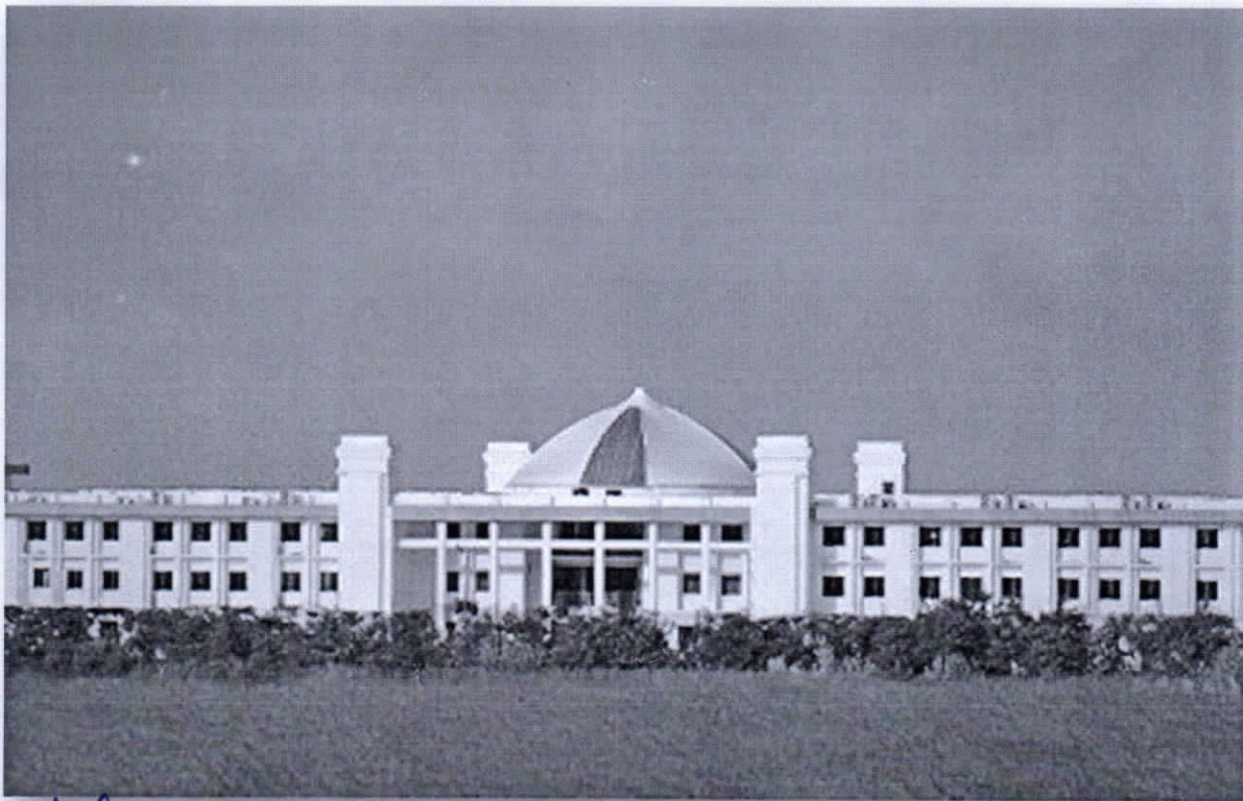


CONSULTANCY POLICY

Guidelines for Support, Monitoring, Compliance,
and Review of Consultancy Initiatives



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Research and Development
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Dean
Research and Development
Invertis University, Bareilly


VICE CHANCELLOR
INVERTIS UNIVERSITY
BAREILLY


Registrar
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CONSULTANCY POLICY

1. Introduction:

It is well recognized that consultancy is an effective way for universities to disseminate knowledge and make an early and direct impact on society. However, the balance between consultancy and the traditional roles of the academic staff needs to be managed and the interests of the university must be protected. This Policy provides provisions for conducting consultancy to ensure that consultancies undertaken by staff are consistent with the university's strategic and operational objectives and the costs are sustainable. Invertis University is committed to make its expertise available through services to industry, commerce, government, professions, arts and other educational and research organizations.

Consultancy means an assignment/ job aimed at providing expert advice, problem solving, targeted training, testing, and laboratory based experimental work, market research and survey etc. for consideration of a fee.

2. General Principles of the Consultancy Policy

All Research and Non-research consultancies as described here are governed by the following guiding principles:

- a. There should be demonstrable benefit to the Invertis University from the consultancy through income, enhanced reputation, and/or expanding the expertise of the staff member.
- b. Consultancy work may be undertaken in the area of expertise of the Faculty members/ Scientists or a group of experts.
- c. The Consultancy services will be undertaken only with the prior permission of the University.
- d. It should not interfere with the performance of primary duties by the individual as per contract of employment.
- e. Failure to disclose or obtain formal approval for consultancy as required by this policy, shall be regarded as disciplinary matter.
- f. Staff members shall not undertake external research activities where no formal

agreement has been authorized by the university unless they are on leave without pay, approved by the concerned Dean. Such faculty member may not use their Invertis University affiliation or academic title when providing research services which are not approved by the University.

2.1. University Research Consultancy

A Research Consultancy exists where an academic staff member provides research services in return for remuneration from an external funder. A Research Consultancy may be the outcome of a tender or an individual negotiation.

2.2. University Non-research Consultancy

Non-research Consultancies include non-research activities, performed under contract for a third party. Non-research Consultancy would include the provision of professional services to external agencies for a fee. This would include, but not be limited to, routine laboratory and other testing of materials, devices or products, analysis of data such as market surveys, opinion surveys etc., The provision of professional services such as designing, legal, and medical advice undertaken by members of faculty and staff will be there.

2.3. Private Consultancy

In Principle, a faculty or staff member is not supposed to undertake a private consultancy unless it is approved by the competent authority. However, the faculty or staff conducting private consultancy, shall ensure that such work does not affect their allocated duties/obligations to the university. None of the benefits set out for University Consultancy are available to faculty and staff undertaking a Private Consultancy. It is the responsibility of the staff member undertaking a Private Consultancy to make clear to the person or body for which the Private Consultancy is undertaken that it is the staff member and not the University who is carrying out the work, and that the University has no responsibility or liability what so ever in the matter. A staff member conducting a Private Consultancy must ensure that the following criteria are met:

- a. The carrying out of tasks associated with the private consultancy will be accomplished without unduly affecting the duties of the position;

- b. The use of University trademarks such as letterheads, brands etc. or University intellectual property is strictly prohibited in private consultancies;
- c. No university facility (including library resources, power, space, equipment, consumables and telephone facilities) will be used to fulfill the requirements of the private consultancy;
- d. The private consultancy is not within an area in which the University might be contracting to provide a service on a commercial basis, possibly utilising the skills of the staff member involved;
- e. Invertis University is not bound by any agreement (written or otherwise) relating to the private consultancy;
- f. The staff member agrees to indemnify Invertis University and its representatives from and against all actions, claims, loss, damage, costs, charges, liabilities and demands arising directly or indirectly from or in respect of the Private Consultancy activity; and
- g. The staff member declares any real or potential conflict of interest to their manager.

3. Consultancy Procedure

(a) Approval to undertake Consultancy Activities

Consultancy proposal should be submitted giving the details in the format given in Appendix to this policy to the concerned Head of Department. He/she shall examine the proposal and submit it along with his/her recommendations to the concerned Dean. The concerned Dean should forward it to the Dean (R&D) with his/her recommendations. The Dean (R&D) should submit all such filled formats with final recommendations to the Registrar for processing. The registrar will put these to Vice Chancellor for final approval and issue consent letter to the concerned consultant. The following aspects need to be considered before recommending the proposal:

- i. Extent to which consultancy related work will be undertaken by the faculty in addition to the normal duties and work load.
- ii. No faculty member shall spend consultancy days whenever there is an

institutional commitment. They may do the consultancy work, preferably on off days.

- iii. Alternatively arrangement should be made for compensating non-availability of the concerned faculty during the period of consultancy.
- iv. The amount of expenditure needs to be estimated on account of providing Consultancy.
- v. The assignment is in the interest of the University in the long run and would not adversely affect the faculties' work at the university.
- vi. Contract for the consultancy work for any Indemnity Clause relating to delay in delivering the consultancy.

(b) Authorizing Officer.

The Registrar after taking approval of the Vice Chancellor will issue the approval letter. A copy of approval letter would be endorsed to the department concerned, HR Department and Account Department.

4. Staff Entitlements

The University allows staff to engage in research, non-research and/or private consultancies provided they do not interfere with the discharge of their duties towards the university. Consultancies shall be undertaken only with the approval of the competent authority. No limit is placed on earnings. However there is a limit on the time spent on Consultancy.

- a. Academic Staff may spend one day per week on approved consultancies, with a maximum of 48 days per year. Variations to this time commitment require the approval by the competent authority. A lesser time commitment may be approved when the proposed Consultancy interferes with the discharge of responsibilities.
- b. Deans must obtain written permission from the Vice-Chancellor to undertake Consultancies.
- c. Benefits of University Consultancy: The University provides the following benefits to staff undertaking University Research or Non-research Consultancies:
 - i. Protection under the University's professional indemnity and public liability insurances, subject to the terms, conditions and exclusions within

those policies.

- ii. The faculty or staff member will be protected under the terms of the current Insurance Policy held by the University in the event of a claim against the faculty or staff member undertaking the Consultancy or Grant (provided that the claim is not as a result of fraudulent, dishonest, criminal, wilful or malicious acts by the staff member).
 - iii. Access to the university's financial management processes to support and enable invoices to external organizations for funding and expenditure of project costs.
 - iv. Access to the University's resources such as technical and administration staff equipment and telecommunications, subject to approval by the Faculty or Office.
 - v. Entitlements to use the university's name and reputation provided it is not brought any disrepute by the work undertaken.
 - vi. Ability to make reference to their University position and title in connection with the work. The University does not extend these benefits to Private Consultancies. Any Consultancy conducted by a faculty or staff member that accesses any of these benefits in the course of undertaking the work will be regarded as a Research or Non-research Consultancy and subject to the conditions of this Policy.
- d. All Consultancies are required to include provision for overhead charges to be paid to the university.
 - e. The revenue generated from the consultancy project is shared by the member and the university in a 70:30 ratio after deducting the overheads and all other expenses met by the university.
 - f. If more than one member takes up the consultancy project the 70% amount shall be shared equally.

5. Approval

All University approved consultancies are required to be approved and managed in accordance with this Policy, associated documents, and other University policies.

Applications to conduct Consultancy are required to be approved through.

5.1. Exemptions and Variations

Exemptions to the above and variations to the standard overhead charge must be determined at the time of application, explicitly noted on the Research Funding/Consultancy Application coversheet, and approved by the relevant University Officer.

5.2. Transfers in from Other Institutions

In cases where a Research or Non-research Consultancy or grant is transferred to the University from another research organization, the overhead will not be taken from the funds where the awarded budget did not include an overhead component. In cases where a grant is being transferred to Invertis University from another research organization and overheads are permissible in accordance with the funding schedule, the agreed overheads awarded will be with held by the University.

6. Conflict of Interest

Engagement in consultancies must not create a conflict of interest, perceived or actual. Any conflict of interest, actual or perceived must be reported to the relevant University Officer for resolution. A conflict of interest may arise where an employee engages in consultancies at the expense of the University's interests or the interests of other employees or students.

Examples of a potential conflict of interest include, but are not limited to:

- a. financial or non-financial interests;
- b. teaching or course work for another institution;
- c. work performed for a supplier of goods or services to the university; or
- d. work undertaken with an organization to which the university supplies goods or services.

6.1. Consultancies with Other Tertiary Institutions

Full-time members of the university staff should not accept regular full time consultancies with other institutions without first obtaining the permission of the Vice Chancellor.

7. Intellectual Property

Any intellectual property arising from any research and non-research consultancies will be governed by the Intellectual Property Policy of the university.

8. Innovation, Incubation, Entrepreneurship Development, Patents, IPRs and Copy Right:

- a. The university shall create an innovation culture by organizing various kinds of programs such as ideation programs, collection of innovations from research undertaken in respect of academic, extension, extramural and outreach.
- b. Every major invention achieved out of conducting research shall be innovated and the same shall be incubated in the incubation centre which will be augmented from time to time.
- c. Students shall be allowed to select an incubated product and use the same to be developed in large scale through separately established start-up. All the training required for the students to become entrepreneurs, shall be imparted.
- d. The University shall incorporate an incubation centre that has all the facilities for incubating the innovations.
- e. Every innovation shall lead to filing a Patent.
- f. The university shall provide support required for filing the patents and also for completing the ground work required to get the patents registered and licensed.
- g. The university shall provide required support to the faculty for filing IPRs and copyrights when it has been proved by the faculty that such a filing is necessary to protect the value of the research done.

Appendix

Refer to Para 3 (a)

CONSULTING AND PROFESSIONAL ACTIVITY APPROVAL FORM

1. Name of institute for whom work is to be taken

2. Type of work

3. Probable duration of Consultancy

4. Concern money

 a) Total amount received

 b) Probable expenditure

 i) Consumables

 ii) Travel

 iii) Other

 c) Net receivable amount (a-b)

5. Value of Invertis University resources involved, if any

 a) Time of other staff

 b) Equipment & Consumables

 c) Other resources

6. Permission may please be accorded to undertake outside Consultancy activities as outlined above

Name of Consultant/Employee.....

Designation.....

Institute/Department.....

Signature.....

Dated

I recommend to the work outlined above undertaken. Alternate arrangement during his/her non-availability has been made and the assignment would be in the interest of Invertis University.

Head of Department

Dean of Faculty

Dean (R&D)

Registrar

Vice Chancellor