ARDHI UNIVERSITY

CONSULTANCY POLICY
AND OPERATIONAL PROCEDURES

November, 2013
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# ABBREVIATIONS AND ACRONYMS

<table>
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<tbody>
<tr>
<td>ACU</td>
<td>Ardhi University Consultancy Unit</td>
</tr>
<tr>
<td>AQRB</td>
<td>Architects and Quantity Surveyors Registration Board</td>
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<tr>
<td>ARISA</td>
<td>Ardhi University Academic Staff Assembly</td>
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<tr>
<td>ARU</td>
<td>Ardhi University</td>
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<td>ARUSSS</td>
<td>ARU Staff Superannuation Scheme</td>
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<tr>
<td>CBOs</td>
<td>Community Based Organizations</td>
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<tr>
<td>CCE</td>
<td>Centre for Continuing Education</td>
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<td>CUAC</td>
<td>Consultancy Unit Advisory Committee</td>
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<tr>
<td>EoI</td>
<td>Expression of Interest</td>
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<tr>
<td>ERB</td>
<td>Engineers Registration Board</td>
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<tr>
<td>ICT</td>
<td>Information and Communication Technology</td>
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<tr>
<td>IPR</td>
<td>Intellectual Property Rights</td>
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<tr>
<td>ITP</td>
<td>Institutional Transformation Programme</td>
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<tr>
<td>M&amp;E</td>
<td>Monitoring and Evaluation</td>
</tr>
<tr>
<td>MAC</td>
<td>Members of Advisory Committee</td>
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<tr>
<td>NGOs</td>
<td>Non-Governmental Organizations</td>
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<tr>
<td>PCU</td>
<td>Professional Consulting Unit of name as used or 20</td>
</tr>
<tr>
<td>PDP</td>
<td>Professional Development Programme</td>
</tr>
<tr>
<td>QA</td>
<td>Quality Assurance</td>
</tr>
<tr>
<td>RICS</td>
<td>Royal Institution of Chartered Surveyors</td>
</tr>
<tr>
<td>SWOC</td>
<td>Strength, Weaknesses, Opportunities and Challenges</td>
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<tr>
<td>ToR</td>
<td>Terms of Reference</td>
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<tr>
<td>Acronym</td>
<td>Full Form</td>
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<tr>
<td>UCLAS</td>
<td>University College of Lands and Architectural Studies</td>
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<td>UCU</td>
<td>UCLAS Consultancy Unit</td>
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<tr>
<td>UDSM</td>
<td>University of Dar-es-Salaam</td>
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<tr>
<td>URT</td>
<td>United Republic of Tanzania</td>
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<td>VC</td>
<td>Vice Chancellor</td>
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PREFACE

ARU and its predecessors have been offering consultancy as one form of public services for a number of years. The function was first guided by the then University College of Lands and Architectural Studies Consultancy Policy, 2001 and subsequently the Ardhi University Consultancy Policy, 2010. Generally, in all those years consultancy services by the University have been highly regarded by external and internal ARU stakeholders. In most cases, clients and the public have appreciated the good quality and efficiency of services from ARU. Internally, apart from contributing to the individual incomes of staff for their motivation and retention, as well as to ARU revenue, offering of consultancy services has provided a good platform for staff and students in attaining real-life practical experiences. With better arrangements, consultancy services could have also provided input to research and publications hence assist in more effective realization of the Mission and major purpose of establishing the University. Pursuant to the Ardhi University Charter, 2007, Article 5 (2) (c), one of the key objectives of the University is to ensure integration of the highest standard of teaching, research and public services, including consultancy in all ARU subject areas, towards enhanced professionalism.

The Ardhi University Consultancy Policy, 2013 is a revision of the indicated previous policy documents. Essentially, it is intended to maximize the observed benefits from consultancy undertakings, in line with the ARU establishing legislation. I believe that the Policy will further stir and add vigour in balanced consultancy services towards better quality, and without negatively affecting the other functions of the University. In fact, with this revised Policy, it is anticipated that there will be more effective contribution of consultancy to teaching, learning, research and publications. The Policy statements and operational procedures provide the framework for improved coordination and supervision of consultancy services for enhancing quality control, improved efficiency and
accountability. They also provide for clustering of consultancy services within Professional Consultancy Units (PCUs) with a view to enhancing effective mentorship of young staff and participation of more people in respective units.

Prof. Idrissa B. Mshoro
Vice Chancellor
EXECUTIVE SUMMARY
Following concerns on the 2010 ARU Consultancy Policy, which various members of staff expressed immediately after its release, the Management of Ardhi University appointed a committee comprising four academic staff to review the said Policy. In consultation with various stakeholders within the university and reflecting on similar practices within other public universities in Tanzania, the Committee reviewed the Policy and submitted its recommendations to the University Management. The revised ARU Consultancy Policy of 2013 focuses on three key areas, namely:

- Strengthening the ARU Consultancy Unit;
- Streamlining Consultancy Procedures; and
- Quality Control on Consultancy Services.

(1) Strengthening the Consultancy Unit
The reviewed Consultancy Policy provides for the reinforcement of the operations of the current consultancy unit, and how it relates to the University system as a whole.

The review report proposes that the existing Ardhi University Consultancy Unit (ACU) should do the following:

(i) Operate more directly with various consultancy units on professional basis and with a more defined mandate;
(ii) Create value on academic and research responsibility;
(iii) Enhance the management of consultancy services;
(iv) Create a more focussed environment for better information management, storage, retrieval, and feedback; and
(v) Be better positioned to ensure quality control.

With such an array of responsibilities, ACU shall coordinate and manage consultancy activities to ensure the professional value of such activities is gained in the various schools, directorates and institutes of the University. Coordination and management shall be done through professionally based consultancy units that are similar to the respective disciplines at ARU and shall be referred to as “Professional Consultancy Units (PCUs)” headed by “Consultancy Coordinators”. These units will function under the supervision of the dean or director of the respective school, directorate or institute.

Each PCU shall be responsible for evaluating its respective projects to assess their suitability in enhancing educational values and professional skills in the respective discipline and ensuring equitable participation of staff in the carrying out of the projects.

(2) Streamlining Consultancy Procedures
On account of the varying nature of consultancy services that are offered at ARU, each PCU shall have specific operational procedures and regulations for securing consultancy projects including their implementation, the securing of professional indemnity cover and participation of staff members.
(3) **Quality Control on Consultancy Services**

ACU shall be responsible for instituting quality control and monitoring implementation systems for all consultancy projects undertaken on behalf of ARU. The evaluation of implemented projects will be carried out in accordance with the ARU quality control procedures.

The revised version of the 2010 consultancy policy consolidates the main policy issues into six main elements:

a) Consultancy management and coordination;

b) Capacity building and enhancement of teaching and research;

c) Optimal utilization of University resources;

d) Market and marketing;

e) Strategic collaboration and partnership;

f) Monitoring and evaluation.

The central elements in the 2010 consultancy policy were:

a) Securing Consultancy work and contracted Research;

b) Bidding;

c) Procedures for managing consultancy services;

d) Code of conduct;

e) Staff welfare;

f) Research and teaching;

g) Quality control;

h) Communication and handling of documents; and
i) Modalities for disbursement, utilization and accounting for consultancy funds.

The revised policy reinforces the direct linkage between the ACU Director and consultancy coordinators that is shown in the 2010 policy, done by forming professionally oriented consulting units (PCUs), which bring together all professionals of a particular discipline across the University. These PCUs will be initiated by the various Schools/Institutes and will be nurtured to form professional enclaves through which all members of the University will practice. Unlike the former policy, the revised policy clearly separates policies to be adhered to and operational guidelines.

The proposed amendments to the current ARU Consultancy Policy have taken due consideration of the experiences of participating consultants at the Ardhi University. The main objective of the review of the Consultancy Policy for ARU was to reinforce the educational value derived from consultancy and the University’s social responsibility of service provision to the society in all ARU cognate disciplines. Strategies for achieving the said objectives are initiated and developed at professional discipline level and realized at the ACU level. Organizational and operational guidelines have been suggested for both levels.
PART I – THE CONSULTANCY POLICY
1.0 INTRODUCTION

1.1 Rationale for Reviewing the ARU Consultancy Policy

The Ardhi University Consultancy Policy was established in 2001 by the then UCLAS (now ARU), as part of the Institutional Transformation Programme (ITP), as well as to operationalize UCLAS’ Strategic Plan. The ITP also led to the formation of the UCLAS Consultancy Unit (UCU), whose main objective was to enhance the efficiency and effectiveness of consultancy services offered by the University. In this regard, the mandate of the UCU was to establish a broad policy and coordinate consultancies and contracted research and services in line with the University concept of coordinated decentralisation.

A revised version of the said Policy, which took into account stakeholders’ views and experiences gained over a period of nearly ten years, was approved in March 2010 and the final version published in 2011. However, members of the ARU community expressed a number of concerns regarding the contents of the Policy document. This compelled the initiation of a review process immediately after its approval. A team of four members of staff, who were appointed by the Deputy Vice Chancellor for Academic Affairs (DVCAA) on the 13th of April 2011, formed the Review Committee.

The Committee studied the implementation of the consultancy policy over a period of one-year and held interviews with the University Management,
Deans of Schools, Heads of Departments and Units and the Executive Committee of the Ardhi University Academic Staff Assembly (ARISA). The interviews focused mainly on challenges that were faced during the implementation of the March 2010 Consultancy Policy. Findings from consultations with other individuals were also taken into account and a review of various related documents helped to guide the review process. In addition, an open-air workshop was conducted during which consultations and discussions with various stakeholders were held to identify large scale and long-drawn-out issues.

From all these processes, a number of significant challenges were identified. Such challenges included uncoordinated consultancy activities, lack of comprehensive control and quality assurance, and the lack of clarity on the contributions of consultancy activities to the teaching and research endeavours. A preliminary draft was widely distributed and discussed extensively by all key stakeholders at the University.

The main recommendation that came out of the review, which hinged on the six focal policy areas, was that the ARU consultancy system needs to be reinforced in the way it operates, and how it relates to the University system as a whole. The existing ACU should operate with a more defined mandate that will facilitate and enhance the management of consultancy services by creating a more focussed environment, which will in turn ensure better information management, storage, retrieval, and feedback.
Furthermore, ACU will be better positioned for quality control and value creation on the University’s academic and research responsibility.
2.0 RATIONALE, OBJECTIVES AND SCOPE OF THE ARDHI UNIVERSITY CONSULTANCY POLICY

2.1 Rationale and Justification of the Policy
The need to have a consultancy policy stems from the Mission, Vision and Values of ARU as stated in the Corporate Plan of ARU 2009/10-2018/19, which states that ARU remains one of the strongest institutions with highly experienced and competent professional staff in land and related fields.

The enhancement of consultancy services is among the strategic goals of ARU, which stresses that in addition to the need to enhance consultancy work at national and international levels, there is also a need to:

a) Expand consultancy and public services undertaking;

b) Enhance complementary between consultancy, and research and teaching;

c) Promote community outreach support;

d) Recognize and reward outstanding consultancies; and

e) Solicit feedback from the implementing country outreach programmes and consultancy services.

The ARU Corporate Plan 2009/10 – 2018/19 stresses the need to further strengthen the ARU Consultancy Unit to be able to better coordinate consultancy activities and enhance quality control. Furthermore, the ARU Three Year Rolling Strategic Plan 2009/10 – 2011/12 also emphasizes the necessity of creating a balance in teaching, research and consultancy activities. However, in its endeavour to offer consultancy services, ARU
has faced a number of challenges that include among others, how to translate consultancy experience into teaching, research and human resource capacity building. It is, therefore, necessary to have in place a policy to address the above-mentioned challenges with the aim of enabling the University to better respond to opportunities in the respective consulting areas.

2.2 The Vision of the Policy
The vision of the Consultancy Policy is to be the link between the University and the outside world comprising clients and the community at large for the purpose of enhancing knowledge based on consultancy endeavours.

2.3 The Mission of the Policy
The Mission of the Consultancy Policy is to achieve ARU values through subscription to professional and ethical standards by ensuring efficiency, effectiveness, timely delivery of consultancy services, transparent decision-making and translation of consultancy experiences into research and teaching.

2.4 The Main Objective
The main objective of the Consultancy Policy is to provide guidance to Ardhi University in the consulting environment thereby contributing to the enhancement of the quality of teaching and research.
2.5 **Specific Objectives**

The specific objectives of the policy shall include the establishment of a framework for the coordination of consultancy activities as follows:

(i) To provide consultancy services to the private and public sectors - aiming at solving technical, economic and environmental problems in the fields of land management, urban regional and rural planning, environmental management, urban design, design of the built environment, building economy, facility and property management, land surveying and related fields;

(ii) To provide guidance on how practical knowledge acquired in the course of consultancy experience can be used to enhance teaching and research;

(iii) To set appropriate coordination and management systems for consultancy activities at the University;

(iv) To set guidelines that will ensure equitable access to consultancy assignments by all members of staff;

(v) To set a system and process for getting regular feedback from clients/customers;

(vi) To develop and maintain effective and sustainable University infrastructure and institutional capacities for carrying out consultancy;

(vii) To establish an Information Management System, i.e. a database for information on consultancy activities, so as to enhance monitoring
and evaluation of consultancy activities as well as the consultancy output database;

(viii) To cultivate relevant partnerships and networks in consultancy; and
(ix) To ensure that all consultancy activities are insured through professional indemnity.

2.6 **Scope of the Policy**

The Policy embraces the interest and relevance to:

(i) All Schools, Institutes/Directorates, Academic/Administrative departments and other institutional structures operating under the umbrella of the University;

(ii) All permanent and temporary staff, who are active in teaching, research, administration and provision of any form of support to the core functions of the University; and

(iii) All infrastructures, learning resources, governance/institutional set up, information dissemination structures and social amenities belonging to the University.

2.7 **SWOC Analysis**

Increased volume and new areas for public service, research, and teaching have brought up new demands for quality assurance and risk management in their deliverance. ARU is now in competition with other public institutions and the private sector in many areas where it is offering its services. There are increased demands by professional registration boards, the new Public Procurement Act (2011) and increased general government
requirements for carrying out consultancy services. The University needs to take stock of its strength, weaknesses, opportunities and challenges (SWOC) for undertaking consultancy and contracted research. Section 2.8 gives the summary of the strengths, weaknesses, opportunities and challenges faced by the University.

2.8 Strengths, Weaknesses, Opportunities and Challenges

Strengths

ARU has the following strengths that it can capitalize on in carrying out consultancy and contracted research projects:

(i) Is one of the few Universities that trades in land and built-environment related subjects and remains to be so for the foreseeable future;

(ii) Strong expertise in quality, number and experience for carrying out consultancy works;

(iii) Innovative and proactive members of staff who have taken the initiative to maintain a strong infrastructure in terms of equipment, laboratories, hardware and ICT facilities and knowledge;

(iv) A commendable track record in undertaking consultancy works for the government, private sector and international organizations;

(v) Existence of specific internal operational policies and procedures; including the Quality Assurance Policy (2007), Health Service Policy (2008), Gender Policy (2008) and Anti-Corruption Policy
that exist at ARU. There are also income generation and investment guidelines in place;

(vi) Existence of staff that are members of and/or registered by statutory bodies and professional associations. For example; the Architects and Quantity Surveyors Registration Board, (AQRB), the Engineers Registration Board (ERB), the Royal Institute of Chartered Surveyors (RICS), the National Council of Professional Surveyors (NCPS), and the Town Planners Registration Board (TPRB);

(vii) Existence of regional and international links with other Universities, Institutions and Centres, which give ARU an opportunity for capacity building and knowledge transfer in its three-pronged core mission (i.e. teaching, research and consultancy). These include the Land Administration Unit link with ITC – The Netherlands, and Dortmund University;

(viii) Competence in land and built-environment related disciplines under one roof, which makes it easy to execute projects that require multi-disciplinary teamwork;

(ix) Strong network linkage as a result of its graduates being placed widely in both the public and the private sector;

(x) Trust of the general public on the capability of ARU to deliver consultancy activities;

(xi) Significant recognition of ARU Staff in their professional fields; and
(xii) Conversion and extension of consultancy activities to enhance research and publications.

b) Weaknesses

The Major weaknesses observed in relation to carrying out consultancy services are as listed below:

(i) Weak structural and functional linkage of ACU to harmonize and synchronize the functions of the existing consultancy activities at unit level across the University;

(ii) The absence of guidelines for the dissemination of consultancy work to the ARU community and the public at large;

(iii) The absence of a clear mechanism for translating consultancy work into teaching and research activities;

(iv) Weak consulting unit structure coupled with the absence of a mechanism for facilitating capacity building of staff members in consultancy capacity;

(v) Lack of a designated working space for consolidated consultancy activities;

(vi) Unstructured strategies for marketing ARU consultancy capabilities.

(vii) Weak enforceable mechanisms for monitoring and evaluation of consultancy activities; and
(viii) Lack of relevant legal support in contract negotiation and apprehension of standard statements related to procurement of consultancy services.

c) Opportunities

The following are the major opportunities that ARU can hinge on to further excel in its consultancy services endeavour:

(i) A booming real estate and construction industry sector in the national economy;
(ii) Translation of consultancy experience to enhance teaching and research;
(iii) Good atmosphere for joint consultancy services with national and international linkages, private and Non-Governmental Organizations (NGOs) as well as Community Based Organizations (CBOs); and
(iv) Integration of consultancy and academic activities in order to promote the complementary between them.

d) Challenges

The major challenges related to carrying out consultancy projects at ARU relate to the following:

(i) Growing competition brought about by globalization and regionalisation;
(ii) The tendency for renowned researchers and consultants to independently engage in private consultancy; and

(iii) The changing world of technology, which necessitates ARU to cope and adapt to new ways of doing consultancy.
3.0 POLICY ISSUES, STATEMENTS, STRATEGIES AND OPERATIONAL PROCEDURES

This section elaborates the six focal policy areas, (mentioned in the preamble of this report), which were identified and recommended by the review committee. These policy areas are closely aligned with the vision and mission of ARU and are presented along with associated operational procedures. In the context of the said areas of concern, situation and policy issues have been identified, policy statements articulated and strategies and operational procedures specified to address each of the identified policy areas as presented in sections 3.1 – 3.6.

3.1 Coordination and Management of Consultancy Activities

(a) Situation Analysis

Notwithstanding a few positive contributions associated with UCU and later ACU, during the nine years of implementation of the ARU Consultancy Policy (i.e. since 2001), ACU’s authority and influence to steer the various existing consultancy activities in the academic departments within the University structure is undefined. ACU has not been successful in demanding reports and inventories on consultancy undertakings.

ACU has had no power to oversee the whole execution process. Instead, it has been active only during the signing of contracts and disbursement of consultancy proceeds. Furthermore, ACU lacks an efficient and effective
communication structure to facilitate smooth communication with consultancy units at departmental and School/Institute levels.

Generally, ACU has not received enough support to enable it to commit itself fully to the facilitation of the execution of projects at the University level. Working space, facilities and resources at ACU are inadequate to cater for administering the affairs of the Unit and its routine activities. ACU has had no facilities in terms of physical space, manpower and equipment that would have enabled it to fulfil its functions. These include lack of internal and external marketing, quality control, capacity building, as well as soliciting and coordinating consultancy activities.

(b) Policy Issues

(i) The absence of a clearly defined structural and functional capacity of ACU and consulting units at Departments/ Schools/ Institutes to facilitate its coordinating function at the University; and

(ii) Undefined working space for consultancy services.

c) Policy Statement

ARU shall restructure the consultancy unit for it to have a clear mandate to coordinate, promote, regulate and demand accountability for consultancy performance at the University.

(d) Strategies

(i) To review the regulatory framework pertaining to the mandate and functions of ACU with the view to empowering it to
effectively coordinate and manage consultancy activities at and across the University;

(ii) To strengthen human and physical resource capacity for handling routine matters and institutional development;

(iii) To integrate consultancy processes along professional lines and thus avoid fragmentation; and

(iv) To establish a functional database and regularly update consultants’ mailing addresses and email addresses of potential clients to ease communication regarding consultancy activities.

e) Operational Procedures

(i) The University shall restructure the organizational framework for consultancy functions of ACU to enable it to directly coordinate and manage consultancy activities across the University;

(ii) The University shall establish Professional Consulting Units (PCUs) in schools/institutes on the basis of the different disciplines at the University;

(iii) Schools/Institutes/Directorates shall lay down operational procedures for respective PCUs;

(iv) Each PCU shall develop comprehensive staff profiles that will help to strengthen human and physical resources;

(v) ACU shall establish a system to ensure access and utilization of consultancy information both in electronic and print formats;
(vi) Schools/Institutes shall facilitate the development of a favourable environment for the execution of consultancy work by providing a well-equipped working base;
(vii) Schools/Institutes shall ensure the availability of necessary consultancy facilities and resources for optimal utilization; and
(viii) ACU shall establish a practical and effective system for delivery of consultancy engagements.

3.2 Capacity Building and Enhancement of Teaching and Research

(a) Situation analysis

Although the University comprises of a growing number of staff members with high academic qualifications, some have not registered themselves with their respective professional boards. While it is an individual effort to build up professional capacity by undertaking professional training and examinations, there is no platform to encourage and enforce the members of staff to register with professional bodies in their respective fields. Only a few staff members dominate the consultancy environment, and there is an increasing number of members of staff who are starting their own private companies, thus carrying out consultancy work outside the umbrella of the University. There is also no forum for integrating, disseminating the knowledge and experiences gained through consultancies, and no efforts have ever been made to translate the acquired consultancy experiences into teaching tools and/or for the improvement of theoretical bases at the university in general. As a result, consultancy work
is seen to negatively affect teaching and research activities instead of reinforcing them.

b) Policy Issues
   
   (i) Some staff members do not have the prerequisite professional requirements to engage in consultancy activities; and
   
   (ii) Lack of a mechanism to translate consulting experience into teaching and research.

c) Policy Statement

| ARU shall build consultancy capacity of its staff members and embark on the translation of consultancy experience into teaching and research at the University. |

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<td>(i) To develop and implement a professional capacity development programme focussing on short-medium-and long-term consultancy needs;</td>
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<tr>
<td>(ii) To create University-wide compliance on professional and ethical standards;</td>
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<tr>
<td>(iii) To ensure consultancy experience is translated into teaching and research;</td>
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<tr>
<td>(iv) To create a balance between the three main functions for the university – teaching, research and consultancy; and</td>
</tr>
<tr>
<td>(v) To influence external stakeholders on amalgamated consultancy proficiency.</td>
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</tbody>
</table>
e) Operational Procedures

(i) ACU shall develop and foster the required professional requirements, through the Professional Consultancy Units (PCUs), by complying to the ethics and professional code of conduct on all consultancy matters;

(ii) ACU shall require all consultants to register with their respective professional boards;

(iii) ACU shall take measures to stimulate consultancy interest among junior and other staff members who have limited experience in consulting;

(iv) Deans/Directors and Heads of academic departments shall put in place mechanisms for the dissemination of consultancy experiences through public seminars, consultancy reports, teaching manuals and publications;

(v) Heads of academic departments/institutes shall organize public presentations of consultancy outcomes through the respective PCUs;

(vi) Deans /Institute Directors shall require individual staff members to demonstrate how the consultancy work they have been engaged in has been used to improve teaching materials and/or processes;

(vii) Heads of Department and individual consultant lecturers shall embody (wherever possible) experiences/findings of consultancy activities through teaching and research; and
(viii) Quality assurance will be carried out annually to consult ensure the contribution of consultancy to teaching and research.

3.3 Optimal Utilization of University Resources

(a) Situation Analysis

The UCU, (now ACU), was established to fully utilize available resources from the University, and to provide professional services to industry and the public as a whole. To date, ARU has not been successful in the utilization of its resources in the market place, be it in normal consultancies or in contracted research.

The tendency of the members of staff to carry out consultancy work outside the umbrella of ARU deprives the staff members the opportunity to use the consultancy experience to promote the University. In addition, the practice of carrying out consultancy assignments without registering them through ACU or using expertise outside ARU, deprives the growth of the ACU’s portfolio and inhibits the optimal utilization of existing resources.

(b) Policy Issues

(i) Underutilization and imbalance of skills/resources available at the University; and

(ii) Lack of a system that will ensure equal access to professionally organised projects.

(c) Policy Statement

ARU shall ensure optimal use of the wealth of resources at the University by promoting an equitable and efficient working environment for consultancy activities undertaken by staff members.
(d) **Strategies**

(i) To expand the consultancy procurement process at all levels;

(ii) To set up a mechanism for motivating staff members to attach importance to and work under the consultancy unit;

(iii) To be in the forefront in the provision of services to the public whenever required; and

(iv) To create a framework for equitable distribution of consultancy works.

(e) **Operational Procedures**

ACU shall:

(i) Initiate and generate means for securing projects from various clients;

(ii) Set up an efficient incentive system to encourage consultancy activities under the umbrella of the University;

(iii) Set up a mechanism for motivating and rewarding consultancy performance both at institutional and individual levels; and

(iv) Put in place a mechanism that will ensure fair participation and nurture the spirit of sharing with regard to information, resources and infrastructure among the University consultancy units.
3.4 Market and Marketing

(a) **Situation Analysis**

Lack of regularly updated consultancy profile that facilitates bidding, marketing and the advertising of ARU’s capacities and capabilities within and outside the country, limits ARU’s marketing potential.

There is also an inadequate mechanism to capitalize on the changing needs and opportunities for consulting, align with market/customer characteristics and preferences, and gauge satisfaction with consulting activities. The volume of consultancy projects at the University is also affected by the lack of a strong network with other consultants both inside and outside the country to maximize the success rate in bidding.

(b) **Policy Issues**

(i) The absence of a robust marketing strategy that hinges on ARU’s consultancy potential; and

(ii) Minimum collaboration with other consultants.

(c) **Policy Statement**

ARU shall pursue/adopt a competitive marketing and strategic orientation of its consultancy capability.

(d) **Strategies**

(i) To embark on a system for exploring consultancy opportunities through respective consulting units;
(ii) To set up a mechanism for enhancing the marketing skills of staff members; and

(iii) To set up a system for fore-sighting upcoming consultancy assignments.

(e) **Operational procedures**

(i) Staff members shall equip themselves with entrepreneurship skills to enhance their marketing skills;

(ii) ACU shall set up a system for the identification of new consultancy assignments in the country and elsewhere in the region and beyond;

(iii) ACU shall continue to promote the consultancy abilities of the University in national and international exhibitions; and

(iv) ACU shall promote joint bidding in association with other consultants.

3.5 **Strategic Collaboration and Partnership**

(a) **Situation Analysis**

For quite some time, the University has been advocating the fostering of collaboration in consultancy activities between professional units, other universities, the Government, development partners, the private sector and other stakeholders at national, regional and international levels. However, there has not been a framework to facilitate such cooperation, and/or partnership with such various parties. As a result, the University has missed critical opportunities for networking and transfer of knowledge and technology both nationally and internationally.
(b) **Policy Issues**

(i) Limited networking and collaboration in consultancy and research activities between the University and other stakeholders at national, regional and international levels; and

(ii) Limited opportunities to gain from or impart knowledge and technology transfer.

(c) **Policy Statement**

The ARU shall promote linkages, collaborative partnerships and working relationships between professional units, the Government and local and foreign development partners including the Diaspora.

(d) **Strategies**

(i) To establish and to strengthen collaboration between ARU and other regional and international coordinating bodies;

(ii) To develop a database of commissions and institutions at national, regional and international levels and establish working relationships with these institutions;

(iii) To initiate collaborative consultancy and contracted research activities;

(iv) To harness, share and exchange experiences from consultancy and contracted research activities; and

(v) To initiate and promote networking with other consultants so as to maximize the success rate in the bidding process.
(e) **Operational Procedures**

ACU shall:

(i) Establish a mechanism that will enhance collaboration between all professions and Schools in the development and nurturing of multi-consultancy collaboration processes;

(ii) Create avenues for co-operation in joint consultancy with other related government institutions (such as Tanzania Building Agency (TBA) national Housing Corporation (NHC) Building Research Agency (BRA) and others;

(iii) Establish a mechanism for periodic feedback from related government and private sector companies on the performance of consultancy activities;

(iv) Establish and strengthen consultancy associations with the private sector and expert individuals;

(v) Establish, through PCUs, liaison offices in major urban areas to coordinate the handling of issues related to consultancy activities on land development; and

(vi) Establish a communication stream with ARU Diaspora to foster closer collaboration not only in consultancy matters, but also in research and academic endeavours.

### 3.6 Monitoring and Evaluation

(a) **Situation Analysis**

There is no institutional mechanism for assessing consultancy performance at ARU, neither is there a formal system for the monitoring and evaluation
of consultancy activities, nor a means of getting feedback from practitioners. ARU has no institutional mechanism for appropriate vetting of consultancy proposals and protocols.

(b) **Policy Issue**

(i) Lack of a mechanism to guide the monitoring and evaluation of consultancy activities by the University.

(c) **Policy Statement**

| ARU shall put in place a mechanism to ensure quality assurance in consultancy activities that incorporates monitoring, evaluation and reporting. |

(d) **Strategies**

(i) To adapt a university-wide checklist of performance indicators aimed at ensuring quantifiable inputs and outputs from consultancy activities and ascertaining how each consultancy project addresses issues relevant to the core missions of the University, that is Teaching, Consultancy and Research;

(ii) To develop and formulate consultancy performance and impact indicators for use in the monitoring and evaluation of consultancy activities;

(iii) To conduct periodic evaluation (at identified stages) of consultancy activities; and

(iv) To ensure that sound ethical practices are adhered to and the handling of consultancy activities is monitored and evaluated; the minimum standard being the code of conduct of the relevant profession as stipulated by the professional boards and
associations.

(e) **Operational Procedures**

The Universities shall:

(i) Put in place operational guidelines on the procuring and processing of consultancy projects;

(ii) Initiate and enforce guidelines for responsive disbursement of consultancy revenues to all parties and ensure equity among the various units, consultants and participants; and

(iii) Set up guidelines to ensure a continuous and systematic investigative process for the management of consultancy units and for appraising their performance.
PART II – ORGANIZATION AND OPERATIONAL GUIDELINES
4.0 MANAGEMENT AND ORGANIZATION OF THE ARU CONSULTANCY UNIT (ACU)

4.1 Reinforcing the ARU Consultancy System

In line with the six focal policy areas, the ARU consultancy system needs to be reinforced in the way it operates, and how it relates to the University system as a whole. The current ACU shall operate with a more defined mandate that will help to enhance better management of consultancy services by creating a more focussed environment for improved information management, storage, retrieval, and feedback. Furthermore, it shall be better positioned for quality control of academic and research responsibilities and value creation.

ACU shall be a University-wide body that will coordinate consultancy activities in the various professional fields at the University. The existing consulting units that are departmental/school/Institute based will be strengthened to become professionally based consultancy firms that are equivalent to the respective disciplines at ARU, and shall be referred to as “Professional Consulting Units (PCUs)” headed by “Consultancy Coordinators”. In this regard, the Units will have to be registered with the respective registration boards. Furthermore, each Unit will be based in one host academic School or Institute and all consultancy services falling within the associated discipline of the Unit shall be routed through the said Unit irrespective of whether the consultancy job originated from within the School or from any other part of the University.
4.2 Streamlining Consultancy Procedures

Each PCU shall be responsible for establishing operational procedures and a system for monitoring and evaluating projects to suit their needs, enhancing skills in the respective disciplines and ensuring equitable participation of staff in carrying out consultancy projects.

On account of the varying nature of consultancy services that are offered at ARU, each PCU will be required to have its own tailor-made procedures and regulations for securing consultancy projects, implementation, and remuneration to participating staff in line with the disbursement categories and guidelines in this policy.

4.3 Organizational Set-up of ACU under the University Structure

ACU is to be an integral unit of the University system as shown in Figure 1.
Figure 1: Organization Structure of ARU showing the relationship between ACU and the PCUs
4.3.1 Organizational Set-up and Functions of ACU

ARU has two Deputy Vice Chancellors, namely Deputy Vice Chancellor Planning, Finance and Administration (DVC-PFA) and Deputy Vice Chancellor Academic Affairs (DVC-AA). Consultancy services fall under the Deputy Vice Chancellor (Academics Affairs). The ACU Director is directly answerable to the DVC-AA on consultancy projects and contracted research. Furthermore, a Board, Management and Secretariat whose structures are described below, govern ACU.

(a) The ACU Board

The ACU Board consists of the following members:

(i) The Deputy Vice Chancellor (Academics Affairs) who is the Chairperson;

(ii) The ACU Director who is also the Board Secretary;

(iii) Deans/Directors of each School/Institute;

(iv) The Bursar; and

(v) ARU Corporate Counsel.

(b) The ACU Management

The ACU Management comprises the following persons:

(i) The ACU Director who is the chairperson;

(ii) Professional Consultancy Unit Coordinators;

(iii) The Projects Administration Officer (PAO) who is the Secretary of the ACU Management; and

(iv) The ACU accountant as a co-opted member.
ACU shall be a managing and facilitating body with the Professional Consultancy Units as its strategic Business Units (BUs), primarily responsible for promoting their own capacities, engaging clients, preparing consultancy proposals and managing the implementation of projects. The role of ACU vis-à-vis that of the Units, will be to support their development into vigorous, specialized and sustainable Units that are closely linked to it. “Coordinators” shall head the Units. The linkage between ACU and the PCUs is shown in Fig. 2.
Figure 2: Organization Structure of ACU
The benefit of having professional based units is to create an incentive for professional development and enhancement. It is also an incentive for those specialisations/professions that have not yet established themselves to offer consultancy services, including new programs at ARU such as Economics, Accountancy, and Facilities Management.

Each School/Institute at the University will identify its core competencies and work towards setting them as Professional Consultancy Units in line with the ACU operational procedures and other respective professional regulations.

ACU shall not be allowed to conduct consultancy assignments; instead, where a consultancy service, contracted research or continuing education project is secured through ACU, this shall be delegated to a relevant PCU. For multi-disciplinary projects that involve two or more units, ACU shall appoint a “Lead” unit, depending on where the consultancy requirements in terms of professional expertise are mostly inclined. The Lead professional consultant Unit shall then appoint a lead Consultant to coordinate the other consultants.

4.3.2 The Mandate of ACU

ACU shall be responsible for the following:

a) To ensure harmonious relationships between and among consulting units. This includes defining the role of different units to minimise overlaps;
b) To make available procedures and guidelines for undertaking consulting activities and ensuring compliance;

c) To ensure quality of individual consulting assignments with QA principles followed by all consulting units across the University;

d) To market the consultancy functions. This includes taking note of the changing needs and opportunities for consulting, market/customer characteristics and preferences; properly overseeing consulting activities and approaches and promoting consulting capacities; promoting PCUs; and improving relations with relevant government bodies, donor agencies, industries and interested parties in Tanzania and overseas;

e) To working out schemes that will motivate staff at the University to carry out consultancies through the University machinery;

f) To capture, store, retrieve and disseminate information on consulting opportunities, projects, experts, staff participation, and the income generated;

g) To monitor and evaluate the quality and efficiency of consulting activities and the output and impact derived for the cumulative benefit of the University, its staff, clients and the society in general;

h) To obtain and develop working space necessary for carrying out the consultancy projects in the manner to be prescribed;

i) To provide the means for the University staff to gain professional experience that can be transferred to students and thereby improve the quality of outputs; and
j) To put in place provisions for professional indemnity coverage for each PCU and individual projects.

4.3.3 Staffing Levels

Staff at ACU shall comprise the Director, the Project Administrator, Accountant, Secretary and Driver/Messenger.

a) The ACU Director

- **Qualifications:** He/she shall be a senior academic staff member with proven professional and managerial experience including adequate knowledge and experience of the University operational systems.

- **Main Duties**

  The ACU Director shall have the following duties:

  (i) To manage and administer consultancy, contracted research, and public services;

  (ii) To coordinate and liaise with consultancy Units and consultancy institutions locally, regionally and internationally;

  (iii) To build and maintain a database of capacities of ARU consultants and a checklist of necessary/relevant details;

  (iv) To develop and review policies on the marketing of the ARU human resource capacity for consultancy, contracted research and professional development;

  (v) To liaise with government departments, private and public sector organizations, education institutions, donor agencies and other consultancy institutions on issues related to consultancy services;
(vi) To oversee the preparation of strategic plans for the Unit in collaboration with respective PCU coordinators;
(vii) To oversee the preparation and implementation of promotional activities for consultancy services at the University; and facilitate the signing of contracts with clients;
(viii) To facilitate and submit before the ARU management/relevant organs, the annual budget and financial performance reports (income and expenditure), including balance sheets and other statements of ACU;
(ix) To receive and disburse payments;
(x) To represent the unit in various Management Committees of the university and of relevant organs; and
(xi) To facilitate the auditing of the ACU accounts through the University’s central system.

b) Main Duties of Deans and Director
Deans and Director shall have the following duties:
(i) To lay down operational procedures for respective PCUs;
(ii) To facilitate the development of a favourable environment for the execution of consultancy work by providing a well-equipped working base;
(iii) To ensure the availability of necessary consultancy facilities and resources for optimal utilization;
(iv) To put in place mechanisms for the dissemination of consultancy experiences through public seminars, consultancy reports, teaching manuals and publications;

(v) To ensure that heads of academic departments/institutes organize public presentations of consultancy outcomes through the respective PCUs;

(vi) To put in place platform and guidelines for individual staff members to utilize the outputs of consultancy works they have done in order to improve teaching materials and/or processes; and

(vii) To embody, (wherever possible), experiences/findings of consultancy activities through teaching and research.
4.4 **Organizational** Structure of the Professional Consultancy Units (PCUs)

The structure for the PCUs will have three main levels as illustrated in Figure 3.

![Organization Structure of the Professional Consultancy Units](diagram)

**Figure 3: Organization Structure of the Professional Consultancy Units**

The PCUs shall be at the disposal of all academic and support staff as well as facilities of the respective units to the extent that the relevant Government Acts, Statutory and Professional Regulations and by-laws of the respective profession permit.

In cases where units already exist, they only need to be strengthened and the link with the ARU Director reinforced. In addition, they need to have:
(i) Their own business plan complete with a marketing plan regarding clientele and project procurement to ensure that the established units do not compete for clients and staff;

(ii) An appropriate governance structure with representation from internal stakeholders and where preferred external stakeholders (the latter is optional); and

(iii) An Advisory Committee chaired by the head of the hosting department with representation from other consultancy units (the coordinator).

4.4.1 The Mandate of the PCUs

The consultancy units shall have the following tasks:

(a) To facilitate the dissemination of the educational value component of consultancy work through seminars, workshops, publications and public presentations;

(b) To optimise the use of University expertise and resources in solving societal and related problems;

(c) To make University training services available to the general public through short and medium-term programmes in order to ensure that members of staff keep abreast with the rapidly advancing knowledge and technology;

(d) To provide expert technical support to existing industrial linkages and facilitate development of the built environment;

(e) To acquire knowledge on new developments and needs in the trade and adjust their business plans accordingly;
(f) To facilitate the establishment and enhancement of contacts and relations between the University staff and industry and the wider clientele;

(g) To provide a platform through which the University staff can transfer their knowledge and skills to the industry and the society; and

(h) To enhance the University’s ability to provide financial support for the other two core missions, namely teaching and research.

4.4.2 The Consultancy Unit Advisory Committee (CUAC)

Membership to the Consultancy Unit Advisory Committee shall comprise the Coordinator of a given unit and three senior members. The head of the hosting department will chair the CUAC and the ACU Director shall be a co-opted member whenever the need arises.

Duties and Responsibilities of the PCU Consultancy Advisory Committee

In order for the unit to work efficiently and effectively as well as to portray a good image of the University in consultancy and services to the public, the PCU Advisory Committee shall be responsible for the following:

(i) To advise the PCU Coordinator on all matters related to the running of the Unit;

(ii) To advise the PCU Coordinator on the content of the new operational procedures or policies for the Unit before their submission to ACU for consideration;

(iii) To receive and discuss the Unit’s annual and five year strategic plans for onwards submission to ACU;
(iv) To set realistic performance targets for all long term projects;
(v) To undertake quarterly performance reviews and, where appropriate, make recommendations to ACU on actions to be taken; and
(vi) To provide smooth linkage or liaison between the different PCUs and Schools/Institutes or academic departments.

4.4.3 PCU Coordinators

(a) Qualifications: PCU Coordinators shall be registered with respective professions (where relevant) and should possess proven managerial experience, including extensive knowledge and experience in consultancy work and in the University system. The coordinators shall be obtained through the search system of the University and approved by the ACU Board.

(b) Main Duties

The PCU Coordinator shall perform the following duties:

(i) Solicit consultancy and (technical) services;

(ii) Coordinate, administer and monitor cooperation with relevant entities with regard to consultancy, community services and Professional Development Programme (PDP) courses in related fields;

(iii) Identify suitable consultants to undertake acquired consultancy assignments;

(iv) Approve and forward to the payment schedule for team members to ACU;
(v) In liaison with corresponding academic deans, directors and heads prepare, organise and disseminate academic, research and consultancy projects undertaken by respective team members through publications, seminars, public presentations and academic teaching materials;

(vi) Develop and review policies on the marketing of professional consultancy of the Unit’s human resource capacity for contracted research, consultancy work as well as professional development;

(vii) Establish and effectively enforce quality control measures;

(viii) Prepare brochures and profiles;

(ix) Prepare periodic strategic plans for the Unit; and

(x) Participate in strategic public events in order to effectively promote the Unit’s activities.

4.4.4 The Project Team Leader

(a) **Qualifications:** The Project Team Leader shall be a person registered with respective professional board (where relevant) and should possess proven managerial experience, including extensive knowledge and experience in consultancy work and in the University system.

The PCU Coordinator shall appoint the Project Team Leader as per relevant requirements pertaining to the acquisition of the project.
(b) Responsibilities of Project Team Leader

The project team leader shall have the following responsibilities:

(i) To ensure that consultancy project processes are properly and formally followed and communicated to ACU (through the submission of Expression of Interest);

(ii) Prepare technical and financial proposals;

(iii) Lay down all procedures required for the signing of contracts (contract agreement);

(iv) Sign a performance commitment with ACU (together with key participants in the project);

(v) Implement the project with the assistance of other consultants and support staff;

(vi) Prepare and submit the required project reports;

(vii) Ensure that projects are executed within the contract time, quality and budget;

(viii) Arrange for the presentation of project progress reports to relevant entities as required;

(ix) Avail and submit required copies of projects to ACU and the PCU Coordinators; and

(x) Initiate payment documents and requirements according to the contract/agreement.
5.0 OPERATIONAL PROCEDURES FOR CONSULTANCY SERVICES TO ENHANCE AND/OR COMPLIMENT THE RELATIONSHIP BETWEEN CONSULTANCY AND RESEARCH AND TEACHING

5.1 The Relationship between ACU and other Organs of the University

5.1.1 The Relationship between ACU and the CCE
ACU shall collaborate closely with the (Centre for Continuing Education) CCE at the University to avoid duplication of tasks in continuing education activities. For the smooth running of PDP courses, responsible PCUs shall seek, identify and liaise with the CCE on how to run respective courses. To this and:
(a) All PDP courses shall be coordinated by the CCE, but run by the respective PCU; and
(b) Where PDP course assignments are acquired through the CCE, it shall route the same to the responsible PCU for carrying out such courses.

5.1.2 The Relationship between ACU and Individual Schools/Institutes
All Schools/Institutes shall create awareness and nurture the willingness of the various PCUs and their staff to collaborate with ACU in the area of reporting on consultancy activities. In order to link consultancy with teaching and research activities, Deans/Directors of Schools/Institutes shall do the following:
(a) Inform all academic members of staff on the requirement to report
/register all consulting assignments that are being executed. This should be done via a circular both in electronic and print version to each member of academic staff; and

(b) Coordinate the dissemination of the academic and research component of consultancy endeavours.

5.2 Enhancement of Teaching and Research Based Value

The following processes and criteria shall be used to attain academic and research values from consultancy endeavours:

(i) The Schools/Institutes shall organize presentations and seminars where members will discuss their consultancy undertakings;

(ii) The Heads of academic departments will require all members to submit independent reports of their consultancy activities indicating the professional inputs and findings, and knowledge gained from the said consultancy assignments;

(iii) At the school level, members should be required to publish the outcome of their consultancy activities;

(iv) ACU shall organize annual conferences based on consultancy activities of various professional units and encourage sharing of experiences;

(v) The University shall make it mandatory for all members to disseminate consultancy experiences through reports, seminar papers and knowledge sharing;

(vi) Whenever possible, articles and/or books originating from the different consultancy projects shall be published; and
(vii) Teaching through consultancy projects (for architectural studio design programmes, planning programmes, land surveying, etc) shall be encouraged.
6.0 OPERATIONAL PROCEDURES FOR CONSULTANCY, SERVICES AND PROFESSIONAL DEVELOPMENT PROGRAMMES

6.1 Identification of Consultancy Projects

Individual members of staff, departments, units, and /schools/institutes are encouraged to solicit for consultancy projects from clients, provided the same are contracted through normal procedures of the University system/Consulting Units. Figure 4 shows the most probable entry points, for solicitation of consultancy projects - directly or indirectly through:

(a) The ACU Director;

(b) The PCU Coordinators;

(c) The University system/organs (Vice Chancellor and Deputies, Dean/Directors, Heads of Departments);

(d) Individual members of staff in the respective Schools/Institutes;

(e) Solicitation from the client and any persons with goodwill towards the University; and

(f) Advertised consultancy assignments via the media.
Figure 4: Entry points for project acquisition by ACU
6.2 Project Flow Stages

6.2.1 Projects Acquired by the ACU Director/PCU Coordinator

Consultancy projects, including service jobs and PDP courses acquired by the ACU Director shall be routed to the PCU Coordinator of the respective consultancy and will be examined using the stages shown in Figure 4 above. Processing will take into account the speed and efficiency of the work and will adhere to the following stages:

Stage 1: The ACU Director for registration and identification of the appropriate PCU receives Project at any entry point.

Stage 2: The ACU Director directs the project to the relevant PCU.

Stage 3 The PCU Coordinator expresses intent and sends an Expression of Interest (EOI) to the procuring entity and a COPY TO THE ACU DIRECTOR. S/he appoints a team leader and team members who will execute the project in view of the entry point of the project [see section 6.2.2 (a) and (b) for a caveat].

Stage 4: The project team leader prepares a technical and financial proposal for submission to the client and NOTIFIES ACU FORMALLY IN WRITING through the PCU Coordinator.

Stage 5: The team leader arranges for the preparation and signing of contracts/agreements with the CLIENT.

Stage 6: The Project Team Leader and the key participants in the project sign a contract with ACU.
Stage 7: ACU allocates a registration number to the consultancy project (If not yet done at stage 1).

Stage 8: The Project Team Leader implements the project together with the team members/consultants and support staff. The PCU Coordinator monitors progress of the project and accordingly approves fund disbursements (note: professional statutory requirements should be adhered to in accordance with the relevant profession).

Stage 9: The PCU Coordinator assesses the quality and completeness of the report prior to its submission to the ACU DIRECTOR.

Stage 10: The Project report is submitted to the Client with a copy to THE ACU DIRECTOR.

Figure 5 summarizes the different stages of project execution process.
RESPONSIBLE PERSON (S)                      ACTIVITY

Stage 1: ACU Director / Project Assignment Received

Stage 2: PCU Coordinator Project directed to relevant PCU Coordinator (Copy)

Stage 3: PCU Coordinators Preparation of Expression of Interest to carry out the project (EOI)

Stage 4: Project Team Leader Preparation of technical and financial proposals

Stage 5: Vice Chancellor Signing of contract agreement with the Client

Stage 6: Project Team Leader/ Consultants Signing of performance agreement with ACU

Stage 7: ACU Project Coordinator Project Registration

Stage 8: Project Team Leader/ Consultants Implementation and Monitoring of Project

Stage 9: PCU Coordinator Assessment of quality and completeness of draft report and submission of draft report (quality control) in line with the contract conditions

Project Assignment Received

The Client

Preparation of Expression of Interest to carry out the project (EOI)

Preparation of technical and financial proposals

Signing of contract agreement with the Client

Signing of performance agreement with ACU

Project Registration

Implementation and Monitoring of Project

Assessment of quality and completeness of draft report and submission of draft report (quality control) in line with the contract conditions
PCU Coordinator
Team Leader

Work on client’s comments on draft project report to their satisfaction

Stage 10: PCU Coordinator/
Project Coordinator

Submission of final report to the client + COPY to ACU

Figure 5: Project implementation flow chart for consultancy activities
6.2.2 Projects Acquired by the University System (Management /School/ Department/ Institute)

Consultancy projects that are acquired through the University system, that is, through the office of the VC, DVC, Dean or Head of Department, will be transmitted to the ACU Director for assessment of viability, practicability, and appropriateness as indicated in Figure 4. The project flow will entail the following stages:

**Stage 1:** Project is received at entry point and passed on to the ACU Director together with the relevant information that will assist the Director to identify the appropriate PCU to undertake the project.

**Stage 2:** Coordinator of relevant PCU will appoint a Project Team leader and/or consultants.

**Stages 3 to 10** will be executed as indicated in Figure 5

However, the following should be noted:

(a) When appointing the Project Team Leader and other team members, the PCU Coordinator shall ensure equity and capacity building of staff is taken aboard.

(b) Staff members of ACU should carry out their consultancy services under their respective PCUs within the prescribed and allocated space(s) for the project.
6.2.3 Projects Acquired by Individual Members of Staff Participating in Carrying out the Project

When a consultancy project is acquired through an individual member of staff, the School/Institute to which the respective staff member belongs will transmit the project to the relevant professional PCU Coordinator for assessment of viability, practicability, and appropriateness as indicated in Figure 4. In this case, the project flow will entail the following stages:

**Stage 1**: Project assignment is received at entry point and passed on to the Unit Coordinator for registration at the Unit. It is then sent to ACU for the same.

**Stage 2**: The PCU Coordinator, in collaboration with the respective individual staff member(s) who has/have acquired the project will appoint a Project Team Leader and other consultants. However, where necessary, the PCU Coordinator can modify the team based on his/her assessment of the professional viability and capability of the individual staff members/team that will carry out the project.

**Stages 3 to 10** will be executed as shown in Figure 5.

6.2.4 Projects Acquired by Individual Members of Staff Not Carrying out the Project

Consultancy projects that are acquired through an individual member of staff who will not participate in executing the project will first be transmitted to the PCU Coordinator for assessment of viability,
practicability, and appropriateness as indicated in Figure 4. Thereafter they will follow the stages identified below:

**Stage 1:** Project is received at entry point and passed to the appropriate PCU Coordinator for identifying consultants to undertake the project.

**Stage 2:** The PCU Coordinator will appoint a Project Team Leader or consultants.

**Stages 3 to 10** will be executed as indicated in Figure 5.

### 6.2.5 Payment Procedures

The following stages indicate the procedure for effecting payment once the contract has been signed and the persons responsible for each stage.

**Table 1: Procedure for effecting payments**

<table>
<thead>
<tr>
<th>STAGE</th>
<th>ACTION</th>
<th>RESPONSIBILITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Stage 1</td>
<td>Prepare a fee note as specified in signed Contract Agreement</td>
<td>Project Team Leader</td>
</tr>
<tr>
<td>Stage 2</td>
<td>Authorisation of fee note or certificate</td>
<td>The ACU Director</td>
</tr>
<tr>
<td>Stage 3</td>
<td>Prepare invoice for payment</td>
<td>The ACU Accountant</td>
</tr>
<tr>
<td>Stage 4</td>
<td>Effect payments to ARU</td>
<td>Client</td>
</tr>
<tr>
<td>Stage 5</td>
<td>Effect payments to ARU, School/Institute, ACU, respective Department/Institute and/or PCU</td>
<td>The ARU Bursar</td>
</tr>
<tr>
<td>Stage 6</td>
<td>Disburse respective fee to Associates and Consultants</td>
<td>Project Team Leader and PCU Coordinator</td>
</tr>
<tr>
<td>Stage 6</td>
<td>Effect payments to Associates and Consultants</td>
<td>The ACU Accountant</td>
</tr>
</tbody>
</table>
6.2.6 Obligation to Complete Contract Assignment
Members of staff must enter into contractual agreements with the professional PCU and are obliged to accomplish the assignment as specified in the terms of the contract. Defaulters will be subjected to disciplinary action as stipulated in the by-laws of relevant professional bodies and respective Ardhi University regulations.

6.3 Operational Procedures for Sharing Consultancy Revenues

6.3.1 Institutional Surcharges
The total institutional fee charged from consultancy jobs shall be 17 percent of the gross income, leaving 83 percent for the execution of the project and other direct costs. For projects, which involve the use of University equipment and machinery an extra charge of up to 15 percent of the gross income, shall be charged. All institutional fees shall be embedded in the total project cost submitted to clients. Table 2 shows the distribution of the 17% institutional fee.
### Table 2: Revenue sharing formulas for consultancy and PDP/service jobs

<table>
<thead>
<tr>
<th>S/No.</th>
<th>Consultancy Project</th>
<th>Percentage share</th>
<th>Services/PDP Courses</th>
<th>Unit</th>
<th>Percentage share</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Respective Department</td>
<td>1.5</td>
<td>Department</td>
<td>1.5</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>School/Institute</td>
<td>1.5</td>
<td>College/School/Institute</td>
<td>1.5</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>ACU</td>
<td>1.0</td>
<td>ACU</td>
<td>1.0</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>University Development</td>
<td>10.0</td>
<td>University</td>
<td>10.0</td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>ARUSS</td>
<td>3</td>
<td>ARUSS</td>
<td>3.0</td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td>Machine Charges</td>
<td></td>
<td>Machine Charges</td>
<td>Up to 15</td>
<td></td>
</tr>
</tbody>
</table>

The disbursement categories are further elaborated in Table 3.
### Table 3: Disbursement categories and guidelines

<table>
<thead>
<tr>
<th>S/N</th>
<th>Category</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>University Development</td>
<td>10</td>
</tr>
<tr>
<td>2.</td>
<td>Department/Centre/Institute</td>
<td>1.5</td>
</tr>
<tr>
<td>3.</td>
<td>School</td>
<td>1.5</td>
</tr>
<tr>
<td>4.</td>
<td>ARUSS</td>
<td>3</td>
</tr>
<tr>
<td>5.</td>
<td>ACU</td>
<td>1.0</td>
</tr>
<tr>
<td></td>
<td>Sub-total</td>
<td>17</td>
</tr>
<tr>
<td>7.</td>
<td>Execution of consultancy project (83% [Presented in ranges because different projects have different requirements])</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Professional PCU</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>• Honorarium to Consultants</td>
<td>0 - 20</td>
</tr>
<tr>
<td></td>
<td>• Per Diem</td>
<td>0 - 20</td>
</tr>
<tr>
<td></td>
<td>• Travel expenses</td>
<td>0 - 20</td>
</tr>
<tr>
<td></td>
<td>• Communication</td>
<td>0 - 1</td>
</tr>
<tr>
<td></td>
<td>• Report reproduction</td>
<td>0 - 10</td>
</tr>
<tr>
<td></td>
<td>• Equipment and instruments</td>
<td>0 – 30</td>
</tr>
<tr>
<td></td>
<td>• Laboratory tests</td>
<td>0 – 10</td>
</tr>
<tr>
<td></td>
<td>• Clerical assistance</td>
<td>0 – 2</td>
</tr>
<tr>
<td></td>
<td>• Assistants</td>
<td>0 – 20</td>
</tr>
<tr>
<td></td>
<td>• Sub consultants</td>
<td>0 – 40</td>
</tr>
<tr>
<td></td>
<td>• Stationery</td>
<td>0 – 3</td>
</tr>
<tr>
<td></td>
<td>• Purchase of documents ( including maps)/material</td>
<td>0 – 1</td>
</tr>
<tr>
<td></td>
<td>• Requirements of regulatory bodies</td>
<td>0 – 1</td>
</tr>
<tr>
<td></td>
<td>• Manpower (wherever applicable)</td>
<td>0-50</td>
</tr>
<tr>
<td></td>
<td>• Accommodation costs ( working space rental fee)</td>
<td>0- 5</td>
</tr>
</tbody>
</table>

Fixed percentages kept within the stated ranges above will be indicated in contract documents for ARU, ACU and the Professional PCUs to use for
accounting purposes. The honorarium payable to consultants is an incentive to encourage staff to win more projects for the University and shall not be treated as income to the recipients.

No further disbursement shall be made at any level, in particular, at the PCU level. Wherever a consultancy project is executed by a resident member of staff of a School, other than that which constitutes the PCU responsible for the project, an agreement must be drawn between the Project Leader and the resident school (with the staff executing the project) that will determine the sharing of the disbursable sums with the respective Department/Institute and/or School. The sharing may be 7:3 or 6:4 for resident school to the host school respectively. Therefore, the formula for revenue sharing for each project takes on board the following:

a) A fair percentage of gross income that will directly be paid to the University;
b) A fair percentage of gross income to Schools at ARU;
c) A percentage for ACU to contribute towards its running costs; and
d) A fair percentage of gross income to the PCUs to support the following:
   (i) Pre-financing of projects;
   (ii) Payment of honorarium to Consultants;
   (iii) Per diem;
   (iv) Transport/travel expenses;
   (v) Engagement of Sub-consultants and assistants;
(vi) Laboratory tests;
(vii) Marketing of consultancy activities;
(viii) Printing of brochures for marketing consultancy skills and equipment for jobs;
(ix) Overheads for maintaining the professional PCUs e.g. human resources; and
(x) Support towards costs for proposal writing and production of bid documents.

Machine charges for projects such as service jobs, consultancy jobs with components of service jobs and certain PDP courses that require the use of machines and equipment are for maintenance or buying of new equipment and machinery used during the execution of the project.

6.3.2 Estimation of Machine Charges
Charges up to 15% above the gross fees for the sole purpose of service, repair and maintenance or replacement of equipment, depending on machine usage time, shall be charged for services jobs or PDP courses that involve the use of machines and expensive equipment. This will be in addition to the 17 percent, institutional fee. However, a minimum reduction of 5% machine charges shall be made for any service or PDP course, irrespective of where it has been conducted. Table 4 indicates the estimation of machine charges based on the type of assignment. The PCU Coordinators, in collaboration with respective Laboratory Heads, shall be responsible to ensure the right machine charges are used and will be
guided by a technical proposal and visual inspection of the work in progress to determine the right rates as given in Table 4. Expenditure for machine charges shall require approval by PCU Coordinators.

Table 4: Machine Charges

<table>
<thead>
<tr>
<th>S/No</th>
<th>Equipment Utilization (%)</th>
<th>Charge rate of the service rate</th>
<th>Type of activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>0 – 30</td>
<td>5.0</td>
<td>Work done outside the University PDP courses: use of computers, printers/plotters.</td>
</tr>
<tr>
<td>2.</td>
<td>31 – 60</td>
<td>10.0</td>
<td>Maintenance jobs: use of equipment for checking faults.</td>
</tr>
<tr>
<td>3.</td>
<td>61 – 100</td>
<td>15.0</td>
<td>Jobs that require extensive machining, testing samples in laboratories.</td>
</tr>
</tbody>
</table>

6.3.3 Disbursement of Funding for the Payment of Professional Fees amongst Team Members for the Carrying Out Consultancy Assignments

The Project Team Leader shall prepare a disbursement list of all participants/consultants and submit it to the PCU Coordinator with copies to the respective individual participants/consultants. The Head of the PCU shall scrutinise the list and advice the ACU Director on direct payments to individuals. The costs of procurement of the consultancy shall be reimbursed.
6.3.4 Disbursement of Costs for the Execution of Consultancy Assignments /Professional Fee for Joint Projects by Different PCUs

The distribution of PCU shares shall be made in the respective unit where the disbursement mode shall reflect responsibility and seniority. The team leader shall prepare the disbursement list and submit it to the PCU Coordinator.

6.4 Utilization of Institutional Fees

6.4.1 Institutional Overheads

All institutional overheads, including those of the University, ACU and the professional units should be paid using appropriate codes. It is worth noting that fees paid to the University and Schools/Institutes are meant for supporting research and teaching activities of the University and those paid to ACU are for supporting the operational budgets and will be under the control of the Director of ACU.

6.4.2 Machine Charges

The use of machine charge funds shall be limited to the units/centres that generate such funds for the sole purpose of service, repair and maintenance or replacement of equipment. Such expenditure shall require approval by PCU Coordinators.
6.4.3 Shares

Shares from disbursement should be used by the relevant School/Centre/Institute to meet the costs of research and teaching activities. The Dean of the respective School shall approve expenditure and report to staff members. The allocation of funds to Schools/Centre/Institutes shall be as follows:

(a) 20 percent for research
(b) 30 percent for teaching; and
(c) 50 percent for other development initiatives.
7.0 OPERATIONAL PROCEDURES MONITORING AND EVALUATION OF CONSULTANCY, SERVICES AND PROFESSIONAL DEVELOPMENT PROGRAMMES

7.1 Monitoring and Evaluation

7.1.1 Scope

A Monitoring and Evaluation (M&E) system for ACU and the professional PCUs shall be pegged within the framework of the ARU Strategic Plan, which is designed to ensure effective and efficient implementation of the plan and the sustainability of the mentioned impacts. Thus, the M&E system for ACU is instituted as a review mechanism to monitor the progress and assess outcomes to ensure continuous and improved performance in line with the original objectives and expectations of the Units, PCUs and individual projects.

7.1.2 Monitoring

In line with the ARU consultancy policy, monitoring shall be a process that will require a continuous and systematic collection of data related to the sets of indicators, (anticipated results or outputs), for the corresponding sets of imperative actions as specified in the six policy issues/thrusts delineated in the Consultancy Policy Framework. Monitoring shall also involve an internal investigative process initiated by the ACU management and at the individual PCUs aimed at appraising routine performance. The investigative process shall also ascertain information at two levels:

(a) Information related to the performance of the PCUs as operational units. This largely pertains to the implementation of planned actions
and activities and the achievement of results within the framework of day-to-day consulting activities.

(b) Information related to response and reaction by targets and stakeholders regarding activities in the ACU terms-of-reference and with reference to the general context in which ACU as an institution operates. This type of information usually originates from the environment outside the University, and it is the kind needed to move attention from ‘monitoring’ (internal focus) to ‘evaluation’ (external focus). It also entails the search for certainty about the results and impact of the ACU Strategic Plan on its stakeholders, clients, and other elements of the external environment.

`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 every six months. In this regard, there shall be two workshops held every six months to discuss progress in implementing the ACU Strategic Plan. These will be held before ARU level workshops on progress in Strategic Planning. ACU will present its progress to the ACU Board of Directors and to the University through its organs. The major input for the ACU - level reporting will be the approved reports from the PCUs.

7.1.3 Evaluation

Evaluation shall entail a periodic, all-inclusive assessment of the external efficiency and effectiveness of the ACU Policy/Plan through, among other
things, the use of monitoring data. The specific aspects for evaluation will be based on the Strategic Objectives as spelt out in the Policy. Evaluation, in this context, will require the use of tools such as physical observation and interviews conducted by internal and external evaluators. The target of the evaluation process will ordinarily go beyond questions about the implementation of the Strategic Policy and bring in the very basis of the planning approach and procedures, including policies that prompted the whole process of planning in the first place. In summary, evaluation will focus on the impact of the ACU Strategic Plan, which will require physical observation and interviews by internal and external evaluators. As such, evaluation shall focus on and aim at the following:

(a) Justifying the use of resources;
(b) Assessing the reasons for success or failure of specific aspects of the strategic plan;
(c) Assessing whether the ACU strategic plan is achieving its objectives;
(d) Assessing whether the effects of the ACU strategic plan are contributing to the fulfilment of its mission;
(e) Assessing whether adequate resources are being mobilized to implement the ACU plans; and
(f) Assessing whether available resources are being utilized efficiently to achieve the objectives of ACU.

ACU shall conduct two types of evaluations: one to be conducted annually using an evaluation team internal to ACU and another at the end of every two, years using external evaluators who will be appointed by the ACU
Board. The ACU Board shall prepare and issue comprehensive terms of reference (ToRs) for the two types of evaluations. Feedback from the evaluations will be used to improve the strategic planning process for both the ACU and the PCUs. In addition to a narrative report responding to all prescribed ToRs, the evaluators will be expected to provide a tabular report of the evaluations.

7.1.4 Implementation of the Monitoring and Evaluation Process

The ACU Director will have the overall responsibility for monitoring and evaluating the Strategic Plan and the consultancy activity in general, and will ensure that a participatory approach to monitoring and evaluation is followed. This means that various staff members and stakeholders involved directly with implementation of the Strategic Plan will participate in the monitoring and evaluation exercise. Furthermore, the outputs of the monitoring and evaluation processes will be discussed at participatory decision making levels, from the lowest to the highest level, that is, from the professional consulting levels to the ACU Board. The outputs will additionally, constitute a feedback to all staff so that they can improve their efforts related to the vision and mission of ACU.

7.1.5 The Transitional Period

There shall be transitional period of six months to fully enact this policy and its operational procedures. The following stages shall be implemented:

a) The first two months will be used to form and coordinate PCUs at the Schools and Institutes along the various disciplines. A team of four
coordinators will be appointed by the University to form the PCUs along professional lines. This will include election of PCU coordinators under the guidance of the Deans/Directors of the respective Schools/Institutes;

b) In the third and fourth months, each PCU will set and institute operational procedures and a monitoring and evaluating process that is suitable for the enhancement of skills in the respective discipline and establish a system to ensure equitable participation of staff in carrying out projects. These should be approved by the relevant organs of the University; and

c) The last two months will be used for setting up of operating and working spaces for the PCU through respective schools.
8.0 REFERENCES AND BIBLIOGRAPHIES


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