



KAMUZU UNIVERSITY
OF HEALTH SCIENCES

Research and Consultancy Policy

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Approved by Senate

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Employees Subject to this Policy	Faculty, students, funders, research affiliates and collaborators of the University
Responsible Office(s):	Executive Deans, Heads of Department, Research Coordinators
Responsible Officer(s)	Deputy Vice Chancellor & University Registrar

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FOREWORD

Research and consultancies are important because they support the development of the country by providing solutions to problems, explaining phenomena, and opening new opportunities. By being proactive through the development of research strategies that respond to national priorities and by pursuing research that increases the stock of knowledge, the university places itself at the forefront of shaping the country's transformation in critical areas of development. In the University community, research is one of the strategic pillars and remains an essential part of academic life and advancement.

This KUHeS policy on research and consultancy provides guidance, sets best practices, and regulates the conduct of research and consultancies within the university and among stakeholders locally, regionally, and internationally. The policy was developed by a team of experts from KUHeS, and the process benefited from a wide consultative process from the stakeholders. Various other documents from universities within Malawi, in the region, and internationally were also consulted.

A policy document is a living document that should be continually updated. The KUHeS hopes that this document will play an important role in projecting the image of a vibrant university in research and consultancy.

Professor Francis Moto
Chairman of Council

PREFACE

Kamuzu University of Health Sciences was created by the Act of Parliament number 20 of 2019 through a restructuring process at the University of Malawi. KUHeS is made up of what used to be called the College of Medicine and Kamuzu College of Nursing and comprises different schools headed by Executive Deans. Its administration system is headed by the Vice Chancellor, assisted by the Deputy Vice-Chancellor and the University Registrar. The KUHeS Research and Publications Committee (KRPC), a Senate Committee, is the central body for strategic planning of research enterprises at KUHeS. It is responsible for the development and implementation of the policy on research and consultancies in the university, and it also supports and monitors all university-approved research, consultancy, and related activities. There are several aspects of the Research and Consultancy Policy, including research proposal approvals for funding, determining priority research areas, types of research projects encouraged, time allowance for research, training in research, research budgets, dissemination of research results, peer review of research documents, research clearance, and consultancies. The rapidly changing external environment, including the emergence of other tertiary institutions with competing needs, demands that the university makes itself more marketable, forge more linkages and collaborations both nationally and internationally, and regulate the inevitable but welcome proliferation of consultancy activities. Therefore, the Research and Consultancy Policy will look into all issues related to research and consultancy in the Kamuzu University of Health Sciences in line with other relevant university policies.



Professor MacPherson Mallewa
Vice Chancellor

ACKNOWLEDGMENTS

This policy has benefitted tremendously from inputs from many individuals and offices. Firstly, we would like to acknowledge the support of the Senior Leadership Team of the KUHeS in the development of this policy. Secondly, all university schools made useful contributions, largely through the Executive Deans of Schools, Director of Postgraduate Studies and Research on various aspects of the policy. This has been fully appreciated. Thirdly, the tireless efforts of the members of the task force that coordinated the work on the development of the policy are also hereby acknowledged. It was their dedication and the long hours of hard work that made it possible for the developed policy to take the present shape.

LIST OF ABBREVIATIONS AND ACRONYMS

AIDS	Acquired Immune-Deficiency Syndrome
DVC	Deputy Vice Chancellor
ED	Executive Dean
HIV	Human Immuno-Deficiency Syndrome
HoD	Head of Department
IRB	Institutional Review Board
IT	Information Technology
KRPC	KUHeS Research and Publications Committee
KUHeS	Kamuzu University of Health Sciences
MGDS	Malawi Growth and Development Strategy
NCST	National Commission for Science and Technology
RPC	Research and Publications Committee
URPC	University Research and Publications Committee
VC	Vice-Chancellor

1. BACKGROUND & SCOPE

The KUHeS Policy on Research and Consultancy (hereafter referred to as the Research and Consultancy Policy) aims to ensure consistency across schools in establishing a common mechanism for planning, implementing, and monitoring research and consultancy processes. The policy is an instrument that ensures that high-quality research practices and outputs are achieved, thereby attracting funding organisations. The policy shall apply to schools, departments, centers, units, institutes, and other entities within the university. Specifically, the policy shall apply to staff, students, and other key stakeholders, such as collaborators, both inside and outside Malawi. It maps out the process of research needs identification, prioritisation, and grants management.

The Policy also aims to guide procedures, including remuneration, governing the conduct of consultancies by staff members of the KUHeS. This policy shall also apply to key stakeholders, including those who have commissioned consultancy.

The Policy also maps out the process of proposal preparation and approval procedures, project management, intellectual property rights, monitoring and evaluation, and the dissemination of results from both research and consultancies.

2. THE RATIONALE FOR THE POLICY

Research supports the development of a country by providing solutions to problems, explaining phenomena, and opening up new opportunities. Through research, new technologies have been developed to improve the quality of life of humans. The University is in a unique position of having a concentration of highly trained individuals who can contribute to developing new knowledge for solving problems from different approaches,

such as data gathering, analysis, synthesis, interpretation of results, and informing policy. By being proactive through the development of research proposals that respond to national priorities, as detailed in the Malawi's developmental blueprint, Malawi 2063, Malawi Growth and Development Strategy (MGDS), the National Research Agenda, the National Commission for Science and Technology (NCST) Strategic Plan, and other key sectoral strategies, the university can place itself at the forefront of shaping the country's transformation in critical areas such as health, education, and engineering.

KUHeS recognises that the conduct of consultancies;

- a. provides opportunities for staff to improve their professional and academic competence.
- b. Enhances linkages with external agencies.
- c. Provides opportunities for community engagement, and
- d. Generates additional income for the staff and the university. This explains why there is a need to develop a comprehensive policy to guide staff engagement in consultancies.

3. KUHeS VISION

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

4. KUHeS MISSION

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 global/national policy, health, and development needs in an efficient, sustainable, and result-oriented manner.

5. AIMS OF POLICY

To provide a coordination framework on the conduct of research and consultancies by staff, students, and stakeholders (affiliates) of Kamuzu University of Health Sciences.

6. OBJECTIVES OF POLICY

The objectives of the Research and Consultancy Policy are to:

- a. Build capacity for conducting research and consultancies among staff and students of the university.
- b. Develop and implement a framework through which resources for research, consultancies, teaching, and learning can be effectively mobilised.
- c. Provide a framework for establishing research partnerships by staff of the university.
- d. Enhance the culture of community engagement within KUHeS by promoting research among staff and students.
- e. Regulate the conduct of research and consultancy in the university.
- f. Institutionalise the dissemination of research findings through local (including those arranged by the university), regional, and international conferences and publications.
- g. Guide how research and consultancy funds should be distributed.
- h. Strengthen institutional capacity in research management.

7. POLICY PRIORITY AREAS

7.1 Research Priorities

KUHeS shall:

- a. Facilitate the development of the KUHeS research agenda.
- b. Facilitate the development of research priorities by schools and departments, research centers, institutes, and research units in the university in line with international, national research agenda and regional trends and also in accordance with high ethical standards.
- c. Compile an annual report that details the research and consultancies (where necessary) that have been carried out in the year.
- d. Work with schools departments, research centres, institutes and research units to mobilise sufficient resources for the full implementation of this policy.

7.2 The Organisational Structure of Research and Consultancy, Planning and Administration

- a. The Deputy Vice-Chancellor shall coordinate the implementation of this policy and chair the University Committees responsible for Postgraduate Studies, Research and Publications.
- b. The DVC shall also be responsible for consultancies in the University.
- c. The following offices shall be responsible for the operation of this policy: DVC, Director of Research, Head of RSC, Head of DREGO and Executive Dean.
- d. The Research Support Center and DREGO plays a crucial role in policy implementation.

7.3 Research and Consultancy Functions

DVC shall:

- a. Strengthen the capacity of the ED offices with resource management units in Schools whose sole function is to coordinate grant management.
- b. Strengthen and support the University Research and Publications Committee and KUREC
- c. Facilitate the creation of research entities as the need arises at each university school.
- d. Enforce that all research centers and projects be affiliated with relevant schools and departments and are run following university rules and regulations.
- e. Facilitate the formulation and regular review of research strategy for the planning and administration of research in each school and affiliates.
- f. Ensure that there is a representative of the Research Centres on the University Research and Publications Committee, and
- g. Enforce all affiliates to the university to pay an affiliation fee as stipulated in the affiliation policy to the host institution, which shall only be waived depending on their contribution to the university.
- h. Appoint members who have been nominated by the schools in accordance with KUREC Guidelines

7.4 Funding for Research

KUHeS shall:

- a. Collect information and maintain an inventory of funding agencies, including contact details and specific requirements for accessing their funds.
- b. Disseminate to researchers in the university information relating to funding opportunities and the mode of accessing funds from within and outside the university;
- c. Actively participates in dialogue with the government to increase the allocation of financial resources for research in the national budget.
- d. Target financial resources equivalent to at least 2% of its annual budget from both subventions and own generated income to internal research activities that shall, among other things, be used to mentor young faculty and students to build research and consultancy capacity in Schools/ Centres/Departments/ Units to strengthen the research support / management capacity.
- e. Explore ways of creating linkages with industry to promote industry-university partnerships for direct financing of research and development; and
- f. Encourage collaboration with external researchers, including the establishment of research chairs, to mobilize financial resources.

7.5 Procedure for Approval, Control And Monitoring of Research and Consultancies

KUHeS shall:

- a. Support and protect the professional independence and integrity of KUREC in line with the guidelines of the National Commission for Science and Technology and international best practices.
- b. Enforce students, staff, and affiliates to submit their research proposals to IRBs for ethical clearance.
- c. Develop effective mechanisms for the effective implementation of research projects approved by recognized IRBs
- d. Motivate researchers to submit their proposals through the Research Support Centre for value addition to increase their chances of obtaining funding.
- e. Sensitize the faculty to declare all their consultancies. Evidence of declaration of consultancy shall be used during promotion applications to bring resources to universities.
- f. Monitor budget compliance and delivery of research projects, and
- g. Monitor the implementation of research through IRBs.

7.3 Capacity Building

KUHeS shall:

- a. Organise training in research ethics for faculty members who serve on IRBs;
- b. Institute training programmes to improve research and consulting capabilities and skills of staff;

- c. Effectively implement coordinated postdoctoral research programmes in its various Schools;
- d. Institutionalise research internship programmes in its various Schools;
- e. Create and sustain research pathways for staff;
- f. Create and sustain Research Centres which shall be adequately staffed to effectively achieve their mandate;
- g. Maintain Professors who are active in research and publications for purposes of advancing scholarship and mentoring young faculty;
- h. Build capacity of research management staff;
- i. Encourage collaboration with external researchers, including the establishment of research chairs, to promote capacity building.

7.4 Administrative Costs

7.4.1 Administrative Costs of Research

KUHeS shall:

- a. Require that administrative costs with respect to the processing and implementation of research projects be built into project proposals. All research grants under KUHES shall pay overhead charges which is 18% for off-campus projects and 23% for on campus projects. Any variations from these percentages will be defined or negotiated between individual research affiliates and KUHeS

- b. Distribute research overhead to various sections and departments with respective percentage distributions as in the table below:

Department/Section	Details %	Total %
Host (KUH&S Dept, Unit, Institute, Center, Affiliate)	KUH&S Dept	33%
1. Promotion of research culture and training, short courses	2%	
2. Departmental equipment for research enhancement	5%	
3. Departmental training	5%	
4. Health and Safety	3%	
5. Project base – Executive Dean / Director discretion fund	18%	
IPSR (combines RPC and research support)		20%
1. Equipment	2.4%	
2. Training – short courses and grant writing	3.1%	
3. Promotion of research culture, Research Dissemination Conference (RDC), grants management support – governance, promotion,	14.5%	
Administration		47%
1. COMREC	5%	
2. General Admin/HR/Comms & Marketing, common services	3%	
3. Utilities, security/cleaning/grounds/legal/ general insurance & health and safety & transport pool	10%	
4. Internet, email, access and related support	5%	
5. Information and Communication Technology (ICT) Infrastructure and support	5%	
6. Library, licenses, electronic resources	5%	
7. Development fund, institutional sustainability fund	2.5%	
7. Risk assurance fund	5%	
9. Depreciation - of buildings, plant, equipment, motor vehicles, furniture as well as maintenance and rehabilitation of premises	6.5%	

- c. Ensure that it does not subsidize any externally funded research projects or consultancy. If donor projects do not provide administrative fees, they are charged direct costs.
- d. Subject to the memorandum of understanding (MOU), all equipment purchased under research projects becomes property of the University.

- e. If a staff member becomes unavailable because of a consultancy, s/he is involved, the proceeds from the consultancy shall cover the costs for his/her replacement.

7.4.2 Professional Fees for Consultancies

KUHeS shall:

- a. Requires that administrative costs with respect to the processing and implementation of consultancies and services be built into project proposals.
- b. Ensure that sharing of professional fees from declared consultancies shall be as follows: 90% shall go to the individual(s) implementing the consultancy and 10% shall go to the university.
- c. For consultancies procured by the university (i.e., departments, research centers, schools, etc.), the sharing of professional fees shall be as follows: 60% to the individual(s) carrying out the consultancy, 20% to the executing agency, and 20% to the School/University.
- d. Work out mechanisms to have a transparent accounting system at the university level.

7.4.3 Research and consultancy related liabilities

The sharing of liabilities shall be as follows for declared, undeclared, and university-procured consultancies and research.

- a. Own procured declared consultancies: The consultant will shoulder 80% of the liabilities in the event of unprofessional conduct and poor quality products by the consultant, and 20% shall be borne by the institution.

- b. University procured consultancies: The liabilities will be shared in a 50-50 manner between the university and consultant.
- c. Undeclared consultancies: The consultant will be 100% responsible for all liabilities.
- d. KUHES shall have a Liability and Indemnity fund/ insurance

7.4.4 Sharing of Resources including Information

KUHES shall:

- a. Promote, facilitate, and coordinate the sharing of research projects and consultancy resources among researchers to promote efficiency. Specifically this shall include equipment facilities and infrastructure.
- b. Encourage openness and transparency in the utilization of institutional time and facilities for consultancies, and
- c. Promote, facilitate, and coordinate the sharing of information and information sources in both printed and electronic forms, following data sharing guidelines.

7.4.5 Staff Motivation, Incentives And Research Culture

KUHES shall:

- a. Support staff to enhance their IT skills and access to information technology.
- b. Encourage each staff member to present at least one research-based seminar per year
- c. Give staff an allowance of one semester for research every three years. This requires coordinated scheduling of classes/courses and the provision of more staff members so that classes do not suffer.

- d. Develop a research assessment and merit scheme to ensure that staff who excel in research are well recognized and supported.
- e. Permits a researcher to supplement their salary from research funds, depending on the FTE spent on the project, the salary supplementation shall depend on the grade of the researcher and the time spent on the project.
- f. The salary supplementation schedule outlines the amount allocated to each grade per FTE.
- g. Ensure that research projects are budgeting for the research management and support to incentivise the staff.
- h. Provide a monetary incentive of US\$100 per article published in a refereed non-predatory journal. The incentive for each published article shall be claimed only once by one author in that calendar year. These funds will be used only to support the authors' research and related activities. The introduction of such an incentive encourages non-performers to be more involved in research and publication, and therefore, write articles that are needed for their career growth and advancement.
- i. Introduce regular in-service research methodology and management courses for academic staff;
- j. Develop strong training programs at the postgraduate level and induce senior undergraduate students in research skills.
- k. Strengthen administrative infrastructure to ensure that staff improve their publication records;
- l. Build staff capacity in consultancies, research and research management.

- m. Encourage staff to spend at least 30% of their time on research, 50% on teaching, and 20% on consultations depending on their grade.

7.4.5 Dissemination of Research Results

KUHeS shall:

- a. Fund academic journals and conference proceedings in which research results are published;
- b. Encourage and reward the publication of research results locally, while ensuring that the quality of the local journals meets international standards.
- c. Support the promotion and dissemination of research outputs, such as books, patents, and other intellectual property.
- d. Ensure that Schools organise annual field days in different study areas;
- e. Ensure that the University organizes an annual research dissemination workshop where the research results are presented and discussed. The University shall budget for an annual workshop/conference.
- f. Encourage researchers to incorporate the dissemination of results to end-users in their project proposals.
- g. Ensure that all research reports are peer-reviewed using set guidelines before dissemination;
- h. Digitize the research results and create digital repositories in all university libraries, including at departmental/center level, and all postgraduate students' theses; and

- i. Compile annual inventories of research abstracts, research reports, and activities of staff members for dissemination to policymakers.

7.4.6 Ownership of results/outputs, data and equipment

KUHeS shall:

- a. Stipulate all researchers that copyright ownership of all research results/outputs from research funded by the university rests with the university.
- b. Use the criteria for sharing copyright ownership for research output as stipulated in the Academic Integrity Policy ~~Intellectual Property Policy~~ if the research is financed either partially or wholly from external sources.
- c. Allow copies of all raw data to be submitted to national collaborating researchers, while observing restrictions on distribution to foreign collaborators. All sharing of data and biological samples should be governed by Material transfer agreement (MTA) and Data transfer agreement (DTA)
- d. Own all data from KUHeS funded research;
- e. Ensure that at the close of any university or donor-funded research project, researcher/s should make available for shared-use equipment and buildings that must be handed over to the researcher's department/centre/school as the property of the university (to be marked as such) and that preferential use of the equipment such as computers/vehicles should be given to the researcher as long as s/he is still a member of the university/department/centre and that this should apply whether or not the donor agency stipulates this.

8. GUIDING PRINCIPLES FOR IMPLEMENTATION

- a. The Deputy Vice-Chancellor shall oversee the implementation of the Policy.
- b. The Executive Deans shall be responsible for implementing the policy at the school level.
- c. The University RPC shall develop implementation strategies that will be compatible with this policy.
- d. The Deputy Vice-Chancellor should monitor the development of guidelines for the implementation of the policy on research and consultancies.

9. MONITORING AND EVALUATION

The Office of the Deputy Vice-Chancellor is responsible for monitoring and evaluating the implementation of this policy. The policy will be reviewed every five years.

10. FINANCIAL IMPLICATIONS

For this policy to be operationalized, there is a need to set aside funds for the development of the policy's implementation plan. Funds should also be set aside to reward researchers who publish in peer-reviewed journals.