



CONSULTANCY AND EXTENSION SERVICES POLICY 2018

On the recommendation of the Senate, the Council of the Wayamba University of Sri Lanka, as the governing authority of the Wayamba University of Sri Lanka, by resolution adopts the following policy

Dated: 26.07.2018

Last amended: Not applicable

Signature: Signed

Position: Vice Chancellor, Wayamba University of Sri Lanka

CONTENTS

Contents	1
1 Name of the Policy	2
2 Commencement.....	2
3 Policy is binding	2
4 Overview	2
5 Application.....	2
6 Definitions.....	2
7 Policy.....	3
8 Approval	6
9 Rescissions and replacements	6
Notes	7
Amendment history	7



1 Name of the Policy

This is the Consultancy and Extension Services Policy 2018.

2 Commencement

This policy commences on the day after the day on which it is approved.

3 Policy is binding

Except to the extent that a contrary intention is expressed, this policy binds the University, staff, students and affiliates in situations where the consultancy or extension services provided to external parties.

4 Overview

One of the major functions of the Wayamba University of Sri Lanka (WUSL) is to participate in the research, transmission and preservation and enhancement of knowledge and to stimulate the intellect participation of its community in the economic, social, cultural, scientific and technological development of Sri Lanka.

WUSL, therefore, not only actively participate in direct research and development activities but also often share its soft innovation skills through a set of mechanisms, including advice, consultancy and extension services. These mechanisms are usually realized through formal or informal links between the scientific community, business and/or government and may be a result of either contractual relations or informal contacts. As a rule, such services do not imply a transfer of intellectual property but rather aim to help businesses and governments achieve particular short-term and strategic objectives in their innovation activities.

This policy specifies the principles governing fostering and promoting consultancy services and extension services.

5 Application

This policy applies to the academic units and individual staff members of the Wayamba University of Sri Lanka when the consultancies and extension services are offered by individuals or by entities of the University.

This policy addresses the consultancy activities and extension services carried out by the staff in the University's name, but not in their personal capacity.

6 Definitions

Consultancy	means professional expertise provided as guidance, assistance, advices, recommendations, or finished outcome
Extension Services	means providing services of the University specially catered for a requirement of an external party



Principal Consultant(s)	means individual staff member(s) of the University who assume the responsibility of fulfilling the contractual agreements to provide consultancies
Principal Service Provider(s)	means individual staff member(s) of the University who assume the responsibility of fulfilling the contractual agreements to provide extension services
Direct Costs	means the costs incurred in providing consultancies or extension services as defined by UGC circular 04/2016 or any latest applicable circular
Indirect Costs	means the costs incurred in providing consultancies or extension services as defined by UGC circular 04/2016 or any latest applicable circular

7 Policy

- (1) The University recognises the value of academic and research staff undertaking consultancy. In supporting such external activity, the University's objectives are:
 - (a) to encourage staff participation in consultancies that bring opportunities and benefits to the University, its staff and its stakeholders;
 - (b) to ensure that the undertaking of consultancy and related work by members of the University does not interfere with the proper functioning of their duties as academic or research staff;
 - (c) to ensure that the benefits of consultancy and related work to the University and its staff are maximised;
 - (d) to facilitate and support the delivery of high quality services to meet the needs of stakeholders; and
 - (e) to manage all potential risks to the University and its staff.

- (2) Benefits to the University

The benefits that the University expects to ensue from successful consultancies include:

- (a) Development of useful business and academic contacts;
- (b) Extension of the knowledge base, thereby providing the staff with the opportunity to test out and demonstrate the impact of their academic expertise on markets, sponsors or external organisations;
- (c) Increased external stimulus for enriching intellectual activity;
- (d) Greater knowledge of the relationships which exist with companies seeking specialist services;
- (e) Development of possible opportunities for future partnerships (e.g. research projects, studentships, Knowledge Transfer Partnerships, commercialisation and licensing of Intellectual Property Rights, high quality Continuing Professional Development);
- (f) Development of marketing opportunities;
- (g) Financial benefits to the individual and/or University, in the form of additional income and diversification of income sources
- (h) Contribution to staff development.



(3) Benefits to Staff

The benefits that members of staff expect to receive from successful consultancies include:

- (a) Increased recognition of the consultancy work of members of staff through the annual appraisal process and through the standard academic CV;
- (b) Strengthened contractual arrangements through use of the University approval process;
- (c) The ability for staff to receive a personal payment through the University payroll on the basis of income generated through consultancy

(4) Risks

The University recognises that there are also various risks (both corporate and personal) associated with academic and research staff undertaking consultancy and related activities. In considering approval for such activity the management of the following risks should be addressed:

- (a) Commercial risks - the loss of intellectual property rights;
- (b) Potential use of resources and diversion of staff time from their main academic activities;
- (c) Quality - poor quality work having an adverse impact on the reputation of the member of staff and the University;
- (d) Legal - non-compliance with legislation and other potential liabilities arising from undertaking the consultancy work; and
- (e) Reputational - the University or employee being associated with organisations that could
- (f) harm the reputation of the University or the individual.

- (5) In any matter related to offering consultancies or extension services, the University will fully adhere to the current **UGC Circular 04/2016** or any latest applicable circular on the Guidelines for Use of Funds Generated from Self Financing Activities (SFAs) in the Universities and Higher Education Institutes. Any new guidelines issued by the UGC will be adapted for the same purpose as they become effective. The UGC policy mandates that such activities should be carried out on **cost recovery** (self-financing) and **non-profit basis** at **over-and-above normal work load** of staff members involved.

(6) Promotion and Facilitation by the University

- (a) The University identifies the importance and potential benefits of engagements in consultancies and extension services by the individual staff members and by entities of the University.
- (b) The University supports establishment of dedicated mechanisms or service units to facilitate, handle, and promote consultancy services or extension services provided by individual staff members or entities of the University.
- (c) The University facilitate advertising and listing of such available services in its websites or publications by providing dedicated spaces.
- (d) The University provide trainings, guidelines, and infrastructure for promoting its staff members and entities to develop capabilities for providing consultancies and extension services.
- (e) The University facilitates and approves utilization of the physical or human resources for consultancies and extension services provided that such use does not hinder the mandated University programmes and activities.



Wayamba University of Sri Lanka

- (7) Designation of Principal Consultant(s) (PCs) and Principal Service Provider(s) (PSPs)
 - (a) Any individual/group of staff members, or academic entities or units of the University must designate Principal Consultant(s) (PCs) or Principal Service Provider(s) (PSPs) in order to proceed to offer consultancies or extension services. PCs or PSPs must be permanent staff members of the University.
 - (b) The University identifies, maintains, and regulates processes of offering consultancies or extension services through the designated PCs or PSPs.
 - (c) The University mandates that PCs or PSPs have acquired capacity and qualifications in the relevant field of constancy work or extension service before offering services
- (8) Promotion and Initiation of Consultancies or Extension Services
 - (a) Academic units and individuals shall seek to encourage external parties to approach for services through web listing, personal contacts, and external affairs units.
 - (b) PCs or PSPs should draft service agreements with external counter parts and obtain approval from the University authorities as specified by the UGC guidelines.
 - (c) PCs and PSPs should identify and hire resource persons and facilities to provide the consultancies and extension services according to the UGC guidelines.
- (9) Budgeting and Financial Guidelines
 - (a) PCs or PSPs are responsible for preparing budgets according to the relevant guidelines.
 - (b) The University imposes the budgeting and financial conditions according to the relevant UGC Circular.
 - (c) The generated funds through the direct costs of hiring physical resources of laboratories, Departments, or units are credited to the relevant Departments or entities. Such service-providing Departments or entities are entitle for the generated funds for rehabilitation and improvements of their physical resources.
 - (d) The University limits the retention of Indirect Costs for the University Development Vote, Vice-Chancellor's Fund and Other Administrative Staff Fees up to 20% of Indirect Costs in order to promote staff members to engage in consultancies and extension services through the University.
 - (e) The service providing staff members are entitled for payments up to 80% of Indirect Costs according to the approved budget prepared by PCs or PSPs.
 - (f) The University allows and facilitate hiring external resource persons according to the UGC circular guidelines.
- (10) Liabilities and Reputation
 - (a) Any service agreement must include a statement of waiver of liability to protect the University from legal actions by the external parties.
 - (b) PCs or PSPs must bear full responsibility for the provided services.
 - (c) PCs or PSPs must take all possible actions to safeguard the reputation of the University by fulfilling conditions stated in service agreements.
 - (d) The University withholds rights to take any required actions to safeguard its reputation from potential failures of providing services by PCs and PSPs.
- (11) The University encourages to undertake consultancy and extension services through the University but not restrict staff members from engaging in such services in privately as long as the services are strictly provided outside the University and outside the normal work times.
- (12) The University supports the consultancy and extension services through Director of External Affairs, Outreach Centres of the Faculties, Business Incubation Centre etc.



8 Approval

Because of the risks to the University in allowing staff to act as consultants, approval and monitoring of these activities is required. All consultancy activity requires the permission of the Vice-Chancellor (on behalf of Council). The Vice Chancellor delegates this permission to the Dean or equivalent Senior Manager prior to the commencement of work.

Approval must also be re-obtained annually for long-term or recurring consultancy arrangements.

Approval to undertake consultancy or related activities should not be unreasonably withheld but in considering any request the Dean or Manager should be satisfied that all appropriate information has been supplied by the member of staff seeking to undertake the consultancy so that the nature and extent of the consultancy can be fully understood to ensure that:

- (a) The work does not impair the satisfactory performance of the normal duties of the member of staff.
- (b) It is not regarded as fulfilling, or substituting for, teaching, research or other duties within the University.
- (c) The activity does not create a conflict of interest for the staff member, for example;
 - The member of staff should not have a stake in the client.
 - The client's terms and conditions should not conflict with the member of staff's duties to the institution or other sponsors.
 - There should be no restrictions on academic freedom beyond the scope of the work.
- (d) University resources must not be used without prior approval and without full compensation to the University.
- (e) Activities are recorded where relevant within submissions relating to the University's Enterprise activities.
- (f) The activity is not injurious to the reputation of the University.
- (g) The University is protected from vicarious liability in any legal action arising from outside activities.
- (h) Staff undertaking private consultancy activity are aware that they are responsible for their own tax contributions in relation to any personal fees or expenses they earn or receive from such activity.

9 Rescissions and replacements

This document replaces the following, which are rescinded as from the date of commencement of this document:

Not applicable



NOTES

Consultancy and Extension Policy 2018

Date adopted: 26.07.2018

Date commenced: 01.10.2018

Administrator: Vice Chancellor / Director, External Affairs

Review date: 30.09.2023

Rescinded documents: Not applicable

Related documents: UGC Circular 04/2016

Research Policy

Financial Circulars and Procedures

AMENDMENT HISTORY

Provision	Amendment	Commencing
	Not applicable	