



# **TUMAINI UNIVERSITY MAKUMIRA**

## **CONSULTANCY POLICY AND PROCEDURES (CPP)**

Usa-River Tanzania

February, 2024

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## **FOREWORD**

Tumaini University Makumira as a university has an essential role for contributing to the national development and beyond through teaching, research, consultancy. The outcome of its contribution is measured by its output of research and consultancy activities that have directly positive impact to the community.

The University has established the Directorate of Research and Publications (DRPC) under which Consultancy activities fall. The activities under this Directorate are guided by Consultancy Policy and Procedures (CPP) to govern the consultancy and service matters. The main objective of the CPP is to provide a framework to guide the operations of DRPC under the University structure with a view to enabling academic staff and other University stakeholders to contribute effectively to the University Core Mission. The CPP represents statements of intent by the University regarding the quality of her consultancy and service activities to the general public. It spells out in general terms what the University shall do in order to maintain required standards in the implementation of these core activities. I hope the CPP will be a useful guide to the University staff and Academic Units in undertaking consultancy and other related activities and to all stakeholders in improving their understanding of the University CPP and thus enhancing their collaboration and association with the University.

Rev. Prof. Joseph Parsalaw

**The Vice Chancellor**

Tumaini University Makumira

February, 2024

## **ACKNOWLEDGMENT**

The TUMA Consultancy Policy and Procedures (CPP) document could not come into being without the contribution from various institutions and individuals. Most of the contents have been adapted from the then Tumaini University Dar es Salaam College (TUDARCo), now Dar es Salaam Tumaini University (DarTU) Operational Policy and Procedures for Consultancy and Services (2016) and customized to reflect the specific context and environments of the Tumaini University Makumira (TUMA). I am pleased to therefore acknowledge the contribution of Tumaini University Dar es Salaam College towards the TUMA Policy and Procedures for Consultancy and Services document in its current form. I wish to also acknowledge contribution from documents of following institutions: the Open University of Tanzania (OUT), the Moshi Cooperative University (MoCU), the Kampala International University in Tanzania (KIUT) and the University of Reading in the UK).

It is also my wish to extend gratitude to the TUMA Vice Chancellor, Rev. Prof. Joseph W. Parsalaw for his esteemed leadership that made it possible for TUMA to have its own Policy and Procedures for Consultancy, First Edition in 2020. My gratitude should also go to Prof. Dr. Faustin Mahali and Dr. Doward Kilasi for their tireless efforts in the preparation of the First Edition of the Policy document, and to Prof. Ismail Mbise who was the DVCAA by then for successfully guiding production of the First Edition. It is my hope that this Second Edition document will drive TUMA successfully through the competitive and volatile global consultancy and services landscape.

*Prof. Godwill D Mrema*

**Deputy Vice Chancellor Academic Affairs**

Tumaini University Makumira

February, 2024

## EXECUTIVE SUMMARY

### Introduction

The Directorate of Research, Publications, Consultancy and Outreach Services (DRPC) has been established in line with the University Charter (2012/ Article 50). The DRPC functions are guided by a number of Policies and Operational Procedures that are related to research, publications, consultancy and Outreach services. In its daily activities, the DRPC operates largely with *virtual staff* belonging to the departments and Faculties.

The Consultancy Policy and Procedures (CPP) and the Research Policy and Operational Guidelines (RPOG) are together expected to contribute towards solving local, national, regional and global challenges through and by which staff competencies will be enhanced, Teaching, Learning and Research quality will be improved while at the same time extra income will be generated to staff and the University while at the same time enhancing the institutional profile.

### Operational Policy and Procedures

The University will wisely manage and use its valuable resources, human, physical, financial and time to ensure that consultancy and services activities thrive and portray good image of the University. This aspiration will be achieved through a wide range involvement of University stakeholders through the use of the two documents: the Consultancy Policy and Procedures (CPP) and the Research Policy and Operational Guidelines RPOG.

- (i) **Main Objective of the CPP** - is to give guidance to the University community and other stakeholders on the provision of high quality consultancy and services that respond to societal challenges thereby contributing more effective income generation while enhancing quality of teaching and learning as well as research through enhanced management of University function
- (ii) **Specific Objectives of the CPP** - seven (7) specific objectives have been formulated to help the University and specifically the DRPC be more focussed on its strategies in realizing the main objective. These include, but are not limited to the following:

- To improve the overall consultancy capacity utilization and ultimately the consultancy profile image of the University through improved networks and visibility of the University;
- Promoting University consultancy expertise and capabilities;

The following two (2) CPPs are proposed to guide DRPC operations:

- (i) **Identification and Solicitation of Jobs:** It is recognised and appreciated that jobs to the DRPC will be identified and solicited by individual staff who may or may not be interested in being part of the working team; or any of the University offices in Departments/Units/Faculties/DRPC may also solicit a job. On the other hand a client may bring in a consultancy job to any of the University offices. Whichever route a consultancy job is received by DRPC, good and ethical practice expected by the University Research Ethics Policy and Code of Conduct must be observed.
- (ii) **Timing and Duration of Consultancy Assignment:** Consultancy assignments can be done throughout a year as long as the staff observe good practice and resolve “*conflict of commitment*” in a manner which accord highest priority and justice to the core functions of the University: Teaching, Learning and Research. Faculties and Departments/Units Team Leaders to assume full responsibility of a project once it is signed at DRPC and registered with the relevant Faculty/Department and relevant annexed Forms filled.

### **Project Flow Stages**

Depending on project acquisition level and stage, the number of flow stages will vary. Irrespective of the aforementioned all projects must pass through DRPC for analysis, vetting signing a contract with the client after verification of project viability and practicability as well as acceptance of the execution team. The stages have been indicated diagrammatically for ease of understanding and appreciation.

### **Payment Procedure**

A four (4) stage process involving University Finance Office, Project Team leader and the DRPC shall be followed to ensure timely financial transactions while at the same time observing adherence to TUMA Financial Regulations. A flow chart is included for better view of the process

## **Obligation to Complete Assignments**

In order to protect and maintain good image of TUMA while observing good quality and timely delivery the Team leader shall be accountable to refund all costs for any project report rejected by the client and, or proved to be sub-standard or shoddy.

## **Review Process**

To keep the Policy relevant, dynamic and up-to-date, it shall be constantly monitored during its implementation and reviewed after every five (5) years in a participatory process involving all University strategic stakeholders.

## **Policy Statements**

Nine (9) strategic areas are addressed and articulated:

- (i) *Consultancy management and coordination* – The University to empower DRPC in overall management and coordination of consultancy activities at the University as a way to ensure growth, competition and sustenance in the highly competitive global market;
- (ii) *Capacity building* – In recognition of its significance in the promotion of human resources development, TUMA shall make use of the DRPC activities as a springboard to achieve its University aspirations;
- (iii) *Rationalized optimal utilization of University resources* –establishment of DRPC seek among other things fuller capacity utilization of University resources which are largely underutilised;
- (iv) *Searching and securing consultancy projects* – establishments of enhanced multiple and rewarded modalities for searching, acquiring and conducting consultancy projects at the University;
- (v) *Marketing, branding and promotion of consultancy activities* – university to embark on aggressive marketing, branding and of promotion of consultancy activities for the improvement of institutional profile and revenue generation performance
- (vi) *Strategic collaboration and partnership* - the University shall establish collaboration partnership with strategic internal/ external stakeholders and utilize the avenue to consolidate its strength;

- (vii) *Promoting transparency, integrity and ethics in consulting works* – the university to work towards enhanced transparency, trust integrity and ethical values that will assist in achieving a more fair, productive and sustainable consulting activities;
- (viii) *Pricing, distribution and utilization of consultancy revenue* – the University will institute appropriate and fair pricing mechanisms of consultancy projects for assured sustenance of the University consulting activities and cost recovery of its operations that shall take into account in pricing of consultancy works;
- (ix) *Monitoring and Evaluation* - cognizant of impending competition in the higher education enterprise especially with regard to quality demand, the University will continually monitor its consultancy activities with a view to ensuring timely delivery of best services to its clientele.

### **DRPC to Set Machine Charges**

The determination of machine charges is aimed at ensuring that part of funds generated by the DRPC are set aside and used to cover for the *overheads* and other institutional costs including but not limited to: utility, equipment tear-and-wear, maintenance and service and similar costs. Machine charges are determined and set based on the type of job, how intensive it requires using University facilities and shall vary from 0 – 8% of the **net** income generated from any job. Out of a percentile generated as overhead costs, 30% of all machine charges shall be set aside and paid to the University to subsidize payment of University utility costs. While 70% of the machine charges shall remain with the Department/Faculty/Centre or laboratory where they were generated for equipment repair.

### **Procedures for Utilization of Shares and Machine Charges**

Handling of DRPC funds shall be guided by the University Financial Regulations. Funds generated from consultancy and services will require proper handling, control and transparency in order to win stakeholders' confidence and avoid any form of discontent. A **15%** of the gross payments to DRPC will be deducted to meet DRPC/University overhead costs (*Surcharge*). Additional contribution will be made in a form of units' shares and *machine charge* (0-8%) and shall be set aside to meet replacement /repair/maintenance costs for facilities in the respective Unit. To ensure project and

public funds are managed and handled properly, procedures have been proposed regarding the modalities for the allocation, request, approval, use and account for the said funds.

### **Procedures for Surcharge**

Revenue generated from a job and payable by client are meant to cover for institutional fees (*surcharge*), machine charges, staff payment as well as other charges to different University entities. The *gross* amount will consist of *professional fees* and *direct costs*. The amount charged to and payable by the client will be the gross amount, add **15%** institutional fees (*surcharge*). A **9%** of the surcharge shall be paid to the University while **6%** or otherwise (as the case may be depending on the type of job and how it was solicited) shall be paid to the DRPC. Adequate safeguards have been included in the procedures (Chapter 6 and Chapter 7) to prevent any form of abuse of the procedures.

### **Procedures for Setting Machine Charges**

The University shall establish a credible and transparent system of charging for all services offered to its clientele with an aim to maintain and enhance the trust of and by its stakeholders and thus improve the image and profile of the University. Strategies and procedures have been put forward for the establishment of a harmonised and transparent system for establishing charge-rates for consultancy and service jobs which shall be published, and revised from time to time.

The document concludes with **Chapter 7** on service jobs and the estimation of service jobs charges. As in the previous chapters, the chapter puts into perspectives objectives as well as the policy statements and the procedures as well as strategies for good practice.

## **LIST OF ABBREVIATIONS AND ACRONYMS**

|        |  |
|--------|--|
| COI    | - Conflict of Interest   |
| CPP    | - Consultancy Policy and Procedures  |
| CSS    | - Consultancy and Service Sub-Committee                                    |
| DRPC   | - Directorate of Research, Publications, Consultancy and Outreach Services |
| DRPC   | - Director of Research, Publications, Consultancy and Outreach Services    |
| DeRPC  | - Departmental Research and Publication Committee                          |
| DVCA   | - Deputy Vice Chancellor for Administration                                |
| DVCAA  | - Deputy Vice Chancellor for Academic Affairs                              |
| EAC    | - East African Community   |
| FEHS   | - Faculty of Education, Humanities and Science                             |
| FoL    | - Faculty of Law   |
| FRPC   | - Faculty Research, Publication and Consultancy Committee (FRPC)           |
| FTh    | - Faculty of Theology  |
| RSP    | - Rolling Strategic Plan   |
| INSET  | - In-Service Training  |
| IUECA  | - Inter-University Council for East Africa                                 |
| LPO    | - Local Purchase Order   |
| NeST   | - National e-Procurement System of Tanzania                                |
| PDP    | - Professional Development Programme (courses)                             |
| PPA    | - Public Procurement Act   |
| PPRA   | - Public Procurement Regulatory Authority                                  |
| RPC    | - Research, Publications Consultancy and Outreach Activities               |
| RPOG   | - Research Policy and Operational Guidelines                               |
| SADC   | - South African Development Cooperation                                    |
| TaNePS | - Tanzania National e-Procurement System                                   |
| TUMA   | - Tumaini University Makumira  |
| TCU    | - Tanzania Commission for Universities                                     |
| UAC    | - University Academic Committee  |
| UMC    | - University Management Committee  |
| VC     | - The TUMA Vice Chancellor   |

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## GLOSSARY AND DEFINITION OF KEY TERMS

***Bid Proposal:*** means the technical and financial proposal sent to the Client.

***Client:*** means an actor in the consulting process who seeks for expert advice from a consultant.

***Problem Solving:*** as used to applies to a wide range of areas, from economic or business management to politics, engineering, education, etc. Typical examples of “problem solving” consultancy and services include feasibility studies that need possible solutions from the university; provision of professional advice; design of new equipment and machinery; impact assessment of industrial sites or processes, etc.

***Professional Development Programme Course (PDP):*** is a training-related services that can take two major forms: (i) Tailor-made services to client 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 programmes for schools or tertiary training institutions. Consulting units also do engage in tailor-made training services.

***Consultancy:*** as used in the TCPP document refers to the provision of expertise advice, analysis and interpretation, which draws upon and applies the expertise and knowledge and skills of university staff members. Typical consultancy would generate client-specific information/data, which would normally belong to the client and contribute to income generation for institutions and individuals involved. It may be University Consultancy or Individual (Personal) Consultancy as defined in this policy

***Consulting Process:*** means a series of activities involved in the seeking for and provision of expert advice at a price. Ideally, this process involves two main actors the consultant and client.

***Contract:*** means a written *agreement* between the *Consultant* and the *Client* specifying the terms and conditions of an assignment.

***Consultancy:*** is not classified to be any of the following whether or not paid:

- (a) Any hire of university facility/equipment;

- (b) External examination of academic/professional institutions or related activities;
- (c) Appointment for editorial of scholarly academic/professional journal;
- (d) Presentation of academic/ (professional) work to audience e.g., conference;
- (e) Authorship/co-authorship of scholarly works e.g., a textbook or chapters thereof;
- (f) Professional work involving academic sponsorship, e.g., being a panel member, jury team, facilitation of event or session, advisory services not paid for by charities and other organizations, etc.
- (g) All other academic/professional services offered without attached professional fees including provision of clinical services, participation in government assignments without professional fees, attending clinical or religious services at institutions and charitable organizations and provision of advisory mentoring services of all kinds;
- (h) Membership to any university committee or other committees of a higher learning institution, government body, professional institution and related;
- (i) Facilitation at media talks, e.g. television, or articles for general media publication, e.g., newspapers or appearing in a documentary (radio or televised) aimed at the provision of education or expert opinion or comment on a certain issue;
- (j) Discharge of advisory/mentorship roles to entrepreneurship hubs, youth clubs, publishing house, funding organization and, or non-government institution;
- (k) Appointment as a board member to a private/public institution, professional body, non-government organization, etc.

***Contracted Research:*** is that which originates from a specific request by a client (company, individual or organization), the costs of which are paid for by the client. Contracted research is distinguished from formal consultancy and services to industry/public by the fact the contracted research involves basic and or applied research.

**Fee:** means price and range of pricing that a typical client pays for a consulting service rendered by the university staff/the University as stated in the consulting agreement.

**Firm:** means professional and specialised unit of the University or otherwise that has been established to seek and execute consultancy assignments.

**Full Cost Recovery:** means the recovery of all *direct* and *indirect costs* associated with the consultancy undertaking.

**Joint/Collaborative Consultancy Works:** means consultancy activities secured and or undertaken jointly by the University and other academic institutions, development partners, professional units, private sector and other stakeholders at national, regional and, or international levels.

**Internal Consultancy:** refers to a situation where the University *contracts* its member of staff to undertake consultancy project(s) for the University. The internal consultancy may also involve development of consultancy projects, which may benefit the University in the future in the realization of consultancy assignments or improvement of policies and operational guidelines, systems or undertakings of the University business of which the University, in this case, acts as a client.

**External Consultancy:** refers to consultancy projects undertaken for 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 also related to the expertise and experience of the staff whilst also representing the University as service provider. An external consultancy is therefore one where:

- (a) University resources (human, physical, financial, information, etc.) of any kind is used to carry out the project work and/or;
- (b) Legal liability in whole or in part rests with the University as a service provider.

**Individual Consultancy:** is an assignment is undertaken by a university employee with *no any legal liability* to the University. University employees undertaking private consultancy must know they will have personal liability if any problems arise. University resources or brands should not be applicable in sourcing, negotiation,

contracting, or undertaking the assignments. Therefore, the University is not liable to administer tax or other consequences arising from private consulting. However, *conflict of interest* and *conflict of commitment* related to the provision of such activities should be addressed to ensure the University's interest is not jeopardized. In line with the use of the employer's time declaration, registration for such assignments should be done, and due *institutional overhead costs* shall be paid accordingly.

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

**Consultant:** is an expert who gives advice or service, being a full time or part time staff member of TUMA or engaged in a consultancy project involving the university in a cooperation or sub-contracting arrangement.

**Lead Consultant:** is a senior consulting professional who provides services and leads a team of junior or associate consultants.

**Continuing Education and Professional Development Programs:** are programmes not-for-credit learning activities offered by the University, or its subsidiaries, including hobby/interest, executive education, seminars, and training or professional development activities that do not lead to the award of a qualification. Such training may be offered under agreement with an organization or advertised for interested candidates to apply.

**Conflict of Interest (CoI):** refers to a situation where an individual's financial, professional, or other personal considerations *directly* or *indirectly* affect, or have the appearance of affecting, an individual's professional judgment in exercising any University duty or responsibility, including conduct or reporting of consultancy. A CoI may arise when an individual has the opportunity or appears to have the opportunity to influence the University's business, administrative, academic, research, or other decisions in ways that could lead to financial, professional, or personal gain or advantage of any kind, whether or not the value is readily ascertainable.

**Outreach Services:** means services where the University reaches out to communities (which do not have access to its services). The services encompass a wide range of communication and educational activities organised by the University Outreach Unit intended to facilitate the development of targeted communities in competence areas of the University.

**Report(s):** means *Draft Final or Final* consultancy report(s) document submitted to the Client.

**Service Jobs:** refers to client services, involving activities such as: materials testing and characterization of construction or other materials; laboratory analyses; field-based tests; and interpretation and translation services.

**Staff:** means the staff of the University as defined by the TUMA Charter, 2012.

**Units:** means specialised units under academic/administrative departments for the purposes of fostering their expected and mandated professional practices.

**University/TUMA:** means Tumaini University Makumira as established by the TUMA Charter, 2012.

# CHAPTER 1

## 1. OVERVIEW AND INTRODUCTION TO THE CPP

### 1.1. Overview

The core activities of the Tumaini University Makumira (TUMA) are three: teaching, research and public engagement in form of consultancy, publications and outreach services. Necessarily TUMA accords consultancy, publications, Outreach and services high recognition based on the benefits realized from consultancy activities at individual staff, institution and country levels. This truth has been articulated in the 4<sup>th</sup> Key Result Area (KRA) of the TUMA Rolling Strategic Plan (RSP) 2023/2024 – 2027/2024, “Achieve High Quality Consultancy and Services” by among other things strengthening consultancy performance at the University. Consultancy, publications, outreach and services are among very powerful avenues for transferring knowledge, skills and technology/abilities to external stakeholders and other end-users. These activities also contribute towards improvement of university teaching and research deliverables as well as staff professional development. Additionally consultancy, publications, outreach and services activities enhance university-industry partnership, generate income generation for the institution and staff as well as enhance the profile of the University. It is therefore, important for the University to ensure availability of conducive and stimulating environment for undertaking high-standard world-class consultancy activities that adequately market and show-case the University while at the same time ensuring that staff, University and national interests are recognized and protected. In recognition of the above as well as global, regional, national and sectoral development trends, some parts of the previous document: incentive mechanisms, consulting conditions and financial matters and procedures and ethical issues among others have been revised in line with the University RSP aspirations.

### 1.2. Environmental Scan

#### 1.2.1. Regional and International Conception

Tanzania is one of the member countries the EAC, SADC and other regional and international arrangements. In recent times Tanzania has been more and more involved in exchange of expertise engagement for individual/ consortia short-term contract projects including wide variety of private and public works involving e.g., consulting firms, engineering firms, construction and procurement firms, inspection, specialized works multi-national firms, investment, merchandise, universities,

financial, research, government agencies, non-governmental entities and individuals. TUMA should therefore place itself strategically for effective exploitation of regional and international opportunities, both latent and active on public engagement fronts. It is from this viewpoint than revision of the CPP was deemed necessary.

### 1.2.2. National Conception

Consultancy, publications, outreach and services have been part and parcel of core the activities of at higher learning institutions and have therefore been undertaken in Tanzania for many years in public and private sectors. For historic reasons, the majority of the studies have been for and by the government and undertaken by local and foreign individuals/companies although to-date the largest chunk has been by foreign individuals/companies. At the national level, consulting activities in Tanzania have, since 2005, been steered/guided by the National Consultancy Policy for Industry (<https://opac.mof.go.tz/cgi-bin/koha/opac>) which has unfortunately lacked supportive legislation for it to be effective. There has also been attempts to form an association of consultants in Tanzania, Tanzania Association of Consultants (TACO) since 2013 which has not been fruitful to-date (<https://www.best-dialogue.org>). The engineering profession has, on the other hand succeeded in establishing its profession-specific consulting association - Association of Consulting Engineers in Tanzania - ACET, (<https://www.acet.or.tz>) to promote nurturing, growth and practice of the engineering profession in Tanzania. Despite these notable achievements, the participation of local consultants/consulting companies at high-end consultancies has remained to be low with the more well-advanced consultants/firms from overseas enjoying the largest share. Further, the consulting industry in Tanzania has continued to suffer from:

- (a) Inadequate marketing, consultancy skills and competences at institutional level;
- (b) Absence of registration, accreditation and regulatory process for some professions;
- (c) Lack of coordination of consulting firms/institutions under professional boards;
- (d) Lack of system for ensuring equitable and fair local consultants access to consultancy projects;
- (e) Inadequate transparency in tendering for consultancy;
- (f) Suspicious corrupt practices in consultancy works; and,
- (g) Inadequate consultancy projects information.

The Government, through Public Procurement Regulatory Authority (PPRA), the Public Procurement Act (PPA), TaNEPS and NeST has addressed some of the above challenges. However, challenges regarding high-end jobs, access to relevant and timely information on potential consultancy projects, has remained to be one of the challenges that will require being addressed in the CPP and elsewhere.

The challenge is attributed to the fact that access to information at the PPRA, TaNePS, NeST sites and other related is subject fees payment which does not guarantee success in securing the consultancy project. The Five Year Development Plans (FYDPs) 2021 – 2025 envisaging to make Tanzania an industrial - middle-income country by 2025 indicate opportunities for consultancy jobs undertaking for the implementation of the planned activities in the mentioned document. It is therefore important for TUMA to place itself strategically, ready to swim co-currently with planned development projects by proactively devising means and measures that would enable it to effective participation in the envisaged consultancy projects. The CPP review is one such credible move.

### **1.2.3. Internal Stimulus**

TUMA, a chartered institution with the TCU is believed to be the oldest private higher learning institution in Tanzania. Through University Charter, RSP and related strategic documents TUMA has resolved to undertake three main functions of teaching, conducting research and public engagement. The resolve is expected of all institutions regulated by the TCU. The University therefore considers consultancy, publications, outreach activities and services to the society to be necessary and essential component of its core activities, having recognized the potential value of its human, physical, time, tools/equipment and information in harnessing value in public engagement activities. . The resources will however need to be rationally used and managed well for maximized efficiency and effectiveness of public engagement activities, hence the need to revise and strengthen the TUMA CPP.

### **1.3. Rationale for Review of the Policy**

Consultancy, publications, outreach and services have an important role of contributing towards the following among others:

- (i) Provision of efficient, reliable and competitive service to the community;
- (ii) Development and enhancement of university-industry partnerships and collaborative ventures;
- (iii) Enhancement and consolidation of staff expertise ;
- (iv) Improvement of staff financial gains;
- (v) Enhancement of programmes, courses, teaching, research, publications, outreach and service output ;
- (vi) Contribution to university coffers /alternative financial reward or income to staff;
- (vii) Enhancing the profile of the University within and outside the country.
- (viii) Provision of avenues for staff promotion through officially registered TUMA consultancy

projects;

- (ix) Facilitate in international, national, regional and local collaboration.

For the consultancy policy to make meaningful contribution to the institution where it is intended to serve, it needs to be dynamic, current and up to date. Several substantial changes have TUMA place at local, regional and international levels triggering revision of the policy revision. The review process was also driven by opinions of stakeholders. Above all, revision was considered necessary and timely for it to comply with recently developed institutional strategic plan (RSP) and standards and guidelines from the regulatory body.

#### **1.4. Policy Objectives**

##### **1.4.1. Main Objective**

The main objective of the Consultancy Policy and Procedures (CPP) is to give guidance to the University community and other stakeholders on the provision of high quality consultancy and services that respond to societal challenges thereby contributing more effective income generation while enhancing quality of teaching and learning as well as research through enhanced management of University function.

##### **1.4.2. Specific Objectives**

The CPP aims to achieve the following specific:

- (i) Encourage engagements and improved access to consultancy activities by all staff and related stakeholders/partners of the University;
- (ii) Enhance the continuous flow of consultancy activities without affecting other core functions/services at the University;
- (iii) Ensure generation of sufficient revenue distributed equitably between the university, units, and individuals;
- (iv) Promote compliance and ethical practices among university staff and units undertaking consultancy and services at TUMA;
- (v) Enhance strategic partnerships for mutual benefit of University staff and its clients and partners;
- (vi) Guide the permissions/authorization, coordination, implementation and effective management of TUMA consultancy and services activities.
- (vii) Enhance the Monitoring and Evaluation of University consultancy activities.

## 1.5. Scope of the Policy

The CPP document shall apply to internal and external stakeholders of TUMA - all full-time and part-time employees of the University and its constituent colleges, persons engaged by the University to participate in a consultancy project through partnership/collaborative/contracting/sub-contracting and related arrangements.

The Policy shall also apply to all activities defined as a consultancy/services as per definitions in the CPP document and extend to cover management of other activities that do not fall directly under the definition of consultancy/services, including contracted research and outreach engagements. The Policy will also cover professional short courses and professional development programs (PDPs) in agreed arrangements with industrial partner similar to consultancies arrangements. Specifically the following are necessarily covered by the CPP scope:

- (a) University faculties, departments, units, section academic/administrative departments and other institutional structures operating under the umbrella of the TUMA;
- (b) Staff, temporary, contractual and permanent, who are active in teaching, research, administration and provision of any form of support to the core functions of the University;
- (c) Students registered within the University;
- (d) University infrastructures, learning resources, governance/institutional set up, information dissemination structures and social amenities belonging to the University.

## 1.6. Structure and Organization of Consultancy Unit at TUMA

According to the ever-changing global, regional and local needs, consultancy at TUMA has to respond accordingly and portray a dynamic organizational framework that can quickly adjust and comply with the ever-changing higher education landscape locally, in the region and globally. Research, Publications, Consultancy and Outreach functions at TUMA are accommodated in one house, the DRPC for management convenience and to improve operational efficiency and effectiveness. The University organizational structure shows the positioning of the University unit – the DRPC that has been given mandate for combined functions, including consultancy activities at the University. In the same vein, the *organ* (committee) mandated with RPC functions has also been articulated on the institutional organogram and respective meetings scheduled on *University Almanac*

# CHAPTER 2

## 2. POLICY FRAMEWORK

### 2.1. Background Information

The establishment of Tumaini University Makumira (TUMA) as a Theological College dates back to 1947. The College was initially situated in Lwandai on the Usambara Mountains but was moved to Arusha in 1954 to become a Lutheran Theological College Makumira. In 1997 the Makumira Lutheran Theological College became Makumira University College - a constituent founder of the Tumaini University Makumira (TUMA).

In 2011 Makumira University College was transformed to Tumaini University Makumira by the Evangelical Lutheran Church in Tanzania (ELCT) Executive Council as a fully-fledged university.

TUMA student population as of 2023/2024 academic year stands at ca. 3000 students but has infrastructure and facilities able to accommodate up to 7,000 students without a need for expansion of physical.

The University is currently implementing its Five-Year Rolling Strategic Plan (RSP) that spans 2023/24 - 2027/28 to guide and navigate all university activities.

### 2.2. Vision and Mission

#### 2.2.1. Vision

The vision of TUMA is to become a leading Christ-centred academic institution for needs driven generation, consumption, propagation and continuation of knowledge and skills for *holistic development and wellbeing of humankind* and the environment.

#### 2.2.2. Mission

The vision of TUMA is to become a leading Christ-centred academic institution for needs driven generation, consumption, propagation and continuation of knowledge and skills for *holistic development and wellbeing of humankind* and the environment.

### 2.3. Core Values

The University is guided by six related core values:

*Love*: a community that is inspired by God's Love and cares for the well-being of one another;

*Stewardship*: a community that embodies God's stewardship by prudently utilising resources for sustainable provision of quality services;

*Professionalism*: a community that demonstrates competence and exercises due diligence in provision of quality services;

*Accountability:* community of God-fearing people, willing to accept responsibilities articulated in institutional provisions and authorities;

*Integrity:* a community that strives to uphold honesty, truthfulness and moral uprightness; and,

*Dignity:* a community that upholds equality, and provides opportunity for all regardless of gender, education, social status, religion, ethnicity and race.

#### **2.4. Objects and Functions of TUMA**

Two of the fundamental objectives of TUMA (fourth and fifth) out of the eight articulated in its Charter are to:

- (i) Encourage perspectives and moral values embodying a sense of vocation, deep concern for human betterment, an obligation of service to others equality among persons, loyalty to the truth and responsible persons; and,
- (ii) Develop and promote leadership with moral character and instilled with a sense of care and responsibility for all.

There is undeniably a purposed resolve for TUMA to engage in services to the public while fulfilling its obligations.

## CHAPTER 3

### 3. SWOC/SWOT ANALYSIS AND GUIDING FRAMEWORK

#### 3.1. SWOC/T Imperatives

An analysis of the strengths, weaknesses, opportunities and challenges/threats relevant to TUMA and worth taking cognizance was made and analysis recorded in **Table 1**. It is evident from Table 1 that more attention need to be paid on public engagement activities in order to enhance the profile of TUMA both academically and financially.

**Table 1:** SWOC/T Analysis of TUMA

|                   |   |
|-------------------|---|
| <b>STRENGTHS</b>  | <ol style="list-style-type: none"> <li>1. The University is recognized by the government and chartered as a Church owned institution with high moral and ethical values.</li> <li>2. The University owns 194 acres at strategic tourist areas in Arusha City (180 acres) and Babati Municipality, Manyara region (14 acres).</li> <li>3. Available high-quality infrastructure and physical facilities to accommodate ca. 7,000 students and adequate offices for academic/non-academic staff.</li> <li>4. Available automated (online) library facilities and subscribed e-resources on the TUMA website.</li> <li>5. Well-resourced ICT unit providing academic/administrative management systems services.</li> <li>6. Established academic and administrative governance structures: Units, Departments, Faculties and Directorates.</li> <li>7. Available administrative and academic policies, regulations, guidelines, manuals, and rules.</li> <li>8. Available qualified academic and administrative human resource personnel.</li> <li>9. Functioning university marketing and promotion committee.</li> <li>10. Active partnership with international church-affiliated organizations and university institutions.</li> <li>11. Active funded academic and service projects, for example Participatory Integrated Teaching Approaches (PITA) funded by Finish Evangelical Lutheran Mission through Finish Government.</li> <li>12. Operational learners' support services, TANESCO/Backup CAT Generator, University Dispensary (registered by NHIF), Sports and Games grounds, reliable water supply, Hostels, and proximity of public transport - Arusha-Moshi Road.</li> </ol> |
| <b>WEAKNESSES</b> | <ol style="list-style-type: none"> <li>1. Lack of clear orientation of governance structures and powers.</li> </ol>   |

|                                |  |
|--------------------------------|--|
|                                | <ol style="list-style-type: none"> <li>2. Poor management of established Estates and facilities.</li> <li>3. Inadequate facilities for establishment of institutes (such as Makumira Training Institute)</li> <li>4. Lack Estate Officer and Procurement Officer, Coordinators of Local and International Relations Unit, Marketing Unit, Inadequate library staff and ICT programmers, administrators and technical staff.</li> <li>5. Insecure Online Systems due to dependence on outside vendor.</li> <li>6. Lack of specialized modern teaching facilities.</li> <li>7. Lack of Master Plan.</li> <li>8. Some of the University policies e.g., <i>Consultancy Policy</i>, Intellectual Property Policy and few others remaining partially operational for long time.</li> </ol>   |
| <b>OPPORTUNITIES</b>           | <ol style="list-style-type: none"> <li>1. TUMA is owned by the Evangelical Lutheran Church in Tanzania (ELCT) which comprises 27+ Dioceses spread all over Tanzania and is a member of Lutheran World Federation, World Council of Churches, while also having bilateral relations with missions and development organizations in Germany, USA, Finland, Denmark, Sweden, and Norway. More importantly, TUMA has good working relations with the government/institutions both public and private as well as other local, regional and international institutions;</li> <li>2. TUMA is strategically located along the Arusha-Moshi Road 35 Km from Kilimanjaro International Airport (KIA) and 17 Km from Arusha City, the hub of tourism business in Tanzania and headquarters of East African Community parliament and other UN institutions;</li> <li>3. The University has reliable well-trained administrative and academic staff;</li> <li>4. TUMA has a large pool of alumni in the labour market who are strategic stakeholders for its activities;</li> <li>5. As a church-owned institution, TUMA has the prospect of strengthening its programmes and promoting moral and ethical values its students/staff;</li> <li>6. TUMA has unlimited opportunity to develop/offer training programmes that encourage self-employment of graduates and the wider community;</li> <li>7. The University has unlimited opportunities if and when it aligns its programmes and activities with the National Five Years Development Plan - NFYDP III, Tanzania Vision 2030 and the Sustainable Development Goals (SDGs);</li> <li>8. TUMA can tap unlimited opportunities if it aligns its RSP in the context of Tanzania that still need human resource equipped with knowledge, skills and competencies to eradicate poverty and improve people's livelihoods.</li> </ol> |
| <b>THREATS/<br/>CHALLENGES</b> | <ol style="list-style-type: none"> <li>1. Competitive environment in providing university education (existence of other universities with similar core mission);</li> <li>2. Encroachment of newly acquired land for expansion;</li> </ol>   |

3. Grey organizational structures with clear definitions of powers of different organs and responsibilities of leaders and managers
4. Outdated policies directly and indirectly affecting university operations and implication: from government, regulatory bodies and other service recipient/providers.
5. Misuse of online and social media services could quickly spread damaging image of the institution and its activities;
6. Cyber hacking and quick high-tech (artificial intelligence etc.) development locally and globally;
7. Unavailable skilled workforce in the labour market, academic/non-academic to oversee core activities of the University;
8. Over-dependence on tuition fees as the only source of income and less so on research/*public engagement* as important alternatives

## 3.2. The CPP Guiding Framework

### 3.2.1. Searching and Securing Consultancy Projects

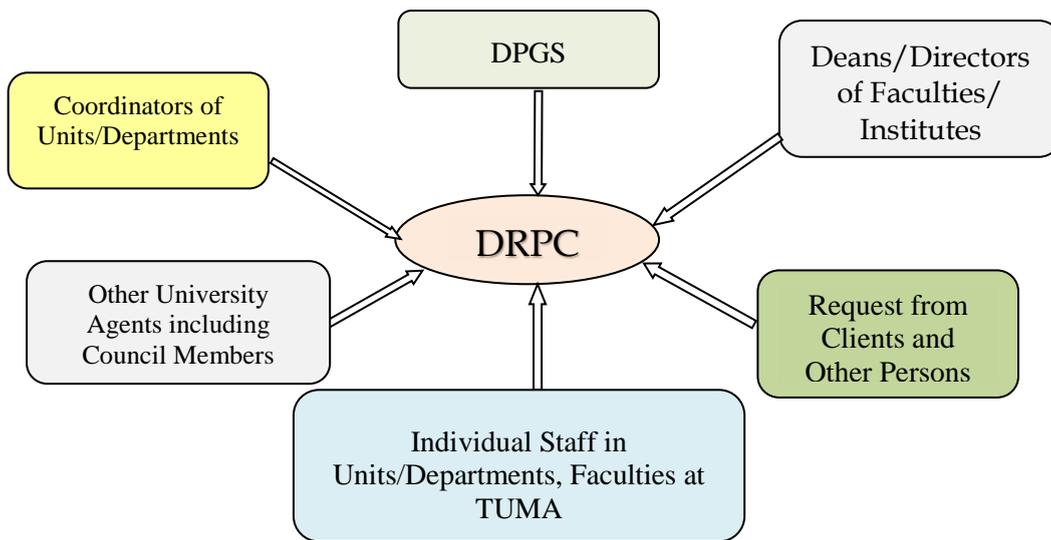
Searching and securing consultancy projects has never being easy undertaking - is a demanding task requiring time on tasks and patience. It is especially so presently with competition-dominated higher education and research/consultancy landscape. Unwavering dedication, commitment and relentless efforts is required. In addition numerous factors including competence, networking, lobbying as well as discipline are crucial. As of recent, the TUMA experience in searching and securing consultancy projects has not been promising. Poor performance may be attributed to the absence of a strategy for tracking and pursuing consultancy opportunities, limited networking with potential clients e.g., poor university-industry /strategic stakeholders linkages, limited funds for searching works, absence of specialised/professional consultancy association/units/firms, limited participation of faculties and departments in pursuance of consultancy projects, limited collaborative arrangements with other consulting institutions in joint consultancies, low and unclear tangible benefits for consultants who attract projects to TUMA instead of doing it privately and lack of clear guidelines on how to resolve timing issue when faced with conflicting teaching, research and consultancy works.

### 3.2.2. Searching and Securing Consultancy Projects

The University will use the following multiple avenues (see **Figure 1**) to acquire consultancy projects in order to increase success rates and cope with the current competitive consultancy projects landscape:

- (a) The Director Research, Publications and Consultancy/Outreach Services (DRPC);

- (b) The Director of Postgraduate Studies (DPGS), when and where applicable;
- (c) Deans of Faculties;
- (d) Heads of Departments/Coordinators of Units;
- (e) Individual members of staff in the departments, faculties and units of University;
- (f) Any other agent including University Council members and persons with goodwill for DRPC;
- (g) Request from the client.



**Figure 1:** Multiple Entry Avenues for TUMA Consultancy Project

### 3.2.3. Project Flow Stages

Following Figure 1 the following will be expected through the Policy:

#### (1) Consultancy Projects Sourced by the DRPC

Consultancy projects that will be acquired through or by the DRPC will be analysed by for viability, practicability, and identification of an appropriate Faculty/Department/ individuals that with relevant expertise. The examination and analysis will be done using stages as shown in Figure 2. Where processing will also take into account the need for speed, quality and efficiency of the work.

- Stage 1: Project is received at entry point (DRPC) and analysed for identification of a suitable and appropriate unit(s)/consultant(s) to undertake it;
- Stage 2: The DRPC in collaboration with Faculty Dean /Head of Department/ Unit Coordinator appoint a Project Team Leader or consultants;
- Stage 3: The Faculty Dean/Head of Department/Unit Coordinator expresses intent to the DRPC to carry out the project after appointment and agreement has been reached with the appointed Team to execute the project;
- Stage 4: The project **Team Leader** prepares a *technical* and *financial* proposal for submission to the *client* through DRPC;
- Stage 5: A *contract agreement* between DRPC and the client is prepared and signed. The contract agreement shall include the following payment schedule as the consultancy fees:
  - 50% upfront at initial stage;
  - 30% on submission of a draft report; and,

- 20% after *acceptance* of the *Final Report* or as shall mutually be agreed upon with the client;

- Stage 6: The TUMA Project Team Leader and the key participants in the project sign a contract with DRPC;
- Stage 7: The DRPC allocates a *registration number* to the consultancy project and informs the Bursar's office about the incoming project;
- Stage 8: The Project Team Leader implements the project with the assistance of other consultants and support staff. The DRPC monitors progress of the project assisted by the HoD/Faculty Dean and approves fund disbursements;
- Stage 9: The DRPC assesses the *quality* and *completeness* of the draft report prior to submission to the client. The DRPC then submits the draft report to the client for initial comments (if any) for improvement;
- Stage 10: Project Team Leader amends the draft report on receipt of comments from the client and in line with client's comments;
- Stage 11: The DRPC submits the *Final Project Report* to the client (and the University Library if the report is not restricted).

## **(2) Consultancy Projects Sourced Through Faculties/Units**

Consultancy Projects that will be sourced and acquired through the **Deans/Directors of Faculty/Institute or Heads of Department/Unit Coordinators** will be transmitted to the DRPC for analysis of viability, practicability and, or appropriateness as indicated in **Figure 2**, after the Departmental Research, Publications and Consultancy/Outreach Committee (DeRPC) or the Faculty Research, Publications and Outreach Committee (FRPC) have deliberated upon the project.

- Stage 1: The Project is received at entry point (Department/Faculty/Institute/Unit. It is passed to the DRPC together with relevant information that will assist the DRPC for practicability analysis and identification of the appropriate consultants to undertake the project;
- Stage 2: Faculty Dean /Head of Department/Unit Coordinator in collaboration with the DRPC will appoint a Project Team Leader and consultants;
- Stages 3: From stage 3 through stage 11 of the project flow shall be similar to that used to source and secure Consultancy Projects through DRPC in (1) above.

## **(3) Consultancy Projects Sourced by Individual Staff Members involved in the Project Team Executing the Project**

Consultancy projects sourced and acquired through individual staff including retired University staff (who will be part of the executing consultants) will be transmitted to the DRPC for analysis of viability, practicability, and appropriateness as indicated in **Figure 2** and as previous cases. The following process will be followed:

Stage 1: The Project is received at entry point. It is transmitted to the DRPC for the registration after analysis and other practical issues have been attended;

Stage 2: The DRPC in collaboration with the individual staff, including the retired University staff that has/have sourced and secured the Project will appoint a Project Team Leader or consultants' team. However, the DRPC shall assess the capability of the individual staff/team that will carry out the project and where necessary the DRPC will institute a modification of the team;

Stages 3: From stage 3 through stage 11 of the project flow shall be similar to that used to source and secure Consultancy Projects through the DRPC in (1) above.

#### **(4) Consultancy Projects Sourced by Individual Staff Member Not Involved in the Project Team**

Consultancy projects that will be acquired through individual staff who will not be part of the Project Team or participate in executing the project will first be transmitted to the DRPC for analysis of viability, practicability, and appropriateness as indicated in **Figure 2** and elsewhere.

Stage 1: The Project is received at entry point. It is then passed to the DRPC for the identification of appropriate Consulting Team to undertake it;

Stage 2: The DRPC in collaboration with the Faculty Dean /Head of Department/ Unit Coordinator will appoint a Project Team Leader and consultants;

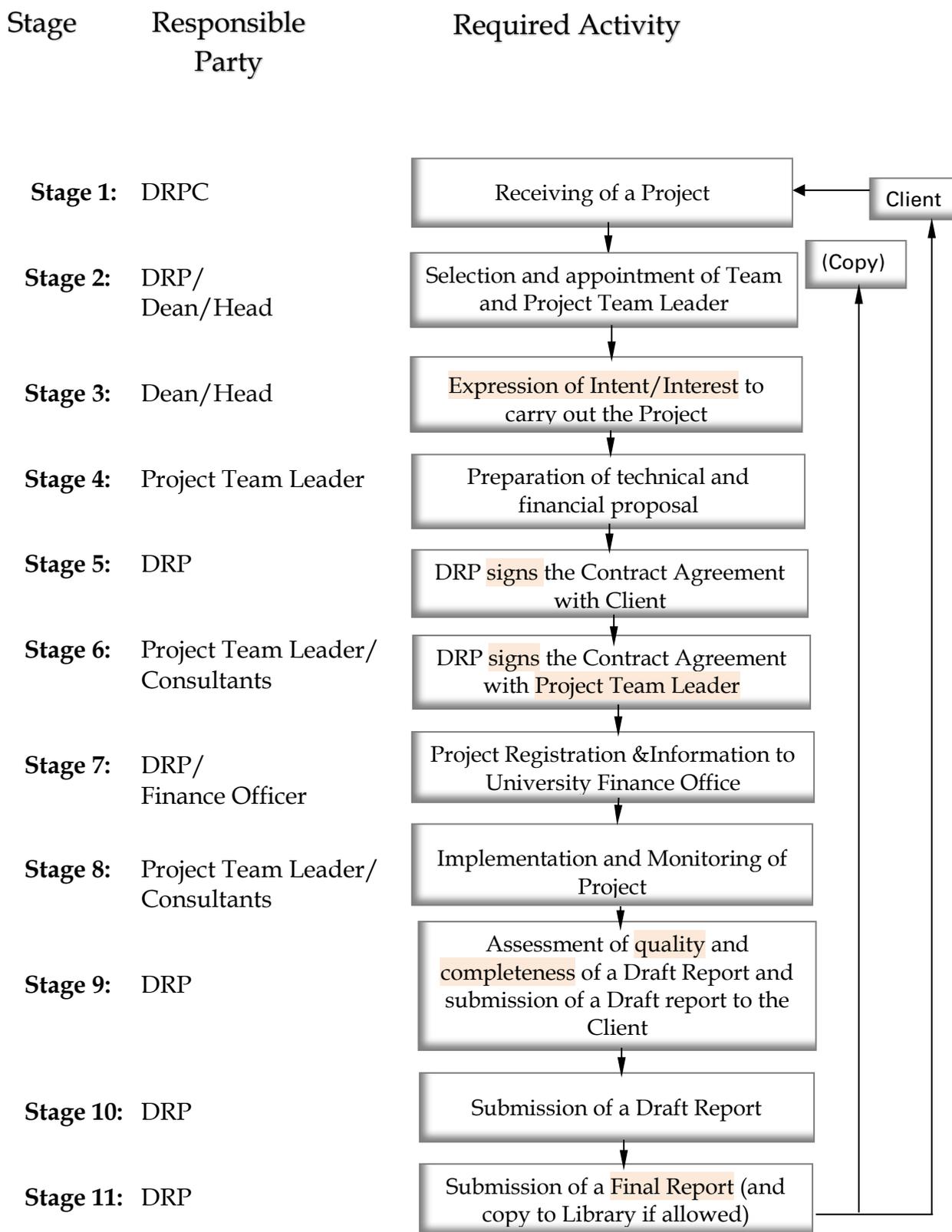
Stages 3: From stage 3 through stage 11 of the Project flow shall be similar to that used to source and secure Consultancy Projects through the DRPC in (1) above.

#### **3.2.4. Payment Procedures**

The following stages indicate the procedure for effecting payment once the contract has been signed between relevant parties:

**Stage 1:** The Project Team Leader prepares required Payment Fee claim for the relevant Project specified in the signed Contract Agreement;

- Stage 2:** The DRPC certifies payment claim after which it is submitted to the DVCAA/ DVCA for authorization and transmission to the University Finance Office;
- Stage 3:** The Finance Office/Bursar/Accountant prepares appropriate Invoice to the Client for payment claim as per Contract Agreement and submits the Invoice to the DRPC for forwarding and handling with the Client;
- Stage 4:** Eventually the DRPC releases relevant payment to the Consultants. **Figure 3** is a flow chart showing payment process flow and corresponding responsible individuals.



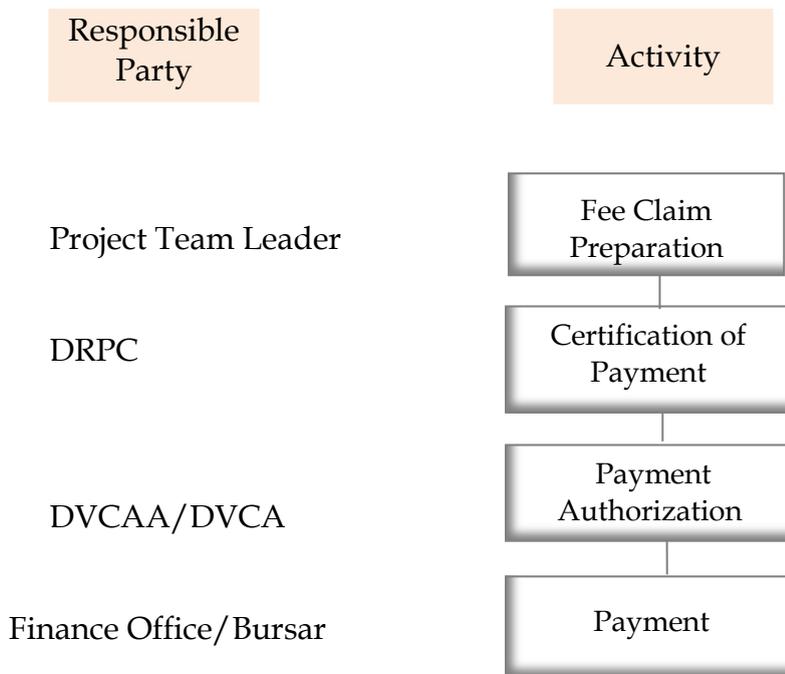
**Figure 2:** Project Implementation Flow Chart for DRPC Activities

**3.2.5. Obligation to Complete Contract Assignment**

Members of staff who enter into contract agreement with DRPC shall be obliged to accomplish the assignment as specified in the terms of the contract. Defaulters will be obliged to pay the full cost of the contract assignment and consequences.

**3.2.6. Mechanism for Reviewing the Consultancy and Services Policy**

The University Consultancy Policy and Procedures and RPOG shall be reviewed and updated after every five (5) years and or at any other time deemed necessary.



**Figure 3: Payment and Accounting Procedures**

**3.2.7. Timing and Duration of Consultancy Assignments**

Members of staff can conduct consultancy assignments throughout the year. However, permission must always be sought from respective Deans and Heads/ Coordinators of Units, in line with the existing TUMA guidelines and regulations.

Teaching and research must be given priority over any other activity by both academic and technical and administrative staff of the University. The individual consultants, faculties, departments/units

to whom projects are assigned must assume full professional responsibility once the agreement between DRPC and the client has been signed. The DRPC may (as shall be advised by relevant University organs) register an insurance cover for professional indemnity against liabilities.

Once appointed, project team leaders must ensure that the project is officially executed in accordance to the time schedule and to the quality of satisfaction to the client and follows the laid down financial regulations in respect of the fees and disbursement formulae.

# CHAPTER 4

## 4. POLICY STATEMENTS AND STRATEGIES

### 4.1. Introduction

The following nine (9) *focal areas* of the consultancy policy and procedures have been identified for articulation in the Policy;

- (a) Consultancy coordination and management;
- (b) Capacity building;
- (c) Rationalized optimal utilization of University resources;
- (d) Searching and securing consultancy projects,
- (e) Marketing, branding and promotion of consultancy activities;
- (f) Strategic collaboration and partnership;
- (g) Promoting transparency, integrity and ethics in consulting works;
- (h) Pricing, distribution and utilization of consultancy revenue; and
- (i) Monitoring and evaluation.

In the context of these areas of concern, policy statements have been formulated and strategies specified to address the stipulated policy declarations.

### 4.2. Coordination and Management of Consultancy Activities

#### 4.2.1. Policy Issue

The University RSP (2023/2024-2027/2028) has identified weak framework for handling consultancy projects at TUMA. An in improvement that will higher bring to the institution and its workers is desired. Currently consultancy projects are solicited and managed by the University through the DRPC however in the long-term a bureau for consultancy that spills over to Faculties/Directorates/Departments and even across disciplines may not be escaped.

#### 4.2.2. Policy Statements

The University shall:

- (i) Provide clear mandate and capacity to DRPC to coordinate, promote, regulate and demand accountability for consultancy performance at the University;
- (ii) Establish a database for consultancy activities; and
- (iii) Establish a Consultancy and Service Sub-Committee (CSS).

#### 4.2.3. Strategies

- (i) Review the regulatory framework concerning the mandate and functions of DRPC with a view to empowering it for effective coordination/management of consultancy activities at and across the University;
- (ii) Strengthen human and physical resource capacity for handling routine matters and functional development;
- (iii) Assist University to establish consulting bureaus, e.g., University Consultancy Bureau (UCB), where these do not exist;
- (iv) Promote and support regular consultancy meetings to share and disseminate consultancy information through Consultancy and Service Sub-Committee (CSS);
- (v) Require DRPC to establish and periodically update a functional database including consultant mailing addresses for consultancy activities; as well as mail addresses of potential clients;
- (vi) Ensure access and utilization of consultancy information both in electronic and print formats.

#### 4.3. Capacity Building

The consulting industry landscape is highly volatile, dynamic and competitive calling for knowledgeable and skillful consultants who can deliver expected output for the clients' needs. Unfortunately the University is faced by limited consulting knowledge, absence of succession/establishment plan, absence of capacity building programme on consultancy, low participation rate of staff in consultancy projects and limited capacity at regional and related consulting opportunities.

There is need for TUMA to move forward, create and nurture required capacity for it to be able to achieve respective targets in its RSP. Additionally, enhanced consulting capacity affords alternative way of learning from as well as building a pool of expertise. It exposes academic staff to the real world of work. The experience and insights gained in consulting should enrich both *teaching and research*, making them more relevant and problem oriented. Ideally, all academic staff should play some role in consulting, so as to benefit from this rich experience and insights and to bring these practical experiences and insights into their lectures. The following are some of the policy statements and strategies for upholding capacity building:

##### 4.3.1. Policy Statements

The University through DRPC shall:

- (i) Develop and implement a human resource development programme focusing on short-, medium-and long-term consultancy needs; and
- (ii) Ensure availability of necessary consultancy facilities and their optimal utilization for expedient and effective consultancy engagements.

#### **4.3.2. Strategies**

- (i) Carry out needs-assessment and establish university-wide succession plan and staff establishment plan;
- (ii) Establish human resources/facility requirements for university consultancy activities;
- (iii) Implement service activities consultancy the consultancy framework through tailor-made training programmes to impart new skills and knowledge, as well as promoting strategic regional/international exposure and linkages;
- (iv) Stimulate consultancy interest among staff who lack consulting skills;
- (v) Mount consultancy skills training for staff who lack consulting skills;
- (vi) Ensure a fair seniority mix in all consultancy assignments;
- (vii) Put in place effective maintenance schemes for facilities and equipment.

#### **4.4. Rationalized Optimal Utilization of University Resources**

The essence of establishment of the DRPCC office is centered at full and rationalized utilization of resources available at the University, which are unfortunately currently underutilized in providing professional services to industry and the public as a whole. The following are the guiding policy statements and strategies to make this dream true.

##### **4.4.1. Policy Statements**

The University shall:

- (i) Set up a mechanism for encouraging and motivating staff members to work under the University Consultancy framework as suggested in Chapter 3 and the Annexes;
- (ii) Where necessary, set up sanctions for non-compliance to (i); and
- (iii) Promote and support a culture of integrity, ethics and professionalism in the administration and implementation of consultancy projects University-wide.

##### **4.4.2. Strategies**

- (i) Sensitize and encourage staff compliance with the University Consultancy Policy (CPP);
- (ii) Institute a mechanism that will ensure transparency in reporting income from consultancy services, as well as preparation of quarterly reports on income generated, consultants

engaged, assignments accomplished and associated clients for submission to DRPC and higher University organs ( see *Annexes*);

- (iii) DRPC to enhance multiple search of consultancy opportunities and availing them to staff according to Figure1 and 2 to enhance value of DRPC to staff at a personal and institutional level;
- (iv) DRPC to continually scout the market in order to monitor changes in rates;
- (v) Nurture linkages and a spirit of sharing of information, resource (human and infrastructure) among departmental/faculty and other TUMA Units;
- (vi) Provide improved support services e.g., high-quality printing services, editorial services, transport and communication to consultants;
- (vii) Introduce improved mechanism for motivating and rewarding consultancy performance both at institutional and individual levels;
- (viii) Require University staff involved privately in Tsh/USD-value consultancy activities outside University consultancy registration framework but using University resources (e.g. time, stationery, facilities), to *seek permission* to do private consultancy and pay for private consultancy by filling *Form 1* and *Form-2* (Annex-1 and 2). The staff will also be required to compensate the University at the rate of fees that the DRPC would otherwise have charged if such an assignment had been contracted through the University framework. The amount shall not exceed 15% of gross consultancy value but shall be determined from time to time depending on the prevailing market dynamics;
- (ix) The University shall not accept any responsibility for legal liability of staff members, professional indemnity or worker compensation in relation to any work undertaken as a private consultancy; and
- (x) Create a University -wide awareness on integrity, ethics and a professional code of conduct on consultant-client relationship, production and originality of project outputs, respect for acknowledging authors, related information sources, etc.

## **4.5. Searching and Securing Consultancy Projects**

### **4.5.1. Policy Statements**

The University shall make use of all available avenues and strategic means to search, solicit and secure consultancy projects.

### **4.5.2. Policy Strategies**

The University shall:

- (i) Ensure that searching of consultancy works is done by firms/ departments / Units on individual staff as per Figure 1;
- (ii) Decentralize consultancy seeking mandate to firms/departments/specialized units and individuals as articulated in Chapter 3.
- (iii) Encourage consultants to pursue consultancy projects provided they liaise with respective departments/faculties and the DRPC;
- (iv) Set up a system for fore-sighting any upcoming consultancy project;
- (v) Identify strategic means of generating subsequent project works from ongoing project being executed;
- (vi) Through DRPC coordinate and facilitate the overall search for consultancy projects.

#### **4.6. Marketing, Branding and Promotion of Consultancy Activities**

##### **4.6.1. Policy Issue**

The university lacks a consulting profile necessary for branding, selling, marketing, and promoting institutional outputs nationally, regionally and internationally. Also, the University lacks database of consultants' profiles and consultancy works undertake at the University. It is a fact that poor performance of businesses is largely attributed to lack of effective branding, marketing and promotion strategies.

Aggressive marketing, branding and of promotion University consultancy activities is essential for the improvement of institutional profile, excel and remain competitive and in the highly volatile consultancy landscape. The University needs to enhance branding promotion and marketing of its consultancy profile and network with other consultants both within the institution, nationally, regionally and internationally.

##### **4.6.2. Policy Statements**

The University shall therefore:

- (i) Develop a branding, promotion and marketing strategy that will promote and brand the university among top service providers in consultancy works;
- (ii) Showcase major consultancy works as one of the marketing strategies;
- (iii) Develop strong and enduring relationships partnerships with the industry and other reputable consulting institutions, firms, and individual consultants locally and internationally so as to maximize success rate in bidding;
- (iv) Develop and operationalize working agreements with strategic partners that will help the university excel in provision of specialized consulting works

- (v) Set up a system of reconnaissance and fore-sighting of upcoming consultancy opportunities in the country and elsewhere in the region and beyond.

#### **4.6.3. Strategies**

- (i) Establish a separate budget-line for branding, marketing and promotion of University strengths/capabilities for consultancy projects; allocate adequate resources and adhere to agreed commitments;
- (ii) Revive and continuously update on-line promotional means such as website and internal data base on consultancy activities and expertise;
- (iii) Develop marketing materials for DPSRC as well as staff profiles and updating the consultancy directory;
- (iv) Initiate networking with other consultants inside and outside the country to maximize success rate in the bidding process;
- (v) Set-up a mechanism for scouting consultancy opportunities countrywide and beyond and establish strategic network and relations with different persons, public institutions, industries and development partners for assisting in the provision of information and hints on consultancy projects in the offer;
- (vi) Map consulting capabilities at the University and prepare consultants' a data-base based on their experiences and real expertise in addition to academic qualifications; and
- (vii) Impart marketing skills to staff through special training courses on marketing branding and promotion of consultancy capabilities in order to realize full capacity of consultants and increasing consultancy volume at the University.

### **4.7. Strategic Collaboration and Partnerships**

#### **4.7.1. Policy Issue**

Consultancies generate revenue besides knowledge, skills abilities and expertise. The University is keen to ensure adequate revenue is generated from alternative sources other than tuition fees as per institutional strategic plan. Realization the goal requires strong linkages and collaborations among all institutional key-players and with other strategic stakeholders and partners of the University which are currently weak based the institutional aspirations and expectations. The globalized world characterized by integration in virtually all aspects of human life, networking in seeking and execution of consultancy projects is inevitable. The limited collaborative/joint consultancy works limit the University presence and visibility. There are also no guidelines on securing and execution of

joint works not the manner of managing and sharing funds generated from collaborative and joint works.

TUMA will need to foster collaboration between Faculties/Institutes/Departments, strategic partners, the industry and various other stakeholders at national, regional and international levels in consultancy works and work out effective mechanisms that will address collaborative works

#### **4.7.2. Policy Statements**

The University shall:

- (i) Establish agreements with strategic partners in consultancy-related activities;
- (ii) Continue providing commissioned assignments through official registration system as per the Consultancy Policy;
- (iii) Promote linkages, collaborative partnerships and working relationships between Faculties/Institutes/Departments, local and international partners, including the Diaspora; and
- (iv) Establish and strengthen collaboration in consulting with other local, regional and international partners including coordinating bodies and provisions for handling joint/collaborative works and sub-contracting in consultancies.

#### **4.7.3. Strategies**

- (i) Develop a database of commissions and institutions, at national, regional and international levels; that offer contract research assignments;
- (ii) Establish working relationships with these institutions as well as others through memoranda of understanding for collaborative/cooperative ventures in areas of mutual interest and/or advantage;
- (iii) Establish collaborative consultancy and contracted research activities;
- (iv) Share and exchange experiences on consultancy and contracted research activities by way of published brochures, newsletters and website briefs; and
- (v) Continue to popularize consultancy and contracted research activities and outputs through various means and for a general public awareness and for staff interest and participation through DRPC.

### **4.8. Promoting Transparency, Integrity and Ethics in Consulting Works**

#### **4.8.1. Policy Issue**

Fair, productive and sustainable consulting activities require high transparency, trust integrity and ethical values. Factors that pose a challenge to transparency and integrity include, but are not limited

to non- declaration of consultancy works by consultants, dishonest presentation of consultancy terms and conditions and failure to comply with or honor terms and conditions of consultancy agreement. The challenge has also been observed on university units (faculties/institutes/departments) and other outside collaborating partners and has made it difficult for the university to raise the necessary funds from consulting fees to complement its operating budget. The malpractice has also denied the university ability to account for the contribution of consulting activities when addressing various issues related to national development and undermined the capacity development of the University in the consulting industry.

#### 4.8.2. Policy Statements

The University shall:

- (i) Ensure principles of transparency integrity and ethics are complied with in all consultancy project works at the University;
- (ii) Develop and implement rules, incentives and penalties that are appropriate for timely reporting and registration of consultancies by faculties, institutes, departments, individuals and other strategic partners of the university;
- (iii) Develop and operationalize open reporting system that allows transparency in consultancy project work, signed contracts, revenues and contributions for supplementing the University budget;
- (iv) Develop a system for ensuring that the University and persons undertaking consultancies on its behalf are accountable to the clients and the University regarding quality and timeliness of output delivery;
- (v) Adopt guidance by the *University Research Ethics Policy* and “TUMA Code of Conduct” in consultancy activities;
- (vi) Require the consultancy projects which are liable to ethical screening upon registration to be subjected to the *TUMA Research Ethics Review Committee*;
- (vii) Institute measures that address breach of ethical code of conduct, including breach of contracts, non-disclosure and falsified disclosure of consultancies.

#### 4.8.3. Strategies

- (i) Establish and operationalize incentives to attract declaration of consultancy works by the University staff.
- (ii) Sanction those who do not declare consultancy works.
- (iii) Comply with terms and conditions of consultancy agreements.
- (iv) Ensure assignments are carried out without any conflicts of interest.

## **4.9. Pricing and Distribution and Utilization of Consultancy Revenue**

### **4.9.1. Policy Issue**

Appropriate and fair pricing mechanisms of TUMA consultancy projects is necessary for assured sustenance of the University consulting activities and cost recovery of its operations and must be taken into account in pricing of consultancy works. TUMA is duty-bound to ensure mechanisms is establishment for required pricing, distribution and utilization of consultancy revenues at the university

### **4.9.2. Policy Statements**

The University shall:

- (i) Ensure an appropriate and fair consultancy pricing mechanism based on a cost recovery and recoup of tax claims is established and operationalized;
- (ii) Ensure and enforce the agreed revenue distribution from consultancies among all units (University, DRPC, Faculties, Institutes and Departments) involved in one way or another in undertaking consultancy project;
- (iii) Enforce procedures for the utilization of consultancy revenue at all levels and monitor adherence, accountability, transparency and the improved working environment;
- (iv) Update and maintain the current electronic database of all consultancy works involving the university staff and units and ensure revenue records are up-to-date and transparently kept.

### **4.9.3. Strategies**

- (i) Ensure all consultancy works are appropriately priced on a cost plus basis;
- (ii) Comply with all tax requirements including registration with relevant tax authorities for relevant taxes.
- (iii) Ensure equitable distribution of consultancy income;

## **4.10. Monitoring and Evaluation**

### **4.10.1. Policy Issue**

Efficient, effective and continuous monitoring and evaluation of consultancy activities at the University is an essential element for coordination, promotion and management of the performance of consultancy works. The quality of consultancy activities and its products has a direct inclination on whether or not to support consultancy activities at the University. Conduct of consultancy requires sound ethical framework and a strong scientific merit, justification and rationale for conducting it as well as soundness and clarity its overall formulation. There are challenges including reporting and

monitoring of consultancy activities and income generated. Additionally the University lacks clear mechanisms for evaluating its performance and that of its units. It is therefore deemed necessary for the university to define an institutional arrangement for monitoring and evaluating consultancy for it to devise improvement strategies.

### **Policy Issue**

#### **4.10.2. Policy Statements**

The University shall:

- (i) Put in place an effective mechanism for consultancy quality assurance involving monitoring, evaluation and reporting;
- (ii) Define mandates and roles of the DRPC, various TUMA Units and Central Administration of the University in carrying out monitoring and evaluation;
- (iii) Define and operationalize clear objective and quantifiable targets and indicators for monitoring and evaluating consultancy outputs and develop mechanism and tools for the monitoring and evaluation of consultancy output; and
- (iv) Design and implement consultancy customer survey on a regular basis; and
- (v) Ensure consultancy provision satisfies clients and University stakeholders as well as impact and contribute significantly towards the improvement of quality of life among the target communities.

#### **4.10.3. Strategies**

- (i) Develop and implement consultancy performance and impact indicators as well as targets for use in monitoring and evaluation of consultancy works;
- (ii) Subject DRPC to regular self-evaluation and external evaluation after every *five* years to ensure that it effectively address its expected mandate;
- (iii) Develop institutional mechanisms for vetting/approving consultancy projects and reports; and
- (iv) Establish a mechanism that will bind DRPC to provide the required information for the monitoring and evaluation of consultancy activities at the University.

# CHAPTER 5

## 5. PROCEDURES AND GUIDELINES FOR HANDLING OF SHARES

### 5.1. Introduction

One of the objectives of establishing DRPC is to improve and strengthen staff capacity for undertaking professional work and enabling staff to get extra income to supplement their salaries and improve University revenue. A limited number of staff is expected to be actively engaged in consultancy and services through DRPC. More can be done and should be done in units to encourage more staff to be active. However, for the DRPC activities to be sustained and expanded there have to be created a sense of ownership by University staffs who are the consultants and principal stakeholders. This can be achieved if different projects pay for the costs incurred directly or indirectly by the institution including overheads. Funds so raised need proper handling, control and transparency in their utilisation as otherwise discontent may arise and frustrate the desired results.

### 5.2. Handling of Shares

For activities undertaken by staff through DRPC, a payment of **15%** of the gross will be made to meet DRPC as institutional overheads. Additional contributions shall be made to meet costs incurred by the University, faculties and departments/units and are referred to respectively as University, faculty and departmental/Unit shares. The use of DRPC funds shall be guided by University Financial Regulations, the adherence to which is governed by TUMA Accounting procedures. The DRPC office shall prepare budget to be approved by the University Management Committee (UMC) and reported to Council through Council Finance, Planning and Development Committee (CFPPC).

However, the use of departmental and faculty shares is controlled by general guiding statement stating, "*as shall be authorised by the Vice Chancellor*" who is the Accounting Officer of the University.

### 5.3. Objectives

At the time of inception of the DRPC very flexible financial regulations are required to attract staff to utilize the DRPC services as well as to facilitate efficient and effective execution of projects.

DRPC financial resources shall be referred to as *project funds*. The disbursement of *project funds* shall be guided by the project proposal, monies received from the client and work progress. Moreover, the projects Team Leaders and Clients, being interested parties, shall monitor and control disbursements of project funds.

## 5.4. Guidelines

Funds accrued from DRPC activities are meant to take over and *supplement* financing of *University* and supported by the *incentive and motivation schemes*. There is a need to therefore define activities that can be funded using such funds without allowing individual codes going into deficit. The disbursement has to be very transparent and efficient in line with budgetary plans of University cost centres and generate to the different units/service centres. The units will thus be encouraged to actively generate additional revenue to avoid the University being starved of resources. Furthermore, the projects need to contribute to funding of various other schemes at the University. The DRPC office should be encouraged to generate higher levels of own funds through vigorous promotion, marketing and targeting more relatively larger projects. *Fund-raising strategies and activities* should also not be side-lined.

### 5.4.1. University/Institution Overhead (Surcharge)

- (i) The University Management Committee (UMC) shall approve of institutional fee for allocation to various codes. In any case, the amount allocated to University level codes should not exceed 15% of *institutional fees (surcharge)*. The amount should be allocated to various codes to supplement budgetary allocations from other sources. The Head of Finance/Bursar shall prepare a proposal for UMC's/Council approval using agreed upon guidelines. The *Vice Chancellor* shall approve University level *expenditures*;
- (ii) For consultancy/service projects involving the use of university equipment and machinery, *machine charge* (0-8%) but typically 3%) shall be charged in addition to the 15% *surcharge* (Institutional Fee). Machine Charge rate shall be either a lump sum of up to 8% of the Gross Income or an amount shall be calculated based on the hourly rate of the machine/equipment, depending on its use in the respective project. To factor in machine charges in the gross income, the grossing up formula may also be used.

### 5.4.2. Departmental/Unit Shares

The Departmental shares shall be used by Departments/Units to meet costs of various activities in the Department/Unit that cannot be covered by the University funds. The monies shall be allocated into various codes and the Departmental Head / Unit Coordinator shall recommend/endorse the expenditure and report to the Faculty Board (Management) /Departmental Board (Meeting) as the case may be.

#### 5.4.3. Faculty Shares

The Faculty shares should be used to supplement allocation from University funds to meet expenses arising from activities at Faculty level / Departments/Units. The Dean shall recommend such expenditure and report to Faculty Board/DRPC/UMC as the case may be.

#### 5.4.4. Project Funds

The DRPC shall monitor closely work in progress against disbursement and schedules of work and act accordingly. The DRPC shall represent the interests of both the client and the University and shall also approve disbursements.

### 5.5. Guidelines Strategies

The University shall endeavour to form multi-disciplinary consulting teams and move away from individualistic tendencies in order to enhance bidding for larger jobs and raise income to meet budgetary plans. The funds generated at DRPC by the various units shall be transferred to a specified University account as per University accounting regulations except DRPC funds. Accompanying each transfer, should be a detailed breakdown of beneficiaries. The Head of Finance/Bursar shall prepare allocation to various codes for the UMC/Council to approve for crediting various expenditure codes. The use of DRPC own funds shall be routed through a University Finance Office to check expenditure against budget and financial regulations. This is necessary to maintain credibility of the University financial system.

### 5.6. Operational Procedures

The concept of coordinated decentralisation shall as much as possible be made to work in earnest. The Vote Holders (within reasonable time) will be given power to *operate* their codes but not to abuse such responsibility.

Controls and reports will thus be necessary to detect and minimise abuses and enhance transparency. The DVCAA/ DVCA or their appointees shall have the duty to monitor all activities related to the administration of the funds generated by the DRPC. They shall have the right of access to any relevant document and may spot-check the cash balances with the respective accountant.

The following shall have to be observed when approving requests for expenditure or deposits in various codes:

- (a) All expenditures shall be from respective codes only;

- (b) Departmental/ Unit Management Committees shall propose to the Faculty Management for consideration, cost items to be paid for;
- (c) Faculty Management Committees shall propose to the DRPC for approval, cost items to be paid for and its plans;
- (d) The UMC shall consider and approve annually, a list of cost items to be paid from DRPC generated funds. Costly items like travel abroad shall initially be excluded. The University finance office (Bursar) shall check expenditure request against such list;
- (e) The UMC shall consider and approve payments rates for payable cost items as need arises;
- (f) A list indicating all outstanding loans and imprests shall be circulated to UMC members and Heads of Departments/Units/(Deans of Faculty) on monthly basis.
- (g) All overdue imprests and loans exceeding six months shall be recovered from employees' salary;
- (h) University transactions must be entered into a computer as part of an approval process of expenditure requests and deposits;
- (i) University finance office must vet all transactions before any payments are made. The office may seek opinion of any officer as shall be deemed appropriate;
- (j) No codes shall be allowed to run into deficit. Virement between codes shall be approved by the DVCAA/DVCA and reported to DRPC and UMC;
- (k) No department or unit shall be penalised for being prudent in expenditure. Hence, no redistribution of saved funds shall be allowed;
- (l) Expenditure plans of Units shall require respective management meeting approval. Emergency expenditures shall have to be reported in such meetings;
- (m) Finance/Accounts offices shall prepare monthly expenditure and status reports;
- (n) The DRPC accounts shall be audited annually. The audit report to be presented to the DRPC, UMC and Council Finance, Planning and Development Committee (CFPDC) and subsequently University Council not more than 3 months after the closure of the financial year for scrutiny;
- (o) Expenditure may be initiated by staff, Coordinator of Unit, Head of Department or any other staff in the University and approved accordingly. It shall be the duty of the Vote Holder or

the respective Management Committee to assess the need and relevance of request in relation to available funds and plans in the Unit;

- (p) No officer is to initiate and approve own expenditure or approve own payments;
- (q) All procurements beyond a sum to be set by UMC shall be made by Local Purchase Order (LPO) and, or by direct payments to the supplier. The University shall strive to comply with University Procurement Procedures to benefit quality goods at lowest price possible. Tender procedure shall apply where large sums and quantities are involved and as per University Procurement Procedures; and
- (r) Standard contracts shall be required for payments other than in respect of procurements.

# CHAPTER 6

## 6. OPERATIONAL PROCEDURES ON DISBURSEMENT OF FUNDS

### 6.1. Introduction

During and after undertaking a consultancy or service job, DRPC shall disburse funds in accordance with the agreed upon formula. The gross amount a client is charged will cover all costs including surcharge, payment to the staff members and charges by different entities of the University.

Gross charge to the client is therefore obtained by adding together professional fee (to staff) and all other direct costs mentioned above.

Gross charges = Professional fee + direct costs + Surcharge (institution overheads = 15% of gross).

Net revenues shall consist of professional fees and the share of different University entities (without direct component).

There shall be a single formula for the distribution of net revenue for all activities under DRPC as follows (*Annex 2* section 5):

- (a) Direct Costs
  - Operational costs
  - Material costs including utility + machine costs
  - Hired labour
- (b) Professional fee
  - Consultant 87%
  - Department/Unit 7%
  - Faculty 3%
  - University 3%

Note: All in (b) above represent % of direct cost and Net Revenue

- (c) Total charge = Professional Fee + All direct Costs
- (d) Charge to client = Total charge in (c) + 15% of Total charge in (c) (as Surcharge or institutional overhead costs/administrative costs).
- (e) The 15% of Total charge (surcharge) or Institution Overhead costs shall be paid out as follows:
  - University 9%
  - DRPC 6%

### 6.2. Surcharge

The surcharge (institution overheads) paid to DRPC shall be 15% of the gross charges as in (d) distributed as in (e) such that 9% shall cover University overheads and 6% shall cover DRPC overhead. The 15% shall be embedded into the various charge-out rates to clients. The surcharge is

necessary to cover DRPC overheads and supplement the University budget. The University needs such other sources of income as additional sources of revenue to cover its various activities. In the Final Proposal/quotation to clients, the **surcharge** shall appear as a distinct entry. For example:

*If Total charge is Tshs. 100,000 what will be quoted to the client will be Tshs. 100,000 x 1.15 = 115, 000. During disbursement, DRPC will take 15% as surcharge to be distributed accordingly while the rest of the funds generated shall be distributed as per disbursement formula for machine charges.*

#### 6.2.1. Distribution of Surcharge

Depending on how the Consultancy Project was sourced and acquired, the *surcharge* shall be distributed as follows:

**Table 1:** Distribution of Surcharge

| Eligible Recipient of Surcharge | Consultancy or Contracted Research solicited by DRPC, University, Faculty or Department or TUMA Unit | Consultancy and, or Contracted Research solicited by individuals or agent | Services |
|---------------------------------|--|---|----------|
| Institution (University)        | 9  | 7   | 9        |
| DRPC                            | 6  | 4   | 6        |
| Job Solicitor                   | -  | 4   | -        |

The University share shall be transferred and allocated to the different University expenditure codes. The DRPC share shall be used to cover its overheads and shall be administered by the DRPC as per University Financial Regulations.

A Solicitor for a Project (if relevant) shall be paid **4%** of gross payment as per Table 1. There shall be no soliciting payment in the case of *service jobs*.

#### 6.2.2. Job Solicitor and Justification for Payments

A *job solicitor* is a person who sources and facilitates the acquisition of a consultancy or contracted research project to DRPC. It is envisaged that that a job solicitor spends time, energy and resources which will need to be recognized, encouraged and rewarded.

Recognition and reward of job solicitors will encourage University staff to solicit for consultancy and contracted research projects for University. Service jobs shall not be part of the reward scheme. In the

case of service jobs the University and the DRPC, shall retain the entire solicitation share. If the Client submits the project to DRPC, then there will not be any solicitation fee. The entire 15% surcharge shall be shared between DRPC (6%) and University (9%). Otherwise solicitation fee shall only be payable upon *successful* completion of the respective project.

### **6.2.3. Administration and Regulation on the Job Solicitation Share**

This incentive scheme has a potential for abuse if not properly controlled. Adequate safeguards must be put in place to ensure smooth implementation of the scheme.

- (a) The DRPC and all DRPC officials shall not be eligible for this incentive scheme. It is their primary task to solicit and look for different jobs and services;
- (b) The DRPC shall verify to ascertain actual person who has done the soliciting;
- (c) The job solicitor should clearly be identified and included in the contract between the project leader and DRPC where it is deemed necessary;
- (d) If the job solicitor is an office bearer within the University (i.e. Coordinators of Unit, Heads of Department, Deans, Directors, DVCAA/DVCA or VC) and they bring a job related to their field to DRPC, then the soliciting share shall be divided equally between the office bearer and the respective unit they are heading; and
- (e) There shall be severe penalty for the abuse of the scheme and cheating including such as barring the so called "*solicitor*" from active University Consultancy activities for some time.

### **6.3. Disbursement of Professional Fees**

The Project Team Leader shall prepare disbursement list of all participants/consultants for submission to the DRPC, with copies to individual participants/consultants for the sake of being transparent. The DRPC shall scrutinise the list and seek advice before allowing direct payments to individuals.

### **6.4. Disbursement of Departmental/Faculty Shares for Joint Projects**

The distribution of departmental and faculty shares shall be made in proportion to the professional fees payable to staff in the respective unit/department and/or faculty. The Team Leader shall prepare the disbursement list and submit it to the DRPC with copies to the relevant Coordinator of Unit/Head of Department and Dean of faculty.

#### **6.5. Disbursement under Long Term Project to Staff**

Staff employed to run long-term projects are not entitled to 87% of the net revenue as applicable for short-term projects. It should be noted that it is their primary engagements. Their payment shall be in form of incentive. The disbursement of incentive to long-term project staff shall be prepared by the Project Team Leader in consultation with DRP.

#### **6.6. Disbursement of Long Term Project Funds**

50% of the net revenue shall be reinvested on the projects and the remaining 50% to be disbursed along similar lines as institutional overheads/surcharge.

#### **6.7. Disbursement of Accrued Deposits**

Disbursement of accrued deposits shall be for use in special expenditure according to applicable policy and subject to recommendations by the relevant organs and approval of DRPC /UMC.

# CHAPTER 7

## 7. PROCEDURES AND GUIDELINES ON SERVICE CHARGES

### 7.1. Introduction

It is desired to harmonise the charging for services (e.g. in-service training [INSET], legal services, Professional Development Programmes [PDP], etc.) at University for similar jobs, otherwise the University shall appear to be disorganized without any sense of direction to the outsiders. It needs to be remembered that to our clients the image of the University shall remain and not that of individual or unit. There is thus a need to maintain and protect the image of the University with purpose, orientation and vision that our clients can trust and rely on us. One element of the image requiring attention is being organised and having defined charging system for services offered by the University.

### 7.2. Objectives

The objective of operational policy and procedures for estimation of service charges is to define charges for services and make them known, published, and available to the DRPC and the public. Such data shall make it easier for the DRPC or any other University staff to promote the services of the University and to negotiate with prospective clients where appropriate. This should increase the volume of activities and generate University and staff income. Moreover, the terms and conditions governing service activities shall be more transparent.

The transparency shall also simplify the task of the DRPC for monitoring performance and ensuring that deadlines are met as well as controlling quality of projects and improving clients' satisfaction and success rates for bids and job roll-outs.

### 7.3. Guideline Statement

The DRPC shall convene a meeting of the different units offering similar services to the public once a year to agree on charge rates that shall be binding for the whole year. It shall be an offence to charge above the specified rate. A range may be specified where it is deemed appropriate. The rates agreed shall be displayed in the University units. Discount may be considered where deemed appropriate but such discount must be indicated clearly in receipts.

Units that offer unique services shall discuss and agree among themselves in consultation with the Head of Department or Dean of the Faculty as shall be deemed appropriate. Once agreed upon, the rates must be published and binding. All service rates should be available with Heads of units,

Departments, Deans, DRPC and the Projects Coordinator for public information and monitoring purposes.

It shall be the responsibility of the Dean of Faculty to see to it that the rates are determined, displayed and used by any unit that offers services to public. The DRPC shall have the role of following up. Any unit that contravenes these requirements shall be barred from offering such services. A heavy penalty shall be imposed on units that shall operate while barred from doing so.

#### **7.4. Strategies**

The following are the strategies shall be adopted by the DRPC to effectively implement guidelines on service charges at all University units:

- (a) The Coordinators of Units shall develop and maintain a database of activities done and charges for each activity. This data shall be useful in working out reasonable rates for such services and material requirements;
- (b) The Coordinators of Units shall develop and maintain a database on material requirements for executing different tasks. This shall be useful in the projection of materials needed to execute different tasks for the benefit of the team executing the task and the client;
- (c) All rates must be displayed in the units so that the client is better informed;
- (d) The rates shall be availed to the responsible offices and DRPC for easy reference;
- (e) The rates may be reviewed when necessary even within the year.

#### **7.5. Operational Procedure**

- (a) The DRPC shall convene a meeting of all units offering similar services, in *specified time by DRPC* every year, preferably after country budget release to discuss and agree on service charge rates. The DRPC in consultation with respective Deans and Coordinators of Departments/Units shall facilitate such meetings by appointing convener and review teams;
- (b) Members of Unit(s) offering unique services shall also meet in *specified time by DRPC* every year to review charging rates. The DRPC in consultation with the Deans/ Coordinators shall facilitate the review exercise by appointing the convener;
- (c) The Coordinators of Units shall monitor and see to it that Heads of Departments maintain data bank of their operations and report to the Dean/Faculty management meetings; and
- (d) The Dean of Faculty shall facilitate and monitor the display and use of prescribed service rates.

# ANNEXES

## **Annex-1: Consultancy Permission and Payment Form 1**

**Form-1 shall be used by members of staff who plan to undertake University Registered Consultancy/Service for an External Client.**

**You are therefore advised to discuss with your HoD or equivalent before completing the Form.**

All staff members should complete a Permissions and Payment **Form-1** before undertaking University registered consultancy. It is a smart method for supplying and capturing relevant and essential information for putting contract arrangements in place and to start off the financial process which will eventually result in raising an **invoice** to the customer and making a relevant payment to the Consultant.

**No** University consultancy should be undertaken **without** completing **Form-1** or without a contract having a valid contract in place. You are therefore strongly advised to contact the DRPC for any required help should you encounter difficulties or be in any doubt.

For further help in completing the Form, refer to the notes below - sections 1–6

Complete filled Forms to be sent to the DRPC Office/Directorate

## Annex-1: Permission and Payment Form 1:

### Permission and Payment Form

#### Guide Notes

#### Section 1 Consultant details

- 1.1–1.3** Full contact details of the member of staff.
- 1.4** The University may allow staff the opportunity to embark on up to **40** days consultancy (*of which a maximum of 20 days may be Private*) in a single academic year. You should indicate here the number of days undertaken for each type of consultancy in the prevailing academic year. Please indicate if nil.
- 1.5** This section should be completed in the case of a joint project with other consultants at the University.
- 1.6** Please indicate whether you are a member of a self-financing unit

#### Section 2 Project details

- 2.1** A description of the projects and expected deliverables should be given here. If you have any client description of work please attach it to the permissions form.

#### Section 3 Dates

Details of known dates and a number of anticipated days should be given as accurately as possible. Final dates will be agreed in the contract.

#### Section 4 Client details

Full contact details of the Client (which is external to the University) are required. All fields must be completed or a contract cannot be put in place.

#### Section 5 Fees

- 5.1** An indicative price using a recommended daily rate should be entered here. Please consult DRPC and refer to [section 2.4/2.4.2 \(viii\) of the University Consultancy Policy and Procedures \(CPP\) for guidance on pricing.](#)
- 5.2 (a)** A deduction of **15%** shall be made as a contribution to TUMA/University overhead/surcharge costs.
- 5.2 (b)–(c)** The member of staff and the Head of School, or equivalent, should agree the distribution of income. The member of staff should choose their preferred method of payment.

#### Signatures

- 6.1** The member of staff should sign and date the form.
- 6.2** If the member of staff is a Head of School or equivalent, the relevant Dean of Faculty or Head of Directorate must give approval. If the member of staff is senior to the Head of School or equivalent, then the Head of Institution- the Vice-Chancellor should give approval by signing the form. This is done in the context of due diligence and with reference to any potential conflict of interest.

Fill in all sections and submit to: [drpc@makumira.ac.tz](mailto:drpc@makumira.ac.tz).



## Annex-2: Private Consultancy Permission Form 2:

drpc@tuma.ac.tz

### Section 1 Consultant Information

|                     |
|---------------------|
| 1.1 Your name       |
| 1.2 Employee number |
| 1.3 Faculty         |

1.4 How many days consultancy have you already undertaken in this academic year?

University  Private

1.5 If other members of staff at the University will be involved in this consultancy please list names here (they may also need to complete their own permission form)

|  |
|--|
|  |
|  |
|  |

1.6 Self-financing unit? Tick one  Yes  No

### Section 2 Project details

2.1 **Description** of work to be undertaken, and expected deliverables  
(Attach client description of work if available)

|  |
|--|
|  |
|  |
|  |
|  |
|  |

2.2 **Please** provide details of any additional expenses, consumables and materials or the use of equipment required specifically to support the consultancy also referred as machine charges in TCPP

|  |
|--|
|  |
|  |
|  |

### Section 3 Dates

|                                |
|--------------------------------|
| 3.1 Proposed start date        |
| 3.2 End date                   |
| 3.3 Anticipated number of days |

|                  |
|------------------|
| 4.1 Client name  |
| 4.2 Address      |
| 4.3 Contact name |
| 4.4 Telephone    |
| 4.5 Email        |

### Section 4 Client details

|  |
|--|
|  |
|  |

### Section 5 Fees (as per Chapter 6)

5.1 Indicative price (before VAT) Tsh/USD  
5.2 Agreed division of Professional Fee (To be completed by HoD or equivalent)

|                 |                               |
|-----------------|-------------------------------|
| a) University   | 3%                            |
| b) Faculty      | 3%                            |
| c) Department   | 7%                            |
| e) Consultant   | 87% ( % in SDA, % as payroll) |
| (see Chapter 6) |                               |

### Section 6 Signatures

|                |
|----------------|
| 6.1 Consultant |
| Signature      |

Date

6.2 Head of School or equivalent (or other as appropriate, see notes on page 3)

|                     |
|---------------------|
| Date/Signature..... |
|                     |

**Section 7 To be completed by Finance / Bursar Office**

**7.1 Admin**

|                   |
|-------------------|
| Consultant's name |
| Employee number   |

|                         |
|-------------------------|
| a) Form received (date) |
|-------------------------|

b) Distributed to Contracts, REDM, Insurance (date)

**7.2 RA**

a) Account code and project number

|   |
|---|
| b) Invoice issued (date)  |
| c) Value Tsh/USD  |
| d) Paid (date)  |
| <ul style="list-style-type: none"> <li>Based on number of days completed:</li> </ul>  |
| e) Gross amount received:   |
| f) Distribution:  |
| <ul style="list-style-type: none"> <li>Amount to Faculty:</li> <li>Gross amount to be paid:                             <ul style="list-style-type: none"> <li>Amount to SDA: Finance/Bursar will transfer<br/>Appropriate amount into Faculty code)</li> </ul> </li> </ul> |

• Amount to Payroll:

**7.3 RA: Instructions to payroll**

|                                |
|--------------------------------|
| a) Amount (to be grossed down) |
| b) Final payment (date)        |
| <b>Or</b>                      |
| c) Multiple payment of         |

|            |
|------------|
| Signature  |
| Print name |

**7.4 Approved for payment**

Signature of Director of Finance and Corporate Services

Signature

Print name

Date

**Once approved for payment – original to Payroll and copies to RA and R&E.**

**7.5 HR operations – Payroll**

**Payroll reference**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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**Date**

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**Period**

|  |  |  |
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|  |  |  |
|--|--|--|

Authorization verified tick

**Actioned by**

|            |
|------------|
| Signature  |
|            |
| Print name |

Date

Date

If payment to be made through salary RA completes 7.2 and 7.3 and sends to DFCS.