KIUT

KAMPALA INTERNATIONAL UNIVERSITY IN TANZANIA

EXPLORING THE HEIGHTS

CONSULTANCY POLICY

2019

FOREWORD

Consultancy work is an important means by which the University can leverage its extensive range of expertise to facilitate knowledge exchange and contribute to economic, social and cultural transformation and development t beyond the immediate boundaries of the academic environment.

Engagement in such an enterprising activity is encouraged by the University management. Consultancy undertaken by members of staff have many benefits for both the individual and the University including contributing additional income, providing opportunities for industrial collaboration, improving personal skills,   enhancing the reputation of the University, enabling the University's knowledge transfer and impacting the socio-economic development of the country.

Whilst such activities are not without risk, the University is keen to encourage and support its staff to engage in such consulting in a professional and well-regulated manner, and so minimise risks to individuals, and the University and its reputation. The KIUT Consultancy Bureau has been set-up with the specific purpose of guiding, managing and supporting consultancy undertaken within and in the name of the University.

It is the hope and belief of the university management that this policy will serve as a catalyst that promotes consultancy engagement for the benefit of individual staff, the University and the Tanzanian society in general.

Prof. Jamidu H. Y. Katima
Vice Chancellor

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1. Introduction

1.1. Background

1. Kampala International University in Tanzania (KIUT) aspires to become a leading science-based and out-come driven entrepreneurial research university by exploring the heights through a transformed culture, business promotion society

2. KIUT offers and runs certificate, diploma, and undergraduate and postgraduate degree programs. Considering its status as an international university, KIUT attracts staff from all over the world, thereby giving it leverage over other universities in Tanzania. KUIT depends on tuition fees as its main source of income. The lack of diversity in the income streams has led to insignificant income earned compared to the vast wealth of expertise and resources available at the University.

3. The University recognizes the value of its staff undertaking consultancy and outreach social services. Consultancy is an important channel through which knowledge and expertise can flow to and from businesses and other external agencies and therefore contributes to the development of and productive relationships between the university and the society it serves.

4. In order to maximally benefit from existing resources, and to fulfil its mission of responding to societal needs, the KIUT has developed a Consultancy Policy that will guide and regulate engagement in consultancy services. The policy aims to encourage staff to engage in consultancy and outreach extension services as appropriate and in a manner that is consistent with signed contracts.

1.2. Broad Objectives of the Policy

5. The main objectives of the KIUT Consultancy Policy is to:
   a) Complement the University Strategic Plan in pursuing the Vision and Mission and enabling the University to stand as a premier teaching, research and consultancy institution in the country and in the Eastern Africa region.

   b) Encourage and develop the University's links with industry, commerce and the wider community through high quality consultancy activities which in turn enhance staff expertise unearth new research opportunities that can benefit the KIUT teaching programmes;

   c) Enable KIUT to manage its external links and so ensure appropriate returns to both employees;

d) Promote the University reputation, its brands and its intellectual property rights; and

e) Supplement the University's income.

1.3.   Specific Objectives of the Consultancy Policy

6. While the main objective of the University Consultancy Policy is to provide a clear framework and guidelines for staff engaged in, or who wish to engage in consultancy for the university ("University Consultancy") or in personal capacity: ("Personal Consultancy). Specifically the policy sets out to develop guidelines to:

a) Increase the share of consultancy income for the University

b) Share the income from consultancy activities across various participating units within the University

c) Ensure equitable access to consultancy works by all staff members, including female and junior staff members

d) Monitor, evaluate, and report on consultancy and other expert extension services and works including the creation of due database

e) market, promotion and branding of the University through consultancy works.

f) Sign and authorize professional expert works at various levels of the University structure.

g) Facilitate the development and implementation of staff capacity and knowledge transfer.

1.4. Definitions of key terms relevant to this policy

1.4.1. Consultancy

7. Consultancy includes work of a professional nature, undertaken by University staff in their fields of expertise, for external clients and for which payment is usually made. Consultancy may be in the form of University Consultancy (internal or external) or Personal Consultancy. Consultancy may include a range of activities such as materials testing, documentation and publication, professional and continuing education, and training and development. Unlike research, consultancy it does not have, as its prime purpose, the generation of new knowledge but rather its application in solving society problems.

8. The following undertakings are not included within the definition of Consultancy **at KIUT**

a) academic book publications

b)   contract research

c)   external examining

d)   guest lecturing

e)   conference attendance/presentations

f)   ad hoc broadcasting or other interactions with the media

g)   teaching quality assessments

h)   private or public sector board appointments

i)   external committee memberships

j)   normal inter-institutional academic activities

k)   teaching evening and weekend classes and engagement in such other activities outside the normal programmes of the university

1.4.2. University Consultancy

9. University Consultancy is defined as a contractual arrangement for the provision, by the KIUT, or an employee or group of employees of KIUT, of defined professional services other than research based, on the client's articulated need, to a client (external party). This may involve using KIUT space, equipment, services, facilities or staff time, in return for a fee or some other form of remuneration.   In University Consultancy Contracts, KIUT will agree with an outside body, which bears all the costs including insurances, and which accepts the liability should anything go wrong for which the outside body can obtain legal redress. University Consultancy is categorized as internal or external.

1.4.2.1. Internal University Consultancy

10. 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 through the realization of research grants or consultancy assignment or improvement of operational guidelines in which case the KIUT acts as a client.

1.4.2.2. External University Consultancy

11. 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 service provider. An external consultancy is one in which:

a) A University resource (human, physical, information, financial, etc) of any kind is consumed in obtaining or carrying out the work, and/or

b) Legal liability lies, in whole or in part, with the University as service provider.

1.4.3. Community Service Consultancy

12. Community Service Consultancy is a specific category of University Consulting that covers any agreement for the provision of advice or service by KIUT to its local community. Staff engaging in Community Service Consultancy will be covered under the standard "University Consultancy Approval Process" as well as the "Contractual Terms and Conditions"

1.4.4. Individual Consultancy

13. This is consultancy undertaken by a member of staff in a private capacity and in his or her own time, for which there is no conflict of interest with the University's business. There is no relationship between the University and the external party with regard to the work being undertaken and the employee must make sure that any external party is aware of this.

14. In this case, the:

a) Individual is the contracting party

b) Individual is not engaged on University business while carrying out the consultancy and s/he is not therefore covered by any of the University's insurance policies

c) University does not accept any liability for the work carried out

d) University has no obligation under the Health and Safety at Work Act for work conducted outside its premises

e) Individual may not use any of the University's facilities without permission, nor in any way trade using the University's name or premises.

f) Individual must ensure that there is no conflict with the interests or confidentiality obligations of the University in undertaking Private Consultancy

1.5. Formalization of consultancy

15. Consultancy requires a formal status in the University to allow it work smoothly in coordinating its projects within the University. Currently individual staff members conduct consultancies, as one of the three main functions of the University. This is done without the overall institutional coordination and oversight. To effectively and efficiently deliver consultancy services, Kampala International University in Tanzania establishes a University Consultancy Bureau (UCB) that will be registered as a not-for-profit entity. The University Consultancy Bureau (UCB) shall be the overall

custodian of all consultancy activities of KIUT. To that effect the 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 the execution of consultancy projects.
c) Monitoring and Evaluation of all consultancies.
d) Promotion through aggressive marketing approaches, the capacity of KIUT in consultancy work
e) Seek and solicit consultancies.

1.6.   Structural Organization of Consultancy at the KIUT

16. Consultancy at KIUT requires a dynamic organizational framework that can quickly comply with the ever changing space of higher education in the region. The organizational structure of the university shows the positioning of the university consultancy function.

1.7.   Scope and application of the Consultancy Policy

17. KIUT will adopt a multidisciplinary approach by encouraging the undertaking of consultancies in all disciplines. Staff will bid for consultancy works at local, regional and international levels including high end consultancies. Effort will be made to sign Memoranda of understanding with various organizations including private and public sector agencies.

18. University consultancy work will be conducted within the time allowed or where University resources and facilities are available to deliver such services. 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.

19. This policy document applies to KIUT employees academic and non-academic, part-time and full time in all its Faculties, directorates, units, and departments as well as staff on leave. A pro rata basis may take place in case of part time staff or other staff engaged temporarily by KIUT.

1.8.   Benefits of Consultancy Work to KIUT

20. The benefits of undertaking University Consultancy are numerous – both to the member of staff and to the University itself. Benefits for the member of staff engaging in approved University Consultancy can include:

    a)   Establishment of contacts, knowledge and reputation for the institution
    b)   Development of new skills and experience for staff
    c)   Financial gain
    d)   Inputs for enhanced teaching and learning
    e)   Initiation of new research projects
    f)   Support information for teaching and research
    g)   Access to new industrial and commercial opportunities for collaboration

21. For the University, benefits associated with staff undertaking University Consultancy include:

    a)   Publicity leading to increased status
    b)   Creation of links and relationships with companies and bodies
    c)   Possible increases in revenue.

2. POLICY ISSUES AND STATEMENTS

2.1.   Eligibility for Undertaking Consultancy at the KIUT

22. University employees can undertake consultancy activities anytime and for the varying number of days given that the Head of Department, Unit, Dean or Director or any other person dully 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.

2.2.   Process of Sourcing Consultancy Services

23. 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. KIUT will market this service locally and internationally through various media including:
    a) Mainstream printing and online media, including KIUT website.
    b) Television and radio outlets.
    c) Exhibitions, expos and trade fairs.
    d) Conferences.
    e) Corporate Social Responsibility events.

2.3.   Approval and Contracting for Consultancy Projects

24. The University Consultancy Bureau shall register all consultancy works as described in the policy operational procedures
25. Approval of consultancy assignment shall be subject to the following:
    a) The assignment to be undertaken is in the interest of the University and the nation at large.

    b) Consultancy work must be within the staff member's field of expertise, be relevant to his/her teaching or research duties and must not interfere with the staff member's normal discharge of duties

    c) The full market rate is recovered for the work or else there are other benefits, derived by the University.

    d) A staff member undertaking University Consultancy has access to the range of University services, including financial and legal advice and on-going support

    e) All overhead costs are fully recovered.

    f) Equity consideration in undertaking consultancy project, without affecting the competition for such bids.

g) Intellectual property rights and conflict of interest have been well declared and addressed.

26. A proof of the assignment vide a registration number from the UCB must be indicated when requesting permission to undertake a consultancy

27. All consultancies related contracts that will involve the use of University resources must be signed by the Vice Chancellor or as directed in this Policy.

28. The Vice Chancellor will seek opinion from the concerned university organs/persons on the undertaking of the consultancy project prior to signing the contract.

29. On completion of the project, the Team Leader through the consultancy implementing unit must write to the Vice Chancellor through the University Consultancy Bureau (UCB) a brief report (exit report) on the completed execution of the assignment.

2.4.   Intellectual Property Right

30. Intellectual property (IP) arising from consultancy usually belongs to the client, although care may be needed to manage the University's pre-existing IP. For example, existing University IP may be inadvertently given to clients or there may be opportunities to exploit or publish results with the client's approval

3.0. CROSS CUTTING ISSUES

31. This policy has provided guidance of how to deal with cross cutting issues such as gender mainstreaming, transparency and accountability, capacity development, marketing of consultancy works and involvement of junior staff and other categories of staff that are not directly involved in teaching (e.g. lab technicians).

3.1. Non-Discriminatory Policy

32. The involvement of female staff in many activities at KIUT is low. This undermines the enormous potential that exists in female staff. KUIT will develop procedures and conditions by which female staff members shall be involved including consultancy works.

3.2. Involvement of Junior Staff Members

33. KUIT will develop procedures and conditions by which junior staff members of the University can be involved in consultancy works.

3.2. Marketing Promotion and Branding of University Potential in Consultancy Work

34. KIUT conducts market drives every year. However these are tailored to recruitment of students. Given that there are already universities engaged in the business of consultancy, KUIT will have to aggressively market and brand its potential in consultancy industry by doing the following:

   a) Develop marketing strategies that will promote and brand the university as a credible public service provider in the areas of consultancies.

   b) Develop strong and enduring partnerships with top universities and other firms including reputable consultancy firms within and outside Tanzania.

   c) Develop and implement an elaborate communication and information sharing mechanism that can feed back to clients and the general public on major consultancy works, also in order to 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 agreed costs.

3.3. Capacity Development for Consultancy Work within the University

35. Winning consultancy jobs depends on among other things, the competence of those who seek to undertake consultancy work to prepare and submit quality proposals including all the necessary inputs. Although some of the KIUT staff are already engaged in individual consultancies, there need to raise awareness among all staff on consultancies and the importance of undertaking them for individual and university wide benefits even though competence in consultancy matters varies among the various categories of staff.

36. To address existing gaps, KIUT will:

   a) Develop and implement short term and in house capacity development programmes for staff to understand basic issues and principles related to consultancy work.

   b) Develop and implement programmes to raise awareness among staff on consultancies and the importance of undertaking consultancy for individual and university wide benefit.

   c) Seek joint consultancy works with reputable firms as a way of building the capacity of University staff.

4. INSTITUTIONAL FRAMEWORK FOR UNDERTAKING CONSULTANCY

37. Provision of effective and efficient consultancy services and works requires a functional institutional arrangement. This functionality will be achieved through:

4.1. Establishment of Institutional Framework

38. A clear and effective institutional framework is essential in enabling KUIT to undertake consultancies. It will therefore it will be contingent upon KIUT to:
   a) Ensure that the established institutional framework is elaborate, clear, lean and non-bureaucratic.
   b) Ensure that the institutional framework has sufficient start up human and working resources to operate effectively.
   c) Ensure that units, institutes, schools and colleges establish consultancy units that are linked through the institutional framework, to KIUT-wide coordination for smooth and regulation to safeguard the credibility of the university oversight to occur

4.2. Establishment of authority Responsible for Signing of Consultancy Contracts

39. The Vice Chancellor (VC) is the person required to sign all contracts that bind the University to a particular activity. However, the VC shall;
    a) Delegate the authority to sign consultancy contracts to the DVC in charge of Academic Affairs or the Manager of the University Consultancy Bureau (UCB).
    b) KIUT shall set maximum thresholds of contract value, which the DVC in charge of Academic Affairs or the Manager of the University Consultancy Bureau (UCB) will be allowed to sign on behalf of the University.

4.3. Liability issues

40. All other works including consultancies undertaken by university staff put a heavy liability burden on the University in terms of quality of output and other contractual matters. Considering that this policy provides for individual consultancy by staff, in which 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, KIUT shall:
    a) Be held accountable and liable for any problem in a consultancy work that it has approved and signed for.
    b) Not be liable in any consultancy work it has not approved even if KIUT staff members have undertaken that consultancy.
    c) The University strictly prohibits staff from entering into work-related consultancy arrangements with outside agencies without approval from the relevant offices of the university.
    d) Staff involved in individual consultancy must not use the KIUT name to endorse such activity without prior written approval from the Vice Chancellor.
    e) Staff are urged to involve the UCB in processing consultancy as early as possible so that any issues with the contract can be highlighted and, where possible, either resolved or mitigated

4.4. Embracing Roles and Responsibilities

41. In order to increase the efficiency and effectiveness of the various university faculties and directorates that will provide leadership in consultancy work within the University, there is the need to ensure that their roles and responsibilities are adequately defined to avoid duplication and institutional conflicts. The roles are as defined below

42. The Manager of the UCB shall:
    a) Take lead in the initiation and implementation of UCB activities
    b) Establish and implement structures that support efficient capacity building, financial management and mobilize resources
    c) Document and publish best practices of KIUT consultancy work
    d) Enforce the implementation of this policy to all relevant organs of the University.

e) Receive and review progress reports on consultancies from all the units
f) Prepare reports on consultancies undertaken for submission to DVC FA .
g) Liaise with DVC-FA to follow up on how revenue from consultancies is used in supporting KIUT operational budgets.

43. Faculties, directorates and departments shall:

a) Identify key persons to be part of the UCB board
b) Source for consultancies and/or implement.
c) Keep databases of all consultancies undertaken by staff in their units.
d) Prepare and submit progress reports to relevant authorities following the procedures laid out in this consultancy policy and operational procedures.
e) Conduct Monitoring and Evaluation of all consultancies at their unit level.
f) Enforce the implementation of this policy in their units.
g) Ensure that revenue from consultancies is used in supporting operational budgets in their units.

4.5. Integrity Disclosure and Approval

44. Tracking outputs from consultancies is an uphill task especially that there is usually challenges with information flow from those that undertake consultancies to the University administration. This gap in information can undermine the university's ability to measure the contribution of consultancies to university development and in addressing national challenges. Therefore, KIUT shall:

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

4.6. Embracing Ethics

45. Consultancies like any other work require adherence to ethical codes of conduct including safeguarding contract confidentiality and obligations and agreements in terms of quality and timeliness as well as high regard to professionalism. The need to embrace ethics and ensure due compliance is key to success in implementing this policy. KIUT shall develop and enforce observance of the "Ethical Code of Conduct" for Consultancy work at the University including fighting corruption and bribery.

4.7. Paying due Taxes and Insurance fees

46. KIUT will comply with government policies in matters of taxation relating to consultancy works. To facilitate this, KIUT shall:

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

47. Suffice to say that the finance office will ensure that both employers and employees costs are remitted as per requirements of the Tanzania Revenue Authority. The statutory deductions for income tax and national insurance will be made, and staff will receive the net amount.

4.8. Efficient Execution of Consultancy Projects

48. The consultancy project team leader will oversee all activities related to the entire consultancy project including:
   a) Preparation of Expression of Interest (EoI) or Project Idea Notes (PIN)
   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 Director 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 report to respective offices including to the signatory of the contract for the consultancy.
   i) Processing all financial transactions for the project execution and including consultancy team remuneration.

4.9. Distribution of Consultancy Income

49. The consultancy will operate and manage a separate bank account. The management of these accounts will be under the consultancy manager and the Vice chancellor. For compliance to university general financial procedures, the university financial control office will regularly send a financial auditor to review the accounts. This policy will ensure that revenue generated from consultancy projects undertaken by KIUT staff is distributed fairly and contributes to the development of the University.

50. 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.

#	Item	Proportion of the NET contract sum*
1	Consultant(s)	70%
2	University	15%
3	UCB	5%
4	Directorates	3%
5	Faculty	2%
6	Departments	5%
Total		**100%**

- After deduction of direct costs and Taxes if applicable

5.0. Monitoring and Evaluation

51. KIUT policy for quality assurance and arrangement for conducting monitoring and evaluation of consultancy works shall apply (see Appendix 2). Mandates and roles of various Units in carrying out monitoring and evaluation have been defined in this policy document.
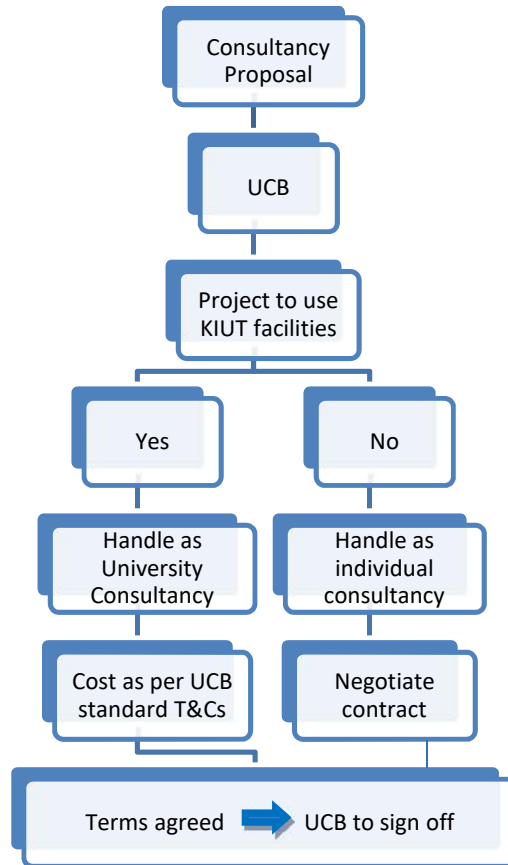
For and on behalf of the KIUT Council

Chairman of the Council

Date: 15th January 2019

Appendix 1: Process map of the procedures outlined in the policy document

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                    ┌─────────────────┐
                    │   Consultancy   │
                    │    Proposal     │
                    └────────┬────────┘
                             │
                    ┌────────┴────────┐
                    │      UCB        │
                    └────────┬────────┘
                             │
                    ┌────────┴────────┐
                    │ Project to use  │
                    │ KIUT facilities │
                    └────────┬────────┘
                   ┌─────────┴─────────┐
              ┌────┴────┐         ┌────┴────┐
              │   Yes   │         │   No    │
              └────┬────┘         └────┬────┘
         ┌─────────┴─────┐      ┌──────┴────────┐
         │  Handle as    │      │  Handle as    │
         │  University   │      │  individual   │
         │  Consultancy  │      │  consultancy  │
         └───────┬───────┘      └───────┬───────┘
         ┌───────┴───────┐      ┌───────┴───────┐
         │ Cost as per UCB│      │  Negotiate    │
         │ standard T&Cs  │      │   contract    │
         └───────┬────────┘      └───────┬───────┘
                 │                       │
         ┌───────┴───────────────────────┴───────┐
         │   Terms agreed  ⟹  UCB to sign off     │
         └────────────────────────────────────────┘
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NB: The Manager of the UCB may delegate authority to the Dean of Faculty /School/Faculty or Director of Research Directorate. Staff must ensure they are aware of local arrangements.

APPENDIX 2: QUALITY ASSURANCE OF CONSULTANCY SERVICES POLICY

The conduct of consultancy at the University shall be governed by the KIUT Consultancy Policy.

The aim of the policy is to provide guidelines that promote and foster the environment conducive for undertaking consultancy and community services in order to solve problems of the local industry, avail industry with specialised expertise and facilities for design, adaptation and development of new technologies and processes.

KIUT UCB

The University Consultancy Bureau (UCB) as a support unit under the Vice - Chancellor's Office manages and develops new businesses relating to consultancy work

UCB shall be the primary centre of the University's consultancy function and shall fulfil a supporting, coordinating, facilitating, capacity - building, empowering and quality assurance role.

The UCB shall:
a) provide a secretariat which will liaise with various faculties, schools, directorates, institutes and departments to assess capacity to undertake consultancy;
b) promote the institutional capacity to undertake various consultancy work;
c) promote consultancy practice throughout the University;
d) develop a database of expertise of staff and associate consultants;
e) identify the physical resources such as laboratories and equipment that can be utilised for consultancy work;
f) assist various schools and staff to identify and bid for various consultancy opportunities within Tanzania and elsewhere
g) pay upfront fees for tender documents, bid bonds insurance and any other costs necessary for processing consultancies;
h) develop the staff capacity to carry out consultancies through seminars and workshops;
i) develop guidelines and procedures for efficient and effective execution of consultancy work;
j) evaluate and monitor all consultancies being undertaken under the auspices of the University;
k) scout for consultancies announced and advertised in various media and provide an online searchable database of open and available consultancies to staff;

l) create a database of consultancy awarding institutions such as the Government , World Bank and donors; and

m) develop a web based information sharing system on consultancies to keep the staff fully informed.

Management of Consultancy Service Projects

Each consultancy service project shall have a project management structure. A team member must be identified who will act as the Principal Consultant.

The precise functions of the Principal Consultant may vary and be influenced by the demands of individual projects. However, in general, the functions of the Principal Consultant are as follows:

a) project design, intellectual leadership and development of project tools;

b) day-to-day management, coordination of sub-consultants and client engagement;

c) client liaison at key meetings and presentations to clients and other stakeholders;

d) management and coordination of team members' activities;

e) monitoring progress and performance;

f) resolving problems;

g) coordinating the production of project outputs (reports, presentations, products, etc.); and

h) quality assurance of outputs.

The names, contact details and precise roles of the project members shall be identified and agreed in the project proposal.

Quality of Consultancy Services

Approval of Consultancy Services

General Guidelines
The University shall promote a culture in which high standards of personal conduct and integrity are manifested in the provision of consulting services. The University shall require that all those engaged in consulting services adhere to good and professional practices. Guidelines for reviewers of quality assurance and project approval shall take into account the following aspects:

Knowledge and Intellectual Abilities
a) Knowledge base

b) Cognitive abilities
c) Creativity
d) Registration with statutory professional bodies

Personal Attributes and Effectiveness
a) Honesty
b) Ethics
c) Openness
d) Accountability
e) Responsibility
f) Diligence
g) Commitment
h) Self - management
i) Contribution to professional and career development

Governance and Organization
a) Professional conduct
b) Consultancy management
c) Management of financial resources

Engagement, Influence and Impact
a) Working with other professionals
b) Communication and dissemination
c) Impact of the outcomes

Ethical Approval
As outlined in the Consultancy Policy of the University, if there is cause to believe that a consultancy project requires special ethical consideration it should be presented to the relevant Faculty / School Ethics Committee for approval before work begins. The client shall need to agree to the University's scrutiny of their activity with respect to the proposed consultancy for the purpose of deciding whether or not to engage in the contract.

Quality Control
The scope of services to be provided, including methods to be followed and outputs to be generated, should be discussed and agreed with the client at the commissioning and project inception stages. Each project will begin with an inception phase, during which the Principal Consultant will explore client requirements and how these will be met in greater detail, scoping out study challenges and responses. This Inception phase will culminate in the production of a project inception report which, together with a project brief, contract and proposal or

tender documents, will provide the framework for the delivery of the consultancy. It will be the agreed reference document for methodology, deliverables and timescales for the commission.
The project inception report will identify the:

a) agreed project objectives;
b) project timetable;
c) a statement of methodology or approach;
d) outputs to be delivered;
e) agreed budget and payment schedule;
f) Initial findings or recommendations resulting from scoping tasks; and
g) project risks and risk management measures to be put in place.

Once agreed, the project inception report will be signed off by the Principal Consultant and the client's representative.

Contract Monitoring

The Principal Consultant will be responsible for monitoring the contract with reference to the project inception report and project contract document.
The Principal Consultant will:

a) assess progress against the objectives, deliverables and timescale set out in the project inception report;
b) provide ongoing liaison with client representatives via email and telephone as required (responding to requests for discussion and information promptly);
c) be responsible for the day – to - day management and co-ordination of sub - consultants, just as he or she is responsible for the day – to - day management and co-ordination of University staff within the project team; and
d) receive concerns about the performance or conduct of sub-consultants for resolution.

Performance Monitoring and Reporting

At intervals agreed in the project inception report, and at least once every two weeks, the Principal Consultant will provide the client with a formal update on progress. The proofing and quality assurance of all outputs will be undertaken in - house by the Project Team (and if required, by senior staff outside of the project team) prior to sign - off and submission to the client.
Final outputs (reports, presentations, products, etc.) will be agreed with the client representative or client group.

Complaints Procedure

Complaints should be addressed to the Principal Consultant, who will seek to address and resolve any problems together with the Project Team. Where no resolution of issues is forthcoming within an agreed or acceptable time, complaints should then be addressed to the Dean of the appropriate school / faculty. If issues are still not resolved to the satisfaction of the client the issue should be addressed to the VC. In any case amicable solution shall be encouraged.

Post-Commission Review

The University is committed to continuous improvement and learning lessons from each commission its staff undertake. At the end of each commission a member of the Faculty / School Consultancy Committee will undertake a questionnaire with the client representative to assess performance and gather project feedback.

Questionnaire findings shall be disseminated to the consultant team for discussion, review and action to ensure improvement where it is necessary or beneficial. The outcome of post - commission review informs the identification of staff training and development priorities.

Integration with Other Responsibilities and Commissions

The Faculty/ School or Unit Consultancy Committee shall monitor the workloads of all staff engaged in the delivery of consultancy services closely. The University recognises the importance of ensuring that staff delivering these services is able to provide the highest standards of service.

 The following shall be considered in approving consultancy commissions:
   a) in putting forward a team for any commission the University shall take into account known future commitments to ensure that no member of staff is over - committed and that sufficient flexibility is retained;
   b) before agreeing or tendering for a project, the Principal Consultant will make an assessment of the time required to deliver high quality outputs that meet the needs of the client. Where possible, they will seek to confirm this understanding with the client;
   c) the Principal Consultant will also make an assessment of the other demands on their time and that of other members of the study team. These other demands may include existing consultancy and contract research commitments, teaching, and research; and
   d) the capacity of all of the University's staff is monitored and assessed through regular discussions with line managers and heads of department. A longer term assessment of capacity and priorities is provided through the Annual

Academic Review process through which staff and line managers identify, and monitor commitments.

Quality Assurance

Management Framework Review

Quality Assurance Framework for Consultancy and Community extension Services shall be reviewed every 12 months in order to ensure that it continues to be fit for purpose and evolves to meet client expectations. This annual review shall be based on:
a) workshops with staff engaged in the management and delivery of consultancy and contract research services;
b) analysis of project performance metrics;
c) the results of client satisfaction surveys;

Quality Assurance Of Continuous Professional Development for consultancy work

Background
A Continuous Professional Development (CPD) short course is a presentation or skills development programme that requires less than 80 hours of teaching contact or does not extend over a period of 12 consecutive weeks.

All courses that exceed the 'short' course limits will be required to have quality assurance procedures (including approval, modification, monitoring and review) aligned with procedures for award - bearing courses or alternatively a customised set of procedures agreed by Senate.

Approval of Short Courses presented under the name of the University shall be approved by the Deans on recommendation of the Heads of Departments. The responsibility for the quality assurance of short courses shall reside in schools, which shall act on behalf of the senate

The QCC in schools shall assess the processes for the academic quality assurance of short courses and recommend those processes to the Dean.
Short courses presented by support service units, such as the ICT Directorate, shall be approved by the Director or Head of the unit on behalf the Senate.

During the approval process, and at his or her own discretion, the head may consult experts in the appropriate academic department. The heads therefore accept the same responsibilities as those of the Deans of schools regarding short courses presented by support service units.

Certification and Verification

Participants who successfully complete the requirements of a short course will be presented with either a certificate of competence or certificate of attendance which shall bear the University logo and signed by the Dean or Head of a unit in which the course was offered. A register of all participants of the course and their overall performance must be kept by the unit for future reference and verification.