

CONSULTANCY POLICY
REGULATIONS FOR CONSULTANCY ACTIVITIES



VIKRAMA SIMHAPURI UNIVERSITY
NELLORE-524 324, AP, INDIA

July, 2022

Introduction

Consultancy is essentially a knowledge-based profession and plays an important role in providing a competitive edge to an organization in terms of technological, industrial and socio-economic development. VikramaSimhapuri University (VSU) strongly visualizes that the consultancy activities has benefits through its engagement with government, non-government, industry, commerce, and other professional organizations. University believes that the consultancy is not only an indicator of professional performance of faculty but also a medium to establish a strong relationship with external agencies/bodies. In view of this, VSU encourages the faculty to extend their services beyond their normal realm of activities through consultancy. VSU has a defined consultancy policy which not only protect both the interests of University and its staff but also promote academic freedom and provide a conducive environment for research and development of commercial importance. The rules and regulations of the policy is applicable to teaching, non-teaching staff, research scholars and students of VSU.

Benefits

Principally, the benefits of consultancy fall under two categories: University level and individual level benefits. Strengthening of academic and research level activities, enhanced expertise of academic staff, and bridging networks with grant agencies alike with revenue generation. On the other hand, individual level benefits comprises of establishment of professional relationships with reputed agencies including government, industries and non-government agencies, to pursue their research in their area of interest and also financial reward.

Scope

Consultancy Services may be offered to Industries, Service Sector, Govt. Departments and other National and International agencies in niche areas of expertise available in the Institution. b. The services offered shall be along the lines of Professional Services" and will hence carry with them obligations and ethical requirements associated with such services. In order to meet the needs of clients, routine testing services may also be offered. Further, technical infrastructure / Computational facilities of the Institution may be offered to undertake the outside work of the clients. All Consultancy and related Jobs need to be structured and executed in order to augmenting current levels of excellence in teaching and research, and in the process, generating funds.

Types of Consultancy

Academic consultancy refers to the utilization of amount received through the examination fee collected from the affiliated colleges under VSU jurisdiction. The amount collected in this case will be separately maintained in accordance to the rules and regulations of the University.

Research level consultancy refers to the work taken by an individual who obtains the same directly from an external body pertaining to the research. The individual will inform the Director, R & D Cell and the same is forwarded to the University authorities. The individual consultancy will only be progressed forward if it falls under the consultancy rules and regulations. Further, he/she will be responsible for the financial and audit aspects and also

completion of the assignment in a time-bound manner without prejudice to his/her regular work. Three types of Research consultancy services are offered:

Category I: Expert Advice and R&D Consultancy: – This type of consultancy will be Expertise intensive and based on the expertise of the Consultant.

Category II: Testing Consultancy: -This type of Consultancy will involve testing of sample/component/product against a standard. The Institution will undertake testing jobs provided testing facilities and expertise are available in the Institution.

Category III: Minor & Major Research Consultancy: - This type of Consultancy will involve use of Institution's Physical, instrumental and other infrastructure by the client in order to proceed with a minor or major research projects involving all sophisticated instruments for product development, stability studies, work on molecular biology, and cell culture studies.

At the individual level, teaching staff (regular and academic consultants), can be consultant individual on behalf of the University.

General rules of consultancy

- a. The services of permanent employees of the VSU will be utilized for the execution of the consultancy projects provided it does not affect at any cost their primary functions and responsibilities to the VSU.
- b. Consultancy assignments must not have any adverse impact on the ongoing academic, research, official and administrative activities. Further, such assignments need to be carefully scheduled in the light of ongoing commitments.
- c. The consultancy assignments under Category-I are of highly specialized nature and must be handled with utmost sincerity. The assignments under this category may have far reaching impact on academia as well as society. Thus, any compromise in the execution of these assignments may tarnish the image of VSU. Keeping this in view, it is mandatory to ensure that the concerned consultant possess proper academic qualifications and well-established credentials in the area of consultancy.
- d. The consultant must undertake any consultancy assignment under Category – II only after ensuring that the machine/equipment used for testing is duly calibrated and provide accurate results against a reference / standard. It is understood that the testing equipment will be used only by the consultant(s) and not by the client.
- e. The consultant must undertake any consultancy assignment under Category – III only after ensuring that all sophisticated instruments for product development, stability studies, work on molecular biology and cell culture studies in proper working conditions.
- f. Merely possessing any position / designation / supervisory role at VSU level will not entitle a consultant for the consultancy
- g. The total annual income of an individual Consultant from the Consultancy work shall not exceed his / her Gross Salary for 6 months in a financial year.
- h. The time spent on consultancy and related assignments shall be limited to the non-working days /holidays. However, an individual Consultant / staff member shall not undertake consultancy work more than 60 days in a calendar year.
- i. Outstation travel on Consultancy Assignments will be undertaken with the prior approval of the Vice-Chancellor under intimation to the Head of the Department / Office concerned. TA-DA, expenses towards boarding and lodging, etc. as per entitlement of the consultant shall be admissible as per VSU rules. However, depending on the urgency of

the consultancy work and the consent of client, the consultant(s) may claim TA-DA irrespective of his / her entitlement as per actual on the production of original tickets / bills. All these expenses will be met out of the concerned consultancy project funds.

- j. No ceiling limit has been prescribed for undertaking consultancy projects provided consultancy work does not interfere with the normal teaching / research / official work in the Institution and other duties of the consultant(s) and the associated staff.
- k. No retiring employee of the Institution will be allowed to submit a fresh consultancy project proposal as a consultant, if the duration of the project is beyond his/her date of retirement. However, in exceptional circumstances, a retired employee may continue to work as consultant with the approval of the Vice Chancellor, if he/she continues to serve the VSU in some other capacity.
- l. If the Principal Consultant leaves the VSU or proceeds on leave or not available for some reason (emergency / critical illness), the Director Research Cell on the recommendation of the Principal Consultant (if he/she is available) will appoint a new Principal Consultant in consultation with the client subject to the eligibility criteria of the consultancy rules and the written consent of new Principal Consultant. The new Principal Consultant will also give an undertaking to complete the project in the remaining funds and time period to the Director Research Cell through Head of the Department/Office concerned. However, in case of death of Principal Consultant, a mutually agreeable solution with the client will be worked out by the office of Research Cell.
- m. Normally the agreed charges of the consultancy project are to be deposited by the client, in full, before the consultancy work commences. However, this stipulation is negotiable. In cases where the consultancy work is started with only partial charges deposited in advance, the arrangements of subsequent receipt of funds from the client have to be clearly spelled out in advance while submitting the proposal before screening committee. However, the project will commence only after depositing 50% of total contracted amount of the consultancy project by the client. The final report of the consultancy work shall be released subject to the full payment of the total contracted amount.
- n. All purchases / procurement under consultancy projects shall be made as per norms prevailing in the VSU.
- o. If any of the Consultant(s) or supporting staff wishes to donate part or whole of his/her own remuneration, the same will be permissible and transferred to Research Cell VSU Fund only.
- p. Items like Book royalty and honorarium for Expert Committee meetings, invited lectures, Ph.D. viva/evaluation, invited training programmers, organization of conferences/workshops are not covered under consultancy.
- q. A consultancy project is normally expected to be closed soon after the date of completion as stipulated in the original project proposal, unless an extension has been sought and granted. The completion certificate should be taken from the client on his letterhead by the Principal Consultant.
- r. Consultant(s) shall disclose in writing at the time of submission of consultancy project proposal, the existence of (i) any relationship between him / her and the client funding the consultancy project or any vendor to whom payments are made from the consultancy project funds, in the form of involvement of any immediate relatives or (ii) any scope for potential disproportionate self- gain. The Director Research Cell will review such cases and decide appropriately, with the advice of the committee formed by University

Research Committee, VSU, to ensure that no actual conflict of interest exists and that such an involvement by the consultant does not adversely affect the consultant's objectivity, integrity, or commitment to the VSU and to the profession.

- s. In case any legal dispute arises between the consultant(s) and the client such that the consultant(s) are in any way, held responsible to make good the losses incurred by the client, such liability will be restricted to a maximum limit which will be calculated as follows:

Maximum Liability = [the total contracted amount (excluding Service Tax) charged for the consultancy project] – [the expenditure / liabilities on the project].

It is in the interest of the consultant(s) to bring this fact to the notice of the clients well in advance. The expenditure / liabilities as determined by the Institution will be calculated as the expenditure / liability till such date on which the client inform the consultant(s) in writing to stop work on the project for on-going projects, or till the end of the project for completed projects. The expenditure will also include the remuneration paid to the supporting staff of the VSU. Submission of the requisite report itself in such cases shall constitute the Utilization Certificate / final bill.

- t. If a prima-facie case of malpractice and/or misconduct is established by a fact finding committee (duly approved by Vice-Chancellor through Director Research Cell) against the consultant(s) or the associated staff in connection with consultancy project(s), the Vice Chancellor, on the recommendation of Director Research Cell may prohibit the concerned person to take part in any new project either as consultant or the associated staff, till such time that a final decision is taken by the appropriate authority in the matter. However, in such cases the concerned person will be expected to complete his/her obligations in the ongoing consultancy project(s) with which he/she is connected, in order that the ongoing projects and obligations to the client do not suffer.
- u. Any disagreement within the VSU arising at any stage of a Consultancy project will be resolved in consultation with Director Research Cell, Registrar and the Vice Chancellor to ensure an expeditious removal of bottlenecks and smooth functioning of the project.
- v. In case of any dispute arising at any stage of Consultancy project between consultant(s) and the client(s), the Consultant(s) will be responsible for settlement of the dispute. The arbitration power shall lie with Registrar, VikramaSimhapuri University, Nellore, in case of any dispute and the decision taken by the Vice-Chancellor shall be final.
- w. Responsibilities: In case of any consultancy project, it is necessary to review the project every three months. It is the responsibility of concerned staff involved and the Director Research to look after such projects.
- x. Reporting: In case of any dispute arising, the Director Research shall immediately report to the Registrar of VSU in order to resolve the matter.
- y. Records management: All the records pertaining to the consultancy projects shall be maintained in soft and hard copies minimum for five years after the completion of the project.

Documents to be maintained

Following documents will be maintained by the Principal Consultant through his team members and produced as and when required.

1. Attendance Records: Attendance record of the Consultant(s), supporting staff etc. with man-hours spent during the consultancy work.
2. Inspection / Site Visit Register: A register to record any site visit by the Consultant(s) be maintained by the Principal Consultant. The suggestions rendered by the Consultant(s) during site visit along with remarks of the clients must be recorded. Further, if any expert advice by external expert is required during the Consultancy project, the same may also be recorded along with the remarks of the Consultant(s).
3. Salary/Payment Record: To record all payments made to consultant(s), supporting staff etc.
4. Consumable and Non-Consumable Register: Register for recording hire/purchase of all equipments, materials, all consumables, non- consumables items etc. and its utilization.
5. Travel Record Register: To record details of all expenditure incurred on travel.
6. Logbooks and Warranty/Guarantee Record: Logbooks are used to record number of hours, laboratory equipment or hired or purchased equipments have been used. Besides, maintain warranty/guarantee certificates and also breakdown details of equipments.
7. Correspondence File: For all correspondence since initiation.
8. Agreement/Contract File: To maintain complete record of all agreements, contracts, drawings and such document which may constitute legal requirement.
9. Work Progress Report: Record of monthly progress report will be maintained by the Consultant(s). Every three months, the consultant(s) is supposed to submit a copy of progress report to the client.
10. Any Other Document: Any other document as per the requirement of the client / nature of consultancy project, etc. shall also be maintained by the Consultant(s).
11. At the time of completion of a consultancy project, the Principal Consultant shall submit a copy of final report along with duly audited expenditure statement, utilization certificate and completion certificate from the client in the office of Director Research Cell, VSU.
12. With respect to the academic consultancy, separate documents are maintained in the finance section and periodically assessed by the audit.

Consultancy fee/charges

The consultancy fee is finalized only if it reflects the market value of the services to be provided. Academic consultancy wherein examination fee collected from the students of affiliated colleges be utilized for conduct of examination process i.e., starting from generation of hall tickets to publication of results. The amount that left over is considered as academic consultancy fee and utilized for university development.

With respect to research consultancy, total fee charged should reflect a revenue generation to the staff member and the University. After the deduction of any direct costs, the standard division of consultancy income is as follows:

Revenue sharing between the Individual faculty and VSU

Individual staff	90%
VSU:	10%

Variations (if any) in the division of consultancy fee between the staff members and University will only be made by a written agreement among the consultants and the University authorities as appropriate. Separate account is maintained towards the consultancy services. The VSU already opened an account in the name of "Research Consultancy Account" to operate

financial aspects of the consultancy works. This account comes under the rules and regulations of the University.

Statement of expenditure, utilization certificate and audit statements should be submitted to the Contracting agency accordingly and the entire responsibility in this case should be held by concerned staff only. The revenue sharing will be subjected to the receiving of entire amount as agreed from the contracting agency and also this aspect will be carefully monitored by the Director, R & D and the Committee constituted towards the Consultancy services.

Research Publications and Patents

The teaching faculty and consultant has the right to publish the work carried out by him/her. However prior publishing the work, information will be given to the Department concerned and the University. The same rule is applicable to the patents (if any) obtained out of consultancy activities.

Submission of project reports

Documents/project reports related to the consultancy activities performed during the academic year will be submitted to the University Authorities and also IQAC as well.

Review

This policy is subject to periodic review and revision.


REGISTRAR
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