

UNIVERSITY OF DAR ES SALAAM



**CONSULTANCY POLICY AND
OPERATIONAL PROCEDURES**

SECOND EDITION

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Foreword

The University of Dar es Salaam is among the oldest higher learning institutions in the country with a wealth of knowledge in various disciplines that has been amassed over its five decades of existence. This knowledge which has been generated through years of research and development has played a critical part in the socio-economic development of our country since independence. To harness the potentials of its academic staff to offer consultancy services to stakeholders, the University Consultancy Bureau (UCB) was established in 1993. Its existence has put the University in the limelight through service delivery from competent and highly skilled consultants. Many changes have taken place over the years that have impacted how consultancy jobs are acquired and executed. The proliferation of consulting firms in recent years has led to stiff competition in securing consultancy jobs.

The University of Dar es Salaam no longer enjoys the luxury of being the only University in the country. At present there are more than 40 institutions offering degree programmes of one kind or another. This has led to an influx of graduates who are capable of undertaking consultancy assignments that were once considered as UDSM territory. With such challenges looming in the market for consultancy jobs, UDSM has the obligation to revise its strategies in order to attract more clients and hence revenue. With the onset of natural gas and petroleum exploration in the country, a lot of consulting opportunities are arising due to attraction of investors in various sectors of our economy. This opportunity should not go unnoticed due to its potential of increasing the revenue of UDSM through consultancy assignments.

Effective execution of consultancy assignments requires mechanisms to be in place that will give clear direction to consultants on the requirements of UDSM. Consultancy assignments are sometimes complex and require multidisciplinary approaches in order to provide the best feasible solution to a client's problem. In addition, some jobs need teaming up with external partners in order to have strong teams when bidding for high value jobs. All these require

coordination that will ensure all parties are well covered in terms of emoluments and liabilities.

This review of the 2010 Policy and Operational Procedures has come at the right moment in order to address the deficiencies that have been observed and accommodate changes that have taken place during its existence. It is expected that this revised document will enhance the competitiveness of UDSM consultants and increase revenue from consultancy jobs. The position of the University as a provider of high quality consultancy output will be revitalized and its position as a leader in the field will be retained. UDSM will not only be a leader in provision of top notch University education and research but also in dissemination of the knowledge it has amassed through provision of unmatched consultancy services to the community.

Prof. Rwekaza Mukandala
Vice Chancellor

Executive Summary

The University of Dar es Salaam established the University Consultancy Bureau (UCB) in 1993 in order to set broad policy and coordinate consultancy, contracted research and services, based on the then University concept of coordinated decentralization. Prior to that, individual staff members conducted consultancies, which is one of the three main functions of the University without the overall institutional coordination and oversight. To guide the functioning of UCB, the University of Dar es Salaam published its first Consultancy Policy and Operational Procedures (CP & OP) in 1994.

In April 2005 a revised policy was approved taking into consideration experiences gained for nearly ten years as well as stakeholders' views. The 2005 policy was revised in 2010 to address issues that were observed during its implementation. Among these was the insignificant amount of income earned compared to the vast wealth of expertise and resources available at the University. However, during implementation of the 2010 policy several issues came up and affected the performance of the policy. These included handling of income tax payment; legal status of UDSM consulting bureaus (BICO, MDCB and UCB), signing of agreements with clients; categorization of income generating assignments (consultancy, service jobs, Professional Development Programme - PDP/continuing education, contracted research, donor funded projects, outreach programmes, etc.); operational procedures for remittance of institutional overheads shares to the respective recipients; and formalization and operational procedures of UDSM consultancy bureaus.

Thus consultancy activities, which were expected to supplement University's budget, have not done so due to:

- (i) Lack of clear mechanisms and/or transparency in reporting consultancy jobs by both units and individual members of staff.
- (ii) Low number of staff engaged in consultancy jobs.
- (iii) Lack of or poor partnerships with external consulting companies.

- (iv) Inadequate capability to engage in big turnover consultancy jobs.
- (v) Units not fully implementing the 2010 Consultancy Policy and Operational Procedures.
- (vi) Unhealthy competition in bidding for and provision of consultancy and other services of similar nature amongst units of UDSM.

The revised UDSM Consultancy Policy and Operational Procedures have taken on board findings by a team commissioned in 2015 which include:

Poor implementation of the 2010 CP & OP specific objectives

Inadequate follow-up and accountability between units and UCB resulted in low consultancies at UDSM and unhealthy competition between units.

Marketing of Consultancy Potential

There was no clear strategy to market UDSM potential in consultancies while several staff had not been exposed to consultancy work and many lacked the skills to compete in highly complex assignments.

Insufficient institutional set up

Only few units had established consultancy bureaus, leading to inadequate accountability. Frequent institutional changes have also posed challenges to smooth running and capacity development for consultancy work.

Legal status

None of the units or entities at UDSM that carry out consultancies are registered separately. The lack of relevant legal accreditation for consultancies continues to limit UDSM recognition and access to consultancies.

Processing Consultancy Work

There is no clear mechanism of sourcing for jobs at UDSM. Centralization of signing of contracts and financial approval procedures sometimes affect the commencement of assignments.

Taxation Issues

Registration with tax authorities and payment of taxes such as income tax, withholding tax and value added taxes have important implications in accessing consultancy assignments. Whereas the UDSM is tax exempt, it must show proof in all its bids in order to comply with this requirement.

Definition of Consultancy

There was a need to re-define consultancy in the UDSM context and set boundaries that will distinguish it from other activities that the UDSM is mandated to operate as its core functions.

Consultancy Industry in Tanzania

Consultancies have been undertaken in Tanzania over several decades focusing on a variety of areas and being promoted by public and private sectors. The bulk of these consultancies have been originating from the government, thus making this institution the highest consumer of consultancy services in large scale infrastructure projects. The participation of local consultants in high end consultancies is minimal in part due to the absence of a consultancy body that could register and guide local consultants, and to enable them to compete with well-established consultants from developed countries.

The Consultancy industry in Tanzania is beset with challenges such as (i) inadequate competence in marketing and consultancy skills and institutional weaknesses (ii) absence of registration and accreditation process for some professions (iii) lack of coordination of consultancy institutions under professional boards (iv) lack of a system that would

ensure local consultants' access to consultancy jobs (v) inadequate transparency in tendering for consultancy (vi) corruption in consultancy works and, (vii) inadequate information on available consultancy works. The Government has addressed some of the above challenges through the Public Procurement Act.

Contributions of Consultancy Work to UDSM

The University Consultancy Policy and Operational Procedure (CP & OP) of 2010 was aimed at among others, to enable the University of Dar es Salaam generate income from consultancies that it can use to supplement its operational budget. However, the UDSM has not set specific guidelines showing how income from consultancies could support operational budget or which budget lines of the operational budget will be covered by such income and what should be the targets in each year.

Although the main aim among others was to increase the contribution of income from consultancies to the University budget there is no clear mechanism of knowing how much money has been generated from consultancies and how it has been used to support the operational budget in some of the units that have had consultancy money received.

UDSM Vision 2061 and the Recognition of Consultancy Services

Vision 2061 recognizes the central position of knowledge exchange in a world-class University because it links the University in a practical manner with the industry. Vision 2061 highlights several key aspects that would intensify effort towards knowledge exchange, which would also intensify consultancy services.

Thus having realized the importance of knowledge exchange in its various ramifications, including consultancy services, UDSM created a directorate under the office of the Deputy Vice Chancellor (Research) and charged it with the responsibility to spearhead consultancy services within the UDSM.

Need and Justification of the Policy

The aim of the Consultancy Policy is to do the following:

- (a) Encourage consultancy activities by UDSM staff.
- (b) Ensure there is appropriate mechanism to guarantee quality, and continuous flow of consultancy activities without affecting other services undertaken by the University staff.
- (c) Ensure consultancy works generate sufficient revenue to support UDSM activities, including operational budget and capacity development.
- (d) Ensure sufficient and appropriate support to staff in undertaking consultancy services and protect the interest of both parties.
- (e) Ensure equitable cost sharing in the use of University resources and brand.
- (f) Protect University reputation, brand and its intellectual property rights.

Eligibility for Undertaking Consultancy at the UDSM

University employees can undertake consultancy activities at any time and for varying numbers of days, given that the Head of Department, Unit, Dean, Principal or Director of Institute or any other person duly authorized as immediate supervisor ensures that the amount of work performed does not conflict with the staff member's core responsibilities or prejudice the wider interests of the University.

Process of Sourcing Consultancy Services

Consultancy projects can be sourced by the University through its various units, individuals or advertised or sent as request to individuals and various units within the University.

Approval and Contracting Consultancy Projects

The University Consultancy Bureau as described in the operational procedures shall register all consultancy works. The Vice Chancellor will seek opinion from the Corporate

Counsel and Secretary to Council, Implementing Unit and University Consultancy Bureau on the undertaking of the consultancy project prior to signing the contract. Upon completion of the project, the Team Leader through the Unit implementing the consultancy must write an exit report to the Vice Chancellor through the University Consultancy Bureau (UCB).

Anti-Bribery Policy as Related to UDSM Consultancy Services

Any Expression of Interest (Eoi) or Technical Proposal (TP) submitted to the client whether solicited or unsolicited must contain the UDSM Declaration of Anti Bribery as per the Procurement Act provisions, and fully signed by the head of the originating unit.

Intellectual Property

Any intellectual property generated in the course of a University consultancy other than copyright created specifically in the course of creating a report for the external client shall be shared between the client and the University.

Transparency and Accountability in Consultancy Work

The policy will provide guidance on how to increase transparency and accountability in consultancy work at the University of Dar es Salaam by developing procedures that will enable colleges, schools, institutes and individuals to access consultancies in a transparent way so as to allow disclosure to happen. It will also develop rules and penalties in case colleges, schools, institutes and individuals undertake consultancies without being reported/registered.

Gender Mainstreaming and Involvement of Junior Staff

The policy provides guidance on how to mainstream gender and ensure junior staff members are effectively involved in consultancy works by developing procedures and conditions in which female and

junior staff members of the University shall be involved in consultancy works.

Marketing Promotion and Branding of University Potential in Consultancy Work

The number, diversity and value of consultancies that the University is doing will be increased through aggressive marketing and branding of its potential in the consultancy industry.

Capacity Development for Consultancy Work within the University

The capacity of University staff in matters of consultancy works will be raised so that UDSM becomes a top knowledge exchange provider in Tanzania and beyond. This will be done through development and implementation of short term and in house capacity development programmes on basic issues and principles related to consultancy work.

Taxes and Insurance

The revenue earned from consultancy work undertaken by UDSM staff should be in compliance with the existing laws and regulations of the country with regard to taxation. This will be enforced through guidelines and procedures for handling taxation issues related to consultancy projects undertaken by UDSM staff as per standing national laws on taxes.

Distribution of Consultancy Income

This policy will ensure that revenue generated from consultancy projects undertaken by UDSM staff is distributed fairly and contributes to the development of the University.

Monitoring and Evaluation

A policy for quality assurance and arrangement for conducting monitoring and evaluation of consultancy works within the University will be established. Mandates and roles of various

institutions from the Unit level to the Central UDSM Administration in carrying out monitoring and evaluation have been defined in this policy document.

Application and Scope of the Consultancy Policy

This policy document applies to UDSM employees, both academic and non-academic, part-time and full time in all its constituent colleges, directorates, campus colleges, institutes, schools, units, and departments. A pro rata basis may take place in case of part time staff or other staff engaged temporarily by the University of Dar es Salaam.

The Policy will cover and be applicable to all activities defined as consultancy as per this policy and those activities that do not fall under the definition of consultancy as contained herein will not be covered by this policy.

UDSM is assured that this revised policy will enable it to address the shortcomings in the 2010 CP & OP and hence contribute towards achievement of goals set in vision 2061.

Prof. Cuthbert Z. M. Kimambo
Deputy Vice Chancellor - Research

1 INTRODUCTION

1.1 Background

The University of Dar es Salaam has set Consultancy service as one of its core business and thus, it recognizes the value of its staff undertaking consultancy activities within the University and to the outside World. Provision of consultancy services is an important mechanism to transfer knowledge and technology to external stakeholders such as government, business sector, non-state organizations, community organizations and to the general public, both locally and internationally. It is thus, important to the University of Dar es Salaam employees to make contribution to the outside world while at the same time ensuring that the staff engaged in provision of consultancy services abide to various provisions including the Financial Regulations and Procedures, Intellectual Properties and Ethics in such engagement.

1.2 Definitions

1.2.1 What is Consultancy?

The term 'Consultancy' is hereby referred to as the provision of expert advice, analysis and interpretation, which draws upon and applies the expertise and knowledge of University members of staff. It usually makes use of University expertise, but would not normally be expected to generate new intellectual property (IP) or lead to academic publication. Typically consultancy would generate client-specific information or data, which would normally belong to the client. This may include a range of activities such as materials testing, professional and continuing education, and training and development. It may be University consultancy or individual (personal) consultancy as defined in this policy.

1.2.2 What is not consultancy?

Whether paid or not, the following are assignments not classified as consultancy services;

- (a) The hire of University facility/ equipment.
- (b) Act as an external examiner for an academic institution or professional institution.

- (c) Editing a scholarly journal or being appointed as editor of a professional or academic journal.
- (d) Presenting work to an academic audience e.g. conference appearances.
- (e) Authoring a textbook or chapters.
- (f) Professional work involving academic sponsorship e.g. being a member of a panel, jury team, facilitation of event or session, advisory services not paid for charities and other organizations, etc.
- (g) All other professional services offered without professional fees charges including provision of clinical services, attending nursing services, services to religious institutions and charitable organizations and provision of legal advice/mentoring entrepreneurs.
- (h) Being a member of a University committee or any committee of a higher learning institution, government body, professional association or any other institution.
- (i) Appearances in the media, e.g. television, or articles for general media publication, e.g. newspapers or appearing in a documentary (radio or televised) aiming at provision of education or expert opinion or commenting on a certain issue.
- (j) Acting in an advisory/mentoring role for a publishing house, youth clubs, entrepreneurship hubs, funding organization or non-government institution.
- (k) Being appointed as a board member of a private company, government institution, professional body, non-government organization, etc.

1.2.3 Types of Consultancy Work

1.2.3.1 Internal Consultancy

An internal consultancy assignment refers to a situation where the University contracts its member to undertake consultancy service(s) for the University. The internal consultancy may also involve development of a research project or consultancy project which may benefit the University in the future in realization of research grant or consultancy assignment or improvement of

operational guidelines, systems or undertakings of business in which the University in this case acts as the client.

1.2.3.2 External Consultancy

This refers to consultancy services provided to a third party (external to the University) by a University employee in the course of his/her employment with the University and where the nature of the task arises naturally from, and is related to, his or her expertise and experience whilst also representing the University as a service provider. An external consultancy is one in which:

- (a) A University resource (human, physical, information, financial, etc) of any kind is involved in obtaining or carrying out the work, and/or
- (b) Legal liability lies, in whole or in part, with the University as service provider.

1.2.3.3 Individual Consultancy

This is an assignment, which is undertaken by a University employee using his/her own time and resources, on a private capacity, with no legal liability to the University. University employees undertaking private consultancy must be aware that they will have personal liability in the event of any problems arising and University resources or brand, email should not be applicable in sourcing, negotiation, contracting or undertaking the assignments. For such reason, the University is not liable to administer tax or any other consequences arising from private consulting. However, conflict of interest related to the provision of such consultancy activities should be addressed to ensure University interest is not jeopardized.

1.2.3.4 Evening and Part-time Programmes

Training related to evening and part-time programmes can take two major forms: Tailor made services to clients entailing needs assessment, development of curricula, programmes and materials, delivery of training, monitoring or evaluation of the

training for a specific client or group of clients. The services may relate to short or long courses, including academic degree programmes for schools/colleges/institutes or tertiary training institutions within or outside the University. Consulting units also do engage in tailor made training services. All these shall be treated in the same way as provision of consultancy services.

1.3 Consultancy Industry in Tanzania

Consultancies have been undertaken in Tanzania over several decades focusing on a variety of areas and being promoted by public and private sectors. In Tanzania though and given the level of development reached, the bulk of the consultancies have been originating from the government, thus making this institution the highest consumer of consultancy services in large scale infrastructure projects. Since the early 1990s and with the implementation of the market economy, consultancies in the field of oil and gas industries, mining, energy, agriculture and tourism have increased because of the involvement of the private sector.

Despite such growth, there has not been a comprehensive national policy to guide consultancies until 2005 when the government passed the first national policy for consultancy industry. Even with this policy in place, the participation of local consultants in high end consultancies is minimal in part due to the absence of a consultancy body that could register and guide local consultants and to enable them to compete with well-established consultants from developed countries.

Consultants from outside Tanzania have enjoyed the largest share of the market. For example, data from the Tanzania Association of Consultants (TACO) notes that between September 2010 and October 2011 the value of consultancy was over TZS 1.76 trillion. Out of the TZS 1.6 trillion paid to consultants during that period, TZS 9.02 billion or just 0.06% went to local consultants.

Consultancy industry in Tanzania is beset with challenges such as (i) inadequate competence in marketing and consultancy skills

and institutional weaknesses (ii) absence of registration and accreditation process for some professions (iii) lack of coordination of consultancy institutions under professional boards (iv) lack of a system that would ensure local consultants' access to consultancy jobs (v) inadequate transparency in tendering for consultancy (vi) corruption in consultancy works and, (viii) inadequate information on available consultancy works.

The Government has addressed some of the above challenges through the Public Procurement Act. However, challenges still remain especially in high-end jobs that are advertised through external outlets. Too often, local consultants are unable to access such information because access is subject to paying subscription fees and when they get them, they are usually treated as sub-consultants thus benefiting less despite the fact that they provide the bulk of input and local knowledge to the consultancy work.

The fifth phase government has plans to make Tanzania an industrial - middle-income country by 2025. Realizing this goal would entail undertaking and implementing several activities that would need consultancy input. The government has also decided that it will use local government institutions to offer consultancy services as much as possible. Therefore, it is important for UDSM to be strategic and devise measures that would ensure UDSM's participation in those potential consultancies is greater.

1.4 Contributions of Consultancy Work to UDSM

The University Consultancy Policy and Operational Procedure (CP&OP) of 2010 aimed, among others, to enable the University of Dar es Salaam generate income from consultancies that it can use to supplement its operational budget. One of the objectives of that CP&OP was "to set guidelines for increasing the share of consultancy income in funding the University's operational budget". Although through the CP&OP of 2010, the University introduced guidelines for the distribution of proceeds from consultancy between and among various units, it has also broadened the definition of consultancy so as to ensure a wider

opportunity for realization of more income for the University. However, the UDSM has not set specific guidelines showing how income from consultancies could support operational budget or which budget lines of the operational budget will be covered by such income and what should be the targets in each year.

Although the main aim among others was to increase the contribution of income from consultancies to the University budget, there is no clear mechanism of knowing how much money has been generated from consultancies and how it has been used to support the operational budget in some of the units that have had consultancy money received.

The 2015/16 UDSM operational budget was estimated to be over TZS two hundred billion per annum including money from the government, but a mere 0.37% of that was collected from consultancies representing few units that disclosed their information. UDSM believes that consultancy work could contribute over TZS one billion annually if proper systems and oversights, including follow up are put in place and enforced.

Beside revenue contributions to the UDSM, consultancies are also expected to contribute in non-monetary terms to the University in terms of recognition, status, as well as academic and professional development. Through consultancies, UDSM is positioning itself to responding to critical national development challenges by providing technical input, solutions and suggestions. Through various consultancies the UDSM has actually been able to do so. However, this contribution is not well captured in various UDSM reports and thus it is not recognized and appreciated within or even outside UDSM. The UDSM does not communicate much about its contributions to addressing key national challenges through consultancies.

1.5 UDSM Vision 2061 and the Recognition of Consultancy Services

The University of Dar es Salaam launched its ambitious Vision 2061 in October 2012 to provide a road map that would lead

UDSM to where it wants to be in the next 50 years. Vision 2061 is grounded on the three main core functions of the University, namely (i) teaching and learning (ii) research and innovations and, (iii) knowledge exchange. Vision 2061 translates UDSM Vision and Mission into concrete actions. UDSM Vision is “to become a leading centre of intellectual wealth spearheading the quest for sustainable and inclusive development’. This vision is backed up with a Mission which states that “the University of Dar es Salaam will advance the economic, social and technological development of Tanzania and beyond through excellent teaching and learning, research and knowledge exchange”. Both the vision and mission have influenced the crafting of UDSM Vision 2061 in advancing the three core functions of UDSM in the next 50 years.

Vision 2061 recognizes the central position of knowledge exchange in a world-class University because it links the University in a practical manner with the industry. The Vision acknowledges that knowledge exchange occurs in different forms that include provision of *consultancy services*, service solutions to real life situations and challenges facing the public, private and civil society. Thus, provision of consultancy services is a key component of Vision 2061 in fostering the development of the three UDSM core functions. Vision 2061 highlights several key aspects that would intensify effort towards knowledge exchange, which would also intensify consultancy services.

Thus having realized the importance of knowledge exchange in its various ramifications, including consultancy services, UDSM created a directorate under the Office of the Deputy Vice Chancellor (Research) and charged it with the responsibility to spearhead consultancy services within the UDSM. Undertaking consultancy works thus, is important in ensuring that the goals set out in Vision 2061 are realized and in particular in addressing key national challenges towards industrialization and middle income levels by 2025.

1.6 Structure of Consultancy Provision at UDSM

Consultancy services are provided in various levels at the University of Dar es Salaam.

Table 1.1: Levels of Provision of Consultancy Services and Approval

Consultancy Undertaking Institution	Negotiator and Implementer	Coordinator	Liability	Contract Signatory
University Consultancy Bureau (UCB)	Team Leaders	Director	University of Dar es Salaam	Vice Chancellor
Colleges/ Schools/ Institutes Consultancy Units	Team Leaders	Manager Consultancy unit	University of Dar es Salaam	Vice Chancellor
Individual ¹	Individual	Manager Consultancy unit	Individual	Individual

1.7 Need and Justification of the Policy

One of the core functions of the UDSM is to stimulate knowledge exchange, which includes accepting and offering consultancy services. In order to offer such services a policy is required to guide the various processes and make provision of consultancy an effective and productive undertaking for UDSM, its staff and the country at large. Thus the aim of the Consultancy Policy is to do the following:

- (a) Encourage consultancy activities by UDSM staff.

¹ Where individual consultancy is associated with using University resources and creates liability to the institution, the University must approve that consultancy

- (b) Ensure there is appropriate mechanism to guarantee the quality, and continuous flow of consultancy activities without affecting other services undertaken by the University staff.
- (c) Ensure consultancy work generate sufficient revenue to support UDSM activities, including operational budget and capacity development.
- (d) Ensure sufficient and appropriate support to staff in undertaking consultancy services and protect the interest of both parties.
- (e) Ensure equitable cost sharing in the use of University resources and brand.
- (f) Protect University reputation, brand and its intellectual property rights.

1.8 Objective of the Consultancy Policy

1.8.1 The Main Objective

The main objective of the University Consultancy Policy is to provide guidance to the University community and other stakeholders in addressing challenges through consultancy services thereby contributing more effectively to income generation, addressing social problems and enhancing the quality of teaching, learning and research.

1.8.2 Specific Objectives

Specific objectives of the Policy include the following:

- (a) To set appropriate coordination and management systems of consultancy activities at the University
- (b) To urge, even compel rational utilization of the University's resources in supporting its operational budget and staff through consultancy activities
- (c) To set guidelines for increasing a share of consultancy income for the University
- (d) To set guidelines for sharing the income from consultancy activities across various participating units within the University
- (e) To set guidelines that will ensure equitable access to consultancy works by all staff members, including junior and female staff members

- (f) To set guidelines for monitoring and evaluation, and reporting on consultancy works including creation of databases
- (g) To set guidelines for the marketing, promotion and branding of the University through consultancy works.
- (h) To set guidelines for signing and authorization of consultancy works at various levels of the University structure
- (i) To develop and implement capacity development programmes for staff in the area of consultancy

1.9 Application and Scope of the Consultancy Policy

This policy document applies to UDSM employees, both academic and non-academic, part-time and full time in all its constituent colleges, directorates, campus colleges, institutes, schools, units, and departments. It is also applicable to anyone who is engaged by the University of Dar es Salaam to take part in a consultancy project. A pro rata basis may take place in case of part time staff or other staff engaged temporarily by the University of Dar es Salaam.

The Policy will cover and be applicable to all activities defined, as consultancy as per this policy and those activities that do not fall under the definition of consultancy, as contained herein will not be covered by this policy. The UDSM Revised Consultancy Policy and Operational Procedures have been extended to cover management of other activities that do not fall directly under consultancy. These include for example, contracted research, evening academic training programmes and professional development programmes.

2 POLICY ISSUES AND STATEMENTS

2.1 Eligibility for Undertaking Consultancy at UDSM

- a) University employees can undertake consultancy activities at any time and for varying numbers of days given that the Head of Department, Unit, Dean, Principal or Director of Institute or any other person duly authorizing as immediate supervisor ensures that the amount of work performed does not conflict with the staff member's core responsibilities or prejudice the wider interests of the University.
- b) Technical and support staff may be involved to undertake a consultancy service for the University or in a University contracted consultancy work, if approved by their immediate supervisors.
- c) Staff in these categories must make sure that:
 - (i) There is no conflict of interest with the member of staff's role with the University and the Consultancy work
 - (ii) The work is marginal rather than core to the research programme of the College/School/Institute
 - (iii) The funding body financing the post of the person wishing to consult does not object to their doing so.

It is recognised that it may be the case that, due to their specialist knowledge, the individual staff member may be the best informed member of the University to advise on the balance between marginal versus core work and so there is a duty on the staff member to take personal responsibility for ensuring that all consulting does not remove core funding.

2.2 Process of Sourcing of Consultancy Services

- a) Consultancy projects can be sourced by the University through its various units, individuals or advertised or sent as request to individuals and various units within the University.
- b) In order to avoid double submission of consultancy assignment from the same University by various units, where competition exists, steps as described in the

operational procedures shall be followed for sourcing consultancy projects.

2.3 Approval and Contracting Consultancy Projects

- a) The University Consultancy Bureau as per the procedure described in the operational procedures shall register all consultancy works.
- b) Approval of the consultancy assignment shall be subject to the following:
 - (i) The assignment is in the general interest of the University and the nation at large.
 - (ii) The work is in the area of expertise of the staff involved
 - (iii) The full market rate is recovered for the work or else there are other benefits, which are derived by the University.
 - (iv) The undertaking of the assignment will not be to the detriment of the individual staff and his/her workload in other areas of UDSM focus.
 - (v) All overhead costs are fully recovered.
 - (vi) Equity consideration in undertaking the consultancy project, without affecting the competition for such bid.
 - (vii) Intellectual property rights and conflict of interest have been well declared and addressed.
- c) A proof of the assignment of registration number must be indicated when requesting permission to undertake the assignment (Appendix A5).
- d) All consultancy related contracts that will involve the use of University resources must be signed by the Vice Chancellor or as directed in this Policy.
- e) The Vice Chancellor will seek opinion from the Corporate Counsel and Secretary to Council, Implementing unit and University Consultancy Bureau on the undertaking of the consultancy project prior to signing the contract.
- f) Upon completion of the project, the Team Leader through the unit implementing the consultancy must write to the Vice Chancellor through the University Consultancy Bureau

(UCB) a brief report on the execution of the assignment – referred as an exit report.

2.4 Anti-Bribery Policy as Related to UDSM Consultancy Services

Any Expression of Interest (Eoi) or Technical Proposal (TP) submitted to the client whether solicited or unsolicited must contain the UDSM Declaration of Anti Bribery as per the Procurement Act provisions, and will also have to be fully signed by the head of the originating unit as shown in Appendix A6.

2.5 Intellectual Property

- a) The Intellectual Property Management Office (IPMO) shall approve the use of UDSM inventions and obtain an approval during the proposal writing stage.
- b) Any intellectual property generated in the course of a University consultancy other than copyright created specifically in the course of creating a report for the external client shall be shared between the client and the University.

3 CROSS CUTTING POLICY ISSUES

3.1 Preamble

Cross-cutting policy issues require policy guidance in order to ensure that the UDSM Consultancy Policy is effectively implemented. The critical cross-cutting issues that require policy guidance include transparency and accountability; gender mainstreaming and involvement of junior staff in consultancy; marketing of UDSM potential in consultancy and capacity development.

3.2 Transparency and Accountability in Consultancy Work

A long-standing challenge has been the lack of transparency among staff, colleges, schools and institutes that undertake consultancies resulting in not informing the University Consultancy Bureau or UDSM administration about the work they do. This has not only limited the ability of the UDSM to capture the contribution from consultancies to supporting University operational budgets but also, causing the failure of UDSM to capture the full contribution of consultancies to addressing various national development challenges. This situation is also undermining capacity development of the University as an entity in consultancy works.

Objective: To provide guidance on how to increase transparency and accountability in consultancy work at the University of Dar es Salaam

Policy Statement

The University of Dar es Salaam shall:

- (a) Develop procedures that will enable colleges, schools, institutes and individuals to access consultancies in a transparent way so as to allow disclosure to happen.
- (b) Develop rules and penalties in case colleges, schools, institutes and individuals undertake consultancies without being reported/registered.
- (c) Develop an open reporting system that would allow transparency in terms of consultancy works, contracts signed, revenue generated and its contributions to

supporting UDSM budget to be known to the University community.

- (d) Develop a system that would ensure that the University and individuals undertaking consultancies on behalf of the University are accountable to both the clients and the University in terms of quality of output.

3.3 Gender and Involvement of Junior Staff

The involvement of female and junior staff in consultancy work undertaken at the University of Dar es Salaam is very low, thus rendering consultancy work at the University as a highly senior and male staff dominated activity. This undermines the enormous potential that exists in female staff and ignoring the need for an elaborate succession process through promoting junior staff in consultancy works.

Objective To provide guidance on how to mainstream gender and ensure junior staff members are effectively involved in consultancy works.

Policy Statement

The University of Dar es Salaam shall develop procedures and conditions in which female and junior staff members of the University shall be involved in consultancy works.

3.4 Marketing and Branding of University Potential

There has been no coordinated and effective marketing of the University potential in consultancy work. Most of the works have been offered to the University either as a result of past experience or because of individual efforts. The University of Dar es Salaam is no longer the only institution of higher learning in Tanzania although it commands high respect and recognition as the oldest and most vibrant University. There is urgent need to deliberately market its potential so as to win not only more projects but also to maintain its traditional clientele and widen its scope in terms of new projects and new clients.

Objective: To increase the number, diversity and value of consultancies that the University is doing through aggressive marketing and branding of its potential in the consultancy industry.

Policy Statement

The University of Dar es Salaam shall:

- (a) Develop marketing strategies that would promote and brand the University as a top public service provider in the areas of consultancies.
- (b) Develop strong and enduring partnerships with top universities and other firms including reputable consultancy firms from within and outside Tanzania.
- (c) Develop and implement an elaborate communication and information sharing mechanism that would be feeding back to clients and the general public on major consultancy works, which would also serve as marketing opportunities.
- (d) Develop and implement Memoranda of Understanding with key sectors so that the University is in a retainer basis to provide specialized services at an agreed cost.

3.5 Capacity Development for Consultancy Work

Winning consultancy jobs depends on the competence of those who seek to undertake consultancy work to prepare and submit quality proposals with all necessary inputs. Competence in these matters varies among various categories of staff and therefore, the University must undertake to implement focused capacity development programmes to raise the competence of its staff in this industry.

Objective: To raise the capacity of the University staff in matters of consultancy works so that UDSM becomes a top knowledge exchange provider in Tanzania and beyond.

Policy Statement

The University of Dar es Salaam shall:

- (a) Develop and implement short term and in house capacity development programmes for its staff to understand basic issues and principles related to consultancy work.
- (b) Develop and implement programmes to raise awareness among its staff on consultancies and the importance of undertaking them for individual and University benefits.
- (c) Seek joint consultancy works with reputable firms as a way of building the capacity of University staff.

4 INSTITUTIONAL FRAMEWORK FOR UNDERTAKING CONSULTANCY

4.1 Preamble

An effective and functional institutional arrangement is a prerequisite for the provision of consultancy that would benefit the University and the clients in general. Thus, the University will endeavour to establish the necessary institutional framework by ensuring the following:

- (a) A clear and effective institutional framework is established to enable the University to undertake consultancies.
- (b) Defining the authority responsible for signing of consultancy works for UDSM.
- (c) Defining liability of consultancy works in cases of problems.
- (d) Defining the role of UDSM administration, units, schools, institutes and colleges in consultancy.
- (e) Addressing failure to disclose or obtain approval for consultancy work.

The University of Dar es Salaam is undergoing tremendous institutional transformation to cope with changing needs and circumstances. These changes and the pace they take have far reaching implications on the ability of the UDSM to build long-term historical trends and experience in undertaking consultancies. Frequent changes to institutional arrangement undermine capacity development, institutional memory and accountability that otherwise require time to mature and attain perfection. Also, although the UDSM has allowed colleges, schools and institutes to set up consultancy units, the process has not been effective because there are several units that have not established their own consultancy bureaus and even where these have been established, institutional linkages with the UCB are weak, thus undermining reporting and accountability from the units to UCB and vice versa. In addition, there is need to address the approval processes so as to ensure that smooth and expedited operations are in place and the failure by some of the staff and entities to disclose consultancies to the University administration are removed.

4.2 Establishment of Institutional Framework

Objective: Ensuring a clear and effective institutional framework is established to enable the University of Dar es Salaam undertake consultancies.

Policy Statement

The University of Dar es Salaam shall:

- (a) Establish an institutional framework that will enable effective undertaking of consultancies.
- (b) Ensure the said institutional framework is elaborate, clear, lean and less bureaucratic.
- (c) Ensure that the institutional framework is provided with sufficient start up human and working resources to operate effectively.
- (d) Ensure that units, institutes, schools and colleges establish consultancy units that are linked through the institutional framework to UDSM wide coordinating entity so as to allow smooth coordination.

4.3 Authority Responsible for Signing of Consultancy Contracts

According to the University Charter, the accounting officer for all matters that involve the University is the Vice Chancellor (VC). The VC is required to sign all contracts that bind the University to a particular activity. The VC is of course looking into other affairs of the University and therefore, putting in place a process that would define how contracts will be signed is important and an efficient and effective way of utilizing the VC's time.

Objective: Defining the authority responsible for signing of consultancy contracts for UDSM.

Policy Statement

The University of Dar es Salaam shall:

- (a) Delegate the authority to sign consultancy contracts to the DVC (Research), or any other DVC, or any other authority as seen appropriate.
- (b) UDSM shall set maximum thresholds of contract value, which each of the organs will be allowed to sign on behalf of the University.
- (c) UDSM shall set a minimum threshold that the VC will have to sign below which, such contracts shall be signed by others as designated in the guidelines and stipulated in the Power of Attorney issued by the VC.
- (d) UDSM shall establish procedures for vetting and approval of contracts prior to signing by the lower organs.

4.4 Liability

Consultancies undertaken by University staff put a heavy liability burden on the University in terms of quality of output and other contractual matters. In a situation where the University administration has not been fully involved in all stages of the contract acquisition, such a burden becomes an unfair deal to the University. Therefore, it is important that issues of liability are clarified in the policy.

Objective: Defining UDSM liability in consultancy works in cases of problems.

Policy Statement

The University of Dar es Salaam shall:

- (a) Be held accountable and liable for any problem in a consultancy work that it has approved and signed.
- (b) Not be liable in any consultancy work it has not approved even if staff from the University have undertaken that consultancy.

4.5 Roles and Responsibilities

In order to increase the efficiency of the various units and sections that provide leadership in consultancy work within the University, there is need to ensure their roles and responsibilities

are adequately defined to avoid duplication and institutional conflicts.

Objectives: Defining the role of DVC (Research), Colleges, Schools, Institutes and Units in consultancy works.

Policy Statement

The DVC - (Research) shall:

- (a) Coordinate consultancy works through appropriate institutional frameworks and policy directives to ensure UDSM achieves greater positive results from consultancies in terms of experiences, revenue and capacity development.
- (b) Enforce the implementation of this policy to all relevant organs of the University.
- (c) Receive and review progress reports on consultancies submitted to the DVC-Research from lower organs (Colleges, Schools, Institutes and Units).
- (d) Prepare reports for submission to UDSM higher organs on consultancies undertaken by UDSM.
- (e) Liaise with DVC (Administration) to follow up on how revenue from consultancies are used in supporting UDSM operational budgets.

Colleges, Schools, Institutes shall:

- (a) Enforce the implementation of this policy in their units.
- (b) Prepare progress reports on consultancies and submit them to the DVC-Research
- (c) Ensure that revenue from consultancies are used in supporting operational budgets in their units.

4.6 Disclosure and Approval

One of the key challenges the University has been facing is tracking outputs from consultancies. There has been inadequate information flow from those that undertake consultancies to the University administration. This gap in information has actually undermined the University's ability to measure the contribution of consultancies to University development and in addressing national challenges.

Objective: Addressing failure to disclose or obtain approval for consultancy work.

Policy Statement

The University of Dar es Salaam shall:

- (a) Develop procedures that will enable colleges, schools, institutes and individuals to access consultancies in a transparent way so as to allow disclosure to happen.
- (b) Develop rules and penalties in case colleges, schools, institutes and individuals undertake consultancies without getting approvals from relevant authorities.
- (c) Develop incentive packages that would motivate colleges, schools, institutes and individuals to disclose consultancy works.
- (d) Develop procedures which will enhance flow of information on consultancy activities from units to UCB and vice versa.

4.7 Ethical Matters

Consultancies like any other work require high adherence to ethical matters, including safeguarding contract confidentiality and obligations and agreements in terms of quality timeliness and professionalism. The need to address ethical matters and enforce their compliance is a key to success in implementing this policy.

Objective: To ensure that consultancy work undertaken by UDSM staff follows ethical rules, guidelines and all directives.

Policy Statement

The University of Dar es Salaam shall:

- (a) Develop procedures that will ensure that the UDSM Research Ethics Committee subjects consultancy projects undertaken by UDSM staff to ethical screening prior to approvals.

- (b) Develop and enforce “Ethical Code of Conduct” for Consultancy work at the University, including adhering to the University Anti-Bribery Policy.
- (c) Take stern measures to address breach of ethical code of conduct.

4.8 Taxes and Insurance

Teaching, research and public services (including consultancies) are core University functions, undertaken on the basis of public service provision. However, as a public institution, the University is VAT exempted. In undertaking consultancy, the University is supposed to pay withholding Tax. Therefore, there is need for the University to comply with government policies in matters of taxation. Consultancy work sometimes can go wrong leading to serious financial consequences to the provider, which in this case is the University of Dar es Salaam. Obtaining insurance to cover professional indemnity should therefore be given due consideration prior to signing contracts.

Objective: To ensure that revenue earned from consultancy work undertaken by UDSM staff is in compliance with the existing laws and regulations of the country with regard to taxation.

Policy Statement

The University of Dar es Salaam shall:

- (a) Develop and enforce guidelines and procedures for handling taxation issues related to consultancy projects undertaken by UDSM staff as per standing national laws on taxes.
- (b) Develop guidelines for handling insurance matters related to provision of consultancy services by UDSM staff.

4.9 Distribution of Consultancy Income

Consultancies generate revenue beside knowledge and experiences. The University is keen to ensure revenue obtained from consultancies is not only used judiciously but is also fairly distributed among key players, including individual consultants,

units and the University. The University is looking at this revenue to support its various programmes and therefore, policies on how revenue from consultancies is shared are critical.

Objective: To ensure that revenue generated from consultancy projects undertaken by UDSM staff is distributed fairly, so as to contribute to the development of the University.

Policy Statement

The University of Dar es Salaam shall:

- (a) Provide from time to time recommended payment rates for various services offered under consultancies, including fees payable to different categories of staff and services (e.g. machine tools and experiments etc.) that are involved in consultancy.
- (b) Develop and enforce guidelines that define how revenue from consultancies shall be shared among all units (Colleges, Schools, Institutes, Departments, Centres and Bureaus, UCB and the University) that undertake consultancy works.
- (c) Provide guidelines for use of consultancy revenue at all levels and monitor its utilization to enhance greater accountability and transparency.

5 MONITORING AND EVALUATION

5.1 Preamble

Monitoring and evaluation of consultancy services, are essential components of coordination, management and promotion of consultancy. Currently, the University, along with its units, faces challenges including reporting and monitoring of consultancy activities and the income generated from them. However, the revenue generated from these activities has for a long time not been monitored, managed, or even sometimes, reported to the respective University organs. Additionally, no clear institutional mechanisms exist to evaluate how the University is performing in this core function. Hence, it is important for the University to address the following issues in a comprehensive way:

- (a) To define an institutional arrangement for monitoring and evaluation.
- (b) To enhance quality of consultancy services.
- (c) To define indicators for evaluating consultancy services and products.
- (d) To define appropriate tools to use in evaluating consultancy services and products.
- (e) Assist and follow-up the establishment of consultancy bureaus in Colleges, Schools, Institutes and Centres.

5.2 Arrangement for Monitoring and Evaluation

Apart from the Bureau for Industrial Cooperation (BICO), the current institutional structure does not specify how consultancy activities are monitored and evaluated and above all, it is not clear as to who has the mandate to carry out monitoring of consultancy work. Lack of consultancy bureaus at unit levels has been a major hindrance in monitoring and evaluation of products and services at that level, thus also undermining the ability of the University to know the extent it is contributing to revenue generation and national development goals.

Policy Statement

The University shall:

- (a) Establish a policy for quality assurance and arrangement for conducting monitoring and evaluation of consultancy works within the University.
- (b) Define mandates and roles of various institutions from the unit level to the central UDSM administration in carrying out monitoring and evaluation.

5.3 Indicators for Monitoring and Evaluation

Effective consultancy outputs require mechanisms to monitor and evaluate the quality of consultancy products. This in turn entails a set of well-defined quality indicators that are also communicated across the University units and organs. Currently, there are no formal indicators to guide UDSM staff on how the products or services offered will be evaluated. There is a need to adopt and adapt a University-wide checklist of performance indicators aimed at ensuring quantifiable inputs and outputs of consultancy and ascertaining how it addresses issues relevant to national and societal needs.

Policy Statement

The University shall define clear and quantifiable indicators for evaluating consultancy services and products.

5.4 Tools for Monitoring and Evaluation

Contracts, quarterly reports, various clearances to undertake consultancy services including travel permissions, individual or unit remittances of consultancy revenue to the University and the consultancy report, are among the critical tools that the University can use to monitor and to evaluate consultancy outputs. However, at individual level, such tools can be applicable only when projects are formally declared (e.g. using OPRAS). Otherwise, it is difficult to track consultancy returns and contribution towards institutional costs if consultancies are not formally registered with the University.

Policy Statement

The University shall:

- (a) Design and communicate to staff appropriate tools for monitoring and evaluating consultancy services and products.
- (b) Enforce rules demanding each consultancy work to be formally declared and registered.
- (c) Establish unit-level consultancy bureaus to ensure that consultancy reports are documented and submitted in time.
- (d) Provide incentives and motivation to staff members or units that declare and report consultancies to encourage the culture of reporting and accounting for consultancy work.

5.5 Reporting Framework

Although UCB is mandated to monitor consultancy activities at the University, it has been facing hitches in getting the necessary information from some of the existing consultancy units on account of weak links between UCB and other units. Reporting has generally been done on a quarterly-basis to the top management, and these reports include consolidated information on the core functions; but no specific information on consultancy activities is reported properly.

Policy Statement

The University shall:

- (a) Provide guidelines on reporting mechanism and frequency of reporting from the lowest levels to the UDSM administration in consultancy works.
- (b) Provide guidelines for quality assurance of consultancy works.

6 OPERATIONAL PROCEDURES

6.1 Introduction

Individual members of staff, departments, bureaus, colleges/schools/ institutes and centres are encouraged to solicit consultancy projects from clients provided it is through approved operational procedures as stated in this document.

6.2 Role of University Consultancy Bureau (UCB)

The University Consultancy Bureau (UCB) shall be the overall custodian of all consultancy activities of the University of Dar es Salaam. In that effect UCB shall assume the following mandates:

- (a) Registration and coordination of all University - wide consultancy projects.
- (b) Capacity building of the University staff as relevant to execution of consultancy projects.
- (c) Carry out Monitoring and Evaluation of all consultancies.
- (d) Promote through aggressive marketing approaches the capacity of UDSM in consultancy work.
- (e) Seek and solicit consultancies.

6.3 Role of Colleges, Schools, Institutes, Centres and Bureaus

Colleges, Schools, Institutes, Centres shall as per this policy:

- (a) Establish and ensure smooth functioning of Consultancy Bureaus and Units.
- (b) Undertake all responsibilities related to sourcing and delivering of consultancy activities.
- (c) Keep databases of all consultancies undertaken by staff in their units.
- (d) Prepare and submit reports to relevant authorities following the procedures laid out in this consultancy policy and operational procedures document.
- (e) Conduct Monitoring and Evaluation of all consultancies at their unit level.

6.4 Consultancy Projects Inception Framework

Consultancy projects inception shall follow the following procedures:

- (a) If the project entry point is an individual member of staff, department, college, school or institute;
 - (i) They shall report to their respective consultancy bureau.
 - (ii) The bureau shall consult the UCB for registration and approval.
 - (iii) The respective unit shall then constitute a project team to undertake the assignment.
- (b) If the project entry point is a centre or a unit without a consultancy bureau, it shall report to UCB directly.
 - (i) The centre or unit shall consult the UCB for registration and approval.
 - (ii) The respective centre or unit shall then constitute a project team to undertake the assignment.
- (c) If the project entry point is UCB;
 - (i) It shall identify and inform relevant bureaus or centres to undertake the project. In case the project requires expertise from units without consultancy bureaus, UCB shall inform the units directly.
 - (ii) UCB shall be responsible for such a project from start to its completion, ensuring quality and timely delivery of the output.

6.5 Consultancy Projects Execution

The project team leader will oversee all activities related to the entire consultancy project including:

- (a) Preparation of Expression of Interest (EoI).
- (b) Preparation of Technical Proposals (TPs) if shortlisted, including team formation, relevant CVs and all other supporting materials and preparation of budgets.
- (c) Negotiations if selected (Assistance from the Bureau Manager may be sought when contractual commitments such as pre-finance of the project, insurance, bonds etc. are required)
- (d) Reviewing the draft contract drafting prior to signing by authorized persons.
- (e) Implementation of the assignment.

- (f) Deliverables submission.
- (g) Through respective accounting offices, send invoices to clients as per agreed payment schedules and deliverables.
- (h) Prepare and submit project completion/exit reports to respective offices, including the signatory of the contracts for the consultancies.
- (i) Processing all financial transactions for the project execution and consultancy team remuneration.

6.6 Marketing Consultancy Resources

UCB shall market the consultancy resources of the UDSM. UCB will therefore ensure full exposure and positioning of the existing and potential consultancy capacities and capabilities of all units of UDSM locally and internationally through various media, including:

- (a) Mainstream printing and online media, including UDSM website.
- (b) Television and radio outlets.
- (c) Exhibitions, expos and trade fairs.
- (d) Conferences.
- (e) Corporate Social Responsibility events.
- (f) Any other events to be approved by the DVC-Research office.

6.7 Conflict Resolution

All conflicts related to consultancy projects shall be resolved through the following ranks:

- (a) Project team to resolve it internally.
- (b) Bureau or Centres.
- (c) UCB.
- (d) University Legal Unit, especially if matters involve contractual obligations.
- (e) In all cases, contract provisions regarding conflict resolution must be clearly understood before signing and then followed in cases where conflicts occur.

6.8 Training and Participation

6.8.1 Training

- (a) UCB shall undertake training on various matters related to consultancy, including but not limited to issues of report writing, proposal writing (including preparation of appropriate CVs for each assignment), team formation, negotiations, contract management, and any other generic consultancy training skills as required or deemed relevant to the skill set required by the staff to stay competitive to the prevailing consultancy environment.
- (b) Technical training shall be undertaken by respective units or bureaus based on their expertise and needs.

6.8.2 Participation

Bureau, Centres and Units shall ensure that every project team constitutes:

- (a) At least one (1) junior staff. Junior staff in this case is considered as UDSM staff with less than three (3) years consultancy experience.
- (b) Gender balance depending on professional requirements.
- (c) As much as possible inclusion of relevant non-academic staff.

6.9 Ethical Matters

- (a) The University shall promote ethical and professional conduct in the administration of consultancy projects.
- (b) The consultancy project team members shall adhere to the UDSM anti-bribery policy and ensure transparency and high level of accountability in executing their activities.
- (c) The UDSM “Ethical Code of Conduct” for consultancy works shall be developed to include the Anti-bribery Policy, Confidentiality, Professionalism and Accountability issues.

6.10 Joint Venture in Consultancy Services

- (a) Consultancy team leaders shall be free to propose to UCB association with any counterparts who they see important

in complementing their expertise while discharging the assignment.

- (b) The associates shall be fully vetted by UCB and the University legal unit in regard to their suitability and reputation.
- (c) The associates shall be required to adhere to the provision of this Policy including all matters related therein.

6.11 Costing and Pricing of Consultancy Projects

Consultancy projects costing and pricing shall be undertaken by the proposed project consultancy team and shall be in accordance to the schedule of University consultancy rates, whilst also taking into account market demand for consultancy services.

6.12 Negotiations of Consultancy Projects

- (a) The Project Team Leader shall undertake consultancy projects negotiations, whilst making the UDSM through UCB and/or Unit Bureaus fully aware of any sticking issues.
- (b) UCB and/or Unit Bureaus shall advise on the negotiation terms.
- (c) UCB shall facilitate consultation with university legal unit on contractual related matters if needed.
- (d) The UDSM Legal Councillor shall vet all contracts to ensure they comply with national laws and policies and UDSM position prior to signing.

6.13 Registration of Consultancy Jobs

Employees of the University of Dar es Salaam who are engaged in consultancy work are required to register their assignments with the responsible organs within the College/School/Institute or UCB. Contracts for consultancy activities can only be entered into by the legally constituted entity; that is the University of Dar es Salaam. Therefore, only the Vice-Chancellor and employees with the expressly delegated authority of the Vice-Chancellor are empowered to sign contracts or agreements on behalf of the University.

All staff members should complete a Consultancy Registration Form UDSM/UCB.F01 (Sample provided as Annex 4) prior to undertaking any consultancy job at the University. The Registration Form should be completed in consultation with the Heads of the respective units and submitted to the UCB Manager accompanied by a signed copy of the contract. On receiving the registration form the UCB Manager shall approve it if all details conform to the requirements in this policy. A Registration number and Consultancy Registration Certificate shall be issued for approved projects. **No University consultancy should be undertaken without completing the registration form and a contract being in place.**

6.14 Coding

- (e) For controlling purposes, UCB shall assign all projects appropriate codes.
- (f) The codes shall, among others, bear the information about the University, the name of the executing unit, and the time and nature of the project.

6.15 Taxes and Insurance

6.15.1 Value Added Tax

The University of Dar es Salaam is not registered to collect Value Added Tax (VAT) from its clients, and even the EFD receipts that the University is using have no VAT. All UDSM consultancy charge-outs will be fully VAT exclusive.

6.15.2 Withholding Tax

Withholding tax is a legal requirement for a registered taxpayer, unless the person dealing with it has provided evidence that he/she is not subjected to withholding tax. The University Consultancy Bureau and unit bureaus are not legal entities as they operate under the University of Dar es Salaam, which is not a registered taxpayer.

Under the law, the individual staff members (consultants) are liable to pay tax from their share of consultancy revenue provided

they are engaged as consultants. But with the fact that the consultant in this case is the University and not the individual staff members, it is not proper to refer to the staffs as consultants. Engagement of individual members into consultancy contracted to the Bureau (University) is viewed as part of their mandates to performing University roles and is not to be considered as separate and outside the normal statutory functions of University staff. In this case staff undertaking consultancies on behalf of or as part of UDSM are not liable to pay tax. The following guidelines should be used in dealing with Withholding Tax:

- (a) Bureaus (or units) should be given powers to appoint and engage staff (on behalf of the University) to undertake consultancies.
- (b) Although the University is not a tax payer, Withholding Tax may be dealt with silently through “gross-up” billing that should include the Withholding Tax.
- (c) If the client deducts the withholding tax UDSM should claim the Withholding Tax certificate, which can be used to claim for refund from the Treasury.
- (d) If Withholding Tax was not deducted by the client, the bureau should not deduct it from the consultant’s fees. The responsibility to pay Withholding Tax rests with the Withholding Agent i.e. the one who effects payment. The Bureau should pay the staff members involved in the task fully without deducting anything, provided their engagement is treated as part of the UDSM functions.
- (e) There are no independent consultants at UDSM. In fact the Consultancy Bureaus at UDSM assume the consultant status in any engagements with clients and relies upon the willingness of earmarked experts (staff) to carry out the contracted services.
- (f) Staff members are assigned for special duty and therefore the Bureau should pay them on special duty basis by giving them honorarium. Thus, they are expected to service bureau contracted work as part of their services to the University.

- (g) Staff members who are engaged in the work contracted by the University or Unit/Bureau are not allowed to raise professional invoices for professional fees against their Bureau. Thus, they are given honorarium in recognition for their commitment to the University mission.

6.15.3 Insurance and Professional Indemnity

Consultancy activities conducted through University units such as bureaus and colleges/schools/Institutes will obtain insurance cover through University policies whenever required to do so. University staff who engage in individual consultancy should accept full responsibility for the performance of the contract and will not receive protection from insurance available to members of staff of the University in the normal conduct of their contractual duties.

6.16 Accounting and Financial Management Arrangement

- (a) All University consultancy projects/jobs shall be liable to payment of an Institutional Fee.
- (b) The total institutional fee charged from consultancy projects/jobs shall be 30 percent of the gross income, leaving 70 percent to cover for consultant fees and direct costs. The gross income, which includes institutional fee will form the final charge-out to the clients, i.e.

(c) Gross Income	(d) X
(e) Institutional Fee	(f) 30%.X

- (c) For those projects which involve the use of University equipment and machinery, machine charge shall be charged in addition to the 30 percent Institutional Fee. Machine Charge rate shall be either a lump sum of up to 15 percent of the Gross Income or an amount calculated based on the hourly rate of the machine/equipment, whichever is higher. All Institutional Fees shall be embedded in the total project cost that shall be submitted to clients. The budget must clearly indicate various cost items.

- (d) The Institutional Fee and Machine Charge shall be embedded in the total project cost that shall be paid by client. Institutional Fee may be fully indicated in the budget or otherwise, depending on the Client's requirement. In situations where the Institutional Fee could not be paid in full by the client, then it shall be deducted from the professional fees.

6.17 Issue of Receipts

- (a) All University consultancy projects shall be receipted using EFD.
- (b) Such receipts shall bear the University TIN Number.
- (a) Uniform formula for distribution of consultancy income sharing shall be used across the whole University regardless of the entry point of the project or of where the project was executed.
- | | |
|---|-----|
| (i) Consultant(s) - direct costs and fees | 70% |
| (ii) University | 12% |
| (iii) UCB | 3% |
| (iv) Colleges, Schools and Institute | 4% |
| (v) Departments | 5% |
| (vi) Bureaus | 6% |
- (b) The formula for distribution of income from evening and part time training programmes sharing shall be as follows:
- (i) The fees collected from evening and part time programmes shall be distributed into payment to resource persons and to different units/levels of the University.
- (ii) The amount allocated as payment to resource persons shall be determined based on the hourly rate of the resource persons, which shall not exceed TZS 70,000.00 per hour (subject to review from time to time as deemed necessary) or a maximum of 50% of the fees, whichever is less.
- (iii) The remaining amount from (ii) shall be distributed as follows:
- 25% shall be allocated to the Department to support the delivery of the programme, teaching

activities, research and staff development in the Department.

- 15% shall be allocated to the College/School/Institute for development activities (e.g. building construction, maintenance and equipment).
- 60% shall be used to supplement the UDSM budget.

- (c) Income from consultancies collected at various levels of the UDSM must be used and spent according to UDSM financial policies and subject to auditing like all others. From time to time, the Deputy Vice Chancellor - Research and Deputy Vice Chancellor - Academic shall issue directives on how to use monies accrued from consultancy related activities covered under this policy, but Units and Bureaus will be given opportunity to propose best areas where such monies could be used to support UDSM core functions. The UDSM bursar shall be undertaking audits of the monies accrued from consultancies.

6.18 Quarterly and Annual Returns of Consultancy Projects

6.18.1 Unit Level

All units are to avail their consultancy works and financial reports to their respective Boards and subsequently Bureaus on quarterly basis.

6.18.2 Bureau Level

All Bureaus will report their consultancy works and financial reports to UCB on quarterly basis.

6.18.3 UCB Level

UCB is to report the University consultancy projects and financial reports to the Consultancy, Outreach and Public Service Advisory (COPSA) Board, Senate Research and Knowledge Exchange Committee (SRKEC) and Investment and Resource

Mobilisation Committee (IRMC)/Planning and Finance Committee (PFC) on a quarterly basis.

6.18.4 University Level

The University Management will report the cumulative University consultancy projects and financial reports to the Investment and Research Mobilisation Committee and Senate.

6.19 Legal Provisions for Consultancy at UDSM

6.19.1 Signing of Contracts for Consultancy Projects

All consultancy project contracts shall undergo legal vetting by the Corporate Counsel and Secretary to Council office and thereafter shall be signed by the Vice Chancellor who shall be the custodian of all signed consultancy projects contracts. Bureaus will keep copies of the contracts.

6.19.2 Signatory in Consultancy Projects

The signatory in consultancy proposals and expressions of interest shall be the Vice Chancellor. Special power of attorney for signing proposals shall be issued by the Vice Chancellor to the Bureau Manager or Lead Contract Negotiator.

6.19.3 Liability of Consultancy Projects

The University of Dar es Salaam shall bear full liability of the signed consultancy project contracts.

6.19.4 Failure to Disclose or Obtain Approval for Consultancy Project

- (a) Failure to adhere to the above requirement shall lead to disciplinary measures for the team leader or individual consultant.
- (b) The University staff disciplinary procedures shall be followed to discipline the staff responsible.

ANNEXES

- A1 Sample Form to Show Interest to Participate in a Consultancy Project
- A2 Application to Undertake a Consultancy Project
- A3 Sample Reporting Form for Consultancy Assignments
- A4 Consultancy Registration Form
- A5 Consultancy Registration Certificate
- A6 Anti-Bribery Policy

A1: Form to Show Interest to Participate in a Consultancy Project

UNIVERSITY OF DAR ES SALAAM			
EXPRESSION OF INTEREST TO BE PART OF THE TEAM TO UNDERTAKE CONSULTANCY FOR (TITLE OF THE CONSULTANCY PROJECT)			
.....			
COLLEGE/SCHOOL/INSTITUTE			
NAME OF CONSULTANCY UNIT			
UNIT/EOI-RFP/ SN/YYYY		
Assignment Details:			
<i>Client/Institution:</i>		
<i>Assignment Focus:1</i>		
<i>Assignment Focus:2</i>		
<i>Assignment Focus:3</i>		
<i>Source</i>	(e.g. Newspaper Advertisement date and page/ webpage - link)		
<i>Region and Country</i>		
<i>Date for Submission of EOI and RFP</i>		
<i>Suggested names of other consultants you will work with</i>			
Name (Title/Gender) e.g. Dr. Mona (F)	Proposed	Specialization	School/Insti tute/College
	Team Leader/consultant		
	Consultant
	Consultant
	Consultant

	Consultant
Assignment task			
Develop expression of interest/ RFP		

Please include your CV in World Bank Format indicating the areas of your capability.

Signature of the Applicant: Date:.....

Team Approved/Not Approved by:Date:.....

Reasons for not approving:

Approval Tracking Number:

Consulting Unit:.....

A2: Application to Undertake Consultancy Assignment

Full Name	
Job Title	
Department	
College	
Staff ID Number	
Other Appointments (E.g. Coordinator of Research)	
Name and Address of the Organization for which you will be Undertaking a Private Consultancy	
Description of the Nature of the Assignment	
Is this a Private Consultancy Assignment?	Yes/No
Estimated time required for the work	
Period in which the assignment will be undertaken	
University resources to be used	
Names and status of the University students and Staff to be employed in this assignment	
Estimated total fees	
Will the work create exchange of the Intellectual property?	Yes/No
Will the work conflict with other University activities or undertaking?	Yes/No

Signed byDate

Approved by:Date

Authorized by:Date

A3: Consultancy Reporting Form

	College-School-Institute:									UDSM-CONS-F2				
S/N	Job Title	Client		Consultant			Date			Payment [Tshs]			Status	
		Name & Contacts	Sector & Type	Position	Name	College	Gender	Start	Finish	Days	Paid	Balance		Total
1														

A4: Consultancy Registration Form



UNIVERSITY OF DAR ES SALAAM DIRECTORATE OF PUBLIC SERVICES UNIVERSITY CONSULTANCY BUREAU CONSULTANCY REGISTRATION FORM

This form is for the use of members of staff who plan to undertake University consultancy for an external client.

All staff members should complete this registration form before undertaking University consultancy. Information supplied will be used for updating the University consultancy profile.

University consultancy should not be undertaken if this form is not completed and a contract is not in place. If you have any doubts, please contact UCB for assistance.

Section 1: Consultants Details

1.1 Name of Lead Consultant:
1.2 Employee Number:
1.3 College/School/Institute:
1.4 Department:
1.5 Consultancy Bureau:

1.6 How many days have you used for consultancy work in this academic year? (excluding the one that is being registered?)

University

Private

1.7 List names of other members of staff at the University who will be involved in this consultancy (they will be required to complete their own permission forms)

Section 2: Project Details

2.1 Name of Project:

2.2 Description of work to be undertaken and expected deliverables
(attach client description of work if available)

2.3 Please provide details of any additional expenses, consumables and materials or the use of equipment required specifically to support the consultancy

Section 3: Dates

3.1	Proposed start date:
3.2	Expected end date:
3.3	Anticipated number of days:

Section 4: Client details

4.1	Name of Client:.....
4.2	Address:.....
4.3	Name of contact person:.....
4.4	Position of contact person:.....
4.5	Telephone:.....
4.6	Email:.....

Section 5: Institutional Fees

5.1	Job value:
5.2	Agreed division of fees (to be completed by Head of Department or equivalent)
	a) University (12%):
	b) UCB (3%):
	c) College (4%):
	d) Bureau (6%):
	e) Department (5%):
	f) Consultant (s) (70%):

Section 6: Signatures

6.1 Lead Consultant

Name:Signature:.....
Date:

6.2 Head of Department or Equivalent (or other as appropriate)

Name:Signature:.....
Date:

6.3 Manager of Consultancy Bureau

Name:Signature:.....
Date:

6.4 Dean/Director/Principal

Name:Signature:.....
Date:.....

Section 7: Registration Number (to be filled by the coordinator, UCB)

Registration number:
Name: Signature:.....
Date:

A5: Consultancy Registration Certificate



**UNIVERSITY OF DAR ES SALAAM
DIRECTORATE OF PUBLIC SERVICES
UNIVERSITY CONSULTANCY BUREAU
CONSULTANCY REGISTRATION
CERTIFICATE**

REGISTRATION NUMBER		
NAME OF PROJECT		
CONSULTANT(S)		
JOB VALUE		
FEES	UDSM (12%)	
	UCB (3%)	
	COLLEGE (4%)	
	BUREAU (6%)	
	DEPARTMENT (5%)	
	CONSULTANT(S) (70%)	
START DATE		
COMPLETION DATE		

COORDINATOR OF UCB

DIRECTOR DPS

NAME:

SIGNATURE:

DATE:

A6: UDSM Anti-Bribery Policy



UNIVERSITY CONSULTANCY BUREAU (UCB) OF THE UNIVERSITY OF DAR ES SALAAM



UCB ANTI-BRIBERY POLICY

This Policy describes what is required to meet our commitment not to offer, pay or accept bribes and to maintain high standards of ethical and law-abiding behavior in all our interactions with government officials, parastatal organizations, professional organizations, non-governmental organizations (NGOs) as well as other community based organizations (CBOs).

UCB believes that integrity and fair dealing are essential assets of the company and this should be reflected in all activities. Each UCB Consultant has a responsibility to ensure that UCB will not get involved in corruption. The sanctions for neglecting this duty are described in the University of Dar es Salaam Code of Conduct. Both active and passive bribery is illegal according to Regulation 100(2) of the Public Procurement (Goods, Works, Non-Consultant Services and Disposal of Public Assets by Tender) Regulations, 2005 - Government Notice No. 97 of 15th April, 2005.

No employee nor any other person representing UCB such as agents, suppliers, joint venture partners or others, may on any occasion, neither directly or indirectly, offer anything of value to any person that directly or indirectly represents a client or a supplier in order to gain an advantage or as a reward for a favour.

Key Policy Issues

- UCB consultants are expected to conduct UCB business in a legal and ethical manner. UCB should not use illegal payments, bribes, kickbacks or other questionable inducements to influence government officials, parastatal organisations, professional organisations, non-governmental organisations (NGOs) as well as other community based organisations (CBOs) for any business transaction.

- UCB consultants must not offer or give – directly or indirectly – money or anything else of value to any person, in order to obtain or retain business or secure any other improper advantage.
- UCB consultants must not offer or give – directly or indirectly – money or anything else of value to an employee or other representative of any person with whom the Company has or is seeking to develop a business relationship, if it would constitute a commercial bribe.
- UCB consultants must not accept anything of value, if it may compromise our independence or judgement, or if it would constitute an inducement to make, or a reward for making, any decision in favour of a third party.
- All payments and benefits to, and engagements of, government officials, parastatal organisations, professional organisations, non-governmental organisations (NGOs) as well as other community based organisations (CBOs) must be properly recorded in the UCB books and records.