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Consultancy Policy 2021

CP-2021



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**CENTRE
FOR
INTERNAL QUALITY ASSURANCE**

U. P. RAJARSHI TANDON OPEN UNIVERSITY
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॥ सरस्वती नः सुभगा मयस्करत् ॥

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**UTTAR PRADESH RAJARSHI TANDON OPEN UNIVERSITY
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प्रो. सीमा सिंह
कुलपति



कुलपति



उ.प्र. रजर्षि टण्डन मुक्त विश्वविद्यालय
प्रयागराज

MESSAGE

Universities are unique platforms to develop human mind, new creativities and novel inventions to address various socio-economic challenges. Fertile brains groomed in universities are capable to owe the responsibility of formulation of new strategies and policies, establishing strategic partnerships, generating revenues for the diversified growth and development of the organizations and various other research activities for the sake of welfare of the universe and mankind as well. Taking into account the incredible importance and role of higher academic institutions in enhancing social changes by adding their multi-dimensional contributions for transformation of economic growth, generating competent human resource and technologies, initiation for development of university consultancy services is paramount.

Consultancy is a well-recognised knowledge based professional service that provides expert advice on a particular subject of client's interest. Consultants play a very significant role to bring effective changes in the varied fields of the society. It plays a vital role in developing a competitive edge in clients to outperform their competitors. Consultancy services of a university are an important mechanism through which its existing intellect and expertise is extended to address or resolve the issues of various agencies/organizations engaged in different modes of their functioning and services. The intangible assets of a university such as expertise of the staff and their technical know-how are more precious than any physical asset. In past few decades and also in present period, legitimate and well-founded admiration of commercial value of academic knowledge and technical know-how has grown many folds in the market. This service may be involved in the form of either consultative/advisory or implementation/execution in nature. Through extension of consultancy services university can establish a collaborative relationship with different stakeholders of the society at different levels by providing expert opinions/skills, assessment and recommendations which may prove to be, "Trouble Shooter". Consultancy services may generate opportunities for institutions to establish a long-term relationship with such clients which could be beneficial in long run for providing students placements, research projects as well as it gives an opportunity to generate income for the University and staff members involved in consultancy.

Uttar Pradesh Rajarshi Tandon Open University is abiding by its mandate of 'reaching unreached' with lamp of education through ODL mode tries to expand its outreach. Apart from creating and sharing knowledge, the University has framed its own consultancy policy under extension services to enact the exchange of knowledge, expertise, experience and other resources between academia, institution and industry. This policy will serve as the guiding principle for those university staff who is interested in undertaking consultancy services on one hand and on the other will invite clients from different section of society for enhancing their competence. It gives me immense pleasure to acknowledge the honesty and dedication of the faculties who have drafted this wonderful policy document.

Prof. Seema Singh
Vice Chancellor

Consultancy Policy 2021

1. Introduction:

Consultancy is well recognized as an effective way for universities to disseminate knowledge and make an early and direct impact on society. It is an important channel through which knowledge and expertise could flow from university to businesses and other external agencies. It can contribute to the growth, development and productive relationships with all the three sectors of economy. However, the balance between consultancy and the traditional roles of the academic staff needs to be managed and the interests of the University must be protected. This Policy provides provisions for conducting consultancy to ensure that consultancies undertaken by staff are consistent with the University's strategic and operational objectives.

Uttar Pradesh Rajarshi Tandon Open University encourages its faculty and staff to engage in consultancy wherever appropriate, and in a manner that is in conformity with their service agreement with the university and its Code of Conduct policy. The university's Consultancy activity, therefore, may be associated with contractual relationships, including research, service contracts etc. with government and/or non-government organizations. In lieu the University will charge a certain amount of fees.

2. Objective:

Objective of this policy document is intended to lay down the norms for undertaking consultancy work and its facilitation in accordance with the University's rules and procedures. Academic Staff members of the University are encouraged to undertake University Supported Consultancy and other similar activities provided it does not conflict with the interest of the University. Major Objectives of this policy are listed below:

- a) To increase the professional and/or academic competence and experience of the staff members.
- b) To provide staff members an opportunity of continuing professional education in the world outside the academia and research.
- c) To make an environment of mutual exchange of knowledge between the University and the external organization and this in turn would yield beneficial results for both.
- d) To get additional source of funding which would add to the University resources.

3. Exclusions:

This consultancy policy does not apply to the activities intended for furtherance of scholarship or general dissemination of knowledge or general enhancement of intellectual level of the society at large. Such activities, among others, would be:

- a) External examinership
- b) Lectures and conference presentations

- c) Editorship of academic journals or the publication of academic articles
- d) Royalties from authorship and publication of books
- e) Professional arts performances
- f) Charitable services
- g) Any other as decided by the competent authority

4. The Policy:

All Research and non-research consultancies as described in this policy shall be governed by the following guiding principles:

- (a) There should be demonstrable tangible and/or intangible benefit to the University from the consultancy.
- (b) The Consultancy must not degrade the University's reputation.
- (c) The Consultancy must not be in conflict with University's aims and objectives, interests, functions and University policies including those governing employment.
- (d) Staff members shall not undertake external research activities where no formal agreement has been authorized by the University unless they are on leave without pay, approved by the University. Such faculty may not use their UPRTOU affiliation or academic title when providing research services that are not approved by the University.

4. Types of Consultancy:

4.1. University Research Consultancy

A Research Consultancy exists where an academic staff member provides research skills or expertise in return for remuneration from an external funder. A Research Consultancy may be the outcome of a tender or an individual negotiation.

4.2. University Non-research Consultancy

Non-research Consultancies include non-research activities performed under contract for a third party. Non-research Consultancy would include the provision for professional services to external agencies for a fee. This would include, but not be limited to, routine laboratory and other testing of materials, devices or products, analysis of data such as market surveys, opinion surveys etc., the provision of professional services such as designing, legal and medical advice undertaken by members of faculty and staff.

4.3. Private Consultancy

In Principle, a faculty or staff member is not supposed to undertake a Private Consultancy unless he/she is granted permission by the Vice Chancellor. However, the faculty or staff conducting private consultancy shall ensure that such work does not affect their allocated duties, obligations to the university. None of the benefits set out for University Consultancy are available to faculty and staff undertaking a Private Consultancy. The use of University trademarks such as letterheads, brands etc. or

University intellectual property is strictly prohibited for Private Consultancies;

5. Duration of Consultancy:

The total time invested in consultancy activity must be not more than 30 working days per academic year. The duration of any consultancy activity will be limited to that mentioned in the approved agreement. Any extension of consultancy work would require prior approval of the Vice Chancellor.

6. Approval of Consultancy Activity:

Approval for all consultancy proposals, submitted through proper channel will be finally granted by the Vice Chancellor.

7. Consultancy Cell:

There will be a Consultancy Cell which shall be responsible to undertake/monitor all consultancy jobs on behalf of the University. The cell shall be headed by one senior faculty member (In-charge Consultancy Cell) nominated by the Vice Chancellor. He / She will be assisted by a team drawn from the relevant Schools of Studies in the University. For each consultancy job, one person shall act as Chief Consultant who shall be responsible for completing the job within agreed terms and time frame.

- A. A request for consultancy can be received by any staff member but is to be ultimately submitted to In-charge Consultancy Cell for consideration.
- B. After scrutiny the consultancy proposal will be forwarded for permission to the office of Vice Chancellor through proper channel. The Vice Chancellor may grant the permission to undertake it.
- C. While approving a consultancy proposal, the followings will be taken into consideration:
 - i. the normal duty of the individual staff member, the schedule of consultancy and the interests of the School/University are not hampered in any way;
 - ii. the required expertise and adequate infrastructure are available within at all the university; and
 - iii. the benefits are tangibly more than the costs incurred.

8. Income Distribution

- a) The total cost incurred by the University for allowing the consultancy will be deducted first from gross income from consultancy, and then the net income will be splitted between the consultancy provider and the University.
- b) The member/team of the University providing consultancy would be entitled to retain 60 percent of the share while the university will retain 40 percent of the net income in case of science and technology related assignments and 70 percent to member of other departments and 30 percent share to the university.
- c) If the gross income from a consultancy work is below a certain amount in any financial year, then the university may lower/forego its part and residual income will be retained by the consultancy provider. This amount will be notified by the university and may be

revised from time to time.

- d) The income earned by any individual from consultancy will be taxable as per Govt. of India rules.
- e) All financial transactions related to consultancy will be cashless through bank transfer to/from appropriate university account. The university will make the appropriate payment to the consultancy provider as per rules.

9. Code of Conduct:

- a) The conduct of the employee during the consultancy work must conform to the prestige and reputation of the university. The university will be entitled to take disciplinary action against its employee for any misconduct during the consultancy.
- b) Original copies of all documents related to all consultancy services undertaken by its employee must be in possession of the University for allowing appropriate processing for financial accounting and audit purposes.
- c) The clients receiving consultancy services would not be entitled to use the university name, logo etc. in any form without prior permission of the Vice Chancellor.

10. Conflict of Interest:

- a) Engagement in consultancies must not create any perceived or actual conflict of interest.
- b) Conflict of interest, if any, must be immediately reported to the Vice Chancellor.
- c) A conflict of interest shall be considered as a case where an employee engages in consultancy at the expense of the interests of university as defined by the Vice Chancellor.

11. Dispute Redressal and Resolution:

All cases of lack of clarity on any issue, or any ambiguity, or subjectivity in interpretation, must be reported to the Registrar. Vice Chancellor's decision will be final and binding. The Vice Chancellor may, at any point of time, call for amendment or revision of this policy document as deemed appropriate. Any violation of the above policy shall be dealt with as per rules and regulations of the university.



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