



## KIBABII UNIVERSITY COLLEGE

A Constituent College of Masinde Muliro University College of Science and  
Technology

# RESEARCH, CONSULTANCY AND EXTENSION POLICY

June, 2014

## LIST OF ABBREVIATIONS

<b>ARC</b>	- Annual Research Conference
<b>ARG</b>	- Annual Research Grant
<b>DP</b>	- Deputy Principal
<b>FTSE</b>	- Full-Time staff Equivalents
<b>KIBUCO</b>	- Kibabii University College
<b>IP</b>	- Intellectual Property
<b>PI</b>	- Principal Investigator
<b>AR &amp;E</b>	- Academics, Research and Extension
<b>PA &amp;F</b>	- Planning, Administration & Finance
<b>R &amp; D</b>	- Research and Development
<b>R&amp; D C</b>	- Research and Development Committee
<b>UCCU</b>	- University College Consultancy Unit
<b>UCRF</b>	- University College Research Fund

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## **DEFINITION OF TERMS**

“**Committee**” means a member or members of the University College to whom the Principal has officially delegated the authority to consider, act on, investigate and decide upon a possible case of misconduct in Research

“**Complainant**” means a person, including a non-University College member, who has a concern or concerns that an academic staff member or other member of the University College may have committed misconduct in Research

“**Disciplinary Procedures**” means the Disciplinary Procedures for Academic Staff

“**Extension**” refers to scholarly activities that cut across teaching, research, and service. They focus on generating, transmitting, applying, and preserving knowledge for the direct benefit of external communities. Extension efforts represent an ongoing exchange between the University College and the larger society. Such efforts are an integral part of the broader University College mission.

“**Intellectual Property (IP)**” refers to creations of the mind: inventions, literary and artistic works, and symbols, names, images, and designs used in commerce.

“**Misconduct in research**” is conduct which impairs the trust and confidence which are essential to the relationship between the University College and the Respondent. Conduct that involves dishonesty will generally constitute serious misconduct.

“**Other Members of the University College**” means members of the University College other than academic staff or students who are engaged in research involving the University College.

**“Research”** “Research is an original contribution to the existing stock of knowledge making for its advancement. It is the pursuit of the truth with the help of study, observation, comparison and experiment. It consist of enunciating the problem, formulating hypothesis, collecting the facts, analyzing the facts and reaching certain conclusions either in the form of solution(s) towards the concern problem”

**“Respondent”** means a person to whom these Guidelines apply

**“University College”** refers to Kibabii University College.

## **CHAPTER ONE**

### **INTRODUCTION**

#### **1.1 Establishment of Kibabii University College**

Kibabii University College (KIBUCO) was established by Legal Notice No.115 of August 2011 as a constituent college of Masinde Muliro University College of Science and Technology.

University College was established with two faculties: Faculty of Science and the Faculty of Education and Social Sciences (FESS). Since the establishment of Kibabii University College, additional School of Computing and Informatics and a School of Business and Economics have been established.

These faculties and schools offer various courses in; Education, Social Sciences, Natural Sciences, Business Studies, Economics, Commerce, Computer Science, Information Technology and Criminology Studies among others. The courses are offered at the Certificate, Diploma, Undergraduate, Masters and Doctoral levels.

#### **1.2 Philosophy**

Kibabii University College embodies the view that Science, Technology and Innovation are critical for sustainable utilization of material and human resources for the posterity of the universe.

#### **1.3 Vision**

To be a global and dynamic University College of excellence in Science, Technology and Innovation.

#### **1.4 Mission**

To achieve excellence in generation, transmission and enhancement of new knowledge in Science, Technology and Innovation through quality Teaching, Research, Training, Scholarship, Consultancy and Outreach programmes.

## **1.5 Values**

To undertake its mission and realize its vision, Kibabii University College upholds the following values: -

Productivity

Professionalism

Excellence-

Accountability and Transparency

Equity

Integrity Academic freedom

Social responsibility

Innovation

Respect for human rights

## **1.6 Rationale for the Policy**

The need for a dynamic University College Research Policy arises from a number of factors:

- (i) The ever diminishing financial resources for conducting research at the University College and national level.
- (ii) Significant changes in the policies of major funding agencies both in government and private sector.
- (iii) Stiff competition in seeking research funds.
- (iv) The challenges posed by the need for universities to benchmark and uphold ISO certification and Commission for University Education (CUE) standards.

## **1.7 Research, Consultancy and Extension Research Mandate**

The Legal Notice No.115 of August, 2011 specifies that one of the major functions of the University College is to “participate in the research, transmission and preservation and enhancement of knowledge and to stimulate the intellect participation of students in the

economic, social, cultural, scientific and technological development of Kenya”.

The University College therefore undertakes to:

- (i) Ensuring a significant annual allocation of funds to the University College research budget;
- (ii) Motivating researchers at the University College to seek additional external funding;
- (iii) Making efforts to attract substantial external funds for the University College;
- (iv) Providing an enabling environment for collaboration and partnerships in research with both national and international agencies.

### **1.8 Research, Consultancy and Extension policy objectives**

- (i) To establish a framework for quality research
- (ii) To develop and sustain research and publication culture
- (iii) Develop mechanism for research funds mobilization and budgeting
- (iv) Implement research findings
- (v) Establish links with local and international partner institutions
- (vi) Develop mechanisms to undertake consultancy activities and extensions services

### **1.9 Target Group**

The Policy applies to all members of staff, and students of Kibabii University College. In addition, any person or group affiliated to University College who wish to conduct research is bound by the same Research policy.

### **1.10 Operationalization of Research, Consultancy and Extension Policy**

The policy shall become effective immediately upon approval by University College Council.

## **CHAPTER TWO**

## **STRATEGIES FOR RESEARCH**

These are purposeful activities that shall ensure that the University College is able to realize the objectives set for research, consultancy and extension activities:-

- (i) Promote the role of the University College as a primary source of research through exchange programmes and strong university- industry linkages
- (ii) Utilize the skills of the University College staff to undertake all forms of research that contribute to the advancement of knowledge, cultural and social development, preservation of the environment and economic growth by employing qualified researchers
- (iii) Develop portfolios of research that are of county, national and international relevance by training of research teams on proposal developments and dissemination of research findings at country and national level
- (iv) Maintain cohesive plans and effective management policies and practices that foster excellence, support individual projects and thematic research, encourage interfaculty research co-operation, and ensure the highest ethical standards and quality in research and creative work through seminars and workshops
- (v) Work to increase external funding and support for research and creative work through publicity and writing proposals for funding
- (vi) Protect, develop and exploit the intellectual property developed in the University College by implementing the IPR policy
- (vii) Promote research- based learning and enhance scholarship by reviewing the curriculum
- (viii) Place a high priority on excellence in research and innovation through recognition and reward systems
- (ix) Increased admission of staff and students through marketing and provision of scholarships
- (x) Promote research teams and collaborative partnerships with other tertiary institutions, research institutions, public agencies and the private sector, at the county level, national level and internationally through linkages and extension

## **CHAPTER THREE**

## **COORDINATION OF RESEARCH, CONSULTANCY AND EXTENSION**

### **3.1 Office of the Deputy Principal (AR&E)**

The Deputy Principal (AR&E) has the overall responsibility for the management of the research affairs of KIBUCO, facilitated through a Research Directorate. The DP (AR &E) reports directly to the Principal, and is chair of the Research and Development Committee.

### **3.2 Directorates of Research, Consultancy and Extension**

The directorates of research, development shall be established within the division of Academics, Research and Extension (AR&E). The directorates will be headed and coordinated by Directors who will be directly answerable to DP (AR&E). The directorates will be charged with establishment of research infrastructure, mobilization of resources for research, prioritization of areas for research and identification of extension service needs. Major decision making will be done through the Board of Research, Consultancy and Extension chaired by a Director.

#### **3.2.1 Functions of the Directorate**

##### **(a) Research**

- (i) Development and review of a research policy and operational procedures which shall assist in setting out research priorities
- (ii) Facilitating funding for research;
- (iii) Establishing research priorities and agenda;
- (iv) providing capacity building and monitoring research projects;
- (v) Organizing seminars and conferences at the University College for dissemination of research findings;

##### **(b) Consultancy**

- (i) Coordinating research and consultancy services;
- (ii) Strengthening capacity building in research;
- (iii) Establishment of a Production unit
- (iv) Establishment of a Science and technology park

**(c ) Extension**

- i) Promotion of quality publication of University College journals
- ii) Organization of Seminars and workshops and conferences
- iii) Field trips
- iv) Trade Fairs and Exhibitions

**3.3 Research, Consultancy and Extension Committee**

The committee shall comprise: the Deputy Principal (AR&E); Directorate of Research consultancy and Extension, Faculty/school representatives; postgraduate student representative and the University College Librarian. In attendance shall be Deputy Principal (Planning, Administration & Finance);

The functions of the Research and Development Committee shall be to:

- a) Approve funds under University College Research Funds (UCRF);
- b) Establish the misconduct in research and determine the penalty;
- c) Conduct continuous policy review;
- d) Seek consultancy and contracts related to research and research product development;
- e) Ensure the protection of University College intellectual property rights;
- f) Establish a media subcommittee of R&DC to work with the relevant organs for the University College in terms of communications and publicity;
- g) Facilitate capacity building among staff involved in research;
- h) Support the development of viable research project proposals;
- i) Create, develop and sustain a conducive environment for research.

**3.4 The Board of Research, Consultancy and Extension**

This shall comprise of representatives drawn from researchers in departments. The board shall be chaired by a Director.

Its functions shall be to:

- a) Evaluate applications for research projects
- b) Encourage research activities between departments and across disciplines (multi-disciplinary research activities);

- c) Establish discipline specific research and extension guidelines
- d) Take initiative for external funding;
- e) Monitor and evaluate research activities;
- f) Profile centers of excellence;
- g) Review county and national calls for submission of research proposals, scholarships and research contracts ;
- h) Provide information and direction to staff seeking funds from external donors;
- i) Identify and alert researchers on international funding opportunities ;
- j) Identify **newsworthy** research items and to produce regular copies for distribution to the media and potential donors;
- k) Guide staff in drawing up of consultancy contracts.
- l) Bid for consultancy services

## **CHAPTER FOUR**

## **FUNDING FOR RESEARCH, CONSULTANCY AND EXTENSION**

The University College recognizes two sources of funding for research activities; internal and external.

### **4.1 Internal Research Funds**

- (i) The University College Council shall operate a University College Research Fund (UCRF) and ensure that significant amount of funds are annually set aside for various research activities;
- (ii) The University College shall set aside funds from its annual allocation less recurrent expenditure to Research and Development to be distributed as shown below:
  - a) 60% shall be spent as Annual Research Grant (ARG);
  - b) 10% shall be spent on development of critical capital equipment;
  - c) 10% shall be spent on development and maintenance of University College research publications;
  - d) 20% shall be spent on Research and Development services.
- (iii) The University College shall establish and operate a research account for all research funds. The signatories to the account shall be the Director Research and Development, the Deputy Principal (Planning, Administration and Finance) and the Deputy Principal (Academics, Research and Extension).

### **4.2 Apportionment of Annual Research Grant**

The Annual Research Grant (ARG) being 60% of the University College Research Fund shall be used for:

- (i) Competitive research and/or project proposals( 70% of ARG );
- (ii) Staff Research Development (15% of ARG);
- (iii) University College Annual Research Conference (10% of ARG);
- (iv) Developing a research resource centre (5% of ARG)

#### **4.2.1 University College Annual Research Conference (ARC)**

Ten percent (10%) of the ARG shall be committed to the KIBUCO ARC. One

conference per academic year shall be held for the purpose of disseminating research findings.

#### **4.2.2 University College Research Resource Centre**

Five percent (5%) of the Annual Research Grant shall be apportioned for the development of a Research Resource Centre. The University College shall establish a research resource centre to enable staff access journals, research reports, abstracts, publications, theses among others and enhance linkage to journals which are accessed freely or at a modest fee.

#### **4.2.3 University College Research Publications**

- (i) Ten (10%) percent of the UCRF be used in the establishment and support of publications with a view of disseminating the research findings by researchers.
- (ii) At least two issues of the respective journals shall be published annually by the University College.

#### **4.2.4 Capital Equipment**

Ten (10%) percent of the UCRF shall be used to acquire equipment for staff engaged in research in all departments. Funds for expensive capital equipment shall be considered in light of the policy on developing research foci and “centres of excellence”. Equipment acquired for research activities shall normally be retained within the departments that acquired them and shall also be accessed by all staff engaged in research activities.

#### **4.2.5 Extension Services**

Twenty (20%) percent of UCRF will go towards development services. The funds shall be utilized in community development projects, innovation, partnerships with industry and other stakeholders.

### **4.3 External Funds**

External funds are funds sourced from outside the University College. Proposals for external funding shall normally be vetted by an evaluation committee formed on *ad hoc* basis. The mandate of the committee shall be to scrutinize the proposals and determine the quality of each proposal before submitting to the donor.

#### **4.3.1 Administrative costs on external funds**

The University College shall normally levy an administrative fee of five percent (5%) on all external research grants awarded for the general administrative expenses incurred by the Research and Development Committee.

#### **4.3.2 Matching Grant**

A matching grant refers to a contingent grant awarded only if the receiving entity is able to put up or independently raise a sum that is equal to the amount provided by the granting entity. Where University College contribution shall be required as a condition for funding by external donors, the Research and Development Committee (RDC) shall consider such applications.

#### **4.3.3 Centres of Excellence in Research, Consultancy and Extension**

The University College shall optimize its resources by identifying research foci and developing these as clusters or “centres” of academic research excellence. An appropriate process of profiling such centres shall take into account existing research strengths as well as county, regional and national needs. The Research and Development Committee shall identify such centres of excellence within faculties, schools, institutions and centers.

#### **4.3.4 Equipment from external research funds**

##### **4.3.4.1 Purchasing of Equipment**

All research equipment unless supplied by the donor, shall be purchased following the normal University College procedure of equipment purchase as guided by Public Procurement and Disposal Act 2005 with the Public Procurement and Disposal Regulations of 2006.

##### **4.3.4.2 Ownership of Equipment**

All equipment and consumables purchased through research grants shall become

University College property in the department of the applicant upon completion of the project.

#### **4.3.4.3 Repairs**

All repairs on equipment shall be undertaken by the project until the end of the project.

#### **4.4 Inter-Institutional Agreements for research**

- (i) In all cases, it is important that before an application is submitted to a funding agency, the parties involved in the collaborative research project have reached a formal agreement on how the funds are to be allocated or reallocated.
- (ii) The intellectual property rights of all parties must also be defined.

#### **4.5 University College and private sector funding for research**

Research undertaken jointly by the University College and the private sector should aim at creating new knowledge and solutions, while maintaining the integrity and independence of both parties.

#### **4.6 Student Involvement in Private Sector Research**

Unless approved by the Deputy Principal (AR&E), a student shall not participate in projects where results are not likely to be disclosed.

#### **4.7 Monitoring and Evaluation of Research projects**

##### **4.7.1 Establishment of Monitoring and Evaluation Committee**

- (i) There shall be established a Research Monitoring and Evaluation standing committee of the Research and Development Committee;
- (ii) The committee shall be headed by a Chairman who shall be appointed by the Research and Development Committee;
- (iii) The membership of the committee which shall be not less than five and not more than ten shall be drawn from across different departments, faculties, directorates.

##### **4.7.2 Functions of Monitoring and Evaluation Committee**

The committee shall;

- (i) Support research project accountability by reporting on activities funded through the UCRF to the Research and Development Committee;
- (ii) Provide advice to the Research and Development Committee on the achievements, shortcomings, lessons learned from specific projects and to recommend follow-up actions;
- (iii) Constitute monitoring team(s) to visit experimental sites for the purpose of assessing and reporting on projects;
- (iv) Provide a progress report after 6 months of project activities and a final report at the end of the project.

## **CHAPTER FIVE**

### **CONSULTANCY SERVICES**

#### **5.1 Definition of Consultancy**

For the purposes of this policy, consultancy shall constitute the following:

- (i) Consultancy is a contract where a member of the University College staff provides a defined service to a client
- (ii) The service provided produces a set of deliverables for which the client pays an agreed consulting fee for the services rendered
- (iii) Consultancy is the transfer of knowledge to address a client's articulated need
- (iv) Consultancy assignments are generally short term in nature

## **5.2 Principles of Consultancy**

- (i) University College is committed to raising additional revenue through consultancy.
- (ii) Research and consulting work undertaken by staff members should be appropriate to University College
- (iii) Consultancy shall be open to all staff members.

## **5.3 University College Consultancy Unit (UCCU)**

- (i) There shall be established a University College Consultancy Unit (UCCU);
- (ii) The UCCU shall enforce rules and regulations governing the conduct of consultancy services by staff;
- (iii) Consultancy agreements mediated by the UCCU shall have a clause in the agreement spelling out how consultancy funds generated are distributed among the concerned parties.

## **5.4 Membership of UCCU Committee**

- (i) The UCCU shall be headed by a coordinator, who shall be appointed by the Principal and shall report to the Director of Research Consultancy and Extension
- (ii) The coordinator shall work with a consultancy committee appointed by Academic Board;
- (iii) The membership of the committee shall comprise representatives each from:
  - a) Faculties and/or schools
  - b) Academics, Research and Extension division
  - c) Planning, Administration & Finance
  - d) The Committee may co-opt other members as it deems necessary.

- (iv) The committee shall regulate its activities through its own schedules of meetings subject to the University College academic calendar and almanac.

### **5.5 Mandate of the UCCU**

- (i) To review and update regulations for consultancy services;
- (ii) Recommend disciplinary actions on staff who do not observe the regulations;
- (iii) Governing the conduct of consultancies;
- (iv) To publicize consultancy regulations among faculty and staff and receive views for revision.

### **5.6 Types of Consultancies**

University College recognizes two types of consultancy;

- (i) University College Consultancy
- (ii) Private Consultancy
- (iii) Public Consultancy

#### **5.6.1 University College Consultancy**

The following summary guidelines relate to University College Consultancy:

- (i) University College Consultancy should take place where a clear opportunity exists to obtain benefits for the individual member of staff, School, Faculty and University College;
- (ii) Where the University College has been contracted to provide consultancy services, it shall cascade the consultancy to the relevant departments;
- (iii) University College Consultancy should be within the area of expertise of the member of staff and should, where possible, offer a level of expertise which is not common in the marketplace;
- (iv) A member of staff undertaking a University College Consultancy must gain approval for the consultancy from his or her Head of Department/Dean. The UCU shall prepare a *University College Consultancy Approval Form*;
- (v) In signing the *University College Consultancy Approval Form* the Head of School/department /faculty shall be confirming that there is no conflict with the University College Consultancy and existing duties and responsibilities;
- (vi) A member of staff undertaking a University College Consultancy is fully covered by the University College's Professional Indemnity Insurance.

### **5.6.2 Private Consultancy**

The following guidelines relate to Private Consultancy:

- (i) Private Consultancy is undertaken by a member of staff in a personal and private capacity and in their own time;
- (ii) The member of staff should ensure that there is no conflict with the interests of the University College in undertaking the Private Consultancy;
- (iii) In undertaking a Private Consultancy, it is the member of staff's responsibility to make clear to a client that they are not acting on behalf of the University College;
- (iv) A member of staff undertaking a Private Consultancy may not use the University College name, logo, intellectual property, services, facilities, equipment, stationery among others;
- (v) A member of staff undertaking a Private Consultancy is not covered by the University College's professional indemnity policy;
- (vi) The University College has no legal contractual responsibility for any Private Consultancy;
- (vii) The University College has no interest in the conditions under which the consultancy is conducted and has no claim on any income earned.

### **5.7 Time spent on University College Consultancy**

- (i) During a given academic year, staff members shall be permitted to undertake a maximum of 30 days University College Consultancy which requires time away from normal duties, on days when an individual would be expected to attend work at the University College;
- (ii) On the rare occasion, where a member of staff wishes to undertake more than 30 days' University College Consultancy during the financial year they should obtain permission from their Head of Department/Dean, who will seek assurance that the work of the Department and the work load on the consultant's colleagues are not compromised;
- (iii) The maximum number of consulting hours permissible for a member of the academic staff shall be subject to the full teaching load as determined by FTSE, time devoted to research activities, including student projects and administrative work;
- (iv) The responsibility for adhering to the limit on consulting hours, and other aspects of University College consulting policy, shall lie first with the individual staff member.

### **5.8 Contractual Arrangements**

University College Consultancies shall be negotiated in line with the University

College's contractual requirements. This will mean the consultant should ensure one or more of the following documents are prepared depending on the nature of the consultancy:

- (i) University College Consultancy Approval Form;
- (ii) Proposal (standard consultancy agreement);
- (iii) Contract (consultancies requiring particular legal conditions).

Guidelines for contractual arrangements shall be prepared and availed by the UCCU.

### **5.9 Costing**

- (i) Consultancy projects should be based on market rates.
- (ii) There shall be two parts to costing:
  - a) The consultant's chargeable honorarium
  - b) The consultant should calculate their chargeable daily rate by adding on the UCCU and School/Department/Faculty overhead of 20% and 10% respectively.
- (iii) The expenses expended to complete the consultancy project:
  - a) Expenses shall be paid by the client at full economic cost. An estimate of known expenses shall be itemized and agreed with the client during the proposal stage;
  - b) Expenses should take into account travel, mileage and subsistence and the use of equipment, consumables and materials.

### **5.10 Financial Management of Consultancy**

Income from consultancies shall be distributed accordingly after payment to the School/Faculty of costs for facilities that were costed into the proposal:

- a) 60% gross income due to the consultant/staff member;
- b) 5% gross income to the relevant department;
- c) 5% gross income to the faculty;
- d) 10% gross income to the UCCU;
- e) 20% gross income to be paid to the University College.

### **5.11 Conflict of Interest**

- (i) Faculty members shall be required to disclose to the University College whether they have interests, or employment in an outside entity prior to the approval of the proposed arrangements between such entities and the University College;
- (ii) In cases where questions arise regarding potential or apparent conflict between consulting activities and the faculty member's University College duties, the faculty member shall disclose, upon the specific request from the respective Dean/Director/Head of department, the names of companies for whom s/he consults, the general nature of each consulting agreement and the number of hours committed per consulting agreement.

### **5.12 Declaration by the Researcher**

The University College Research Community is required to be committed to the values and regulations laid down by the University College research consultancy and Extension Policy and shall be required to sign a declaration form.

## **CHAPTER SIX**

### **EXTENSION SERVICES**

## **6.1 Scope of Extension Services**

- (i) Research findings which can find immediate application to the society and more so, to the surrounding communities, shall be disseminated through extension services of the University College;
- (ii) University College shall endeavour to encourage its staff and students, through their departments, faculties and other recognized units, to participate in research activities in the community.
- (iii) Individual members of the University College who wish to engage in development activities shall inform the Directorate research of their intended activities in the community and shall similarly inform the University College of the outcomes of such activities;
- (iv) Those who participate in extension activities shall at all times safeguard the reputation of the University College;
- (v) The University College shall recognize successful extension services provided to the community through awards and recognition certificates of participation issued by the Principal;
- (vi) Profit making extension services shall be considered as consultancy services and shall be engaged under the guidelines provided in consultancy services.

## **6.2 Priority Areas for Extension**

The University College extension services shall focus, but not limited to the following areas of extension:

- (i) Health Sub-sector;
- (ii) Education Sub-Sector;
- (iii) Agricultural Sub-Sector;
- (iv) Water Resources;
- (v) Environmental Conservation;
- (vi) Weather and climate;
- (vii) Technological innovations and applications;
- (viii) Industries in Kenya.
- (ix) Business culture

- (x) Security
- (xi) Socio-cultural
- (xii) Legal services

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