

A'Sharqiyah University Policy CONSULTANCY POLICY

Policy name	Consultancy Policy		
Policy number	RS0006		
Contact Person	Deputy Vice Chancellor for Academic Affairs and Research		
Approval Authority	Board of Trustees		
Date first approved	29 March 2016	Last substantive review	28 March 2020
Policy Review Cycle	One year	Next review	28 March 2021

1. Definitions

Terms / Abbreviations	Definition
ASU	A'Sharqiyah University
DVCAAR	Deputy Vice Chancellor for Academic Affairs and Research
Consultancy	"Consultancy" in this is policy means the utilization of professional expertise of ASU staff members through his or her active participation for the advantage of a third party, such as governmental, commercial, industrial, or other professional institution, and may involve carrying out a survey and related analysis, laboratory testing, professional advice, problem solving, or training. Organization of Continuing Professional Development (CPD) Courses for business and industry; workshops; national and international conferences will be recognized as consultancy for purposes of this policy.
External consultancy	External consultancy could be either University led or Individual led.
University led consultancy	This would be expertise inherent in the University and includes laboratory tests, technical measurements, data analysis; surveys, including opinion and market surveys; field trials; quality control; the professional services provision such as legal, design or scientific work; the professional advice provision including possible advice by expert. There exists a manageable risk to the University under the terms of contract by such activities. A consultation led by University must be agreed with an external party through University approved procedures.
Individual led Consultancy	A consultation where a staff member of the University, under the terms of their employment contract, undertakes an approved professional work which is related with their discipline or expertise is called Individual led consultancy.

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	Such a work will be considered as undertaking 'expertise related consultancies.' A staff member undertaking such a consultancy must seek the approval of their line manager confirming that the consultancy will not affect the execution of their normal responsibilities.
Internal Consultancy	Internal consultancy means consultancy for the issues relating to University normal function and such consultancy, as per the workload policy, are the part of the duties of the staff member, and may not attract a fee for the services unless the consultancy comes as part of or feeds into an external consultancy.

2. Purpose

The main purpose of this policy is to encourage and motivate University staff to offer consultancy services to external organizations including government, business, industry, and non-governmental organizations. In addition, the policy seeks to recognize that the right approach to consultancy brings considerable benefits to individual members of staff, the University and the Community.

3. Scope

The policy applies to all staff of A'Sharqiyah University.

4. Policy Statement

ASU faculty and staff who wish to undertake consultancy activities require formal approval from the Deputy Vice Chancellor for Academic Affairs and Research (DVCAAR) before engaging in the consultancy activity. A staff member can engage in consultancy for up to 10 days per annum for which they will be remunerated. Consultancy activities of any member of ASU staff that exceed 10 days per annum require the explicit approval of the Vice Chancellor. Staff members are allowed to undertake consultancy activities provided they do not affect their primary responsibilities at ASU.

The University has considerable expertise amongst its staff and seeks to attract and retain staff who are of service to the community as well. Consultancy work enables an individual member of staff to gain recognition in his or her areas of expertise, enhance ASU reputation, build relationships with businesses and industry which can enhance networking opportunities, inform teaching and learning and open research opportunities in addition to financial reward. The Community benefits by accessing required expertise to solve their problems locally and economically from competent staff with knowledge of the local setting.

The University is part of the innovation system in the Sultanate of Oman. An innovation system consists of a community of organizations and firms whose interactions affect the direction and efficacy of learning to raise the capability of firms in the production of goods and services. In particular, interactions between Universities, public laboratories, and firms should assist firms to acquire new capabilities (Albuquerque, et al 2015).

The University is a member of EJAAD which is a membership-based virtual collaborative platform. It is designed to connect academia and industry so as to work together to solve

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industrial challenges. It functions as marketplace that brings together academic research and expertise to solve technological industry problems and vice-versa. ASU academic staff are strongly encouraged to seek and partner with academic colleagues from Universities world-wide and other external consultants when bidding for projects through the EJAAD platform or indeed any other online platforms.

Academic staff bidding for EJAAD contracts or contracts advertised on other platforms or through the press or secured through personal networks will be required to provide a detailed breakdown of all personnel costs and other expenses which are likely to be incurred in executing the work. Personnel costs should include: The project leader, co-investigators, consultants, research assistants, technicians, students, and secretarial support, etc. Other expenses required to complete the work should include: capital equipment, consumables, software acquisition, fees for use of University facilities, local project-related travel, conference attendance and overseas travel, publication costs, analysis and data processing costs, scholarship costs, insurance, miscellaneous costs, and sub-contracted work, etc.

Academic staff that bid for consultancy work and execute it successfully shall be remunerated based on the income distribution model specified in the Appendix to this policy. Academic staff shall be paid once the invoice for consultancy work has been paid by the client organization.

5. Key Stakeholders

Local community, private and public sector organizations including business and industry, University staff, students, Board of Trustees, Board of Directors, and Government Departments.

6. Procedures and Guidance

Approval to carry out Consultancy

ASU staff members who wish to take up consultancy activity must seek prior approval from the Deputy Vice Chancellor for Academic Affairs and Research (DVCAAR) through their College Dean and/or line managers. The staff member shall submit the form (CON1) for this purpose. Apart from Form CON1 the staff member must also complete Form CON2 indemnifying the University from claims arising (if any) through such consulting tasks. Copies of both the forms shall be kept by the Dean/Line Manager and the staff member after its duly authorized.

The **Academic or Administrative Staff member must do the following** before entering any agreement to undertake consultancy activities:

- I. Receive an approval from their line manager and complete forms CON1 and CON2 along with an "Invoice Request Form" - where University resources or facilities are to be used and forward them to the Deputy Vice Chancellor for Academic Affairs and Research (DVCAAR) through their line manager/Dean and Director of Research and Graduate Studies or Director of Community Services and Continuous Learning Centre;
- II. Agree with their line manager whether the consultancy will be University led or individually led;

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III. Define clearly if any University resources or facilities are to be used for undertaking the consulting activity/task and make arrangements for having a costing to be produced by the Finance Department.

IV. Determine clearly whether professional indemnity insurance is needed and either a copy of their insurance documentation shall be provided or a statement explaining why cover is not required shall be given. For this purpose, Form CON2 shall be used.

V. Seek approval from their line manager for extending the consultancy activity beyond the time period agreed on FORM CON1 and not get into any kind of agreement to undertake consultancy work for some longer period without the prior consent of his/her line manager.

Responsibilities of the Line manager, Director of Research and Graduate Studies or Director of Community Services and Continuous Learning Centre, and the Deputy Vice Chancellor for Academic Affairs and Research (DVCAAR).

Before authorizing any request to undertake consultancy, Line Manager, Director of Research and Graduate Studies or Director of Community Services and Continuous Learning Centre, and the Deputy Vice Chancellor for Academic Affairs and Research (DVCAAR) must ensure that:

I. The proposed work comes under “consulting” definition.

II. It is very clear whether the work undertaken is on a personal basis or through the University and that the staff member is competent enough to carry out the consultancy and is within the interests of ASU.

III. The work will not distract the concerned staff member from their duties at ASU;

IV. In case undertaken through the University, the staff reimbursement arrangements and the client charges are appropriate and satisfactory.

V. The total activity undertaken by the staff member under consultancy will not exceed 40 days per annum.

VI. It is clearly defined to which extent University resources or facilities will be used under consultancy and it has been appropriately costed by the Dean and Finance Director.

VII. In case of any University facilities or resources used, the staff member has completed an “Invoice Request Form” for reimbursement to the University and that the completed form is returned to the Finance Department.

VIII. Consideration must be given to any conflict of interest that may arise if any over Intellectual Property Rights (IPR) of ASU or of any other member of staff;

IX. Arrangements to indemnify the University against any financial risk are in place and are satisfactory and the line manager must receive such documents in approved form before the consulting activity is undertaken.

X. To maintain records of all the consulting activities/tasks agreed and rejected there are enough and appropriate systems in place and such activities are annually reported to the “Vice-Chancellor” with the number of days of consulting carried out by ASU staff members;

XI. Eligible staff are sent reminders every semester to remind their responsibilities under this Policy and Procedures.

APPENDIX

Income Distribution Model for University Consultancy

On completion of the consultancy work, staff member who delivered University consultancy as well as their normal workload will receive a proportion of the income generated once the Consultancy fees have been paid by the client. The Net Income generated will be calculated as follows: Gross Income MINUS all direct labor costs, equipment, materials, travel, or other direct non-labor costs. The Net Income distribution will be as follows:

60% of the net income to the Consultant
20% of the net income to the College
20% to the University

Where the consultant or project leader has been assisted by other academic staff or co-investigators in the execution of the consultancy work, the project leader and each co-investigator shall be paid a share of the 60% of the net income. The distribution between the project leader and the co-investigators will be divided pro-rata to the personnel costs specified and approved by the University at the time of bidding for the contract. The 20% of the net income allocated to the College is to be spent on purchasing laboratory equipment or organization of research conferences.

Where the project leader and the co-investigator(s) are drawn from more than College, the 20% of the net income allocated to the College shall be divided between the participating Colleges on a pro-rata basis to the income distribution between the project leader and the co-investigator(s).

CONSULTANCY APPROVAL FORM (CON1)

Name of ASU staff member who wishes to undertake the consultancy:
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Department and College:

Name of external client organization:

Nature of work to be undertaken:
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Type of Consultancy.....

Start date:

End Date:

Estimated time commitment for this request (days):.....

Has Professional Indemnity Insurance been arranged? Yes*: No:

If not, please state reasons:.....

Please attach copy of the value of any University resources involved (contact Research Support Office for costings)

Time of other staff:

Equipment & consumables:

Other resources:

If University Resources are involved, please attach copy of Dean/Finance Department costings

I wish to undertake external consultancy activities as outlined above:

Signature of applicant:

Line Manager:

College Dean:.....

Recommendation from the Director of Research and Graduate Studies or Director of Community Services and Continuous Learning Centre.

Approval by the Deputy Vice Chancellor for Academic affairs and Research (DVCAAR)

PROFESSIONAL ACTIVITY LIABILITY FORM (CON2)

For use on consulting activities undertaken in the University.

The declaration below must be completed before any arrangements with a potential client are finalized. This declaration must be signed before permission is granted for an academic member of staff to undertake consultancy work.

DECLARATION

I accept personal liability for any claims arising from the consultancy outlined above.

I have either (tick as appropriate):

- Made appropriate professional indemnity arrangements. (Attach relevant documents)
- Ensured that professional indemnity arrangements are not required. (State why below)

Name: College:

Signed: Dated:

Line Manager:

College Dean.....

Recommendation from the Director of Research and Graduate Studies or Director of
Community Services and Continuous Learning Centre.

Approval by the Deputy Vice Chancellor for Academic affairs and Research (DVCAAR)
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7. References

Eduardo Albuquerque, Wilson Suzigan, Glenda Kruss and Kuen Lee (2015), *Developing National Systems of Innovation: University Industry Interactions in the Global South*; Edward Elgar, Cheltenham, UK.

8. Revision History

Version	Author/Reviewer	Revision(s) made and justification	Date
1	DVC	Annual Review	3 October 2017
2	University Learning and Teaching Committee	Definition Policy Statement Procedures and Guidance CONSULTANCY APPROVAL FORM PROFESSIONAL ACTIVITY LIABILITY FORM	22 June 2017
3	Chair UREC	Annual Review	17 July 2018
4	Chair UREC	Substantive Review	23 June 2019
5	University Research and Enterprise Committee	The following changes have been made to the Consultancy Policy: 1. The policy has been put on the new ASU approved policy template. 2. Two new paragraphs have been added to Section 2; The revised policy statement seeks to encourage academic staff to partner with external consultants and academic colleagues from other Universities both nationally and internationally in bidding for EJAAD consultancy contracts. The manner in which academic staff winning consultancy through the EJAAD platform will now be remunerated has been clarified in the policy. 3. Approval of consultancy contracts now rests with the DVCAAR on the recommendation of the Director of Research and Graduate Studies or the Director of Community Services and Continuous Learning Centre.	11 March 2020

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6	Chair UREC	Annual Review	8 June 2020
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