



Policy on Engaging Consultants

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Amendments	New policy
Related Policies & Procedures	Procurement Policy; those listed in section 5

1. Policy statement

- 1.1. On occasion it may be appropriate to enter into contracts with consultants to support delivery of research activities and other LSHTM objectives. This will often be the case when specialist guidance or advice is required for an initiative or defined piece of work that cannot be carried out by members of LSHTM staff.
- 1.2. The consultant will not be an employee of LSHTM and can only be used if self-employed or employed by another company. This is in order that LSHTM complies with HMRC guidelines. There are potentially significant penalties for non-compliance.
- 1.3. Consultants will normally be appointed through a competitive procurement process to ensure value for money is achieved. Research funders frequently audit expenditure, including consultancy costs, and seek evidence of compliance with LSHTM's procurement policy.

2. Scope

- 2.1. This policy applies to all LSHTM activities, regardless of funding source.

3. What is a consultant?

- 3.1. A consultant is a person engaged to advise or act on behalf of LSHTM, usually relating to a particular matter where current LSHTM staff members do not have the necessary skills or experience to advise. Consultants will ordinarily be retained on a self-employed basis.

4. Engagement process and standard terms and conditions

- 4.1. Initial consideration should be given to whether the specialist task or piece of work can be fulfilled by an existing LSHTM staff member. This is likely to be the most cost effective solution. If this may result in a change to the staff member's employment contract e.g. increase in hours, then advice should be sought from the Human Resources department.



- 4.2. If it is deemed that a consultant is required, then a detailed specification of services required of the consultant should be prepared. For consultants supporting funded research activity this should be prepared at the grant award stage. This should then be sent to Payroll for assessment to confirm likely employment status of the individual. Only if this assessment indicates self-employed status should the process proceed to the next step. The detailed employment status assessment process can be found [here](#)
- 4.3. For funded research activities, the Research Operations Office Contracts team should be contacted for further advice in developing suitable contract documentation. For all other activities, the Procurement team should be contacted.
- 4.4. The normal route for engaging self-employed consultants should be from LSHTM's list of approved suppliers, which is available from the Procurement team.
- 4.5. For consultants specifically named in grant applications, there are particular considerations in regard to the appropriate procurement requirements. These are set out in the flowchart in Annex A.
- 4.6. The expected value of the consultancy contract will determine the level of competition required in selecting a consultant, as per LSHTM's [Procurement Policy](#)
- 4.7. In exceptional circumstances, requirements may be sourced without competition following discussions with the Procurement Team and subject to written approval from the Head of Procurement. Requests must be sent through the ServiceDesk and can be made for the following reasons:
 - Single Source - there is only one supply option;
 - Urgency - the timescale genuinely precludes competitive tendering;
 - Continuity - there is a demonstrable value for money benefit to be gained from using an existing contractor.
- 4.8. Budget must be available for the full value of the consultancy contract, including any agreed expenses or additional allowances, and this must be formally confirmed by the budget holder.
- 4.9. A formal consultancy contract should be issued to the consultant. Templates are available from:
 - Research Operations Office Contract team for consultants engaged in support of funded research activities;
 - Legal Services for all other activities.
- 4.10. The contract should ensure that the consultant has appropriate liability insurance in place.
- 4.11. If the consultant is not currently a supplier on the Agresso finance system, then a request should be made via the ServiceDesk to initiate this set-up process, this will include a supplier credit check.



4.12. A requisition should be raised before the consultant starts.

5. Consultant compliance with LSHTM policies

- 5.1. During the contract period, the consultant should be made aware that they will be required to undertake relevant mandatory training.
- 5.2. The consultant must comply with relevant LSHTM policies and procedures in force and must uphold and promote LSHTM's commitment to equality, diversity and inclusion. These can be found on the LSHTM website.
- 5.3. In particular, consultants must read and ensure they comply with the following [links to be added]:
 - [Equality Diversity & Inclusion](#)
 - [Health, Safety and Wellbeing](#)
 - [Whistleblowing Policy](#)
 - [Safeguarding Policy](#)
 - [Financial Regulations](#)
 - [Information Security Policy](#)
- 5.4. Consultants are bound by GDPR regulations for the use of LSHTM computing facilities and any misuse of computing facilities may result in immediate termination of the consultancy contract.
- 5.5. All documents, materials, hardware and software provided to the consultant by LSHTM for use during the contract term are the property of LSHTM.
- 5.6. All information and documents produced by the consultant during the contract term which are stored or maintained on LSHTM's computer systems or other equipment (including mobile phones, laptops and tablets) are the property of LSHTM.
- 5.7. Any property and any original or copy documents, software or data (however recorded and whether retained electronically or on paper or otherwise) in the consultant's possession belonging or relating to LSHTM shall be returned at or before the end of the contract.
- 5.8. For the duration of the contract the consultant will be bound by LSHTM Regulations relating to intellectual property.

6. Annexes

- 6.1. Annex A – procurement flowchart for third parties named on grant proposal/application



ANNEX A

