

Integral University

Consultancy Policy

CONSULTANCY RULES AND REGULATIONS

1. PREAMBLE

The Integral University, Lucknow is supportive to involvement of its faculty and staff in consultancy work with the aim to promote resource generation and enrichment of the academic Department and faculty per se in gaining professional experience and knowledge. The faculty who undertakes consultancy services not only being cultivated as better educators but also foster productive academia-industry relationship. Involvement of teachers in consultancy work positively impact students and stimulate them for creativity, competition and hard work with high-order thinking in finding solutions to challenges and problems in research & development in industry and Higher Education Institute.

2. Definitions:

- 2. i University means Integral University, Lucknow.
- 2. ii Executive Council means Executive Council, Integral University
- 2. iii Department means all teaching Departments, research centres and colleges of the University.
- 2. iv Vice Chancellor means Vice Chancellor, Integral University, Lucknow
- 2. v Dean means Dean of the concerned School/Faculty
- 2. vi Registrar means Registrar of Integral University, Lucknow
- 2. vii Treasurer /Finance Officer means Treasurer/Finance Officer of the Integral University
- 2. viii Central Committee for Consultancy Projects (CCCP) means University's Central Committee for Consultancy projects constituted by the Vice Chancellor
- 2. ix Project Implies consultancy/routine testing projects
- 2. x Consultancy means consultancy assignment/job given by an outside agency to faculty of the University for work with mutually agreed terms and conditions. It will also include a consultancy assignment /job referred to the Head of the Department or a functionary of the University (i.e., Vice-Chancellor/Dean(s), Principal(s), Registrar) which may be taken up as consultancy work by faculty.
- 2. x (a) Individual Consultancy: Specialized Works undertaken by faculty individually with the written permission of University with revenue sharing in an appropriate manner.

All Consultancy works that are non-Departmental Consultancy Project will be treated as individual Consultancy works (Design /Inspection/ Third party inspection /vetting/Checking/Value Engineering).

- 2.x (b) Departmental Consultancy Specialized Projects with /without use of University's

lab facilities/infrastructure.

Consultancy works referred to the Head of the Department or any other functionary of the University (i.e., Deans or Vice Chancellor) may be taken up as Departmental Consultancy project. Similarly, a project referred to an Individual faculty member may be taken up as Departmental Consultancy Project at the request of the faculty member. Normally, Consultancy Projects involving multi-disciplinary / Inter Departmental inputs or requiring usage of huge facilities, and projects which are expected to run for a long period shall be taken up as Departmental Consultancy Projects. The PIs of Departmental projects will be appointed by Project Monitoring Committee (PMC) on the basis of seniority, experience, field of specialization and availability of funds. A Departmental Consultancy Project can have one or more Investigators as per requirement as decided by PMC. All routine Testing Field work in the Departments shall be undertaken only as Departmental consultancy.

2. x(c) Routine Testing project implies those testing works where the rates are fixed by the PMC of the Department. The concerned Head of the Department in consultation with PMC will appoint PI from among the willing faculty members of the concerned specialization of the Department with at least 1 year or more permanent service.
2. xi Sponsor / Client means the organization that offers a Project to the University and provides necessary financial inputs for successful and timely completion of the project.
2. xii Principal Investigator (PI) Is a regular member of the faculty/Researcher/Engineer of the University with necessary expertise and competence to undertake consultancy work. Normally, the faculty/engineer who submits the project proposal, negotiates with the client, and is instrumental in getting the project funding is appointed as the Principal Investigator (PI).
2. xiii Co-Principal Investigator (Co-PI) is a member of the faculty /Researcher/Engineer of the University (Including Emeritus Fellow, Chair faculty, Visiting Professor/ BSR Fellow co-opted by the Head of the Department /Principal Investigator (PI) to work jointly with him /her on the project
2. xiv Consultant: Consultant is an Individual or government /public/private sector undertaking/Company engaged for a specific period to carry out specific job.
2. xv Project Staff means a persons appointed as per the requirement of project.

- 2.xvi Project Monitoring Committee; Project Monitoring Committee (PMC) means the Departmental Committee constituted to monitor Consultancy projects with the approval of Vice Chancellor. For large projects, with contracted amount of more than 10 lacs, the Central Committee for Consultancy Projects (CCCP) will be the monitoring agency.

3. General Rules

3. i For all consultancy work standard rules shall be followed as delineated below:
- a) Advertisement of core competence of University in Print /Electronic Media.
 - b) Preparation of Beautiful Brochure and publication material.
 - c) Liasioning with various Development Departments of Provincial & Central Govts. /Major Clients.
 - d) Collaboration with major consultancy organizations at State, Central, National and International Level.
 - e) Preparation of Expression of Interest.
 - f) Submission of Inception Paper.
 - g) Submission of Technical & Financial proposals.
 - h) Presentation of proposals if so required by potential client. Preparation of CVs of Experts .
 - i) Negotiations
 - j) Signing of Agreement/MoU.
 - k) Field works.
3. ii All funds in connection with Project shall be received in the name of the Treasurer, Integral University, Lucknow, by cheque, draft or Internet banking transfer. The Accounts of Project UF/DF shall be maintained by Finance Section. No funds shall be received in any other Bank account or Instrument and/or in cash.
3. iii Consultancy project from any client can be taken up as per University rules. For consultancy work involving only site visit or personal discussion a minimum amount of Rs.5,000/= per man-day for Faculty /Researcher /Engineer and Rs 1500/= per man- day for technical / non-academic staff may be charged, besides travel, lodging and boarding which will be paid by the agency on actual basis.
3. iv Report(s) and data collected/obtained out of project will be the joint Intellectual Property of the client and the consultants. These can be used by the client for his own use only and cannot be disclosed to a third party without prior consent of the client and the Principal Investigator of the consultancy project.
3. v The Intellectual Property Right (IPR) policy of the University shall be applicable in general; however, if there is a condition in MoU signed between the client and PI, regarding the IPR issue that will take precedence over the condition laid down in the above para.

The report of the consultancy project shall be maintained by PI and Head of the Department each for a period as per rules from the date of closure of the project and for routine testing.

- 3.vi If a prima-facie case of malpractice and or misconduct is established by a fact-finding committee against a staff member in connection with project(s), the Vice-Chancellor on the recommendation of concerned Dean of the Faculty may prohibit the concerned staff member to take part in any new project either as Principal Investigator or Co- PI till such time when final decision is taken by the appropriate authority in the matter. However, in such cases the concerned staff member will be expected to compete his/her obligations in the ongoing project(s) with which he/she is connected, in order that the ongoing projects and obligations to the client do not suffer.
- 3.vii All purchases including departmental funds (DF), shall be made through Purchase Department as per University rules.

4. COMPOSITION OF COMMITTEES

4. 1 Consultancy Project Monitoring Committee. For routine monitoring of projects there shall be a Departmental **Project Monitoring Committee (PMC)** comprising the following:
- a) Head of the concerned Department
 - b) Senior most Professors of the Department /School
 - c) One Senior Assistant Professor/ Associate Professor of the School as nominee of Head of the concerned Department
 - d) One Senior Assistant Professor /Associate Professor of the Department–Member Secretary

One Co-opted member by the Head of the Department/ Nominee of Head of the concerned Department shall be the Member Secretary of the PMC.

4. ii Central Committee for Consultancy Projects- For overall supervision and monitoring of consultancy by the University Departments/ Centre's / Colleges and of large projects (50 Lakh or more or specialized or inter departmental or inter disciplinary) the **Central Committee for Consultancy Projects (CCCP)** with the following composition shall review and assess the progress and status of consultancy of Department periodically (at least once in a quarter year or whenever required) for equitable distribution and timely completion of the large projects. The committee may also advise Principal Investigator in any other matter on the project.
- a) Vice Chancellor- Chairman
 - b) Dean(s) of the Schools
 - c) Head of the concerned Department or his nominee.
 - d) Member Secretary of the PMC of the concerned department
 - e) Concerned Principal Investigators in case of specialized / personal project
 - f) One expert in relevant field from outside the University if required or representative of the client, if required by sponsor/client.
 - g) Finance Officer (Non-Member)
 - h) Co-opted member, if required.

5. Manpower

5.1 Contractual Project Staff

- 5.1(a) The project staff shall be appointed for assisting /working on the project as per prescribed selection procedure. Designation, Qualifications, and experience requirements on consolidated fellowship/ emoluments. The Project staff shall work for accomplishing the objectives of the project.
- 5.1 (b) Open selection will be held for all project positions through walk-in interview.
- 5.1 (c) Appointments on all project position shall be made only for the duration of the project. It will be purely temporary in nature.
- 5.1 (d) Appointment of project staff on ad-hoc basis against a project can be considered by Vice Chancellor on the recommendation of the P1 for a period not exceeding 89 days.
- 5.1(e) Contractual project staff appointed shall execute a Contract Agreement with PI at the time of joining with the explicit provision that the contract may be terminated by either side, the staff or PI or University by giving one month's notice or one month's consolidated emoluments in lieu of the notice.

5.2 Student Assistants

The PI may engage University students and pay them appropriately in accordance with the financial cushions of assignment out of expenditure head Irrespective of whether or not they are Fellowship/ Assistantship holders.

5.3 Consultants

The PI may, with the prior approval of Vice Chancellor, avail the services of individuals not in the University or Government Service as Consultants. However, the amount payable to such Consultants(s) shall be limited to 15% of the total contracted amount in the consultancy project.

6. Travel

- 6.1 The most expeditious and convenient mode of travel should be used to minimize period of absence from the University, Admissible DA or actual boarding & lodging expenses will be paid on production of receipts, as per University rules. The tours shall be approved by PI.

Provided further that all air travel under Consultancy projects may be performed in economy class on low fare basis in the cheapest Airline.

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

Notwithstanding what has been stated above, If the sponsor, client has specified any condition(s) for travel under the project that shall be followed

6. ii Approval of Vice Chancellor will be required for all International Air Travel and any

deviations from the conditions listed above.

6. iii Out of Pocket expenses will be payable for the actual period of field work at the work place at the following rates according to the category of staff and will not be admissible for the journey days.

PI/Co- PI: Rs 1000 per day or part of a day.

Project Staff and others: Rs 400/ per day or part of a day

7. Finance and Accounts

The Excess of Consultancy Income over Expenditure be distributed broadly as follows:-

Individual Consultancy under Clause 2. x (a):

i)	Principal Investigator/Team Leader	90%.
ii)	University Share	10%

Departmental Consultancy under Clause 2.x (b):

i)	Principal Investigator/Team Leader	-15%.
ii)	Co-Principal Investigator/Dy. Team Leader	-10%
iii)	Remaining Team Members/	- 50% (in proportion to their involvement quantum of work).
iv)	Balance	-25% to respective Department.

Note : *The Components of Cost Sheet are indicative and not exhaustive, thus can be changed in accordance with nature of assignment /project.*

A separate account head shall be maintained for each project by Finance Section. Finance Officer/Treasurer shall be responsible to ensure that there is no overrun of expenditure and also for the preparation/submission of audited statement of Accounts

Account of all the expenditure made shall be submitted by PI / HoD to Finance Department of the University, as per University rules. Expenditure in excess of 15% of the total contracted amount shall be approved by the PMC in case of departmental project and CCCP in the rest. Annexure I and II.

8. Utilization of Department Fund (DF)

DP can be utilized for following purposes:

- Development of Departmental Infrastructure facilities like laboratory equipment, Class room furniture, committee end conference room furnishing / renovation.
- Repair, Maintenance of AMC of equipments
- Repairs and maintenance of office and labs

- d. Seed money for holding conferences /workshops, seminars etc. Travel (domestic and abroad) and related expenditure for PI/Co-PI student or outside expert
- e. Exploratory visits
- f. Engagement of project staff
- g. Fee and related stationary expenditure for acquiring training /qualification(s) Membership fee of professional societies
- h. Books, journals related stationary, computer consumables and any storage media
- i. Office peripherals, furniture for lab and offices, instrument, computer (all types) and peripherals, etc.
- j. Project correspondence, hospitality and miscellaneous expenditure or any other purpose recommended by the PMC/CCCP.

The budget for utilizing DF may be recommended by the Project Monitoring Committee of the Department and approved by the Vice Chancellor. For any special requirements not covered above, a proposal may be sent by the PMC of the Department for consideration of the Vice –Chancellor.

9. SPONSORS CLIENTS' SPECIFIC CONDITIONS

Specific conditions of sponsor / client for designation(s), qualifications, and employment condition(s) for manpower and other related expenditure shall be followed.

10. EXCEPTION CLAUSE

These guidelines shall normally be applicable to all Consultancy Projects in the Departments /Centres, etc. of the University. However, any changes required which do not constitute policy change may be approved by Vice Chancellor on the recommendations of School Dean.

11. CONSULTANCY PROJECT INITIATION AND MANAGEMENT

- 11.1 Each project will have a Principal Investigator (PI) who will be a faculty member/employee staff in the service of the University. He will be responsible for:
 - a. Expression of Interest (Eoi)
 - b. Planning of the work to be done
 - c. Co-ordination and execution of the work
 - d. Handling all communications with the client
 - e. Writing intermediate and final reports according to the nature of consultancy

- f. Signing the memorandum of Understanding (MoU) or agreement with the sponsor/client, if required as per existing University rules.
11. 2. The PI will at his discretion, co-opt other faculty members as Investigators. Any other Scientist/Engineer so permitted by the Vice Chancellor can be co- opted as investigator.
 11. 3 The PI will prepare consultancy project proposal in conformity with
 - a. Approved designation and emoluments/fellowship rates for the project staff with qualification, experience as specified by the University.
 - b. Cost of the proposal in conformity with the rates approved by the MPC/CCCP as the case may be.
 - c. Other guidelines for the Consultancy project, and
 - d. Rules, regulations and Statutes of the University.
 11. 4 All consultancy projects shall be sent through the Head of the Department to Registrar for onward transmission to the client
 11. 5 It shall be the responsibility of the PI to get project work completed satisfactorily within the sanctioned grant and duration.
 11. 6 The PI shall ensure that the Head-wise expenditure does not exceed the budgetary allocation.
 11. 7 The PI shall maintain details of equipments purchased out of the consultancy project funds separately for each project and send a copy of the record to finance officer for placing the same before the respective Auditor for verification or any other purpose as and when required.
 11. 8. The PI shall be responsible for the maintenance of the laboratory record Book (LRB) as required for IPR submission and periodical and /or final technical reports compilation of the consultancy project work for submission to the client as required.
 11. 9 The PI shall write to the Finance officer for timely release of funds with a copy to Registrar/Vice Chancellor for follow-up, if necessary.

When an individual is approached for the work, he/she will normally be the principal investigator (except routine testing). If the project is referred to any other functionary of the University the Principal Investigator would be identified by the CCCP.
 - 11.10 All proposal received, even directly from the client to the Individual faculty/scientists/engineer shall be placed before the PMC/CCCP as the case may be, before final acceptance. The acceptance letter of a proposal shall be sent to the client only by the PMC/CCCP and not any Individual faculty /Scientist /engineer
 11. 11 Consultancy work may only be undertaken by the permanent faculty

/scientist/engineer with no less than three years permanent service in the University

No retiring faculty member be allowed to submit a consultancy project proposal as Principal Investigator (PI), if project's duration extends to one year or more beyond his/her date of superannuation, or if more than half of the proposed duration of the project falls beyond the date of retirement of the PI.

11. 12 The retired faculty/scientist/engineer working as Emeritus Fellow be allowed to continue as Principal Investigator in the ongoing consultancy projects, provided the sponsor(s)/ client(s) do not have any objection.

11. 13 If the PI leaves the university, retires or proceeds on leave or is not available for some other reason, Vice Chancellor, on the recommendation of the PI, may appoint a new PI, who will assume the powers and responsibility of the PI. The new PI will also give an undertaking to complete the project with the left-over funds and time, to the Vice Chancellor through School Dean, Head of the Department however, in exceptional circumstance, a retired faculty member may continue to work as PI with the approval of the Vice Chancellor.

11. 14 Completion/ Closure of Project

Project file will be closed with the submission of final project report, final settlement of accounts etc.

A project is normally expected to be closed soon after the due date of completion as stipulated in the original project proposal, unless extension has been sought and granted. For consultancy projects which are not closed by the PI as scheduled, the finance office will take action for project closure at the end of the financial year in which the stipulated date of completion falls. The unspent balance in such cases will be transferred to the Department after due notice to the PI and Head.

All Stock Registers pertaining to consultancy projects will be deposited in the Departmental Office after the concerned projects are completed and closed.

12. BUDGETARY NORMS

12. 1 Refer section 3.0 for Funds transfer by the client.

12. 2 The total agreed charges of a Consultancy project will consist of the University share, actual expenses and the remuneration to be disbursed to the faculty and staff. The actual expenses should cover the following cost related to the project.

- a. Consumable materials
- b. Permanent equipment to be procured/ fabrication of equipment or models, if any.
- c. Travel expenses in connection with the project work.
- d. Computational or other charges payable to the University (If not available

with the PI) or any other outside agency.

- f. Charges to be paid for the use of specific equipment in the Department (if not under the control of PI) in Central facility of the University or elsewhere.
- g. Contingent expenses to cover cost of supplies, preparation of report typing, word Processing, drawing, drafting, stationery, reproduction, buying books and journals, membership fee for professional societies, postage, courier, mobile phones).
- h. Expenses for work to be carried out on payment basis, remuneration to student assistants.
- i. Any other costs considered appropriate.

Service tax will be applicable as per government rules excluding inter departmental consultancy within University.

13. COLLABORATION WITH OUTSIDE ORGANIZATIONS

If collaboration is with other Govt. Public Sector/private sector organizations, the nature, scope and budget of the proposed arrangement have be specified while submitting the project proposal for approval.

14. Indemnity / Liability:

The liability, if any, for University arising out of or in connection with Consultancy Services shall be subject to a ceiling of the amount actually received by University from the client.

15. Publication of Results

Investigator(s) will have the right to publish the work carried out during consultancy work unless the client have an agreement under which their prior permission is required. In such cases, the draft manuscript will be submitted to client before publication for seeking no objection. If no response/objections in writing are raised within one month of submission, it will be assumed that the sponsor/client have no objection to the publication.

16. Arbitration

In the event of any dispute or differences arising at any time between the parties relating to consultancy project or any clauses or matter specified therein, such disputes shall be resolved by mutual negotiation. If, however, such negotiations do not help, the dispute should be finally settled by arbitrator appointed by the Vice Chancellor.

Note: Jurisdiction: All legal cases shall be subject to jurisdiction at Civil Court at Lucknow/High court of judicature at Lucknow.

Annexure-1

COST SHEET FOR CONSULTANCY ASSIGNMENT:.**A. Salaries of Faculty Members / Experts enrolled with University:**

S.No.	Name /Area of Expertise	Salary /Month	Total involvement (Months)	Total Salary	
1					
2					
3					
4					
5					
Total Rs. (A)					

B. Remuneration of Subject Matter Specialist:

(if hired in accordance with the exigency of project)

S.No.	Name/ Area of Expertise	Remuneration/ Month	Total involvement (Months)	Total Remuneration	
1					
2					
3					
4					
5					
Total Rs. (B)					

C. Investigators /Field Surveyors :

S.No.	No. of Persons	Monthly Wages	Total involvement (Months)	Total Amount	
1					
2					
3					
4					
5					
Total Rs. (C)					

D. Administrative & Computer Support :

Sl.No.	No. of Persons	Monthly Wages	Total Month
Rs. (D)			

E. Total Salaries, Remuneration & Wages = (A+B+C+D) :
 Rs. _____

Amount**F. Tours & Travels :**

I.	Air fare	Rs.
II.	Train Tickets	Rs.
III.	Bus Tickets	Rs.
IV.	Vehicle for To & Fro till project area.	Rs.
V.	Hiring of vehicles during field surveys	Rs.
VI.	Fuel for hired vehicles (Depending of terms of hiring)	Rs.
VII.	Per Diem (For food & out of pocket expenses)	Rs.
VIII.	Lodging / Stay Arrangement of team members	Rs.

Total : I to VIII: Rs. _____

G. Printing & Stationary

I.	Estimated Cost of printing and stationary to be used in consultancy assignment.	Rs.
II.	Cost of Draft Report to be submitted to Client (No x Cost of each report)	Rs.
III.	Cost of PP Presentation of Draft.	Rs.
IV.	Cost of Final Report (No x cost of each report)	Rs.
	Total (G)	Rs

H. Cost of Social Security Benefits of Staff & Backstage support extended to the Staff involved in Consultancy assignment (20% of E above.)

I. **Total : (E+ F+G & H)**
Rs. _____

J. Profit on assignment 20 % to 25% of I

(While submitting the financial proposal this portion shall be loaded/

Spread over on other cost components. **Rs.** _____

K. Equipment usage / cost of equipments procured specially for the project if any.

L. Contingencies (Lumpsum) **Rs.** _____

M. Service Tax / GST
(As per prevailing tariff)

Grand Total : (I+J+K+L+M) Rs._____

Total Cost of Assignment for quoting to the Client)

TERMS OF RECEIPT OF CONSULTANCY FEE :

The University shall endeavor to obtain maximum percentage of consultancy amount in advance as per following schedule and shall specifically incorporate this clause in MoU/Agreement. The tentative schedule of fee to be received from client shall be as follows :

1. 25% on signing of MoU
2. 25% on commencement of field works.
3. 25% on submission of Draft Report
4. 15% on incorporating the comments (if any) of client received on Draft Report.
5. 10% on submission of Final Report.

Annexure-II**Regulations**

1. Agreement with clients, will be executed, on behalf of University and not by an individual consultant or team of consultants. Every care should be taken to avoid any legal complications involving the University as a result of the consultancy services.
2. For consultancy services of a minor nature, formal agreement on a stamp paper may be dispensed with and the terms and conditions of consultancy settled through exchange of letters. In case, the Director (Planning & Research) feels that an agreement would be technically and legally useful, the party may be asked to enter into a legally enforceable agreement.
3. As far as possible, the 'team of consultants' selected for consultancy work should have the confidence of the sponsor. In case, the sponsor indicates preference for a particular person(s) , the request shall be given due consideration.
4. The University should, on the whole ensure a fair distribution of consultancy/work among the eligible staff at all levels and see that it is not confined to specific individuals /groups /levels of staff.
5. Consultancy assignments may be taken up and implemented, within the constraints indicated above provided they do not have any adverse impact on the ongoing academic research and related activities. Further, such assignments need to be carefully scheduled in the light of ongoing commitments. A clear indication of the earliest date on which the assignment can commence and conclude may be clearly spelt out in the proposal form.
6. Investigators wishing to publish technical/scientific papers based on the research work done under the project, should adhere to the guidelines of sponsoring agency and acknowledge the assistance received from sponsoring agency in the publications.
7. If the results of research are to be legally protected, the same should not be published without action being taken to secure legal protection for the research results.
8. The services of employees of the University be utilized for the execution of the consultancy projects provided it does not affect their primary functions and responsibilities to the University. Such work by employees may be compensated by suitable honoraria and must be a part of budget.
9. Students who are willing to work on consultancy projects may be permitted as per University's norms to do so provided it does not affect their academic commitments and performance. Such work by students may be compensated by suitable honoraria and must be a part of budget.
10. Travel out of the campus on account of consultancy activities should be undertaken with intimation to the Head of the Department.
11. Outstation travel on Consultancy Assignments may be undertaken normally with the prior approval of the Head of the Department. In emergencies, prior intimation and subsequent sanction could be considered acceptable.
12. Faculty members should not use the name of University or its logo for consulting work, consulting reports, etc. except to identify the association of the consultant with University.