

Effective Jan 2019



UNIVERSITY WITH A PURPOSE

UPES PRINCIPLES OF ENGAGEMENT

Human Resources

Table of Contents

I.	Consultancy Policy for Employees.....	2
1.	Objective.....	2
2.	Applicability	2
3.	Guidelines.....	2

I. Consultancy Policy for Employees

1. Objective

- 1.1. The University recognizes the fact that appropriate consulting activities will be mutually beneficial to the University and its employees. The benefits include enhancing the knowledge, expertise and experience of assisting in maintaining awareness of real work situations and networking with other Institutions, Organizations, Industry, Government agencies and other client organizations.
- 1.2. Consulting activities constitute enrichment and continuing educational activities that enhances the professional development and reputation of the University and its faculty. This also upgrades the employee's output quality as he/she is able to translate the consulting experience to real time teaching.
- 1.3. As per the Principles of Engagement of UPES, a full-time employee cannot directly or indirectly engage in any consultancy, business or profession while in the service of the University in his/her personal capacity except with prior approval of the University
- 1.4. The University encourages its employees to engage in consultancy activities wherever applicable and in a manner that is consistent with the consultancy policy.
- 1.5. The objective of this policy is to provide guidelines and the information required to undertake consultancy work in accordance with the University's approved Code.

2. Applicability

- 2.1. This policy is applicable to all employees of the University who undertake consultancy as an additional assignment over and above their regular work assignment with the University

3. Guidelines

3.1. Definition of Consultancy

- 3.1.1. Consultancy is defined as work of a professional nature, to encourage practical learning approach undertaken by the employees in their field of expertise, from Government undertakings, PSU's, and other organizations who fund the project to cover costs of project, UPES resources & overheads, incentives etc.
- 3.1.2. Some essential features of consultancy are: -
 - a. Consultancy produces some form of contracted output which may be partly or wholly owned by the client
 - b. Consultancy tends to be governed by short-term contracts and includes usage of University resources.

3.2. Nature of Consultancy

- 3.2.1. Consultancy cover a variety of activities such as:
 - a. Feasibility Studies of all kinds - Technical, Marketing, Financial, Techno-commercial etc.
 - b. Technology Assessment

- c. Evaluation of Processes and Designs
- d. Audits of various types- Material, Energy, Environmental, Quality, Academic, Financial and Manpower Audits
- e. Software Development
- f. General Trouble-shooting, Retrofitting Exercises, Legal and University Related Processes

3.2.2. Testing and calibration services are based upon the available laboratory facilities.

3.2.3. Consultancy Services may be offered to Industries/organizations broadly in Energy, Infrastructure, Transportation, University, Legal, Information Technology and any other sector as may be required

3.3. Consultancy Cell

3.2.4. UPES has formalized a Consultancy Cell for approval of Consultancy Projects.

3.2.5. Constitution and Role of Consultancy Cell (CC)

- a. All Consultancy proposals whether received by the University directly or through its employees will be forwarded to CC for review and approval. The constitution of CC shall be as under:
 - Dean, Academic Development & Innovation - Chairman
 - A panel of Five Members representing each Schools to be nominated by the Vice-Chancellor.
 - Executive to Dean, Academic Development & Innovation will be the Convener of the Committee.
- b. The decision whether an employee is permitted to undertake a piece of consultancy shall be contingent upon facts with respect to its viability and suitability including the financials involved.
- c. The Consultancy proposal may be declined if the same is regarded, prima facie, as financially unviable or beyond the domain of the University. However, projects offered by Government or International Organizations may be accepted disregarding financial or domain limitations.

3.4. Appointment of Principal Investigator and Investigator and Staff

3.4.1. The Consultancy Cell shall nominate the faculty(s)/employee considered most suitable for undertaking the Consultancy work in the nomenclature of Principal Investigator(PI) and Co-Principal Investigator (CO-PI) wherever UPES has been directly awarded the project without any active involvement of any faculty.

3.4.2. Otherwise, normally the faculty/employee who sources the Consultancy assignment shall be the Principal Investigator. It is mandatory to have a co-PI in the project, any exception to be approved by VC. However, following is to be considered while nominating the PI and Co-PI:

- a. The PI and CO-PI are academically/domain wise most suitable and have volunteered for the Consultancy Work,

- b. Acceptance of consultancy project would imply that they will not allow the Consultancy work to adversely affect their other assigned duties and responsibilities in the University and will not allow Consultancy requirements to take precedence over the University work.
- c. In case there is any conflict of interest between the University work and Consultancy assignment, they shall immediately refer the matter to the CC for further instructions/guidance

3.5. Manpower & Resources

- 3.5.1. The CC may approve participation of University students at the recommendation of the Principal Investigator subject to following:
 - a. The work does not impact the academic activities of the student(s).
 - b. Consent of the student should be obtained in writing for his involvement in the consulting assignments. The students shall not be entitled for any concession in attendance norms
 - c. Any payments to be made shall be determined in advance
- 3.5.2. The PI may with prior approval of Chairman CC shall avail the services of consultants which can be external to the University.
- 3.5.3. All purchase under the project shall be made as per University norms.

3.6. Power to change Principal Investigator and Co- Principal Investigator

- 3.6.1. The Chairman CC shall have the power to change the PI and CO-PI nominated for the Consultancy Work at any time during the Consultancy period due to illness, unavailability because of other pre-occupations, retirement or when considered otherwise necessary considering time & quality issues.

3.7. Intellectual Property Rights

- 3.7.1. The consultancy assignment must contain the treatment of Intellectual Property Rights (IPR) to avoid any dispute later on.
- 3.7.2. Any interpretational difference or any operational gap in this policy shall be decided by Vice-Chancellor.

3.8. Project Initiation and University

- 3.8.1. Each project will have a Principal Investigator (P.I.) who shall be responsible for:
 - a. Formulating the project proposal which may include
 - Planning for the assignment,
 - Estimated costs,
 - Identifying other Investigators, who shall also be employees/students of the University
 - b. Arranging for signing of Memorandum of Understanding (MOU)/ Agreement as per University guidelines. with the sponsor, if required
 - c. Co-ordination and timely execution of work
 - d. Ensuring receipt of funds & issue of Invoice

- e. Handling all communications in respect of Consultancy projects with the sponsor
- f. Writing of intermediate and final reports according to the project proposal
- g. Ensuring that all reports bear the name of the Principal Investigator, his/her signatures and other Co-PI who participated in the project
- h. Submitting a copy of final report to the office of Chairman CC
- i. Normally the agreed charges of the consultancy project are to be deposited by the sponsor, in full, before the work commences. However, this stipulation is negotiable, in cases where the work is started with only partial charges deposited in advance, the arrangements of subsequent receipt of funds from the client have to be clearly spelt out in advance.
- j. PI & Co- PI to ensure that all the expenditure should be as per approved project and in case of any deviations prior consultation from Chairman CC to be taken
- k. PI & Co- PI to ensure that all expenditure and receipts to be submitted to the Finance department on monthly basis along with expenses tracker and to provide complete support in documentation including issuance of Utilization certificate etc.
- l. The Chairman CC office shall maintain the school wise database regarding number of consultancy projects received, final project report and value.

3.9. Fund Utilization

- 3.9.1. The money received from consultancy project shall be utilized in following manner:

Consultancy Project					
S. No.	Item	Sourced by active involvement of Faculty		Directly awarded to UPES	
		Labs are not used	Labs are used	Labs are not used	Labs are used
1	Total money received				
2	Less: CST				
3	Net Contracted Amount				
4	Overhead Allocation		20% (M-T)		30% (M-T)
5	Remaining amount	A=90% (M-T)	A=80% (M-T)	A=70% (M-T)	A=70% (M-T)
6	Payment on travel, visit, in-house/outsourced manpower/ services or equipment purchased.			E	

7	Distributable Balance	A-E	A-E		
8	Distribution				
8.1	University share	33% of (A-E)	33% of (A-E)	33% of (A-E)	33% of (A-E)
8.2	PI Team's share	67% of (A-E)	of (A-E)	67% of (A-E)	67% of (A-E)

3.10. Routine Material Testing:

- 3.10.1. Implies those standard testing projects with defined processes where the rates are pre-fixed by University. In such instances, projects can be directly entertained by concerned lab in-charge as PI without routing it through CC. In such cases revenue sharing shall be 70:30 between UPES and Employee respectively.

3.11. Code of Conduct

- 3.11.1. If at any point of time, it is noticed that any employee of UPES is violating this policy or is undertaking any consultancy in his personal capacity, it will be constructed as violation of the Code of Conduct and disciplinary action as deemed fit will be initiated against the employee.