

# **CATHOLIC UNIVERSITY OF HEALTH AND ALLIED SCIENCES**

## **CONSULTANCY POLICY**



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## **1.0 Abbreviations and Acronyms**

BMC	Bugando Medical Centre
CUHAS	Catholic University of Health and Allied Sciences
DPBDI	Directorate of Planning, Business Development and Investment
DVC-ARC	Deputy Vice Chancellor – Academic Research and Consultancy
DVC-PFA	Deputy Vice Chancellor – Planning, Finance and Administration
IPR	Intellectual Property Rights
URT	United Republic of Tanzania
VC	Vice Chancellor

## **2.0 Background**

### **2.1 Institutional Background**

The Catholic University of Health and Allied Sciences (CUHAS) is located at Bugando Hill, within the Bugando Medical Centre (BMC) premises in Mwanza. Its core business is training, research and consultancy services. It trains health professionals in the fields of Medicine, Pharmacy, Medical Laboratory Sciences, Nursing, Radiology and Public Health through Diploma, Bachelor, Masters and PhD programmes. The University works in close partnership with the Bugando Medical Centre (BMC) in the training of the students and in offering services that address health challenges in the local and global contexts, thus contributing to the Health Sector Improvement in a purposeful and meaningful way.

#### **Vision of the University**

To become an outstanding Tanzanian Catholic University excelling in health care, training and research, that espouses moral and ethical values and are responsive to societal needs.

#### **Mission of the University**

Activities of the University are guided by the following mission statements:

- *“To provide skilled and competent human resources in the health sector that is vested with moral and ethical values,*
- *Search, discover and communicate the truth to advance the frontiers of knowledge and*
- *Provide quality services to the community”.*

#### **CUHAS Motto**

Discipline, Diligence & Excellence

#### **Core functions**

Teaching, Research & Consultancy Services

#### **CUHAS Values**

In order to achieve its mission and transform the University into a respectable Tanzanian institution, the university management is committed to ensure that the following values will be observed and upheld at all times:

- i. Equity and Justice
- ii. Professional Standards, Ethical and Moral Norms
- iii. Academic Excellence
- iv. Academic Freedom
- v. Creativity
- vi. Respect for and Abide to the Laws and Constitution of the Country
- vii. Foster its Catholic Identity

## 2.2 Consultancy Services Background

The CUHAS acknowledges consultancy services executed by its employees as one of their three core functions. Consultancy services increase the university responsiveness to the societal needs, provide a nurturing environment for employee's professional career development and ultimately provide income generating ventures for the employee, the university, and the government at large. The consultancy services can be carried out between a CUHAS employee or individuals affiliated to CUHAS and another individual, public, private or faith-based institution within the country and/or across countries to foster professional and institutional networking. To strengthen consultancy services as one of the three institutional core pillars, *the CUHAS 2021/2022 - 2025/2016 Rolling Strategic Plan* has reiterated a new drive towards institutional expansion (development), investment and income generation from non-traditional sources of revenue like tuition fees.

The custodian of this consultancy policy will be the Deputy Vice Chancellor – Academic, Research and Consultancy (DVC – ARC), the Directorate of Planning, Business Development and Investment (DPBDI), and Heads of Departments and the Consultants (CUHAS employees and/or individuals affiliated to CUHAS). In special circumstances, the Director of Research and Innovation, and the Director of Postgraduate Studies may also be involved where the consultancy services have research and training programs components, respectively. In the latter case, available institutional guidelines/policies will also be taken into consideration while planning to implement consultancy services.

The DVC – ARC will guide and oversee the overall implementation of the policy, the DPBDI in collaboration with the Heads of the Departments will coordinate the consultancy services in their respective departments, and consultants will attract and execute various consultancy services. Negotiations of all consultancy services will be undertaken collaboratively between the three functional parties within the University namely the Consultant, Head of Department, the DPBDI, and the DVC – ARC so as to protect the interest of the University. The DVC – ARC can option other parties within and outside the University in the consultancy contractual discussion depending on the nature of the consultancy services.

Clarifications of the core terms used in the context of this consultancy policy are provided below.

### **“Consultancy”**

This is the provision of technical advice through extensive analytical or exploratory work within a particular professional field to address clients' needs. Clients can be an individual or a company or an institution other than the employee's institution. Consultancy is governed by a contractual agreement or other formal engagement documents between a consultant (an employee or group of employees or a department or a school/faculty/directorate within CUHAS) and the client. Most often, a consultancy service is a paid venture at a market rate, based on the triangulation of the nature of the client's task(s), the consultant expertise value and the CUHAS/BMC institutional framework policies/guidelines.

### **“Consultant”**

CUHAS employee(s) (or individual(s) affiliated to CUHAS) with technical expertise who is/are tasked to undertake the consultancy activities by a consulting firm/client.

### **“Consulting Firm” or “Client”**

An individual or a company or an institution other than CUHAS or BMC which is offering an opportunity for experts to undertake consultancy activities on contractual agreement with the CUHAS consultant (or individuals affiliated to CUHAS).

## **2.3 Consultancy Scope**

Consultancy being one of the core activities of the University (other University core activities are Research and Teaching), however 0.0% of the income was being generated from this source – irrespective of the huge involvement of the university staff in such activities. It is to the expectation that, consultancy activities, if monitored adequately should be able to contribute up to 10% of the University revenue by 2030. In line with the New Rolling Strategic Plan 2021-2026 optimizing the Contribution of Consultancy Services to the General Development of the University, this document therefore, is the new Consultancy policy that governs and act as a guideline for carrying such services among the university staff.

This consultancy guideline is applicable to all academic and non-academic employees (irrespective of the employment rank except where explicitly stated) as long as he/she has credentials and professional merits in line with the client’s need. The consultancy services are variable depending on the client’s need and the university machinery professional strengths. They can be (but not limited to) the inter-universities/institutional scholarly activities such as establishment of professional benchmarking programs and guidelines, external examination roles, visiting lectures, invited keynote speaker in professional forums or commercial exhibitions, appointment to various professional or advisory bodies, development of diagnostic protocols or management protocols, development of diagnostics tools, drugs or vaccine, structured clinical outreach programs, health impact assessment, large proposal/grant writing, clinical trial development, project monitoring and evaluation, development of business strategic plan; provided these activities are executed with additional payment in apart from salary.

The following are not regarded as consultancy services in the context of this policy:

- Authoring or co-authoring manuscripts, book chapters or books.
- Scientific conference attendance and presentation as non-keynote speaker.
- Scientific journal editorial appointment (chief editor, member of editorial board or reviewer).

## 2.4 Consultancy Unit

This policy calls for establishment of a Consultancy Unit within the Directorate of Planning, Business Development and Investment upon approval and implementation of the proposed. The consultancy unit shall be responsible to monitor, follow up and report on the status of the consultancy activities at the University.

## 2.5 Types of Consultancy Services

The CUHAS consultancy policy and procedures broadly divide the consultancy services into three categories based on either time-factor or total income generated or the nature of the consultancy work to be undertaken as stipulated in the table below.

<b>Categories based on the Duration of the Consultancy Services</b>	<b>Categories based on the Income-Generated by the Consultancy Services</b>	<b>Categories based on the Nature of the Consultancy Services</b>
<b>Category A:</b> Short term Consultancy Services whose tasks take up to 8 weeks.	<b>Category I:</b> Consultancy Services with a gross pay of ≤ TZS. 4,999,999	<b>Category i*:</b> Corporate/University Consultancy whereby CUHAS has entered into a contractual agreement with a consulting firm and assign her employee(s) to execute the work on behalf of the university
<b>Category B:</b> Mid-term Consultancy Services whose tasks take 3months to 12 months.	<b>Category II:</b> Consultancy Services with a gross pay between TZS. 5,000,000 to TZS. 9,999,999	<b>Category ii:</b> Private Consultancy whereby a CUHAS employee(s) (or individuals affiliated to CUHAS) enter a contractual agreement with the consulting firm at their capacity and involve the university by virtual of being their primary employer.
<b>Category C:</b> Long term Consultancy Services whose tasks take more than one year.	<b>Category III:</b> Consultancy Services with a gross pay above TZS. 10,000,000.	<b>Category iii:</b> Community Service Consultancy whereby either CUHAS or her employees (or individuals affiliated to CUHAS) enter a contractual agreement to provide community services as part of socio-corporate responsibilities. Most often, this category is conducted free-of-charges.

*\*This category may also include a Joint Consultancy whereby CUHAS collaborate with another University (within or outside Tanzania) to execute a consultancy service to a client.*

*These categories (i.e., Categories A, B & C, and Categories I, II & III, and Categories i, ii & iii) may or may not be mutually exclusive, and as a result should be treated separately whenever they overlap.*

### **3.0 Consultancy Procedures**

#### **3.1 Consultancy Approval Process**

Consultancy work carried out by the CUHAS employees (or individuals affiliated to CUHAS) is mandated to follow a structured approval process, sequentially, from the Head of Department where the employee belongs, then to the Dean of a respective School, the Directorate of Planning, Business Development and Investment - PDBDI [the Director of Research and Innovation/Director of Postgraduate Studies may be involved depending on the scope of work], then to the DVC-ARC, and ultimately to the Vice Chancellor. In each of these steps, a clear documentation signed by both parties is a pre-requisite stating the name of the Consulting Client, scope of the Consultancy Services sought, the Duration of Consultancy and the Consultancy Fees (*Appendix i: CUHAS Consultancy Approval Form*).

#### **3.2 Consultancy Terms and Conditions**

- 3.2.1 Consultancy work must be within the employees' field of expertise.
- 3.2.2 All CUHAS employees (or individuals affiliated to CUHAS) must declare their intent to acquiring the consultancy services within 1 month of getting contractual notification from the client, and promptly submit all contractual agreements to the CUHAS university management through the three (or four where applicable) approval levels stated above.
- 3.2.3 If more than one consultant is executing the same consultancy work, each should fill a separate form and submit to the Lead Consultant who, in turn, will submit them altogether for approval of the relevant authorities.
- 3.2.4 Absence of the consultant from his/her normal roles and responsibilities must not jeopardize his/her departmental operational activities, as stipulated in the CUHAS employment contract.
- 3.2.5 The consultancy services must be approved by all relevant university authorities as stipulated in the approval process above prior to its commencement.
- 3.2.6 The CUHAS (or institution affiliated to CUHAS) must remain as employee's primary employer while executing the consultancy work
- 3.2.7 If the consultancy work has research components (involving human and/or non-human subjects) or if it includes advanced training programs, then the Director of Research & Innovations, and the Director of Postgraduate Studies, respectively must be involved in the approval process (in addition to the three levels of the approval process above). This is also in adherence to the existing CUHAS training and research guidelines.
- 3.2.8 The consultant carrying out private consultancy should not exploit other CUHAS employees or physical and financial infrastructures (like stationeries, supplies/reagents, machines, vehicles or fund) without being clearly stated in the contract and duly compensated.
- 3.2.9 In the event a client requires a consultant to be linked to a third party (who is not stated in the signed contract), then, a written request should be forwarded again through the approval process.
- 3.2.10 The consultant will ensure that the interests and reputation of CUHAS is safeguarded against conflicts of interest, compromised quality of work and potential legal or financial risks while executing any consultancy services; failure to adhere to the above may subject him/her to disciplinary actions as per university guidelines.



- 3.2.11 The client is mandated to disclose all contractual terms between to the consultant and the CUHAS management and ensure conformity to the stipulated terms and conditions.
- 3.2.12 For the Private Consultancy, CUHAS will not accept any liability for the work related to the consultancy which is carried out outside the university premises, and the consultant must ensure that execution of the consultancy work does not pose a conflict of interest between the consulting firm and CUHAS or the Government of the United Republic of Tanzania (URT).
- 3.2.13 Withholding tax emanating from the consultancy activities must be paid by the client.
- 3.2.14 Ownership of patent or intellectual property-right (IPR) or other benefits generated from the consultant's work will be discussed between the consultant and the consulting firm/client prior to signing of the contractual agreement.
- 3.2.15 Both the consultant and the consulting firm/client are obliged to observe the highest standard of professional, moral and ethical conduct while undertaking the consultancy activities by abiding to the CUHAS, URT and other International Authorities' Policies/Guidelines/Code of Practices.
- 3.2.16 In the event an individual student, or group of students at CUHAS undertake a consultancy service(s), this will be discussed on a case-by-case basis, and the contractual agreement between the student(s) and their client will also be bound by this policy.

### **3.3 Complaints/Appeals Process and Legal Process**

If the consultant feels that he/she has been unfairly denied opportunity from undertaking a certain consultancy, he/she can write a letter requiring written response from the Head of the Department or the Dean of a respective School (depending on where the challenge emanated). After receiving a written response, if the consultant still feels that the matter has been unfairly resolved, the consultant can send the matter (through formal means of communication such as letter or university e-mail) directly to the Vice Chancellor through the DCV-ARC for mediation/arbitration. The verdict of the Vice Chancellor (with or without consulting the CUHAS Senate) will be final.

Consultancy activities are undertaken in accordance with the University Rules and Regulations. Once the DPBDI, the Dean, or Head of Department identify that the consultancy process did not follow the structured approval process, they may withhold or stop the consultancy activity with immediate effect after notifying the relevant university machinery in the approval structure.

If the consultancy service has legal issues, they will be channelled through the formal university legal framework.

## 4.0 Consultancy Costing and Pricing

### 4.1 Attributes of Consultancy Costing and Pricing

CUHAS requires all employees to declare the consultancy activities in which they are involved. The pricing of the consultation will be agreed between the consulting firm/client, consultant and university basing on the market value. For private consultancies, the consultants are advised to consult responsible faculty in the three (or four) levels of the approval hierarchy when negotiating with the contracting firm/client to ensure the best contractual agreement is reached for the interest of the contractor and the university.

#### Factors to consider when pricing consultancy services include:

- The charge must reflect the current market rates including withholding tax, and the triangulation between the consultant's value, the nature of work proposed by the consulting firm and the university's existing financial guidelines. Flexibility will be ensured to reflect in-country versus out-side of the country's consultancies, corporate/university versus private versus community services' consultancies.
- Economical costing of the access to the university utilities, facilities, equipment and personnel (CUHAS and non-CUHAS employees) should take place during the consultation process. Involvement of a third party is subject to approval through the three (or four) levels consultancy approval process, in line with the University guidelines.

### 4.2 Distribution of the Consultancy Income

The CUHAS Consultancy Policy has stratified the distribution of income generated by the consultant to two beneficiaries namely, the consultant and the university. Regardless of the consultancy's category, the consultant will take 85% and the university will take 15% of the gross consultancy income after excluding direct cost as shown in the table below:

<b>Distribution of income generated by the consultancy services</b>
<ul style="list-style-type: none"><li>• Professional consultancy fee (which excludes direct costs) * will be distributed as follow:<ul style="list-style-type: none"><li>➤ Consultant: 85%</li><li>➤ CUHAS: 15%**</li></ul></li></ul>

*\*Excluding direct cost such as travel/per-diem & other logistics/supplies/equipment (and VAT where applicable) that are incurred during the execution of the consultancy work.*

*\*\*CUHAS has centralized the mode of revenue collection, and therefore, this fund will be directly wired to the university's account by the consulting firm/client. However, if the consultant is paid directly, then, he/she will deposit the fund to the university and submit the receipts to the three (or four where applicable) levels of consultancy approval. It should also be noted that the 15% payable to the university may be subjected to changes (by increasing or decreasing it) when consulting institution has its own fixed terms. However, this will be discussed on a case-by-case basis in the contractual agreement process.*

The payment modalities for the ***85% and 15% to the consultant and the university, respectively, must be included in the Consultancy Approval Form.***

Unless stated otherwise in the contractual agreement, all consumable and non-consumable items remaining after the consultancy shall be retained by the consultant's host department at the University.

Depending on the duration of the consultancy work, all consultants and their collaborators shall be required to submit quarterly, annual and final reports to the DVC - ARC through their respective Head of Department, Dean, and the DPBDI [where applicable, the Director of Research and Innovation, or the Director of Postgraduate Studies can be involved]. If the consultancy is for short-term, then, one report at the end of the consultancy services is enough.

If a University employee substantially uses University facilities to generate an IPR out of a consultancy, the DPBDI and the DVC-ARC shall advise the university on its benefit from the obtained IPR upon mutual agreement with the consulting firm/client.

#### **4.3 Financial Procedure**

All approved Corporate/university consultancies shall be managed through a project account established by the CUHAS Finance Department in line with the university's three (or four) levels approval machinery. Private consultancies will be managed by the consultant who will submit the income-generated through the Finance Department to the university. The consultant will be responsible of assuring all that consultancy costs have been charged on time and submitted to the relevant beneficiaries appropriately. Upon the completion of the consultancy, the Head of Department where the Consultant belongs shall sign off and notify all levels of the university consultancy hierarchy.

#### **4.4 Monitoring and Evaluation**

Technical and/or financial monitoring and evaluation of all consultancy services will be done through the University existing machinery under the custodian of the DVC – ARC/DVC – PFA, the DPBDI, University Bursar and the Internal Auditor.

## 5.0 Consultancy Criteria for Promotion

For a consultancy to be considered for promotion, an academic staff **MUST** provide a **consultancy report**.

### Consultancy report:

- Defined as a written document that shows contributions of academic staff outside research, teaching and routine clinical services that demonstrate the applicant's ability to either enrich or to apply knowledge and skills in a particular situation.
- Shall only be considered for promotion if:
  - The consultancy work has been approved as stipulated in the three (or four) levels' approval hierarchy and duly signed by relevant authorities.
  - There is clear evidence that the consultancy was carried out in the staff's area of expertise/area of specialization, with clear contribution of the consultancy to the institution, government, and/or the community. The following can be used as a proof of engagement: contractual agreement (or formal invitation letter where applicable), consultancy report or any other formal engagement document depending on the nature of the consultancy service.
  - There is evidence of participation/involvement and the role that was played by the applicant in such situation.
  - For short-term consultancies, cumulative activities focused on one area such as clinical outreach services or development of National Guidelines can also be considered, if they add up to  $\geq 7$  days and are supported by a tangible consultancy report.
  - For mid-term and long-term consultancies, a proof of active involvement should also be evidenced by a respective staff's annual appraisal forms.
  - The consultancy report should not emanate from research with publication potentials to avoid duplication of promotion criteria.
- Shall be evaluated and rated by two independent internal reviewers for intellectual merit. If internal reviewers are not available, two external reviewers can be used.
  - The reviewers should hold an academic rank higher than that of the applicant and should, as long as possible, belong to the same or closely related discipline.
- Shall be awarded a maximum of **1 point** (A and B+=1 point, B=0.5 point).
- Consultancy criteria for promotion will dully follow "*CUHAS Academic Promotion Guideline – 2016*".

## **6.0 Consultancy Policy Review**

The CUHAS consultancy policy document review will be done after every THREE years. However, the document can be reviewed periodically in case there is a prevailing issue necessitating prompt amendment. The deliberation on the periodic review will be done at the discretion of the DVC-ARC and the VC upon consultation with all relevant stake holders.

## 7.0 Appendices

### Appendix I: CUHAS Consultancy Registration and Approval Form

Name of the consultant/CUHAS employee: \_\_\_\_\_

Academic Title: \_\_\_\_\_

Department: \_\_\_\_\_

School/Directorate: \_\_\_\_\_

Name of Contracting Firm/Client and Detailed contact address:

\_\_\_\_\_

\_\_\_\_\_

Type of the consultancy: 1. Corporate/University 2. Private 3. Community Services (circle whichever applies).

Proposed duration of Consultancy: \_\_\_\_\_

Percentage time to be allocated to Consultancy: \_\_\_\_\_

Approximate consultancy contract value: TZS. (or Equivalent Currency)

Brief description of Consultancy work to be undertaken:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

I confirm that the Consultancy work I am about to undertake with this client has been fully declared and I have included requirements for access to CUHAS facilities, space, equipment or personnel (where necessary).

I acknowledge and have read and understood the CUHAS Consultancy Policy and I will adhere to the terms and conditions stated in the policy while upholding the interests, values and reputation of the CUHAS.

Signature of the Consultant: \_\_\_\_\_ Date: \_\_\_\_\_

**Head of Department (for academic staff) or Human Resources Officer (for non-academic staff): Approved/ Not Approved**

Name: \_\_\_\_\_ Signature: \_\_\_\_\_, Date: \_\_\_\_\_

**The Dean/Director (for academic staff) or Deputy Vice Chancellor - PFA (for non-academic staff): Approved/ Not Approved**

Name: \_\_\_\_\_ Signature: \_\_\_\_\_, Date: \_\_\_\_\_

**The Director of Planning, Business Development and Investment (for Registry)**

Name: \_\_\_\_\_ Signature: \_\_\_\_\_, Date: \_\_\_\_\_

**Registration Number:** \_\_\_\_\_

**The Deputy Vice Chancellor - ARC: Approved/Not Approved**

Name: \_\_\_\_\_ Signature: \_\_\_\_\_, Date: \_\_\_\_\_

**The Vice Chancellor: Approved/Not Approved**

Name: \_\_\_\_\_ Signature: \_\_\_\_\_, Date: \_\_\_\_\_

*COPY OF SIGNED FORM TO BE KEPT BY A CONSULTANT, HEAD OF DEPARTMENT, THE DEAN/DIRECTOR, DVC-ARC and the VC OFFICES*

**Appendix II: Documents which must be submitted by the Consultant to the university**

Every consultant must submit the following documents to the university before the approval process in appendix i filled:

1. Contractual agreement between the Consultant and the Consulting Firm/Client.
2. Award letter or other formal notification stipulating that the consultant has been awarded the consultancy work from the consulting firm/client.
3. Any other supporting document depending on the nature of the consultancy services which include (but not limited to) the United Republic of Tanzania relevant authorities' endorsement letter, ethical clearance form or permission letter, travel documents.

## **8.0 Contact Details**

The Deputy Vice Chancellor – Academic, Research and Consultancy,

The Catholic University of Health and Allied Sciences (CUHAS),

P. O. Box 1464,

Bugando, Mwanza – TANZANIA.

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## **9.0 Acknowledgements**

The University would like to acknowledge members of the CUHAS Consultancy Policy Committee for the dedication and hard work towards the preparations and completion of the university Consultancy Policy. The University would also like to thank members of the University Development Task Force (DTF) for initiating the formulation of the consultancy policy.

### *Members of the Consultancy Policy Committee*

1. Prof. Jeremiah Seni
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