Lancaster University

Rules Governing Outside Professional Activities

Quick Summary

- These rules apply to staff at grades 6 and above.
- Consent is required to undertake consultancy or other external professional activity.
- Some identified activities are automatically permissible without further consent.
- Eligible staff may be granted up to one day a week allocated time on consultancy or other external professional activity, subject to approval and where relevant benefits are identified.
- Consultancy and other external professional activity must be declared to enable the University to meet its obligations and reporting requirements.
- Any potential conflict of interest must be declared when seeking consent.
- University resources including; name, email, address, data, IP, facilities, equipment or confidential information may NOT be used when undertaking consultancy or other professional activity external to the University.
- Staff are encouraged to undertake consultancy through the University who will provide contracting and payment processes and appropriate indemnity cover.
- University resources including; name, email, address, data, IP, facilities, equipment or confidential information may be used with appropriate consent in relation to consultancy undertaken through the University.

1. Purpose

1.1 This document defines the rules for the provision of outside professional activities, including consultancy, undertaken by staff for external bodies, while employed by Lancaster University.

1.2 Lancaster University is committed to supporting engagement through outside professional activities with industry, business, public organisations and wider society. Outside professional activities can take many forms including charity trusteeship, non-executive directorships, and work for professional associations, consultancy or other voluntary or paid professional work.

1.3 The University recognises the value of its employees making a wider contribution to public life and the personal and professional development that can result. This work is also an important channel through which knowledge and expertise can flow to and from businesses and other external agencies benefitting the University, the community and the economy.

1.4 The purpose of these rules is to set out the framework within which this work may be carried out while ensuring compliance with the University's financial regulations, its reporting requirements, and protecting both the individual and the University from associated risks.

2. Eligibility

2.1 These rules apply to all staff employed on Grade 6 or above, in relation to consultancy or other external professional activities that are undertaken in addition to the duties laid down by the University to support teaching, research and administration whether or not such activities are a source of extra income to the member of staff.

2.2 Staff funded through external grants may be subject to terms and conditions constraining their ability to undertake other work. Where a member of staff believes this may be the case, further advice should be sought from Research and Enterprise Services.

2.3 The University may grant eligible staff a time allowance of up to one day a week (pro rata for part-time staff) to undertake consultancy or other external professional activity, subject to approval, and where relevant benefits are identified.

2.4 Allocated time for consultancy or other external professional activity is not a right and requires permission from a designated authoriser.

2.5 To facilitate consultancy and other external professional activity the University allows academic staff substantial freedom in arranging their working lives. At the same time, this freedom is granted subject to the overriding principle that the primary professional commitment of a member of staff during their contract is to the University. In most cases professional services staff will work within more defined working hours, nonetheless in relation to consultancy or external professional work, staff must ensure their primary professional commitment remains to the University.

3. Scope

3.1 Consultancy is defined as the provision of expert advice based on existing knowledge. This will be paid work with an external body (whether business, government agency or non-governmental organisation such as a charity), based primarily on existing knowledge, know-how or expertise.

3.2 In addition to consultancy, other external professional activities can include business partnership or ownership, board membership for a company, public body or charity, private professional practice or other professional work.

3.3 A number of activities are considered to be sufficiently central to the work of academic staff at the University to be granted automatic permission under these rules, subject to any terms to the contrary in the contract of employment of a member of staff, or any other agreement between the University and the staff member.

3.4 A member of academic staff may therefore, without further permission, undertake (and receive payment for) the following:

- authoring or royalties from the publication of books;
- editing, contribution or publication of journals;
- occasional brief appearances in the media;
- lecture tours and conference presentations;
- reviewing grant applications for funding agencies;
- advising on chair, readership or senior academic-related appointments elsewhere;
- external examining duties for other institutions or professional bodies

4. Disclosure and Approval

4.1 To meet its regulatory and fiduciary obligations, and the reporting requirements of its insurers, the University is required to monitor and report on consultancy and other external professional activity.

4.2 All consultancy and other external professional activity must therefore be declared, and consent sought, in advance of committing to undertake the work. Full details of the proposed work must be given at the time of request, including whether a time allocation is being sought. For academic and academic-related staff, permission must be sought from the relevant authoriser outlined below.

Staff member	**Authoriser**
Academic staff below Head of Department	Head of Department
Head of Department	Dean
Dean	Pro-Vice-Chancellor
Pro-Vice-Chancellor	Vice-Chancellor

4.3 For Professional Services staff permission must be sought at Director level or where appropriate, above.

4.4 Consent will not be withheld unreasonably. The authoriser will withhold permission to undertake activities likely to prevent staff from fulfilling the full range of their obligations to the University or where a conflict of interests occurs that cannot be effectively mitigated.

4.5 Consent will be for no more than one year. Ongoing consultancy or external activity will be subject to renewal on an annual basis. It is the responsibility of the member of staff to seek further consent from the authoriser at the appropriate time. For shorter term pieces of work new consent must be sought for each project.

4.6 The consent form "Outside Professional Activities Consent Form" to request authorisation to undertake external professional activity, including external consultant should be completed.

5. Conflict of Interests

5.1 It is the policy of the University that its officers, academic staff and others acting on its behalf have an obligation to avoid ethical, legal, financial or other conflicts of interest and to ensure that their activities and interests do not conflict with their obligations to the University in the attainment of its primary objectives. Furthermore, staff undertaking consultancy are required to familiarise themselves with and abide by the Financial Irregularity (Section 7) and Code of Conduct (Section 8) regulations set out in the University's Financial Regulations.

5.2 Accordingly, in line with section 8.2 of the University's Financial Regulations, senior staff, members of University Committees and other members of staff who may be in a position to influence decisions favouring any outside body are required annually to declare any interest, direct or indirect, potentially in conflict with the University's interest. All staff must declare any known, potential or foreseeable conflicts of interest at the time of request, to enable the authoriser to effectively evaluate the request to undertake consultancy or external professional work.

6. External Professional Activity

6.1 Any professional activity undertaken outside of the University must be approved in line with the process set out herein. Staff should be alert to the possibility of a conflict of interest arising and notify their authoriser as soon as they become aware of an issue.

6.2 Once permission to undertake external professional activity has been granted, the University has no financial or other interest in the work. Staff should be aware that they will carry personal responsibility for all financial and other risks associated with the work. It is the responsibility of the member of staff to ensure that any income from external work is declared to HM Revenue & Customs and that any tax commitments are met by the individual.

6.3 However, in relation to external activity, including consultancy undertaken outside of the University (for further information see below), staff should note the following restrictions.

- Staff are not permitted to associate the University with their advice, opinion or output in any form whatsoever.

- All staff must be aware of the risk of misuse of the University's name. The use of the University's letterheads, branding, email or physical addresses can infer the implicit acceptance of liability by the University and in some cases can amount to fraud, such use is therefore not permitted.

- The resources of the University (including facilities, equipment and other staff time) may not be used in association with external work.

- Staff are not permitted to use any intellectual property belonging to the University or belonging to any third party and made available to the University, in the course of external work. For further information staff may refer to their terms and conditions of employment and Section 18 of the University's Financial Regulations.

- Staff are not permitted to use or disclose confidential information belonging to the University or belonging to any third party and made available to the University, in the course of external work.

- Staff should note that any intellectual property or confidential information made available to the individual as part of external work, must not be used during the course of University work.

7. Consultancy

7.1 Staff are encouraged to undertake consultancy that can demonstrate impact from research, create knowledge exchange with businesses or deliver wider economic and societal benefits to the community. The delivery of consultancy can also be an excellent tool for personal and professional development.

7.2 Consultancy may be either be undertaken as an external professional activity, where approved under these rules, or can be delivered through the University. Whether delivered outside of core working time, or within core time where permission has been granted in line with the process set out herein, staff are encouraged to undertake consultancy through the University.

7.3 Lancaster University provides comprehensive support for staff consultancy, managing the contracting process, providing professional indemnity insurance, invoicing and credit control services thereby enabling prompt payment on completion of the work. In particular, delivering consultancy through the University enables the individual to do so under the auspices of the University, using the University's name and resources with the agreement of the authoriser and relevant resource managers.

7.4 Approval to undertake consultancy through the University is subject to the same requirements as set out in Section 4, for external work. Permission must be sought from the relevant authoriser in advance of committing to undertake the work.

7.5 Full details of the approval and set-up process for consultancy undertaken through the University can be found on the staff intranet: http://www.lancaster.ac.uk/research/research-enterprise-services/consultancy/

8. Compliance

8.1 Failure to comply with these rules may lead to disciplinary action.