



# **TEERTHANKER MAHAVEER UNIVERSITY MORADABAD**

## **Policy on Consultancy & Research Project**

(Approved by the Executive Council during its 19<sup>th</sup> meeting dated 12.06.2021)

# **Policy on Consultancy & Research Projects**

## **1. Policy Statement:**

The policy on Consultancy & Research Projects is framed to contain the rules and regulations governing the activities pertaining to all Consultancy & Research Projects undertaken by the faculty members of the University solely or in collaboration with other individual groups or organizations.

## **2. Definitions/Terms:**

- a. **Centre/Institute** shall mean an academic centre/institution established by the University/Society.
- b. **College** shall mean a college of higher education established by the University/Society.
- c. **Consultancy:**  
It refers to work or service, other than in-company training programme or MDP undertaken by the Centre/Department/College/Faculty of the University at the instance of any outside agency (industry or other organizations) (within India and abroad) which results in net income to the University where-in the faculty members/staff/research staff provide knowledge and intellectual inputs to an outside agency, primarily for their purpose.
- d. **CRP Committee** shall mean Consultancy & Research Project Committee which shall be constituted as prescribed to monitor the consultancy work and research project in the University and ensure compliance of the provisions of the policy.
- e. **Principal Investigator (PI)** means the means A Principal Investigator who is the primary individual responsible for the preparation, conduct, and administration of a Consultancy/research grant, cooperative agreement, training or public service project, contract, or other sponsored project in compliance with applicable laws and regulations and University policy governing the conduct of sponsored research.
- f. **Policy** term used anywhere in this document shall refer to the Policy on Consultancy & Research Projects (C&RP) as approved by the Executive Council.
- g. **Society** means "Teerthanker Mahaveer Institute of Management Technology Society, Moradabad.
- h. **University** means "Teerthanker Mahaveer University, Moradabad".

## **3. Scope/Applicability of Policy:**

- a. The rules and regulations in this policy document shall apply to all Consultancy & Research projects undertaken by the University solely or in collaboration with other individuals, groups or organizations.

- b. These rules and regulations shall become effective from the date of notification this document and shall remain operative until repealed by the Authority. CRP committee shall review these rules and regulations on the expiry of three years from the date of its notification.

#### **4. GUIDELINES FOR CONSULTANCY AND TESTING PROJECTS**

##### **4.1 Consultancy Projects**

The University has expertise in various research areas to provide knowledge and intellectual inputs which are of interest to the industry and other organizations. Following guidelines will be used for engaging in any consultancy job:

- a. A consultancy project/task/work is one where faculty and research staff provide knowledge and intellectual inputs to industry or other organizations (within India and abroad), primarily for their purposes.
- b. All payments for consultancy work must come in the name of Teerthanker Mahaveer University Moradabad payable at Moradabad into the University account created for the purpose. The University will then do the needful for complying with statutory laws.
- c. Finance Officer and PI jointly will handle the project account and spend funds as required. Share of the University should also be transferred.
- d. The requirement originates from the industry/other organizations concerned or faculty can approach industry/other organizations. The faculty is expected to estimate the time and cost required to accomplish the task.
- e. Proposal will then be prepared by the PI.
- f. The budget for the proposal should be in two parts where-in part-one should reflect project consultancy fee and GST on total amount, if applicable and part two should reflect the reckoner . GST is subject to periodic revision by the Government of India. Expenses on equipment, supporting manpower, travel, contingency must also be included in the budget, if necessary. (The faculty is advised that if the expense on equipment, supplies, manpower, travel, etc. is large, then these must be proposed as a separate R & D project.). These are summarized in the table given below:

<b>Budget for Consulting Projects</b>		
Consulting fee	A	
GST	B	
Total Consultancy fee	C=A+B	
Cost		
Consulting fee to be paid to other investigators (if any)	D	
Equipment	E	
Supplies and any contingent expenses	F	

Manpower (students, external experts)	G	
Travel etc.	H	
Total Cost		I= D+E+F+G+H
Total Consultancy charges		J=C+I
<b>RECKONER</b>		
Actual Expenses		K
Net Income		L=J-K
Revenue share to TEERTHANKER MAHAVEER UNIVERSITY MORADABAD (50% of Total consulting fee)		M1= 0.5*L
Revenue share to Consultant (50% of Total consulting fee)		M2= 0.5*L

- g. All consultancy proposals must be sent under signature of the PI to Registrar for endorsement and approval by Vice Chancellor.
- h. Office will assign a unique internal number to the project proposal.
- i. Payment to be made to TEERTHANKER MAHAVEER UNIGVERSITY MORADABAD as per agreed upon milestones. 100% advance payment should be made if project is in one phase. If project is broken into phases, then 100% advance payment should be made before beginning of each phase. The expenditure and disbursements will be made through normal University procedures. The project expenditure for equipment and consumables will be maintained in a separate stock register by PI.
- j. **In international consultancy projects:** The consultancy assignment with the other party/funding agency of foreign origin should be in conformity with the laws of all the Countries involved and/or International laws as the case may be.
- k. **IPR issue:** All IPR related issues are agreed between the PI and the funding agency and should be cleared by IIPC before signing MoU/agreement. Preferably, IPR will be jointly shared by TEERTHANKER MAHAVEER UNIVERSITY MORADABAD and the industry/organization unless specified in agreement.
- l. When MoU/agreement is cleared from all angles and acceptable to both the parties, it will be signed by the PI and Registrar and industry/organization. A copy of the duly signed MoU/agreement will be sent to the other party and a copy retained in the office of Registrar and a copy given to the Finance Officer.
- m. **Project responsibility:** These projects are headed by a Principal Investigator (PI), and may have Co- Principal Investigators (co-PIs) and the deliverables are the responsibility of the PIs. The University provides the PIs necessary support.
- n. The statement of expenditure and utilization certificate will be prepared at every financial year end by the competent designated authority, if required.

- o. After completion of the project, final report should be submitted to the funding agency with a copy to the office of Registrar and Finance Officer.
- p. The project file will be closed with the submission of the final technical and financial project report and transfer of the non-consumables and consumables to the University.
- q. The time spent on consultancy and related assignments shall be limited to the equivalent of 52 working days in a year, preferably at the rate of one working day per week. In addition, Consultants may be permitted to utilize, on an average one non-working day per week.
- r. 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. If required, a clear indication of the earliest date on which the assignment can commence may be clearly spelt out in the proposal form.
- s. The services of employees of the University may 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.
- t. Students who are willing to work on consultancy projects may be permitted as per University 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.
- u. Travel out of the campus on account of consultancy activities should be undertaken with intimation to the Head of the Department.
- v. 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.
- w. Faculty members should not use the name of TEERTHANKER MAHAVEER UNIVERSITY MORADABAD or its logo for consulting work, consulting reports, etc. except to identify the association of the consultant with TEERTHANKER MAHAVEER UNIVERSITY MORADABAD.

#### **4.2 Testing Projects**

The word refers to testing a component or a product against a standard. Examples could be testing the strength of concrete in construction, compaction strength of soil, calibration of pressure gauges, and chemical identification, drugs identifications, estimation and evaluation of unknown species. The University will undertake testing jobs provided facilities are available and such testing does not interfere with any teaching or research work. The testing jobs can be initiated by faculty once request is received for the testing job. The procedure for overall operation of the project is similar like that of consultancy project.

### 4.3 Reckoner

#### 4.3 (a) For Consultancy projects

S.No.	Category	Name	Percentage of share
1.	Consultancy & Testing services	PI/Co-PI and University	Ratio of 50:50 is shared between the University and PI/Co-PI

#### (b) Incentive for Research Projects other than the Seed Money:

2.	Research Funding and Funded Projects from any Apex Body, R & D Organizations, Industry MOU, other Universities etc.,) (except Seed money projects)	Principal Investigator	5% of the Received Fund only upon submission of Utilization Certificate (UC)
		All co-investigators	2.5 % of the Received Fund only upon submission of Utilization Certificate (UC) divided equally amongst the co-investigators.

### General Guidelines

**1. Limitations:** Undertaking routine testing jobs is to be discouraged. Sufficient caution also needs to be exercised to ensure that consultancy projects do not interfere with the normal duties of Faculty members.

**2. Involving Foreign Collaborators:** The proposals involving foreign collaborators must have funding support given to each partner in accordance with the National Laws, Rules, Regulations and procedures in effect.

**3. Publications of Results:** 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.

If the results of research are to be legally protected, the results should not be published without action being taken to secure legal protection for the research results.

**4. External Consultants in Consultancy Projects:** The services of external consultants may be utilized to a limited extent in order to provide comprehensive services to clients. Such external candidates will be entitled to a lump sum honorarium/ fees. The honoraria payable to external consultants should not exceed 30% of the total consultancy fee specified in the Consultancy Projects Proposal.

**5. Conflict of Interest:** Consultants shall disclose to the Joint Registrar (Research & Development) in writing, 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 project funds, in the form of involvement of any immediate relatives or (ii) any scope for potential disproportionate self-gain. Joint Registrar (Research & Development) will review such cases and decide appropriately, with the advice of a committee, 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 University and to the profession.

Consultants may not use the University name or the fact that they are affiliated with the University, in a manner that (i) suggests that the University approves or disapproves of a product or service provided by a profit, non-profit or governmental entity or (ii) suggests that the University has performed research or issued research findings when it has not done so, or misleadingly states the results of University research or (iii) may be interpreted to communicate the official position of the University on any issue of public interest.

**6. Exceptions:** Items like Book royalty and honorarium for Expert Committee meetings, invited lectures, PhD viva/evaluation, invited training programmes, organization of conferences/workshops are not covered under consultancy.



(Aditya Sharma)  
Registrar