

# Consultancy Policy and Procedure



**Internal Quality Assurance Cell**

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## **1. Background**

The RDWU consultancy policy details the conditions and procedure to carry out consultancy services undertaken by the staffs of the University. The University actively promotes consulting as a crucial component of its entrepreneurial and knowledge exchange activities. Benefits of consulting for both the individual and the university include income generation, chances for external collaboration, opportunities for professional and personal growth, improved university reputation, and support for the university's knowledge transfer initiatives, including meeting economic and social impact criteria. The University acknowledges and promotes the advantages that relationships with business, government, and other professional service sectors can offer to both the institution and the persons involved. These advantages stem from the improvement of the academic or professional field, which comes from experience, information transfer, and practical application.

The University is eager to support and encourage its workers to engage in consulting in a controlled manner because it bears some risk to the individual, the University, and its reputation.

In order to ensure these benefits and to safeguard the interests of the University and its staff in a way that reflects appropriate professional standards, the procedures to be used for the management of consultancy activities and service work are defined in this document.

## **2. Purpose**

The university encourages staff members to provide excellent consultancy services for public, private, industrial, economic, scientific, educational, cultural, and international groups where it is acceptable. Such work ought to be advantageous to both parties, highlighting our larger economic, social, and cultural contributions and enhancing our research, business, learning, and teaching endeavours. The University believes it is highly desirable for its workers to carry out such consultancy services while being directed by the University. In accordance with service obligations, University Staff may carry out private consultancy outside employment so long as it complies with this Policy and Guidelines.

## **3. Applicability and Scope**

All academic personnel, academic related staff, research staff, and academic support staff (hereafter referred to as "Staff") are covered by this policy. The policy covers both University and Private Consultancy.

This guideline does not apply to external scholarly work with a direct connection to the academic job, even when a little fee is involved. Examples include, but are not limited to, taking part in external evaluation processes, serving on editorial boards, reviewing scholarly outputs, serving as an external examiner for another higher

education institution, serving as a legal expert witness, making appearances in the media, such as on television, or writing articles for general media publications, such as newspapers, and serving in an advisory capacity for a publishing company, research council or funding council.

#### **4. Responsibilities**

- i. The University Consultancy committee constituted by the competent authority of the University shall be responsible for ensuring the implementation of the University consultancy policy.
- ii. Within their spheres of operational responsibility, Heads of departments with advice from the Chairperson, Post-Graduate Council have the authority to determine the priorities and goals for Consultancy activities. Heads of departments should take consulting work into account when formulating the research plans of their department.
- iii. To increase the impact of research, the director of research and Development Cell should engage in consulting activities. Contracts for consulting must get formal permission from the Chairmen, Post-Graduate Council and, if research facilities are involved, the director, R & D Cell. The time staff members spend working as consultants should be disclosed to the HODs and the director of research. Any employee engaging in consulting work must first receive permission from their HoDs. The Research Director can be asked for permission if the HOD and CPGC is not available (for instance, due to leave or illness).
- iv. Each staff member is responsible for being aware with the Consultancy Policy and Procedures and making sure they abide by its processes and procedures.

#### **5. Definitions**

- i. The term "consultancy" refers to the provision of expert advice and work that, while it may involve a high level of analysis, measurement, or testing, is crucially dependent on a high level of intellectual input from the organisation to the client (whether commercial or non-commercial).
- ii. Private consultancy is a direct arrangement between a person operating in their own capacity and a third party that is established and managed by the person directly in accordance with their job terms and conditions.
- iii. University consultancy is an agreement between the University and a third party in which the supply of the consultancy services may involve the use of university buildings, other resources, and employees or research students.
- iv. Services provided typically include an external organisation receiving services from or having access to university resources in exchange for a price.
- v. Importantly, the customer would often expect to own any outcomes resulting from the services given and there would be little to no intellectual input from university professionals involved in the services offered.

## **6. Advantages to the University**

The University anticipates the following benefits from successful consultancies:

- i. Creation of beneficial professional and academic contacts
- ii. Extension of the knowledge base, which will inform academic and research staff members' learning and teaching and give them the chance to test and show the impact of their academic expertise on markets, sponsors, or other companies
- iii. An increase in outside stimuli to foster intellectual growth.
- iv. Creation of potential venues for future collaborations such as research initiatives, fellowships, knowledge transfer partnerships, the commercialization and licencing of intellectual property rights, and continuing professional development.
- v. Financial gains for the individual and/or university in the form of increased income and income diversification.

## **7. Advantages to the Staff Members**

The University anticipates the following benefits for the staffs from successful consultancies:

- i. Recognition of staff members undertaking consultancy work as reflected in their CVs and annual appraisal process.
- ii. Increased ability of staffs to receive funds through the University payroll on the basis of income generated through consultancy.

## **8. University Consultancy**

- i. This contains contract numbers and income related to consulting, which is guidance and work that is highly dependent on the client's commercial or non-commercial intellectual input but does not involve the generation of new information. While it will be primarily conducted by the academic staff employees, those who are not also employed under academic contracts, such as the senior university administrators or support staff, may provide consultation.
- ii. University consulting may call for the use of university personnel, research students, facilities, and other resources to provide the consultant services.
- iii. Before beginning the proposed consulting, job and having the time allotted for it approved in accordance with local workload approval systems, staff must discuss it with the Head of department & CPGC.
- iv. Cases must be created and authorised using the project management system (PMS) at the university routing it through the University consultancy committee.
- v. University Consultancy may make use of the University's name, properties (offices, laboratories, equipment, conference spaces, etc.), and IT infrastructure (e-mail and internet access).

- vi. The contractor will pay the university directly for any consultancy money, which will then be distributed to the academic department (or comparable entity like Cells & Centres) that created it.
- vii. A consultancy agreement must be in place before work can start to guarantee that University's intellectual property is protected and risks are addressed.

## **9. Private Consultancy**

- i. Private consultation is an arrangement made directly between a person acting in their own capacity and a third party.
- ii. In accordance with the rules and regulations of the University and service rules governing the staff, employees are entitled to engage in private consulting. Staff members must obtain approval from their HOD/CPGC (or delegate) or other individual as per their applicable Terms and Conditions of Service before engaging in any private consulting work in order to (i) identify any potential conflicts of interest and (ii) ensure that time commitments to extracurricular work can be acknowledged.
- iii. Before beginning the consultation, a Private Consultancy Declaration Form must be filled out and sent to the HOD/CPGC/Registrar (or a delegate) for permission. Further, all approval shall be valid for one (01) year.
- iv. The University name, reputation, or brand should not be connected to any component of the consultation in order to prevent the client from interpreting Private consultation as the consultant acting on behalf of the University.
- v. Private consulting cannot be supported by university resources such as space, furnishings, supplies, and support services, nor can it be supported by university IT resources such as university email accounts. The activity shouldn't be considered in plans for incentives, promotions, or workload planning of their department.
- vi. The employee commits to hold the University and its representatives harmless from and against any and all actions, claims, loss, damage, costs, penalties, liabilities, and demands resulting directly or indirectly from or in relation to the Private Consultancy activity.

## **10. Risks**

- i. The University is aware that engaging in consulting and related activities by academic and research staff entails a number of risks (both corporate and personal). The following risks should be managed while evaluating whether to approve such an activity:
- ii. Commercial hazards include the potential for tax fines and the loss of intellectual property rights.
- iii. Potential waste of resources and time taken away from staff members' primary academic responsibilities
- iv. Inadequate performance having a negative effect on the reputation of the staff member and the university.

- v. Violations of the law and other potential penalties associated with performing the consulting work.
- vi. Association of the university or employee with groups that could damage the reputation of the university or the individual

## **11. Standard Operating Procedure**

### ***Proposal submission***

- i. Clients or academics who are interested in consulting work should submit a Consultancy Proposal that includes the title, scope, and duration of the proposed consulting as well as the amount of consulting fees that will be charged, along with deadlines and deliverables, and any other pertinent details.
- ii. The estimated budget should be presented in a way that makes it simple for the Finance and Administration of RDWU to process and carry out.
- iii. Application routed through proper channel must be received by university consultancy committee which shall recommend and sought approval from the competent authority of the University.

### ***Evaluation & Approval of the proposal***

- i. Proposals with budget less than Rs. 1 lakh shall be directly approved by the Vice Chancellor of the University subject to positive recommendation by the university consultancy committee.
- ii. Proposals with budget greater than Rs. 1 lakh shall be reviewed by an apex committee comprising of the Chairman, PG Council, Director-R & Cell, Senior Professor from the specific area, Comptroller of Finance of the University. The positive recommendation of the apex committee approved by the Vice Chancellor of the University.

### ***Implementation of the consultancy project***

- i. The task will be assigned to specific experts or groups of consultants of the University based on their areas of expertise and current commitments when the inquiry is directly received.
- ii. If a client requests the services of a certain consultant, the assignment may typically be given to that individual with the Vice Chancellor's consent.
- iii. In case of university consultancy, The Registrar of the University will send all official correspondence, such as acceptance letters and communications, to the agencies after receiving proper approval from the Vice Chancellor.
- iv. Once the proposal is finalised, the budget won't be altered. But if the goal or scope changes, a new estimate might be filed subject to approval from the Vice Chancellor.
- v. Travel outside of the campus for consulting purposes should only be done after properly notifying and receiving consent from the head of the institution.
- vi. The entire amount of time dedicated to consulting work must be fewer than 48 working days per academic year. Any consulting work will only last as long as

it is specified in the authorised agreement. Any expansion of consulting work would need the Vice Chancellor's approval.

- vii. A consultant project must have a minimum total budget of Rs. 10,000. The University does, however, encourage free consulting when appropriate. For projects that do not require the use of laboratory resources, overhead charges are roughly 10% flat, and for project that requires the use of RDWU lab or other facilities, the same shall be 20% of the project budget. Exemption, if applicable and modifications to the usual overhead charge must be decided at the time of application, made clear on the Research Funding/Consultancy application coversheet, and authorised by the appropriate University authorities.
- viii. It is advised that a minimum daily price for Scientific, Technical, and Professional Advice be no less than one percent (1%) of the faculty member's cost-to-company, although a faculty member is free to charge whatever daily fee, they think suitable.
- ix. Recruitment of temporary employees for consulting projects must adhere to current university standards and regulations for hiring project personnel.
- x. The consultant project's purchases and travel must be paid for with project money allotted for these costs and must adhere to the current university travel and purchase policies.

## **12. Conflict of Interest**

Conflicts of interest may occur when (i) a consultant has personal or professional interests that could compromise their objectivity or professional judgement, or (ii) a proposed private consulting project directly competes with the university's interests. In order to properly assess and manage any conflicts of interest, all staff members are required to disclose them.

## **13. Dispute Resolution**

Any situation involving a lack of clarity, an ambiguity, subjective interpretation, or a conflict of interest must be reported to the Chairman, PG Council, RDWU. The CPGC may request a correction or amendment to this policy document as necessary after consulting with the Vice Chancellor. The Vice Chancellor will make the final and legally binding decision on this matter.