



**SOUTH EASTERN KENYA UNIVERSITY**

**CONSULTANCY POLICY**

**JUNE, 2018**

### **Vision**

To be a globally competitive centre of excellence in teaching, research, innovation and service.

### **Mission**

To provide quality education through teaching, research, extension, innovation and entrepreneurship with emphasis on agriculture, natural resources and environmental management.

### **Philosophy**

South Eastern Kenya University is transforming lives and improving the environment from arid to green through innovative teaching, research and community service.

### **Core Values**

Professionalism

Innovation

Integrity

Freedom of thought

Teamwork

Respect for and conservation of the environment

## **ABBREVIATION AND ACRONYMS**

IGU	– Income Generating Unit
SDG’s	– Sustainable Development Goals
SEKU	– South Eastern Kenya University
SEUCO	- South Eastern University College
TVET	– Technical and Vocational Education and Training
TOR	– Terms of Reference
UN	– United Nations
UKAI	– Ukamba Agricultural Institute

## DEFINITION OF TERMS

1. **“Client”** is the organization or individual commissioning the consultancy work to SEKU or University staff.
2. **“Consultancy”** is a task specific professional service provided to the clients by an individual, consulting group or University-wide multidisciplinary team at a fee.
1. **“Consultant”** is an eligible member of University staff who seeks to engage in consultancy.
2. **“Consulting”** is any part of knowledge transfer that arises where knowledge and expertise can be deployed successfully outside the University environment for financial benefit.
3. **“Income Generating Unit (IGU)”** is the unit established for the sole purpose of generating income for the University.
1. **“Policy”** is the guide to decision making, and limits within which decisions can be made.
2. **“University”** refers to South Eastern Kenya University.
3. **“University staff”** is a member of staff of South Eastern Kenya University

## **FORWARD BY THE CHAIRMAN OF COUNCIL**

As a rapidly growing institution, SEKU will require substantial amount of resources to develop its academic and infrastructural programmes. However, with the declining funding support from the central government to public universities in Kenya, the University has to proactively develop strategies for diversifying its sources of income in order to sustain its operations. One of the strategies for generating alternative sources of income is by offering consultancy services. This policy therefore, presents a framework for coordination and implementation of innovative consultancy services through external engagements that facilitate, research, knowledge and technology transfer.

The policy provides SEKU staff with an opportunity to develop and enhance their networks with national and international organizations, leading to collaborative research and other educational ventures while contributing more effectively to income generation by addressing social and economic problems in the society. I am sure that, this policy will be very useful to all the teaching staff who are interested in developing consultancy skills, generate extra incomes for themselves and for the university, while enhancing quality of teaching and research and making a significant contribution to the society.

**Dr Reuben Chirchir**  
**CHAIRMAN OF UNIVERSITY COUNCIL**

## **PREFACE BY THE VICE CHANCELLOR**

This policy offers an accessible guide to institutionalizing consultancy practice in SEKU. Although the policy is geared principally towards the practitioners among the teaching staff, we trust that, it will be a valuable resource to non-teaching staff interested in consulting practice. Consultancy is an income generating activity which has potential of raising funds necessary for effective implementation of university projects and programmes. We consider that, more professional consultancy services in the university will promote sustainability of university operations. Perhaps what is most novel about this policy is our approach to revenue sharing which is beneficial to both the university and the SEKU consultants. Our experiences in carrying out professional consultancy are drawn from working with different development partners, government institutions, and academic and in research.

This policy therefore, provides SEKU members of staff with clear guidelines, principles and procedures for conducting consultancy services for the purpose of generating alternatives income streams to the university. Specifically, this policy will cover the following areas: Components of the policy; sharing of revenue from consultancy services; types of consultancy services; roles and responsibilities of consultants and the target clients; policy implementation; procedures for conducting consultancy projects; consultancy guiding principles; policy monitoring and evaluation ; approvals and policy reviews.

This policy is informed by a core set of materials developed for the SEKU Resource Mobilization Policy and Strategy (2014). We would like to thank and acknowledge the contributions and substantive inputs from our staff members; Prof. Reuben Muasya and Dr. Samuel Mutukaa in this policy. We also gratefully acknowledge the efforts made by a team of SEKU staff who provided support during the development of the SEKU Resource Mobilization Policy and Strategy.

**Prof. Geoffrey M Muluvi**  
**VICE CHANCELLOR**

## **PART I: PREAMBLE**

1. SEKU was established by the Government of Kenya through the grant of Charter on 1<sup>st</sup> March 2013, succeeding SEUCO, which was established as a constituent college of the University of Nairobi through Legal Notice No. 102 of 18<sup>th</sup> June 2008. SEUCO was itself successor to UKAI, a middle level college established in the 1970s to offer training in TVET programmes. The institution has also strategically positioned itself to be globally recognized University guided by its vision and mission that are aligned to the global SDG's and the national development blue print, the Kenyan Vision 2030. The university aspires to contribute towards training manpower in Science and participate in generating knowledge, technologies and innovations that contribute to national development while maintaining relevance and global competitiveness.
2. SEKU is committed to deliver quality consultancy services to governments, non-governmental organizations, international organizations, UN agencies and research organizations. SEKU recognizes consultancy as an effective way to disseminate knowledge, generate revenue and make a direct impact on society. The University recognizes, however, that the balance between consultancy and the traditional roles of the academic staff needs to be well managed in the best interest of all parties involved. This Policy provides guidelines for conducting consultancy in consistency with the University's goals and aspirations and stated in its various instruments of governance. This Policy shall enable the University to gain reputation and visibility, acquire national and international networks and develop a tradition of maintaining high standards in the provision consultancy services.
3. The Policy will assist the University in implementing and actualizing the purpose of initiating an IGU as stipulated in the SEKU Strategic Plan. This Policy provides guidance in key areas such as the scope and components of the policy, revenue sharing ratio, types of consultancy services, roles and responsibilities of the SEKU consultants and the clients, the target clients, policy implementation and policy monitoring and evaluation. This policy is developed to deliver outputs in line with the University Strategic Plan (2015-2019); University Charter (2013); University Statute (2015) and University Resource Mobilization Policy and Strategy (2014).

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## **PART II: COMPONENTS OF THE POLICY**

### **1. Policy Statement**

- (1) The University is committed to support external engagements that facilitate, research, knowledge and technology transfer contributing to income generation through delivery of consultancy services.
- (2) The University shall encourage its staff to come up with innovative ways of identifying and delivering consultancy activities as a strategy of generating extra income.
- (3) Besides the monetary and professional rewards to a member of staff for engaging in consultancy, the University shall recognize consultancy in the annual appraisal as a distinct category under community service for which the university staff is rated.
- (4) The Office of the Registrar, Resource Mobilization and Resource Mobilization Advisory Board shall be responsible for coordinating the consultancy policy framework.

### **2. Purpose of the Consultancy Policy**

- (1) The purpose of this Policy is to provide guidance to the SEKU staff in engaging in delivery of innovative consultancy services, thereby contributing more effectively to income generation whilst addressing social problems and enhancing quality of teaching and research.

### **3. Objectives of the Policy**

- (1) The objectives of this Policy are to:
  - (a) Provide guidance in the coordination and implementation of innovative consultancy assignments that meet international standards.
  - (b) Broaden resource channels by exploring consultancy services as alternative sources of funds
  - (c) Develop and enhance networks with commercial organizations, leading to collaborative research and educational ventures with the University.
  - (d) Clarify the roles of the Resource Mobilization Advisory Management, individuals or consulting group for delivery of effective consulting services.
  - (e) Enable the university to increase its visibility in the region providing industry based solutions and quality consulting services.
  - (f) Continually create opportunities for sharing best practices among practitioners on research, practice and development policy.

#### **4. Rationale**

- (1) The University believes in the enriching interaction between its staff and the industry, business, government and institutions of our society.
  
- (2) Besides fostering this interaction, consultancy will result in the following benefits:
  - (a) Knowledge advancement and professional development of members of staff
  - (b) Institutional and staff recognition
  - (c) Monetary reward for both the University and staff
  - (d) Connection with society and impact on the community by transferring knowledge and skills
  - (e) Development of potential scholarships/internships or jobs for students through networks
  - (f) Retention of productive staff by providing opportunities for continuous professional development
  - (g) Bringing real world experience to classroom and prepare job market for SEKU students
  - (h) Maintain up-to-date expertise among staff with social, industrial, professional and commercial experience relevance for their research and teaching.

#### **5. Scope of the Policy**

- (1) This Policy applies to all teaching and non-teaching members of staff of South Eastern Kenya University, who are willing and able to conduct consultancy work for the purposes of generating income for the University.

### **PART III: SHARING OF REVENUE FROM CONSULTANCY SERVICES**

1. The sharing of generated revenues shall recognize the contribution at individuals, departments and University levels of consulting options:

#### **(1) Individual initiated consulting**

- (a) The University - 35% without meeting any costs.
- (b) Individual consultant/consultancy team and associated expenses - 65% where the consultants meets all the operational costs.

**(2) Department initiated Consulting**

- (a) The University - 35% without meeting any costs.
- (b) The Department Consultancy Unit - 30% where Department meets its costs.
- (c) Individual consultant/consultancy team - 35% where consultants meet their costs.

**(3) University initiated Consulting**

- (a) The University - 65% where University meets its costs.
- (b) The Department Consultancy Unit - 15% where Department meets its costs.
- (d) Individual Consultant/Consultancy Team - 20% where consultants meet their costs.

2. The sharing of the money generated from the consultancies shall be conducted in a transparent manner, and that consultants shall be paid in time.

**PART IV: TYPES OF CONSULTANCY SERVICES**

1. The University shall diversify its revenue sources by executing consultancy services that are delivered by a pool of professional experts drawn from different schools, institutes and departments of the university based on client requirements and specifications in all sectors of the economy.
2. The University shall undertake consultancies services in Training and Capacity building; Research and Development; Contract Management among others.

**PART V: ROLES, RESPONSIBILITIES AND TARGET CLIENT**

1. The consultant and the client shall have the following roles and responsibilities:

**(1) Roles and Responsibilities of the SEKU Consultants**

Consultants shall:

- (a) Obtain written permission before the commencement of work
- (b) Act in accordance with University Regulations, Consultancy Policy and faculty guidelines.
- (c) Develop and provide all the training materials and facilitate the training workshops
- (d) Evaluate the training programme at the end of the training activity
- (e) Deliver all project outputs as per the client's TOR.
- (f) Conduct desk reviews to collect secondary data and field visits to collect primary data
- (g) Conduct data analysis and interpretation, and develop a comprehensive final report
- (h) Ensure that quality work is done to the satisfaction of the client

- (i) Provide the participants with certificates of participation ( if applicable).

## **(2) Roles and Responsibilities of the Clients**

The client shall:

- (a) Develop a contract agreement to be signed by both the client and the consultant
- (b) Provide detailed project documents for review by the consultants
- (c) Provide or pay for the venue, transport, accommodation and meals including breakfast, lunch, supper and tea and snacks if not factored in the consultancy budget
- (d) Make all logistical arrangements and coordinate participants for training workshops
- (e) Provide workshop facilities (stationery, projector, mark pens, flip charts, printer and photocopier and other necessary materials).
- (f) Make prompt payments to the consultants as per the contract terms

## **2. Target Clients**

- (1) Consultancies shall be designed for all levels of organizational staff that need knowledge and skills in order to increase efficiency and effectiveness of work for our clients.
- (2) These clients will include the followings:
  - (a) County and national governments
  - (b) Public sector organizations
  - (c) Privates sector organizations
  - (d) Non-Governmental or civil society organizations
  - (e) International development organizations
  - (f) United Nations agencies
  - (g) Regional bodies
  - (h) Faith based organizations
  - (i) Research institutions among others

## **PART VI: POLICY IMPLEMENTATION**

- 1. This Policy shall be effective from the date of approval by the University Council.
- 2. This Policy shall apply to any new agreement between the University, the client and the consulting unit or individual concerning the development.
- 3. This Policy shall be interpreted in a manner that is consistent with other University policies, all applicable Kenyan and Local Statutes and Laws and implementing Regulations which include

Kenyan Laws, conflict of interest policies, as well as laws pertaining to conflict of interest, equity and freedom of information.

4. A SEKU Enterprise Services Ltd, a consulting firm of the South Eastern Kenya University shall be established for the purpose of securing large contracts/tenders from our clients.
5. The consultants before commencement of the work shall fill in the Consultancy Form (Appendix A) to provide details about the consultancy assignment for accountability purposes.
6. The consultants shall sign a contract of agreement with their clients to show commitments in both parties in undertaking the consultancy work within specified period of time at a fee.

## **PART VII: PROCEDURES FOR CONDUCTING CONSULTANCY PROJECTS**

1. Consultancy assignments acquired by the individuals, departments and staff shall be transmitted to the Office of the Registrar, Resource Mobilization and the procedures for conducting consultancy projects will be examined in the following stages:

- (1) **Stage 1:** A consultancy opportunity can be identified, either by a member of University staff. It is then passed to the Office of the Registrar, Resource Mobilization for registration, analysis of viability and practicability by identifying the appropriate consultants to undertake the consultancy assignment.
- (2) **Stage 2:** Where a consultancy requires a team, the Registrar, Resource Mobilization shall consult relevant Deans, Directors and Coordinators to guide in appointment of a project team.
- (3) **Stage 3:** The Grant Writing Manager in consultation with selected consulting team shall then prepare a technical and financial proposal for submission to the client to express interest.
- (4) **Stage 4:** Once the proposal has been accepted by the client, a contract of agreement shall be prepared for signing between the SEKU consultants and the client. The agreement shall include the project scope, key deliverables, agreeable cost/price structure and timescales required to accomplish the task.
- (5) **Stage 5:** The client shall approve the proposal and sign the contract for the work to commence.
- (6) **Stage 6:** Once the contract is signed, the consultant shall seek a written approval from his/her Head of School/Institute/ counter-approved according to the University approvals for consultancy activities arranged through the University.

- (7) **Stage 7:** The client shall be encouraged to pay a down payment (if possible) of the money upon signing the contract to facilitate logistical arrangements of the consultants and secure commitment to the consultancy.
- (8) **Stage 8:** Work shall commence as may be agreed between the client and consultant and the consultant shall deliver work outputs according to the client's terms of reference.
- (9) **Stage 9:** On the project completion, the consultant shall submit the final report to the client with all deliverables.
- (10) **Stage 10:** The Project Accountant in consultation with the consultant shall prepare and invoice the client for payment of consultancy services as per the contract
- (11) **Stage 11:** Once the client has paid for the services, and income generated shall be distributed according to PART III of this policy document.

## **PART VIII: CONSULTANCY GUIDING PRINCIPLES**

1. All consultancies as described in this Policy document shall be governed by the following guiding principles:
  - (1) There shall be demonstrable benefit to the University from the consultancy through income, enhanced reputation, and/or expanding the expertise of the staff member.
  - (2) The University staff shall devote their normal working time in fulfilling the mission of the University as their primary employer.
  - (3) Hence, necessary arrangements shall be made to ensure that, consultancy work does not impact negatively the normal duties of the staff
  - (4) A consultancy agreement shall be based upon a written and signed contract between the client and the University staff.
  - (5) The consultants shall, at all times, conduct their work in high professional and ethical manner that does not in any way put the University into disrepute.
  - (6) Consultants shall represent the image of SEKU in external business forums and seek to promote the university as the best university of choice.
  - (7) Engagement in consultancies shall not create conflict of interest, actual or perceived, with other University policies such those governing employment.
  - (8) Any consultancy service shall not be in conflict with the functions, objectives or interests of the University.
  - (9) Staff members shall not undertake any consultancy work before a formal agreement has been reached between the University and a client unless they are on leave or doing their own private consultancies which are not covered in this Policy.

## **PART IX: POLICY MONITORING AND EVALUATION**

1. This policy shall be reviewed after every three years to reflect the current best practices in the consulting practice, and to incorporate emerging issues.
2. Exemptions, reviews and amendments of this Policy shall be undertaken with the approval of the Deputy Vice -Chancellor, Finance, Planning and Development.

## **PART X: CONSULTANCY APPROVALS**

1. A member of staff wishing to engage in consultancy activities for pay shall obtain written permission from his/her Dean or Director, or such other supervisor before embarking on such activity.
2. All University consultancies shall be approved and managed in accordance with this Policy.
3. Consultancies shall be approved through completion of Consultancy Application Form (Appendix A), obtainable from either of the Office of the Deputy Vice Chancellor, Finance, Planning and Development or from the Office of the Registrar, Resource Mobilization.

## **PART XI: POLICY REVIEW**

The policy shall be reviewed from time to time, where necessary.

## **REFERENCES**

1. SEKU Resource Mobilization Policy and Strategy (2014)
2. SEKU Income Generating Units Policy (2014)
3. SEKU Research and Innovation Policy (2014)
4. SEKU Statutes (2015)
5. SEKU Strategic Plan (2015-2019)
6. University of Nairobi Enterprise Services (UNES)
7. University of Dar es Salaam Consultancy Policy

**APPENDIX A: Consultancy Application Form**

CONSULTANCY APPLICATION FORM	
Name of organization/Client.....	.....
Project title.....	.....
Contact details .....	.....
Contact Person.....	Telephone.....
E-Mail Address.....	.....
Nature of consultancy (details).....	.....
Physical location, town and Country.....	.....
Team Members (if applicable).....	.....
Duration (days).....	Starting date .....Expected completion date.....
Estimated total expenditures (Kshs).....	.....Estimated gross net income.....
<b>Name of Consultant (s)</b> .....	.....
Signature.....	Date.....
<b>Registrar, Resource Mobilization</b> .....	.....
Signature.....	Date.....
<b>Deputy Vice-Chancellor (FP&amp;D)</b> .....	.....
Signature.....	Date.....
<b>Vice Chancellor (SEKU)</b> .....	.....
Signature.....	Date.....