IDEATION, INNOVATION & INCUBATION CENTRE (IIIC)

CAIAS CONSULTANCY POLICY, FRAMEWORK AND GUIDELINES

1. Purpose

CAIAS encourages faculty members and authorized institutional units to undertake consultancy that promotes professional development, knowledge transfer, industry and community engagement, and application of academic expertise. This Policy sets the framework for the proposal, registration, approval, execution, financial administration and closure of consultancy, while safeguarding academic responsibilities and institutional interests.

2. Applicability

This Policy applies to full-time faculty members, faculty teams, departments, interdisciplinary teams and other CAIAS units authorized to undertake consultancy. Other staff may undertake consultancy only with the written approval of the principal.

Consultancy may include professional, technical, advisory, research, training, testing, design, development, management and related services. It includes consultancy and professional support given to Resident Startups of IIIC as part of their incubation arrangement.

3. Definitions

Term	Meaning
Consultancy	A paid professional service by CAIAS faculty or units to an external party, undertaken in the CAIAS name under this Policy.
Client / Engaging Party	The person or organization engaging CAIAS for consultancy.
Faculty/Team	The faculty member(s) or unit delivering the consultancy.
HOD	Head of the Department of the lead faculty member. For interdisciplinary teams, the HOD of the lead faculty member verifies, and other involved HODs are informed.
Principal	The Principal of CAIAS, the Competent Authority under this Policy.
Consultancy Value	The total fee agreed with the Client, excluding taxes.
Consultancy ID	The unique number IIIC assigns on registration.
Central Consultancy Services Register	The record of all consultancies kept by IIIC.

4. Source of Consultancy

Consultancy may come from individuals, companies, industries, educational or research institutions, government bodies, NGOs, professional organizations or other external entities.

5. Eligibility and Academic Responsibilities

- Faculty members may undertake consultancy within their area of expertise, with prior institutional approval.
- Consultancy shall not interfere with teaching, research, student supervision, examinations, academic administration or other institutional responsibilities.

- A faculty member's consultancy time shall not exceed an average of one working day per week and 52 working days in a financial year, with no more than 4 days in any month. Consultancy done on holidays or vacation days does not count towards this limit. The principal may approve more in exceptional cases, in writing. Consultancy days are recorded in the milestone updates and the Central Consultancy Services Register.

6. Proposal and Client Engagement

- **Client request:** the Client sends a written request to the faculty member and to IIIC. IIIC logs into the enquiry.
- **Proposal:** the Faculty/Team prepares a proposal stating scope, deliverables, milestones or stages, timeline, team, resources needed, fee and payment terms, and any conflict of interest.
- **HOD verification:** the HOD verifies the proposal for expertise fit, workload, academic duties and resource use.
- **Sharing:** the verified proposal is shared with the Client in writing, stating that it is subject to CAIAS approval. IIIC is copied.
- **Acceptance:** the Client accepts in writing. Registration and approval under Section 7 then follow.

No commitment on behalf of CAIAS is made until approval under Section 7 is given.

7. Registration and Approval

All consultancy services shall be registered before they start, on the prescribed Consultancy Registration Form, which includes:

- Faculty/Team and department details
- Client details
- Scope and deliverables
- Duration and milestones
- Consultancy Value and payment terms
- Use of institutional resources
- Student participation, if any
- Proposed distribution fee
- Conflict-of-interest declaration

IIIC assigns a unique Consultancy ID.

Approval process: Faculty/Team → IIIC verification → HOD verification → Principal approval.

- Consultancy starts only after approval, and no commitment is made to the Client before that.
- IIIC shall verify within 3 working days, the HOD within 3 working days, and the principal within 5 working days of receipt, so approval is normally completed within 10 working days. If a stage does not act in time, IIIC escalates to the principal. Silence is not approval.
- Approval of consultancy below ₹1,00,000 is delegated to the Director – IIIC, after HOD verification, unless it uses institutional resources, involves students or a Resident Startup, or carries a conflict-of-interest declaration. The principal approves all other consultancy, including all consultancy of ₹1,00,000 or more and any consultancy undertaken by the Director – IIIC. Consultancy above ₹10,00,000 also needs Finance and Legal review of the agreement before approval.
- If a request is not approved, the reasons are recorded and communicated within 3 working days. The Faculty/Team may submit with changes, or request reconsideration by the Principal within 7 working days, and the Principal's decision is final.

8. Supporting Documents

The Faculty/Team shall submit a document establishing the engagement, such as an agreement, work order, purchase order, letter of engagement, accepted proposal, MoU, Client confirmation, or email or other acceptable written confirmation.

9. Conflict of Interest and Non-Competing Consultancy

Faculty members shall disclose any actual, potential or perceived conflict of interest in the Registration Form, including any financial interest, directorship or equity in the Client. Consultancy shall not:

- compromise academic objectivity or responsibilities;
- directly compete with CAIAS's core academic or institutional interests;
- misuse institutional information or intellectual property; or
- adversely affects the reputation or legitimate interests of CAIAS.

Any doubt about conflict or competing interests shall be referred to the principal.

10. Use of Institutional Resources

Institutional resources, including laboratories, equipment, software, facilities, data, staff and other assets, shall not be used for consultancy without prior approval. Where approved, resource charges or cost recovery shall be determined at **[rate / basis]** and recorded before the work starts.

11. Consultancy Agreement and Execution

- The consultancy shall be executed according to the approved scope, deliverables, duration, financial terms and contractual conditions.
- **Milestone updates:** at every milestone or stage, the Faculty/Team shall post an update to IIIC within 5 working days, covering work done, deliverables, status, issues, and payments due or received.
- Any material change in scope, value, duration, team, deliverables, Client or use of institutional resources needs prior approval.
- The agreement or work order shall be signed on behalf of CAIAS by the authorised signatory designated by the principal, and not by the Faculty/Team in a personal capacity.

12. Student Participation

Students may take part in consultancy only with the approval recorded in the Registration Form, under faculty supervision and without affecting their academics. Any stipend or remuneration is stated in the Registration Form and paid through CAIAS. Students shall follow the same confidentiality and IP terms as the Faculty/Team.

13. Consultancy Fee and Payment

- The Consultancy Value and payment terms are recorded at registration.
- All payments due to CAIAS are received in the designated institutional account and processed by the Finance Department.
- Faculty members shall not personally collect or keep consultancy fees payable to CAIAS.
- Finance shall issue invoices and follow up on dues. The Faculty/Team shall help with follow-up where needed.

14. Fee Distribution

The Faculty/Team Share is determined under the latest approved CAIAS financial provisions, as follows:

Consultancy Value	Faculty/Team Share	CAIAS Share
Up to ₹1,00,000	80%	20%
Above ₹1,00,000	60%	40%

- **Basis of calculation:** the percentage for the slab applies to the whole Consultancy Value.
- The applicable percentage and basis are recorded before the work starts.
- Resource charges, approved expenses, taxes and any student stipend are deducted as per CAIAS financial procedures after the share is calculated.
- The Faculty/Team Share is released by Finance only out of amounts received from the Client, on closure.
- Distribution within a team is as stated in the Registration Form.

15. Taxes and Financial Compliance

Applicable taxes (including GST), statutory deductions, approved expenses, institutional charges and other financial obligations are dealt with in accordance with law, the consultancy agreement and CAIAS financial procedures. Invoices are raised by CAIAS, and taxes are shown separately from the Consultancy Value.

16. Confidentiality and Intellectual Property

Faculty/Team members shall maintain the confidentiality of Client and institutional information and comply with applicable data-protection requirements. Intellectual property ownership, licensing, publication and use are governed by the consultancy agreement and applicable CAIAS policies. Pre-existing IP of CAIAS or the Faculty/Team is not transferred unless the agreement says so in writing.

17. Liability and Indemnity

Consultancy agreements shall be reviewed by Legal to ensure that CAIAS's liability is limited to the fee received, that the Client takes responsibility for the use of the advice, and that CAIAS is not liable for indirect or consequential loss. Professional liability insurance shall be arranged where required by the Client. No consultancy shall carry a guarantee of outcomes.

18. Use of CAIAS Name

The CAIAS name, logo, letterhead, facilities or institutional identity shall not be used for consultancy without proper authorization.

19. Completion and Closure

On completion, the Faculty/Team shall submit the Consultancy Completion and Closure Form, containing the work and deliverables completed, outcomes, Consultancy Value and payments received, fee distribution, and any outstanding dues.

IIIC shall verify the form, the deliverables and the payments with Finance and the HOD, close the consultancy within 7 working days, and update the Central Consultancy Services Register. Finance shall monitor outstanding payments and complete the financial settlement and fee distribution.

20. Roles and Responsibilities

Role	Responsibility
Faculty/Team	Proposal, registration, milestone updates, execution, deliverables, compliance and closure form
HOD	Proposal and departmental verification
IIIC	Verification, Consultancy ID, milestone records, closure and the Register
Principal	Final institutional approval and oversight
Finance	Invoicing, payment receipt, accounting, tax compliance, fee distribution and dues

21. Records and Compliance

IIIC maintains the Central Consultancy Services Register and the supporting documents for 7 years after closure or as law requires. All consultancies shall comply with applicable laws, CAIAS policies, Staff Handbook provisions, financial procedures and approved engagement terms.

22. Monitoring and Review

IIIC, with the Department and Finance concerned, monitors consultancy for compliance and reports to the principal annually on the number of engagements, value, receipts, shares paid and dues. This Policy is reviewed at least every year by the competent authority of CAIAS and amended as required.

23. Policy Violations and Grievances

Unauthorized consultancy, misuse of institutional resources, unauthorized receipt of fees, non-disclosure of conflicts, misuse of confidential information or IP, or other violations may lead to action under applicable CAIAS rules. Queries and grievances under this Policy are raised with IIIC and, if unresolved, with the principal.