



**The Open University of Tanzania**

**Consultancy Policy and Operational  
Procedures 2015**

**March, 2015**

# Consultancy Policy and Operational Procedures, 2015

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## **FOREWORD**

The Open University Consultancy Bureau (OCB) is a semi-autonomous body at The Open University of Tanzania. The OCB was formed in July 2008 with the overall objective to streamline and efficiently coordinate consultancy, contracted research and public services activities. The OCB was registered under the Companies Act of 2002 as a non-profit making organization with certificate of incorporation No. 71625 of 25th June, 2009.

The preparations of the OUT Consultancy Services and Operational Procedures is an important milestone in the transformation programme of the University. The past two decades of establishment of OUT have been spent in putting up a firm foundation for delivery of good academic programmes from undergraduate to PhD levels, research and consultancy services. Efforts to improve further the quality of the academic programmes, research and consultancy continue.

However, the OUT seeks to consolidate and build further its capacity in research and publications and to demonstrate its evolving strength through better coordination of deployment of its staff in consultancy services. Indeed, the approval of this revised policy; the first one developed in 2007, is timely in view of the dual role of consultancy in terms of diversification of sources of funds as well as the retention factor based on increased income to the OUT staff in form of a performance based incentive.

Prof. T.S.A. Mbwette  
The Vice Chancellor

Dar es Salaam  
**March, 2015**

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Prof. Elifas T. Bisanda  
Deputy Vice Chancellor (Academic)

Dar es Salaam  
**March, 2015**

## ABBREVIATIONS

<b>CEO</b>	Chief Executive Officer
<b>DIT</b>	Dar es Salaam Institute of Technology
<b>DVC(A)</b>	Deputy Vice Chancellor (Academic)
<b>DVC(RM)</b>	Deputy Vice Chancellor (Resource Management)
<b>FASS</b>	Faculty of Arts and Social Sciences
<b>FBM</b>	Faculty of Business Management
<b>FED</b>	Faculty of Education
<b>FLW</b>	Faculty of Law
<b>FSTES</b>	Faculty of Science, Technology and Environmental Studies
<b>ICE</b>	Institute of Continuing Education
<b>IET</b>	Institute of Educational Technology
<b>OUT</b>	The Open University of Tanzania
<b>OUT-CB</b>	The Open University of Tanzania Consultancy Bureau
<b>MKUKUTA</b>	Mkakati wa Kukuza Uchumi na Kuondoa Umaskini Tanzania
<b>SUA</b>	- Sokoine University of Agriculture
<b>UCB</b>	- University Consultancy Bureau
<b>UCLAS</b>	- University College of Lands and Architectural Studies
<b>UCU</b>	- UCLAS Consultancy Unity
<b>USP</b>	- University of the South Pacific
<b>VC</b>	- Vice Chancellor

# Chapter 1

## Introduction

### 1.1 OVERVIEW

This policy document describes and explains the consultancy service policy and procedures for The Open University of Tanzania (OUT). The policy guides the delivery of consultancy services embedded into the functions of teaching and learning, research and publications. This policy document shall be used together with the Universities Act No. 7 of 2005 and its regulations, OUT Charter and its Rules as well as all other policies and regulations promulgated by OUT.

The consultancy services policy and operational procedures shall facilitate OUT to achieve its Vision of becoming a committed institution of higher learning in terms of performance and empowerment of its employees, students and the surrounding communities with competencies in consultancy services. The consultancy work at OUT shall assist in the delivery of quality services to all as well as to clearly distinguish the special competence and geographical strength of OUT compared to other universities in Tanzania.

Indeed, consultancy services shall enable academic and other OUT staff to provide quality open and distance education services and research for the benefit of the nation. The consultancy services shall further link the industry, business, communities and the government of Tanzania with OUT. In return, OUT shall develop its resource capacity for sustainable contribution to the country's economic development. Amongst many, the following are some of the benefits that OUT could receive by effectively participating in consultancy work:

- i. Enhance the income generation by its staff thereby increasing its capacity to fund its own incentive schemes and motivations as approved by OUT Council
- ii. Rekindle its staff expertise in research and professional skills



- iii. Contribute to OUT Strategic Plan
- iv. Demonstrate its special advantage over other Tanzanian higher education institutions
- v. Contribute to the National Vision 2025, and Long Term Perspective Plan, MDGs, MKUKUTA as well as Five Years Development Plans.

## **1.2 RATIONALE**

The rationale for undertaking consultancy services at OUT includes, but not limited to:

- (i) Providing an efficient, reliable and competitive service to the community for free or for a fee
- (ii) Developing and enhancing contacts with commercial organisations and other organizations in a manner that will lead to collaborative research and educational ventures
- (iii) Maintaining up-to-date expertise among staff and the social, industrial and commercial relevance of their research and teaching
- (iv) Enabling staff whose expertise has a commercial value to benefit financially as well as professionally from their external work. It is in this way that OUT will also sustain its operations through increased income generation
- (v) Enhancing the University's programmes, courses, teaching, research and publications through provision of case studies and real world problems drawn from successful consultancies
- (vi) Providing an alternative income stream to the University and its staff and financial returns on capital investment
- (vii) Enhancing the profile of the University within and outside the country.
- (viii) Providing opportunities for staff promotion resulting from registered consultancy reports
- (ix) Assisting in international, national, regional and local goals of wealth creation and improving the quality of life, including the goals of MKUKUTA, MDGs, Five Years Development Plans and Vision 2025.

## **1.3 OBJECTIVES**

The objectives of OUT Consultancy and Services policy shall be to:

- (i) Encourage and develop the advisory and research capacity of the University through increased consultancy activities.

- (ii) Provide significant financial incentives to encourage University employees to undertake consultancy activities.
- (iii) Ensure an appropriate return to the University for the Deployment of its resources.
- (iv) Encourage links between the University and industry and business groups in Tanzania and outside the country.
- (v) Promote the name and reputation of the University inside and outside the country.
- (vi) Encourage links with the community, NGOs, CBOs and Private organisation.
- (vii) To facilitate proper accountability of the time that staff members spend in consultancy services to ensure it does not negatively affect other teaching and research duties.

## **1.4 TYPES AND DEFINITIONS OF CONSULTANCY SERVICES**

### **1.4.1 Consultancy**

Consultancy is a work of professional nature undertaken by the University staff members in their respective fields of expertise for clients outside the institution and for which payment is made either directly to the University or to the staff member(s).

### **1.4.2 University Consultancy**

University consultancy is a professional work carried out by a member(s) of staff acting as an employee(s) of the institution. The work may be additional to normal duties for which additional payment over and above the normal salary may be made / or may be part of normal duties for which no additional payment is made.

### **1.4.3 Private Consultancy**

Private consultancy is carried out by a member of OUT staff independent of the University. Such work is undertaken exclusively in the consultant's own time and makes no use of the University's resources.

### **1.4.4 Community Service Consultancy**

This type of consultancy refers to an arrangement for provision of professional services entirely as a contribution to the community.

#### **1.4.5 University Consultancy Activities**

University consultancy includes all professional activities requiring the use of the University's name, services, space, facilities, equipment and intellectual property rights.

#### **1.4.6 Contractual Conditions for University Consultancy**

University consultancy shall be contracted through OUT Consultancy Bureau (OCB) and will be given a formal registration number. A sample contract will be developed for this type of consultancy.

#### **1.4.7 Contractual Conditions for Individual Consultancy**

A staff member seeking approval to conduct an individual consultancy must submit a written application to OUT-OCB through relevant Faculty/Institutes/Directorates. The consultancy assignment shall be registered by OCB. A copy of the contract entered between OUT staff and the awardees ought to be deposited at OCB.

#### **1.4.8 Fees Exempted from Consultancy Services**

The fees collected from the following professional activities are exempted from consultancy:

- (i) Royalties or other proceeds from authorship of books,
- (ii) Proceeds from articles published in journals,
- (iii) Examination invigilation fees,
- (iv) Fees for occasional lectures delivered to other institutions as long as written permission is sought to undertake them from relevant University authorities,
- (v) Refereeing of manuscripts and articles in learned journals,
- (vi) Editing of academic journals,
- (vii) Books reviews,
- (viii) Recreational non-professional interests, which may be subject to remunerations,
- (ix) Small Grant research funded by OUT,
- (x) Teaching practise as well as other field attachments,
- (xi) Fees for supervision and examination of theses and dissertations,
- (xii) Honoraria for teaching OUT programmes.

# Chapter 2

## Environmental Scan

### 2.1 OVERVIEW

This chapter undertakes the environmental scan of the consultancy services at The Open University of Tanzania. The environmental scan is well informed by both the external and internal environmental scan; in short, the SWOT analysis. The chapter first spells out the vision, mission and core values of OCB.

#### 2.1.1 Vision

To become an exemplary unit of The Open University of Tanzania in provision of professional and technical support services to public and private institutions and organizations in order to support social economic, cultural and political development of Tanzania, and the rest of Africa.

#### 2.1.2 Mission

To constantly improve the universities knowledge and skills base by engaging University staff, students and other OCB members to participate in projects that are contributing to the betterment of social, economic, political, cultural and environment milieu of Tanzania in particular and the rest of Africa.

#### 2.1.3 Core Values

- Excellence
- Transparency
- Diversity
- Integrity
- Sustainability
- Professionalism

## **2.2 INTERNAL ENVIRONMENTAL SCAN**

### **2.2.1 Strengths**

- (i) Existence of the consultancy policy and OCB.
- (ii) Support from OUT Council, Senate, management and staff.
- (iii) OCB is registered under the Companies Act of 2002 as a non-profit making organization with certificate of incorporation No. 71625 of 25th June, 2009.
- (iv) OCB is headed by a Director who is responsible for seeking consultancy assignments and coordinating related operations.
- (v) OCB has undertaken a number of consultancies to the community.
- (vi) Ample experience that OCB has accumulated over the years of being in consultancy business.
- (vii) Availability of well trained and competent staff to bid and execute consultancy assignments successfully.
- (viii) Availability of a network of OUT regional and international centres that can support OCB activities.

### **2.2.2 Weaknesses**

- (i) Reluctance of many academics, researchers and technical staff to apply for consultancy assignments.
- (ii) Poor planning and management of consultancy activities in the faculties/institutes.
- (iii) Unclear or weak reporting procedures between OCB and other University units.
- (iv) Inadequate quality of most of the applications/bid made by the University staff to the clients.
- (v) Confusion among consultants and OCB as to what a fair deduction rate would be for a specific consultancy.
- (vi) Inadequate staff to support OCB's routine activities such as quality control, internal and external marketing, capacity building and coordinating consultancy assignments.
- (vii) Most consultancies are carried out by only few experienced staff with good reputation in consultancies.
- (viii) Low capacity building in consulting skills among junior and other staff who lacks the consulting skills.

- (ix) Low volume of consultancy revenue at the University.
- (x) Inadequate machinery to enforce registration of individual consultancy with OCB.

## **2.3 EXTERNAL ENVIRONMENTAL SCAN**

### **2.3.1 Opportunities**

- (i) OCB has not been able to tap all consultancy opportunities available in the market.
- (ii) Marketing of OUT consultancy services through traditional and digital means in a bid to increase consultancies.
- (iii) Collaborative consultancy should be enhanced both domestically and internationally.

### **2.3.2 Challenges**

- (i) The current environment of the consultancy market is very competitive.
- (ii) The number of consulting institutions is rapidly increasing, and clients are constantly looking for quality products.
- (iii) Prevalence of corruption.

## **2.4 SUMMARY AND CONCLUSION**

This chapter has attempted to undertake environmental scan of consultancy activities at The Open University of Tanzania. Clearly, based on the aforementioned environmental scan, several policy issues that require immediate attention have emerged. These policy issues can at best be summarized within the following contexts: Management and coordination, Consultancy teams, Pricing, Publicity, Collaboration and partnership, Capacity building, Quality control, Optimal utilisation of University resources, Disbursement of proceeds, and Staff retention and recognition. The policy objectives and statements to be spelled out in the next well informed of these fundamental policy issues.

# Chapter 3

## **Situational Analysis, Policy Objectives, and Statements**

### **3.1 OVERVIEW**

Based on the environmental scan carried out in chapter two, this chapter undertakes the situational analysis with a view to crafting policy statements and objectives. The chapter also gives a number of operational procedures that will facilitate implementation of this policy. The situational analysis shall focus on: Management and coordination, Consultancy teams, Pricing, Publicity, Marketing/public relations, Collaboration and partnership, Capacity building (Benefits to staff member), Quality control, Optimal utilization of University resources, Disbursement of proceeds, and Staff retention and recognition.

### **3.2 MANAGEMENT AND COORDINATION**

Notwithstanding a few positive contributions associated with OCB during its existence since 2009, it has not been able to pave way for active coordination at the level of Faculty or Institute that would have promoted acquisition and better reporting and management of consultancy undertakings. There is a clear lack of an efficient communication platform between OCB and the consultancy coordinators of the Faculties and Institutes.

It is worth noting that managing consultancy at the University level requires well-organized information storage, retrieval, sharing as well as dissemination system that takes advantage of ICTs. OCB has not been able to tap all consultancy opportunities out there. There is shortage of staff to support its routine activities such as quality control, internal and external marketing, capacity building, and coordinating consultancy assignments.

#### **3.2.1 Policy Objectives**

- (i) To establish strong consultancy coordination between OCB and various units of OUT including system of Faculties and Institutes,

- (ii) To establish a platform for meeting, reporting and coordinating consultancy assignments between OCB and the Faculties and Institutes,
- (iii) To offer quality consultancy services.

### **3.2.2 Policy Statements**

- (i) The University shall deploy competent staff to serve as director of OCB and members of the Board of OCB.
- (ii) The OCB director shall be actively responsible for seeking and overseeing implementation of consultancy undertakings.
- (iii) The University shall establish an appropriate system for quality control, marketing and delivery of consultancy services offered. Provide clear mandate and capacity to UCB to coordinate, promote, regulate and demand accountability for consultancy performance at the University.

## **3.3 MARKETING AND PUBLIC RELATIONS**

The University has undertaken a number of consultancies to the community. However it hasn't managed to tap all opportunities available out there. One of the contributing factors is lack of adequate marketing of consultancy by the University and University's capacities and capabilities locally and internationally. Another contributing factor is inadequate mechanism to apprehend the market and needs and opportunities that are available. The common practice is to search for consultancies through looking for advertisement in newspapers. There is practically lack of a system for scouting and soliciting for consultancy assignments from the Government, the private sector and development partners. The University intends to reinforce consultancy marketing/publication efforts through diverse traditional and digital marketing channels in a bid to increase the number, quality, and earnings of consultancies.

### **3.3.1 Policy Objectives**

- (i) To strengthen, support and facilitate effective marketing of OUT consultancy potentials.
- (ii) To explore and deploy diverse traditional and digital marketing means in order for increase OUT consultancies.
- (iii) To search, solicit and scout for consultancies from government, private sector and development partners



### **3.3.2 Policy Statements**

- (i) The University shall strengthen the manner in which consultancy services offered by OUT through OCB are marketed and publicised with a view to tapping all consultancy opportunities available within and outside the country.
- (ii) The University shall develop a system of documenting consultancy services rendered by the University.
- (iii) The University shall explore and deploy diverse traditional and digital marketing channels for increase OUT consultancies capabilities visibility.
- (iv) OUT shall institutionalise a mechanism of systematic marketing of OUT consultancy services through traditional and digital means in a bid to increase consultancies.
- (v) OUT shall set up a system that will provide a better understanding of needs and opportunities for consulting.

### **3.4 CAPACITY BUILDING: BENEFITS TO STAFF MEMBERS**

In the implementation and operations of consultancies, the most important component is availability of well trained and competent staff to bid and carry out consultancy assignments successfully. While it is expected that all academic staff have professional skills that could make them competent consultants, it is indeed very few of them who are actually engaged in consultancy. As a result, there is generally low volume of consultancy assignments that are undertaken by staff. Indeed, most consultancies are done by a few experienced staff. This means that the benefits of consultancy do not trickle down to a large number of OUT staff. This situation points to the low level of consultancy skills and urgent need for capacity building for consultancy.

#### **3.4.1 Policy Objectives**

- (i) To train and equip OUT staff in consultancy skills.
- (ii) To train staff on how to prepare quality bid/proposal, budget for professional fees, direct costs and reimbursable, and consultancy reports.
- (iii) To accommodate junior and unskilled staff in consultancy activities.
- (iv) To ensure staff benefits from consultancy assignments.

#### **3.4.2 Policy Statements**

- (i) Develop and implement a capacity building programme in consultancy for both junior staff and other staff who lack consulting skills.

- (ii) The University shall train its staff in order to prepare high quality bids/proposals, implementation and reports.
- (iii) The University shall train staff on how to budget for professional fees, direct costs and reimbursable.
- (iv) The University shall ensure staff benefits from consultancy assignments.

### **3.5 QUALITY CONTROL AND ASSURANCE**

Sustainable enhancement of quality control and assurance on consultancy services cannot be overemphasized. The current environment of the consultancy market is very competitive. The number of consulting institutions is rapidly increasing, and clients are constantly looking for quality products and services. Although OUT consultancy potential is undoubtedly high, most of its staff are not thriving in the consultancy market. One of the predominant reasons is the poor quality of most of the applications made. The University through OCB has an obligation to make sure that all proposals are rigorously scrutinized prior to submission.

#### **3.5.1 Policy Objectives**

- (i) To improve the capacity and experience of OUT staff in consultancy and in particular bidding and winning consultancy assignments.
- (ii) To provide for vetting of proposals/bids and consultancy reports before submission.
- (iii) To maintain client confidence on OUT capacity to deliver quality consultancy services.

#### **3.5.2 Policy Statements**

Prepare and encourage the use of best practices.

OUT shall set up criteria for evaluation of consultancy projects which include the quality of the content; the extent to which it addresses the terms of reference of the task undertaken; the layout of the project document that promotes the image of The Open University of Tanzania; and the quality of the final production of the consultancy report

### **3.6 OPTIMAL UTILIZATION OF UNIVERSITY RESOURCES**

Effective management of resources in any organization is a prerequisite for future success of the particular organization, OUT is not exceptional. Optimal utilization of resources is regarded as OUT priority as without it OUT cannot compete in national and international

market insofar as provision of consultancy services is concerned. While attention has only been given to national consultancy market, very few University staff members are engaged in University consultancies. Whereas collaboration partnership in consultancy is one of the means of ensuring maximum utilisation of one's resources, OCB has done very little to date to collaborate with other consultancy entities inside and outside the country. This means that the existing resources and the network of OUT's regional and international centre are underutilised. Lack of interest among some staff members to take active role in the University consultancy is not uncommon despite the consultancy potentials that such staff members have. Clearly, there is a lack of machinery to ensure that all consultancies are undertaken or registered by OCB and all staff equitably and effectively participates in consultancies.

There is thus, a need for the University to ensure that its physical, financial, and human resources are managed and utilized in such a manner that optimal results are achieved and waste is avoided in any consultancy undertaking.

### **3.6.1 Policy Objectives**

- i) To improve resource management skills of OCB staff and other staff of the OUT
- ii) To ensure that financial resources under OCB are utilized as per OUT regulations and guidelines
- iii) To ensure appropriate use of resources under OCB mandate.
- iv) To establish and strengthen collaboration between OCB and other regional and international consultancy entities.

### **3.6.2 Policy Statement**

- i) Ensure availability of necessary and up to date consultancy facilities and their optimal utilization for expedient and effective consultancy engagements.
- ii) Ensure that human resources is appropriately managed and optimally utilised for consultancy activities.
- iii) Ensure availability of efficient and rigorous system of registering individual and university consultancies under the OCB.
- iv) Institutionalise a framework for cooperation, and/or partnerships in consultancy activities with Government, development partners, the private sector and various stakeholders at national, regional and international levels.

### **3.7 DISBURSEMENT OF PROCEEDS**

One of the roles of OCB is to ensure that all consultancy services carried out by the University staff contribute appropriately to the University development through percentage deductions of the revenue generated. There has been a great deal of confusion among consultants and OCB as to what a fair deduction rate would be for a specific consultancy. It is, therefore, paramount to clearly state standard deductions from the institutional and individual consultancy revenues.

#### **3.7.1 Policy Objectives**

- (i) To define fair fee income rates after the deduction of any direct costs for institutional and individual consultancies
- (ii) To ensure that the University gets its due income from consultancy services

#### **3.7.2 Policy Statements**

- (i) Ensure that disbursement of proceeds is paid from OCB accounts for University consultancy or individual consultancies
- (ii) Ensure that OUT retains 20% and 15% of the gross revenue for University consultancy and individual consultancy respectively after deduction of declared and approved direct costs
- (iii) Ensure that 80% and 85% respectively of the net revenue is shared by the consultants according to their time input
- (iv) It is the responsibility and duty of each consultant to declare his/her income arising from consultancy for tax purposes.

### **3.8 CONSULTANCY COORDINATION AT THE FACULTY/INSTITUTE LEVEL**

The Open University of Tanzania has, since the establishment of OCB, witnessed serious reluctance of many academics, researchers and technical staff to apply for consultancy assignments, largely because of the poor planning and management of consultancy activities in the faculties/institutes and other units of the University, and unclear or weak reporting procedures between OCB and other University units. Coordinating consultancy activities at the faculty/institute level is critical to successful consultancy services at OUT. The coordination should include a plan to encourage members of staff to engage in consultancy work available at various public and private institutions– whether regionally, nationally, or internationally.

### **3.8.1 Policy Objectives**

- (i) To encourages members of staff to undertake internal and external professional work
- (ii) To improve the relationship between OCB activities and consultancy matters in other University units
- (iii) To ensure that consultancy services are undertaken in accordance with the OCB policy, and that consultants' activities are consistent with the key functions of the University.

### **3.8.2 Policy Statements**

- (i) There shall be faculty/institute consultancy coordinators who will be responsible for promoting and overseeing consultancy activities at their respective faculties/institutes
- (ii) There shall be a clear system to allow OCB staff to work closely with faculty/institute consultancy coordinators.
- (iii) Ensure that faculties/institutes set up teams for institutional or individual consultancies
- (iv) There shall be an agreed and clear reporting line between OCB and the faculty/institute consultancy coordinators through which the last report to the OCB coordinator the progress of consultancy activities at their faculties/institutes
- (v) Strive to promote internal linkages, collaborative partnerships and working relationships between faculties/Institutes.

## **3.9 STAFF RETENTION AND RECOGNITION**

There is no doubt the success of any institution depends on its ability to retain and motivate its staff. It is therefore imperative for organizations to device ways to keep its staff and more importantly the most competent ones. OUT has a pool of staff that ranges from junior academic staff to the most senior ones. OUT has, as is for other public institutions, been facing a challenge of ensuring staff retention. Some staff members are compelled by the ever increasing cost of living to look for green pastures elsewhere. The University is, as such constantly facing a threat of losing its staff members that have consultancy potentials. OUT is however yet to effectively use consultancy to guarantee increased income to its staff and hence ensuring existence of a performance

based staff. It is therefore the duty of OUT to make sure that this resource pool remains under its disposal and a variety of strategies are put in place to make sure that consultants involved in different activities under OCB feel valued and that their efforts are rewarded accordingly.

### **3.9.1 Policy Objectives**

- i) To provide conducive environment for the consultants who are involved in various assignments under OCB
- ii) To device ways of rewarding best performers in consultancy so as to encourage others to participate on consultancy activities under OCB mandate
- iii) To encourage staff participation in consultancies which bring opportunities and benefits to them and the University
- iv) To set guidelines that will ensure equitable access to consultancy assignments by all staff members
- v) To set up guidelines for sharing the income from consultancy activities across various legitimate participants
- vi) To provide guideline for prompt payment of a share of consultancy income to relevant consultant
- vii) To provide regular training to OUT staff that help prospective consultants to acquire specific knowledge about consultancy and the related processes.

### **3.9.2 Policy Statement**

- i) Set up a mechanism for retaining and motivating staff members by effective participation in consultancy and sharing of consultancy income under the OCB framework
- ii) Ensure consultancy contributes towards the improvement of financial earnings of participating staff
- iii) Ensure that OUT staff are fully aware of opportunities that are available for them to participate in consultancy activities

## **3.10 PRICING OF CONSULTANCY PROJECTS**

Pricing is a crucial undertaking of any consultancy assignment. It involves setting the consulting rates and a price for consultants' time and services. Pricing has many functions which include ascertaining chances of a consultant to be awarded a tender, a share of income that a consultant will be entitled to, and deciding whether or not to bid for a consultancy tender.

Despite the importance of setting a price for time and consultancy services, there is literally nothing that a consultant may use as a guide, for example, during preparation of bid document. This is seemingly left to the consultants themselves. The appropriateness of the price assigned to a consultant project will thus depend on the experience of the consultants in charging. It is well known that naming a price to a consultancy service is a nervous moment. Naming a price too high may mean losing a consultancy to many competitors. Yet, if a consultant names a price too low, he/she runs a risk of resenting the work or worse, not being able to put enough time into the project to do a great job. Clearly, there is need to have standards that will guide pricing in any given consultancy project. These standards should among other things help OCB to decide as to consultancy tenders that it can or ca not pursue.

### **3.10.1 Policy Objectives**

- i) To set up guidelines and standards for pricing of consultancy projects
- ii) To train staff on how to price a consultancy assignment
- iii) To monitor and evaluate pricing of each consultancy project

### **3.10.2 Policy Statements**

- i) Support and facilitate a standardised pricing approach that takes account of the nature of the project and awarding entity and the number and profile of the participating consultants.
- ii) Ensure that there are comprehensive guidelines and standards for pricing consultancy.

## **3.11 OPERATIONAL PROCEDURES**

The operational procedures for this policy shall be as follows:

- (i) Consultancy with a client has to be registered with or through OCB. OCB shall keep a register of all work contracts and provide progress reports, to its respective Board, Senate and the Council.
- (ii) Consultancy tenders shall be priced at the market rates and where necessary, OCB shall process the bid and provide performance bonds that would guarantee the University consultants and indemnity against professional liability as per applicable national guidelines.
- (iii) All payments must be channelled through OCB Bank account. In exceptional cases, individual consultancies may be allowed to pay OUT staff in their accounts, but only after the consultancy seeking permission from the OCB Coordinator

- (iv) Every member of staff shall be entitled and encouraged to solicit and bid for consultancy contracts.
- (v) Unless otherwise proven, an individual member who shall solicit a consultancy job shall become automatically a team leader
- (vi) Director of OCB shall follow up on the progress of the assignments
- (vii) Annex 1 gives the proposed organisational structure of OCB
- (viii) The Deans and Directors shall promote and solicit consultancy activities in their respective Faculties and Institutes and Directorates
- (ix) Annex 2 provides further operational procedures titled consultancy Bureau operating Manual. These will provide guidance on how to manage consultancy services at OCB
- (x) The flow chart in Annex 3 explains how a consultancy service is processed at OUT.



# Chapter 4

## Implementation Framework

### 4.1 IMPLEMENTATION

The daily implementation of consultancy policy and operational procedure shall be under the OCB Director assisted by two academic staff. One will be in charge of projects implementations and the other one for quality control. Administrative staff will include one Publicity and Marketing Officer, Accountant, one Administrator and one Personal Secretary.

The consultancy indicators shall be developed and be made available to enable stakeholders at all levels to monitor and assess consultancy activities at the University on regular basis. The investigative process shall therefore ascertain information at two levels:

- (i) Information related to the performance of consultancy bureaus or departments as operational units. This largely pertains to implementation of planned actions and activities and achievement of results within the framework of everyday scheme of consultancy activities
- (ii) Information related to response and ration by targets and stakeholders in the consultancy terms of reference activities and with reference to the general context in which UCB operate. This type of information usually originates from the environment outside the UCB/University.

### 4.2 SCOPE OF IMPLEMENTATION FRAMEWORK

The scope of the implementation framework to be developed will include the following:

- (i) An implementation strategy defining and detailing activities to be implemented over a time frame of an initial five years period, complete with functions and responsibilities of implementing units, timeframe and resource requirement.
- (ii) An institutional framework for implementing including Faculties, Institutes, and Departments.

(iii) Provision of specific regulations and operational guidelines including, but not limited to:

- Formulation and appraisal of consultancy
- Consultancy technical advisors
- Risk management
- Monitoring and evaluation of consultancy
- Public accountability and reporting requirement
- Consultancy's guide

(iv) A communication strategy for sensitization and raising awareness of consultancy opportunities

# Chapter 5

## Monitoring and Evaluation

### 5.1 INTRODUCTION

This chapter describes the monitoring and evaluation system for the Consultancy Policy and Operational Procedure (2015). It also provides the action plans, templates for annual plan and progress report that must be used in the course of implementing this plan.

### 5.2 MONITORING

Continuous monitoring and evaluation of consultancy activities at the University is very essential for the promotion and implementation of consultancy activities. The quality of consultancy has direct relationship with possibilities of continuous decisions of clients to use the technical advises from OCB.

OCB will put in place mechanism for consultancy proposal vetting. OCB will ensure that the consultancy products/deliverable is in a very good quality. The University shall:

- (i) Put in place an effective mechanism for consultancy quality assurance involving monitoring, evaluation and reporting
- (ii) Ensure consultancy provision not only stratifies clients and OUT but also contributes towards improvement of quality of life among the target communities

OCB shall prepare sample formats to be used in presenting monitoring progress reports. Additionally, there should be an accompanying narrative report, designed and integrated with the tabular one in order to present a concise, informative and credible implementation status of the strategic plan at the end of every half year.

Monitoring of the Consultancy Policy and Operational Procedure (2015) is a shared responsibility between the office of DVC (Academic) and OCB. The DVC (Academic) is the chairperson of all strategic review workshops of Consultancy Policy and Operational

Procedure (2015) while the Director of OCB will be the Secretary.

### **5.2.1 Methodology**

Three major methods will be used:

- (i) Preparation of detailed annual work plans showing targets and reporting the extent to which the accomplishment of the work plan
- (ii) Physical observations and interviews/discussions between OCB and various stakeholders to get informed insights and clarifications
- (iii) Conducting enquiries with the assistance of a questionnaire once every two years designed to obtain general impressions of various stakeholders so as to obtain any early warning signs that may indicate potential problems with the implementation of the policy

### **5.2.2 Reporting**

Monitoring reports will comprise:

- i. A narrative progress report prepared annually
- ii. Contents of the narrative report will include, but not limited to:
  - Achievements in terms of outputs, the deviations in the planned activities and outputs. Achievements should reflect both qualitative and quantitative achievements
  - Constraints in the implementation of the National Investment Promotion Policy and any internal and external factors which affected its implementation
  - Proposed remedial actions and the way forward.

### **5.2.3 Evaluation**

There are two types of evaluation of the Consultancy Policy and Operational Procedure (2015) conducted once every two and a half years using internal evaluators and another one conducted once every five years using an external evaluation team working with one internal evaluator not responsible for the implementation of Consultancy Policy and Operational Procedure (2015). Three months prior to the coming of the external evaluators, an internal evaluation will have been conducted and discussed during the annual meeting. The internal and external evaluations will have similar ToRs and they will - among others, focus on:

- i. Assessing the reasons for success or failure of specific aspects of the Consultancy Policy and Operational Procedure (2015)

- ii. Assessing whether the Consultancy Policy and Operational Procedure (2015) is achieving its objectives
- iii. Finding out whether the effects of the Consultancy Policy and Operational Procedure (2015) are contributing to a better fulfillment of the Mission and Vision by the OCB and University at larger
- iv. Determining whether available resources are being utilized efficiently to achieve the strategic objectives of Consultancy Policy and Operational Procedure (2015)
- v. Determining whether the process of Consultancy Policy and Operational Procedure (2015) and implementation is facing any problems.

The OCB Director shall prepare clear and comprehensive terms of reference to guide both evaluations. The ToRs of the two evaluations shall cover, but not limited to:

- i. Subject of the evaluation
- ii. Methodology to be adopted, data collection procedures, sampling procedures, indicators to be used, basis for comparisons, etc.
- iii. Analysis of the field findings
- iv. Evaluation of the achievements, and
- v. Feedback of evaluation findings.

Both the internal and external evaluators will have the mandate to decide on other additional issues to be included or evaluated as agreed with the office of DVC (Academic) in advance. This will be agreed at the first de-briefing meeting between OCB, DVC (Academic), and the external evaluators. In selecting the appropriate evaluators, OUT will consider relevant technical skills, evaluation skills, and experience in similar organizations/assignments. The internal evaluation team will be approved by OCB while DVC (Academic) will approve the external evaluation team. The evaluation reports will be discussed at all levels at the annual progress review meetings. The recommendations adopted will be implemented and included in future policy revisions in subsequent year.

### **5.3 NON-COMPLIANCE**

Failure to comply with the terms of this policy shall render the employee of OUT liable to disciplinary action for misconduct or serious misconduct in accordance with the disciplinary provisions applicable under the University's staff Rules and Terms of Employment.

The Open University of Tanzania shall recover, from the participating member of staff, any loss of income, costs and damages, to which the University has been exposed as a result of a breach of this policy or proven negligence.

#### **5.4 DISPUTE RESOLUTIONS**

In the event any dispute between OUT and a staff member relating to consultancy, each dispute shall be referred to and finally determined by OCB Board.

In the event of any disputes between consultants, OCB shall have the mandate to resolve the dispute as per contract provisions.

Any dispute between OCB's consultants and consultancy awarding entity shall be handled according to terms and conditions of the relevant consultancy agreement. However, if the agreement is silent on dispute resolution, OCB shall have the right to resort to any cost effective method of resolving the dispute in accordance with the applicable laws.

## ANNEXES

### *Annex 1*

#### **ORGANISATIONAL STRUCTURE OF THE OUT CONSULTANCY BUREAU (CB)**

##### **1 Operational Structure**

Organizational Structure of the Consultancy Bureau shall have a Board and Management.

##### **2 The Board**

The Board shall be comprised of the following members; DVC (Academic), DVC (Resource Management) and DVC (Regional Services); OCB Director (Secretary), Coordinators of consultancies from faculties, Representative from Income Generation Unit (IGU), representative from quality assurance, 2 External Members (1 from the Business Community and 1 from Public Service).

##### **3 The Management**

The Management of the Bureau shall be under the Director assisted by 1 academic staff. The academic staff will be the Associate Director of projects implementation and quality control 4 administrative staff are expected i.e. one accountant, an administrator, one Publicity and Marketing Officer and one personal secretary.

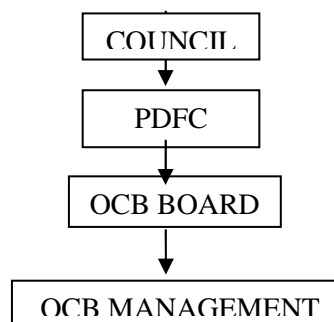


Fig. 1: Organisational Structure of the CB Committees

Legend: PDFC - Planning Development and Financial committee  
OCB - Consultancy Bureau

Management OCB Director, Associate Director (implementation and quality control), Accountant, Administrator and Publicity and Marketing Officer

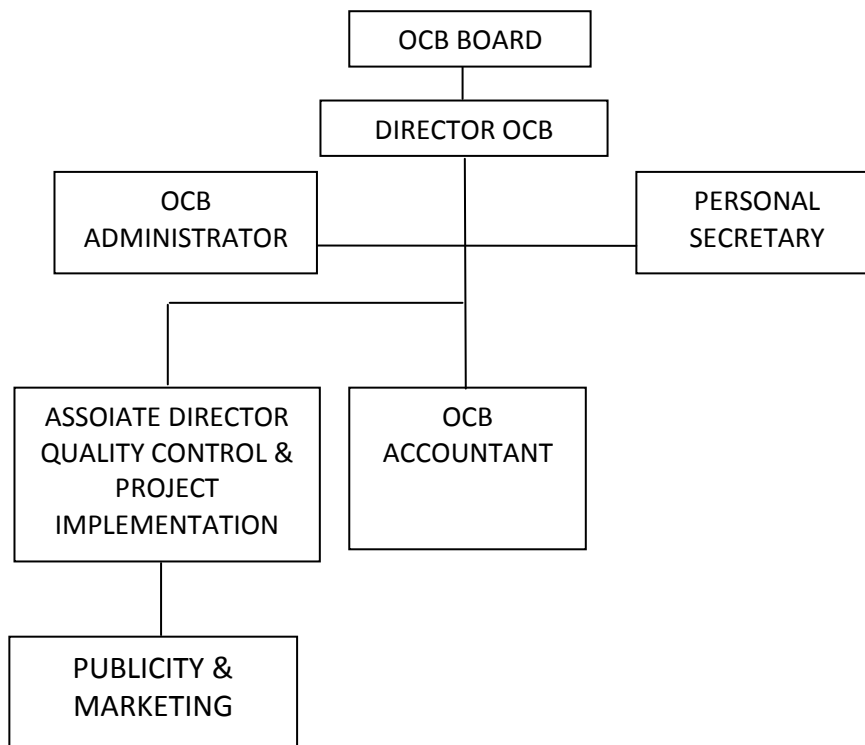


Fig. 2: The Organizational Structure of Positions of the OCB



## **CONSULTANCY BUREAU OPERATIONS MANUAL**

1. The OCB Director shall be appointed by Vice Chancellor. He/She shall have entrepreneurial skills as well as vast experiences in conduct of the following:-

- Consultancy
- Short courses
- Evening courses
- Enhanced face-to-Face programmes
- Demand driven / Tailor made programmes
- Professional Development course
- Promotion visits

The OCB Director shall be appointed for three years based on search committee recommendations renewable depending on performance and shall be responsible to the OCB Board and Deputy Vice Chancellor (Academic).

2. Duties of the Director

- Advise the Chairman of OCB on all matters pertaining to consultancy, and commercial training.
- In collaboration with Faculty / Institutes, Directors, design, solicit and run short courses, tailor-made programmes / consultancies and contract research courses, enhanced face to face, professional development courses / seminars, etc
- Shall be vote holder for the Bureau.
- Advertise / promote OUT capacity to carry out the above mentioned courses.
- Organizes and implement skills training courses for consultants who have little or no experience,
- Prepare calendar for short courses and other training,
- Be secretary to the OCB,
- Prepares mechanism to ensure quality assurance,
- Prepare appropriate marketing promotional materials and solicitation strategies in collaboration with the Director of Communication and Marketing.

3. Associate Director Quality Control and Project Implementation

- Shall be recruited through normal OUT recruitment channels
- Will assist the Director in running the Bureau and Project Quality Control

- Will assist the Director in running the Bureau quality control and project implementation.
4. The OCB Board shall meet quarterly to receive and deliberate on consultancy assignments and financial matters.
  5. The Board shall appoint leaders for each consultancy assignment acquired by the OUT based on recommendations for management, lay out payment procedures for consultancies and other assignments obtained through the university.
  6. Guidelines on Billing  
Unless otherwise directed by the relevant authority, or agreed otherwise during negotiations, billing for contracted amounts shall be as follows:
    - 50% on signing the contract
    - 30% on submission of the draft report or its equivalent
    - 20% after acceptance of the final report or its equivalent.
  7. Guidelines on disbursement of Consultancy Funds  
Disbursement of funds earned from consultancy contracts shall be as follows:
    - 5% OCB
    - 5% Shared by Faculties / Institutes / Directorates from which consultants were drawn
    - 80% consultant(s)
  8. The Open University of Tanzania shall approve a University Sanctioned consultancy by way of signature of the designated university officer and allocation of a registration number upon receiving.
    - (a) A brief description of the consultancy activities
    - (b) Full details of all parties involved,
    - (c) Financial information including details of total cost, university overheads component, cost recovery for use of university facilities, and disbursement of the consultant income or sundry donor accounts,
    - (d) A signed agreement by the staff member of OUT indicating that the terms of the consultancy are acceptable and the staff member can satisfy the requirements of the consultancy and any intellectual property agreements required by the designated officer,

- (e) The approval by the designated Open University of Tanzania officer who clearly demonstrates the following criteria have been met.
- i. The carrying out of tasks associated with all Individual consultancies will be accomplished without affecting the duties of the staff member of the Open University of Tanzania,
  - ii. The amount of time taken by the staff member in fulfilling the requirements of all consultancies will not exceed the proportion of time specified in the OUT HRM policy,
  - iii. The use of the Open University of Tanzania trademarks such as letter heads, brands etc or university intellectual property rights is prohibited in individual consultancies.
  - iv. The Individual consultancy is not within an area in which the University might be contracted to provide a service on a commercial basis, possibly utilizing the skills of the staff member involved.
  - v. OUT is not bound by any agreement (Written or otherwise) relating to the Individual consultancy, and
  - vi. The staff member agrees to indemnify OUT and its representatives from and against all actions, claims, loss, damage, costs, charges liabilities and demands arising directly or indirectly from or in respect of the individual consultancy activity.
  - vii. The member of staff must personally ensure that full legal and financial responsibility for the activity is accounted for including all insurance cover that might be required
9. The contracted community service consultancy may be approved by the designated university officer when the following have been submitted to the OCB.
- (a) Brief description of the consultancy activities;
  - (b) Details of the external bodies involved in the consultancy;
  - (c) Financial details including a costing of the service and a budget for the activity;
  - (d) Confirmation that undertaking the consultancy will not lead to:-
    - i) The academic staff member exceeding the maximum allowed time for consultancy per annum.
    - ii) Distract the performance of the academic duties of the staff member.
  - (e) Schedule of the assignments and travel needs outside the station (if any)

## FLOW OF ACTIVITY FOR PROJECT IMPLEMENTATION

