
 جامعة الإمارات العربية المتحدة United Arab Emirates University 	Research and Sponsored Projects Policies Manual	Policy Number	RA-03
		Effective Date	12-Aug-2018
	Subject Consulting Services	Most Recent Review Date	15-Apr-2018
		Due Date for Next Review	01-Sep-2021
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3. Consulting Services

Overview

A consultancy service is a professional service performed at the request of an external organization by UAEU employee(s) beyond normal university duty. This service may be contracted, i.e. paid consultancy, assigned by the University, or offered by the employee without compensation depending on the requesting agency and nature of service. This policy focuses on the contracted consultancy services.

The Policy provides guidance on terms and conditions of consultancy agreements made between the UAEU and external parties.

Scope

Applies to all faculty of the UAEU; exemptions from this policy include such public services performed with University approval as:



1. Honoraria to faculty or staff in recognition of performance of academic or other duties.
2. Remuneration for serving on national councils or committees.
3. Court-assigned fees paid for acting as court experts.

Objective



The University is committed to its primary mission of teaching, research, and service. It recognizes that the expertise of the faculty and staff can be of value to the external community and may wish to offer such expertise in productive relationships with the community for mutual benefit. This policy provides a framework to manage a proper balance between activities supportive of the teaching and research mission of the University, and effective service to the external community.

Policy

1. The University shall be compensated whenever a consultancy service uses the University's facilities, equipment, or personnel (except when on regular leave under certain condition).
2. All consultancy projects including testing services will be carried out or supervised by a Lead or Principal Faculty Investigator (PI).
3. The PI has the primary responsibility for the formulation and execution of the consultation plan and submitting interim and final reports describing the deliverables as set out in the consultation contract or agreement. All requests to the respective College, Institute, or Center for personnel and any purchasing/lease actions for equipment, goods, and services for the execution of the consultation project have to be initiated by the PI in compliance with University Policies and Procedures.
4. The RSPO has the primary responsibility for the administrative oversight of proposals for consultation projects (pre-award). The RSPO shall support applications if they satisfy criteria outlined in the Procedures accompanying this Policy.

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5. Colleges, Institutes, and Centers of the UAEU have the primary responsibility for overall administrative oversight of consultation agreements or contracts that result from successful proposals (post-award), including administrative oversight of expenditure of funds charged to the external client or sponsor in compliance with University Policies and Procedures.
6. To avoid potential conflict-of-interest, faculty and staff members who intend to engage in any consultancy or commissioned research work not contracted to the UAEU during their annual leave, must get prior approval from the College Dean and the Office of the APR. Approval may be granted if the projects are awarded by organizations outside the UAE and the work does not involve the country at large.
7. The consultation team and University officers reviewing and approving consultation projects are obliged to observe confidentiality terms associated with consultation projects at all times, even after they are no longer employed by the UAEU.
8. Faculty PIs are encouraged to involve students, whenever appropriate, in consultation projects. Engaging students in research projects is contingent upon the approval of the concerned Department chairs.

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Procedures of Policy No. (3) - Consulting Services

1. Criteria for support of applications for consultancy projects include:
 - a) An academic or administrative unit must confirm that they are willing to accept responsibility for the consultancy project and have the required expert faculty and staff members, facilities, or equipment available to perform the project.
 - b) The consultancy project should be consistent with the Mission and Goals of the University.
 - c) Consultancy services will not be approved if they materially affect the faculty and staff from performing their teaching and other duties at the University; in this case the faculty members involved should, in consultation with their Departments and Deans or Center Directors, buy out from the University some of their teaching time. Terms for the buy-out of teaching are explained in the Policy on Indirect Cost Recovery Rate and Faculty Time Buy-Out. Permission of the Dean and the DVCAA is required for faculty members to buy-out part of their teaching time.

2. The following procedures shall be observed for consulting services:
 - a) Faculty or staff must submit Form “RSPO 2013-2, Request for Consultancy Approval and Submission”, which is used for the review and approval of requests for offering consultancies in a bidding process. This form shall include a summary of the work, the proposed budget, and list all personnel and University resources to be used.
 - b) Budgets for all consultation projects will include both direct and indirect costs at current rates using recent quotations for equipment, goods, and services as needed. Remuneration rates for the consultation team shall be negotiated between the PI and the Dean or Director, and included in the budget estimation. Indirect costs and faculty release time, if required, are calculated using the Policy on Indirect Cost Recovery rate (Overhead) and Faculty Time Buy-Out.
 - c) Once Form RSPO 2013-2 is approved, the RSPO will authorize the respective Academic Unit (College, Institute, or Center) to submit a bid for the consultation contract.
 - d) Negotiations between the Academic Unit in coordination with the PI and the Sponsor may then be initiated in consultation with the RSPO.
 - e) The RSPO is responsible for the final internal review of the consultancy contract or award agreement, and as pertinent, obtain University approval as per the Signatory Authority and subsequent arrangements for signatures with the Sponsor.
 - f) When the contract or award is made, the RSPO will issue a project number and coordinate with Finance to establish a corresponding project fund; notify the Dean or Director, Chair or Coordinator, the PI, and appropriate administrative offices; and take other steps as necessary so that the PI can commence the activities of the consultation service and make appropriate charges to project fund.
 - g) Any correspondence proposing modification of the terms or conditions of a contract or grant, including changes in the scope of the work or the period of performance, or an

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increase or decrease in the total estimated costs, or change in the Principal Investigator(s) will be forwarded to the RSPO, and have the endorsement of the Department Chair and the Dean or Director. If such modifications require an amendment to the consultancy contract, such an amendment will be reviewed by the RSPO and submitted for University approval.

- h) The RSPO, in coordination with the respective College, Institute, or Center, will issue periodic invoices to the sponsors as per the terms of contracts and coordinate with Finance to deposit payments into the grant fund taking into consideration any deduction for overhead.
3. To avoid potential conflict-of-interest, employees who intend to engage in a consultancy or commissioned research activity not contracted to the UAEU during their annual leave must request approval through Form RSPO 2013-3.