



CONSULTANCY POLICY

MARCH 2024

TABLE OF CONTENTS

| | |
|--|----|
| 1. PREAMBLE | 3 |
| 2. VALUE OF CONSULTANCY TO THE UNIVERSITY COLLEGE..... | 3 |
| 3. PURPOSE OF THE POLICY..... | 4 |
| 4. SCOPE OF THE POLICY | 4 |
| 5. APPLICABILITY..... | 4 |
| 6. DEFINITIONS..... | 4 |
| 6.1 Consultancy..... | 4 |
| 6.2 Exclusions to consultancy | 5 |
| 6.3 Types of Consultancy..... | 5 |
| 6.4 Conflict of interest..... | 6 |
| 6.5 Consulting Unit | 7 |
| 6.6 Consulting Directorate | 7 |
| 7. POLICY AND PROCEDURES | 7 |
| 7.1 Professionalism and competence | 7 |
| 7.2 Who can undertake consultancy..... | 8 |
| 7.3 Limitation on consulting activities by faculty members | 8 |
| 7.4 Database of consultants..... | 9 |
| 7.5 Guidelines and procedures | 9 |
| 7.6 Application for approval | 10 |
| 7.7 Approval Process..... | 11 |
| 7.8 Authority for approval..... | 11 |
| 7.9 Quality assurance mechanism | 12 |
| 7.10 Private consultancy | 12 |
| 7.11 University College consultancy | 13 |

| | |
|---|----|
| 7.12 Budgeting and pricing | 14 |
| 7.13 Distribution of income from University College Consultancy | 15 |
| 7.14 Payment to staff members | 16 |
| 7.15 Tax and National Insurance..... | 16 |
| 7.16 Reporting..... | 16 |
| 7.17 Other protocols..... | 17 |
| 8. IMPLEMENTATION OF THE POLICY | 17 |
| 8.1 Monitoring and Evaluation..... | 17 |
| 9. CONTACT..... | 18 |

1. PREAMBLE

The Sundoulos Advanced Leadership Training (SALT) University College is a higher education institution dedicated to developing knowledge and implementing its transformational leadership capabilities to benefit businesses, industry, society, country, and the globe. As a result, the University College realizes that one guaranteed method to meet its responsibility is to provide consultation services to communities beyond the University College through extension and consultancy initiatives. In line with this, SALT University College encourages its staff to undertake consultancy wherever appropriate and in a manner that is not inconsistent with their contractual responsibilities. To this end, the University College establishes this policy to provide the framework for all consultancy engagements.

2. VALUE OF CONSULTANCY TO THE UNIVERSITY COLLEGE

The SALT University College recognizes that consultancy is a valuable adjunct to teaching and scholarship and an important service to society. Therefore, staff members are encouraged to undertake consultancy insofar as it does not conflict with the University College's interest. The University College believes that consultancy can:

- a) provide an avenue for academic staff to apply their knowledge and skills to the development of businesses, industry, and society;
- b) strengthen the University College's ties with external organizations;
- c) increase staff members' professional and/or academic competence and experience by providing a continuing professional education opportunity outside the University College;
- d) generate additional income for staff members and increase University College funding

- e) create a market niche for the University College and enhance its reputation;
- f) provide academic staff with additional criteria for assessment toward their promotion.

3. PURPOSE OF THE POLICY

This policy aims to lay out the framework for conducting consulting by University College staff members, including the principles and procedures. The purpose is to promote and expand consultancy activities following the University College's directives.

4. SCOPE OF THE POLICY

This policy covers both University College and private consultants. Section 6.3 explains the difference between these two sorts of consultancies.

5. APPLICABILITY

This policy applies to SALT University College and all its staff employed on a full-time or contract basis and any staff engaged through a consortium with other institutions.

6. DEFINITIONS

6.1 Consultancy

For this policy, the University College defines consultancy as a professional activity or work performed by University College staff in their field of expertise for clients outside the institution, for which they are compensated in cash, commodities, services, or other means. Teaching and/or service to another institution of higher education and remunerated service conducted for a public

or private external organization are all examples of consulting. Companies controlled by the University College may be clients outside the institution.

The following are some of the characteristics of consultancy:

- a) It does not have as its primary goal the development of new information;
- b) It produces some form of contracted output that the client partly or entirely owns;
- c) The University College usually does not have freedom of publication over the results of consultancy;
- d) Short-term contracts usually govern it;
- e) It uses minimal University College resources and involves extra work for existing staff rather than hiring new staff.

6.2 Exclusions to Consultancy

Consultancy does not include those activities, paid or unpaid, which are in furtherance of scholarship or general dissemination of knowledge, such as the authorship of a book or chapters thereof, royalties from the publication of books; service on public sector or charitable committees; external examiner duties; student supervision; lecture tours and conference presentations or attendance; editorship of academic journals or the publication of academic articles; and scholarly criticism.

6.3 Types of Consultancy

- a) University College consultancy is provided through a contract entered by the University College or one of its subsidiaries with a third party, in which a staff member performs the consultancy

within his or her areas of academic, research or administrative expertise. Typically, the University College supports this consultancy and may involve using University College resources.

b) Private consultancy is undertaken strictly in the personal and private capacity of the consultant/staff with no use of the University College's resources, no use of the University College's name, no University College insurance coverage, and no liability on the University College. It is undertaken in areas outside the academic, research or administrative expertise of the staff member for which the University College employs him or her.

6.4 Conflict of interest

In the University College setting, conflict of interest situations exist when University College employees can influence the University College's decisions in ways that could lead to personal gain or give improper advantage to others. The opportunity may or may not result in personal financial gain or unfair advantage to others.

a) A conflict of interest exists when an individual has simultaneous positions in the University College and in an external organization that permits him/her to influence the University College's relationship with that organization.

b) A conflict of interest exists when an individual with an academic appointment engages in direct or indirect competition with the University College by channelling grants and contracts through an external organization when such grants or contracts could appropriately be conducted under the auspices of the University College.

6.5 Consulting Unit

Consulting Unit refers to the Administrative Unit within which a consultancy takes place. The Administrative Unit may refer to a Centre, University College, Faculty or School.

6.6 Consulting Directorate

The Consulting Directorate refers to the Research and Consultancy Centre (RCC) of the University College headed by the Director of Research and Consultancy (DRC).

7. POLICY AND PROCEDURES

7.1 Professionalism and Competence

- a) The University College and its staff shall seek to undertake consultancy where it has sufficient physical and human capacity or capability to do so.
- b) Staff should seek to undertake consultancy in areas of their academic, research or administrative expertise.
- c) Where joint expertise or collaborative effort is necessary, the University College will be open to forming consortiums with other universities and/or research institutions to bid for jobs.
- d) Consulting shall not give rise to a conflict of interest for the individual member of staff of the University College.
- e) The University College and its staff should aim at the highest quality standards and deliver value for money for their clients.

f) Consulting should not be undertaken by a faculty member where it is reasonably expected to distract or affect the quality and quantity of the staff member's other scholarly activities, such as teaching, research, consultation with students or administrative duties.

g) There must be a contract to support every consulting project.

7.2 Who can undertake consultancy

a) All University College staff employed on a full-time or contract basis.

b) Any staff engaged through a consortium with other institutions. Such staff shall subscribe fully to the policy framework of the University College.

7.3 Limitation on consulting activities by faculty members

a) During the paid period, University College consultancy is limited to three days per business week and 45 days of consultancy activities per academic year. This term can be extended with the agreement of the appropriate approving body, providing that the proposed consultancy contract includes adequate financing for the member of staff's buy-out.

b) Each Consulting Unit keeps track of how many days a staff member spends consulting.

c) Staff personnel working in the RCC and Centres of Excellence whose regular activities include consulting are exempt from the maximum days allowed for consulting.

d) Professional service with a nominal stipend, such as lectures and other public appearances, service on accreditation and program review teams, site visits, and membership on foundation and public agency boards or grant review panels and similar activities, may be exempt from the three-day-per-week limit.

e) Consultations should not be planned during scheduled classes, office hours, or other University College commitments. Should a faculty member miss such scheduled University College responsibilities, he or she will need to get permission from his or her Dean or Director in advance.

f) If a staff member is permitted to miss scheduled University College responsibilities, he or she shall ensure that those scheduled University College commitments are completely performed by oneself or another member of the University College faculty at a later time.

7.4 Database of Consultants

a) The RCC will develop and maintain an up-to-date database for all consultants with detailed information on their areas of expertise.

b) Consultants will be required to provide detailed CVs in a required format to the RCC, which will be updated periodically.

c) The CVs provided to the RCC shall be used solely for sourcing consultancies.

d) A confidentiality agreement will be drawn between the RCC and respective consultants.

7.5 Guidelines and Procedures

a) The RCC will develop detailed procedures and guidelines to enable academic staff to access the services of the RCC. Among others, the guidelines and procedures should, at the very minimum, provide information on the following:

i) Types of consultancies

ii) Application process for being considered as a consultant

iii) Approval process

iv) Consultancy participation rules and commitments

v) Payment procedures

vi) Reporting formats

b) The RCC shall make all University College forms available to the University College employees to implement this policy, including the forms for requesting approval, exemptions, payments and reporting formats.

c) The RCC will maintain best-practice systems and procedures for managing consultancy contracts

7.6 Application for approval

a) Where a consultancy is to be undertaken by a staff member on behalf of the University College or in the private capacity of the member of staff, the contractual commitment or agreement must be arranged by following the consultancy approval procedures determined in section 7.7.

b) Approval to engage in any consultancy activity covered by this policy must be sought in advance from the appropriate authority of the University College. This must be done by completing and returning a 'SALT University College Consulting Approval Form' from the RCC.

c) A separate approval request for each consulting work is required. If an individual piece of work spans more than one calendar year, a separate approval request for each year should be completed.

d) Arrangements for the consideration and approval of consultancy activity may vary from one Consulting Unit to another. Still, in all cases, the RCC should periodically be informed of the arrangements and furnished with details of their consultancy activities.

- e) It breaches the University College policy to consult without prior approval.
- f) Staff should seek advice from the Head of their Administrative Unit if they are unclear whether their proposed work constitutes consultancy. Where necessary, the Heads of the administration should seek advice from the Director of the Research and Consultancy Centre (DRCC) in deciding on the classification of a particular piece of work.
- g) Approval to undertake all consulting work will be given on the basis that:
 - i) It does not exceed the limitations imposed under section 7.3;
 - ii) The activities are related to the academic and professional interests of staff;
 - iii) The Consultancy does not interfere with the performance of normal academic duties of the staff member;
 - iv) It gives rise to no conflict of interest for the individual member of staff of the University College
- h) The DRCC will email staff members of the requirement to seek permission each year.

7.7 Approval Process

The standard process for applying for approval to undertake consultancy is as follows:

7.8 Authority for approval

- a) Approval to undertake consultancy rests with the Rector of the University College. However, this authority is delegated to the Director of Research and Consultancy, Directors of Centres, and Deans of Schools and Faculties. This delegation is revocable by the Rector at any time without notice.

b) The approving authority may revoke or amend permission for consulting work at any stage where, in their opinion, an external commitment is no longer consistent with the contractual duties of a staff member.

7.9 Quality assurance mechanism

The RCC Unit will develop quality assurance mechanisms to ensure that the University College delivers its clients the highest standards of quality and value-for-money consultancy.

7.10 Private consultancy

a) Staff members may undertake consultancies that the University College does not source and hence not done under the auspices of the University College. Approval is still needed for such consultancies.

b) For private consultancies, the concerned staff must ensure the University College is fully indemnified against any claims or risks. A written declaration must be made by completing the “Private Consultancy Declaration” form obtainable from the RCC.

c) Unless authorized, a staff member may only perform private consultancy in areas outside his or her academic, research or administrative expertise for which the University College employs him or her;

d) In addition to the conditions stated in section 7.6 (g), approval to undertake private consultancy will be given on the basis that:

i) The University College acquires no vicarious liability;

ii) The staff member has made it clear to the client that he/she is operating as a private individual and not as an agent or employee of the University College;

iii) The University College will have no responsibility for the work, which the staff member has made clear to the client. An Indemnity Form, disclaiming the involvement of the University College or any financial liability of the University College, must be signed by the staff member and the client. The indemnity form will be in a form prescribed by the University College's Legal Counsel;

iv) The private address of the member of staff, including email address, is used for all correspondence. The use of the University College's letterheads or other printed stationery is not permitted;

v) Where University College facilities are used, the full value must be paid to the University College on a basis agreed with the appropriate Head and Director of Finance;

vi) The staff member undertakes to make his/her declarations of private consulting income for all statutory deductions on a self-employed basis.

e) When a staff member undertakes a private consultancy, he/she is not covered by the University College's professional indemnity insurance policy. He/she would therefore be required to carry his/her insurance.

7.11 University College consultancy

a) the Rector must sign University College consultancy. The Rector may delegate this authority but not the authority to delegate.

b) Before University College consultancy contracts are signed, the DRCC must ensure that:

i) The commitments to be entered can be met;

ii) Resources will be available;

- iii) Contract pricing meets the University College's policy (refer to section 7.12);
 - iv) Budgets have been prepared and agreed;
 - v) Contract terms are acceptable;
 - vi) No conflict of interest declaration has been made
- c) All University College consulting projects should be processed through an University College Account
- determined by the Director of Finance.

7.12 Budgeting and Pricing

- a) All consulting projects must be based on fully-costed budgets seen and approved by the appropriate authorities.
- b) The budget must include staff time, operating costs, and University College overheads
- c) Provision should be made for VAT at the prevailing rate chargeable to the funding body
- d) Charges for using the University College's resources will normally be based on the full cost of the resources as determined by the appropriate authority.
- e) The price quoted to the funder should be under the following principles:
 - i) Every effort should be made to ensure full recovery of overheads;

ii) The price should be consistent with the going rate for such work and should not, without good reason, undercut significantly the prices that would be charged for comparable work by competing contractors or consultants;

iii) The price should be set with due regard to the value of the work to the clients;

iv) A price discount may be considered if justified by the potential benefits

f) the RCC will maintain and disseminate budgeting templates consistent with this policy's costing and pricing details in consultation with the Finance Directorate.

g) Consultants seeking marginally-cost or under-cost contracts (i.e. to offer prices in which overheads are not fully recovered) will be required to provide strong justification to back their strategy

h) Where the funding available for a consultancy project is less than the full cost (including overheads), the project may be priced at a loss, which can only be undertaken with a subsidy from the University College or the Consulting Unit. Such funding can only be accepted with the approval of the Rector.

7.13 Distribution of income from University College Consultancy

SALT University College is poised to have an attractive revenue-sharing mechanism to encourage staff to undertake University College Consultancy. Income from such consultancy will be allocated as follows:

a) SALT University College will retain 10% of the gross income as a fee for managing the consultancy and providing University College support;

- b) All expenses incurred in the consultancy will be paid from the balance of 90%. For illustration purposes, such expenses may include procurement costs, management fees, charges for using the University College's resources, leasing of supplies, finder's fees, payments to sub-contractors, etc.
- c) The remainder of the 90% after paying all expenses will be paid to the staff member(s)

7.14 Payment to staff members

- a) Any staff member wishing to claim a payment from a consulting project should complete a 'SALT University College Request for Payment for Consultancy Form' obtainable from the RCC.
- b) The Head of the Consulting Unit must authorize the form before presentation to the RCC for verification and onward submission to the Rector for approval.
- c) The University College will make payment through the Finance Directorate. The Director of Finance must ensure that the terms of the remuneration adhere to relevant Financial Administration Regulations.

7.15 Tax and National Insurance

The Finance Directorate of the University College will ensure that both employer's and employees' costs are remitted to the Internally Generated Funds. The statutory deductions for income tax and national insurance will be made, and staff will receive the net amount.

7.16 Reporting

This policy provides for reporting of consulting activities as follows:

- a) Staff members must report their consultancy service to the DRCC annually and, to the extent required, make disclosures required by the Conflict of Interest Policy.

b) The DRCC shall review the consulting report and ensure that the consulting activities do not violate the provisions of the prevailing Consultancy Policy.

c) The DRCC shall report on all consultancy activities of the University College.

d) If the DRCC determines that consulting activity by a faculty member violates this policy or fails to report promptly his or her consulting activity, such individual may be subject to disciplinary action according to University College Policy.

7.17 Other protocols

a) All consultancy proposals, applications, and resulting contracts are to be submitted to clients and funders through the RCC but in the name of the Consultant(s) or Consulting Unit.

b) Once contracts have commenced, the RCC will ensure that income and expenditure transactions are processed and regular financial reports are made available to the Consultant(s) or Consulting Unit.

8. IMPLEMENTATION OF THE POLICY

The responsibility for implementing this policy lies with the DRCC, who may delegate that responsibility to another person. The University College shall provide the necessary Management support to ensure the implementation of this policy.

8.1 Monitoring and Evaluation

A monitoring and evaluation framework will be developed and applied to implement this policy. Monitoring would be done to assess the achievement of intended objectives, make decisions to improve performance and measure accountability to all parties. The policy will be reviewed every

five years and evaluated during and after its implementation to ensure the intended results are achieved.

8.2 Version Control and Change History

| Version Control | Effective Date | Approved By | Amendment |
|------------------------|-----------------------|--------------------|------------------|
| | | | |

9. CONTACT

Concerning this policy, the following person shall be approached or contacted:

The Director, Research and Consultancy Centre