference No.....)under Dr./Prof..... The present duration of the project is up to:_____

Reference: Your application for the above post.....

Dear Candidate

Kindly appear for test/interview for the above post on at am/pm in the office of Prof./Dr.at IIT Ropar, Rupnagar, Punjab, PIN – 140001.

Please bring the following documents with you:

1. Original certificates/degrees/diplomas in support of your educational/ professional qualification and experience.
2. No objection certificate from your employer, if any, and in case you have not submitted your application through your employer.
3. Salary certificate from your present employer, clearly indicating your appointment and salary and other allowances, if any.

In case you fail to produce the above documents, you are not likely to be interviewed by the Selection Committee.

Please note that no TA/DA shall be paid to attend the interview.

Looking forward to seeing you.

Best wishes

(Prof./Dr.....)

Annexure- 4

TERMS AND CONDITIONS GOVERNING THE PROJECT APPOINTMENTS

1. **Appointment:** All appointments shall be on contract of one year or less if the project is terminated earlier. The appointment is against the temporary project post and will not continue in any circumstances beyond the duration of the said project. Any subsequent contract in the project or another project will be afresh appointment. The appointment in the outside funded project does not give project staff any claim what so ever for appointment/regularization against any of the Institute posts.
2. **Pay and allowances:** Consolidated salary is offered for the project post.
3. **Duty and intellectual property rights:**
 - (i) Staff appointed in a project will be required to work under the PI of the project.
 - (ii) The outcome of any research under the project is the property of the project and is bound by the prevailing IPR Policy of the Institute and sponsors of the project. Any result can only be published with a prior written approval of the PI with due acknowledgement of the sponsors of the project.
 - (iii) On leaving the service, all documents relating to the project are required to be returned to the PI.
4. **Leave:** All project staff working on project shall be entitled for following types of

Sl No.	Type of leave	No of days (on pro-rata basis)
I.	Casual leave	08
II.	Medical leave	20
III.	Maternity leave	As detailed below
IV.	Paternity leave	15 (within 06 months of birth)
V.	Leave at the Discretion of PI	20
5. **Termination of engagement from the project:** During the period of project engagement of project staffs is liable to be terminated with one month's notice or payment of one month salary in lieu thereof. Likewise project staff too can resign by giving one month notice or salary in lieu of the notice period.
6. **Other conditions:** No plural marriage can be contracted without the permission of the Competent Authority. In case the project staff has more than one spouse living, the fact should be intimated before joining new appointment. Every employee of the project is deemed to have taken an oath of allegiance to India. The oath may also be administered to new appointee by the project investigator at the time of joining the project post.
7. **Residential accommodation:** The project staff may be allotted accommodation on the campus subject to availability otherwise they will be entitled as per the funding agency norms/Institute policy in vogue.
8. **Medical facility:** Medical facility shall be provided to the project staff as per the provisions as laid down for the students of IIT on payment of annual insurance charges (equivalent to the amount deposited by the students). However, cashless facilities to the

project staff for OPD in empaneled hospitals within Ropar is not permissible. The project staff can utilise the services of in-house medical facilities

9. Character certificate: At the time of joining the candidate will be required to produce a character certificate from a Class-1 officer.
10. Travelling allowance: No TA is admissible for joining the post or onleaving the service.
11. Medical examination: Before joining, project staff is required to undergo medical examination at IIT Ropar Hospital/any Government Hospital and produce a Medical Certificate from the Medical Officer/CMO about the present sound health and physical fitness in prescribed Form.

I accept the offer of project appointment to the project post of _____ as per the terms and conditions stated above.

Place :

Signature :

Name:

S/D/O:

Address:

Mobile:

Email:

PURCHASE RULES

1. INTRODUCTION

This manual outlines the procedure to be adopted for the purchase of various Goods and Services by the ICSR from the projects/consultancy fund. The purchases are made following a uniform, systematic, efficient and cost effective procedure, in accordance with the relevant rules and regulations of the Government and approval by the Board of Governors of IIT Ropar.

1.1. Fundamental Principles of Public Buying

Every authority delegated with the financial powers of procuring goods in public interest shall have the responsibility and accountability to bring efficiency, economy, and transparency in matters relating to public procurement and for fair and equitable treatment of suppliers and promotion of competition in public procurement.

The procedure to be followed in making public procurement must conform to the following yardsticks: -

- Public buying should be conducted in a transparent manner to bring competition, fairness and elimination of arbitrariness in the system. This will enable the prospective tenderers to formulate competitive tenders with confidence.
- The specifications in terms of quality, technical requirements, nature of items *etc.*, and quantity of goods to be procured, should be clearly indicated keeping in view the specific purpose/objective and needs of laboratory/Department/Section of the Institute. The specifications so worked out should meet the basic needs of the laboratory/Department/Section without including superfluous and non-essential features, which may result in unwarranted expenditure. Care should also be taken to avoid purchasing quantities in excess of requirement to avoid inventory carrying costs.
- The tender document should clearly mention the eligibility criteria to be met by the tenderers such as minimum level of experience, past performance, technical capability, manufacturing facilities, financial position, ownership or any legal restriction *etc.*
- Offers should be invited by following a fair, transparent and reasonable procedure, relevant to the objective of the purchase.
- The procuring authority should be satisfied that:
 - i. The selected offer adequately meets the requirement in all respects.
 - ii. The price of the selected offer is reasonable and consistent with the quality required.
- Purchase should not be split to avoid obtaining approval of the appropriate competent financial authority.
- At each stage of procurement the authorized procuring authority must place on record, in precise terms, the considerations which weighed with it while taking the procurement decision.
- Restrictions on who is qualified to tender should conform to the extent

Government policies and be judiciously chosen so as not to stifle competition amongst potential tenderers.

- The procedure for preparing and submitting the tenders; deadline for submission of tenders; date, time and place of public opening of tenders; requirement of earnest money and performance security; parameters for determining responsiveness of tenders; evaluating and ranking of tenders and criteria for full or partial acceptance of tender and conclusion of contract should be incorporated in the tender enquiry in clear terms.
- Tenders should be evaluated in terms of the criteria already incorporated in the tender document, based on which tenders have been received. Any new condition, which was not incorporated in the tender document, should not be brought into consideration while evaluating the tenders.
- Sufficient time should be allowed to the tenderers to prepare and submit their tenders.
- Suitable provisions should be kept in the tender document allowing the tenderers reasonable opportunity to question the tender conditions, tendering process, and/or rejection of their tender and the settlement of disputes, if any, emanating from the resultant contract.
- It should be made clear in the tender document that tenderers are not permitted to alter or modify their tenders after expiry of the deadline for receipt of tender till the date of validity of tenders and if they do so, their earnest money will be forfeited.
- Negotiations with the tenderers must be severely discouraged, however, in exceptional circumstances, where price negotiations are considered unavoidable, the same may be resorted to, but only with the lowest evaluated responsive tenderer, and that too with the approval of the competent authority, after duly recording the reasons for such action.
- The name of the successful tenderer to whom the supply contract is awarded should be appropriately notified by the Purchase Section for the information of general public, including display at notice board, website for purchases above Rs. 25.00 lac.

1.2. Efficiency, Economy and Accountability

Public procurement procedures must conform to exemplary norms of best practices to ensure efficiency, economy and accountability in the system. To achieve this objective, the following key areas should be taken care of:

- (i) To reduce delays, each Department should prescribe appropriate time frame for each stage of procurement; delineate the responsibility of different officials involved in the purchase process and delegate, wherever necessary, appropriate purchase powers to the lower functionaries with due approval of the competent authority.
- (ii) Each Department should ensure conclusion of contract within the original validity of the tenders. Extension of tender validity must be discouraged and resorted to only in absolutely unavoidable, exceptional circumstances with the approval of the competent authority after duly recording the reasons for such extension.

- (iii) The Store and Purchase Section should bring into rate contract system for the common user items, which are frequently needed in bulk by various Departments. The Store and Purchase Section should also ensure that the rate contracts remain available without any break.
- (iv) The specifications of the item required must be finalized before sending the queries. Efforts should also be made to use standard specifications which are widely known.
- (v) Enquiry to the vendors can be sent through post or email. Oral enquiries are not permitted and hence should be avoided. All copies of letters/ emails to the vendors should be kept in the purchase files.
- (vi) Informal correspondence with vendors is not permitted.
- (vii) All the correspondence should be made by the Store and Purchase Section (SPS) / Chairman of the purchase committee.
- (viii) In case, the item is of proprietary nature, the requisite certificate to that respect must be issued by the indenter and countersigned by the Chairman of the purchase committee. The proprietary certificate should not be Model Number Based and also should not be issued as routine. Proprietary feature(s) should preferably be mentioned.
- (ix) In case, a specific item/ equipment is required, the reason for this should be fully justified, rather than issuing a proprietary certificate for a specific model/ item.
- (x) The payment and other terms should be clearly mentioned in the purchase order (PO) and in case of any deviation; prior approval of the competent authority should be obtained.
- (xi) Training, demonstration, *etc.* of the equipment which are not part of the purchase order, are not allowed. In case, the provision for training, demonstration, *etc.* is provided in the PO, it should be ensured that no hospitality is received from the vendor or the agent and the charges if any for the training/demonstration, if any, must be clearly indicated in the PO.
- (xii) No commercial discussions can be carried out by any employee(s) other than the purchase committee approved for this purpose.

2. DEFINITIONS

2.1. Goods and Services

The term 'Goods and Services' includes all articles, material, commodities, livestock, general furniture / laboratory furniture, fixtures, raw material, spares, instruments, machinery, equipment, industrial plant, chemicals, solvents, gases, glassware, stationery, liveries, and any other item meant for Research and Development under the project, both standard and non-standard.

It also includes Annual Maintenance Contracts (AMC) of goods and equipment purchased or otherwise acquired for the use of Institute , custom clearance and cargo handling and consolidation services, exporting of goods for warranty replacements/ repairs/ upgradation, specific scientific and technical services viz, professional consultant services, computer and network management, software and web design development services, special storage, communication facilities,

outsourcing activities relating to infrastructure, housekeeping, security, horticulture, empanelment of media agency including graphic designer, cartoonist, *etc.*, but excludes publications, periodicals for library, works related to engineering services, desk top printing (DTP), scanning, outputting, printing, binding, data entry work, packing and dispatching work.

- 2.2. **Approved format:** At different places in this document, reference is made to approved formats. All such formats recommended by the committee as and when required shall be approved by the Director/Dean-ICSR.
- 2.3. **Department:** In what follows, Department shall imply Department / Inter-Disciplinary Program / Centre / Central Facility / Section or any entity in the Institute which has a separately allocated budget.
- 2.4. **Project:** In what follows, project shall mean and include any sponsored research, consultancy project or any other activity which has a valid project number given by the Institute.
- 2.5. **Principal Investigator:** A Person of the Institute whose name is recorded as a Principal Investigator in the records pertaining to the project.
- 2.6. **Purchaser:** An individual who signs as purchaser or indenter in the purchase proposal form shall be referred to as a purchaser.
- 2.7. **Seller:** A seller refers to the company/ vendor/ dealer/ agent/ individual party from whom the Institute may potentially buy goods or services.
- 2.8. **Temporary Advance:** It is an advance which can be taken to meet contingent expenses on NCS/ LTAS/ CS/ Miscellaneous items.
- 2.9. **Rate Contract:** A rate contract (commonly known as RC) is an agreement between the purchaser and the supplier for supply of specific goods and allied services, if any, at specified price and terms and conditions during the period covered by the rate contract.
- 2.10. **Technical Evaluation Committee (TEC):** A committee constituted by the Competent Financial Authority for the purpose of technical evaluation of Bids. TEC will prepare the technical compliance statement.
- 2.11. **Purchase Finalisation Committee** A committee Constituted by the Competent Financial Authority for the purpose of finalisation of purchase.
- 2.12. **Imprest:** It is a rolling advance which is taken to meet day-to-day contingent expenditure of minor nature.

3. CLASSIFICATION OF STORES

All stores to be procured shall be classified into the following categories:

- 3.1. Non Consumables Stores:
 - 3.1.1. Permanent Assets (PA)
 - 3.1.2. Limited Time Assets (LTA)

3.2. Consumable Stores (CS)

3.1.1 Permanent Assets (PA)

Stores satisfying any one of the following conditions shall be classified as non-consumable stores:

Stores which are intended to be used over prolonged periods (five years or more) before becoming unusable, or obsolete.

Stores having a disposable value.

Stores which are sub-systems, or parts of an equipment, which can be potentially repaired and reused.

Stores which are either fabricated, or assembled equipment, and which if bought as a single item would have been classified Non-Consumable Stores.

All PAs must be entered in the Assets Register of the Institute and the NCS Stock Register of the appropriate Department. Examples: plant machinery, equipment, fabricated equipment, instruments, assembled instruments, motors, gas cylinder, workshop machines and furniture *etc.* (examples are indicative and not exhaustive).

3.1.2 Limited Time Asset (LTA)

Stores satisfying any one of the following conditions shall be classified as LTAS:

- (i) Stores costing any amount and having useful life of less than five years which rapidly lose their value/relevance with the lapse of time or have very little or negligible disposal value.
- (ii) Stores which can be upgraded either by replacing components/parts or which can be rendered obsolete by the release of new versions or editions.
- (iii) Stores which can be used over any period of time but costing less than Rs.10000/-excluding office furniture and fixtures.

All LTAs shall be entered in the Limited Time Asset Stores register of the Institute and in a separate Limited Time Asset Stock register in the appropriate Department.

Examples: Computers, laptops and other peripherals like computer accessories, software, printers, monitors, UPS, telephones, mobiles *etc.* (examples are indicative and not exhaustive)

3.2 Consumable Stores (CS)

Stores satisfying any one of the following conditions shall be classified as CS:

- (i) Stores which exhaust with lapse of time,
- (ii) Stores which are rendered unusable due to normal wear and tear,

- (iii) Stores which do not have significant disposal value, and
- (iv) Spares of equipment which do not fall either in the NCS or LTAS category.

The CS shall be entered in the CS Stock register of the appropriate Department. For projects, the CS shall be entered in the CS Stock register for the project.

Examples: Chemicals, Glassware, Plastic wares, hardware, stationery items, printer ribbons and cartridges, external hard drive, pen drive, RAM, ROMs, chips and electronic components like resistors, capacitors, connectors, electrical components like wire, switches, plugs, bulbs, cells, tool-bits and hand tools *etc.* (examples are indicative and not exhaustive)

If the spares are purchased for fabricating or manufacturing any equipment, such spares are to be treated as Non Consumable items. However, if a spare is purchased for repair of an equipment, such spare be treated as CS, provided such spare do not have any replacement value.

Note: In case of any ambiguity with respect to classification of stores, the same may be resolved by the following committee:

Dean, ICSR	-	Chairman
Head of the Department	-	Member
DR/AR, ICSR	-	Member
Director's Nominee	-	Member

4. FINANCIAL AND SANCTIONING POWERS

The following table gives the financial limits up to which the concerned officer has authority to approve purchases within the allocated budget of the Department/project. Such an officer shall be referred to as the Competent Financial Authority (CFA). It is the responsibility of the CFA to ensure that sufficient funds are available for the purchase and proper purchase procedure has been followed

Nature of Delegation	Competent Financial Authority	Powers delegated
FINANCIAL		
Petty purchases/ services (Cash Advances etc.). Purchase without quotation	Dean, ICSR	Upto a ceiling of Rs. 15,000/- per item and Rs. 45,000/- at one time
Purchase of General Stores/ Equipments and other items (Recurring / Non Recurring) through Purchase Procedures	HoD	Up to Rs. 1,00,000/-
	Dean, ICSR	Up to Rs. 3,00,000/-

Notes:

1. All the purchases of furniture should be done through Stores and Purchase Section after approval by the Dean ICSR.
2. The above limits apply to indigenous purchases as well as imports. For the purposes of imports, the Indian Rupees equivalent of the foreign currency on the date of sanction shall be considered.
3. All temporary contingent advances shall be adjusted as per the GOI Rules or guidelines approved by the BOG from time-to-time.
4. The financial and sanctioning powers as given above can be revised by the BOG from time-to-time.
5. For the purpose of this manual, Coordinator/Acting HOD shall exercise the same financial powers as the incumbent, unless decided otherwise by the Competent Financial Authority.

5. GENERAL PROCEDURES AND RULES FOR ALL PURCHASES/ ANNUAL MAINTENANCE CONTRACTS/RATE CONTRACTS

Purchase / up-gradation / exchange of equipment, components, office equipment, consumables, stationery, annual maintenance contracts, annual rate contracts for goods and services shall be affected through the following systems of purchase except where stated otherwise. This shall be applicable to all such purchases through the plan/ non- plan budget heads and through funds received from sponsored/ consultancy projects.

The purchases are classified into the following three categories:

- 5.1 Minor
- 5.2 Medium
- 5.3 Major

The following procedures shall apply to all purchases after taking administrative-cum-budgetary approval in the prescribed format/from the Competent Financial Authority.

Note: IIT Ropar plans to switch over to e-procurement in a phased manner in keeping with the GOI orders as contained in GFR.

5.1 Minor Purchase

5.1.1 Purchase of Goods without Quotations Valuing up to Rs. 25,000.00

Purchase of goods up to a value of Rs.25,000.00 (Rupees Twenty Five Thousand only) on each occasion can be made directly by the purchaser without inviting quotations/ bids with the approval of the Competent Financial Authority, based on a certificate recorded by him/her and signed in the following format. The purchaser will ensure that the prices are reasonable.

“I am personally satisfied that the goods purchased are of the requisite quality and specifications and have been purchased from a reliable supplier at a reasonable price.”

Name:

Designation and Department:

5.1.2 Purchase of Goods Valuing above Rs. 25,000 and up to Rs.1 Lac

The purchases for a total value of more than Rs. 25,000/- and up to Rs. 1.00 lac can be done through a purchase committee (PC) consisting of PI, two Faculty/Group A-Officers. This PC will be approved by subsequent higher authority. The PC will ensure and certify the reasonability of the price.

If necessary, the buyer may draw an advance up to Rs. 1.00 lac for making cash purchases while ensuring no single payment will exceed Rs.15,000/-.

If the payment to vendor is Rs. 15,000/- or more, the payment must be through cheque/online-transfer. If recommended by the purchase committee, payment through cheque may be made to the supplier against proforma invoice. The amount shall be treated as advance in the name of buyer. The buyer shall submit CS or PA / LTA form as the case may be and settle the advance immediately.

5.1.3 Purchase above Rs.1.00 Lac and up to Rs.2.50 Lac [Purchase committee with quotation(s)]

The composition of the purchase committee for the purchase of items for a total value up to Rs.2.50 lac (excluding the freight, insurance, bank charges, custom duty *etc.*) shall consist of at least three PI, two faculty members/Group A officers. The Committee shall be approved by the subsequent higher authority.

In case of purchase on the basis of three quotations, the committee will survey the market to ascertain the reasonableness of rates, quality and specifications and identify the appropriate supplier and collect quotation(s). *There will be no limit for minimum number of quotation(s).* Before recommending placement of the purchase order, the PC will jointly record a certificate duly signed as under:

“Certified that we the members of the purchase committee are jointly and individually satisfied that the goods recommended for purchase are of the requisite specification and quality, priced at the prevailing market rate and the supplier recommended is reliable and competent to supply the goods in question.”

<i>Name</i>	<i>Name</i>	<i>Name</i>
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<i>Designation and</i>	<i>Designation and</i>	<i>Designation and</i>
<i>Department</i>	<i>Department</i>	<i>Department</i>

The committee with prior approval of CFA can purchase on the spot, in case, the item is required urgently.

Note: Minor purchases can be ordered from online stores duly ensuring the reasonability of the price.

5.2 Medium Purchase

5.2.1 Medium Purchase above Rs.2.50 Lac and up to Rs.25.00 Lac

Where the sources of supply are known for purchases costing more than Rs.2.50 lac but less than Rs.25.00 lac purchase will be done through a purchase committee of at least 4 members with at least one representative from Accounts/Purchase, ICSR and approved by the Dean, ICSR. The Departments can also get Standing Purchase Committee (SPC) approved from the CFA for a maximum period of *one year* to make such purchase. The Notice Inviting Tenders (NIT) along with specifications will also be displayed on the Institute website and *Central Public Procurement Portal (CPPP)*. Copies of NIT shall also be sent directly by speed post/courier/ email to the approved/ reputed suppliers of the requisite goods. The website address should be given in the tender notice. Normally 3 to 4 weeks period should be provided for opening of each tender. The number of quotations in limited tender enquiry should normally be 3 or more. However, in case lesser number of quotations are received, the committee can recommend the purchase with justification if the PC feels that there are not many suppliers.

5.2.2 Purchase Procedure for Purchases through Limited Tender Enquiry

The following purchase procedure shall be adopted for minor and medium purchases

- i. The buyer to propose a purchase committee and get it approved by the CFA
- ii. Quotations may be invited or received either through post/courier service/ email/ fax.
- iii. The Purchase Section must invite quotations by putting the requirement on the Institute Website/ CPP Portal for medium purchases. The minimum time to be allowed for submission of bids should be two weeks for medium purchase.
- iv. Normally, a medium purchase shall be processed on the basis of at least 3 quotations. However, the Director can relax this condition on enough grounds on the recommendations of the PC.
- v. The accepted quotations will be signed in ink on the original quotations and only accepted price on the comparative statement. Also,

- a justification for the particular price choice, being the lowest quotation or on technical grounds should be recorded on the minutes.
- vi. The Purchase Section shall obtain the financial sanction after getting the proposal pre-audited from the Audit Section.
 - vii. The Purchase Section shall then place the PO.
 - viii. Submission of CS or PA / LTA form as the case may be to make asset entry/release the payment soon after the receipt of material or successful installation of the equipment as the case may be or within fifteen working days failing which assets entry will be made in the name of the buyer/ indenter in absence of a proper justification.
 - ix. Quotations shall be invited by the Stores and Purchase Section as per the prescribed procedures. Indenter/Purchaser will send approved indent, with detailed specifications for inviting quotations to Store and Purchase Section. The enquiry letters should be sent to maximum vendors (almost all available vendors) to have competitive rates. Quotations can be called and received by hand/ by registered post/speed post/courier service in sealed cover. Typically, the NIQ should be invited with the following details:
 - (a) The name and specifications of the item(s)
 - (b) Quantity to be purchased
 - (c) The date, time and place for the submission of the quotations
 - (d) The date and time when the quotation(s) will be opened
 - (e) The date by which delivery of the items is expected
 - (f) Warranty requirements
 - (g) Requirement of test certificate, if any
 - (h) Statutory requirements with respect to pollution, emission, noise, *etc.*
 - (i) Training, technical support, after sales service and annual maintenance contract requirements, if any
 - (j) Period of validity of quotation
 - (k) Special requirements of packing and marking, if any
 - (l) Normal payment terms of the Institute
 - (m) Tax exemptions applicable
 - (n) Installation and commissioning of machinery/ equipment will be done free of cost by the vendor and it will be his responsibility for the complete running of machinery/equipment on its receipt in the Institute
 - (o) It should be clearly mentioned that material/ equipment will be supplied CIP New Delhi airport or FOR IIT Ropar
 - (p) It should include liquidated damages clause in case of delay in supply
 - (q) Any other special terms and conditions which are applicable. An approved format available for this shall be used

5.3 Major Purchase above Rs. 25.00 Lac

Any purchase above Rs. 25.00 Lac shall be through Purchase Finalization

Committee (PFC).

The composition of the PFC is as under:

- a. Chairperson (to be approved by Dean, ICSR/CFA)
- b. Buyer (concerned PI)
- c. Two experts to be proposed by the PI and approved by the Dean, ICSR/CFA

Note: For purchase above Rs. 1.00 Crore, one of the experts should preferably be external.

- d. DR / AR (Accounts)/Nominee
- e. DR / AR (Stores)/ Nominee

A Technical Evaluation Committee (TEC), Sub Committee of PFC shall be constituted for technical evaluation of bids. The composition of TEC shall be:

- i) Chairperson (same as in PFC)
- ii) Buyer (concerned faculty/PI/Official)
- iii) Two experts (same as in PFC)

5.3.1 Purchase Procedure for Major Purchases

The following purchase procedure shall be adopted:

- (i) The buyer to propose a Purchase Finalization Committee (PFC).
- (ii) Chairman will be nominated by the CFA.
- (iii) On approval, the Buyer will call the first meeting of the TEC in consultation with the Chairperson. In this meeting, the TEC shall discuss and finalize the specifications of item(s) and any other technical point considered relevant.
- (iv) The buyer shall submit the indent to the Purchase Section with the detailed technical specifications finalized by the TEC.
- (v) The Purchase Section must invite quotations by putting the requirement on the Institute website, Central Public Procurement Portal (CPPP) along with one national daily having wide circulation. The minimum time to be allowed for submission of bids should be three weeks.
- (vi) The bids should be invited under two bid system.
- (vii) The TEC shall open and examine the technical bids only. If required, they may invite the bidders for clarifications on the technical aspects only.
- (viii) Financial bids only of those vendors shall be opened by the PFC who have been recommended by TEC on technical grounds.
- (ix) The financial bids shall be opened in the presence of at least two members of PFC.

- (x) All the quotations will be signed, and amount circled by the officials present at the time of opening.
- (xi) A comparative statement shall be prepared by the Purchase Section and the same along with the quotations will be submitted to the PFC for necessary recommendations.
- (xii) The PFC will finalize and recommend the purchase after deliberations.
- (xiii) The PFC may negotiate with the vendor (L1: lowest bidder), if felt necessary with prior approval of the CFA.
- (xiv) The Purchase Section will prepare the Sanction Sheet for the recommended items and send to Audit Section for Pre-Audit.
- (xv) The Audit shall pre-audit the Sanction Sheet and certify the availability of funds in the budget head. Thereafter, approval for the purchase shall be obtained by the Purchase Section from the CFA and the purchase order (PO) duly stamped “checked” shall be sent to the vendor.
- (xvi) SPS must obtain the consent of the vendor to supply the material within the stipulated time. In case, the vendor fails to give the consent or supply the material within stipulated time, the PFC may negotiate with the second lowest bidder to supply the material as per the offer of the lowest bidder.

Note:

- a. The main emphasis of the PFC will be on the time saving and therefore, it is left to the Committee to organize its proceedings once constituted.
- b. The PFC should preferably complete the purchase process within the original valid period of PFC (i.e. 4 months).
- c. Extension of validity of PFC will be given only in exceptional cases.
- d. Buyer should ensure availability of proper space/infrastructure for installation of the equipment.
- e. Bid document be prepared/floated (duly vetted by the Audit, if required).

i. Advertised Tender Enquiry

- (i) Subject to exceptions incorporated under Rule 154,155,162 and 166, invitation to tenders by advertisement should be used for procurement of goods of estimated value of Rs. 25 lakhs (Rupees Twenty Five Lakh) and above. Advertisement in such cases should be given on Central Public Procurement Portal\ (CPPP) at www.eprocure.gov.in and on GeM. An organisation having its own website should also publish all its advertised tender enquiries on the website.
- (ii) The organisation should also post the complete bidding document

- in its website and on CPPP to enable prospective bidders to make use of the document by downloading from the web site.
- (iii) The advertisements for invitation of tenders should give the complete web address from where the bidding documents can be downloaded.
 - (iv) In order to promote wider participation and ease of bidding, no cost of tender document may be charged for the tender documents downloaded by the bidders.
 - (v) Where the Ministry or Department feels that the goods of the required quality, specifications etc., may not be available in the country and it is necessary to also look for suitable competitive offers from abroad, the Ministry or Department may send copies of the tender notice to the Indian Embassies abroad as well as to the foreign Embassies in India. The selection of the embassies will depend on the possibility of availability of the required goods in such countries. In such cases e-procurement as per Rule 160 may not be insisted.
 - (vi) Ordinarily, the minimum time to be allowed for submission of bids should be three weeks from the date of publication of the tender notice or availability of the bidding document for sale, whichever is later. Where the Department also contemplates obtaining bids from abroad, the minimum period should be kept as four weeks for both domestic and foreign bidders.

6. MODES OF TENDER

Tenders can be invited in Single Bid or Two Bid System as per the details given below:

6.1 Single-Bid System

This mode of enquiry can be used where the nature of item to be procured is not technical in nature and the item is a standardized one, value of the item is not much, and no eligibility condition is required to be met by the vendors. In this case, the vendors will be directly quoting the rates with complete specifications.

6.2 Two-Bid System

For purchasing capital equipment, high value plant, machinery *etc.* of complex and technical nature, bids may be invited in two parts. Tender enquiry document, complete in all respects, may be issued. However, the tenderers should be asked to bifurcate their quotation in two parts as under:

- a) First Part- Technical Bid consisting of Tender fee, Earnest Money Deposit and all technical details along with commercial terms and conditions as required in the tender enquiry documents.
- b) Second Part- Financial Bid indicating item wise price of the items mentioned in the Technical Bid.

Note: Financial bids should be obtained in the prescribed format only provided to the bidders as part of the tender document.

The technical bid and the financial bid should be sealed by the bidder in separate envelopes duly superscribed and both these sealed envelopes are to be put in a bigger cover which should also be sealed and superscribed. The technical bids are to be opened in the first instance, at the prescribed date and time. The same will be scrutinized and evaluated by the Technical Evaluation Committee (TEC) with reference to the parameters prescribed in the tender documents and the offer(s) received from the Tenderers. Technical comparative charts shall be prepared by the concerned indenter(s)/ purchaser(s). Thereafter, in the second stage, the financial bids of only technically qualified parties (as decided in the first stage above) are to be opened for further scrutiny, evaluation, ranking and placement/ award of order/ contract. Tenders without Tender fee / EMD shall not be opened.

6.3 Single Tender Enquiry

Procurement of goods on single quotation basis can be followed in the following circumstances:

- (i) It is in the knowledge of the user Department/Centre/School that only a particular firm is the manufacturer of the required goods or proprietary item.
- (ii) In case of emergency, the required goods are necessarily to be purchased from a particular source. The reasons for such decisions to be recorded and prior approval of the competent authority be obtained before effecting the purchase.
- (iii) In case, the purchaser recommends the purchase from a specific vendor on the basis of his/her experience/usage and requirement for a specific research purpose that cannot be made with alternate make/model of the equipment.
- (iv) For standardization of machinery or spare parts to be compatible with the existing sets of equipment, the required item is to be purchased only from a selected firm.
- (v) The indenter should provide a certificate that the price quoted by the firm is reasonable and the same is a proprietary item.

Purchase of items of a proprietary nature (i.e. item which do not have substitutes or are spare parts of existing equipment for which substitute replacements are not available) can be done on the basis of a single quotation irrespective of the value of the item. In such cases, the purchaser must furnish a proprietary certificate countersigned by the Head of the concerned or associated Department/Centre/School. If the total value of the item is more than Rs. 1.00 lac, a proprietary certificate must be obtained from the supplier stating that they are the only source of supply /manufacture.

6.4 Repeat Orders

In exceptional circumstances where the requirement of the purchaser is the same as to the specifications and quantity *etc.* of an already issued P.O., with the prior permission of the CFA, purchase can be processed on repeat order basis subject to the following conditions:

- (i) Proper purchase procedure (invitation of quotations by limited/advertised tender enquiry) has been followed for the original order.
- (ii) There cannot be more than two repeat orders.
- (iii) The repeat order can be made without any change in the rates, specifications, quantity as well as terms and conditions of supply in each case. The quantities of the repeat orders can be lesser but in no case, it can exceed the original order.
- (iv) The repeat order can be placed within 180 days from the date of the issue of original order only after ensuring from the vendor that there is no reduction in the price of the item(s) and the vendor is ready to supply the material without any increase in the rates.
- (v) No repeat order will be placed if buy-back is involved in the purchase.
- (vi) Efforts to be made to obtain rebate (quantity discount) from the supplier on the previously ordered prices.

6.5 Purchase of Goods on Rate Contract

A Rate Contract (commonly known as RC) is an agreement between the purchaser and the suppliers for supply of specific goods and allied services, if any, at specified price and terms and conditions during the period covered by the Rate Contract. Rate contracts with the registered suppliers, for goods and items of standard types which are identified as common user items and are needed on recurring basis by various Departments/Centre/Schools will be entered by SPS. The discounts, delivery period and other terms and conditions shall be negotiated by a committee constituted by the *Director*. The recommendations of the committee shall be approved by the *Director* before they are formally adopted. The period of validity of the Rate contract shall be counted from the date; the rate contract is formally adopted. The process for entering into rate contract arrangements shall be initiated by SPS.

6.6 Purchase under Buy Back Scheme

When it is decided with the approval of the CFA to replace an existing old item with a new and better version, the Institute may trade the existing old item while purchasing the new one. For this purpose, a suitable clause is to be incorporated in the bidding document so that prospective and interested bidders formulate their bids accordingly. Depending upon the value and condition of the old item to be traded, the time as well as the mode of handing over the old item to the successful bidder should be decided and relevant details in this regard suitably incorporated in the bidding document. Further, a suitable provision should also be kept in the bidding document to enable the

purchaser either to trade or not to trade the old item while purchasing the new one. If any item is purchased under buy back scheme for old one, quotations are to be invited clearly mentioning the specifications of old and new item asking for the buyback offer from the vendor. A condemnation report is to be filled up in GFR-17 form for old item, signed by all members of condemnation / write-off committee, approved by the *Director* and finally to be sent to SPS along with purchase indent.

6.7 Upgradation

In case of Upgradation of assets, the old asset which has been upgraded will be treated as written-off i.e., its value will be written-off from the records. The upgraded new asset will be entered in the records and the sum of cost of old asset and the additional cost paid, will be considered as cost of the upgraded asset.

7. TENDER FEE, EARNEST MONEY DEPOSIT AND PERFORMANCE BANK GUARANTEE

7.1 Tender Fee (applicable in case of Press Tender only)

For purchases with estimated value >Rs.25.00 lac but <Rs. 50.00 lac - Rs.500/-

For purchases with estimated value >Rs.50.00 lac but <Rs. 100.00 lac-

Rs.1000/-

For purchases with estimated value Rs.100.00 lac and above – Rs.2000/-

7.2 Earnest Money Deposit (EMD)

For purchases with estimated value up to Rs.5.00 lac - No EMD

For purchases with estimated value >Rs.5.00 lac - 2 to 5% of the estimated cost in form of DD, TDR or BG

7.3 Performance Bank Guarantee (PBG) to be submitted by the successful bidder(s)

For purchase of equipment up to Rs.10.00 lac- No PBG

For purchase of more than Rs.10.00 lac -10% of the ordered value

8. LATE BIDS

8.1 Any bid received after the deadline, prescribed by the Institute for submission of bids, will be rejected.

8.2 Such tenders shall be marked as late and not considered for further evaluation. They shall not be opened at all and be returned to the bidders in their original envelope without opening. A photocopy of the envelope must be kept in

record.

9. WITHDRAWAL, SUBSTITUTION AND MODIFICATION OF BIDS

- 9.1 A bidder may withdraw, substitute, or modify its bid after it has been submitted by sending a written notice duly signed by an authorized representative. The corresponding substitution or modification of the bid must accompany the respective written notice. All notices must be: clearly marked with Tender Notice No. ___ “WITHDRAWAL,” “SUBSTITUTION,” or “MODIFICATION;” and received by the Institute in sealed envelope prior to the deadline prescribed for submission of bids.

10. RECEIPT OF TENDERS

- 10.1 Tenders are received either through post or courier or by hand.
- 10.2 The tenders shall be dropped in the tender box, which shall remain locked, and its keys with the Chairperson, Tender Opening Committee.
- 10.3 If a tender received in a cover without any superscription about its contents, is opened by any official receiving it, he /she shall himself/herself mark on the cover the tender number, the date of its receipt, the date of its opening, shall sign it and cause it to be delivered to the Purchase Officer ICSR before the opening date.

11. POSTPONEMENT OF THE TENDER OPENING DATE

Requests for the postponement of tender opening date shall not normally be entertained. In rare cases however, if the response to a tender notice is poor, a decision to postpone the opening date of the tender by a minimum of 15 days may be taken by the competent authority. The extension so granted may be intimated to all the concerned so that adequate response is received.

In case, where the response to limited tender enquiry is poor (if the response is only from one or two bidders, it is considered poor), and the purchaser/ indenter feels that one more attempt should be made, in that case, the offer(s) received should not be opened and advertised tender enquiry / limited tender method can be resorted to as per decision of the Competent Authority. The bidders who responded to the limited tender enquiry must also be informed that their tenders shall also be considered along with the tenders received through advertised tender/ limited tender method enquiry. If a decision is taken to change the specification to make it broad-based, the bidders who had responded to limited tender enquiry shall be asked to bid again as per the revised specifications. Any exception to this should have the approval of the Director or the competent authority.

12. OPENING OF TENDERS

- 12.1 Quotations must be opened by the Tender Opening Committee (TOC) in the presence of the bidders whosoever may wish to be present. All quotations must be signed with date by all members of the Tender Opening Committee. Signatures of the

TOC are necessary on the covering envelope, financial part of the bid and the part which contains the terms and conditions.

12.2 There shall be a standing TOC comprising PI/his nominee, DR/AR Admn ICSR nominee, nominee of DR/ AR accounts ICSR for opening of quotations of all the purchases.

12.3 In case of Withdrawal / Substitution / Modification, first, envelope marked “WITHDRAWAL” shall be opened and read out and the envelope with the corresponding bid shall not be opened, but returned to the bidder. No bid withdrawal shall be permitted unless the corresponding withdrawal notice contains a valid authorization to request the withdrawal and is read out at bid opening. Next, envelopes marked “SUBSTITUTION” shall be opened and read out and exchanged with the corresponding bid being substituted, and the substituted bid shall not be opened, but returned to the bidder. No bid substitution shall be permitted unless the corresponding substitution notice contains a valid authorization to request the substitution and is read out at bid opening. Envelopes marked “MODIFICATION” shall be opened and read out with the corresponding bid. No bid modification shall be permitted unless the corresponding modification notice contains a valid authorization to request the modification and is read out at bid opening. Only envelopes that are opened and read out at bid opening shall be considered further. The bidders’ names, bid modifications or withdrawals, bid prices, discounts, and the presence or absence of requisite bid security and such other details will be announced at the opening. No bid shall be rejected at bid opening, except for late bid(s). The contents of the bid forms and price schedules would however be announced.

12.4 The SPS shall use approved formats for the opening of quotations and take attendance of the members of the TOC and the representatives of the bidders present there. The bidders' representatives who are present shall sign the quotation opening sheet evidencing their attendance. In the event of the specified date of bid opening being declared a holiday, the bids shall be opened at the appointed time and location on the next working day.

Separate notice for opening of the commercial bids needs to be sent to the bidders well in time. Opening of the tenders without informing the bidders is strictly prohibited.

The officer opening the tenders shall read out the following particulars for the information of the representatives attending the tender opening.

- Name of the firm
- Description of the quoted model(s)
- Price
- Whether the price is inclusive of taxes and duties or exclusive
- Discount offered

- Delivery schedule
- Any other extra charges quoted for packing, transport *etc.*
- Terms of delivery
- Warranty obligations

All the pages of the tender bids have to be initialed by the TOC. Alterations/ corrections in the tender bids should be initialed by the officers opening the tender. A similar procedure shall be followed wherever any erasing/ cutting is observed.

Any correction in the price quoted in the tender both in the words and figures shall be circled in red ink by the representative of finance and signed. The members of the TOC shall endorse this. If there is any discrepancy between the price quoted in figures and words, whichever is the higher of the two shall be taken as the bid price.

13. EVALUATION OF TENDERS

Evaluation criteria should be clearly mentioned in the tender document/NIQ. A neat comparative statement of the tenders opened shall be made by the Purchase Section. It shall contain details like rate, delivery schedule, make, taxes *etc.* and finally the total quoted price. The final landing cost of purchase after all discounts, taxes and transportation charges *etc.* must be mentioned on the comparative statement for indigenous items and ex-works, FOB, CIF price for imported items. The comparative statement shall be without any cuttings and erasers and shall neatly give the quoted price both in figures and words. When bids are received in different currencies, the comparative statement shall clearly give the exchange rate on the date of opening of the bid and the quoted price in rupees.

Evaluation of tenders must be done in a logical manner. It is not always necessary that the lowest quoted price shall finally emerge as the lowest evaluated price. The evaluation of tenders is a serious exercise which should not be done mechanically. Extraneous considerations, that is, the considerations that were not mentioned in the technical bid, shall not be a cause for rejecting a tender as non responsive.

If the bidder has quoted certain optional items, these items should not be taken into consideration for the evaluation of the financial bid.

A tender shall not be rejected simply because certain details which do not have any impact on the price quoted are missing. In such case a quick reference can be made by the committee, to the concerned bidder for proper evaluation of the tender.

The evaluation report shall clearly bring out (but not limited to the following):

- The technical acceptability of the offer

- The reasonability of the price quoted
- The delivery period offered
- Warranty obligations
- Annual maintenance after the warranty period
- Discount offered
- Any additional item offered
- Training
- Installation and commissioning

No tender shall be technically rejected on the basis of unsatisfactory service during earlier purchases without any documentary proof.

13.1 Separate Evaluation of Technical and Financial Bids

All scientific equipment of high value or as recommended by the indenter shall be purchased by adopting two-bid system either through open tender or through limited tender. In this system the bidders are asked to send their technical bid with tender fee and EMD and financial bids in two separate sealed envelopes. The technical bids are opened first and analysed for acceptability by a separate technical committee. At this stage, the tenderers could also be called for technical discussion.

The price bids of those bidders who are found technically acceptable shall be opened and evaluated.

It must be normally ensured that at least two or more bidders become technically suitable in all such cases unless there are compelling technical reasons to decide otherwise. In such circumstances the technical committee should give detailed reasons as to why such a choice is being made.

14. CONFIDENTIALITY

Information relating to the examination, evaluation, comparison and recommendation to award the purchase order (PO), should not be disclosed to the bidders or any other person(s) not officially concerned with such purchase at any stage.

15. DISQUALIFICATION OF BIDDERS

Any effort by a bidder to influence the purchaser in the examination, evaluation, comparison of the bids or in decision making may result in disqualification of bid.

16. PRELIMINARY EXAMINATION

16.1 The Purchase Section and purchaser shall examine the bids to confirm that all documents and technical documentation requested in tender document have been provided and to determine the completeness of each document submitted.

16.2 The Purchase Section shall confirm that the following documents and information have been provided in the bid. If any of these documents or information is missing, the offer shall be rejected.

- (a) Bid form and price schedule, in accordance with tender document
- (b) All the tenders received will first be scrutinized to see whether the tenders meet the basic requirements as incorporated in the tender enquiry document. Tenders not meeting the basic requirements are to be treated as unresponsive and hence rejected. Some of the important points are as follows, for which a tender may be declared as unresponsive and to be rejected during the initial scrutiny:

Bid is unsigned

Bid's validity is shorter than the required period

Bidder has quoted for goods manufactured by a different firm without the required authority letter from the proposed manufacturer

Bidder has not agreed to give the required performance security

Goods quoted are not meeting the required specification *etc.*

Bids are against the schedule of requirement (incorporated in the tender enquiry), the tenderer has not quoted for the entire requirement as specified in that schedule

Tenderer has not agreed on some essential condition(s) incorporated in the tender enquiry

Conditional Tenders will be rejected

17. COMPARATIVE STATEMENT AND RECOMMENDATIONS FOR PURCHASE

17.1. The Stores and Purchase ICSR Section after opening the quotations shall make comparative statement and send to the concerned indenter/ purchaser of Institute for making recommendations to place the order. If required, the SPS can take the help from the purchaser/ indenter for the preparation of the comparative statement. Technical compliance statement shall be prepared by the purchaser/indenter(s).

17.2. In all purchases with multiple quotations, the report of the purchaser/purchase committee should include the following:

- a) A comparative statement of all dealers/ sellers indicating all taxes, freight, forwarding *etc.* (i.e. the total cost of the purchase).
- b) The party from whom the purchase is recommended.

- c) If the purchase is not recommended based on lowest quotation, the reason(s) thereof shall be explicitly stated.
- d) Any other relevant information. The report, complete in all respects, along with associated documents shall be sent to the SPS.

18. PRE-AUDIT OF PURCHASE PROPOSALS

All the purchases exceeding Rs. 2 lac (Rupees Two lac only) must be pre-audited by the Internal Audit (IA) Section. This will be applicable for direct purchases as well as purchase through the SPS. For purchases valuing up to Rs 2 Lac, audit will be done by the Audit Section randomly.

19. NEGOTIATIONS

Normally, negotiations should not be done with the bidders. However, if the purchaser feels that the quoted price can be reduced further, he can recommend negotiation with the lowest bidder only and do the negotiation with prior approval of the CFA.

20. PURCHASE SANCTION AND RECEIPT OF ITEMS

The sanction sheet for all purchases except those in serial no 5.1.1 must be approved by the CFA. These sanction sheets shall be prepared by the SPS. The sanction sheet thus prepared along with all associated documents shall be sent for pre-audit prior to approval by the CFA. Based on the approved sanction sheet, the purchase order shall be prepared by SPS.

If for any reason, a financial change in the purchase order is required, the request for such a change shall be thoroughly examined by IA and shall be approved by the CFA before the change is issued in the form of an amendment to the original purchase order by the SPO.

21. PLACEMENT OF ORDER

21.1. For all purchase exceeding Rs.10.00 lac, once the purchase proposal is approved by the competent authority, the purchase order will be sent to the auditor for scrutiny and vetting. Later, the same will be forwarded to the accounts Section for noting the commitment / availability of fund / validity period of the project to reserve the fund towards purchase of the item(s). The purchase order can then be released to the vendor. It shall contain the make and model of the item with description, rate, quantity ordered, amount and terms and conditions like delivery schedule, place of delivery, payment terms, taxes and duties, any other charges like packing, forwarding, transportation, insurance *etc.*, discounts offered by the firm, warranty period, training (if any), commissioning and installation of equipment *etc.* The order shall also contain the inspection procedures to be followed for inspecting the ordered

goods for acceptance and the probable time needed for inspection. Orders shall be e-mailed and dispatched to the vendors with an instruction that the vendor has to send an acknowledgement duly signed by email or post within 15 days from the date of issue of order as a token of the acceptance of the order.

- i. In case, the order confirmation is not received within fifteen days, it shall be presumed that the vendor has not accepted the order and further action has to be initiated as per the conditions given in the NIQ. The copies of orders shall be sent to stores, indenting Departments/ Centre/School and Finance Department.
- ii. All purchases, except those listed above at serial no 5.1.1 and 5.1.2, shall be made through a purchase order placed on the seller by the SPS of the Institute, who shall be responsible for receipt of goods and the subsequent delivery of the goods to the purchaser along with copies of IR. The purchaser shall return the IRs within 15 days after recording appropriate comments.
- iii. Inspection Reports (IR) must be returned to Store Purchase Section duly approved or rejected within fifteen days, otherwise it will be presumed that material supplied is acceptable to the purchaser and necessary action will be taken for making the payment to the firm.
- iv. The SPS shall be responsible for clearance of all consignments at railway stations, sea, airport, transport godowns and safe transportation and storage. Insurance of items shall be done before dispatch either by the seller or SPS
- v. Normally, the delivery of items purchased shall be done at the *ICSR Stores*. However, in exceptional situations, the suppliers may deliver the items directly to the purchaser in which case the purchaser shall be responsible to inform the SPO about such delivery within three days of receipt of such items.
- vi. Once the purchase has materialized satisfactorily, the items must be entered in the appropriate stock register of the Department/ project and in the Asset Register of the Institute, where ever relevant.
- vii. Any increase in the price of item(s) ordered which is directly and entirely attributable to fresh imposition or increase in Government levies and taxes may be allowed subject to furnishing of sufficient valid written proof by the supplier.
- viii. The Director may at his/her discretion permit deviations from any of the above provision if he/she is satisfied that these deviations are in the interest of the Institute and that the insistence on the above provisions can cause inconvenience and delay.
- ix. All purchases/rate contract arrangements will be audited by the Internal Audit Section (IA) of the Institute except in the following circumstances.
 - Individual purchases done as per an existing rate contract arrangement

- A repeat order
- All purchases covered under DGSandD Rate contracts

21.2. Follow-up of Orders

Once the order has been placed, it is the duty of the SPS and the purchaser to ensure that the vendor supplies the material in time. SPS/ purchaser shall continuously be in touch with the vendor and in the event, the material is not received in time; the vendor shall immediately be contacted to ensure that the material is received as quickly as possible.

SPS shall also keep a list of vendors who are habitual defaulters or supply sub-standard material. A prompt action should be taken to blacklist such vendors.

22. RECEIPT OF MATERIALS

The receipt of all ordered material has to be made by the Departments/ Centres/School/Stores Section and a report of such receipts must be sent to the SPS. Similarly, the information like clearance from Air/ Sea port/ transporter *etc.* has to be intimated to the user Departments.

Stores should maintain a Stores Receipt Advice (SRA) which should include all relevant information about the receipt of materials be sent to the (User Group) indenting Department and the purchaser immediately and a copy of the same can be retained in the stores.

23. INSPECTION OF MATERIALS

The indenter shall inspect the materials as soon as it arrives and shall normally adhere to the schedule given by him at the time of placing the indent. Normally, the concerned indenting Department should ensure completion of inspection within 15 days. For imported equipment, the packing may be opened in the presence of the Indian agent to avoid short/ damaged supply due to improper packing. In any case, the inspection shall be completed within the validity period of the insurance policy so that the claims for shortage/ damage, if any, can be lodged with the insurance company within 48 hours. Failure to inspect the material within the time schedule shall make the Indenter responsible for the loss. Once the inspection is complete and the indenter certifies the inspection report and ensures that the same is sent to Purchase Section within 3 working days after the inspection is over. A copy may be sent to accounts within 7 working days for payment and then the accounts must arrange payment to the vendor within 7 working days from the date of receipt of bill. If for any reason, the payment is held up beyond the period stipulated, the matter shall be brought to the notice of the concerned Indenter.

24. PAYMENT TERMS

24.1. The payment terms shall be as approved by the CFA in the sanction sheet. However, normal payment terms for indigenous purchases shall be 90% within 30 days of delivery of the items and the remaining 10% after satisfactory installation/ inspection. Terms of payments may be changed from item to item basis; for example, fabricated equipment, stationery and furniture

etc.. For such items, the payment may be made 100% against delivery subject to the inspection and approval by the competent authority.

- 24.2. Payment terms against dispatch documents through bank are not allowed as far as possible keeping in view the risk involved. However, this may be allowed for Government Firms.
- 24.3. In the case of indigenous supplier, any advance payment to the seller (i.e., private firm) shall normally be made only against a bank guarantee of the requisite amount. Any deviation from this or advance payment shall be specifically approved by the Director.
- 24.4. If the payment term is against delivery/ COD (Cash-on-Delivery) then after receiving the goods, indenter shall inform SPS to release the payment after being satisfied.
- 24.5. For balance payment, after receipt of satisfactory IR, the items must be entered in appropriate stock register. The SPS will submit the necessary document within one week to Accounting Section for release of payment. The AS will ensure that the payment due is released within 7 working days through cheque/draft/electronic transfer directly to the seller.
- 24.6. Payments against foreign procurements shall be decided on case to case basis as per the recommendations of the indenter/purchaser keeping in view the requirements. Payments equivalent \$10,000/- can be made by wire transfer/ foreign Draft. *Payment exceeding \$10000/- shall be made through LC / Sight Draft.*
- 24.7. A copy of the payment transfer must be sent to Store and Purchase Section for information and placing in the concerned file.

25. LIQUIDATED DAMAGES (LATE DELIVERY)

There should be a suitable provision in the terms and conditions of the contract for claiming liquidated damages of appropriate amount from the supplier to take care of delays in supplies and performance, for which the supplier is responsible. Such recovery through liquidated damages should be without prejudice to the other remedies to the purchaser under the terms of the contract.

A penalty clause for a penalty of 1% of the delivered price of the delayed goods for each week or part thereof subject to a maximum of 10% of the ordered value is to be incorporated in the contract terms. If the payment term is 100% against delivery and if there is delay in supplying the material then a cheque of penalty amount must be taken from the seller in favour of the *IIT Ropar RandD account*.

However, *Dean ICSR/Director* can extend the delivery period if he/she is satisfied that the reasons for delay in supply of material intimated by the supplier are genuine/ justified.

26. DUTIES and TAXES

Any concession on taxes and levies such as excise duty, custom duty and sales tax granted by the state/central Government in procurement of any item must be availed. The SPS shall obtain all such information and apprise all concerned about the applicability of tax/levy rates and charges brought about, if any, from time to time. The SPS shall issue the required declaration/certificate to this effect for all purchases on demand and account for all such issues and furnish the required report to the Government Agencies, as and when required.

Presently, the applicable concessional custom duty for educational Institute is 5.15% which is payable for imported items. In case, the order is on Ex-works or FOB basis, the Institute may be required to pay freight / insurance charges as per prevailing rate. As per the prevailing taxation policy of the Government, VAT/CST shall be payable for all indigenous items. The service tax shall be applicable for service and for Annual Maintenance Contract (AMC). The Institute is partially exempted from paying custom/excise duty for all imported and indigenous items, for which a custom / excise duty exemption certificate shall have to be provided by the Institute. Whenever any item is purchased through high sea sale agreement, the concessional custom duty certificate will be issued to the supplier and the amount of custom duty paid by the supplier will be reimbursed by the Institute.

27. PURCHASES THROUGH IMPORTS

Generally, the procedure outlined above shall be followed for procurement of items through import. However, the following additional points may also be kept in view while making any purchase through imports:

- 27.1.** Any category of stores can be purchased from foreign suppliers' subject to restrictions on imports as imposed by the Government of India from time to time.
- 27.2.** Import should normally be made directly from the foreign principal manufacturers. In the event, a purchase is made through an Indian agent of the foreign company, proof that the Indian agent is an authorized agent of the foreign company must be obtained and must be a part of the documents pertaining to the purchase. Any agency commission payable to the Indian agent can be paid only in Indian Rupees after the successful installation of the equipment.
- 27.3.** SPS shall ensure that the item being imported does not fall under the restricted/ negative/banned category.
- 27.4.** Payment for imports shall normally be made through a letter of credit. However, payment can also be made by a Foreign Draft/Telegraphic Transfer (TT)/Sight Draft.
- 27.5.** Advance payment by a Foreign Draft/TT can be made up to a value of US\$ 10,000 (or equivalent in foreign currency) after taking approval of the CFA. Such payments will be treated as an advance against the purchase until it is

adjusted.

- 27.6.** Terms of shipment should preferably be on FOB/FCA basis of that country. However, purchase order can be issued on CIP basis as a special case depending on the situation.
- 27.7.** The SPS will be responsible for placing orders, opening/amending/extending letters of credit, insurance, clearance and transportation of goods, processing for short received/ shipped/damaged goods.
- 27.8.** Wherever required, the Institute shall avail the services of clearing/consolidation agents for foreign consignments arriving by air/sea.
- 27.9.** The SPS shall maintain a stock register in which all imported items received shall be entered. Delivery of foreign consignment to the purchaser will be made against the signatures in this register. All imported items shall be appropriately entered in the Departmental stock register and assets register, as applicable.
- 27.10.** Inspection Reports (IR) for damaged/short supplied goods must be returned to Store and Purchase Section within 3 days from the date of receipt of materials, failing which it will not be possible to lodge the claim for the damaged / short supplied goods with the Insurance Company and it will be presumed that materials supplied are acceptable to the indenter.
- 27.11.** A warranty clause should be incorporated in every contract, requiring the supplier to, without any charge, repair or rectify defective goods or to replace such Goods, with similar goods free from any defect. Any goods repaired or replaced by the supplier shall be delivered at the buyers' premises without any additional cost to the buyer.
- 27.12.** Within 24 hours of dispatch, the supplier shall notify the purchaser, consignee, others concerned, the complete details of dispatch and supply following documents by air mail / courier or as instructed in the contract
- Supplier's invoice giving full details of the goods including quantity, value, *etc.*
 - Packing list
 - Certificate of country of origin
 - Manufacturer's guarantee and inspection certificate
 - Inspection certificate issued by the purchaser's inspector (if applicable)
 - Insurance certificate (if applicable)
 - Name of the vessel/carrier
 - Bill of lading/airway bill
 - Port of loading
 - Date of shipment
 - Port of discharge and expected date of arrival of goods

- Any other document(s) as and if required in terms of the contract

28. IMPORT OF ITEMS THROUGH INDIVIDUAL INTERNATIONAL CREDIT CARD

- 28.1.** Limit for payment through individual credit card is up to US\$ 2000 or equivalent as per directives of the RBI. The purchaser must take the approval from the CFA in advance for any remittance through Credit Card.
- 28.2.** Indenter must ensure through Store and Purchase Section that the item is not banned.
- 28.3.** Indenter should also declare that the item is not for sale, or profit, making it clear that it is exclusively for research purpose.
- 28.4.** Indenter should ensure that the item is of proprietary nature and only this firm is manufacturing and simultaneously the indenter should also declare that the requirement will be fulfilled by this item only.
- 28.5.** If the item is not of proprietary nature, then the indenter should declare that the price quoted by the firm is reasonable in comparison with national/international market and that he has assured himself by seeing the prices of different firms on the internet.
- 28.6.** Indenter should get approval of CFA before placing the order by credit card and inform SPS for recording the amount for the purpose of exemption of customs duty. One copy of order is to be sent to the SPS.
- 28.7.** Shipping mode and port of shipment must be clear in the order as to whether the shipment will be Ex-works / FCA/ CIP/*etc.*.
- 28.8.** Shipping details should be intimated by the indenter to the SPS before it is dispatched, and shipping should preferably be through Institute authorized Freight Forwarder.
- 28.9.** Each and every event is intimated to the SPS to avoid delay in release of consignment leading to demurrage for the material.

29. ANNUAL MAINTENANCE CONTRACT (AMC)

Depending on the cost and nature of goods to be purchased, it may also be necessary to enter into maintenance contracts for a suitable period either with the supplier of the goods or with any other competent firm, not necessarily the supplier of the subject goods. Such maintenance contracts are specially needed for sophisticated and costly equipment and machinery. It may however be kept in mind that the equipment or machinery is maintained free of charge by the supplier during its warranty period or such other extended periods as the terms of contract may provide for. The paid maintenance should commence only thereafter. The AMC, repair contract, repair

work from the manufacturer / manufacturer's authorized supplier, in respect of various equipment in the Department, may be entered into by the HOD for maximum of 10% of the equipment cost or Rs.50,000/- whichever is less. In all other cases, quotations will be invited and normal purchase rules shall be adhered to.

In case of renewal of the Annual Maintenance Contract, the following points may be taken care of:

- AMC should be from a prospective date. In order to ensure this, the HODs/PI shall be required to initiate action for renewal of AMC at least 90 days before the expiry of previous AMC.
- In case of renewal, the service report /log book (of equipment) should be sent along with the proposal.
- In case of any increase in the AMC cost as compared to previous AMC, necessary justification for increase in price may be obtained from the firm and enclosed along with the indent.
- Advance should be paid against bank guarantee, if the amount is more than Rs. 2, 50,000.00. Any deviation from this can be approved by *the Director*.

30. STORES AND PURCHASE SECTION

30.1. Role of Stores and Purchase Section

- i. Processing and clearance of all purchases.
- ii. Maintaining approved panel of suppliers, for purchases through quotations/press tenders, in consultation with Departments /Centres/ Schools.
- iii. Complete processing including inviting quotations through post or press for medium and major purchases on the basis of specifications / requirements of indenting Department/Centres/School.
- iv. Processing of all items such as stationery and their subsequent issue. The DR ICSR/AR ICSR will be the Head of the Department for operating such budget heads.
- v. Maintenance of Central Asset Registers for items under PA and LTA category of items.
- vi. Conducting physical stock verification.
- vii. Issue custom duty and excise duty exemption certificate(s).

30.2. Maintenance of Record

This section describes the records pertaining to stores that must be maintained by the Institute, Departments, Sections so as to facilitate proper stock verification, write-off and revaluation of stores, besides the transfer of stores from one Department to another.

30.3. Daily Receipt Register

Every item (NCS/LTAS/Consumable Stores) received in the Institute shall be first entered in the Daily Receipt Register (DRR). The Daily Receipt Register shall be maintained both in the Departments as well as ICSR Stores. The material received through ICSR Stores and the Department shall be entered both in the DRR (ICSR Store) and the DRR (Department) immediately after receipt of material. The entry of DRR shall be signed by the laboratory-in-charge of the receiving Department or the stores-in-charge.

30.4. Permanent Assets Register

For all non-consumable stores, a Fixed Assets Register (FAR) shall be maintained by the ICSR Stores as well as the Department. Entries in the Fixed Assets Register (FAR) shall be made only after the inspection of the stores by the authorised inspection committee/indenter as the case may be. Once the inspection report is signed by the inspecting authority, the material will be entered in the FA register and issued to the concerned indenter against proper issue slip. Wherever possible, serial number of the equipment must be entered in the FAR. Location of the asset must be mentioned in both the registers i.e. the FARs maintained by the ICSR Stores/ Department. Each and every asset must be properly numbered at the time of issue and that number must be recorded in the relevant registers.

Separate registers to be maintained for Institute purchases and the project purchases.

The total value of all the assets entered in the Asset Register during the financial year shall indicate the value of the assets to be capitalized in the balance sheet of the corresponding financial year and both the figures must tally.

30.5. Limited Time Assets Register

For all Limited Time Assets, Limited Time Assets Register (LTAR) shall be maintained by the ICSR Stores as well as the Department. Entries in the Limited Time Assets Register shall be made only after the inspection of the stores by the authorised inspection committee/indenter as the case may be. Once the inspection report is signed by the inspecting authority, the material will be entered in the Limited Time Assets Register and issued to the concerned indenter against proper issue slip. Wherever possible, serial number of the equipment must be entered in the LTAR. Location of the asset must be mentioned in both the registers i.e. the Limited Time Assets Registers maintained by the ICSR Stores/ Department. Each and every asset must be properly numbered at the time of issue and that number must be recorded in the relevant registers.

30.6. Consumable Stores Register

All CS items purchased shall be entered in this Consumable Stores Register (CSR). For all the consumable stores received against the formal purchase orders, inspection report shall be prepared and signed by the inspecting authority. Consumable Stores Register shall be maintained by the concerned

Departments only. All the items of consumable nature purchased directly must entered in the CSR within 15 days from the date of receipt of material. Stores will maintain the CSR for the general items like stationery/other consumable items issued centrally to different Departments.

- 30.7.** Normally printed registers provided by the SPS should be used. Every register shall be numbered and have the following certificate on the first page;

“Certified that this register contains a total of ----- pages and each page has been consecutively numbered on both sides from ---- to----”

Date:

Signature of PI

- 30.8.** The SPO shall be the custodian of all stores, purchase records pertaining to NCS and LTAS items of the Institute (including those for projects). All original documents related to any such purchase (including inquiries, report of purchase committee, sanction sheet, purchase order, invoice/bill, delivery challan and inspection reports *etc.*) shall remain with SPS after purchase is complete. These records /documents will be maintained for such periods as may be stipulated by General Financial Rules (GFR) of the Central Government.

After the stipulated period, the record / documents may be destroyed with the specific approval of *the Dean ICSR*.

31. PHYSICAL VERIFICATION

All HODs/PIs shall constitute a Physical Stock Verification committee of not less than three members. SPOs shall issue notice for Physical verification of NCS and LTAS. This committee shall physically verify all the NCS and LTAS stores and recommend for writing-off of NCS and LTAS, items which are not useable and have become obsolete. For NCS and LTAS, the committee shall record the reasons for recommending for writing-off. HODs/PIs shall forward the report to *the Dean ICSR for approval*. This report subsequently shall be sent to SPS for necessary action. SPS shall forward the list to the Accounts Section for necessary entries in the Account Books.

32. TRANSFER OF STORES

Transfer of stores within the Institute from one Department to another can be done by using the Transfer Voucher available in the Stores and Purchase Section. For transfer of items, the explicit written approval of the *Dean ICSR* will be required. The transfer must be duly recorded in the relevant stock registers of stores as well as both the Departments.

33. RECORDS OF CONSUMABLE, PERMANENT ASSISTS AND LTAS ITEMS RECEIVED THROUGH GIFTS, DONATIONS AND SAMPLES RECEIVED BY THE INSTITUTE

For the gifts, donations and non-returnable samples/ components received by the Institute through Store and Purchase Section under various schemes as complimentary, sales promotion or in kind *etc.* from various universities, laboratories, manufacturers, suppliers and even persons, a consolidated record in this

regard is maintained by the Stores and Purchase Section. The concerned Departments/ User Sections are also required to maintain the inventory/ details of such items/ gifts/ samples in their own records and a confirmation to this effect is to be sent to the Store and Purchase Section within one month of receipt of such items/ gifts/ samples if directly received by them.

34. WRITE OFF, CONDEMNATION AND DISPOSAL

34.1. An item may be declared surplus or obsolete or unserviceable, if the same is of no use to the Institute or when the item is beyond economical repair. An item may be rendered surplus, obsolete or unserviceable in the process of upgrading or replacing Institute property or when Institute property or equipment no longer serves a functional use due to programme, procedure or other changes. Under such circumstances the property and equipment be disposed of in the best interest of the Institute as per the following guidelines with prior approval of *the Dean ICSR*.

- Wherever possible, the stores/equipment is traded under buy back scheme, so as to reduce the cost impact on the new stores/ equipment.
- If the above option is not available, the property and equipment be sold out rightly with due procedures.
- Obsolete, unusable materials beyond economic repair be disposed off as per procedure.

This manual outlines the procedure for write off and disposal of unserviceable materials purchased by Department / Inter-disciplinary Programmes / Centres / Schools / Central Facilities / Sections and purchases in projects *etc..*

34.2. Limited Time Assets (LTA)

The procedure for accounting of assets under the LTA category needs to be different and simple as compared to the assets under the PA category. Such assets are to be disposed off after following simplified procedure on completion of the stipulated life time. The accounting procedure for assets under the LTA category shall be as follows:

- i. Item procured under the LTA category and submitted for accounting in the LTA form shall be entered in the separate Asset Register (LTA-AR).
- ii. At the end of 5 years period (life classified for LTA category items), the Department /Centres / Schools / Indenter may initiate a note duly signed by the three Faculty Members/Group Officers requesting through HOD for deletion of these items from the LTA register. SPS shall issue the necessary notification in this regard.
- iii. Physical disposal of goods: The LTA items in a Department/ Centre/ School/ Unit may be disposed-off by the Store in consultation with the HOD. The amount collected, if any, shall be deposited in the Main

34.3. Permanent Assets

HOD shall constitute a Stores Survey Board of not less than three members; at least two of them will be Senior Faculty Members. This Survey Board shall inspect/ survey the PA stores and recommend to write off those items which are ordinarily more than five years old and in this view are obsolete, unserviceable, beyond economical repair and not usable at all. The Committee shall record the specific reasons against each item while recommending the write-off.

35. GENERAL PROCEDURE FOR WRITING OFF THE UNSERVICEABLE MATERIALS / ITEMS

35.1. The items to be declared obsolete /surplus/ unserviceable should be examined by a committee at appropriate level to be appointed by *the Dean ICSR* to declare an item of stores as obsolete, surplus or unserviceable and order its disposal. The committee shall take into account the prescribed or stipulated life period of the stores. In case, such period is not prescribed / stipulated or it is not over, the committee shall examine the conditions of stores and record suitable reasons. If an item has become obsolete / surplus / unserviceable on account of negligence, fraud or mischief on the part of employee, the same should be brought out clearly.

35.2. Where the “life period” has been prescribed for any item and the same is already over, it should normally be taken as enough ground for declaring the item obsolete and unserviceable. However, the condition of the item should still be thoroughly examined to see whether the item could be put to further use.

35.3. In other cases, where the life period is not over or no life period has been prescribed or stipulated, the reason for declaring the item unserviceable should be clearly recorded such as, may be normal wear and tear, excessive use in public interest, accidental fire, flood and other natural causes, damage due to insect, rats *etc.*.

35.4. An item may be declared obsolete / surplus if it is no longer required by the Department. Reasons for the same should be recorded.

35.5. In case of loss due to negligence, fraud or mischief on the part of any employee responsibility should be fixed and losses be made good.

35.6. The Condemnation Committee (CC) shall submit its recommendations in the prescribed form (i.e. FORM GFR -17) obtainable from the Store and Purchase Section after ensuring that certain items have become unserviceable, obsolete due to wear and tear and is beyond economic repairs. Separate GFR-17 form should be filled for each item.

35.7. Actual physical disposal of items which have been written-off will be done

only after *the Dean ICSR/Director* has approved the recommendations of the write-off / condemnation committee.

35.8. Label the items/ materials to be written off.

35.9. The Write- off/Condemnation Committee shall consist of the following:

1) PI	Chairman
2) DR ICSR, or equivalent	Member
3) AR (S and P), or his nominee	Member
4) In-charge (Internal Audit) or his nominee	Member
5) Technical expert (Group 'A' rank) or his equivalent –	Member

Minimum 60% quorum is required.

36. PROCEDURE FOR AUCTION

36.1. The concerned Department / Section / Centre / School, shall make arrangement to remove the condemned articles/materials from the Department / Section concerned to the place earmarked for their temporary storage, within a week from the date of receipt of the copy of the condemnation report. Items to be disposed of shall be under the custody of the Member Secretary, Auction Committee until their disposal.

36.2. The unserviceable materials shall be disposed of as and when required through open/sealed tendering.

36.3. The Auction Committee shall decide the mode of auction. As far as possible, the disposal would be through Institute tender notice/press tender notice where interested parties would be issued tender forms to quote the rates under sealed cover.

36.4. The tenders shall be accompanied with earnest money deposit for items/stores, by way of demand draft drawn in favour of *the IIT Ropar R and D account*.

36.5. Tenders received without Earnest Money Deposit would be straightway rejected, or shall not be entertained.

36.6. The tender forms along with the terms and conditions should be available on the Institute website or can be sold by the office of the ICSR Store on payment of fee prescribed by *the Dean ICSR*.

36.7. The party whose tender is accepted will be required to deposit the balance amount (after adjustment of earnest money deposit) within stipulated period. If the amount is not deposited within the aforesaid period, the acceptance of offer shall stand cancelled and the earnest money shall be forfeited.

36.8. After depositing the balance amount, the party should lift the goods within a period of seven days. If the goods are not removed within the prescribed

period, the tenderer shall have no right or claim to the goods and whatever money may have been deposited shall be deemed to be forfeited. The Institute shall be free to dispose-off the goods in any manner as it may deem fit.

36.9. A sale account of auction shall be prepared (in triplicate) in the prescribed form (GFR-18) and shall be submitted to the Director duly signed by the Chairman/ Member Secretary of Auction Committee.

36.10. On receipt of the sale account, the Department / Section / Store Purchase Section will write off the auctioned items from the inventory / Asset Register and make the required entries in the account books maintained by the Accounts Section under the relevant head.

36.11. The Members Secretary, Auction Committee shall arrange for the handing over of unserviceable materials to the successful tenderer after the deposit of the auction money in the Accounts Branch of the Institute.

36.12. In cases where a negligible/nominal value is quoted by the bidders for the items like Computers, Printers, and Furniture *etc.*, the preference shall be given to Institute employees while selling off the above items with the approval of *the Dean ICSR*.

36.13. The tender should be complete in all respects and should be duly signed. Late and delayed tenders due to any reason including postal delays should not be considered. Incomplete and unsigned tenders should not be considered at all. Offers sent through fax/e-mail will not be accepted.

36.14. Auction Committee shall consist of

1. Dean, ICSR or his nominee -Chairman
2. PI - Member
3. DR/AR ICSR -Member secretary
4. In-charge (Internal Audit) or his nominee -Member
5. Security Officer or his nominee -Member

Minimum 60% quorum is required.

37. IMPLEMENTATION OF RULES

The Institute shall lay down guidelines specifying normal time for each processing function under these rules so that all actions are completed expeditiously.

38. DISCREPANCIES IN SUPPLY

In the event of any shortage/ damage/ wrong supply, prompt action will be initiated by SPS to rectify the same. In case, the supplier fails to rectify the shortage/ damage/ wrong supply in a reasonable time, the matter shall be initiated to recover the full cost paid. SPS shall lodge Insurance claims and pursue them vigorously to realize the sum

insured.

39. INTERPRETATION OF RULES

Wherever, difficulties arise in interpreting these rules or relaxations are required for smooth functioning of Teaching and Research work, Director shall be the competent authority for approval on behalf of the Board of Governors.

Any rule/purchase procedure not covered here shall be governed by the GFR, Delegation of Financial Power Rules (DFPR)/ Manual or Policies and Procedure for Purchase of Goods of Government of India.

40. BLACK-LISTING

Black-listing of firm can be done on the recommendations of the HOD/PI and with approval of the Director. The Officer In-charge of Stores and Purchase Section shall process all such cases reported by the Department/ Centres. A committee specially constituted by the Director shall examine the cases and shall submit its recommendations to the Director for final action. The information on such firms shall be promptly and widely disseminated by Officer-in-charge of Stores and Purchase Section to all concerned.



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F.No. 1484-19/AD-Rules/PS/486

Dated 07.02.2020

Notification

In compliance with approval of Chairman, BOG and in accordance with GFR-2017, the following amendments are made in the existing Store and Purchase Rules with immediate effect:

S.No.	Existing Rules	Amended Rules
1.	Rule 7.1 (a)- Purchase of Goods without Quotations; Value up to Rs.15, 000.00	Rule 7.1 (a)- Purchase of Goods without Quotations; Value up to Rs.25, 000.00 as per GFR Rule No.154
2.	Rule 7.1 (b)- Purchase of goods valuing above Rs.15,000.00 and up to Rs.1.00 Lac (Through Purchase Committee without Quotations) and Rule 7.1(c) Purchase above Rs.1.0 Lac and up to Rs.2.00 lacs [(Through Purchase Committee with Quotation(s))]	Rule 7.1 (b)- Purchase of goods valuing above Rs.25,000.00 and up to Rs.1.00 Lac (Through Purchase Committee without Quotations) and Rule 7.1(c) Purchase above Rs.1.0 Lac and up to Rs.2,50,000.00 lacs [(Through Purchase Committee with Quotation(s)) as per GFR Rule No. 155
3.	Rule 7.2.1- Medium Purchase above Rs.2.0 lacs and upto Rs.25.00 lacs	Rule 7.2.1- Medium Purchase above Rs. 2,50,000.00 lacs and upto Rs.25.00 lacs as per GFR Rule No.162.
4.	Rule 7.3.2: Advertised Tender Enquiry All purchases valuing Rs.25.00 lacs and above, will be done through an advertised tender enquiry. Such purchases will be handled by the Store and Purchase Section. The notice inviting tenders / quotations along with specifications will be displayed on the Institute website, Central Public Procurement Portal (CPPP). The website address should be given in the tender notice. Normally 04 weeks period should be provided for opening of each tender. Advertisement should be given in at least one National daily having wide circulation. For such purchases, Purchase Committee consisting of indenter/purchaser, Head of the department concerned or his nominee, one or two external experts, one representative from the Accounts and Purchase section as approved by the appropriate CFA shall recommend the purchase.	Advertised Tender Enquiry(Rule No. 161 of GFR) (i) Subject to exceptions incorporated under Rule 154,155, 162 and 166, invitation to tenders by advertisement should be used for procurement of goods of estimated value of Rs. 25 lakhs (Rupees Twenty Five Lakh) and above. Advertisement in such cases should be given on Central Public Procurement Portal (CPPP) at www.eprocure.gov.in and on GeM. An organisation having its own website should also publish all its advertised tender enquiries on the website. (ii) The organisation should also post the complete bidding document in its website and on CPPP to enable prospective bidders to make use of the document by downloading from the web site. (iii) The advertisements for invitation of tenders should give the complete web address from where the bidding documents can be downloaded. (iv) In order to promote wider participation and ease of bidding, no cost of tender document may be charged for the tender documents downloaded by the bidders. (iv) Where the Ministry or Department feels that the goods of the required quality, specifications etc., may not be available in the country and it is necessary to also look for suitable competitive offers from abroad, the Ministry or Department may send copies of the tender notice to the Indian Embassies abroad as well as to the foreign Embassies in India. The selection of the embassies will depend on the possibility of availability of the required goods in such countries. In such cases e-procurement as per Rule 160 may not be insisted. (v) Ordinarily, the minimum time to be allowed for submission of bids should be three weeks from the date of publication of the tender notice or availability of the bidding document for sale,



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		whichever is later. Where the Department also contemplates obtaining bids from abroad, the minimum period should be kept as four weeks for both domestic and foreign bidders.
5.	<p>Rule: 27- Liquidated Damages (Late Delivery)</p> <p>There should be a suitable provision in the terms & conditions of the contract for claiming liquidated damages of appropriate amount from the supplier to take care of delays in supplies and performance, for which the supplier is responsible. Such recovery through liquidated damages should be without prejudice to the other remedies to the purchaser under the terms of the contract. A penalty clause for a penalty of 1% of the delivered price of the delayed goods for each week or part thereof subject to a maximum of 10% of the ordered value is to be incorporated in the contract terms. If the payment term is 100% against delivery and if there is delay in supplying the material then a cheque of penalty amount must be taken from the seller in favour of the Registrar, IIT Ropar.</p> <p>However, Director can extend the delivery period if he/she is satisfied that the reasons for delay in supply of material intimated by the supplier are genuine/ justified.</p>	<p>The competent authority for waiver of LD charges and extension in delivery period has been changed to Registrar from the Director.</p> <p>Rest remains the same.</p>
6.	<p>The provisions of the office memorandum dated 21st April 2019 regarding the implementation of the GeM at IIT Ropar (Copy attached at Annexure " A") will be added to the Store and Purchase Manual and shall be followed at IIT Ropar as per recommendations of committee and further approval of competent authority.</p>	

This has the approval of Competent Authority.

23. May 2019

(Registrar)

Copy to:

- 1) All Deans / Associate Deans
- 2) All HoDs
- 3) Librarian
- 4) Deputy Registrar (S&P)
- 5) Deputy Registrar (Acad)
- 6) Deputy Registrar, Establishment
- 7) Assistant Registrar (Accounts)
- 8) Assistant Registrar (SA)
- 9) All Sectional Heads
- 10) PS to Director
- 11) PA to Registrar
- 12) File Copy



भारतीय प्रौद्योगिकी संस्थान रोपड़

INDIAN INSTITUTE OF TECHNOLOGY ROPAR

No.1412-19/ADMN-GeM/PS/487

05.02.2020

OFFICE ORDER

The Ministry of Finance vide its office Memorandum No. F.1/26/2018-PPD dated 02.04.2019 had directed that all the common use Goods and Services available on GeM are to be procured mandatory through GeM as per the provision of GFR Rule No. 149. GeM Procurement under (GFR Rule No. 149(i) to (iii) is divided into 3 categories:

- I. Up to Rs.25, 000.00 through any of the available suppliers on the GeM, meeting the requisite quality, specification and delivery period.
- II. Above Rs.25, 000.00 and up to Rs.5,00,000.00 through the GeM Seller having lowest price amongst the available sellers (excluding Automobiles where current limit of 30 lakh will continue), of at least three different manufacturers, on GeM, meeting the requisite quality, specification and delivery period. The tools for online bidding and online reverse auction available on GeM can be used by the Buyers even for procurements less than Rs 5,00,000.00.
- III. Above Rs.5,00,000.00 through the supplier having lowest price meeting the requisite quality, specification and delivery period after mandatorily obtaining bids, using online bidding or reverse auction tool provided on GeM (excluding Automobiles where current limit of 30 lakh will continue).

In view of the abovesaid memorandum, the Director has constituted the committee for framing the modalities for implementation of the GeM provisions at IIT Ropar and on recommendation of the committee constituted, the Competent Financial Authority approved as below:-

1) The committee recommends to grant temporary exemption from using GeM for procurements such products by the the PIs, faculty and researchers, until GeM addresses the procurement challenges. These items/ services or classification of products are listed in the category i to v given below:-

- i) Specific chemicals, solvents, reagents, semiconductors and other technological wafers/subtracts, compressed gases, biological assays/enzymes, bacterial cultures, proteins etc. for research specific use compatible with DSIR license of IIT Ropar.
- ii) Specialized scientific, technological, and logistics services needed to support research, including the use of commercial semiconductor foundries, and end-to-end logistics services.
- iii) Specialized discrete electronic and non-electronic components (including semiconductor chips, circuits, ICs, printed circuit boards, packaging of silicon dies, electronic discrete components, specialized fittings, optical components etc.), and computer components needed for research and product development. However, this will not include the computer peripherals.
- iv) Specialized and/or customized scientific equipment and associated maintenance contracts.
- v) Academic/enterprise licenses of software specific to academic research.

2) The committee also recommends for the following exemption till further orders: -

- i) if the items available on GeM are required to be procured outside GeM due to emergent and special situations, then prior approval of the competent financial authority to be obtained.

- ii) In the event that the desired item is not available on GeM or the item available does not carry the specifications required, on-line 'request' can be submitted to include the item/specifications. If GeM authority does not include these items on the GeM then in such cases the purchase can be done as per Institute Purchase Rules. However, printout of GeM site showing non-availability of the item in regard to specifications/delivery period/Minimum, Quantity per consignee etc. and duly certified by the buyer that "The Specific items is not available on the GeM on that given date must be submitted alongwith the bills to Accounts Section for payment. Approval of Competent Financial Authority is not required in such case. For items NOT available on GeM (Due to required specifications/delivery period/Minimum, Quantity per consignee etc.)
- iii) if the items to be procured by the Works & Estate Section for immediate maintenance purpose then items can be purchased without GeM however the value for such instance should not increase Rs. 10,000.00 for single purchase.

It is worth mentioning that even Competent Financial Authority has given a temporary exemption for scientific & research quality items/services, efforts must still be taken to ensure that common use goods and services available on GeM are mandatorily procured through GeM only. Further, due diligence must be taken to ensure that items/services being purchased through the Open Tender process are NOT available on GeM. In the recent times, the e-mails has been received from the GeM which is an indication that the purchases being made by the Institute are closely monitored and the deviation from the guidelines of the GFR would invite notices from the Ministry. Procurement through Open Tender for common use goods/services available on GeM should be avoided.

4) The Guidelines to be followed for implementation of GeM is attached at Annexure "A".

This has the approval of the competent authority.

VB. Manojly
(Registrar)

CC to: All the members.

ANNEXURE "A".

Guidelines for Purchase through GeM for Indian Institute of Technology Ropar

Ministry of Finance has issued GFR 2017 replacing GFR 2005. Substantial changes have been made in new GFR particularly with regard to procurement of Goods and Services. Provisions relating to purchase of Goods and Services through Government e Marketplace (GeM) portal have been made in rule 149 of GFR 2017. As per the provisions of Rule 149 of GFR 2017, it is stated that "The procurement of Common use goods and services by the Ministries or departments will be mandatory for the Goods or Services available on GeM". The GFR provisions regarding procurement of items on GeM is as follows:

- (i) Up to Rs.25, 000.00 through any of the available suppliers on the GeM, meeting the requisite quality, specification and delivery period.
- (ii) Above Rs.25,000.00 and up to Rs.5,00,000.00 through the GeM Seller having lowest price amongst the available sellers (excluding Automobiles where current limit of 30 lakh will continue), of at least three different manufacturers, on GeM, meeting the requisite quality, specification and delivery period. The tools for online bidding and online reverse auction available on GeM can be used by the Buyers even for procurements less than Rs 5,00,000.00.
- (iii) Above Rs.5,00,000.00 through the supplier having lowest price meeting the requisite quality, specification and delivery period after mandatorily obtaining bids, using online bidding or reverse auction tool provided on GeM (excluding Automobiles where current limit of 30 lakh will continue).

A).Instructions to the Departments regarding implementation of the GeM at IIT Ropar

1. Ensure availability of funds-do not process the indent without funds.
2. Due sanction of the competent Authority must be obtained as per the IIT Ropar rules/delegation of powers before placing any order on GeM. A copy of sanction is required to be uploaded on GeM portal while placing orders.
3. The e-Bidding invitation notice shall be published on GeM, stipulating the last date for bid submission/opening of bids giving at least clear 7 days time after the publication.

4. Prices on GeM are dynamic and to be used for procurement of via GeM only. These prices cannot be used as reference to buy from outside GeM.
5. Once invoice is generated by the seller, ensure that the bill with all necessary documents is forwarded to the Finance Branch within 2 days, with clear marking on the top as "GeM procurement-on priority".

HOD will be liable for any delay in submission of the bill to the Finance department, since, total time limit for payment is 10 days from date of generation of Consignee Receipt and Acceptance Certificate (CRAC)/Invoice.

(B).Standard Operating Procedure(SOP)/Requirements to utilize the GeM portal

1. The request for creation of Buyer/consignee along with the names can be send to the Store and Purchase Section duly forwarded by the concerned HOD/Dean/Director of Centre. Buyer and Consignee can be the same person.
2. Requirement of registration on GeM are as follows: Aadhaar linked with mobile no. (To receive OTP for e-sign); and an e-mail ID
3. The following types of roles are performed by Secondary users in GeM portal:-
 - a) **Buyer:** Buyer will select the item for purchase and will place the order on behalf of his Department or project. Buyer can be Head of Department/Director of the Centre/Principle investigator for Research Projects
 - b) **Consignee:** Consignee will receive the item and will generate the Provisional receipt Certificate (PRC) and Consignee Receipt and Acceptance Certificate (CRAC) certificate, initiate returns, if required. Consignee can be Head of Department/Director of the Centre/Principle investigator for Research Projects or any other person nominated by the HOD/director of the Centre/Principle investigator of Research Project.
 - c) **Paying Authority:** Paying Authority will make the payment to supplier/vendor. For Registration purpose the Section Officer of the concerned Finance Branch/Faculty/department may be designated as the Payment Authority. Bills complete in all the respect must be send to finance Wing within 2 days of generation of the invoice. In case of any delay from the above schedule the Head of Department/Director of the Centre/Principle investigator for Research Projects will be liable.

7. Following are the laid down guideline for activities on the GeM portal. These timelines are sacrosanct and can't be violated-

Process	Action by	Deadline
Placing Order	Buyer	---
Supply	Seller	As per tender conditions
Provisional receipt Certificate (PRC)	Consignee	Immediately upon receipt of goods
Consignee Receipt and Acceptance Certificate (CRAC) certificate	Consignee	Within 10 days of PRC. on the 11th day the system auto generates a CRAC if not acted upon by the consignee.
Payment	Payment section	Within 10 days of invoice. (Bills complete in all the respect must be send to finance Wing within 2 days of generation of the invoice)
Uploading payment Details	Buyer	As soon as possible.

(C). How to make purchase on GeM

1. Sign in using the link <https://gem.gov.in>. Select and cart the product as per the requirement through application of various filters. Buyers should apply filters carefully to define their requirement without adversely affecting Competitiveness. Select the proper buying method as per the GFR-149.
2. Create demand -- Generate Sanction order -- Generate contract. Once order is placed, Seller to deliver the Goods/ Services to consignee within stipulated delivery date and generate on-line invoice on GeM portal.
3. Consignee to login after receipt of Items. Generation of Provisional receipt Certificate (PRC) within 48 hrs of receipt of stores. Generation of Consignee Receipt and Acceptance Certificate (CRAC) within 10 days of receipt of stores.
4. Bill processing by buyer (within 2 days of generation of CRAC by consignee) -- Bill to be forwarded to Accounts Section within 2 day of on-line receipt of bill/invoice against e-signed.

Consignee's Receipt and Acceptance Certificate (CRAC) (total time limit for payment is 10 days from date of generation of CRAC).

Note: The Department are requested to purchase the item(s) upto Rs. 25,000.00 directly which are available on the GeM as per the above mentioned procedure and if the value of the item(s) is above Rs. 25,000.00 then the indent may be forwarded to Purchase Section with the printout of the items selected on the GeM alongwith the link so that item can be procured on the GeM as per laid procedure.

The Institute has already arranged the GeM training for operation of the GeM however for further clarification on the procedure please refer to the following link available on the GeM website: https://gem.gov.in/training/training_module.