



हरकोर्ट बटलर प्राविधिक विश्वविद्यालय

नवाबगंज, कानपुर - 208002, उ.प्र., भारत

HARCOURT BUTLER TECHNICAL UNIVERSITY

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100 YEARS
1921 - 2021

HARCOURT BUTLER TECHNICAL UNIVERSITY



Rules for Testing and Consultancy

(Amended on 28.09.2020)

Rules for Testing and Consultancy, H.B.T.U., Kanpur-208002

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Rules for Testing and Consultancy

All full time faculty and academic staff shall be permitted to engage themselves in Testing & Consultancy works to such an extent that it will not interfere with the discharge of their normal duties. The following are the rules for carrying out Testing & Consultancy works in the University.

1- Research & Consultancy Committee-

There shall be Research & Consultancy (R & C) Committee to decide the matters of research and consultancy works. The R & C committee will be consisting of the following members who will decide about various issues as may be enunciated hereafter which may arise in management and implementation of a consulting project and utilization of the saving there from-

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|-------------------------------------|--------------------|
| A) Dean PR&G | : Chairman |
| B) Nominee from the Vice Chancellor | : Member |
| C) All Dean of Schools | : Member |
| D) Registrar | : Member Secretary |

The committee may decide any other rules required and rates of testing etc. in case of requirement. The committee may also consider the expertise required to accomplish the consultancy work in case of any dispute. The recommendations of the committee will be approved by Vice Chancellor of the University. All types of research & consultancy work with due certification must be digitally signed by the concerned faculty/ investigator for its validity in all respect. In case of any dispute, the decision of Vice Chancellor shall be binding to all.

2- Types of Consultancy Projects-

A -Type-I Consultancy Projects-

All Consultancy projects without use of University laboratory/workshop facilities will be classified as Type-I consultancy projects which is to be normally done after University working hours.

B- Type-II consultancy Projects-

Consultancy projects involving use of University laboratory/ workshop facilities will be treated as Type-II consultancy Projects. Such projects will cover field testing and field measurements, calibration of equipment/instruments and testing of material/equipment in laboratory/ field which can be completed within the University hours or beyond it.

Note- A)- In case of multi-disciplinary/inter departmental projects, a single project can be divided into sub projects of the same type on mutually agreed terms between the concerned department duly authorized by the R & C committee/ Vice Chancellor.

B) - Any controversy arising out of the assignment of consultancy work or non acceptance of any consultancy project is to be referred to the R & C committee. The Research & Consultancy (R & C) Committee is also authorized to consider prestige of project proposals received by the University and take appropriate decision to accept such projects to be carried out on a consultancy basis.

3. Charges for Consultancy Projects-

- A- The total agreed charges of a consultancy project will consists of the University share, actual expenses and the remuneration to be distributed to the associated faculty/ investigator and associated staff
- B- The actual expenses should cover the following costs related to the project-
- Permanent equipment to be procured/fabrication of equipment of project.
 - Consumable materials
 - Travel expenses in connection with the project work.
 - Computational or other charges which the Principal Investigator (PI) may have to pay to the University or any other outside agency in the course of the execution of work.
 - Contingency expenses to cover cost of supplies, preparation of report, typing work, drawing, drafting, stationary, literature ,postage, courier, FAX etc.
 - Expenses for work to be carried out on payment basis e.g. remuneration to the Students involved etc.
 - The principal Investigator may engage University Students as Student Assistants for consultancy work on payment of Rs. 150 per hour subject to maximum of 50 hours per month which may be revised by the Vice Chancellor based on requirements.
 - Expenses incurred on reasonable hospitality not exceeding Rs. 1000.00 per meal and Rs. 500.00 per head for snacks etc. in connection with the consultation work can be charged as the expanses which may be revised by the Vice Chancellor based on the requirements.

4- Consultancy/ Testing Fee-

The consultancy fee will depends upon several factors such as time spent, importance of advice and experience of the faculty. While estimating the consultancy fee chargeable to the client, principle investigator should keep in mind that only part of the total fee is available for distribution amongst the faculty, staff and students as applicable. The remuneration will be paid to the faculty/staff as per norms approved by the University on the recommendation of the PI.

5- Realization of consultancy/ Testing Fee-

The entire fee in connection with consultancy/testing work is to be deposited by the client in University account, before the work commences. In exceptional cases where the work is started with only partial cost deposited in advance, the arrangement of subsequent receipt of fund from the client has to be clearly spelled out in advance and be duly approved by the Vice Chancellor.

6- Types of Consultancy/ Testing Funds-

A)-There will be a **UNIVERSITY CORPUS FUND** for the University share in each consultancy project. Complete amount of consultancy (Both types) fee will be deposited by the client in University account, while approved percentage of share of University will be deposited in the account of **UNIVERSITY CORPUS FUND** at the time of distribution of consultancy/Testing fee.

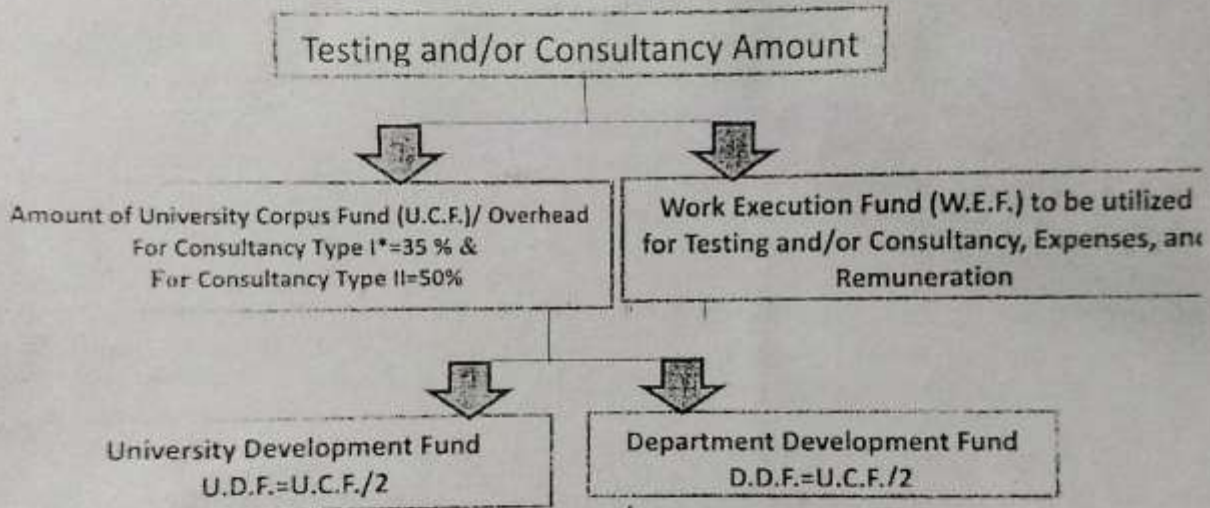
B) -**UNIVERSITY CORPUS FUND (U.C.F.)** will be divided in equally in **UNIVERSITY DEVELOPMENT FUND (U.D.F.)** and **DEPARTMENT DEVELOPMENT FUND (D.D.F.)**. The use of U.D.F. will be decided by the Vice Chancellor for the development of the University in following areas such as:

- a. Purchase of equipment and consumables for research and academic works.

- b. Travel for PI-students/co-authors/collaborators (within the country and abroad) for attending conferences, for research and related discussion. It can also be used to cover expenditure for University approved journey (not reimbursed from other sources).
- c. Purchase of books, journals subscription, and professional membership.
- d. Purchase of teaching materials and teaching aids.
- e. Hosting of professional visitors.
- f. Any other expenditure as permitted from the U.D.F.
- g. Payment for the project of students/faculties looking or filed for patent
- h. The Vice Chancellor will reserve the right to use the fund of U.D.F., as per the requirements and urgency in the University.

The amount of U.D.F. will be utilized by the Department with permission of Vice Chancellor.
 C. The remaining amount excluding U.C.F. will be utilized in testing expenses as well as distribution of remuneration amongst University Staff as per rules.

7. Norms for Distribution of Consultancy/ Testing Fee



The WEF as denominated in the figure will be expended by the PI as in flow chart.

8-Distribution of consultancy fee in UNIVERSITY CORPUS FUND -

The principal amount deposited in concerned bank account of the University for any type of testing and consultancy.

S.N.	Nature of The Project	Type of Consultancy	Total Project Cost (A)	U.C.F./ Overhead (B)	Distribution/ Remuneration (C)=(A-B)
1-	Consultancy/ Testing	Type-I*	X	0.35X	0.65X
2-	Consultancy/ Testing	Type-II	X	0.50X	0.50X

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Note- A)- **Type-I* Consultancy/ Testing** includes Sponsored research projects from Government agency, where University Corpus Fund will be waived off while for such projects from private organizations or industry, UCF will be charged at par with the Type I consultancy. Other consultancy/ testing projects will be inclusive of inspections/ Technical Evaluations/ Visits, individual consultancy based on expertization of project of any individual, and conduction of courses with industry. If the course is organized by the University then 0.25X share will be transferred to Industry while 0.75X share will be transferred in University and if the course is organized by Industry then 0.25X share will be transferred to University while 0.75X share will transfer to Industry concerned.

B)-**Type-II Consultancy** includes Testing of materials, or any other consultancy involving University's facilities.

Note-C)-Category of any other work, which is not included in the above-mentioned, will be decided by R & C committee.

9-Terminology-

- Project cost refers to the expenses incurred by the PI for the duration of the project. It includes remuneration, equipment, salaries, travel, consumables, contingency etc.
- Overheads refer to the payment due to the University from the approved grant received from the funding agency/organization/industry.
- Sponsored research project refers to one in which the PI carries out original research. Such projects generally do not have a provision for payment of remuneration.
- Testing refers to a very limited duration activity involving Laboratories/ Workshop of the University.
- The GST or any other taxes, as applicable, is required to be paid for all consultancy projects.

10-Details for calculation of overheads-

- **Sponsored Research Projects**- Proposals submitted for sponsored research must show overheads of 25% on the project cost. (Example- If the project requirement is X, then overheads would be .25X and the total budget would be 1.25 X).
- **Consultancy/ Testing Projects**-At the stage of proposal submission, the budget will reflect-
Project cost (X) includes, i.e. $X = \text{Project Expenses} + \text{Overhead (X1)}$
Overheads at 25% ($X1 = 0.25X$) for Type-I consultancy.
Overheads at 50% ($X1 = 0.50X$) for Type-II consultancy.
Goods and Service Tax (GST) @18% (for example) ($X2 = 0.18X$), which is subjected to periodic revision by the Government of India.
When consultancy/ testing fee is received from the funding agency the following procedure will be followed-
At the first instance, GST is deducted (18% of X) (Subject to change by the GOI at time to time). The University overhead (as above for different types of consultancy) is

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transferred to University Corpus Fund. The balance fund will be distributed to the associated PI and staff as per the approved rules.

- **Courses-** For short term courses, conferences, workshops, and symposia, 25% of the total receipts (Registration as well as grants) will be transferred to the University Corpus Fund, while 70% will be consumed by PI for expenses and distribution among team members.

II-Payment of Remuneration:-

For Type-I testing and/or consultancy works, the norms for calculation of various percentages for distribution will be as follows

- 1- Total fee received from the client = I
 - Amount paid to U.C.F. (University Corpus Fund) = 0.35 I
 - Remaining amount (F) = 0.65 I
 - Total expenditure on the project = E
 - Savings = S = F - E
 - Amount to be distributed amongst the investigators = S
- 2- Distribution of S-
 - Amount to be distributed among investigator(s) = 0.70 S
 - Amount to be distributed to concerned Head of Department = 0.0025 S ✓
 - Amount to be distributed to staff of concerned Head of Department = 0.120 S ✓
 - Amount to be distributed to Dean of School concerned = 0.010 S
 - Amount to be distributed to Dean PR&G = 0.010 S
 - Amount to be distributed to the Finance & Accounts Officer = 0.010 S
 - Amount to be distributed to Staff of V.C. Secretariat, Pro V.C. Office, Registrar, Establishment, and Finance Section = 0.085 S
 - Amount to be distributed in Staff Welfare Fund = 0.0625 S

A- For Type-II testing and/or consultancy works, the norms for calculation of various percentages for distribution will be as follows-

- 1- Total fee received from the client = I
 - Amount paid to U.C.F. (University Corpus Fund) = 0.50 I
 - Remaining amount (F) = 0.50 I
 - Total expenditure on the project = E
 - Savings = S = F - E
 - Amount to be distributed amongst the investigators = S
- 2- Distribution of S-
 - Amount to be distributed among investigator(s) = 0.60 S
 - Amount to be distributed in office and laboratory staff = 0.22 S
 - Amount to be distributed to concerned Head of Department = 0.0025 S

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- Amount to be distributed to Dean of School concerned= 0.0088
- Amount to be distributed to staff of Dean of School concerned= 0.0025
- Amount to be distributed to Dean PR&G= 0.0088
- Amount to be distributed to staff of PR&G= 0.0025
- Amount to be distributed to the Finance & Accounts Officer=0.015
- Amount to be distributed to Staff of V.C. Secretariat, Pro V.C., Registrar, Establishment, Finance Section =0.0855
- Amount to be distributed in Staff Welfare Fund=0.06255

Note:

- 1- The distribution between Class III and Class IV employees of particular amount has to be done with 70:30 ratios subject to limit of the 75 % of the gross salary received by an individual. In case, there is no regular Class IV or Class III employee in a section/ department, the excess remuneration amount will go in Staff Welfare Fund.
- 2- In case, Registrar/ Pro Vice Chancellor/ Vice Chancellor perform Testing & Consultancy work for the University, he will receive the due remuneration as applicable to PI.
- 3- The rules for distribution will be applicable for all the payments due from the date of approval of this amendment in the Executive Council.
- 4- In all the case, the payment of remuneration will be given only to regular employees of the University.

12-Total Amount of Remuneration from Consultancy:-

The total remuneration to be received by an individual from Consultancy/ Testing work will not exceed 75% of his gross salary received during the financial year. In such cases where the PI is supposed to involve in any consultancy due to his expertise in any field and his total income from all consultancy work exceeds the limit of 75% gross salary, then prior approval of Vice-Chancellor will be required. If the total remuneration payable to a staff member exceeds the prescribed limit, without approval from university (Vice-Chancellor) the excess amount will be deposited in the University Corpus Fund.

13-General Conditions:-

- Any guidelines further needed for operating consultancy projects or any dispute arising in the University will be framed/ solved by the R & C committee.
- Individuals or departments may take up consultancy work only after taking approval of the Vice Chancellor. The report of the departmental consultancy projects will be signed by the investigators and countersigned by the Head of the department and the report of the individual consultancy project will be signed by the Principle Investigator.
- For projects involving only site-visits for consultation work and/or personal discussion, fees may be charged on per day basis at mutually acceptable rate subject to a minimum of Rs.5000/- per man day, excluding the day spent on travel.
- For technical and other staff, making only site visits outside the scope of ongoing consultancy project, fees may be charged on per day basis at minimum of Rs.1000/- per man day.
- The PI may, with the prior permission of the Vice Chancellor avail the services of persons not

in the University service as Investigators, provided that HOD certifies that the services are of a nature for which the expertise is not available in department/University.

- The PI is authorized to associate any regular faculty/ staff of the University with remuneration payable upto 20 % of the share of PI.
- No consultancy project from any agency can be taken up for an amount less than Rs.25000/-. This limit may be reviewed from time to time by the R & C committee.
- Duty leave will be admissible for consultancy work for 15 working days in a session within the overall limits of the duty leave. For absence beyond 15 days for consultancy work, leave as due will be taken by the staff member. Any absence from the headquarters in connection with the consultancy approved by Research & Consultancy (R & C) Committee will be with prior approval of HOD of concerned department.
- When a faculty member is approached for the consultancy work, he will be the Principle Investigator. If he does not wish to be the Principle Investigator, the Vice Chancellor will identify a suitable person as the PI.
- The PI whom is due to retire from University service will identify a new PI for the consultancy project at least three months before his/her retirement.
- A copy of all reports submitted to the client Firm will be filed in the department.
- The most expeditious and convenient mode of travel should be used for the consultancy work, to minimize period of absence from the University.
- All legal action will be subject to the jurisdiction at Civil Court at location of the University/High Court at Prayagraj.
- In case any legal dispute arises between the investigator(s) and the client such that the Investigator(s) are in any way, held responsible to make good the losses incurred by the client, such liability will be restricted to a maximum limit which will be calculated as follows:-

Maximum Liability = the total amount charged for the project- total expenditure on the project.

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