



KAMUZU UNIVERSITY
OF HEALTH SCIENCES

Code of Conduct and Ethics Policy

August 2023

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Stakeholders Subjected to this Policy	Staff, students, consultants, vendors, contractors and/or any other parties with a business interest with the University.
Responsible Officer(s)	Registrar, Director of Student Affairs, University Legal Counsel
Responsible Office(s):	Vice Chancellor

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5. FOREWORD

At Kamuzu University of Health Sciences (KUHeS), we firmly believe that ethical behaviour and integrity are the foundation of a successful and sustainable organisation. As we strive to achieve our goals and fulfil our mission, we must conduct ourselves with the highest standards of professionalism, honesty, and respect. We have developed the Code of Conduct and Ethics Policy to guide our actions and foster a positive work environment.

This Policy serves as a compass, providing clear principles and guidelines to ensure that each member of our organisation understands their responsibilities and obligations towards colleagues, stakeholders, and the wider community. It outlines the standards of behaviour we expect from everyone associated with our organisation, regardless of their role or level of responsibility.

Our commitment to upholding these principles extends beyond compliance with laws and regulations. We aim to create a culture in which ethical conduct is deeply ingrained in day-to-day operations, decision-making processes, and interactions. By adhering to this policy, we foster trust, maintain our reputation, and enhance relationships with colleagues, stakeholders, and a wider community.

Thus, we can create an environment that inspires trust, encourages open communication, and fosters a culture of integrity. By upholding these principles, we strengthen our organisation, enhance our relationships, and build a sustainable future.

Thank you for your dedication to upholding these values and your commitment to our organisation's success.



Professor Francis Moto
Chairman of Council

6. PREFACE

Welcome to the Code of Conduct and Ethics Policy of Kamuzu University of Health Sciences (KUHeS). This document serves as a guide to our collective commitment to ethical behaviour, integrity, and responsible conduct in all aspects of our operations. It outlines the principles that govern our behaviour as individuals and as an organisation, reinforcing our values and expectations.

In today's dynamic and interconnected world, organisations must operate with a strong ethical compass. Our Code of Conduct and Ethics Policy not only reflects our legal and regulatory obligations but also embodies the moral standards we hold ourselves to. It is designed to guide decision-making, foster a positive work culture, and ensure that we consistently uphold the highest standards of professionalism.

At KUHeS, we recognise that our success is not solely measured by financial achievements but also by our ability to make a positive impact on society, maintain strong relationships with stakeholders, and build trust among our employees and the wider community. The office of the registrar is responsible for implementing this policy.

The principles outlined in the Code of Conduct and Ethics Policy are intended to provide clear guidance on how we conduct ourselves in various situations. Every member of our organisation, regardless of their position or level of responsibility, plays a role in upholding these principles and ensuring that our actions align with our values.

As we embark on this journey together, let us remember that each individual's commitment to ethical conduct contributes to collective success. By upholding these principles, we can build a resilient and sustainable organisation that stands as a beacon of integrity and sets the highest standards of ethical behaviour.



Professor MacPherson Mallewa

Vice Chancellor

7. ACKNOWLEDGEMENTS

This Policy was the result of several players working together. Kamuzu University of Health Sciences invested a lot of time and resources to have the Policy completed. We thank the following technical team members under the leadership of Professor Joseph Mfutso Bengo: Mr Wilson Kumwenda, Dr Patrick Mapulanga, Dr Limbanazo Matandika, Dr Andrew Matchado, Ma Khama Mita, Ms Tiwonge Mtande, Mrs Joyce Gondwe, and Mrs Mary Kyumba. We also appreciate KUHeS management for their guidance and financial support. The University would also like to acknowledge the valuable input of the Risk and Audit Committee of Council for their contribution to the Policy. Finally, the University would like to acknowledge the valuable input of Management and Council for their contribution to the policy

8. ABBREVIATIONS

IIC	:	Institutional Integrity Committee
KUHeS	:	Kamuzu University of Health Sciences
KUREC	:	Kamuzu University Research Ethics Committee

9. DEFINITIONS

Code/Policy	Refers to this Code of Conduct and Ethics Policy
Confidential	Refers to information that shall be kept out of the general public domain and include business strategies, pending contracts, unannounced services, unpublished research results, and the biodata of students and employees.
Favouritism	Refers to the application of undue double standards during the dispensation of justice.
Non-excessive gift	Refers to a present or offering that is given in a manner that is reasonable, modest, and appropriate in the context of the relationship between the giver and the recipient. It does not exceed commonly accepted norms or create an appearance of impropriety. Non-excessive gifts are typically considered permissible as they do not raise ethical concerns or compromise the integrity of the parties involved.
Non-coercive gift	Refers to a gift that is offered without any element of pressure, influence, or expectation of reciprocity. It is given freely, without any attempt to manipulate or control the recipient's decisions, actions, or behaviour. Non-coercive gifts are transparent gestures of goodwill, devoid of any intent to manipulate or gain undue advantage over the recipient.
Nepotism	Refers to favouritism of an individual for being a relative/friend or an associate.
Resources	Refer to inputs to a process for the purpose of

	realising a product. Include physical and natural inputs.
Relative	Refers to a person affiliated with another by birth and marriage, including a child, grandchild, parent, brother or sister, child, grandchild, parent, brother or sister of a spouse, or any other prescribed relative.
uMunthu	Refers to the state of being an individual and in some circumstances to the good character of a human being. <i>Umunthu</i> can refer to both the state of an individual (such as living moral virtues) and a universal with independent existence.

10. BACKGROUND & SCOPE

The Malawi Public Service Code of Conduct and Ethics prescribes the correct behaviour for public officers when performing their duties by ensuring the values of the code of conduct and ethics, impartiality, objectivity, transparency, integrity, efficiency, and effectiveness. Similarly, KUHeS, in its quest to achieve its mission, developed a Code of Conduct and Ethics Policy. Through this Policy, KUHeS affirms the values of codes of conduct and ethics.

KUHeS members, including the Council, employees, students, and affiliates, are required to uphold the highest values of the code of conduct and ethical standards of the institution and the broader society in which they coexist. The core values for KUHeS include care, entrepreneurship, excellence, freedom of thought and expression, innovativeness, integrity, lifelong learning, professionalism and ethics, respect for diversity, and teamwork. Each member occupies a special position within the University and shall be proud of that position and ensure that his/her conduct both in public and private does not bring the University into disrepute. Therefore, each member must adhere to this code and other rules that may be formulated from time to time.

This Policy applies to all professional and academic employees of the University, whether full-time or fractional, continuing, fixed-term, or casual members of the Council and University Committees, visiting and adjunct academics, students, volunteers who contribute to university activities, or who act on behalf of the University. In addition, individuals who are granted access to University facilities or who are engaged in providing services to the University, such as contractors and consultants, are also expected to comply with the applicable provisions of the Code.

11. RATIONALE FOR THE POLICY

The Code of Conduct and Ethics Policy for a university serves as a guiding framework that outlines the expected behaviour and ethical standards of all individuals associated with the institution, including students, faculty, staff,

and administrators. It establishes a set of principles and guidelines that promote a moral capital, culture of integrity, *uMunthu*, respect, compliance and responsible behaviour within the University community. The rationale for implementing such a policy can be summarised as follows:

- a. **Promoting ethical behaviour:** The Code of Conduct and Ethics Policy sets forth a clear set of ethical standards to which all members of the University community should adhere. This encourages individuals to act with honesty, fairness, and integrity in their academic pursuits, research activities, interpersonal interactions, and overall conduct. By establishing and reinforcing ethical norms, the Policy helps create an environment conducive to learning, growth, and personal development.
- b. **Fostering a respectful and inclusive environment:** This Policy emphasises the importance of treating all individuals with respect, dignity, and fairness, regardless of their background, identity, or beliefs. It promotes inclusivity, diversity, and equality within the University community, fostering an atmosphere in which everyone feels valued, safe, and supported. By setting clear expectations for respectful behaviour, the Policy contributes to creating a positive and welcoming environment for learning, collaboration, and intellectual discourse.
- c. **Ensuring academic integrity:** Academic integrity is fundamental to a university's educational mission. The Code of Conduct and Ethics Policy addresses issues such as plagiarism, cheating, and academic dishonesty, emphasising the significance of originality, proper citation, and adherence to academic standards. It provides guidelines for upholding academic integrity and establishes procedures for addressing violations and safeguarding the credibility and reputation of the University's academic programs and degrees.
- d. **Upholding professional standards:** Universities are not only centres of learning but also employ faculty, staff, and administrators who contribute to the effective functioning of the institution. The Code of Conduct and Ethics Policy defines the professional standards and expectations of employees, guiding their behaviour in areas such as research, teaching,

administrative duties, and interactions with colleagues, students, and the public. This helps maintain the reputation and credibility of the University and ensures that employees uphold the highest professional standards in their respective roles.

- e. **Complying with legal and regulatory requirements:** This Policy ensures that the University operates in compliance with relevant laws, regulations, and industry standards. It outlines the guidelines regarding conflicts of interest, confidentiality, data protection, research ethics, and other areas of legal and regulatory importance. By providing clear directives, the Policy helps mitigate risks, protect the University from potential legal liabilities, and maintain the trust and confidence of stakeholders, including students, parents, and funding agencies.
- f. **Providing a framework for addressing misconduct:** Inevitably, instances of misconduct may occur within the University community. The Code of Conduct and Ethics Policy establishes procedures for reporting, investigating, and addressing alleged violations of the policy. It ensures fairness, consistency, and due process in handling misconduct cases, thus promoting transparency and accountability within the University. The policy also outlines the potential consequences for violations, which may include disciplinary actions, sanctions, or other appropriate measures.

Overall, the Code of Conduct and Ethics Policy for a University serves as a foundation for promoting ethical behaviour, creating a respectful and inclusive environment, upholding academic and professional standards, and ensuring compliance with legal and regulatory requirements. It sets expectations for behaviour within the University community and helps to maintain the institution's integrity, credibility, and commitment to excellence in education and research.

12. KUHeS VISION

A world-class university and centre of excellence in health education, research, and innovation.

13. KUHeS MISSION

To advance knowledge, professional competencies, skills, and innovations in health sciences through high-quality student-centered and innovative education and research that responds to and influences the global/national policy, health, and development needs in an efficient, sustainable, and result-oriented manner.

14. AIM

The aim of the Code of Conduct and Ethics Policy is to promote ethical behaviour, create a positive and inclusive learning environment, uphold academic integrity, guide professional conduct, ensure legal and regulatory compliance, and effectively address the misconduct at the University.

15. OBJECTIVES

The objectives of the code of conduct and ethics policy are to:

- a. Define clear standards of behaviour and conduct, all members of the University community are expected to uphold.
- b. Promote academic and professional integrity within the University.
- c. Create a culture that respects the core values of the University.
- d. Ensure that the University operates in compliance with applicable laws, regulations, and industry standards.
- e. Guide individuals in making ethical decisions and resolving ethical dilemmas that may arise within the University context.
- f. Provide a mechanism for addressing instances of misconduct within the University community.

16. POLICY PRIORITY AREAS

The policy has five priority areas: employer-employee relationships, professionalism, integrity, and excellence.

16.1 Policy Priority 1: Promoting and mainstreaming KUHeS core values

KUHeS believes in the following core values:

- a. Care
- b. Entrepreneurship
- c. Excellence
- d. Freedom of thought and expression
- e. Innovativeness
- f. Integrity
- g. Lifelong learning
- h. Respect for diversity
- i. Professionalism and ethics, and
- j. Teamwork.

The University desires that all members promote and make these core values visible. The University shall strive to mitigate both reputational, legal and financial risk due to the loss of integrity and moral capital.

16.2 Policy Priority 2: Employer and Employee Relationship

This priority area should be read in conjunction with approved KUHeS Conditions of Service. In the event of any inconsistency or conflict between the provisions stated herein and those outlined in the Conditions of Service, the clauses and interpretations as specified in the Conditions of Service shall take precedence and prevail.

16.2.1 Employment Contract

- a. One of the University's principles is that employees are selected based on competence, merit, and suitability.
- b. Arising from the service relationship between the University and its employees, every employee must act in good faith towards the University under all circumstances.

- c. The "good faith obligation" requires that every employee shall:
- i. Observe official working hours and not absent without authorisation or reasonable cause.
 - ii. Promote the interests of the University, spend the stipulated amount of time on work, and make the required input for the University.
 - iii. Not compete with the University by running a similar institution.
 - iv. Avoid any financial conflict of interest with the University.
 - v. Not use the office to enrich themselves or others.
 - vi. Receive no other benefit from his/her association with the University other than what he/she is entitled to in terms of the Contract of Employment.
 - vii. Understand that his/her duties include duties of the post in which he/she is employed and any other duties that the vice-chancellor and any other authorised officer may call upon him/her to perform.
 - viii. Develop a positive attitude towards lifelong training for personal and career development.

16.2.2 Employee Obligations and Welfare

- a. Employees are required to have a positive attitude towards employers, work, colleagues, stakeholders, and a wider community.
- b. An employee shall at all times refrain from any form of discriminatory practice and stereotype based on gender, religion, race, ethnicity, region of origin, historical

background, nepotism, position held, physical stature, and disability.

- c. Employees are required to uphold University dignity at all times. Employees should protect the image of the University and act in its best interests at all times.
- d. Employees are expected to develop good working relationships with colleagues, as this promotes teamwork and provides a better and harmonious working environment. The University shall organise deliberate bonding events to promote team building.
- e. Officers at the supervisory level should take reasonable steps to ensure that employees entrusted under their direction and supervision are:
 - i. Properly deployed and adequately utilised.
 - ii. Not deployed or utilised for personal/private work.
- f. Interdepartmental transfers.
 - i. The transfer of any employee from one section/department to another is effected after consultation and approval by authorised officers.
 - ii. Due consideration shall be given to the qualifications and other expertise of the employee before the transfer.

16.2.3 Grievances and Appeals

This sub priority area should be read in conjunction with approved KUHeS Staff Grievance Policy and Procedure. In the event of any inconsistency or conflict between the provisions stated herein and those outlined in the Staff Grievance Policy and Procedure, the clauses and interpretations as specified in the Staff Grievance Policy and Procedure shall take precedence and prevail.

- a. The University shall treat all complaints seriously and makes every effort to investigate complaints expeditiously. University

members shall make every effort to transmit complaints through the Public Complaints Committee.

- b. The University shall apply the principles of natural justice to investigate complaints. The University acknowledges the existence of multiple pathways to deal with complaints. Before making a complaint, it is useful to consult with appropriate representatives on campus to identify the best way to proceed. These shall include the unions, integrity committee registrar's office, and students' directorate.
- c. University members are encouraged to carefully consider all potential complaints and should not make frivolous, malicious, or vexatious complaints.
- d. In the interest of maintaining an agreeable, harmonious working environment for all University employees, matters giving rise to grievances shall be addressed informally as far as possible. If the initial informal approach to discussing the matter with an employee and his/her immediate supervisor fails to produce a satisfactory solution, then a formal procedure may be followed to attempt to resolve the grievance.
- e. The formal procedure requires an employee to write a note on the grievance to the supervisor if the grievance does not involve the supervisor or the Vice-Chancellor, who will appoint an appropriate handler to review and investigate the grievance further and provide a solution to the problem.
- f. If an employee is dissatisfied with the outcome of any stage of the formal procedure, he/she may appeal to the University Council through the Vice-Chancellor in writing, within seven days of his/her being notified of such an outcome.

16.2.4 Environmental, Occupational Health and Safety

This sub priority area should be read in conjunction with approved KUHeS Staff Welfare Policy, KUHeS Conditions of Service and the Students

Information Handbook. In the event of any inconsistency or conflict between the provisions stated herein and those outlined in the KUHeS Staff Welfare Policy, KUHeS Conditions of Service and the Students Information Handbook, the clauses and interpretations as specified in the KUHeS Staff Welfare Policy, KUHeS Conditions of Service and the Students Information Handbook shall take precedence and prevail.

- a. Members are required to promote University policies and measures to protect the health and safety of all employees, students, and the general public, who may be affected directly or indirectly by university activities.
- b. Members are required to properly protect and conserve the environment.
- c. The University operates 'no smoking' and 'no substance abuse' locations on its premises.
- d. Any form of substance abuse may lead to serious disciplinary actions, as prescribed in the Conditions of Service.
- e. The University shall maintain safe working environment. The University shall install first aid facilities and signages at designated places and train representative employees in First Aid.
- f. The University shall put in place environmental, occupational health, and safety reporting procedures in all departments.
- g. The University shall conduct fire drills regularly for all employees, and fire alarms are installed on its premises.
- h. The University shall provide uniforms and protective clothing for all employees whose jobs require such clothing.
- i. The University is committed to promoting the well-being of its staff members by encouraging them to undergo periodic medical check-ups.
- j. It is in each member's best interest to be security-conscious to prevent the entry of unauthorised persons to the

premises and to familiarise themselves with the emergency exit signage installed on the University premises.

- k. All employees and students shall be issued Identification Cards to be presented to Security Officers guarding entrances to the University premises.
- l. The disposal of hazardous waste in the environment is strictly prohibited. Hazardous materials shall only be disposed of following the guidelines of regulatory agencies.
- m. Littering of the University compound with plastic or any other obnoxious material is considered unethical and, hence, is prohibited.
- n. No University member shall damage, pollute, destroy, or deface University buildings, roads, signage, grounds, flower beds, or trees.
- o. Public address systems and other sound-producing devices should be used on the University premises to the extent that the sound produced does not exceed the limits permitted by applicable laws and authorities.

16.3 Policy Priority 3: Professionalism

Professionalism promotes good professional practices (GPP) through the following attributes:

16.3.1 Confidentiality and privacy

University members receive and generate various types of confidential, proprietary and private information. Each member must comply with all country's laws, agreements with third parties, and University policies and principles regarding the use, protection, and disclosure of such information. Such policies apply even after a member's relationship with the University has ended. This was based on the following understanding:

16.3.2 Data

In terms of data:

- i. A staff member shall not falsify personal or official records or documents that may come to his/her possession in the course of his/her work.
- ii. All records should be regularly updated, maintained, and protected to ensure that unauthorised access does not occur.
- iii. The biodata and affairs of students and employees are strictly confidential, and members who have access to them shall not disclose or discuss them under any circumstances, except as stipulated under the Laws of Malawi.
- iv. Members shall not impart confidential information to other people where such people are not legitimately entitled to the information.
- v. A member shall not use or allow the use of information that is acquired in connection with the member's duties and that is not public for the personal benefit of himself, herself, or another. However, this does not apply to the authorised and legitimate use of such information for educational, literary, research, or similar purposes.

16.3.3 Examinations

This sub priority area should be read in conjunction with approved KUHeS Examination Rules and Regulations. In the event of any inconsistency or conflict between the provisions stated herein and those outlined in the Examination Rules and Regulations, the clauses and interpretations as specified in the Examination Rules and Regulations shall take precedence and prevail. For the proper conduct of examinations, the following shall apply:

- i. An employee who has access to examination materials shall not avail all or part of the information on the examination to candidates and/or any unauthorised person.

- ii. Examination regulations regarding who should handle and administer when, where, which, what, why, and how must be adhered to.
- iii. An employee involved in grading continuous assessment tests, examination scripts, and theses, as well as processing examinations, shall observe integrity, objectivity, and a high degree of professionalism.
- iv. Any member who is involved in processing (setting, moderating, correcting, typing, proofreading, photocopying, packaging, storing, guarding, transporting, conducting, administering, invigilating, marking, compiling, supervising, coordinating, and monitoring) and writing of examinations shall not tamper with the examinations themselves and their materials at all points.
- v. The University is committed to ensuring the prompt and timely release of examination results.

16.3.4 Clear Desk Policy

- i. The University operates a Clear Desk Policy, where employees are required to clear their desks whenever they leave the office for the day.
- ii. All confidential records must be returned to their appropriate files and locked into cabinets.
- iii. Practice good office practice of timely, appropriate action and response to office correspondence.

16.3.5 Intellectual Property

This sub priority area should be read in conjunction with the approved KUHeS Intellectual Property and Rights Policy and the KUHeS Academic Integrity Policy. In the event of any inconsistency or conflict between the provisions stated herein and those outlined in the Intellectual Property and Rights Policy and the KUHeS Academic Integrity Policy, the clauses and interpretations as

specified in the Intellectual Property and Rights Policy and the KUHeS Academic Integrity Policy shall take precedence and prevail.

- i. Members shall refrain from acts of cheating, plagiarism, and impersonation in the production of academic materials and publications since indulging in these acts amounts to intellectual theft.
- ii. Members shall not reproduce any University forms, documents, or any other copyrighted material, and sell the same for personal gain.
- iii. Members shall be restricted to reproducing one copy of a stipulated number of pages of copyrighted material for non-commercial educational purposes only.

16.3.6 Obligations of employees supervising other employees

- a. An employee who supervises other employees has special responsibilities, including treating employees fairly and according to them equal opportunity, maintaining open and honest communication, and ensuring that employees understand and undertake the performance standards required.
- b. Evaluation of the performance of employees shall be undertaken using preset objective criteria without bias.
- c. An employee required to supervise a spouse or other relative shall withdraw from that requirement by declaring a conflict of interest or commitment.

16.3.7 Making fair decisions

- a. The principles of procedural fairness and justice should be applied when deciding, acting on an issue of discretionary nature, or resolving a grievance that may adversely affect a person's rights, liberties, interests, or

legitimate expectations. This means that affected persons have the opportunity to respond to allegations or assertions made in accordance with natural justice and to make decisions without bias.

- b. Decisions shall be based on considerations relevant to the matter at hand.
- c. Decisions shall also be guided by the Public Service Commission Regulations on grievance handling procedures.

16.3.8 Obligations of University Lecturers

This sub priority area should be read in conjunction with approved KUHeS Conditions of Service. In the event of any inconsistency or conflict between the provisions stated herein and those outlined in the Conditions of Service, the clauses and interpretations as specified in the Conditions of Service shall take precedence and prevail.

- a. Staff involved in teaching, research, or training should encourage the pursuit of independent scholarly learning, critical judgment, academic integrity, and ethical mindfulness in their students, and shall demonstrate these qualities in their interactions with students.
- b. Teaching staff should behave courteously towards students and should be sensitive to students' needs for feedback and consultation.
- c. The interests of students should be given primary consideration in the relationship of trust between the teaching staff and their students.
- d. The assessment of students reflects their true merit. Students' inquiries regarding assessment criteria should be explained in a clear and timely manner.

- e. Teaching staff should make themselves available for individual consultation by students, whether in person or by other modern means.
- f. A student shall not be penalised unfairly for adhering to a defensible alternative view or approach.
- g. Supervision of Projects, Thesis and Dissertations shall be done in a manner that enables students to complete their course within the stipulated time for the program.
- h. An employee required to teach or supervise a spouse or other relative shall withdraw from that requirement by declaring a conflict of interest or commitment.

16.3.9 Conflict of Interest/Commitment

- a. All members owe their primary allegiance to the University and their mission to engage in the highest level of education, research, scholarships, customer care, and service delivery.
- b. Outside professional activities, private financial interests or the receipt of benefits from third parties can cause an actual or perceived conflict between the University mission and an individual's private interests.
- c. University members with other professional or financial interests disclose that they comply with the applicable conflict of interest/commitment policies.
- d. It is further required that:
 - i. Each member shall act in the best interest of the University in all dealings with current or prospective clients, suppliers, contractors, and consultants.
 - ii. Situations, where a member's interests conflict with those of the University or might cause the member not to act in the best interest, must be avoided or

disclosed or one should recuse oneself from a decision that is conflicted.

- iii. The policies and procedures regarding purchases and solicitation of quotations and tenders, as amended occasionally, must be strictly adhered to at all times.
- iv. Participation by a member in the purchasing process, collection or evaluation of quotes, granting of tenders, or appointment of consultants where a spouse, relative by blood or marriage, family friend, or business associate of the member has an interest or is involved as a third party is not permitted.
- v. A member shall immediately disclose in writing to his/her immediate supervisor any possible conflict of interest/commitment and withdraw from the decision-making process.
- vi. All tenders, quotations, and purchases to be made where a member has withdrawn from the decision-making process shall be submitted to the vice-chancellor or his/her proxy for final approval.
- vii. A member with involvement and/or personal interest in any person with whom the University has entered into a contract shall immediately make this fact known to his/her supervisor.

16.3.10 Gifts and Fundraising

Gifts are acceptable part of our culture of hospitality, courtesy, and friendliness. However, gifts giving and receiving can also be abused if it is given or received in the context of corruption and any other unethical practice which is in contrary to the law of the land. Hence gifts giving and receiving have to be guided by principles of integrity, transparency, accountability, responsibility and modesty. Modesty means the gift is non excessive. A non-

excessive gift focuses on the appropriate value and nature of the offering, while a non-coercive gift centres on the voluntary and unforced nature of the giving process. Both types of gifts are generally considered ethical, provided they are given with sincerity and integrity, without any hidden agendas or attempts to influence the recipient. Example of an excessive gift can be a car or a lot of cash which is meant to influence decision in procurement, promotion or recruitment and any other important decisions which have impact on the giver.

- a. No University member should use his/her office to illegally and unethical enrich him/herself. For example, illegal and unethical enrichment includes, stealing, bribery, corruption, forgery, over costing procurement of office goods and services.
- b. A member should not accept or request gifts or favours from a person who-
 - i. has an interest that may be affected by carrying out, or not carrying out, the member's duties.
 - ii. carries onasf regulated activities concerning which the University has a role; or
 - iii. has a contractual or similar relationship with the University.

16.3.11 Freedom of thought and expression

Members exercise freedom of thought and expression and allow them to hold and express their opinions, beliefs, and ideas without fear of censorship, punishment, or discrimination. However, this right is not absolute and may be limited in certain circumstances where it conflicts with other rights such as public safety, national security, or respect for others' rights.

16.3.12 Respect for diversity

Members shall treat everyone with dignity irrespective of ethnicity, creed, or gender, aim to inspire academic freedom and value everyone's contribution regardless of ethnicity, creed, and gender.

16.3.13 Teamwork

Members create and nurture an environment in which students, faculty, and staff work together to achieve collective goals.

16.3.14 General

- a. Members, while representing the University, are required to create a positive impression by handling themselves professionally through courtesy and tact.
- b. Members should treat colleagues and the general public with courtesy and respect, and carry out their duties and responsibilities in a way that maintains public confidence in the integrity of their offices and positions.
- c. Senior management officers are expected to establish high professional standards by conducting themselves in an exemplary and impeccable manner.
- d. To the extent appropriate to one's office, employees endeavour to improve the standards of performance and level of professionalism and strive to carry out their work in a manner that fits their professions.
- e. Each employee shall professionally discharge his/her responsibilities.
- f. If an employee is a member of a professional body, he/she observes its ethical and professional requirements.

16.4 Policy Priority 4: Integrity

This sub priority area should be read in conjunction with approved KUHeS TORs for the Institutional Integrity Committee. In the event of any inconsistency or conflict between the provisions stated herein and those outlined in the TORs for the Institutional Integrity Committee, the clauses and interpretations as specified in the TORs for the Institutional Integrity

Committee shall take precedence and prevail. The University shall strive to mitigate and manage reputation risk due to the loss of integrity by addressing/promoting the following:

16.4.1 Honesty

- a. The University emphasises honesty as a key value at work. An honest employee is an asset to the University. The University shall therefore strive to inculcate a positive culture at work that promotes integrity through:
 - i. Sensitising employees about the importance of honesty.
 - ii. Disciplining employees who were found to be dishonest.
- b. An employee shall:
 - i. To the best of their ability, carry out duties and university business transactions efficiently, accurately, fairly, honestly, and with integrity. Each situation must be assessed in accordance with this standard. No unethical practice can be tolerated because it is "customary" outside KUHeS or because it serves other worthy or expediency goals.
 - ii. Not violate the rights and freedoms of other employees, students, and the general public in carrying out their duties.
 - iii. Be deemed to have contravened this code if he/she influences another person to do anything that contravenes it.
 - iv. Have a duty to advise with impartiality and without fear or favour.
 - v. Not knowingly give false or misleading information to a member of the public, University employee, or student.

- vi. Not impersonate or misrepresent themselves to students, the general public, or other employees.
 - vii. Conduct his/her private affairs in such a way that upholds public confidence in the integrity of their offices and university.
 - viii. Not use his/her office or place of work to solicit funds, induce favours, or collect bribes.
 - ix. Not bribe or attempt to influence any person in a decision-making position regarding university matters.
 - x. Not create the impression that he/she has the power to influence the procedure concerning and/or the people entrusted with appointments, selection decisions, purchases, and the awarding of tenders and/or drawing up of quotations.
 - xi. Report immediately to his/her superior or other official authorities any attempt by another person to bribe or influence him/her.
- (c) The University recognises that it must earn and maintain a reputation for integrity and quality that includes but is not limited to compliance with contractual obligations, national laws, regulations, and due diligence. Even the appearance of misconduct or impropriety can be damaging to the University. Therefore, the University shall strive at all times to maintain the highest standards of integrity and quality.

16.4.2 Anti-corruption action plan for the institution

- a. The University emphasises anti-corruption as a key value at work. A corrupt-free employee is an asset at a university. The University shall, therefore, strive to inculcate a positive culture at work that promotes anti-corruption. The University shall put in place an anti-corruption action plan through which corruption prevention tools will be

developed (e.g., corruption prevention policy, conflict of interest guidelines, gift guidelines, etc.).

16.4.3 Reporting Suspected Violations

- i. University members shall report suspected violations of applicable laws, regulations, government contracts, grant requirements, and this code.
- ii. Reporting shall normally be initially made through standard management channels, beginning with the immediate supervisor, instructor, or advisor in the department.
- iii. If, for any reason, it is not appropriate to report suspected violations to the immediate supervisor, members shall report to the University Public Complaints Committee or a higher level of management.
- iv. Reports shall be made confidentially and even anonymously, although the more information is given, the easier it is to investigate violations.
- v. Raising violation concerns is a service to the University that does not jeopardise employment or any other status.
- vi. All University members were required to cooperate fully during an investigation of a given misconduct or violation.

16.4.4 Anti Sexual Harassment

This sub priority area should be read in conjunction with approved KUHeS Anti Sexual Harassment Policy. In the event of any inconsistency or conflict between the provisions stated herein and those outlined in the Anti-Sexual Harassment Policy, the clauses and interpretations as specified in the Anti-Sexual Harassment Policy shall take precedence and prevail.

- a. The University is committed to preventing and addressing sexual harassment, which includes various forms of unwelcome behaviour such as pressure for sexual activity,

- unwanted sexual attention, and displaying sexually suggestive material.
- b. The University strictly prohibits the sexual harassment of its employees, students, councils, parents, and suppliers.
 - c. Any cases of sexual harassment should be promptly reported, and complainants making genuine complaints will not face reprisal or victimization.
 - d. Complaints should be submitted to the University's public complaint committee or relevant authority.
 - e. All University members are expected to adhere to policies and treat colleagues with respect.
 - f. Romantic and/or sexual relationships between individuals in positions of authority and those they supervise are considered conflicts of interest, and the person in the position of greater authority must ensure they do not exercise any evaluative function over the other person.
 - g. Prohibited relationships between faculty, staff, graduate students, and undergraduate students and their supervisors are strictly enforced, and acceptable alternative arrangements should be made to avoid conflicts of interest.
 - h. Violations of the policy on romantic and/or sexual relationships may lead to corrective action, and individuals in positions of power should be aware of the risks associated with such relationships.
 - i. The University does not take responsibility for relationships outside its campuses.

The reporting, mitigating, and redressing will be handled in line with sexual harassment policy.

16.5 Policy Priority Area 5: Excellence for Life

16.5.1 Effective and efficient in delivering services.

Members should endeavour to demonstrate the highest levels of efficiency and effectiveness in delivering university services at all times.

16.5.2 Transparency, Accountability and Management of Resources

- a. All University members are required to act in the best interests of the University when dealing with university resources.
- b. Each employee is responsible for the assets placed under their care and control.
- c. An employee charged with the duty to acquire goods and services for the University shall exercise due care and apply existing laws, policies, regulations, and controls that shall ensure value for money to the University.
- d. No member may sell or use University assets without authorisation. Needs and ignorance are not justifications for the unauthorised sale, use, or consumption of assets.
- e. The loss or damage to any asset must be promptly reported to a member's supervisor.
- f. The use of University assets by any person other than an authorised university member is not permitted.
- g. University assets must be used for the purpose for which particular assets are normally intended and per the direction for use.
- h. University members shall not spend university funds without authorisation.
- i. Members must adhere to the University's internal control measures, which are aimed at protecting assets against unauthorised removal and/or use.
- j. Each member shall exercise due diligence and prudence in utilising University resources.
- k. Where a member spends money or authorises that money to be spent, he/she shall ensure that the University receives reasonable value for the money expended.

- i. No member shall open a bank account without the permission of the Management on behalf of, or in the name of the University, Department, Division, Centre, Institute, or any similar operating entity of the University.

16.5.3 Dress Code

i. General Principles:

- a. All health professionals are expected to dress in a manner that reflects the professionalism and integrity of our healthcare institution.
- b. Clothing choices should prioritize patient safety, comfort, and infection control while adhering to industry standards and best practices.

ii. Standard Uniforms

- a. Scrubs: Medical personnel involved in clinical duties must wear clean and appropriately fitted scrubs designated by the department or unit. Scrub colours may be department-specific for easy identification.
- b. Lab Coats: Lab coats are mandatory for laboratory and research-related tasks and should be worn over scrubs or appropriate attire.
- c. Footwear: Closed-toe, non-slip shoes are required to ensure safety within the healthcare setting.

iii. Personal Appearance

- a. Jewellery: While minimal jewellery is acceptable, it should not interfere with the safe execution of duties or create infection control hazards.

- b. **Hairstyles:** Hair should be neatly groomed and securely tied back if it falls below shoulder length, preventing interference with patient care and maintaining a sterile environment.
- c. **Nails:** Clean and short nails are essential for hand hygiene compliance. Nail polish and artificial nails are discouraged due to potential infection risk.

iv. Infection Control

- a. **Hand Hygiene:** Frequent handwashing or the use of hand sanitizers is essential for all health professionals, particularly before and after patient interactions.
- b. **Personal Protective Equipment (PPE):** Proper use of PPE, such as gloves, masks, and gowns, should be followed in accordance with established protocols and guidelines.

v. Department-Specific Requirements:

- a. **Surgical Attire:** Health professionals participating in surgical procedures must wear appropriate sterile attire, including gowns and gloves, as per the surgical team's guidelines.
- b. **Radiology Attire:** Radiology staff should adhere to departmental guidelines regarding protective lead aprons and other specific attire for radiation protection.

vi. Adherence to Dress Code:

- a. Non-compliance with the dress code may result in corrective action and should be reported to the relevant department head or supervisor.
- b. Any exceptions to the dress code must be approved in advance by the appropriate authority and should be based on valid medical or religious reasons.
- b. All members of KUHeS should be identifiable either through uniform with University generated name tag or a name tag for those to whom uniform is not a requirement.
- c. All members of KUHeS are required to dress in a manner that reflects the University's professional standing.
- d. Decent, respectful, and modest styles of dressing and personal hygiene should be maintained.
- e. The University appreciates that personal taste, style, and comfort are factors that should be considered when dressing. Members exercise good judgment and discretion in their standards of dress and appearance. Whenever there is doubt about the degree of expected formality, members should err on the side of formality, as it is always better to be too formal rather than too informal.

16.5.4. Entrepreneurship

This sub priority area should be read in conjunction with approved KUHeS Research and Consultancy Policy. In the event of any inconsistency or conflict between the provisions stated herein and those outlined in the Research and Consultancy Policy, the clauses and interpretations as specified in the Research and Consultancy Policy shall take precedence and prevail. These are the values which shall guide good entrepreneurial practice;

Integrity and Honesty: All members of the University community engaged in entrepreneurial activities shall uphold the highest standards of integrity and honesty, conducting themselves with transparency and truthfulness in all business dealings.

Conflict of Interest: Individuals involved in entrepreneurial ventures shall avoid any conflicts of interest that could compromise their objectivity, decision-making, or impartiality in academic and business matters.

Respect for Intellectual Property: Entrepreneurial activities shall respect intellectual property rights and comply with copyright, patent, and trademark laws, ensuring proper attribution and licensing of intellectual assets.

Responsible Business Practices: Entrepreneurs affiliated with the University shall adhere to ethical business practices, promoting sustainable and socially responsible ventures that contribute positively to the community and the environment.

Fair Competition: Competition shall be conducted fairly and ethically, refraining from engaging in anti-competitive practices, price-fixing, or other unethical measures to gain an unfair advantage.

Protection of Confidential Information: Any confidential information shared during entrepreneurial activities must be safeguarded, and confidentiality agreements shall be respected at all times.

Compliance with Regulations: Entrepreneurs shall comply with all relevant laws, regulations, and policies governing their business operations, ensuring full adherence to legal and statutory requirements.

Responsible Financial Management: Financial transactions and reporting shall be conducted with accuracy, honesty, and full disclosure, upholding sound financial management principles.

16.5.5 Collaboration

This sub priority area should be read in conjunction with approved KUHeS Research and Consultancy Policy. In the event of any inconsistency or conflict between the provisions stated herein and those outlined in the Research and Consultancy Policy, the clauses and interpretations as specified in the Research and Consultancy Policy shall take precedence and prevail. In the spirit of *Umunthu* which says 'I am because we are,' it is very crucial for any human progress to work in teams and in collaboration to harness the social critical mass dividend. These are the values which shall guide good collaboration practice.

Respect for diverse competences: No human can know and do everything, therefore, respect for diversity should lead to multi-disciplinary approach to good academic and research practice. This attitude leads to mutual respect of competencies. Collaborations shall respect and value the diversity of professional perspectives, experiences, and cultural backgrounds among participants, fostering an inclusive and respectful environment.

Authorship and Attribution: Collaborators shall appropriately credit and acknowledge the contributions of each team member, ensuring fair and equitable attribution of authorship in publications and outputs.

Research Integrity: Collaborative research projects shall adhere to principles of research integrity, including proper data handling, reproducibility, and adherence to ethical guidelines in human and animal research.

Communication and Collaboration: Collaborators shall maintain open and effective communication, sharing information and progress regularly, and resolving conflicts promptly through constructive dialogue.

Confidentiality and Data Security: Participants in collaborative efforts shall respect the confidentiality of shared information and data, taking necessary measures to protect sensitive information from unauthorized access.

Inclusivity and Equal Opportunities: Collaborations shall promote inclusivity and equal opportunities for all participants, irrespective of gender, race, ethnicity, religion, or other factors.

Resolution of Disputes: In case of disputes arising during collaborations, parties involved shall seek to resolve conflicts through mediation or established dispute resolution mechanisms, ensuring fair and just outcomes.

Research and Ethics Review: Collaborative research involving human subjects or animals must undergo appropriate ethical review and approvals, in accordance to KUREC guidelines.

16.5.6 Innovativeness

This sub priority area should be read in conjunction with approved KUHeS Research and Consultancy Policy and the Kamuzu University Research Ethics Committee (KUREC) guideline. In the event of any inconsistency or conflict between the provisions stated herein and those outlined in the Research and Consultancy Policy, the clauses and interpretations as specified in the Research and Consultancy Policy shall take precedence and prevail. Members uphold the spirit of discovery and communication of breakthrough and foundational ideas; translation and collaboration across disciplines and communities; and positive transformation through research, scholarship, and creative works.

17 GUIDING PRINCIPLES FOR IMPLEMENTATION

These guiding principles provide a foundation for the development and implementation of a comprehensive Code of Conduct and Ethics Policy that reflects the values, mission, and aspirations of the University community. They serve as a compass for individuals to navigate their roles, responsibilities, and interactions within the University while upholding the highest ethical standards. The guiding principles for the Code of Conduct and Ethics Policy for a University typically include the following.

I. Training:

- a. Employees should be offered the document and should confirm by signing that they have read and understood it.
- b. During the orientation of new employees, they should be either trained or taken through the Policy document. After the exercise, they should be asked to sign.
- c. To ensure continuous improvement, employees will undergo a refresher training every two years: The principle of continuous improvement acknowledges that the Code of Conduct and Ethics Policy is a living document that evolves. It encourages ongoing evaluation, feedback, and refinement to ensure that the Policy remains relevant and effective in promoting ethical behaviour and supporting the University's mission and values.

II. Commitment from senior and executive management.

- a. Having the designated office that implements the policy.

Vice Chancellor

- i. The Vice Chancellor (VC) shall ensure that the concerns raised are addressed fairly and in accordance with this Policy.
- ii. The Vice Chancellor shall specifically be responsible for the following:
- iii. appointing members of the Institutional Integrity Committee to implement this Code of Conduct and Ethics Policy.
- iv. sanctioning further investigation of evaluated concerns based on the Responsible Officer's report. Such sanctions shall include suspension, forced leave, or transfer to pave the way for investigation, if it is most likely that the exercise will be interfered with.
- v. effectively dealing with cases of retaliation, whistleblower harassment or victimisation, and

- vi. considering and implementing recommendations arising from the investigation.
- vii. authorising disciplinary action in accordance with the terms of conduct and discipline contained in the Conditions of Service, where it has been established that an individual has reported malicious concerns.

The Registrar and the Director of Student Affairs

The Registrar shall be responsible for the following:

- i. Maintaining records related to the code of conduct and ethics complaints.
- ii. Tracking the progress of investigations.
- iii. Ensuring that any relevant information is shared with appropriate parties as needed.
- iv. Creating a repository (electronic and physical) in which employees can access policy documents.

The Director of Student Affairs shall be responsible for:

- i. investigating complaints related to student conduct
- ii. coordinating with other university officials and law enforcement as necessary.
- iii. ensuring that any relevant policies and procedures are followed throughout the process.
- iv. The Registrar and Directors of Student Affairs shall provide appropriate training and education to staff, students, consultants, vendors, contractors, and/or other parties with a business relationship with the University regarding whistleblowing policies and procedures.
- v. The Registrar and Director of Student Affairs shall develop and deliver training programs, disseminate information

about policies and procedures, and support individuals who have raised concerns or complaints.

- vi. The Registrar and the Director of Student Affairs shall create awareness for all stakeholders and ensure that training is available during the following orientation or induction, awareness sessions, and refresher courses.
 - i. Supervisors and Managers
- vii. Following misconduct, supervisors and managers should cooperate and facilitate any investigation within their department, section, or unit.

Staff, Students and Individual Stakeholders

Staff, students, consultants, vendors, contractors, and/or any other parties with a business relationship with the University have the right and responsibility to disclose information, provided that there is a reasonable belief that malpractice or wrongdoing has occurred or is likely to occur.

Legal Counsel

The University Legal Counsel shall play an essential role in handling misconduct by providing legal advice and guidance to staff, students, consultants, vendors, contractors, and/or any other parties with a business relationship with the University.

b. Institutional integrity committee (IIC)

- i. Senior and executive management shall determine the service terms for the members of the IIC.
- ii. The Vice Chancellor shall appoint the Chairperson of the IIC.
- iii. The chairperson should lead the committee's meetings, set the agenda, and ensure that the committee's work is aligned with the University's mission and goals.

- iv. The term of service for members of the IIC shall be three years, with the option of reappointment for one additional term of office.
- v. The IIC is responsible for promoting and maintaining high ethical standards and integrity within the University.
- vi. The IIC shall handle matters about research misconduct referred to by the research ethics committee.
- vii. The IIC shall serve as a mechanism to investigate, monitor, and ensure compliance with the laws, regulations, and policies that govern the University's operations.
- viii. The IIC shall report the results of investigations into the management and the Audit Committee of the Council.
- ix. The IIC should provide guidance and training to members of the University community on ethical issues.
- x. The IIC shall conduct reviews to assess the effectiveness of the University's compliance and ethics programs.
- xi. The IIC shall develop, implement, and review anti-corruption action plan for the institution
- xii. The IIC shall organise sensitisation to staff and key stakeholders on corruption and fraud issues.
- xiii. The IIC shall develop and implement corruption prevention tools (e.g., corruption prevention policy, conflict of interest guidelines, and gift guidelines).
- xiv. The IIC shall develop and publicise effective internal and external corruption reporting mechanisms.
- xv. The IIC shall conduct a review of work systems and procedures and implement recommendations.
- xvi. The IIC shall monitor procurement processes within institutions.
- xvii. The IIC shall carry out a corruption risk assessment.
- xviii. The IIC shall undertake activities to promote ethics and integrity among staff members, including integrity tests.

- xix. The IIC shall develop client service charters and ensure publicity.
- xx. The IIC shall conduct lifestyle audits within the institution.
- xxi. The IIC shall conduct preliminary investigations into suspected corruption within the institution.
- xxii. The IIC shall recommend administrative action to management on issues of maladministration and unethical conduct.
- xxiii. The composition of the IIC includes a mix of members with diverse backgrounds, skills, and expertise.
 - One school member from the schools of the University.
 - One member from the office of the Registrar acted as secretary to the committee.
 - Two student representatives (one undergraduate and one postgraduate student), one of whom was female.
 - The University's Legal Counsel
 - The University Chaplain
 - 1 representative from Ethics Committee
 - 1 representative with technical expertise in integrity and ethics from the ethics centre.
 - 1 representative from Kamuzu University of Health Sciences Staff Union

III. Compliance

The principle of compliance emphasises the importance of adhering to applicable laws, regulations, policies, systems, and processes fairly and objectively. It requires individuals to understand and comply with legal requirements as well as university policies and procedures. Compliance promotes the responsible and ethical operations of the University and ensures the protection of the rights and well-being of all members of the

University community. This principle will be achieved through the following systems:

- i. KUREC,
- ii. Institutional Integrity Committee,
- iii. Centre of Excellence in Ethics and Governance
- iv. KUHeS Management.

18. MONITORING AND EVALUATION

The Office of the Registrar is responsible for implementing and reviewing the Code of Conduct and Ethics Policy. The IIC is responsible for monitoring the implementation of this Policy. The Policy shall be reviewed initially after three years and every five years unless there is a need to review the Policy before the expiry of this period.

19. FINANCIAL IMPLICATIONS

The successful implementation of this Policy requires a commitment of resources to the structure, procedure, and interventions. More precisely, the University shall budget and allocate resources for:

- a. training of responsible officers.
- b. setting up repository
- c. awareness activities, including the purchase and/or production of posters.
- d. Orientation.
- e. Engagement of external firm(s) for external disclosures on whistle blowing matters.