



GENERAL SIR JOHN KOTELAWALA DEFENCE UNIVERSITY

POLICY ON
CONSULTANCY AND EXTENSION SERVICES 2023

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1. Introduction

General Sir John Kotelawala Defence University (hereinafter referred as to KDU) was initially established as the “General Sir John Kotelawala Defence Academy” by the Parliamentary Act No 68 of 1981 and subsequently, it was elevated to University status by the amendment Act No 27 of 1988, thereby empowering it to award Bachelors’ and Postgraduate degrees in Defence Studies. KDU is a member of the Association of Commonwealth Universities (United Kingdom) and maintains necessary standards for educating and grooming Officer Cadets to meet the challenges of modern defence management. KDU is now open for civil students who wish to continue their higher studies in various disciplines.

To develop as a credible higher education provider in Sri Lanka, General Sir John Kotelawala Defence University recognizes the need to develop and sustain, an institutional culture that promotes active engagement in research and innovation by its staff and students. KDU is hoping to become one of the leading research universities in Sri Lanka and is committed to supporting its research activities, and improving the quality of university education through the discovery and dissemination of new knowledge generated through research. KDU aims to guarantee a high-calibre, learner-centred educational experience through its undergraduate & graduate programs and research. It focuses on producing interdisciplinary & multidisciplinary research and consultancies of the highest calibre.

To encourage the intellectual engagement of its community in the economic, social, cultural, scientific, and technical development of Sri Lanka, KDU engages in the transfer, protection, and advancement of knowledge. It plans to share the professional strength of its academics and researchers with innovation abilities through a variety of modalities, including guidance, consultancy, and extension services, without restricting its participation to only direct research and development efforts.

KDU established a Consultancy Services Unit (KDU CONSU) to offer consultancy services in international and national development projects including environmental assessments, to assist in achieving certain short- and long-term goals in their innovation operations. KDU CONSU developed well-defined strategies to advance connections between the industry, business, and government through appropriate contractual agreements or informal contacts.

This policy outlines the procedures for initiation and conducting consultancy and extension services at KDU.

2. Scope of the policy:

This Policy must be followed by academics and researchers from KDU who intend to participate in consulting and extension services provided to the business sector, the government, and international organizations on request. It explicitly refers to these consultancies carried out by employees through the University or privately.

3. Objectives of the policy

- a) Encourage academics in different disciplines to participate in national and international consultancies that bring opportunities and benefits to the University, its academics, and its stakeholders.
- b) Provide the required administrative and financial regulatory support to the employees who wish to carry out consultancy work through KDU.
- c) Assure the staff involve in consultancies follow the relevant regulations and guidelines relevant to required prior official approvals from the authorities described in this policy document.
- d) Assure that the academics are involved in any such consultancy projects exclusively during their free time by protecting their scholarly contributions to KDU.
- e) Maximize the advantages that the University and the staff involved will receive from the consulting and related activity.
- f) Ensure the delivery of high-quality deliverables to stakeholders to meet their needs.
- g) Ensure the protection of experts and institutions from any potential risks and hazards by addressing the project specifics with the client and the involved employees.

4. Principles & values

4.1 Principles

The KDU CONSU of the university is based on several principles as set out below.

- a) The KDU CONSU strategy ensures the highest-quality deliverables to stakeholders enhancing the reputation of KDU CONSU.
- b) Maintain quality enhancement by encouraging diverse experts from outside organizations to join KDU CONSU.
- c) Provide high-quality services to the stakeholders using the collaborative team effort of the experts from KDU & outside organizations.
- d) Enhance the skill development of the employees by providing them with opportunities to work in interdisciplinary and multidisciplinary consultancy teams.
- e) Empower transparency of the project activities with quality assurance to the stakeholders.
- f) Quality assurance and quality enhancement are designed to promote the confidence of stakeholders and the public in consultancy work.
- g) Quality assurance and quality enhancement of KDU CONSU are designed to meet internal and external approval, accreditation, and recognition requirements.
- h) Quality assurance and quality enhancement practices in all the consultancy projects undertaken shall be properly documented, monitored, reviewed, and evaluated.

4.2 Values

The values that are inculcated in KDU CONSU are transparent, systematic, rigorous, and equitable for enhancing the quality of the consultancy work with a quality culture. Quality assurance and quality enhancement are key components of the KDU CONSU with the following values:

- a) maintain high ethical standards
- b) preserve client confidence
- c) enhance the standards to satisfy the client's interests.
- d) maintain high standards and conditions for client services
- e) maintain professional excellence
- f) offer diverse expertise to meet client's need
- g) offer interdisciplinary & multidisciplinary teamwork
- h) contribute creativity & innovation in consultancy work
- i) maintain inclusiveness & equity to stakeholders & consultancy team
- j) maintain an independent perspective
- k) respect & empathy to satisfy the stakeholder requirements
- l) maintain social and environmental justice
- m) manage client and firm resources cost-effectively
- n) modelling accountability for the team and client

5. Policy statement

5.1 The use of expertise

This document outlines the Policy for academic staff members with diverse fields of expertise and skills to participate in consultancy work to contribute their knowledge to local, national, and global development initiatives by preserving sustainability and the environment through relevant assessments.

5.2 Benefits to the University

The University anticipates the following benefits from successful consultancies and extension services:

- a) The connections in business and academia, and creating marketing opportunities, benefits the institution by generating fresh research ideas.
- b) The internship opportunities for graduates of KDU by developing links with companies looking for specialized skills and services.
- c) Partnerships with industry may create future opportunities for research, studentships, knowledge transfer partnerships, commercialization, and professional development.

- d) Financial gains for the University in the form of improved revenue and source diversification.
- e) Support for staff development

5.3 Benefits to the staff

- f) Opportunity to participate in diverse consulting projects, and broaden the knowledge base of KDU professionals via gaining experience.
- a) Participation in business extension services and assisting the stakeholders with issues relating to diverse disciplines allow KDU experts to resolve problems in multiple disciplines (Computing, IT, Surveying, GIS & remote sensing, engineering, legal aspects etc.).
- b) Registration of KDU CONSU with the Central Environmental Authority (CEA) provides opportunities to involve in environmental assessments such as EIA, IEE, SIA, SEA, and, CCIA through CEA.
- c) The medical sector experts get the opportunity to involve in projects such as Hospital Information and Management Services (HIMS), Developing Health Care databases, Developing private Hospital Projects, and Medical waste treatment projects etc.
- d) Participation in consultancies in national and international initiatives provides exposure to the staff to develop their abilities and skills.
- e) Achieving recognition as skilled experts initiate opportunities to engage in regional and international projects with national and international consultancy teams.
- f) It offers chances for the University and the professionals involved to receive financial rewards.

5.4 Benefits to the stakeholders

Multidisciplinary experts can help businesses by strengthening existing capabilities and opening up possibilities for future partnerships. In these partnerships, businesses will look to academic specialists to help them solve their difficulties.

5.5 Management of Risks

The University recognizes 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 such as the loss of intellectual property rights;
- b) Potential use of resources and diversion of staff time from their main academic activities.
- c) Poor quality work harms the reputation of the member of staff and the University.

- d) Non-compliance with the legislation and other potential liabilities arising from undertaking the consultancy work.
- e) The University or employee being associated with organizations that could harm the reputation of the University or the individual.
- f) The activity could be injurious to the reputation of the University.
- g) The University shall be protected from vicarious liability in any legal action arising from outside activities.

5.6 Implementation and conducting consultancies

- a) Some consultants seek administrative help for budget administration from the University whereas others get the budget administration facility from the project proponent.
- b) In both cases, the consultants must get prior approval from KDU to involve in such consultancy work and provide a percentage of the consultancy fee to the university according to the **UGC Circular 04/2016** Circular prepared based on the financial circulars published by the government (Finance Circular No. 01/2020, Part 2 under section 7 para 2).
- c) For both categories of consultancy work, KDU CONSU has developed a mechanism and application forms with the BoM approvals. Consultants need to fill out these forms to get the Vice chancellor's approval to undertake the consultancy work.
- d) The consultants need to provide all necessary information about the project with the relevant Terms of Reference (ToR), the contractual agreement of the project, and the financial breakdowns of the project, together with the duly filled relevant form for the approvals.
- e) Staff undertaking consultancy activity shall aware that they are responsible for their tax contributions concerning any personal fees or expenses they earn or receive from such activity.
- f) In both types of consultancies, the client's terms and conditions should not conflict with the member of staff's duties to the institution or other sponsors.

5.7 Facilities provided by the university

KDU has identified the importance and potential benefits of engagements in consultancies and extension services by the individual staff members of KDU and by entities of the University. Therefore, to support the consultancy work, KDU has established a separate consultancy services unit; the KDU CONSU to undertake the consultancy work. KDU is facilitating the consultancy work by incorporating the details of consultancy work in its website under consultancy services.

University provides required training programs, guidelines, mechanisms, and infrastructure if required to facilitate the consultancy work. KDU encourages the involvement of staff in consultancy work without hindering the mandated University programs and activities. However, the University resources must not be used without prior approval and full compensation to the University.

6. Definitions if any

Board of Management of KDU (BoM of KDU): An administrative body which governs the management and administration of the university.

Climate Change Impact Assessments (CCIA): characterize, diagnose, and project risks or impacts of environmental change on people, communities, economic activities, infrastructure, ecosystems, or valued natural resources

Consultancy: The term "consultancy" refers to the provision of expert advice, direction, suggestions, or a final product.

Extension Services: Extension Services refers to offering university services specifically tailored to a need of a third party.

GIS: Geographic Information Systems

HIMS: Hospital Information and Management Services

Initial Environmental Examinations (IEE): An environmental assessment to be conducted according to a ToR provided by Central Environment Authority

KDU Consultancy Services Unit (KDU CONSU): A newly establish unit to undertake consultancy activities of KDU

Social Impact Assessments (SIA), Sociological assessments to be conducted according to a ToR provided by Central Environment Authority

Strategic Environmental Assessments (SEA): is a systematic process for evaluating the environmental implications of a proposed policy, plan or programme and provides means for looking at cumulative effects and appropriately addressing them at the earliest stage of decision-making alongside economic and social considerations.

Terms of reference (ToR): The document which explains the objectives, scope of work, activities, tasks to be performed, respective responsibilities of the Client and the Consultant, and expected results and deliverables of the assignment.

7. Responsibility for the policy document

- a) The task and the responsibility of creating a policy statement that is appropriate for the anticipated operations of the KDU CONSU fall on the Vice Chancellor, KDU, Bursar, Registrar, Director, KDU CARE, and the Head of KDU CONSU.
- b) Before receiving the pertinent recommendation from the Director QAC of KDU, the draft policy document must be reviewed by the appropriate committee for any adjustments or improvements that are needed.
- c) It must then be approved by the Senate and the KDU Board of Management before implementation.
- d) Once it has been approved, it is the responsibility of the academics involved in consulting work to adhere to the rules outlined in the policy documents.
- e) Once the required KDU experts are given the approvals to participate in consulting work, the pertinent administrative unit must also adhere to the rules.

8. Implementations

- a) The policy paper must be published on the KDU CONSU website after being approved by the BoM of KDU for the KDU experts to plan their consulting work properly.
- b) The Head of KDU CONSU can provide more information about the rules and the required formats by getting in touch with the appropriate staff members.
- c) According to policy standards, consultants who do not require administrative support from KDU must also receive prior consent from the Vice-Chancellor to engage in consultancy work. They may also seek any assistance from the Head of KDU CONSU.

9. Policy reviews and amendments:

- a) Periodic policy upgrades are necessary within five years or based on the requirements from time to time.
- b) When necessary, the Vice Chancellor shall appoint a committee, wherein the Head of KDU CONSU shall also be a key individual, to provide the necessary guidance for making the necessary revisions to the policy document.
- c) Once completed, the revised policy paper must undergo a screening process by a pertinent committee.

- d) After that, it must receive a recommendation from the Director QAC before obtaining Senate approval and BoM of KDU.
- e) The old policy document on the KDU CONSU website must be replaced as soon as the amended version is approved by the BoM.