



# SGT UNIVERSITY

Shree Guru Gobind Singh Tricentenary University

OFFICE OF THE DIRECTOR RESEARCH & DEVELOPMENT



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## CONSULTANCY POLICY 2025

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**SHREE GURU GOBIND SINGH TRICENTENARY UNIVERSITY**

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## Introduction

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, networking with other Institutions, organisations, Industry, Government agencies and other" client organisations. Thus, appropriate consulting activities constitute enrichment and continuing educational activities that enhance 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.

The consultancy by the university also gives access to the huge academic expertise resource of its faculty members, to the nearby community for solving their problems at low costs. It is, therefore, the University's policy to encourage employees to engage in consultancy activities wherever applicable.

## Definition

For the purpose of this policy, the University defines consultancy as professional work undertaken by employees in their respective areas of expertise. The key characteristics of consultancy are as follows:

- a) **Professional Engagement:** Consultancy involves applying domain-specific knowledge and skills in a professional capacity. It is intended to promote practical, real-world learning and engagement, typically funded by Government bodies, PSUs, or other external organizations. It may also involve the utilization of SGT University resources, overheads, and applicable incentives.
- b) **Deliverables and Ownership:** Consultancy projects result in a clearly defined output or deliverable, which may be fully or partially owned by the client, as specified in the contract.
- c) **Contractual and Resource-Based:** Such engagements are usually governed by short-term contracts and involve the use of the University's resources, including infrastructure, equipment, and human resources.

## Scope of the Policy

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

## Nature of Consultancy:

- (i) Can cover a variety of activities such as Feasibility Studies of all kinds - Healthcare, Technical, Marketing, Financial, Techno-commercial etc.; Technology Assessment; Evaluation of Processes and Designs, Audits of various types- Material, Energy, Environmental, Quality, Academic, Financial and Manpower; Software Development; General Trouble-shooting, Retrofitting Exercises, Legal and Management Related Processes etc.



- (ii) Testing and calibration services, based upon the availability of laboratory facilities.
- (iii) Consultancy services may be offered to industries/ organizations in energy, infrastructure, transportation, management, legal, medical, pharmacy, information & other technology or any other sector as may be required.

#### **Applicability:**

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##### **1. Consultancy Cell**

A consultancy cell should be created for the approval and monitoring of all consultancy projects/ requests.

##### **2. Constitution and Role of Consultancy Cell (CC)**

All consultancy proposals, whether received by the University directly or through its employees, will be forwarded to the Consultancy Cell for review and approval. The CC will have the following members:

###### **2.1. Members of the Consultancy Cell Committee:**

1. Vice Chancellor - Chairperson
2. Chairman Consultancy Cell (nominated by the Hon'ble VC Sir)
3. Director, Research and Development (R&D)
4. Director, IQAC
5. Registrar
6. Finance Officer
7. Dean, ICIA
8. Faculty Nominee

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 financial involvement.

A Consultancy proposal may be declined if the same is regarded, prima facie, as financially non-viable or beyond the domain of the University. However, projects offered by the Government or International Organisations may be accepted regardless of financial or domain limitations.

##### **3. Appointment of Principal Consultant, Co-Consultant and Staff**

- 3.1. Normally, the faculty/employee who sources the Consultancy assignment shall be the Principal Consultant. It is mandatory to have a Co-Consultant in the project; any exception shall be approved by the Vice Chancellor. However, the following shall be considered while nominating the Principal Consultant and Co-Consultant:

- (a) The Principal Consultant and Co-Consultant are academically/domain-wise most suitable and have volunteered for the Consultancy Work.



- (b) Acceptance of the consultancy project would imply that the Consultancy work will not adversely affect their assigned duties and responsibilities in the University, and the Consultancy requirements will not take precedence over the University work.

**Note:** In case there is any conflict of interest between the University work and the Consultancy assignment, it shall be immediately referred to the Consultancy Cell for further instructions/guidance.

The consultancy cell shall nominate the faculty members (employee considered most suitable for undertaking the Consultancy work in the nomenclature of **Principal Consultant and Co-Consultant** wherever SGT University has been directly awarded the project without any active involvement of any faculty.

#### 4. Manpower & Resources

4.1. The Consultancy Cell may approve participation of university students or other faculty members or employee at the recommendation of the Principal Consultant, subject to the following:

- (i) The work does not impact the academic activities of the student(s) or duties of employee(s).
- (ii) Consent of the student/ employee should be obtained in writing for their involvement in the consulting assignments. The students shall not be entitled to any concession in attendance norms, and employees shall not be entitled to any duty leave, etc.
- (iii) Any payments to be made to the student/employee shall be determined and agreed in advance.

4.2. The Principal Consultant may with prior approval of Chairman Consultancy Cell shall avail. The services of external parties to the University, with or without payment.

4.3. All purchases for the consultancy project shall be made as per university norms.

#### 5. Student Involvement and Incentives:

To encourage active student participation in consultancy projects:

- Students can participate in projects where their involvement advances their education and skill development.
- Participation may be equated to academic work, such as:
  - Capstone Projects
  - Summer Training
- Students may receive duty leaves, up to a maximum of 6 per term, with prior approval from the Dean.
- Monetary incentives will be provided to students as per the honorarium framework.
- Participation in projects is voluntary, and non-participation will not impact academic prospects.



## 6. Duty Leave Policy:

Duty leaves for faculty will be allowed based on the financial worth of the project:

| Project Worth (INR) | Max. Duty Leaves |
|---------------------|------------------|
| ≤ 25,000            | 1 Day            |
| 25,001 to 50,000    | 2 Days           |
| > 50,000 to 1 Lakh  | 3 Days           |
| > 1 Lakh to 5 Lakhs | 4 Days           |
| > 5 Lakhs           | 5 Days           |
| > 10 Lakhs          | 6 Days           |

- Duty leave requests must be submitted 2 days in advance and approved by the Dean.
- Salary equivalent to the duty leaves will be deducted while calculating the project surplus.

## 7. Power to change Principal Consultant and Co-Consultant

The Chairman, Consultancy Cell shall have the power to change the Principal Consultant and Co-Consultant nominated for the Consultancy Work at any time during the Consultancy period due to illness, non-availability because of other preoccupations, retirement or otherwise as necessary, considering time & quality issues.

## 8. Intellectual Property Rights

The consultancy assignment must contain the treatment of Intellectual Property Rights to avoid any dispute later, as per the University's IPR policy. Any interpretational difference or any operational gap in this policy shall be decided by the Vice Chancellor in consultation with the Chairman, Consultancy Cell.

## 9. Project Initiation and Management

The Principal Consultant shall be responsible for:

- 1) Formulating the project proposal, which may include.
- 2) Scope for the assignment
- 3) Estimated costs/ consultancy fees.
  - a. Identifying other consultants, if required, who shall be employees/students of the University.
  - b. Arrange for the signing of the Consultancy Agreement as per university guidelines with the sponsor. The agreement shall specify the limited liability of SGTU and its employees and dispute resolving mechanisms.
  - 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 Consultant, his/her signatures and other Co-Consultants.



- h. Submitting a copy of the final report to the office of the Chairman Consultancy Cell
- i. Normally, the agreed charges for the consultancy project shall 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. No employee shall receive money directly from the sponsor.
- k. Principal Consultant & Co-Consultant to ensure that all the expenditure is as per the approved project, and in case of any deviations, prior consultation from the Chairman Consultancy Cell shall be taken.
- l. Principal Consultant & Co-Consultant to ensure that all expenditures and receipts are submitted to the finance department on a monthly basis along with the expenses tracker and to provide support in documentation, including issuance of any certificate, etc.
- m. Consultants must submit mid-progress reports and project completion reports, including income and expenditure details, to the office of Dean, Research.
- n. Original copies of proposal forms, agreements, and client communication must be maintained and submitted.
- o. All payments to stakeholders must be documented upon project completion.

The Consultancy Cell office shall maintain an up-to-date database of consultancy projects with all details like date of start, organisation, date of approval by the Chairman Consultancy Cell, Faculty, Department, value date of completion, consultancy received date, amount, etc.

## 10. Honorarium Distribution Framework

To ensure fairness and motivation for faculty, students, and the university, the following honorarium structure is adopted:

### 10.1 Consultancy Brought by Faculty

| Scenario                          | University Share | Faculty Share    | Student Share |
|-----------------------------------|------------------|------------------|---------------|
| No University Infrastructure Used | 5%               | 95% (No Student) | NIL           |
|                                   | 5%               | 75%              | 20%           |
| University Infrastructure Used    | 20%              | 80% (No Student) | NIL           |
|                                   | 20%              | 60%              | 20%           |

### 10.2 Consultancy Brought by the University

| Scenario                          | University Share | Faculty Share    | Student Share |
|-----------------------------------|------------------|------------------|---------------|
| No University Infrastructure Used | 30%              | 70% (No Student) | NIL           |
|                                   | 30%              | 50%              | 20%           |
| University Infrastructure Used    | 40%              | 60% (No Student) | NIL           |
|                                   | 40%              | 40%              | 20%           |



**Note:** 1. In cases where a faculty member facilitates or brings consultancy work to the University but is not directly involved as a consultant, they shall be entitled to receive 10% of the total consultancy amount as an incentive for their efforts in securing the project. If students are involved in the consultancy project, they are to be compensated appropriately as per the above structure.

2. If no consultant is appointed for a particular consultancy, the university will hold 100% share.

#### 11. Routine & Calibration Testing

Implies those standard testing & calibration projects with defined processes, and the charges are pre-fixed by the University. In such instances, projects can be directly entertained by the concerned employee as Principal Consultant with intimation to CC.

#### 12. Approval Authority

All disbursement of funds as above shall be through the consultancy cell. The following hierarchy will approve consultancy projects based on financial limits:

| Consultancy Worth | Recommending Authority | Approving Authority |
|-------------------|------------------------|---------------------|
| Up to 5 Lakhs     | Director Research      | Cluster Head        |
| More than 5 lakhs | Cluster Head           | Vice Chancellor     |

#### 13. Code of Conduct

If at any point in time, it is noticed that any employee of SGT University is violating this policy or is undertaking any consultancy in their personal capacity, it will be considered a violation of the Code of Conduct and disciplinary action as deemed fit will be initiated against the employee.

- Any delays, financial irregularities, or actions harming the university's reputation will be treated as **misconduct**.
- Such cases will be handled per the university's disciplinary policies.

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