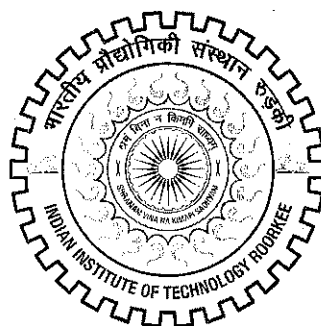


वित्त समिति
की चालीसवीं बैठक का कार्यवृत्त

**MINUTES OF THE 40th MEETING OF THE
FINANCE COMMITTEE**

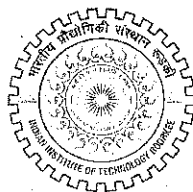
18th NOVEMBER 2017



भारतीय प्रौद्योगिकी संस्थान रुड़की
रुड़की – 247 667 (भारत)

**INDIAN INSTITUTE OF TECHNOLOGY ROORKEE
ROORKEE-247 667 (INDIA)**

भारतीय प्रौद्योगिकी संस्थान रुड़की
INDIAN INSTITUTE OF TECHNOLOGY ROORKEE
रुड़की-247 667 / ROORKEE - 247 667



40th MEETING OF THE FINANCE COMMITTEE
DAY & DATE: SATURDAY, THE 18th NOVEMBER 2017

सूचि / INDEX

Item No.	Particulars	Page(s)
40.1	वित्त समिति की 18.03.2017 को आयोजित 39वीं बैठक के कार्यवृत्त की पुष्टि करना। To confirm the Minutes of the 39 th Meeting of the Finance Committee held on 18.03.2017.	1
40.2	वित्त समिति की 18.03.2017 को आयोजित 39वीं बैठक के कार्यवृत्त पर की गई कार्रवाई की रिपोर्ट प्राप्त करना। To receive a report on actions taken on the Minutes of the 39 th Meeting of the Finance Committee held on 18.03.2017.	1
40.3	जनरल और ओबीसी (एनसीएल) छात्रों के लिए मेरिट-कम-मीन्स (एमसीएम) छात्रवृत्ति बहाल करने पर विचार करना। To re-instate the Merit-cum-Means (MCM) scholarship for General and OBC (NCL) students.	2
40.4	ईआरपी प्रक्रियाओं के मानकीकरण के लिए मार्च में मार्च में वेतन और पेंशन का भुगतान और ईआरपी द्वारा एसएपी- ऐ सॉफ्टवेयर एप्लिकेशन प्रोवाइडर में सभी अपडेट और ईआरपी के सुचारु कार्यान्वयन को करने पर विचार करना। To consider paying salary and pension of March in March for standardization of ERP processes and to receive all updates by the SAP- a Software Application Provider for smooth implementation of ERP.	2

40.5	संस्थान के संशोधित खरीद और स्टोर नियमों पर विचार करना। To consider the revised Purchase & Store Rules of the Institute.	2
40.6	छात्रावास के निर्माण से संबंधित उच्च शिक्षा निधिकरण एजेंसी (एचईएफए) से रू0 120.00 करोड़ के वित्त पोषण के लिए वित्तीय प्रस्ताव पर विचार करना। To consider the financial proposal for funding of Rs. 120.00 crore from Higher Education Funding Agency (HEFA) related to the construction of students' hostel.	2
40.7	वित्तीय शक्तियों के नियमों (डीएफपीआरएस) के समर्पण पर विचार करना। To consider the Delegation of Financial Powers Rules (DFPRs).	3
40.8	टीए/डीए के अतिरिक्त बोर्ड आफ गवर्नर्स/वित्त समिति/भवन एवं निर्माण समिति/ बोर्ड की उप-समितियों और चयन समितियों के बाहरी विशेषज्ञों को बैठकों में भाग लेने के लिए रू0 2000/- के स्थान पर रू0 5000/-सिटिंग शुल्क/जेब भत्ते के संशोधन पर विचार करना। To consider the revision of rates of sitting fee/out of pocket allowance from Rs. 2000/- to Rs. 5000/- to the external members for attending the meetings of the Board of Governors/Finance Committee/Building and Works Committee/ Sub-Committees of the Board and External Experts of the Selection Committees, in addition to the TA/DA.	3
40.9	बीएण्डडब्ल्यूसी द्वारा अनुशंसित निम्न प्रस्तावों पर विचार करना। (i) आईआईटी रुड़की के एमआरसी, आजाद विंग, जीपी और एएन खोसला हॉस्टलों में आधुनिकीकरण और संशोधन। (ii) सरस्वती कुंज, विकास नगर, निर्माण पथ और गोविंद पुरी स्थित फैकल्टी और ग्रुप 'ए' के निवासों के आधुनिकीकरण और संशोधन। (iii) विज्ञान कुंज में गणित और मानविकी एवं सामाजिक विज्ञान (एचएसएस) विभागों के लिए नया ब्लॉक। (iv) आईआईटी रुड़की में आईसीसी भवन में केन्द्रीकृत एयर कंडीशनिंग सिस्टम। (v) विभिन्न विभागों और केंद्रों में शारीरिक रूप से विकलांग व्यक्तियों के लिए 18 नम्बर व्हील चेयर लिफ्ट्स स्थापित करना। (vi) प्रथम और द्वितीय व्याख्यान हॉल परिसर और दीक्षांत समारोह हॉल के लिए ठंडा जल शीतलक प्रणाली। (vii) 220 केवी रामनगर सबस्टेशन से 33 केवी आईआईटीआर सबस्टेशन तक भूमिगत केबल (3x300 वर्ग मीटर, 2 रन) (रू0 8.57 करोड़ की अनुमानित लागत पर यूपीसीएल से जमा कार्य) स्थापित।	3-4

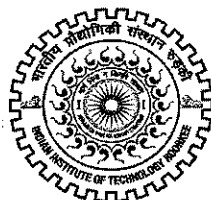
	<p>(viii) विज्ञान कुंज में 800 छात्रों की क्षमता वाला छात्रावास।</p> <p>(ix) विकास नगर में फैकल्टी और समूह 'अ' अधिकारियों के लिए मल्टी स्टोरी अपार्टमेंट्स।</p> <p>(x) आईआईटी रुड़की के विभिन्न पुराने हॉस्टलों के शौचालय ब्लॉक्स में आधुनिकीकरण, संशोधन और मरम्मत।</p> <p>To consider the following proposals as recommended by the B&WC:</p> <p>(i) Modernization and Modification in MRC, Azad Wing, GP and AN Khosla Hostels at IIT Roorkee.</p> <p>(ii) Modernization and Modification of residences of Faculty and Group 'A' Officers located at Saraswati Kunj, Vikas Nagar, Nirman Path and Govind Puri.</p> <p>(iii) New Block for Mathematics and Humanities & Social Science (HSS) Departments at Vigyan Kunj.</p> <p>(iv) Centralized Air Conditioning System in ICC building at IIT Roorkee.</p> <p>(v) Installation of 18 nos. wheel chair lifts for physically challenged persons in various departments and centers.</p> <p>(vi) Chilled Water Cooling System for Lecture Hall Complex-I&II and Convocation Hall.</p> <p>(vii) Laying dedicated 33 kV underground cable (3x300 Sq. mm, 2 run) from 220 kV Ram Nagar substation to 33 kV IITR substation (deposit work from UPCL).</p> <p>(viii) Students' Hostel of 800 capacity at Vigyan Kunj.</p> <p>(ix) Multi Storey Apartments for Faculty and Group 'A' Officers at Vikas Nagar.</p> <p>(x) Modernization, modification and repairs in the toilets blocks of the various old hostels at IIT Roorkee.</p>	
40.10	<p>एक्स ग्रुप डी (अब छठे सीपीसी में बहु कार्य ग्रुप सी में वर्गीकृत किये गए) कर्मचारियों के प्रथम वित्तीय उन्नयन में वेतनमान रु० 3050-4590 के स्थान पर वेतनमान रु० 3200-4900 दिये जाने के प्रस्ताव पर विचार करना।</p> <p>To consider a proposal for grant of pay scale of Rs. 3200-4900 in place of pay scale of Rs. 3050-4590 to Ex-Group 'D' (now classified as Group 'C' Multi Task Service in the 6th CPC) employees on their first financial up-gradation.</p>	5

40.11	आईआईटी रूड़की में संपत्ति एवं निर्माण में रखरखाव और मरम्मत से संबंधित व्यय के संबंध में वित्तीय शक्तियों के प्रत्यायोजन पर विचार करना। To consider the delegation of financial powers with respect to the expenditure pertaining to maintenance and repair in Estate & Works at IIT Roorkee.	5
40.12	वित्तीय वर्ष 2017-18 के लिए एमएचआरडी से प्राप्त धन के उपयोग की प्रगति रिपोर्ट रिपोर्ट करना। To report the progress report on utilization of funds received from MHRD for the Financial Year 2017-18.	5
App. 'A'	संस्थान के संशोधित खरीद और स्टोर नियम। Revised Purchase & Store Rules of the Institute.	6-40
App. 'B'	वित्तीय शक्तियों के नियमों (डीएफपीआरएस) के समर्पण। Delegation of Financial Powers Rules (DFPRs).	41-55
App. 'C'	आईआईटी रूड़की में संपत्ति एवं निर्माण में रखरखाव और मरम्मत से संबंधित व्यय के संबंध में वित्तीय शक्तियां। Delegation of financial powers with respect to the expenditure pertaining to maintenance and repair in Estate & Works at IIT Roorkee.	56



07 DEC 2017

भारतीय प्रौद्योगिकी संस्थान रुड़की
INDIAN INSTITUTE OF TECHNOLOGY ROORKEE
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भारतीय प्रौद्योगिकी संस्थान रुड़की की वित्त समिति की दिनांक 18 नवम्बर 2017 को संस्थान के परिषद् कक्ष में पूर्वाह्न 11.00 बजे आहूत 40^{वीं} बैठक का कार्यवृत्त।

Minutes of the 40th Meeting of the Finance Committee of the Indian Institute of Technology Roorkee held on 18th November 2017 at 11.00 A.M. in the Board Room of the Institute.

उपस्थित / PRESENT:

- | | |
|--|---------------------|
| 1. Prof. Ajit K. Chaturvedi | Chairman & Director |
| Chairman Board of Governors &
Director, IIT Roorkee | |
| 2. Mr. Anil Kumar, Director (F) MHRD | |
| (Attended on behalf of the Joint Secretary &
Financial Advisor, MHRD) | Member |
| 3. Prof. S.K. Nath, IIT Roorkee | Member |
| 4. Prof. U.P. Singh, Dean, Finance & Planning, IIT Roorkee | Member |
| 5. Mr. Prashant Garg, Registrar | Secretary |

The Chairman welcomed the members to the 40th Meeting of the Finance Committee.

The agenda was then taken up.

Item No. 40.1: To confirm the minutes of the 39th meeting of the Finance Committee held on 18.03.2017.

Minutes were circulated on 13.04.2017. Since no comments were received, the circulated minutes were confirmed.

Item No. 40.2: Report on actions taken on the Minutes of the 39th Meeting of the Finance Committee held on 18.03.2017.

The Finance Committee noted the Actions Taken on the Minutes.

07 DEC 2017

Item No.40.3: To re-instate Merit-cum-Means (MCM) Scholarship to General and OBC (NCL) students.

The Finance Committee considered the item and recommended the same to the BoG for approval.

Item No.40.4: To consider paying salary and pension of March in March for standardization of ERP processes and to receive all updates by the SAP- a Software Application Provider for smooth implementation of ERP.

The Finance Committee considered the item and deliberated on various aspects of paying salary and pension of March in March. It was informed that in many PSUs and Governments Departments where SAP - ERP (Software Application Provider - Enterprise Resource Planning) has been implemented, the salary of March is paid in the month of March itself for the standardization of processes in SAP based ERP.

The Finance Committee, after taking all these points and facts into consideration, recommended the same to the BoG for approval.

Item No. 40.5: To consider the revised Purchase & Store Rules of the Institute.

The Finance Committee considered the proposed Purchase & Store Rules of the Institute and recommended the same to the BoG after incorporating the suggestions made by the members. The revised rules are given at **Appendix 'A'**.

Item No. 40.6: To consider the financial proposal for funding of Rs. 120.00 crore from Higher Education Funding Agency (HEFA) for the construction of a students' hostel.

The Finance Committee considered the proposal for funding by HEFA and recommended the same to the BoG for approval without any additional financial liability for MHRD.



07 DEC 2017

Item No. 40.7: To consider the Delegation of Financial Powers Rules (DFPRs).

The Finance Committee considered the item and recommended the same to the BoG for approval (**Appendix 'B'**).

Item No. 40.8: To consider the revision of rates of sitting fee/out of pocket allowance from Rs. 2000/- to Rs. 5000/- to the external members for attending the meetings of the Board of Governors/Finance Committee/Building and Works Committee/ Sub-Committees of the Board and the external Experts of the Selection Committee, in addition to the TA/DA.

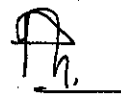
The Finance Committee considered the item and recommended the same to the BoG for approval.

Item No. 40.9 : To consider the following proposals as recommended by the B&WC:

- (i) Modernization and Modification in MRC, Azad Wing, GP and AN Khosla Hostels at IIT Roorkee.
- (ii) Modernization and Modification of residences of Faculty and Group 'A' Officers located at Saraswati Kunj, Vikas Nagar, Nirman Path and Govind Puri.
- (iii) New Block for Mathematics and Humanities & Social Science (HSS) Departments at Vigyan Kunj.
- (iv) Centralized Air Conditioning System in ICC building at IIT Roorkee.
- (v) Installation of 18 nos. wheel chair lifts for physically challenged persons in various departments and centers.
- (vi) Chilled Water Cooling System for Lecture Hall Complex-I&II and Convocation Hall.
- (vii) Laying dedicated 33 kV underground cable (3x300 Sq. mm, 2 run) from 220 kV Ram Nagar substation to 33 kV IITR substation (deposit work from UPCL).
- (viii) Students' Hostel of 800 capacity at Vigyan Kunj.
- (ix) Multi Storey Apartments for Faculty and Group 'A' Officers at Vikas Nagar.
- (x) Modernization, modification and repairs in the toilets blocks of the various old hostels at IIT Roorkee.

The Finance Committee considered the CPWD proposed estimates with respect to the above mentioned projects and recommended the same to the BoG for approval.

Sl. No.	Name of work	Amount in Rs.
1.	Modernization and Modification in MRC, Azad Wing, GP and AN Khosla Hostels at IIT Roorkee.	7.93 crore
2.	Modernization and Modification of residences of Faculty and Group 'A' Officers located at Saraswati Kunj, Vikas Nagar, Nirman Path and Govind Puri.	12.87 crore 50 thousand 1 hundred
3.	Centralized Air Conditioning System in ICC building at IIT Roorkee.	4.09 crore 34 thousand 76
4.	Installation of 18 nos. wheel chair lifts for physically challenged persons in various departments and centers.	1.60 crore (additional cost)
5.	Chilled Water Cooling System for Lecture Hall Complex-I&II and Convocation Hall.	10.50 crore
6.	Laying dedicated 33 kV underground cable (3x300 Sq. mm, 2 run) from 220 kV Ram Nagar substation to 33 kV IITR substation (deposit work from UPCL.	8.57 crore
7.	Students' Hostel of 800 capacity at Vigyan Kunj.	125.67 crore
8.	Multi Storey Apartments for Faculty and Group 'A' Officers at Vikas Nagar.	58.21 crore (Phase I) 112.42 crore (Phase II)
9.	Modernization, modification and repairs in the toilets blocks of the various old hostels at IIT Roorkee.	17.54 crores



07 DEC 2017

Item No. 40.10: To consider a proposal for grant of pay scale of Rs. 3200-4900 in place of pay scale of Rs. 3050-4590 to Ex-Group 'D' (now classified as Group 'C' Multi Task Service in the 6th CPC) employees on their first financial up-gradation.

The Finance Committee perused the background given in the agenda and noted as under:

- (i) All Group 'D' (classified as Group 'C' MTS in the 6th CPC) was granted pay scale of Rs. 3200-4900 in place of pay scale of Rs. 3050-4590 w.e.f. 29.08.2008 i.e. from the date of Gazette Notification of 6th CPC.
- (ii) The pay scale of Rs. 3200-4900 was also approved by the Board of Governors of IIT Madras from 01.01.2008.

The Finance Committee recommended that the matter with the above facts be placed before the BoG.

Item No. 40.11: To consider the delegation of financial powers with respect to the expenditure in Estate & Works at IIT Roorkee.

The Finance Committee considered the proposed delegation of financial powers and recommended the same to the BoG for approval after incorporating the suggestions made by the members. The revised financial powers are given at **Appendix 'C'**.

Item No. 40.12: To report the progress on utilization of funds received from MHRD for the Financial Year 2017-18.

The Finance Committee noted the same.

The meeting ended with a vote of thanks to the Chair.



07 DEC 2017

Purchase Rules:

	1. Preamble	DISAPPROVED
<p>- 6 -</p>	<p>In the context of changing economic and business scenario, introduction of Govt. Financial Ruled, 2017 (GFR, 2017) and GST, use of online services, digital India mission, transparent and efficient governance and experience gained from centralized purchase system introduced in the year by IIT Roorkee in 2015, it is imperative to review the rules and regulations for purchase and stores. As a matter of policy institute encourages the adoption of established procedure, wide publicity, fair competition and efficient delivery of the desired objectives for which the purchases/orders are made in the institute.</p> <p>IIT Roorkee being the institute primarily for research and academic institution the requirements are highly scientific and has limited vendors. The procurement is research oriented and time as well as project specific and thus rules are proposed to maintain the pace and glory.</p> <p>The purchaser shall make reasonable efforts to draw the precise and accurate specifications of the specific products/works and find out the details of possible bidders for purchases.</p>	<p>A preamble and background for review of the purchase rules</p> <p>For clarity regarding preparation of the specifications and possible vendors</p>
Approval of items and funds	2. Approval of items and funds	
<p>Items and funds may be approved by the Competent Authority as per requirement of the Departments/Centers/Offices/ Limbs/ other units.</p>	<p>Items and funds for purchase may be approved by the Competent Authority as defined below:</p> <p><u>Competent Authority</u></p> <ol style="list-style-type: none"> 1. For purchase/orders up to Rs. 50,000/- is Head/ Principal Investigator (PI). 2. The online purchase up to Rs. 1 lakh from source within India and up to USD 2,000 from source in foreign country is Head/ PI. 	<p>For better clarity, a section on Competent Authority is added.</p> <p>Online purchases being in public domain</p>

h.

07 DEC 2017

Existing Rules	Revised Rules	Justification
<p style="text-align: center;">- 7 -</p>	<ol style="list-style-type: none"> 3. For purchases from Rs.50,000/- to Rs.5lakhs is the concerned Departmental Purchase Committee (DPC)/Project Purchase Committee (PPC). 4. For purchases more than Rs.5Lakhs- and upto 50 lakhs is the Dean (F&P)/Dean (SRIC) as required. 5. For the purchase above 50lakhs the Director full power. 6. For purchases made by local purchase committee(LPC) up to Rs. 2.5 lakh recommended by the Head/ PI and approved by Dean (F&P)/ Dean (SRIC) and above Rs. 2.5 lakhs to Rs. 25.0 lakhs by Director on the recommendation of Head/PI and Dean(F&P)/Dean (SRIC). 7. The annual maintenance/service contract from the original equipment/ machines/ ACs manufacturer/ manufacturer's authorized supplier, for a value of maximum of 10% of the original cost for the first 2 years and thereafter 15% of the original cost or 110% of previous year AMC value by Chairperson of DPC/PPC or Dean (F&P)/ Dean (SRIC) or Director. 8. Full service/ comprehensive maintenance from the original equipment/ machine/manufacturer/ manufacturer's authorized supplier by Chairperson of DPC/PPC or Dean (F&P)/Dean (SRIC) or Director. 9. The repair work, spare parts, calibration from the original equipment manufacturer/ manufacturer's authorized supplier, calibration from NABL accredited laboratory by Chairperson of DPC/PPCor Dean (F&P)/ Dean (SRIC) or Director. 	
<u>Types of Funds</u> Funds may be allocated from the following grants:	<u>Types of Funds</u> Deleted	Not required

Existing Rules	Revised Rules	Justification
<p>A) Non-plan Grant B) MHRD Plan Grant C) Sponsored/ Consultancy Project Grant D) Miscellaneous Grant Non-plan grant</p> <p>(DOC) should be used for payment including labour charges and job works (fabrication, repairs, civil and electrical works etc.) and purchase of minor equipment's or consumables. DOC should not be used for the purchase of major equipment</p>		
Purchase Committees	3. Purchase Committees	
<p>Any purchase costing above Rs. 50,000/- has to be made by Material Management Section as per Purchase and Store Rules of the Institute for centralized purchase.</p> <p>∞</p>	<p>1. Material Management Section (MMS) shall make any purchase costing above Rs. 50,000/- except online purchases (Section 2, Point 2) and purchases for which an LPC(Section 2, Point 5) has been constituted.</p>	To incorporate Section 2
<p>All the purchases, irrespective of the nature of the grant, have to be made as per the Purchase and Store Rules of the Institute. The following committees are proposed to simplify the purchase process with limited power:</p> <ol style="list-style-type: none"> 1. Departmental Purchase Committee (DPC) with at least six members; HoD being the Chairman and five faculty members including one external member. HoD will constitute the DPC. 2. Project Purchase Committee (PPC) with 3-5 members; nominee of Dean SRIC being the Chairman. The committee will include PI as one of the members and one external member. Dean SRIC will constitute the PPC. 	<p>2. All the purchases shall be made as per the Purchase Rules of the Institute. The following committees are proposed to simplify the purchase process:</p> <p>(a) Departmental Purchase Committee (DPC) with minimum three members in addition to HOD or his nominee who being Chairperson and will constitute the DPC and approved by the Dean (F&P) on the recommendations of HOD. HOD may constitute DPC as per requirement of each purchase/ specific equipment.</p> <p>(b) Project Purchase Committee (PPC) with minimum 3 members including PI and nominee of the Dean (SRIC) and PI shall be the Chairperson of PPC. Dean (SRIC) will constitute the PPC in consultation with the PI. The term of committee shall be the duration of the project.</p>	Minor modification

Existing Rules	Revised Rules	Justification
3. SPC/LPC will be constituted with at least five members. The committee will be constituted by the competent authority.	(c) The Director for specific need will constitute special purchase Committee (SPC) including a member each from Internal Audit and MMS. (d) Local Purchase committee (LPC) up to Rs. 2.5 lakh will be constituted with three members recommended by the Head/ PI and approved by Dean (F&P)/ Dean (SRIC) and above Rs. 2.5 lakh to Rs. 25.0 lakh by Director on the recommendation of Head/PI and Dean(F&P)/Dean (SRIC)for making purchases of emergency in nature or job/fabrication works for the completion of the installation/experiments.	Purchase upto 2.5 Lakh is in line of (GFR 2017 Rule 155) and above required for urgent nature of purchase.
Each Department/Centre/ other Academic Units like IIC, Library, and Hospital etc should have Departmental Purchase Committee (DPC).	3. Each department/center/other academic units like IIC, library, administrative office, estate and works and hospital etc. should have DPC to be constituted by the Head.	Minor modification
For Library and Hospital, DPC will be constituted by the Library Advisory Committee and Hospital Advisory Committee respectively with the approval of the Competent Authority.	Deleted	Merged in statement above
The DPC of the concerned department where the project is undertaken may also act as the PPC, if proposed by the PI of the project.	4. The DPC of the concerned department where the project is undertaken may also act as the PPC, if there is not a specific PPC constituted for the project. However, PI shall be the indenter.	For clarity
A Special Purchase Committee (SPC) may also be appointed by the Competent Authority as and when it is necessary under special circumstances. The Chairman of the SPC will also be nominated by the Competent Authority	Deleted	Repeated paragraph

Existing Rules	Revised Rules	Justification
<u>Types of purchase</u>	<u>4. Types of purchase</u>	
1. Purchase upto Rs.50,000/- may be made without calling quotation provided fund is allotted and available for the purchase. The amount will be reimbursed to the Indenter incurring the expenditure as per the Financial Rules and Regulations.	1. Purchase upto Rs.50,000/- may be made without calling quotations.	For clarity
	2. <u>Online purchases</u> as follows: (a) Upto Rs.1.00 lakh if the source of supply is within India. (b) Upto USD 2,000 including the expenditure on courier, custom duty, custom clearance etc. The benefit of warranty and other clauses as available must be availed.	To formalize online purchases from Indian and foreign firms
2. All purchases above Rs. 50,000/- should invariably be made by the Material Management Section through inviting quotations as well as website publication except single source tender. Along with Institute Website all enquiry letters/tender notices/pre-qualification tenders will be displayed in the Notice Board of the concerned departments and quotations received from firms on the basis of this notice will also be considered.	3. All purchases above Rs.50,000/- should invariably be made by the MMS through inviting quotations as well as website publication. However, in case of single source purchases (other than proprietary items), website publication is not required. Along with Institute Website all enquiry letters/tender notices/pre-qualification tenders should be displayed on the Notice Board of the concerned department(s) and quotations received from firms on the basis of this notice should also be considered.	Minor modification for clarity
3. Limited Tender: For purchases between Rs.50000/- to Rs.5,00,000/- Material Management Section will send Enquiry Letters under Limited Tender to minimum 5 potential vendors identified by the indenter. Material Management Section can also send the Enquiry Letters to the vendors identified from the existing vendors' list available centrally.	4. Limited Tender: For purchases from Rs. 50,000/- to Rs.5 lakh, MMS will send Enquiry Letters under Limited Tender to minimum 5 potential vendors identified by the indenter.	Minor modification for clarity

Existing Rules	Revised Rules	Justification
4. Limited Tender: For purchases between Rs.500000/- to Rs.25,00,000/- Material Management Section will send Enquiry Letters under Limited Tender to minimum 8 potential vendors identified by the indenter. Material Management Section can also send the Enquiry Letters to the vendors identified from the existing vendors' list available centrally.	5. Limited Tender: For purchases between Rs. 5 Lakhs and Rs. 50 Lakhs MMS will send Enquiry Letters under Limited Tender to minimum 6 potential vendors identified by the indenter. In case potential vendors are <6, indenter/ MMS can opt for open tender. However, for purchases > Rs. 25 Lakhs, the enquiry letters shall also be placed on GoI website (eprocure.gov.in).	To match the provisions of some of the sister IITs.
5. Open Tender: Where the total cost of the purchase is estimated to be Rs.25lakhs to 2 crore .tenders will invariably be invited by the Material Management Section through publication of tender notice in at least one National Daily e.g. National Herald, Hindustan Times, Times of India, Indian Express, The Hindu, Economic Times etc. Notices published in any manner should contain the address of Institute's website. Not necessarily the Tender be a Global Tender	6. Open Tender: Where the total cost of the purchase is estimated to be Rs.50 lakhs to 2 crore, tenders will invariably be invited through publication of tender notice through newspaper/e-publishing on GOI website (eprocure.gov.in) and mode of tendering shall be e-procurement.	Minor modification to incorporate above, GOI web sites and avoid specific newspapers
6. Open Tender: Where the total cost of the purchase is estimated to be more than 2 crore, tenders will invariably be invited by the Material Management Section through publication of tender notice in at least one National Daily (having foreign circulation) e.g. National Herald, Hindustan Times, Times of India, Indian Express, The Hindu, Economic Times etc. Notices published in any manner should contain the address of Institute's website. The Tender has to be a Global Tender.	7. Open Tender: Where the total cost of the purchase is estimated to be more than 2 crore, tenders will invariably be invited by the MMS through publication of tender notice through newspaper/e-publishing on GOI website (eprocure.gov.in).The Tender has to be a Global Tender and mode of tendering shall be e-procurement.	Minor modification for incorporating GOI web sites and avoid specific newspapers
7. Single Tender: Purchase upto Rs.25lakhs can be done through sending an Enquiry letter to a single firm under the following circumstances: (a) It is in the knowledge of the user department that only a particular firm is the manufacturer of the required goods.	8. Single Tender: Purchase upto Rs.25 lakhs can be done by sending an Enquiry letter to a single firm under the following circumstances: (a) It is in the knowledge of the user department that only a particular firm is the manufacturer/ supplier of the	<ul style="list-style-type: none"> • GFR 2017, Rule 166 • Para 7 and 8 have been merged to avoid repetition

Existing Rules	Revised Rules	Justification
<p>(b) The required goods are to be purchased from a particular source and the reason for such decision is to be recorded in the form of DPC/PPC Report</p> <p>(c) For standardization of machinery or spare parts to be compatible to the existing sets of equipment, the required item is to be purchased only from a selected firm.</p> <p>(d) A minimum time of 15 days must be given to submit quotation</p>	<p>required goods or is proprietary item(s).</p> <p>(b) The required goods are to be purchased from a particular source and the reason for such decision is to be recorded in the form of DPC/PPC Report.</p> <p>(c) For standardization of machinery or spare parts to be compatible to the existing sets of equipment, the required item is to be purchased only from a selected firm.</p> <p>(d) The notice regarding the purchase of item(s) of propriety in nature must be uploaded on the Institute's Website giving a minimum time of 15 days to submit quotation. However, in other cases of single source purchases e.g. a compatible spare part from manufacturer of the equipment, order can directly be placed without publishing the requirements on the web site.</p> <p>(e) Many times, it is found that the certain items which carries some critical technologies are solely manufactured by some foreign companies who may not have any Indian counterpart/ representative/ dealer. In such cases, it becomes extremely difficulty to purchase these specialized/ customized items carrying critical technology which might be essentially desired to meet the objectives of research endeavours. In such cases, the notice regarding purchase of item (s) must be first uploaded on the Institute's website giving a minimum time of 15 days to submit quotations. In case there is no response, quotations may be collect through e-mail, with a clause that the proof of email communication with at least three companies should be given by the indenter. Further, even if only one of the foreign manufacturer responds against the email enquiry, then it should be considered as the valid quote to place the PO.</p>	

Existing Rules	Revised Rules	Justification
	<p><u>9.Orders to the government bodies on nomination basis:</u></p> <p>If the purchase is proposed from the Central/ State Government or Central/ State Public Sector Undertaking/Organization/Company, the competent authority may approve proposal on the recommendations of concerned DPC/PPC and Dean (F&P)/Dean (SRIC)for purchase up to Rs. 1.0 Crore, without inviting any type of tender as per terms and conditions of the Government/Public Sector Undertaking/ Organization as the case may be.</p>	<p>To facilitate purchase from Government institutions / Organizations.</p>
<p>- 13 -</p>	<p><u>10. Government e-Market place (GeM):</u></p> <p>Government of India recently initiated online Government e-Marketplace (GeM) for common use Goods and Services. The GeM portal may be utilized by institute for direct on-line purchases as under:</p> <p>(i) Up to Rs.50,000/- through any of the available suppliers on the GeM, meeting the requisite quality, specifications and delivery period.</p> <p>(ii) Above Rs.50,000/- and up to Rs.30,00,000/- through the GeM seller having lowest price amongst the available sellers, of at least three different manufacturers, on GeM, meeting the requisite quality, specifications and delivery period.</p> <p>(iii) Above Rs.30,00,000/- through the supplier having lowest price meeting the requisite quality, specifications and delivery period after mandatorily obtaining bids, using online bidding or reverse auction tool provided on GeM.</p>	<p>To incorporate GeM as per GFR 2017, Rule 149.</p>
<p>8. Purchase of Proprietary Item: Purchase of proprietary item upto Rs.25lakhs can be done through sending an Enquiry letter to a single firm under the following circumstances:</p>	<p>Deleted</p>	<p>Covered in paragraph above at no. 8.</p>

Existing Rules	Revised Rules	Justification
<p>(a) It is in the knowledge of the user department that only a particular firm is the manufacturer of the required goods i.e. the goods to be purchase dare proprietary items.</p> <p>(b) The required goods are to be purchased from a particular source and the reason for such decision is to be recorded in the form of DPC/PPC Report</p> <p>(c) The notice regarding the purchase of item(s) of propriety in nature must be put on the Institute's Website giving a minimum time of 15 days to submit quotation.</p>		
<p>- 14 -</p>	<p>11. <u>Expression of Interest (EOI)</u>:In case, there is unawareness or not enough clarity about the specifications of the intended purchase/services/orders for an estimated amount of Rs. 50 lakhs and above and their possible bidders, the method of inviting "expression of interest" and also known as "<u>two stage bidding</u>" may be adopted through open tender process (newspaper based advertisement) and after receiving the details, the specifications may be finalized and offers be obtained as limited tender.</p> <p>Enquiry for seeking EOI should include in brief, the broad scope of the work or service, inputs to be provided, eligibility and the pre-qualification criteria to be met by the bidders and their past experience in similar work/ service. The bidders may also be asked to send their comments on the scope and specifications of the works or services projected in the enquiry. Adequate time should be allowed for getting responses from interested bidders.</p> <p>On the basis of the responses received from the interested parties, bidders meeting the requirements should be short listed for further consideration. The number of short listed bidders normally should not be less than three. Based on the inputs received from the shortlisted bidders, detailed</p>	<ul style="list-style-type: none"> • Manual for Procurements of Goods 2017 issued by Ministry of Finance and as per GFR 2017, Rule 164 • Expression of Interest is a well-established procedure, especially for the items where detailed specifications and possible bidders are not known.

Existing Rules	Revised Rules	Justification
	specifications/terms of reference/ general and special conditions/ formats shall be drawn to seek two part bids as technical and financial proposals only from shortlisted bidders. If it is appropriate a pre bid meeting may also be scheduled where the suggestions from prospective bidders on the issued document be discussed and amended if necessary. Amendments, if any, need to be shared with all short listed bidders in writing before the bid submission.	
<p>9. Rate Contract:</p> <p>The Material Management Section may finalize a rate contract with the approval of the competent authority of personal computers, laptops, computer peripherals, chemicals, printing, AC, photocopier machine or any other item with various manufacturers, so as to offer a wider choice. Different rates may also be approved for any item depending on the specifications and quality of item offered by different manufacturers. Tenders/Quotations for this purpose shall be called from manufacturers only. Purchase under rate contract is subject to availability of fund.</p>	<p>12. <u>Rate Contract:</u></p> <p>Rate Contract approved by IIT Roorkee or by other government institutions or purchase from government institution as follows:</p> <p>(a) The MMS may finalize a rate contract with the approval of the competent authority for personal computers, laptops, computer peripherals, chemicals, printing, AC, photocopier machine, furniture or any other item/services with various manufacturers, so as to offer a wider choice. Different rates may also be approved for any item depending on the specifications and quality of item offered by different manufacturers. Tenders/Quotations for this purpose shall be called from manufacturers only.</p> <p>(b) If the purchase is proposed on the basis of rate contract approved by Central Government Company, or on rate Contract approved by other IITs/GeM/DGS&D, orders for purchase upto Rs. 25 Lakhs, may be approved by the competent authority, without inviting any type of tender as per terms and conditions of the Government/Public Sector Undertaking/ Organization as the case may be.</p>	<ul style="list-style-type: none"> • Manual for Procurements of Goods 2017 issued by Ministry of Finance, Chapter-8. • Also To facilitate the rate of contract of other government bodies.
<p>10. Purchase through a Purchase Committee:</p> <p>(a) Local Purchase Committee (LPC): Purchase including services, labor charges and job works (fabrication, repairs;</p>	<p>13. <u>Purchase through LPC:</u></p> <p>Purchase of goods, in case of urgency/ to complete installations/running experiments/chemicals/ some specific</p>	<p>Purchase upto 2.5 Lakh is in line of (GFR 2017 Rule 155) and above required for urgent nature of</p>

Existing Rules	Revised Rules	Justification
<p>civil and electrical works etc.) through credit at site may also be made upto Rs.2,00,000/- through an LPC in case of urgency duly recorded and approved by competent authority. Unless such a purchase is made on the basis of approved rate contract or quotations from Government/Public Sector Undertaking, At least three quotations be obtained by a Committee to be constituted as given below:</p> <p>The committee will survey the market to ascertain the reasonability of rate, quality and specifications for the purpose of identifying the appropriate supplier and collect quotations from the probable suppliers and/or manufacturers. The names and addresses of the bidders alongwith rates quoted by them shall be certified by each member of the committee on the Comparative Statement.</p> <p>Before recommending placement of the purchase order, the members of the committee will record a certificate as under: "Certified that we, the members of the purchase committee are 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". The committee may also make cash purchase by taking advance. However, purchase in such cases should invariably be made by placing orders.</p>	<p>needs of time-bound research projects (e.g. thermo-couple, isotopes etc.)/ machine parts/liveries or sundry items etc. duly recorded, on each occasion may be made on the recommendations of a duly constituted LPC. At least three quotations (by email or fax or collected personally in a cover) be obtained by LPC. The committee will survey the market to ascertain the reasonableness of rate, quality and specifications and identify the appropriate suppliers. Roorkee being the small town, nearby cities like Haridwar, Dehradun, and Delhi etc. are also covered for such purchase. In specific cases other places in India or abroad may be considered for such purchases. Before recommending placement of the purchase order, the members of the committee will jointly record a certificate as under. "Certified that we, 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, and it is not debarred by the Department of Commerce or Ministry".</p> <p>The benefit of warranty and other clauses as available must be availed.</p> <p>The committee may also make purchase by taking advance. However, purchase in such case should invariably be made by placing order by the concerned department of the indenter.</p>	<p>purchase</p>
<p>(b) Special Purchase Committee (SPC): Purchase of any special kind or need duly recorded may be processed through a SPC with the approval of the competent authority. The number of members in the committee should be minimum with a member from the Internal Audit</p>	<p>14. Special Purchase Committee (SPC): Purchase of any special kind or need duly recorded may be processed through a SPC.</p>	<p>For clarity</p>

Existing Rules	Revised Rules	Justification
section. The procedure to be adopted for such purchase will be decided by the competent authority.		
11. Tender notices must also be displayed on the Institute's website. Those downloading the tender document from the website should deposit tender fee while submitting their quotation/tender. EMD should also be submitted along with the quotation/tender.	15. Tender notices must also be displayed on the Institute's website. Those downloading the tender document from the website should deposit tender fee, if any, while submitting their quotation/tender. Earnest money deposit (EMD) should also be submitted along with the quotation/tender, if required.	Minor modification for clarity
12. Only those quotations which are received within the due date and time, specified in the enquiry letter/ tender notice, will be considered.	16. Only those quotations which are received within the due date and time, specified in the enquiry letter/ tender notice, will be considered	No change
13. Black listing of a firm can be done by the Material Management Section with the approval of the Competent Authority.	17. Black listing of a firm can be done by the MMS with the recommendation of PPC/DPC, advice from legal cell and approval of the Competent Authority.	Added "recommendation of PPC/DPC and" for clarity
14. The firms for the purpose of inviting quotations for purchase of materials/ services/ equipment/ instrument etc. will be manufactures or authorized dealer agents/ stockiest/ suppliers/ service providers or firms undertaking job works.	18. The firms for the purpose of inviting quotations for purchase of materials/ services/ equipment/ instrument etc. will be manufactures or authorized dealer/agents/ stockiest/ suppliers/ service providers or firms undertaking job works.	No change
Procedure for Inviting Quotations:	5. Procedure for Inviting Quotations:	
The following procedure should be observed for inviting quotations/tenders: 1. The DPC/PPC of Departments/ Centers/ Offices/ Limbs/other units of the Institute (having budget allocation for the item) will prepare the specifications of the required item and also, prepare the list of suppliers and will constitute the Technical Committee as the case may be. However, the Material Management Section can also identify venders in addition to the list provided.	The following procedure should be observed for inviting quotations/tenders: 1. The DPC/PPC will prepare the specifications of the required item and also, prepare the list of suppliers. However, the MMS can also identify venders in addition to the list provided.	Minor modification for clarity.

Existing Rules	Revised Rules	Justification
2. In the indent the DPC/PPC should duly mention and include quantity of proposed item, copy of approval of funds (with grant code) for the required item, complete specifications as well as requirement of warranty, training/technical support, after sales service, packing for incorporation in enquiry letter or tender document and addresses of the suppliers etc. be sent to the Material Management section.	2. In the indent the DPC/ PPC should duly mention the quantity of proposed item, copy of the approval of funds (with allotted grant code) for the required item, complete specifications as well as requirements of warranty, training/technical support, after sales service, AMC, packing etc. The indent should be submitted to MMS along with the hard and soft copies of the addresses of the likely suppliers and precise and accurate specifications.	Minor modification for clarity.
3. The Material Management Section will examine the indent/documents and initiate the purchase process by inviting quotations under two bid system for purchase with estimated cost of more than Rs.5,00,000/- and under single bid system for purchase with estimated cost of less than Rs.5,00,000/- through enquiry letters or publishing the tender notice in newspaper. As per purchase rules the same (enquiry letter, tender notice and tender document) will be simultaneously displayed in the website of the Institute and the Ministry Portal as per prevailing norms except in case of Single tender. The website address shall clearly be mentioned in enquiry letters/tender notice/tender documents. The firm(s) may also be asked to provide e-mail ID along with the address of correspondence	<p>3. The MMS will examine the indent/documents and initiate the purchase process by inviting quotations</p> <p>(a) <u>Single-bid system</u>: For purchases with estimated cost of up to Rs.15 lakh under single bid system (technical and financial bid together and opened at single instance). Bids will be opened by MMS in the presence of bidders and indenter if they so desire. Techno-commercial comparative statement will be prepared by the department/PI.</p> <p>(b) <u>Two-bid system</u>: For purchase with estimated cost of more than Rs. 15 lakh two bid system (Part A: Technical Bid and Part B: Financial Bid in separate sealed envelopes to be opened at different instances) shall be followed. Technical bid will be opened by MMS in the presence of bidders and indenter if they so desire. Technical comparative statement will be prepared by the department/PI.</p> <p>If required, the concerned PI/ indenter may obtain clarification/ document at the time of technical evaluation regarding any technical aspect(s) as per the enquiry letter/tender document.</p>	<p>Manual for Procurements of Goods 2017 issued by Ministry of Finance, Chapter-4, Point No. 4.13.1.</p> <p>In line of GFR 2017 Rule 164. Limit for two part bid raised from Rs. 5 to 15 lakh being effective for higher values</p>
4. In case of inviting quotations by sending enquiry letters	4. In case of inviting quotations by sending enquiry letters	No change

Existing Rules	Revised Rules	Justification
(under Limited Tender), a minimum period of 15 days' notice should be given	(under Limited Tender), a minimum period of 15 days' notice should be given	
5. In case of inviting tenders through newspapers, a minimum period of 21 days' notice (after publication of the tender in the newspaper) should be given and minimum 4 weeks in case of Global Tender.	5. In case of inviting tenders through newspapers, a minimum period of 21 days' notice (after publication of the tender in the newspaper) should be given and minimum 4 weeks in case of Global Tender. In the enquiry letter the firm should be asked to enclose copies of the last two supply orders for the same item as a justification for reasonability of rates.	Minor modification for clarity.
6. The time, place and date for the opening of the tender bids/quotations should be specified in the enquiry letters/tender notices to be sent to the firms or published in newspaper with the clear stipulation so that they may be present at the time of opening of tenders/quotations, if they so desire.	Deleted	Repeated
7. It should be mentioned in the tender notice/ enquiry letter that the rates should preferably be quoted both in words, and figures. All cuttings, overwriting should be duly initialed by the firms failing which the quotation/tender/bid is liable to be rejected.	Deleted	Repeated
8. The notice inviting quotations of proprietary item(s) through e-mail should also be displayed on the website of the Institute giving a minimum of 15 days' time for quotations to be submitted.	Deleted	Repeated
9. In case of purchase of special/sophisticated equipment, costing above Rs.25.0 lac, a performance bank guarantee for an amount equal to or more than 5% of the cost price for the duration of the warranty period will be taken from the supplier/Indian Agent.	6. In case of purchase of special/sophisticated equipment, costing above Rs. 25.0 lakh, a performance bank guarantee or Bank Draft or FDR pledged in favor of IIT Roorkee for an amount equal to or more than 5% of the cost price for the duration of the warranty period plus sixty days will be taken from the supplier/Indian Agent.	As per GFR 2017, Rule 171 and Manual for Procurements of Goods 2017 issued by Ministry of Finance, Chapter 6, Point No. 6.1.2.

Existing Rules	Revised Rules	Justification
10. A fixed amount as Earnest Money Deposit (EMD) should be demanded from the firms and should be mentioned against specification of each item/equipment whose estimated cost is above Rs.25.0 lacs. The amount of EMD will be determined at the time of inviting quotations/tenders, by the Institute on case to case basis, which will be not less than 2% of the estimated cost of the purchase.	7. A fixed amount as Earnest Money Deposit (EMD in the form of Bank Guarantee or Bank Draft or FDR pledged in favor of IIT Roorkee should be demanded from the firms and should be mentioned against specification of each item/equipment whose estimated cost is above Rs. 25.0 lakh. The amount of EMD, Valid 45 days beyond the validity period of bid, will be determined at the time of inviting quotations/tenders, by the Institute on case to case basis, which will not be less than 2% of the estimated cost of the purchase.	As per GFR 2017, Rule 170 and Manual for Procurements of Goods 2017 issued by Ministry of Finance, Chapter 6, Point No. 6.1.1.
11. All the terms, conditions, stipulations and information to be incorporated in the bidding document are to be shown in the appropriate Chapters as below: (a) Chapter 1: Instruction to bidders. (b) Chapter 2: Conditions of contract. (c) Chapter 3: Schedules of requirements. (d) Chapter 4: Specifications and allied technical details. (e) Chapter 5: Price schedule (to be utilized by the bidders for quoting their prices) (f) Chapter 6: Contract form (g) Chapter 7: Other Standard Forms, if any, to be utilized by the purchaser and bidders.	8. All the terms, conditions, stipulations and information to be incorporated in the bidding document are to be shown in the appropriate Chapters as below: (a) Chapter 1: Instruction to bidders. (b) Chapter 2: Conditions of contract. (c) Chapter 3: Schedules of requirements. (d) Chapter 4: Specifications and allied technical details. (e) Chapter 5: Price schedule (to be utilized by the bidders for quoting their prices) (f) Chapter 6: Contract form (g) Chapter 7: Other Standard Forms, if any, to be utilized by the purchaser and bidders.	No Change
12. While inviting quotations/tenders, specifications should include all the possible details, but it should be general in nature so that enough number of firms can quote for the item. Approximate quantities may also be mentioned and the firms should be asked to give samples along with the quotations/ tenders, wherever possible / necessary. The descriptive literature, if available, should be enclosed with the quotations/ tenders.	9. Approximate quantities may also be mentioned and the firms should be asked to give samples along with the quotations/ tenders, wherever possible/ necessary. The descriptive literature, if available, should be enclosed with the quotations/ tenders.	Minor modification for clarity.

Existing Rules	Revised Rules	Justification
13. If the estimated cost of equipment is more than Rs.25.0 lacs, tender bids shall preferably include AMC for a period of minimum three years.	10. If the estimated cost of equipment is more than Rs.25.0 lakhs, tender bids shall preferably include AMC for a period of minimum three years.	No change
14. All enquiries should be sent through speed post, registered post, courier services or through personal local delivery on official peon book as deemed suitable.	11. All enquiries should be sent through speed post, registered post, courier services or through personal local delivery on official peon book as deemed suitable.	No change
Procedure for Opening Quotations:	6. Procedure for Opening Quotations:	
1. The firm(s) will submit the Technical Bid and Financial Bid in the Material Management section within the due date and time in the way as mentioned in enquiry letter / tender document. It will be mandatory to fill up the compliance statement clearly leaving no space for any ambiguity. The firm shall also send a softcopy of compliance statement along with technical bid.	Deleted	To remove repetition
2. All quotations/tenders received should be kept in the custody of the Material Management Section.	Deleted	To remove repetition
3. All quotations/tenders received should be duly sealed and addressed to the Deputy Registrar/Assistant Registrar (Material Management), clearly mentioning on the left hand top corner of the envelope "Quotations/Tenders for the supply of _____ (name of article to be mentioned vide	Deleted	To remove repetition
4. Preferably the ST/CST number should be given on the quotation of each firm, however this will not be mandatory. In case any change towards ST/CST or other statutory levy is claimed by the firm, the registration number for the same should be available on the bill/invoice	1. Preferably the GST number should be given on the quotation of each firm; however, this will not be mandatory. In case any change towards GST or other statutory levy is claimed by the firm, the registration number for the same should be available on the bill/invoice.	To incorporate GST is added
5. In case of purchase of an item of proprietary nature as	2. In case of purchase of an item under single tender enquiry, the	For clarity

Existing Rules	Revised Rules	Justification
certified by the manufacturer, the quotations through e-mail/FAX from the manufacturer may be considered. But the proof of e-mail requesting the rate of the propriety item must be placed in the purchase file.	quotations through e-mail/fax from the manufacturer may also be considered. But the proof of e-mail requesting the rate of the propriety item must be placed in the purchase file.	
6. The Technical Bid(s) will be opened on the due date and time in the concerned department in front of the concerned DPC/PPC. All members of the committee will sign on all the pages of specifications / terms and conditions / compliance statement /authorization certificate / covering envelops of each technical bid. The committee, after opening the technical bids, may obtain necessary clarification from the firm on specific points in relation to the specifications mentioned in the Enquiry Letter/ Tender Document.	Deleted	Repetition
7. (a) For the purchases from Rs.50,000/- to Rs.5,00,000/, the representatives of the firms who have submitted quotations/tenders are not required to remain present during opening of quotations/tenders. Erasing and overwriting etc. observed at the time of opening of quotations/tenders should be duly initialed by the officers opening the quotations/tenders, otherwise the tenders/quotations may be treated as invalid. The postal cover should be retained along with the tender/ quotation with signatures of the person(s) opening it.	Deleted	Repetition
7. (b) For the purchases more than Rs.5,00,000/- the representatives of the firms who have submitted quotations/tenders may remain present during opening of quotations/tenders. Erasing and overwriting etc observed at the time of opening of quotations/tenders should be duly initialed by the officers opening the quotations/tenders, otherwise the tenders/quotations may be treated as invalid. The postal cover should be retained along with the tender/ quotation with signatures of the person(s) opening it.	Deleted	Repetition

Existing Rules	Revised Rules	Justification
8. The Technical Comparative Statement incorporating a 'remarks column' will be prepared in the concerned department based on compliance statement from the firms for the technical evaluation.	Deleted	Repetition
9. The DPC/PPC will go through the Technical Comparative Statement as well as the Technical Bid(s), relevant literature and documents and record the details in the remarks column of the Comparative Statement for identifying the technically qualified firms for opening their financial bids. The DPC/PPC will return the tile to the Material Management section with recommendation for opening the financial bids of the technically qualified firms. In case of rejection of any technical bid, the DPC/PPC will clearly record the reason of its rejection in Technical Comparative Statement.	Deleted	Repetition
10. The Financial Bids will be opened on the due date and time by the Material Management section in the presence of the indenter and the technically qualified vendors, if they desire so. The date of opening the Financial Bid will be informed to the technically qualified bidders and the indenter well in advance. The Financial Comparative Statement will be prepared by the Material Management section.	3. In case of two bid system, the Financial Bids will be opened on the due date and time by the MMS in the presence of the indenter and the technically qualified vendors, if they so desire. The date of opening the Financial Bid will be informed to the technically qualified bidders and the indenter well in advance. The Financial Comparative Statement will be prepared by the MMS and sent to Indenter for vetting.	Minor modification For clarity
Procedure for Processing the Purchase Cases	7. Procedure for Processing the Purchase Cases	
1. In case of purchase with estimated cost of more than 50,000/- upto 5,00,000/, less than three valid quotations can be considered for opening of bids as well as further processing of the purchase case. However, the concerned DPC have to certify the price reasonability with	1. In case of purchase with estimated cost of more than Rs 50,000/- upto Rs. 5 Lakhs less than three valid quotations can be considered for opening of bids as well as further processing of the purchase case. However, the concerned DPC have to certify the price reasonability with appropriate justification.	No change

Existing Rules	Revised Rules	Justification
appropriate justification.		
2. In case of purchase with estimated cost of more than 5,00,000/- minimum three valid quotations are required for opening of financial bids.	2. In case of purchase with estimated cost of more than Rs. 5 Lakhs minimum three valid quotations are required. If the number of quotations received against an enquiry letter/tender notice is less than three, quotations have to be re-invited by MMS after the specific recommendation of indenter to do so. Any other approval is not required. However, if the number of quotations received is still less than three after retendering, the MMS should process the purchase on the basis of these quotations with specific justification by the concerned DPC/PPC.	For clarity
3. In case of purchase with estimated cost of more than 5,00,000/-, if the number of quotations received against an enquiry letter/tender notice is less than three, quotations have to be re-invited giving enough number of addresses of firms. However, if the number of quotations received is still less than three, the Material Management Section should process the purchase on the basis of these quotations with specific justification by the concerned DPC/PPC.	Merged in above point	Merged in above point
4. If the number of quotations received against open tendering is less than three, the purchase case can be processed through these quotations with specific justification by the concerned DPC/PPC.	3. If the number of quotations/bids received against open tendering (through newspaper) is less than three, the purchase case can also be processed with specific justification by the concerned PI/Indenter.	For Clarity.
	4. Negotiation normally may not be held. However, whenever necessary may be held with the approval of competent authority only with the lowest bidder only.	<ul style="list-style-type: none"> GFR 2017, Rule 173 (xiv). Such clause is required in several instances of purchases.
	5. To avoid delays and unnecessary file movement, as far	For efficiency

Existing Rules	Revised Rules	Justification
	as possible, MMS and internal audit should convey their observations on the file in one single step.	
<u>Processing the Purchase and Placing the Orders by the Material Management Section</u>	<u>8. Processing the Purchase and Placing the Orders by the MMS</u>	
1. The MMS will prepare and submit the purchase proposals in the prescribed format and will get it vetted from the Indenter. Then the case will be forwarded to the Internal Audit Section for pre-audit. After pre-audit the case will be forwarded to competent authority/approving authority for approval. However, purchase cases below Rs.5,00,000/- need not be pre-audited by Internal Audit Section.	1. The MMS will prepare and submit the purchase proposals in the prescribed format and will get it vetted from the Indenter. Then the case will be forwarded to the Internal Audit Section for pre-audit. After pre-audit the case will be forwarded to competent authority/approving authority for approval. However, purchase cases below Rs.5 lakh need not be pre-audited by Internal Audit Section.	No Change
2. The purchase order will be prepared by the MMS on the basis of the duly approved Purchase Proposal.	2. The purchase order will be prepared by the MMS on the basis of the duly approved Purchase Proposal.	No Change
3. The Purchase Order will be sent to the eligible firm on its address by post/mail by the MMS. A copy of the Purchase Order will be sent to the concerned department/ PI for information.	3. The Purchase Order will be sent to the eligible firm on its address by post/mail by the MMS. A copy of the Purchase Order will be sent to the concerned department/ PI for information.	No Change
4. Orders for imported articles will be placed after satisfying the requirement of Government policies/formalities prevailing at that time.	Deleted	For clarity
5. In case of import, the copy of the Purchase Order will be sent to the Clearing Agent. The MMS will take necessary action about the advance to be sent to the Clearing Agent for clearing goods from the customs office to avoid demurrage and sending the same to the concerned department of IIT Roorkee.	4. In case of import, the copy of the Purchase Order will be sent to the Clearing Agent. The MMS will take necessary action about the advance to be sent to the Clearing Agent for clearing goods from the customs office to avoid demurrage and sending the same to the concerned department of IIT Roorkee.	No Change
6. On receipt of written request/ necessary documents	5. On receipt of written request/ necessary documents from the	Minor modification for

Existing Rules	Revised Rules	Justification
from the firm/ clearing agent, the MMS will process the file for issue of all types of certificates e.g. Customs Duty Exemption/ Excise Duty Exemption/Trade Tax Declaration etc., under the signature of the Registrar.	firm/ clearing agent, the MMS will process the file for issue of all types of certificates e.g. Customs Duty Exemption/ Excise Duty Exemption/ Trade Tax Declaration etc., under the signature of the DR/AR of the MMS as nominated by the institute.	clarity
7. No formal order is required to be placed for purchases upto Rs.50,000/-.	6. No formal order is required to be placed for purchases upto Rs.50,000/-.	No change
Repeat order:	9. Repeat order:	
<p>Repeat purchase order may be placed by the Material Management Section subject to the following conditions:</p> <p>(a) Within a period of 120 days of placing the original order or 45 days of receiving supplies against the original order, whichever is later.</p> <p>(b) With no change in rates as well as terms and conditions of supply.</p> <p>(c) For purchases on the basis of inviting quotations but not through a committee.</p> <p>(d) The Material Management Section will place not more than two repeat orders and the amount or number of items shall not exceed that of the original order.</p> <p>(e) No repeat order will be placed if buy-back is involved in the purchase.</p> <p>(f) Purchase Orders placed by other IITs may also be considered for placing repeat orders by IITR with the approval, of Competent Authority after due diligence study and obtaining a certificate from the sister IIT to the effect that the cost is justified and the equipment is performing satisfactorily.</p>	<p>Repeat purchase order may be placed by the Material Management Section subject to the following conditions:</p> <p>(a) Within a period of 120 days of placing the original order or 45 days of receiving supplies against the original order, whichever is later.</p> <p>(b) With no change in rates as well as terms and conditions of supply.</p> <p>(c) For purchases on the basis of inviting quotations but not through a committee.</p> <p>(d) The Material Management Section will not place more than five repeat orders and the amount or number of items shall not exceed that of the original order.</p> <p>(e) No repeat order will be placed if buy-back is involved in the purchase.</p> <p>(f) Purchase Orders placed by other IITs may also be considered for placing repeat orders by IITR with the approval, of Competent Authority after due diligence study and obtaining a certificate from the sister IIT to the effect that the cost is justified and the equipment is performing satisfactorily.</p>	<p>The limit of repeat orders increased from 2 to 5 with provisions as specified in (a) to (e). This will save lot of time and repeated efforts.</p>

Existing Rules	Revised Rules	Justification
Delegation of Purchase Powers:	Delegation of Purchase Powers:	
1. Payment for labour charges and job works (fabrication, repairs, civil and electrical works etc.) upto Rs.50,000/- may be made without calling quotation provided fund is allotted and available for the job etc. The amount will be reimbursed to the indenter incurring the expenditure as per the Financial Rules and Regulations. In case of such payment Indenter is the competent authority and approval of any other official is not required to be obtained.	Deleted	Repetition
2. Purchase of consumables, computers, peripherals and minor equipment upto Rs.50,000/- may be made without calling quotation provided fund is allotted and available for the job etc. The amount will be reimbursed to indenter incurring the expenditure as per the Financial Rules and Regulations. In case of such payment Indenter is the competent authority and approval of any other official is not required to be obtained.	Deleted	Repetition
3. The online purchase shall be allowed upto Rs.50,000/- only. The benefit of warranty and other clauses as available must be availed. In this case the rule mentioned in 1 and 2 above (under Delegation of power) is applicable.	Deleted	Repetition.
4. For purchases from Rs.50,000/- to Rs.5,00,000/- the competent authority to approve the purchase is the concerned DPC/ PPC on the basis of the Indent raised by the Indenter.	Deleted	repetition
5. For purchases more than Rs.5,00,000/- upto Rs 2 crore, the competent authority to approve the purchase is the Director	Deleted	

Existing Rules	Revised Rules	Justification
6. For purchases more than Rs. 2 crore, the competent authority to approve the purchase is the Chairman, BoG.	Deleted	Repetition
7. The annual maintenance contract, repair contract, repair work from the manufacturer / manufacturer's authorized supplier, in respect of various equipment of the Institute, will be processed by the Material Management Section for a maximum of 10% of the equipment cost. In all other cases, quotations will be invited and normal purchase rules will apply.	Deleted	Repetition
8. For any purchase proposed on the basis of rate contract approved by IIT Roorkee, PO can be placed by the MM section subject to the availability of fund for the purchase.	Deleted	Repetition
Goods Receipt and Processing of Bill	10. Goods Receipt and Processing of Bill:	
1. On receipt of goods by the concerned Indenter as per Purchase Order along with packing slip, bills in duplicate / triplicate etc., necessary entries will be made by the department /center/ unit in the stock register. The bill for payment along with necessary documents, installation certificate etc. will then be sent by the indenting department to the Material Management section for necessary checking and forwarding to the Finance & Accounts Section for payment.	1. On receipt of goods by the concerned Indenter as per Purchase Order along with packing slip, bills in duplicate / triplicate etc., necessary entries will be made by the department /center/ unit in the stock register. The bill for payment along with necessary documents, installation certificate etc. will then be sent by the indenting department to the Material Management section for necessary checking and forwarding to the Finance & Accounts Section for payment.	No change
2. In case of short supply/any damage /supply is not found as per Purchase Order, the department/center/office will inform in writing to DR/AR, Material Management who will request the firm to rectify it within a suitable time otherwise the matter will be referred to Legal Cell for further necessary action.	2. In case of short supply/any damage /supply is not found as per Purchase Order, the department/center/office will inform in writing to DR/AR, Material Management who will request the firm to rectify it within a suitable time otherwise the matter will be referred to Legal Cell for further necessary action.	No Change

Existing Rules	Revised Rules	Justification
Payment Term:	II. Payment Term:	
1. In purchase generally the payment is after delivery and installation (Wherever installation is required).	1. In purchase generally the payment is after delivery and installation (Wherever installation is required).	No Change
2. However, in case of indigenous supply 100% advance payment against 110% bank guarantee may be made to the supplier provided such payment term exists in the purchase order.	2. For the purchases having FOR/destination, 100% payment on receipt and acceptance of goods/service by the indenter subject to production of relevant documents.	As per MOF Manual of Procurement of Goods 2017 Chapter 6 Para 6.3
	3. For the purchases having FOR/destination and involving installation and commissioning by the supplier, 80 % payment on receipt and acceptance of goods/service by the indenter and balance 20 % on successful installation and commissioning by the supplier and acceptance by indenter.	
- 29 -	<p>4. Advance payments to supplier:</p> <p>Ordinarily, payments for supplies/ services should be released only after the services have been rendered or supplies made. However, it may become necessary to make advance payments for example in the following types of cases:</p> <p>(a) Advance payment demanded by firms for supplying equipment/services etc., upto 100 % advance amount against 110 % Bank Guarantee may be allowed.</p> <p>(b) Advance payment demanded by firms holding maintenance contracts for servicing of air-conditioners, computers, other costly equipment/construction etc. and by firms against fabrication contracts, turnkey contracts etc. Such advance payments should not exceed the following limits:</p> <p>(c) Thirty percent of the contract value to private firms.</p> <p>(d) Forty percent of the contract value to a State or Central</p>	<p>No Change</p> <p>As per GFR 2017, Rule 172</p>

Existing Rules	Revised Rules	Justification
<p>- 30 -</p>	<p>Government agency or a Public Sector Undertaking;</p> <p>(e) In case of maintenance contract, the amount should not exceed the amount payable for six months under the contract.</p> <p>(f) Competent authority may relax the ceilings (including percentage laid down for advance payment for private firms) mentioned above.</p> <p>(g) While making any advance payment as above, adequate safeguards in the form of bank guarantee etc. should be obtained from the firm as per point (i) above.</p> <p>(h) 100% advance payment in case of software, licenses or specific instruments with the approval of competent authority on the recommendation of DPC/PPC and Dean (F&P)/Dean (SRIC).</p> <p>(i) Payment of demurrage: Upto 20,000/- may be approved by Head of the department/ PI. For higher amounts approval of the competent authority is required.</p>	<p>For specific instance</p>
<p>3. However, Government firms or public sector undertakings may be exempted from providing the bank guarantee. But for public limited firms having an annual turnover of Rs.500 crores or more the requirement of bank guarantee may be waived-off by the competent authority if the payment involved is upto Rs. 15lakh.</p>	<p>5. However, Government firms or public sector undertakings may be exempted from providing the bank guarantee. But for public limited firms having an annual turnover of Rs.500 crores or more the requirement of bank guarantee may be waived-off by the competent authority if the payment involved is upto Rs. 15lakh.</p>	<p>No change</p>
<p>4. Any additional payment in the Bill/ Invoice on account of revision of taxes/duties may be considered by the MMS provided it is as per the terms and conditions of purchase order.</p>	<p>6. Any additional payment in the Bill/ Invoice on account of revision of taxes/duties may be considered by the MMS provided it is as per the terms and conditions of purchase order.</p>	<p>No change</p>

Existing Rules	Revised Rules	Justification
<p>5. Payment to Foreign Supplier:</p> <p>(a) All Letters of Credit will be opened by the MMS against the purchase orders and grant (plan/project/miscellaneous) allocated to the concerned department.</p> <p>(b) Payment can also be made by sight draft/Bank Transfer/ Wire Transfer after receipt of material in good condition.</p>	<p>7. Payment to Foreign Supplier:</p> <p>(a) All Letters of Credit will be opened by the MMS against the purchase orders and grant (plan/project/miscellaneous) allocated to the concerned department.</p> <p>(b) Payment can also be made by sight draft/Bank Transfer/ Wire Transfer after receipt of material in good condition.</p>	No change
<p>6. Payments to Govt./Public Sector Undertaking/ Organization: The terms of payment to the Govt./ Public Sector Undertakings/ Organizations/ Company will be as per the terms and conditions given by them in their quotation/ proforma invoice/ rate list/ rate contract. 100% advance can be made to such organizations alongwith the order if it is in the terms and conditions of the said organization.</p>	<p>8. Payments to Govt./Public Sector Undertaking/ Organization: The terms of payment to the Govt./ Public Sector Undertakings/ Organizations/ Company will be as per the terms and conditions given by them in their quotation/ proforma invoice/ rate list/ rate contract. 100% advance can be made to such organizations along with the order if it is in the terms and conditions of the said organization.</p>	No change
General Rules:	12. General Rules:	
<p>1. Liquidated Damage (Late Delivery):</p> <p>There should be a suitable provision in the terms and conditions of a contract/ purchase order 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.</p> <p>A penalty of 0.5% of the delivered price of the delayed goods for each week subject to a maximum of 5% (five percent) of the delivered price is to be incorporated in the terms and conditions of the purchase order. Delivery period shall include supply of the item in good condition and satisfactory installation. Any delay in fulfillment of</p>	<p>1. Liquidated Damage (Late Delivery):</p> <p>There should be a suitable provision in the terms and conditions of a contract/ purchase order 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.</p> <p>A penalty of 0.5% of the delivered price of the delayed goods for each week subject to a maximum of 5% (five percent) of the delivered price is to be incorporated in the terms and conditions of the purchase order. Delivery period shall include supply of the item in good condition and satisfactory installation. Any request for extension of</p>	Minor modification for clarity

Existing Rules	Revised Rules	Justification
the requirements for paying the bills shall be counted under penalty clause. The Material Management section will pass bills for payment only after receipt of report of the concerned HOD regarding supply in good condition, satisfactory installation and performance by the firm as per the terms and conditions of the purchase order.	time by vender (with specific reasons) should be carefully reviewed and approved by DPC/PPC. No approval is required for extension of time from competent authority. Any delay in fulfillment of the requirements for paying the bills shall be counted under penalty clause. The Material Management section will pass bills for payment only after receipt of report of the concerned HOD regarding supply in good condition, satisfactory installation and performance by the firm as per the terms and conditions of the purchase order.	
2. The Material Management section will send photocopies of the relevant papers e.g. Purchase Order, Comparative Statement (Technical & Financial Bids) and other documents related to the concerned department for record and future reference, if required. The complete purchase file will remain in the Material Management section.	Deleted	repetition
3. Any relaxation in the purchase regulations shall be made with the prior approval of the Competent Authority	Deleted	repetition
4. The "buy-back" for purchase through quotation/tender or through rate contract for supply of equipment and systems, including Personal Computers, Refrigerators, Air-conditioners and Xerox Machines etc. is admissible. While inviting quotations/tenders or proposal for rate contract, the supplier/vendor will be asked to quote rates and other terms for 'buy-back' of existing equipment/systems. However, the following conditions shall apply: (a) In case of computers, system should be at least three years old.	2. The "buy-back" for purchase through quotation/tender or through rate contract for supply of equipment and systems including personal computers, refrigerators, air-conditioners, photocopy machines, data projector etc. is admissible. While inviting quotations/tenders or proposal for rate contract, the supplier/vendor will be asked to quote rates and other terms for 'buy-back' of existing equipment/systems. However, the following conditions shall apply: (a) In case of computers, system should be at least three years old.	Word Xerox replaced with Generic Word

Existing Rules	Revised Rules	Justification
<p>(b) In case of photo-copier machines, a machine should be at least seven years old or five lakh of copies should have been generated on the old machine.</p> <p>(c) In case of refrigerators and air-conditioners, they should be at least seven years old.</p> <p>Note: Buy-Back shall be initiated on the recommendation of a Departmental Technical Committee constituted by DPC/PPC.</p>	<p>(b) In case of photo-copier machines, a machine should be at least seven years old or five lakh of copies should have been generated on the old machine.</p> <p>(c) In case of refrigerators and air-conditioners, they should be at least seven years old.</p> <p>(d) Un-serviceable/ beyond repair items</p> <p>(e) Cost of operation and maintenance is high</p>	
5. For the purchase of the books/publication and periodicals by the library and the department/centers the Institute Library Advisory Committee shall frame and issue the policy and rules from time to time with the approval of Competent Authority.	3. For the purchase of the books/publication and periodicals by the library and the department/centers the Institute Library Advisory Committee shall frame and issue the policy and rules from time to time with the approval of Competent Authority.	No Change
6. The points which are not covered by the purchase rules of the Institute will be as per the General Financial Rules' of the Government of India.	4. The points, which are not covered by the purchase rules of the Institute, will be as per the GFR of the Government of India.	No change
7. Competent Authority means the Director of IIT, Roorkee. Any matter not covered by these rules may be referred to the Competent Authority	5. Any matter not covered by these rules and GFR may be referred to the Director.	Minor modification for clarity
8. Considering the Govt, guidelines e-procurement should be adopted.	Deleted	repetition

Notes:

1. For the purpose of this document Head of the Department (Head) is the Head of Academic Department/ Centre/ Unit/ Dean/ Registrar/ Estate and Works/ GATE/ JEE/ ICC/ IIC/ Library/ Hospital/ Students Activities etc.
2. These rules may be revised as and when required but not later than 3 years.
3. E-Procurement mode should be made effective by April 2018.

StoreRules

Existing rules	Proposed Addition	Justification
CLASSIFICATION OF STORES:	1. Classification of stores:	
<p>All stores procured shall be classified into following three categories as notified by the competent authority from time to time:</p> <p>(A) Major Asset (MAS) (B) Minor Asset (MIA) (C) Consumable Stores (CS)</p>	<p>All stores procured shall be classified into following three categories:</p> <p>(A) Major Asset (MAS) (B) Minor Asset (MIA)/ Limited Life Time Asset (LLTA) (C) Consumable Stores (CS)</p>	<p>With respect to its work, classification is improved and has been adopted in other IITs.</p>
<p>(A) Major Assets (MAS):</p> <p>Stores satisfying any one of the following conditions shall be classified as major Assets.</p> <p>(i) Stores, which are intended to be used over, prolonged periods before becoming unusable and/ or obsolete. (ii) Any item, which is classified as Major Assets (MAS) by the standing committee (as given in note below) constituted for this purpose.</p>	<p>(A) Major Assets (MAS):</p> <p>Stores satisfying any one of the following conditions shall be classified as major Assets.</p> <p>(i) Stores, which are intended to be used over, prolonged periods before becoming unusable and/ or obsolete. (ii) Any item, which is classified as Major Assets (MAS) by the standing committee (as given in note below) constituted for this purpose.</p>	
<p>Examples: Laboratory Equipment, Assembled Instruments, Brass Ware, Flower Pots, Lamp Stand etc. Fabricated Instruments, Gas Cylinders, Almirahs Steel, Main frame computers/servers, Work Stations, Motors, Networking Devices, Photocopying Machines, Plot Printers, Multimedia Projectors, Welding Machine, Workshop heavy equipment (Lathe Machines, Drilling & Milling Machines, Power Saw, Wood Working Machines) etc.</p>	<p>Examples: Laboratory Equipment, Assembled Instruments, Brass Ware, Flower Pots, Lamp Stand etc. Fabricated Instruments, Gas Cylinders, Almirahs Steel, Main frame computers/servers, Motors, Networking Devices, Plot Printers, Welding Machine, Workshop heavy equipment (Lathe Machines, Drilling & Milling Machines, Power Saw, Wood Working Machines) etc.</p>	



07 DEC 2017

Existing rules	Proposed Addition	Justification
<p>(B) Minor Assets (MIA):</p> <p>Stores may be classified as Minor Assets or "Limited Life Time Assets" for the items with a life of 4-5 years. Examples: All Laboratory Equipment, (Power supplies, CVTs/CRO etc), type writers, accessories and audiovisual systems, All room fixtures (door closers, blinds, boards, wall/ exhaust fan etc), UPS, Wooden and Steel Furniture (chairs, tables, racks, trolleys, cabinet etc), Battery chargers, Computer Accessories, Cryogenic containers, Cyclostyling machines, Fume Hoods, Modems/hubs (Routers) switches, Personal Computers, Portable Generators, inkjet/laser printer Small portable electrical hand tools (Hand drill, planners, grinders etc), Software, Telephone sets including mobile phones, Vacuum cleaners, desktop, palmtop calculators, etc.</p>	<p>(B) Minor Assets (MIA) or Limited Life Time Asset (LLTA)</p> <p>Stores may be classified as Minor Assets or "Limited Life Time Assets" for the items with a life of 4-5 years. Examples: All Laboratory Equipment, (Power supplies, CVTs/CRO etc.), type writers, accessories and audiovisual systems, All room fixtures (door closers, blinds, boards, wall/ exhaust fan etc.), UPS, Wooden and Steel Furniture (chairs, tables, racks, trolleys, cabinet etc.), Battery chargers, Computer Accessories, Work Stations, Photocopying Machines, Multimedia Projectors, Cryogenic containers, Cyclostyling machines, Fume Hoods, Modems/hubs (Routers) switches, Personal Computers, Portable Generators, inkjet/laser printer Small portable electrical hand tools (Hand drill, planners, grinders etc.), Software, Telephone sets including mobile phones, Vacuum cleaners, desktop, palmtop calculators, CCTV cameras etc.</p>	<p>Having the limited life time (3 to 5 years) and hence be included in the limited time assets</p>
<p>(C) Consumable Stores (CS):</p> <p>Stores satisfying any of the following conditions shall be classified as Consumable Stores.</p> <p>(i) Stores, which exhaust with lapse of time. (ii) Stores, which are rendered unserviceable due to normal wear and tear. (iii) Stores, which have negligible disposal value.</p> <p>Examples: Chargeable and non-chargeable batteries, Chemicals & plastic material, Components installed inside the Cabinet of the Personal Computers (motherboard, RAM, ports, Hard Disk, DVD, PCI cards etc.), Electrical items like plugs, tops, switches, fixtures, heater plates etc., Electronic Component like resistors, ICs, LED's, Transistors, Diodes,</p>	<p>(C) Consumable Stores (CS):</p> <p>Stores satisfying any of the following conditions shall be classified as Consumable Stores.</p> <p>(i) Stores, which exhaust with lapse of time. (ii) Stores, which are rendered unserviceable due to normal wear and tear. (iii) Stores, which have negligible disposal value.</p> <p>Examples: Chargeable and non-chargeable batteries, Chemicals & plastic material, Components installed inside the Cabinet of the Personal Computers (motherboard, RAM, ports, Hard Disk, DVD, PCI cards etc.), Electrical items like plugs, tops,</p>	

Existing rules	Proposed Addition	Justification
<p>transformers, soldering iron and solder etc.), fabrication materials like Metal sheets, rods, wires, Glass and Quartz ware, Hand Tools (screw drivers, pliers, scissors, tools related to gardening and other tools etc.), plant pots. Light sources (bulbs, tubes, laser pointers etc.), Optical components like Lenses, Prism, Gratings, filters, optical fibers, patch cord etc., printer consumables (Ribbon, Cartridges etc.), Stationery items (papers, cutters, staplers, pens, pencils, alpenes, u-clips, sharpeners, dispensers, pen stands, CD covers etc.), tubing (copper, Aluminum, rubber, PVC etc.), umbrellas & raincoats, Workshop cutting tools (Bits, hacksaws, blades, drill bits, oil & coolants, files etc.), Capacitors, CD ROMs, CDs, Conductivity bridge, Connectors, Curtains, Daris/Carpets & other cloth items, Electric wires / UTP Cables /Optical Fibers, Electrodes, Floppies/pen drives, Handheld water sprayer/sprinkler, Heating mantles, Iron meter, Keyboard, mouse and speakers, Lab. Apparels (shoes, lab coats, goggles, aprons, gloves etc.), Magnetic tape, Medicines, Non electrical balance, pH meters, Plastic buckets. Room Heaters and Blowers, Shakers, Small Measuring components and instruments (current/volt/Ohm meters costing less than Rs. 10,000/-), Stirrer, Table covers, Thermostat, Torch, Water bath, Water distillation glass units, Water distillation stills etc.</p> <p>NOTE: The Competent Authority may constitute a standing committee to resolve any confusion in classifying the assets not covered above.</p>	<p>switches, fixtures, heater plates etc., Electronic Component like resistors, ICs, LED's, Transistors, Diodes, transformers, soldering iron and solder etc.), fabrication materials like Metal sheets, rods, wires, Glass and Quartz ware, Hand Tools (screw drivers, pliers, scissors, tools related to gardening and other tools etc.), plant pots. Light sources (bulbs, tubes, laser pointers etc.), Optical components like Lenses, Prism, Gratings, filters, optical fibers, patch cord etc., printer consumables (Ribbon, Cartridges etc.), Stationery items (papers, cutters, staplers, pens, pencils, alpenes, u-clips, sharpeners, dispensers, pen stands, CD covers etc.), tubing (copper, Aluminum, rubber, PVC etc.), umbrellas & raincoats, Workshop cutting tools (Bits, hacksaws, blades, drill bits, oil & coolants, files etc.), Capacitors, CD ROMs, CDs, Conductivity bridge, Connectors, Curtains, Daris/Carpets & other cloth items, Electric wires / UTP Cables /Optical Fibers, Electrodes, Floppies/pen drives, Handheld water sprayer/sprinkler, Heating mantles, Iron meter, Keyboard, mouse and speakers, Lab. Apparels (shoes, lab coats, goggles, aprons, gloves etc.), Magnetic tape, Medicines, Non electrical balance, pH meters, Plastic buckets. Room Heaters and Blowers, Shakers, Small Measuring components and instruments (current/volt/Ohm meters costing less than Rs. 10,000/-), Stirrer, Table covers, Thermostat, Torch, Water bath, Water distillation glass units, Water distillation stills etc.</p> <p>NOTE: The Competent Authority may constitute a standing committee to resolve any confusion in classifying the assets not covered above.</p>	

Existing rules	Proposed Addition	Justification
General Rules: 1. Stock registers for all Major Assets, Minor Assets and Consumables should be maintained separately in each department and kept with the concerned Head of the department. 2. Stock Registers for Major Assets and Minor Assets shall also be maintained separately in each laboratory. 3. Stock Registers for Assets and consumables purchased under project shall be maintained separately by the concerned PI and at the closure of the project the items assets and consumables have to be transferred to the stock register of the Institute. 4. Stock Registers (for all Major Assets, Minor Assets and consumable items) for each Project shall be maintained separately (and kept with the concerned Laboratory/ P.I.) but all the assets shall also be entered simultaneously in the departments T & P register. 5. Details of the assets & consumables shall simultaneously be intimated to the Material Management Section by the different departments as and when purchase is made by them.	2. General Rules: 1. Stock registers for all Major Assets, Minor Assets and Consumables should be maintained separately in each department and kept with the concerned Head of the department. 2. Stock Registers for Major Assets and Minor Assets shall also be maintained separately in each laboratory. 3. Stock Registers for Assets and consumables purchased under project shall be maintained separately by the concerned PI and at the closure of the project the items assets and consumables have to be transferred to the stock register of the Institute. 4. Stock Registers (for all Major Assets, Minor Assets and consumable items) for each Project shall be maintained separately (and kept with the concerned Laboratory/ P.I.) but all the assets shall also be entered simultaneously in the departments T & P register. 5. Details of the assets & consumables shall simultaneously be intimated to the Material Management Section by the different departments as and when purchase is made by them.	
Store Verification: The annual verification of all Major and Minor Assets of all laboratories in the Department shall be done by the verifying officer appointed by the Head of the Department and the O.C. laboratory at department level and also by a centrally appointed committee including a member of Material Management Section. On recommendations of the O.C. and verifying officers of all laboratories regarding the irrecoverable losses and losses due to stores lost, or rendered unserviceable dueto fair wear and tear the Head of the Department /Centre/ Unit will constitute the committee	3. Store Verification: The annual verification of all Major and Minor Assets of all laboratories in the Department shall be done by the verifying officer appointed by the Head of the Department and the O.C. laboratory at department level and also by a centrally appointed committee including a member of Material Management Section. On recommendations of the O.C. and verifying officers of all laboratories regarding the irrecoverable losses and losses due to stores lost, or rendered unserviceable dueto fair	

Existing rules	Proposed Addition	Justification
<p>for survey of unserviceable (Major & Minor Assets) in their respective department. This committee of the Department shall inspect such losses and fix their depreciated value. It will also pin-point responsibility for losses of items found short and shall recommend as to how these are to be made up/paid for by the individuals responsible for the loss. The report of the committee shall be considered by the Department Policy Committee and its recommendations in respect of major assets shall be sent to the Deputy Registrar / Assistant Registrar (Material Management) on prescribed Performa, for consideration by the Institute Technical Committee for writing off and disposal.</p>	<p>wear and tear the Head of the Department /Centre/ Unit will constitute the committee for survey of unserviceable (Major & Minor Assets) in their respective department. This committee of the Department shall inspect such losses and fix their depreciated value. It will also pin-point responsibility for losses of items found short and shall recommend as to how these are to be made up/paid for by the individuals responsible for the loss. The report of the committee shall be considered by the Department Policy Committee and its recommendations in respect of major assets shall be sent to the Deputy Registrar / Assistant Registrar (Material Management) on prescribed Performa, for consideration by the Institute Technical Committee for writing off and disposal.</p>	
Writing off and disposal of Unserviceable Stores:	4. Writing off and disposal of Unserviceable Stores:	
<p>(a) On the recommendation of DPC, the Head of the department may allow writing off the minor assets with intimation to the Deputy Registrar / Assistant Registrar (Material Management).</p> <p>(b) On the recommendation of DPC, the Head of the department may send the proposal for writing off the major assets to the Deputy Registrar / Assistant Registrar (Material Management).</p> <p>(c) The Competent Authority shall appoint an Institute Technical Committee which shall examine the proforma- sent by the Departments etc. and shall recommend the Major Assets which are actually unserviceable /beyond economic repair/beyond local repair, to be considered for writing off, by the Competent Financial authority. The Technical Committee may delete those items, which in its opinion, are serviceable or are not beyond local/economic repair. Thereafter, prescribed proforma will be forwarded</p>	<p>(a) On the recommendation of DPC, the Head of the department may allow writing off the minor assets with intimation to the Deputy Registrar / Assistant Registrar (Material Management).</p> <p>(b) On the recommendation of DPC, the Head of the department may send the proposal for writing off the major assets to the Deputy Registrar / Assistant Registrar (Material Management).</p> <p>(c) The Competent Authority shall appoint an Institute Technical Committee which shall examine the proforma- sent by the Departments etc. and shall recommend the Major Assets which are actually unserviceable /beyond economic repair/beyond local repair, to be considered for writing off, by the Competent Financial authority. The Technical Committee may delete those items, which in its opinion, are serviceable or are not beyond</p>	

Existing rules	Proposed Addition	Justification																								
<p>to the Deputy Registrar/Assistant Registrar (Material Management), for consideration by the Competent Authority. The composition of the Technical Committee shall be as under:</p> <p>(i) One Professor to be nominated by the Director for three years who shall be the Chairman.</p> <p>(ii) One Faculty member/Officer nominated by the concerned Department/Limb of the Institute for a period of three years.</p> <p>(iii) Two other Faculty Members as members to be nominated by the Director for a period of three years.</p> <p>(iv) One Faculty Member/Officer as member from outside the concerned Department to be nominated by the concerned Department/Limb of the Institute for a period of three years.</p>	<p>local/economic repair. Thereafter, prescribed proforma will be forwarded to the Deputy Registrar/Assistant Registrar (Material Management), for consideration by the Competent Authority. The composition of the Technical Committee shall be as under:</p> <p>(i) One Professor to be nominated by the Director for three years who shall be the Chairman.</p> <p>(ii) One Faculty member/Officer nominated by the concerned Department/Limb of the Institute for a period of three years.</p> <p>(iii) Two other Faculty Members as members to be nominated by the Director for a period of three years.</p> <p>(iv) One Faculty Member/Officer as member from outside the concerned Department to be nominated by the concerned Department/Limb of the Institute for a period of three years.</p>																									
<p>(d) The recommendations of the Institute Technical Committee (ITC) are to be considered by the Competent Financial Authority (CFA) to write off as under:</p> <table border="1"> <thead> <tr> <th>CFA</th><th>Normal Wear & Tear, Individual Item Costing (Rs.)</th><th>Abnormal Wear & Tear, Individual Item costing (Rs.)</th></tr> </thead> <tbody> <tr> <td>Head of the Deptt.</td><td>Upto 15000</td><td>Nil</td></tr> <tr> <td>Director</td><td>Up to 500000</td><td>Up to 10000</td></tr> <tr> <td>Board of Governors</td><td>Above 500000</td><td>Above 10000</td></tr> </tbody> </table> <p>After approval of the Competent Financial Authority, a</p>	CFA	Normal Wear & Tear, Individual Item Costing (Rs.)	Abnormal Wear & Tear, Individual Item costing (Rs.)	Head of the Deptt.	Upto 15000	Nil	Director	Up to 500000	Up to 10000	Board of Governors	Above 500000	Above 10000	<p>(d) The recommendations of the Institute Technical Committee (ITC) are to be considered by the Competent Financial Authority (CFA) to write off as under:</p> <table border="1"> <thead> <tr> <th>CFA</th><th>Normal Wear & Tear, Individual Item Costing (Rs.)</th><th>Abnormal Wear & Tear, Individual Item costing (Rs.)</th></tr> </thead> <tbody> <tr> <td>Head of the Deptt.</td><td>Upto 15000</td><td>Nil</td></tr> <tr> <td>Director</td><td>Upto 20.00 lacs</td><td>Upto 2.00 lacs</td></tr> <tr> <td>BOG</td><td>Above 20.00 lacs</td><td>Above 2.00 lacs</td></tr> </tbody> </table> <p>After approval of the Competent Financial Authority, a proper notification for writing off is to be issued by</p>	CFA	Normal Wear & Tear, Individual Item Costing (Rs.)	Abnormal Wear & Tear, Individual Item costing (Rs.)	Head of the Deptt.	Upto 15000	Nil	Director	Upto 20.00 lacs	Upto 2.00 lacs	BOG	Above 20.00 lacs	Above 2.00 lacs	
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Existing rules	Proposed Addition	Justification
proper notification for writing off is to be issued by the Deputy Registrar/Assistant Registrar (Material Management)	the Deputy Registrar/Assistant Registrar (Material Management)	
Institute Disposal Committee:	5. Institute Disposal Committee:	
<p>The stores, written off, will be inspected and auctioned by the Institute Disposal Committee (IDC). The committee shall consist of the following members:</p> <p>(i) One Professor to be nominated by the Director, who shall be the Chairman for a period of three years.</p> <p>(ii) One Faculty member nominated by the concerned Department/Limb of the Institute for a period of three years.</p> <p>(iii) A Member Secretary to be appointed by the Director for a period of three years.</p> <p>(iv) An Assistant Registrar (Material Management) as the Joint Member Secretary to be appointed by the Director for a period of three years.</p>	<p>The stores, written off, will be inspected and auctioned by the Institute Disposal Committee (IDC). The committee shall consist of the following members:</p> <p>(i) One Professor to be nominated by the Director, who shall be the Chairman for a period of three years.</p> <p>(ii) One Faculty member nominated by the concerned Department/Limb of the Institute for a period of three years.</p> <p>(iii) A Member Secretary to be appointed by the Director for a period of three years.</p> <p>(iv) An Assistant Registrar (Material Management) as the Joint Member Secretary to be appointed by the Director for a period of three years.</p> <p>Items are required to be disposed in line with guidelines/rules of govt. for hazardous & non-hazardous items.</p>	

Notes:

1. These rules may be revised as and when required but not later than 3 years.
2. For the purpose of this document Head of the department (Head) is the Head of academic department/ Centre/ Unit/ Dean/ Registrar/ Estate and Works/ GATE/ JEE/ ICC/ IIC/ Library/ Hospital/ Students Activities etc.



07 DEC 2017

Delegation of Financial Powers Rules (DFPRs)

Although the basic structure of organizational functions and powers of an institute are laid down in its Act and Statutes, a large number of rules and regulations, ordinances, policy decisions are formulated by the Board of Governors for streamlining and in the interest of consistency, efficiency, transparency and regulating the fast growing activities of the institute.

Presently, the delegation of financial powers at IIT Roorkee is in scattered form and different sections work differently. In most of the cases delegation is not clear and in such cases files or documents are sent to higher authority or different sections for approval/clarification without any objectives and value additions. In the absence of a comprehensive delegation of financial powers, undue delays have been observed and smooth functioning of the process is hindered.

Delegations mirror the Institute's organizational structure and shared responsibilities. The authority held by any delegate is included in those held by that delegate's supervisor or line manager as a principle of "nested delegations". Deans/Heads/Faculty/officers are being empowered for efficiency and speedy processing.

In the context of changing economic and business scenario, introduction of Govt. Financial Rules, 2017 (GFR, 2017) and GST, use of online services, digital India mission, transparent and efficient governance and to prepare the consolidated delegation of power, a committee under the chairmanship of Prof Arun Kumar (Annex - 1) was constituted to prepare a document on delegation of financial powers for the Institute after reviewing the existing delegation of financial powers and suggest necessary changes taking into consideration the above said changes. The committee has gone through the existing delegation in all the offices/units, studied similar document and practices in sister organizations and recommended the following document after due⁴¹ consultation with Heads of the

departments/Centres/Units and Deans. For the purpose of this document
Head of department (HOD) is the Head of Academic
Department/Centre/Unit/Dean/Registrar/Estate &
Works/GATE/JEE/CEC/Library/Hospital/Student Activities etc.



07 DEC 2017

Subject	Description	Existing	Proposed	Remarks
1. Accounts	1.1 Approve annual audited financial statements.	BOG	BOG	
Budgets				
- 43 -	2.1 Approve annual Institute Budget Estimates.	BOG on the recommendation of Finance Committee	BOG on the recommendation of Finance Committee	
	2.2 Allocation and re-appropriation of funds. (within BOG approved Institute budget)	Director- Full power	Director - Full power	
	2.3 allocation to different sections / units / departments	Dean Finance & Planning with the consent of the Director	Dean Finance & Planning with the consent of the Director in consultation with concerned where applicable.	
	2.4 Item-wise allocation within the sanctioned budget to the unit / section / department.	Dean Finance & Planning with the consent of the Director	HOD (on the recommendation of DAC /advisory committee if applicable)	For greater accountability.
3. Travel				
3. Within India	3.1.1 Director	Self	Self	
	3.1.2 Experts/Examiners/ pertaining to Academic Programmes (UG/PG/PhD)	DoAA	DoAA	
	3.1.3 Activities under Dean SRIC	Not Clear	Dean SRIC	Better accountability
	3.1.4 Experts for selection committees	DOFA /Dy Director	DOFA for Faculty	Better accountability
			Dean Administration for	Better

Subject	Description	Existing	Proposed	Remarks
- 44 -			Non-Teaching	accountability
			Dean SRIC for the projects	Better accountability
	3.1.5 Dy Director / Deans / Registrar/ HoD's//Prof. Incharge/Chairperson/Co-ordinator, CEC, QIP/ET cell (other than project/course work)	Dy Director / Director	DD/Director	
	3.1.6 Faculty members including Travel under PDA and Group A officers (other than travel for Projects and Chairs) Guest in the department (including honoraria), students (including students' tours), M. Tech / PhD admissions, Group B,C,D staff of Departments from Departmental travel funds (as per rules.)	Dy Director/ Heads	HOD of the units /departments / sections within the allocated budget	Better accountability
	3.1.7 Sponsored Research and Consultancy Projects	Principal Investigator	Principal Investigator	
	3.1.8 Experts, participants and self for Courses related to Continuing Education Centre and QIP	Coordinator CEC/QIP /ETC	Principal Investigator (Course- Coordinator)	Better accountability

Subject	Description	Existing	Proposed	Remarks
	3.1.9 LTC etc - Teaching staff	DOFA	DOFA	
	3.1.10 LTCetc - Non-Teaching staff	Dean, Administration	Dean, Administration	
3.2 Travel outside India	Approve travel outside India.	Chairman BOG for Director	Chairman BOG for Director	
		For others -Director	For others -Director	
- 45	Travel to India by foreigners/experts from outside India	Dean SRIC	Dean SRIC for activities under SRIC	Better accountability
		Director	Dean (F&P) (other than SRIC activities)	Better accountability
3.4 Travel on medical grounds	3.5.1 Travel approval (as per entitlement) / Travel by ambulance	Chairman HAC	CMO	To reduce the number of channels as the journey is as per entitlement.
	3.5.2 Taxi approval for medical treatment	Deputy Director	Chairperson, HAC	Being medical cases by head of Hospital
	3.5.3 Approval for Air Journey	Deputy Director	Dean(F&P)	
3.6. Deviation approval	Deviation approval (taxi, air, other) for destinations other than notified by the Institute	Deputy Director	Dean F&P	This being one level above than normal approval authority

Subject	Description	Existing	Proposed	Remarks
4 Advances				
4.1 Travel advances	Approval of Travel advances	Dy Director	Travel sanctioning authorities	Being part of the normal travel approval
4.2 Other advances	4.2.1 Temporary advances for projects	Dean SRIC	Dean SRIC	
	4.2.2 Temporary advances for other than projects	Dy Director	Chairperson, HAC for medical treatment	Being medical cases by head of Hospital
			Chairperson JEE, GATE, P.G Admission for their offices	Better accountability
			Dean (F&P)	
4.3 Imprest	4.3.1 For projects	Dean SRIC	Dean SRIC	
	4.3.2 Imprest other than projects	Dy Director	Heads (uptoRs. 20,000)	Better accountability
			Dean F&P above Rs 20,000	Better Accountability
Budget/ Account Heads	5.1. Open / close budget / account heads 5.2 Open / close bank accounts	Not Defined	Dean SRIC for Projects Dean Finance & Planning for others	Now defined and are direct responsible
6. Investments	Make / break investments	Director on recommendation of <i>Institute Investments Committee.</i>	Director: on recommendation of <i>Institute Investments Committee.</i>	

Subject	Description	Existing	Proposed	Remarks
7. Cash flow management	Intra and Inter-bank /account transfers (for inter budget head for cash management/advance/loan purposes/)	Not Defined	Dean SRIC for projects Dean (F&P) for others	Now defined and are direct responsible
8. Pre-Audit	Pre-audit of: - All purchase proposals (indigenous and imports) including rate contracts above Rs. 50,000 (in previous version it was Rs. 5.00 lakhs) - All payments and adjustment of advances above Rs. 5,000 (imports, salary, honorarium, overtime, pension, NPS, and all other personal claims excepted); - E&W bills - All pay fixation, retirement / terminal benefits, leave encashment (on resignation / retirement), transfer of services, service matters impacting the finances etc.	Dy Registrar (Internal Audit)	Dy Registrar (Internal Audit)/Officer-in-charge - All payments and adjustment of advances above Rs. 2,000 (imports, salary, honorarium, overtime, pension, NPS, and all other personal claims excepted); - All purchase proposals (indigenous and imports) including rate contracts above Rs. 5.00 lakhs - E&W bills - All pay fixation, retirement / terminal benefits, leave encashment (on resignation / retirement), transfer of services, service matters impacting the finances etc	

- 47 -

Subject	Description	Existing	Proposed	Remarks
9. Engagement of professional services	Engagement of auditors, tax consultants, actuaries, and lawyers, Consultants etc.	Not defined	Dean (F&P) for auditors, tax consultants, actuaries etc. Registrar for lawyers etc. Dean SRIC: for SRIC office . DD/Director Full power (not covered above)	Now defined and are direct responsible
10. Write-offs	Write-off materials with normal wear and tear, individual item costing	HOD upto Rs 15,000	Director: Up to Rs. 20 lakhs	To centralize system of disposal and to Enhance limit
		Director above 15,000 and upto Rs 5 Lakhs	BOG: Full Powers	
		BOG above Rs 5 lakhs		
	Write-off materials / items for disposal, losses due to theft, fraud, negligence etc, abnormal wear and tear.	Director upto Rs 10,000	Director: Up to Rs. 2 lakhs	To Enhance delegation limit
		BOG above Rs 10,000	BOG: Full Powers	
11. Competent Authorities	Purchase Related Competent Authorities	As per existing purchase rules	1. For purchase/ orders up to Rs. 50,000/- is Head/ Principal Investigator (PI). 2. The online purchase up to Rs. 1 Lakh- from source within India and up to USD 2,000 from source in foreign country is Head/ PI. 3. For purchases from Rs. 50,000/- to Rs. 5 lakhs is the concerned Departmental purchase committee (DPC)/ Project Purchase Committee (PPC). 4. For purchases more	10.

Subject	Description	Existing	Proposed	Remarks
- 49 -			<p>than Rs. 5 Lakhs- and uptoRs 50 lakhs is the Dean (F&P)/Dean (SRIC) as required.</p> <p>5. For purchase above Rs 50 lakhs DD/Director full power.</p> <p>6. For purchases made by local purchase committee (LPC) up to Rs. 2.5 lakh recommended by the Head/ PI and approved by Dean (F&P)/ Dean (SRIC) and above Rs. 2.5 lakhs to Rs. 25.0 lakhs by DD/Director on the recommendation of Head/PI and Dean(F&P)/Dean (SRIC).</p> <p>7. The annual maintenance/ service contract from the original equipment/ machines/ ACs manufacturer/ manufacturer's authorized supplier, for a value of maximum of 10% of the original cost for the first 2 years and thereafter 15% of the original cost or 110% of</p>	

Subject	Description	Existing	Proposed	Remarks
- 50 -			<p>previous year AMC value by Chairperson of DPC/ PPC or Dean (F&P)/Dean)SRIC) or Director.</p> <p>8. Full service/ comprehensive maintenance from the original equipment/ machine/manufacturer / manufacturer's authorized supplier by Chairperson of DPC/ PPC or Dean (F&P)/Dean)SRIC) or Director.</p> <p>9. The repair work, spare parts, calibration from the original equipment manufacturer/ manufacturer's authorized supplier, calibration from NABL accredited laboratory by Chairperson of DPC/ PPCor Dean (F&P)/Dean)SRIC) or Director.</p>	
12.Other delegations	12.1 (Purchase of) Land / Building	Not defined	MHRD/Visitor: Full Powers	Now defined and Better accountability
	12.2 (Renting of) Land / Building	Not defined	Director: Full Powers	
	12.3 Rent, Rates and Taxes	Not defined	Director: Full Powers	
	12.4 Motorized vehicles, for	Not defined	Director: Full Powers	

Subject	Description	Existing	Proposed	Remarks
- 51 -	Institute and / or projects.			
	12.5 Uniforms, Badges, and related items for employees as well as others.	Not defined	Dean Administration	
	12.6 Institute Promotion and Publicity	Not defined	Director: Full Powers	
	12.7 Insurance	Not defined	Director: Full Powers	
	12.8 Demurrage and Wharf age	Not defined	Officer-in-charge (MM):	
	12.9 Freight Handling	Not defined	Officer-in-charge (MM): Full Powers <i>(in line with duly approved contract terms)</i> .	
	12.1(a) Gifts/Mementos/ souvenirs/ transfer of non -usable assets to social welfare (write off)	Not defined	Director: Full Powers Dy Director: Up to Rs. 2 lakh Deans / Registrar / Deans/Heads/PI/: Up to Rs. 25,000	Now defined
13. Books/Journals	Books / Journals / Periodicals	Chairman LAC	Chairman LAC: Full Powers Librarian: Up to Rs. 1,00,000	Now defined and Better accountability
14. Contracts	14.1 Sign Contracts/MOU (following administrative approval and / or expenditure sanction by the competent authority)	Not clearly defined	Dean SRIC: Full Powers for Projects including recruitment of project staff P.I: for all contracts / agreements pertaining to Projects, Research and Development with the approval of Dean SRIC Registrar: Full Powers (for all contracts / agreements related to General Administration including	Now defined and for better accountability

Subject	Description	Existing	Proposed	Remarks
			recruitment of personnel, advances and loans)	
			IE E&W: Full Powers (for all contracts /agreements related to construction, maintenance, fabrication or manufacturing of buildings, machines or tools related to Institute's Works Department)	
	14.2 Extension of contracts	Not Defined	Director: Full Powers	
			Dean SRIC for projects	
15. Variation/Extensions in Purchase orders/Contracts	15.1 Approve any and all variation(s) to earlier delivery period) Release of Earnest Money Deposit (EMD) / Performance Security;	Not Defined	Respective competent authority related to academic departments / units /centres	Now defined and for better accountability



07 DEC 2017

Subject	Description	Existing	Proposed	Remarks
- 53 -	15.2 Except above: Any and all variation(s) to earlier approved terms of expenditure, including but not limited to: <ul style="list-style-type: none"> - extension of delivery period (with or without liquidated damages as per purchase order); - price increase against fixed-price contracts; - relax / waive EMD / Performance Security requirement; - relax / waive compensation / loss due to failure of supplier / contractor. 	Dy Director / Director	DD/Director	
16. Confirmation of delivery and satisfactory installation	Confirm satisfactory delivery / installation / commissioning of ordered goods / services	Purchase Indentor	Purchase Indentor	
17. Payment procedure				



07 DEC 2017

Subject	Description	Existing	Proposed	Remarks
17.1 Pay orders of the bills	For Grants other than SRIC office and GATE/JEE/ examination special	Finance & Accounts Office: UptoRs. 75,000 Asstt. Registrar or above, Rs. 75,000 - 5 Lakhs Joint signature of Joint Registrar (F&A) and Registrar or above, 5 lakh and above Registrar and Dean F&P joint signatures.	1. Up-to Rs. 2 lakhs- single signatory (A.R Or D.R. or Joint Registrar) 2. Above Rs. 2 lakhs and up-to 10 lakhs two joint signatory (A.R./D.R./Joint Registrar)(or in case of any of them is not available then Registrar)	To enhance efficiency and improve resources utilization
	For SRIC Office:	Existing Up to 75,000/-Dy Registrar (SRIC A/c) /Assoc. Deans/Dean SRIC and in case more than 75,000/- any two of them.	3. Above Rs 10 lakhs two joint signatures any of D.R./Joint Registrar (or in case of any of them is not available then Registrar) and	To enhance efficiency and improve resources utilization
	GATE/ JEE	GATE/ JEE / CEC 25,000 single signature of Dy Registrar or Chairman, thereafter joint signature. (in case of P.G admission it is 10,000 and above)	4. Under emergent instances, Chairman GATE / JEE/ Dean (F&P)/Dean (SRIC) may be single signatory.	
17.2 Signing the cheque/ instruction to bank for digital payment	For Grants other than SRIC office and GATE/JEE/ examination Similar	Finance & Accounts Office: UptoRs. 75,000 Asstt. Registrar or above, Rs. 75,000 - 5 Lakhs Joint signature of Joint Registrar (F&A) and Registrar or above, 5 lakh and above Registrar and Dean F&P joint signatures.	1. Up-to Rs. 2 lakhs- single signatory (A.R. or D.R. or Joint Registrar) 2. Above Rs. 2 lakhs two joint signatory (A.R. / D.R./Joint Registrar (or in case of any of them is not available then Registrar) 3. Under emergent	To enhance efficiency and improve resources utilization and to avoid faculty time on this procedural activities after approval by

Subject	Description	Existing	Proposed	Remarks
195 Provident Fund		SRIC Office:	instances, Chairman GATE / JEE/ Dean (F&P)/Dean (SRIC) may be single signatory.	competent authority and due care at the step of pay order
	For SRIC office	Existing Up to 75,000/-Dy Registrar (SRIC A/c) /Assoc. Deans/Dean (SRIC) and in case more than 75,000/- any two of them.		
	GATE/ JEE or other special examination	GATE/ JEE / CEC 25,000 single signature of Dy Registrar or Chairman, thereafter joint signature. (in case of P.G admission it is 10,000 and above)		
195 Provident Fund	Sanction temporary advance, withdrawals and final payments	By Dean F & P (but not defined)	Dean Finance & Planning : Full Powers	To clarify

Note:

1. These delegation of financial power may be reviewed from time to time but not later than 3 years.
2. For specific needs, a faculty member or a Group 'A' Officer may be given the financial powers equivalent to the Head of a Department, by the Director.



07 DEC 2017

Appendix 'C'
Item No. FC/40.11

Delegation of financial powers with respect to the expenditure in Estate & Works.

Sl. No.	Description of Jobs	Approving Officer	Maximum delegated amount (Rs)
1.	Approval, placing of work order and processing of Bills	Group 'A' Officers of AEE level	10,000/-
2.	Approval, placing of work order and processing of Bills	Executive Engineer	50,000/-
3.	(a) Approval, placing of work order and processing of Bills (b) Approval of Placing of Work Order for works more than Rs. 5,00,000/- and up to Rs. 50,00,000/-. Bills shall be processed by the Institute Engineer through Associate Dean Infrastructure.	Institute Engineer Dean Infrastructure	5,00,000/- 50,00,000/-
4.	Placing of work order of more than Rs. 50,00,000/- and upto Rs. 2,00,00,000.00 by the Dean Infrastructure with prior permission/ Approval from Director. Bills shall be processed by the Institute Engineer through Associate Dean Infrastructure and Dean Infrastructure.	Director	2,00,00,000.00
5.	All works of value more than Rs. 2,00,00,000.00. Bills shall be processed by the Institute Engineer through Associate Dean Infrastructure and Dean Infrastructure.	Building & Works Committee (B&WC), Finance Committee (FC) and Board of Governors (BOG)	-
6.	Variation on the contract cost	1. Upto 20% maximum by Dean Infrastructure The Director can allow variation beyond 20% with ceiling of 50%. However, in exceptional cases, the Director can allow upto 100%, if due justification is provided.	-
7.	Extra Items	Dean Infrastructure on the recommendations of the Institute Engineer	-
8.	Time Extension	1. For works upto Rs. 2.00 crore, Dean Infrastructure 2. For works more than Rs. 2.00 crore, Director	-