Policy. It is the policy of the University that incidental internal consulting is normally considered to be included in the base pay of faculty, professional non-faculty, executive, administrative, and managerial personnel. Additional or supplemental compensation is allowable in those unusual cases when all of the following circumstances exist:

1. Services are performed in addition to those normally associated with a departmental load or assignment;

2. services are provided across departmental lines;

3. the work involved is clearly outside the scope of the person's salaried employment; and

4. prior approval of the University has been obtained.

The rate of compensation for intra-university consulting must be consistent with the fee or rate that normally would be paid to persons from outside the University with equivalent credentials that would provide the same services. In setting the rate of compensation, careful consideration must be given to possible sources of documentation that will indicate that the fee recommended for the University employee is not more than that charged by external consultants.

Rationale. This policy establishes a means by which faculty and other professional staff may participate in intra-university consulting and service activities while a full-time employee of the University. Activities such as those which are the subject of this policy are a primary means of accomplishing this goal. Such activities also provide the opportunity for individual professional development by those participating in them.

Procedures. All requests for advance approval of internal consulting must be submitted to the administrative unit head or director and forwarded by him or her through the appropriate dean or supervisor to the appropriate Vice President.
The President of the University will act upon the request after receiving the recommendations provided by the Vice President.

Supplementary pay for responsibilities accepted which relate to programs and operation of a departmental unit during the summer term(s) are covered under other policies and procedures.

Except as cited above, all other supplementary pay, including that for participation in funded projects, shall be processed as a part of the regular payroll distribution system (including appropriate withholding and university contributions). For faculty members and others covered by this policy who participate in projects funded by a state, federal, or other external agency, the following procedures shall be used:

1. The rate of compensation shall be consistent with that cited in the appointment letter for the current academic term. (If the services are for summer, the previous academic year rate applies.)

2. Prior approval of the University shall be obtained through the established administrative channels.

3. The total supplementary income from all internal university activities including service to funded projects, overload pay, off-campus instruction, and internal consulting must not exceed one-fifth of the salary cited in the letter of appointment.

When considering requests for involvement in activities for which supplementary pay will be provided, the faculty member and each administrator must carefully examine the extent of the involvement in view of other university responsibilities, extra-university consulting, and other professional activities. In the event that the total professional involvement of the participant will equal or exceed the normal university load by 25 percent over a period of any one semester, an adjustment in workload will be made or the request will be denied. In either event, a written justification will be forwarded to the President for final consideration. A record of action and justification will be placed in the university official files maintained by the Vice President for Academic Affairs.
Special Administrative Assignment. Faculty members whose primary responsibilities are for instruction, research and creative activities, public service, academic committee work, and student advisement are occasionally involved in extensive additional functions associated with the administration of funded projects. An adjustment in salary for those additional responsibilities will be made upon written request subject to prior approval and in accordance with the following:

1. The supplementary pay rate shall be consistent with the extent and duration of the added responsibilities and the compensation received by others having similar university administrative assignments.

2. Should the extent of involvement in administrative functions be equivalent to more than a 20 percent assignment, an adjustment in the conditions of the appointment of the person involved will be made.

3. The appropriate administrative unit head or director will submit in writing a recommendation with supporting documentation through the regular administrative channels after conferring with the faculty member and the appropriate dean. This action requires complete administrative review and approval by the Board of Regents upon recommendation of the President.
WESTERN KENTUCKY UNIVERSITY
INTERNAL CONSULTING, FUNDED PROJECT PARTICIPATION
AND SUPPLEMENTAL PAY REQUEST

1. Applicant _______________________________ Date __________________

Department _______________________________

2a. Description of activity or service to be performed (include department to
be served):

b. Are the services to be performed in addition to those normally associated
with a departmental load or assignment?

c. Are services to be provided across departmental lines?

3. Agency sponsor and/or source of funds (name contract):

4a. Rate of compensation (per day, month, etc.):

b. Total compensation expected: $ __________________

5. Inclusive dates of activity:

6. Total man days estimated: _______________ OR percentage of time (est): _______________

7. What will be your regular assignment during this period (percentage)?

   Teaching  Research  Service  Administration

8. What are your assignments during this time period, e.g., consulting, extension
classes, research, committee assignments, student advisement?

I request that:

   a. my regular university responsibilities be reduced in the following manner
to allow my participation:

   b. I be permitted to participate as indicated above in addition to my full-
time university assignments.

   Applicant ___________________________ Date __________________

Recommended:

Department Head ___________________________ Date __________________

*Project Director ___________________________ Date __________________

College Dean ___________________________ Date __________________

*Grant and Contract Services ___________________________ Date __________________

Vice President for Academic Affairs ___________________________ Date __________________

*Required only in instances involving University grant funds.
Policy. With prior approval of the University, faculty members, executive, administrative, and managerial personnel, and professional non-faculty members who are full-time employees of the University may enter into arrangements to provide consulting and other professional services to agents other than the University. Approval to participate in such activities will be granted according to procedures outlined below, provided the purposes of the activity are clearly identified and are found to be consistent with this and other University policies.

Rationale. It is the purpose of this policy to establish as an integral part of the University program a means by which faculty and other personnel may participate in professional consulting and service activities while a full-time employee of the University.

Institutions of higher education and their professional employees are obligated to encourage and assist with the transfer of knowledge from the University community to society in general. Activities such as those which are the subject of this policy are a primary means of accomplishing this goal. In addition, such activities provide the opportunity for individual professional development and enhancement of job satisfaction by those participating in them.

Definitions. For the purpose of this policy, extra-university consulting and other professional activity shall include those professional services provided by an individual employee to an individual agency or firm for a salary or for a fee. Such activities will not normally involve the use of University material, equipment, or services, neither shall the name or image of the University be used in any manner to suggest institutional endorsement or support of a non-university enterprise. Requests for
participation in outside professional assignments that do involve use of other University personnel, facilities, material, or equipment should be performed on a contractual basis with the University rather than on an individual consulting basis.

Excluded from this policy are outside summer consulting and employment activities by nine-month faculty members who have no summer term teaching responsibilities and who seek to participate in such activities during the period after spring commencement and prior to beginning of the ensuing fall term.

Also excluded from this policy are those "occasional or incidental" professional activities performed without fee insofar as they do not conflict with the spirit or intent of this policy and the procedures for implementing it. "Occasional or incidental" professional activities are one-time activities or services to organizations other than the University, such as participation on agency proposal review panels; site visit teams; voluntary services to professional organizations; delivery of occasional lectures or seminars at other institutions; office or telephone consultations of a brief duration or nature; reading and evaluation of manuscripts or writing reviews; and serving as expert witness or rendering of professional opinions in depositions. It is the responsibility of the individual employee to maintain a close working relationship with the appropriate administrative unit head regarding involvement in such occasional and incidental services, since they may constitute utilization of University resources for public service and are formally reported on a periodic basis.

Procedures. Guidelines for administration of this policy are based upon the objectives of the activities covered by this policy. The variety of outside employment and consulting situations available to the professional
and the potential of these activities to detract from the services contracted
to the University require that each applicant and his or her supervisor examine
carefully each opportunity on an individual basis.

Approval to participate in activities covered by this policy will be provided when all of the following conditions are met:

1. The purposes of the activity contribute to and are consistent with those programs of the participant's department or unit.

2. The participant has demonstrated the associated skills and abilities necessary to meet the needs.

3. Other normal University duties and responsibilities can be met without reassignment to others.

4. There is no conflict of interest involved.

5. Prior approval has been obtained in writing.

To initiate the request for approval, the employee must complete the standard form designed for that purpose. The following information must be provided: the specific nature of the work to be performed and its relationship to ongoing University purposes; an estimate of the amount of time involved; the duration (and, if appropriate, the frequency) of the services to be provided (hours, days, or months); specific hours, days, or months involved.

The request for prior approval shall be submitted for review to the participant's administrative unit head, who will subsequently forward it through channels with a recommendation to the Vice President. Such requests shall become a matter of university record maintained in the Office of the Vice President. That office shall review each request and the accompanying recommendations and approve them providing they are consistent with the provisions of this and other University policies and related administrative procedures. The participant and those reviewing the request will be provided written notification of action by the Vice President.
Semiannually the Vice President shall report to the university President a summary and analysis of requests received including a list of those approved and those disapproved.

When activities covered by this policy are of a continuous or prolonged nature (one semester or more) or when one person requests participation in more than one such activity during an academic term, careful consideration must be given to the proposed schedule of services, as they relate to designated responsibilities of the university employee. Any long-term involvement is subject to periodic review by the university, and a request for approval must be filed at least annually (preferably at the start of each academic year). The frequency and duration of professional activities shall be the primary considerations in the review process.

Limitations. Individuals subject to this policy whose annual appointment is for a period of 9 or 10 months are provided up to four (4) days per full calendar month for participation in the activities covered by this policy while the university is in session. Such persons may also, with prior approval, participate in such activities during the time the University is not in session (e.g., legal holidays, weekends, spring breaks, periods between terms). During the appointment (9 or 10 months) period, a total of forty-six (46) days are available for such activities, providing that ten (10) of those occur when the university is not in session.

For individuals holding a 9- or 10-month annual appointment who assume summer term responsibilities with the university, one additional day per full calendar week employed during the term of summer is available to participate in activities covered by this policy. Five (5) additional days are available if the participation occurs when the university is not in session (e.g., legal holidays, weekends, periods between terms).
For these persons, the total number of days available for such activities shall not exceed that available to university personnel who hold 11- or 12-month appointments. (See below)

For faculty members and non-faculty members covered by this policy who hold annual appointments of 11 or 12 months, up to fifty-five (55) days are available for activities subject to this policy, provided that ten (10) of those days shall occur when the university is not in session (e.g., legal holidays, weekends, spring break, periods between terms).

University personnel subject to this policy who hold executive, administrative, or managerial positions and receive annual appointments for 11 or 12 months are allowed up to four (4) days in the calendar month to participate in activities covered by this policy. However, not more than a total of forty-six (46) days (including vacation time) during the period of one appointment are available for such activity regardless of when it occurs. Because of the importance of these persons to the daily operation of the university, persons holding executive, administrative, and managerial positions are urged to limit such activities to periods when the university is not in session and their services are less likely to be required (e.g., legal holidays and other days when the university offices are closed).

Implementation and Interpretation.

It is the intent of this policy to provide a framework within which decisions regarding the use and availability of university resources can be made. The employee-employer relationship that exists between the university and its duly appointed personnel also provides a basis for decisions regarding activities which are the subject of this policy. It is, therefore, the obligation of each person seeking to participate in such activities and his or her supervisors to share the responsibility for following the procedures outlined above.
Consulting activities that do not conform to these guidelines are inappropriate and must be terminated.
WESTERN KENTUCKY UNIVERSITY
EXTRA-UNIVERSITY CONSULTING AND OTHER PROFESSIONAL ACTIVITY

1. Applicant's Name __________________________  Department __________________________

2. Description of activity or service to be performed as related to ongoing purposes of university and departmental program(s) __________________________

3. Agency, sponsor, and/or source of funds __________________________

4a. When (hours, days, months, years) will the activity or services be performed?

b. Will additional time be needed for related travel? ___ If so, how much? __________________________

c. Location(s) where activity or services will be performed __________________________

d. Duration of obligation (days, weeks, months) __________________________

5a. What will be your regular assignment during the period when the proposed activity or service is performed? (percentages) Teaching _______ Research _______ Service _______ Administration _______

b. Indicate your other assignments and/or obligations to be discharged during this period (e.g., committee assignments, student advising, internal consulting, funded project administration) __________________________

I hereby certify that in my judgment:

1. The purposes of the activity contribute to and are consistent with the programs of the department or unit.

2. The participant has demonstrated the associated skills and abilities necessary to meet the needs.

3. Other normal university duties and responsibilities can be met without interference or reassignment to others.

4. There is no conflict of interest involved.

Signed __________________________  Recommended __________________________  Date __________

Applicant  Dept. Head, Div. Head, or Director

Recommended __________________________  Approved __________________________  Date __________________________

Dean or other Unit Supervisor  Vice President