



**SRM**  
Institute of Science and Technology

**CONSULTANCY POLICY**

A handwritten signature in blue ink, consisting of stylized loops and a horizontal line.

Registrar

SRM Institute of Science and Technology  
SRM Nagar, Kattankulathur - 603 203  
Chengalpattu Dist. Tamilnadu, India.

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## LIST OF ABBREVIATIONS

SRMIST	-	SRM Institute of Science and Technology,
PI	-	Principal Investigator
DST	-	Department of Science and Technology
DBT	-	Department of Biotechnology
ICMR	-	Indian Council of Medical Research
DRDO	-	Defense Research and Development Organization
IPR	-	Intellectual Property Rights
MoU	-	Memorandum of Understanding
DA	-	Daily Allowance
TA	-	Travelling Allowance



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## CONSULTANCY WORKS

### PREAMBLE

SRM Institute of Science and Technology, (hereafter referred to as "SRMIST") is an academic institute dedicated to excellence in teaching and research in consonance with the contemporary and future needs of India. With the path-breaking innovations in both its curriculum and research, the institute is rapidly gaining a legendary reputation globally. In addition to offering formal Undergraduate and Postgraduate Programs, the institute actively encourages its faculty members and other academic staff members to undertake consultancy projects with industry and other comparable institutions of higher learning in the form of industrial consultancy in order to widen and strengthen the research profile of the institute and to create new knowledge, widening and expansion of existing knowledge and experience of faculty and staff members. In this document, the processes to support these efforts have been included. A formal framework to guide the implementation of these processes is included in this document.

### CONSULTANCY RULES AND NORMS

#### 1. SCOPE OF CONSULTANCY SERVICES OFFERED

- 1.1. Consultancy Services may be offered to industries, service sectors, government departments and other national & international agencies in niche areas of expertise available in the institute.
- 1.2. The service offered shall be along the lines of 'Professional Services' and will hence carry with them obligations and ethical requirements associated with such services as indicated in the standard terms and conditions (**Annexure 1**).
- 1.3. Consultancy services offered may cover a variety of activities.
- 1.4. Testing & Evaluation services are to be normally offered in selected specialized areas, in order to meet the needs of certain governmental and related agencies, special clients and other outside educational institutions.
- 1.5. Standardization and Calibration services may be offered in areas in which facilities are available or can be augmented. Such services should normally be backed by periodic Calibration / Standardization of laboratory equipment used for such purposes.



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- 1.6 The consultancy work which is too complex to handle, because of certain constraints inherent in any academic and research environment should not normally be taken up.
- 1.7. All Consultancy works and related jobs need to be structured and executed in the spirit of promoting SRMIST–Industry Interactions, as a vehicle for augmenting (current) levels of excellence in teaching and research, for proper placement of SRMIST graduates (U.G. / P.G. / Ph.D.) and in the process, generating funds.
- 1.8. All the research projects sponsored by the Government (DST, DBT, ICMR, DRDO, etc.), public, private, national & international agencies and autonomous bodies do not fall under the purview of consultancy services.

## 2. CONSULTANCY PROJECTS CATEGORIES

- 2.1. Each project shall be undertaken either under:
- (a) Standard Terms and Conditions, or
  - (b) Specific Agreement or Memorandum of Understanding (MoU) describing the details of Contract and requires legal and expert clearance

In the former case, the work is taken up in good faith between the principal investigator (as defined in item 3) and the client, the obligations and responsibilities of both parties being limited by the standard terms and conditions. A copy of the Standard Terms and Conditions is attached as **Annexure 1**.

The latter case refers to projects that usually involve non-disclosure agreements, detailed negotiations of contract terms and signing of contracts in the form of agreement or MoU covering various aspects such as deliverables, milestones, payment schedules, role and responsibilities of the parties, non-disclosure of confidential information, disputes resolution, liability, Intellectual Property Rights (IPR) matters, arbitration, and applicable law. These projects involve a significant amount of effort and time associated with the negotiation and implementation of the research contracts.

- 2.2 Consultancy and related services offered will be categorized mainly as under:
- (a) Category 1: Advisory Consultancy: (Expert Advice and Development Project) Consultancy that does not involve the use of any institutional facilities and is solely based on the expertise of the Principal Investigator (as defined in item 3)

- (b) Category 2: Institutional / Departmental Consultancy: Consultancy that involves the use of University infrastructure / facilities such as equipment, instrument, and laboratory staff, etc.
- (c) Category 3: Testing and Evaluation / Calibration and Standardization Services: The service involves the routine testing and evaluation in order to meet the needs of outside organization / agencies / educational institutions.
- NB: The consultancy and related services should not interfere with the normal teaching and research in the University.

### **3. ELIGIBILITY FOR UNDERTAKING CONSULTANCY**

- 3.1. Consultancy and related assignments can be taken up by full-time faculty members of Departments, Core Research Scientists of Schools / Departments / Centres and all other employees of SRMIST. All employees of SRMIST undertaking consultancy shall hereinafter be referred to as Principal Investigator (PI).

### **4. GENERAL CONSULTANCY RULES**

- 4.1. All consultancy assignments by the faculty members should be undertaken with prior approval of the Head of the Department and permission of the Director of the concerned Faculty (In case of standalone centre, Head of Centre). In the absence of such approval, the services of the employee may be terminated if he/she undertakes consultancy work.
- 4.2. A faculty member may be allowed to spend normally a maximum of one day per working week i.e. maximum of 52 days during the calendar year for consultancy. In special cases, Vice-Chancellor's permission may be sought.
- 4.3. Examinations, lectures, selection committees and other professional work of the faculty members are not to be included in the consultancy.
- 4.4. The consultancy account "SRMIST Consultancy" should be maintained by the office of the Registrar.
- 4.5. All fees for consultancy should be received by demand draft or electronic transfer in favour of "SRMIST Consultancy" payable at Chennai and individual faculty members should not receive any cash directly.
- 4.6. GST as applicable should be paid by the client or PI should include in the total cost.





- 4.7. For small or day-to-day consultancy works Proforma Invoice / Invoice (**Annexure 2A & 2B**) can be used and the consultancy amount collected has to be deposited into "SRMIST Consultancy" at the earliest.
- 4.8. Remuneration paid to an individual faculty member for consultancy as his share in one academic year should not exceed his total salary for the year. Any amount in excess of this prescribed limit due to a faculty member will be remitted to the University development fund.
- 4.9. Daily Allowance (D.A) / Travelling Allowance (T.A) are to be paid as permissible according to University rules or as per agreement with the client and PI, and it should not be included in the consultancy fees.
- 4.10. Before, accepting the consultancy job, the faculty member shall obtain the approval as mentioned in 4.1 and the format (**Annexure 3**) for Approval for Consultancy Works can be used.

## 5. DISTRIBUTION OF CONSULTANCY FEES

- 5.1. The consultancy fee shall be distributed as under:

Consultancy Types	PI and team members	Consultancy Offering Department	SRMIST Consultancy
<b>Category 1</b> Advisory Consultancy	80%	10%	10%
<b>Category 2</b> Institutional / Departmental Consultancy	60%	20%	20%
<b>Category 3</b> Testing and Evaluation / Calibration and Standardization Services	30%	70%	--
Analysis and Characterization of Samples	20%	80%	--

In case. If any TDS is deducted by the party upon the consultancy charges it shall be considered as the share of the SRMIST income for the distribution.

For Consultancy Distribution Proposal, the format (**Annexure 4**) can be used.

The above breakup of the consultancy charges is for the internal administrative use of the University only and may not be revealed to the client for whom a lump sum figure of total consultancy charges may be quoted.

NB: Legal Charges for Consultancy, GST and other levies if any for all categories of consultancy.



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## 6. CERTIFICATION

- 6.1. The university (through its PI) is authorized to undertake certification in any form upon the approval of the Head, Consultancy. At best, one can say that, on a given day, with a given sample, a well-defined test yielded the reported results.

### NOTE:

For all matters not covered in this document, as a general principle, Head, Centre for Consultancy and Intellectual Property Rights may be approached for consideration on case to case basis.



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## STANDARD TERMS AND CONDITIONS

**1. DECLARATION:** All works undertaken by SRMIST, as part of the project will be in good faith and based on material / data / other relevant information given by the Client requesting for the work.

**2. CONFIDENTIALITY:** Due care will be taken by SRMIST, to maintain confidentiality and discretion regarding confidential information received from the Client, including but not limited to results, reports and identity of the Client.

**3. REPORTS:** Any test or other consultancy report given by SRMIST, will be based on work performed according to available standards and / or open domain literature. In any event, this report may not be construed as a legal document, certificate or endorsement and may not be used for marketing of the products or processes, without prior consent from SRMIST, The institute reserves the right to retain one copy of the report and use the results of the project for its internal teaching and joint research and publication purposes with consent from the client.

**4. WORK PERFORMANCE:** Every effort will be made to complete the specified work according to the planned time schedule. However, SRMIST, will not be held responsible for delays caused beyond its reasonable control.

**5. CONFLICT OF INTEREST:** SRMIST, may take up work for other Clients also in the same area, provided, to the best of the institute's knowledge, there is no conflict of interest in undertaking such consultancy projects.

**6. PAYMENT:** The payment of 50% consultation charges to SRMIST, is to be made in advance before the start of the project through

(i) Demand draft (DD) in favour of "SRMIST Consultancy" payable at Chennai

OR

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(ii) Electronic Transfer to the following account

**Name of the Bank & Branch:** Indian Bank, SRM University Branch

**Account No.** 6338865174

**IFSC Code:** IDIB000S181

The DD or the details of electronic fund transfer can be sent to the Principal Investigator. The charges will also include any applicable tax and other levies, if any, as prescribed by the State / Central Governments from time to time.

**7. TERMINATION:** The project work may be terminated by either party by giving the other party a notice period of 30 days. However, both parties will meet any residual obligations in connection with the project.

**8. LIABILITY:** SRMIST, shall not be held liable for any loss, damage, delay or failure of performance, resulting directly or indirectly from any cause, which is beyond its reasonable control (Force Majeure). The liability if any at all of SRMIST, shall be limited to the funds received for the project.

**9. INTELLECTUAL PROPERTY RIGHTS:** All rights pertaining to any intellectual property generated / created / invented in the due course of the project, will be the joint property of SRMIST, and the Client. Terms and conditions regarding transferring / assigning / selling these rights to the Client shall be governed by a separate written and agreed to document if required.

**10. RESOLUTION OF DISPUTES:** Any disputes arising out of the project shall be amicably settled by SRMIST, r and the Client. Any unsettled disputes may be subject to resolution as per the Indian Arbitration and Conciliation Act 1996 and the legal constraints are subject to Chennai Jurisdiction only.

**PRINCIPAL INVESTIGATOR**

**CLIENT**



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**SRMIST CONSULTANCY  
CONSULTANCY SERVICES  
PROFORMA INVOICE**

PROFORMA INVOICE			
<b>Invoice From</b>	SRMIST SRM Institute of Science & Technology SRM Nagar, Kattankulathur Campus Kancheepuram District - 603 203 Tel: +91 44 2741 7100	<b>Proforma Invoice No.</b>	
		<b>Date</b>	
		<b>GST Reg. No.</b>	33AADTS3688K1Z0
		<b>PAN No.</b>	AADTS3688K
<b>Invoice To</b>	Name of the Client		
	Full postal address		
	<b>Particulars</b>	<b>Amount (Rs.)</b>	
	<b>Sub Total</b>		
	<b>GST (18%)</b>		
	<b>Any other charges / levies</b>		
	<b>Net Amount</b>		
	<b>Total</b>		
Amount Chargeable (in words): Rupees ..... Only.			
Mode of payment (Kindly tick) Demand Draft <input type="checkbox"/> Electronic Transfer <input type="checkbox"/>			
1. For Demand Draft, No. .... dated ..... in favour of "SRMIST Consultancy" payable at Chennai drawn at ..... Bank			
2. For Electronic Transfer, UTR No. .... Dated ..... from ..... Bank			
3. TDS as applicable			
For SRM Institute of Science & Technology			
<b>Name:</b>	(Authorized Signatory or Principal Investigator)		
<b>Designation:</b>			
<b>Department:</b>			



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**SRMIST CONSULTANCY  
CONSULTANCY SERVICES  
APPROVAL FOR CONSULTANCY WORKS  
(For internal use only)**

Date: .....

**CATEGORY OF CONSULTANCY**

Category 1: Advisory Consultancy

Category 2: Institutional / Departmental Consultancy

1. Name of the Principal Investigator :
2. Name(s) of staff member(s) :  
In-charge of the work
3. Laboratory & Department(s) / :  
Centre undertaking the work
4. Organization for whom work is undertaken :
5. i) Date of commencement :  
ii) Date of completion :
6. Total consultancy fees estimated: : Rs.
7. In the case of interdepartmental : Name of the Dept. / Centre % of Share  
Assignments\*\* (Please indicate percentage  
Of share of amount between departments /  
Centers concerned)



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\*\* In case of interdepartmental assignments, the signatures required from the concerned Heads of the Departments

- Encl:** 1. Copy of the consultancy letter from the organization (Annexure 5)  
2. Copy of the signed standard terms and conditions (Annexure 1)  
3. Details of the expenditures for materials used

**PRINCIPAL INVESTIGATOR**

**HEAD OF THE DEPARTMENT**

**DEAN OF SCHOOL**

**DEAN OF FACULTY**

**PRO-VC**



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For Category 1 and Category 2

ANNEXURE 4

(To be typed in the Organization Letter Pad)

**LETTER FOR CONSULTANCY WORKS**

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Date: .....

Project Title:

Name and Address of the Organization:

Name of the Representative:

Designation:

Telephone:

Fax:

Email:

Name of the Principal Investigator:

Designation:

Department:

Telephone:

Fax:

Email:

Project Cost (estimated):

GST:

Total Project Cost:



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Payment Schedule:

50% Advance Payment:

100% Payment:

Duration of the Proposed Work:

Date of Commencement:

Date of Completion:

Scope of the Proposed Work:

Any other relevant details:

WE AGREE TO THE ABOVE PROPOSAL AND ALSO THE STANDARD TERMS & CONDITIONS OF SRMIST.

**Authorized Signatory of the Organization**

Signature: .....

Name: .....

Designation: .....

Date: .....



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**SRMIST CONSULTANCY  
CONSULTANCY SERVICES  
CONSULTANCY DISTRIBUTION PROPOSAL  
(For internal use only)**

Date: .....

**CATEGORY OF CONSULTANCY**

Category 1: Advisory Consultancy

Category 2: Institutional / Departmental Consultancy

1. Name of the Principal Investigator (PI) :
2. Department :
3. Laboratory & Department(s) /  
Centre undertaking the work :
4. Organization for whom work was done :
5. Approval No. & Date :
6. Amount paid by the organization  
And Receipt No. & Date :
7. Distribution proposal :
- (i) Total consultancy fees collected : Rs.  
From the organization
- (ii) GST [18% of 7(i)] : Rs.
- (iii) Total expenditures : Rs.  
(Materials and consumables used)
- (iv) Legal charges, if any : Rs.  
-----
- (v) **Balance amount** : Rs.  
Item 7(i) – [7(ii) +7(iii) +7(iv)] -----

**KINDLY CHOOSE WHICHEVER IS APPLICABLE**

**For Category 1: Advisory Consultancy,**

For PI and team members : Rs.  
80% of balance amount

For department development facilities : Rs.  
10% of balance amount

For university development facilities : Rs.  
10% of balance amount

**For Category 2: Institutional / Departmental Consultancy,**

For PI and team members : Rs.  
60% of balance amount

For department development facilities : Rs.  
20% of balance amount

For university development facilities : Rs.  
20% of balance amount

- Encl:**
1. Details of the expenditures for materials used
  2. Technical report duly signed by Principal Investigator and Client / Technical Representative of Client
  3. The statement on the amount to be distributed among the staff members (Both teaching and non-teaching)
  4. In case of interdepartmental assignments, signatures required from the concerned Heads of the Departments along with the statement on the amount to be distributed

**PRINCIPAL INVESTIGATOR**

**HEAD OF THE DEPARTMENT**

**DEAN OF SCHOOL**

**DEAN OF FACULTY**

**PRO-VC**



**REGISTRAR**

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For Category 3

ANNEXURE 6

**SRMIST CONSULTANCY SERVICES  
CONSULTANCY DISTRIBUTION PROPOSAL  
(For internal use only)**

**Category 3a: Testing and Evaluation / Calibration and Standardization Services**

**Category 3b: Analysis and Characterization of Samples**

- |   |   |                 |
|---|---|-----------------|
| 1. Name of the Department   | : |                 |
| 2. Type of the services provided  | : | 3a/3b           |
| 3. Financial year   | : |                 |
| 4. Service charges collected from   | : |                 |
| A) Industries   | : |                 |
| B) Academic institutions <b>other than SRM</b>  | : |                 |
| C) Total service charges collected from external users (A+B):                                   | : |                 |
| D) GST [18% of C]   | : |                 |
| (E) Distributable amount for <b>3a type E = 30%</b> of (C-D)                                    | : |                 |
| Distributable amount for <b>3b type E = 20%</b> of (C-D)  | : |                 |
| 5. Details of the services offered and the recommended<br>Distribution among the staff involved | : | <b>Annexure</b> |

HEAD OF THE DEPARTMENT

DEAN OF SCHOOL

DEAN OF FACULTY

PRO.VC

  
**REGISTRAR**  
Registrar

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