

Policy Document on Consultancy Projects (Provisional)

1. Introduction

Research Consultancy results where an academic staff member offers research skills or expertise in return for remuneration from an external funder. CBIT encourages its faculty to do consultancy to various research organisations and industries especially in areas related to the development of the society. This consultancy policy is prepared based on the rules and regulations followed by renowned academic institutions throughout the world. Consultancy facilitates our faculty to use their expertise effectively by contributing their knowledge to solve problems faced by the research organisations and industries. The faculty have to balance their academic, administrative responsibilities and the time they spend for the consultancy projects. Under no circumstances, the staff should compromise the interest of the institution and should always follow the established ethics. All the prospective faculty have to take prior approval from the principal (through Director R&D) to ensure that the consultancy is in line with the main objectives of the institution. This Policy provides provisions for conducting consultancy to ensure that consultancies undertaken by staff are consistent with the institution's strategic and operational objectives and the costs are sustainable. The procedures to be followed for undertaking consultancy projects such as administrative guidelines, remunerations and incentives to be given to the staff for executing such projects are described here in detail.

2. Consultancy Policy

THE POLICY described in this document deals with both Research and Non-research Consultancies / Services. The purpose of taking up the consultancy projects by the faculty is to promote Institute-Industry Collaboration, Augmentation of the levels of excellence in teaching and research and enhancing the opportunities for placement to graduate and post graduate students.

The following are the main guiding principles in the implementation of the policy

- i. CBIT is making all efforts to make the expertise of the faculty in selected areas available through consultancy not only to governmental organisations but also to industries.
- ii. The consultancy project is expected to benefit the institution in terms of income, enhanced reputation / visibility, help to enhance expertise of the staff member and also benefit the student community in general.
- iii. The Consultancy should not be in conflict with the established norms of the institution
- iv. The pay structure / Consultancy fee should be in line with the procedures followed by the institute or of the funding agency.
- v. All Consultancy projects should invariably contain institutional overhead charges.
- vi. No staff is allowed to take consultancy projects without the prior permission from the principal.
- vii. Consultancy services can be offered to Governmental departments, industries, service sector and national and international agencies in selected areas of expertise already available in the institute.
- viii. The faculty taking up the consultancy projects have the obligations to fulfil the ethical requirements as defined by the institute
- ix. All institution approved Consultancies are required to be managed in accordance with this Policy, associated documents, and other institution policies.
- x. All full-time faculty are eligible to take up the consultancy projects. Any other employees may also take up such projects with the prior permission of the principal.
- xi. For the services and any technical views provided by the faculty to the funding agency, the corresponding consultant will only be responsible, but not the institute.
- xii. Consultant should keep in mind about the possible patents / copy rights that can be generated from the execution of the projects. In such cases, institute's IPR policy will be applied.
- xiii. It is the responsibility of the HoDs to keep all the details of sponsored / consultancy projects and maintain them for accreditation and ranking purposes.

2.1 General Consultancy Guidelines

i) Consultancy projects may be taken up by the faculty provided they do not affect the academic activities. The consultants are advised to schedule their commitments accordingly. They may consider taking the help of other faculty members without affecting their regular academic duties.

ii) Both, graduate, postgraduate and Ph.D students are permitted to work in such consultancy projects without affecting their academic commitments and performance. Further, it should help them to enhance technical knowledge. Those students who work in such projects can be funded from the project funds as per institute norms.

iii) The consultants are permitted to travel for the project from the project funds. Prior permission is necessary for outstation travel.

2.2 Types of Consultancy Services

Normally, the consultancy services include but not limited to the following:

- i. Consultancy services in project mode such as CARS of DRDO
- ii. Feasibility services
- iii. Assessment of Designs
- iv. Technology Assessments
- v. Audits on material, Energy, Environmental and Manpower
- vi. Product Design
- vii. Software Development
- viii. Trouble Shooting
- ix. Testing and Evaluation
- x. Standardization and Calibration Services

2.3 Main Categories of Consultancy Projects

The consultancy projects shall be undertaken under standard terms and conditions of both the funding agency and CBIT. The institution policy provides general guidelines for taking up all categories of consultancy. Mainly there are three categories of consultancy projects.

Category 1: Funding agencies utilize the expertise of the identified faculty and uses CBIT's facilities.

Category 2: Funding agencies utilize the expertise of the identified faculty and not any facilities / equipment of CBIT.

Category 2: Funding agencies utilize the equipment / Machinery /infrastructure. This will be facilitated by either staff / faculty.

2.4 Consultancy Time

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 principal. A lesser time commitment may be approved when the proposed Consultancy interferes with the discharge of responsibilities.

2.5 Transfers from other Institutions

In cases, where a Research or Non-research Consultancy or grant is transferred to the CBIT from another research organisation / Institution the transfer procedure will be as per the project sponsor's rules and guidelines. In case of any difficulty the issue can be settled amicably by a committee formed jointly by CBIT, transferring institution and project sponsor.

2.6 Conflict of Interest

Consultant shall disclose to the Director R&D in writing, the existence of any relation between him and the focal person of the funding agency or any vendor to whom the payments are to be made from the project funds and the scope for any disproportionate gain. Director R&D will review such cases along with a committee and appropriate action will be recommended to principal so that the objectives and commitments of the institute will not be compromised.

2.7 Consultancy Project Execution

Consultancy projects are normally initiated by enquiries / requests from the R&D organisations and Industry. They may contact the particular faculty whose expertise they need. Sometimes they may contact the Director /Principal for their needs. In turn, Director R&D will identify the suitable persons whose expertise suits the best for the job.

- i) Based on the requirements of the client, Consultancy project proposals are prepared and get approved by the director R&D. Director R&D will examine

the scope of the work and cost estimates and forward it to Principal with a copy to Director R&E. The charges once finalized will not be altered. However, if the scope of the work is revised a fresh estimated may be considered.

- ii) Normally, all sponsoring agencies / clients will issue a sanction order of the consultancy project. In case if the client doesn't provide such sanction letter, the client should place an order with the principal mentioning the staff / faculty whose services he needs and the details of the consultancy work / services in a format given in Annexure A.
- iii) For urgent and emergencies cases, the faculty may take up an assignment with a written intimation to director R&D and then seek approval. For such project assignments the total charges should not exceed Rs.30,000/-. The time spent on such projects should not exceed 5 working days and the final report should be submitted only after receiving the full amount.
- iv) The services of external consultants (can be retired faculty / Engineers / Scientists) may be utilized to a limited extent in order to provide comprehensive solution to the client. Such external consultants are entitled to consultant fee after considering their contribution to the project. However, the external consultant fee may not exceed 30% of the total project cost.
- v) Review and any other relevant matters on the projects will be done as per established R&D norms. Upon successful completion, a short report on every consultancy project in a fixed format is to be submitted to the Director R&D with a copy to the concerned HoD. Such reports will be kept at the R&D centre for a fixed period of time.
- vi) In exceptional cases, the consultancy projects which will not fall under the above norms may be taken up by the faculty with prior approval from the principal whose decision will be based on R&D review committee's recommendation.
- vii) External agencies / Consultants may also jointly work with CBIT to execute consultancy projects; the norms and procedures can be formulated with mutual agreement as and when such situations arise.

2.8 General Norms on Consultancy Amount

The norms for calculating the consultancy are very much flexible. However, project staff salaries, consumables charges, operational expenses, Equipment utilization charges, Overhead charges etc. are to be considered while calculating the total cost of the project. GST and other taxes wherever applicable shall be provided in the project cost.

- i) However, only testing category projects the consultancy fee should not exceed more than 20% of the total cost of the project.
- ii) For short duration projects (less than 6 months), full advancement payment from the client is preferable.
- iii) For long term projects, advance payment of instalments linked to the milestones is preferable.
- iv) Any earnings through technology transfer and royalty will be shared as per the Institute's IPR policy.

2.9 Procedures for Sanctioned Projects

a) Project Identification Number:

As soon as the Faculty / Staff receives the consultancy project / services sanction letter, he should send the copy of the sanction letter to Director R&D and the Principal. After noting the information Director R&D assigns a project number, which should be used in all correspondence within the institute. This helps to identify the project and to facilitate to monitor the progress and maintain the statistics of all projects within the institute. This also helps in providing project related information to various accreditation and ranking systems.

b) Bank Account:

Depending upon the necessity, a joint SB / current account will be put into operation to maintain all the project funds as per sponsoring agency's guidelines. This account will be operated by the principal and PI. This account number can be communicated to the funding agency so that the money can be deposited directly to this account.

c) Date of Commencement: The date of commencement of the project; is the date of receipt of the first instalment of the project fund from the funding agency or the date of approval of the project/date of joining of the staff, whichever is acceptable to the funding agency.

3. Summary

The purpose of the policy document is to make procedure for execution of consultancy projects easy and simple without compromising core and ethical values of the institute. The consultancy requirements of clients vary from time to time and every case cannot be included in the document. Any issue that is not dealt here can be taken up independently by the competent authority involving Director R&D and Principal. This document can be updated periodically to encourage faculty and staff to take up consultancy project.

Annexure A
Brief Details of Consultancy Services
 (On Official Letter Head)

1.	Client Name	:	
2.	Address	:	
3.	Tax Identification Number (TIN) with particulars	:	
4.	Name of CBIT staff /faculty taking up the consultancy work	:	
5.	Aim and Objectives of the work to be done	:	
6.	Duration of the Work	:	
7.	Total Amount (Rs.) For Consultancy / Services	:	
8.	Whether using CBIT facilities / equipment or not	:	
9.	Any Other information	:	

Date:

Signature of Client

Signature of staff

For official use (CBIT)

Remarks: Director R&D / Principal

Annexure B
Consultancy Amount and Disbursement

A.1 Procedure for Calculating the Amount Available for Disbursement

Total project amount (Rs)	TP	Remarks
Service Tax (if applicable)	ST	
Total available amount for the project	$TA = TP - ST$	
i) Total Expenditure	TE	
Available Amount for Disbursement	$AAD = TA - TE$	

i) Disbursement of Amount: For the case when Institutional Facilities are used

Available Amount for Disbursement	AAD	Remarks
Institute Share	$IS = 0.25 \times AAD$	The amount SAV to be distributed to the investigators, technical staff and other staff on the recommendations of Principle Investigator (PI).
Department Share	$DS = 0.25 \times AAD$	
R&D Share	$RDS = 0.1 \times AAD$	
Savings	$SAV = 0.4 \times AAD$	

ii) Disbursement of Amount: For the case when No Institutional Facilities are used

Available Amount for Disbursement	AAD	Remarks
Institute Share	$IS = 0.1 \times AAD$	The amount SAV to be distributed to the investigators, technical staff and other staff on the recommendations of Principle Investigator (PI).
Department Share	$DS = 0.1 \times AAD$	
R&D Share	$RDS = 0.1 \times AAD$	
Savings	$SAV = 0.7 \times AAD$	

iii) Disbursement of Amount: For the case when only testing facilities are used without any consultancy or analysis

Available Amount for Disbursement	AAD	Remarks
Institute Share	$IS = 0.3 \times AAD$	The amount SAV to be distributed to the staff on the recommendations of the person who has taken up the work.
Department Share	$DS = 0.4 \times AAD$	
R&D Share	$RDS = 0.1 \times AAD$	
Savings	$SAV = 0.2 \times AAD$	