



MASENO UNIVERSITY

RESEARCH POLICY

FEBRUARY 2017

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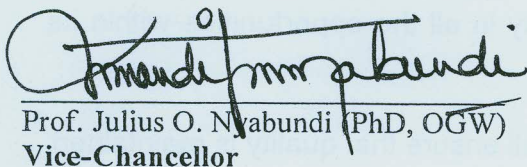
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I. Foreword

The research policy of Maseno University provides the framework for participation of research staff, students from academic units and their collaborators in quality and need-driven original investigations during their research career development.

This research policy is linked to the Maseno University strategic plan 2011-2017 and is meant to provide guidelines and procedures to participating academic units, other research staff and development partners of Maseno University. Through this policy, Maseno University shall endeavor to provide all the necessary support structures for its research and innovation activities, thereby ensuring sustained, measurable and quality research outputs from all its research units and all fields of research.


Prof. Julius O. Nyabundi (PhD, OGW)
Vice-Chancellor

Date: 28th Feb, 2017.



II. Vision and mission

Vision

The University of Excellence in discovery and dissemination of knowledge

Mission

To discover, harness, apply, disseminate and preserve knowledge for good of humanity.

III. Core values of the University

- **Relevance**
The University is committed to ensuring relevance in its programs and activities
- **Excellence**
Excellence shall be targeted in outputs of the university
- **Equity**
The University shall ensure that there is equity in all the opportunities within its jurisdiction
- **Quality**
All outputs and processes of the University shall ensure that quality is maintained
- **Integrity**
The University shall ensure integrity in all their undertaking

IV. Quality statement

Maseno University is committed to quality through teaching, research and development, providing timely services to foster and develop academic excellence in basic and applied research at all levels of study by training practice oriented manpower, who can contribute effectively to social, intellectual and academic development.

The University is internally engaged with its employees, to continually improve its services, products, processes, methods, and work environment to ensure each customer is receiving the highest quality service or product at the committed cost and on time.

Maseno University is committed to quality through teaching, research and development; providing on time services to foster and develop academic excellence in basic and applied research at all levels of study by training practice oriented manpower, who can contribute effectively to social, intellectual and academic development in the community, the nation and the community of nations.



The University is committed to communicating exhaustively with its customers, and internally with its employees, to continually improve its services, products, processes, methods, and work environment to ensure each customer is receiving the highest quality service or product at the committed cost and on time.

In order to realize this commitment the University Management will monitor and review its quality performance from time to time through implementation of an effective quality management system based on ISO 9001:2008 standard.




V. Approval and commencement

This policy shall be known as the Research Policy of Maseno University herein after also referred to as **Policy No RPI/PO/001** shall take effect on approval by Council.

In exercise of the powers conferred by: Section 23(1) and section 35(1)(a)(iii) of the Universities Act, Section 19(2)(q) of the Charter for Maseno University 2013; Schedule I (1.2)(q) of the Maseno University Statutes, Maseno University Council certifies that this policy has been made in accordance with all relevant legislations.

Dated the 28th day of February 2017

Signed  Date 28 Feb. 2017

Prof. Rosalind W. Mutua

Chairman, Maseno University Council

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VI. Definition of terms

Research: this is a diligent and systematic inquiry or investigation into a subject in order to discover or revise facts, theories, applications, etc.

Researcher: any staff member of the University, person awarded honorary or academic status by the University, student or person otherwise associated with the University, who conducts research in the course of employment, study or a formal research affiliation with the university.

Publication: the act of bringing before the public.

Intellectual property right: are exclusive legal rights over creations of the mind meant to give the owner rights from which to exploit their intellectual creation.

Grant: a privileged sum of money given towards research investigation.

Collaboration: the process of two or more people or organizations working together to realize or achieve something successfully.

Consultancy: a professional practice that gives expert advice within a particular field.

Research misconduct: fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

Commercialization: the process of introducing a new product or production method into commerce, making it available on the market.

Memoranda of Understanding: describes a bilateral or multilateral agreement between two or more parties. It expresses a convergence of will between the parties, indicating an intended common line of action.

Capacity building: the process of equipping individuals with the understanding, skills and access to information, knowledge and training that enables them to perform effectively.

Research leave/study leave/sabbatical: are equivalent terms and mean leave paid for by the employing institution to enable academic staff to pursue research and scholarship free from teaching and administrative duties.

Human Subject: means a living individual about whom an investigator (whether professional or student) conducting research obtains: data through intervention or interaction with the individual or identifiable private information.

VII. List of abbreviations

PRI	-	Partnership Research and Innovations
RPI	-	Research Publications and Innovations
MUERC	-	Maseno University Ethical Review Committee
MoU	-	Memorandum of Understanding



1.0 Introduction

1.1 Preamble

Academic freedom and the freedom of scientific research is enshrined in the Constitution of Kenya (Article 33 (1) c). In addition, the strategic report by the National strategy for University education reform process, the strategic goal for quality and relevance is to improve quality and relevance of learning through research for socio-economic transformation of societies.

The objectives of University education are further emphasized within the Universities Act No. 42 of 2012, Article 3 (1). Specifically, some of these roles *inter alia* are defined as: (a) advancement of knowledge through teaching, scholarly research and scientific investigation; (b) promotion of learning in the student body and society; ... (d) support and contribution towards the realization of national economic and social development; (e) promotion of the highest standards in the quality of teaching and research;...and (g) dissemination of the outcomes of the research conducted by the University to the general community. Further to the Article 3(1) above, Article 3 (2) section (e) emphasizes that a University shall promote public-private partnership in University education and development.

As a University, we are committed to implementing all the relevant legislations spelt out above. In our 2011-2017 strategic plan, Maseno University identifies (i) research and innovation; (ii) partnerships and collaboration as key pillars towards achieving its mission, "to discover, harness, apply, disseminate and preserve knowledge for the good of humanity".

1.2. Scope of policy

The policy covers all matters relating to the research and innovations undertaken by students, members of staff of Maseno University and their collaborators.

2.0. Objectives of the policy

The objectives of the research policy are to:

- provide guiding framework to facilitate planning and implementation of research and innovation activities within the University,
- ensure that all University research activities are focused and inclined towards institutional, national and global research agenda,
- promote and defend freedom of thought and academic association,
- create an environment that promotes high standard of professional conduct for researchers,
- cultivate a culture of research practice that is ethical, competent, safe and accountable.



3.0. Maseno University research priorities

The Institutes, Centers, Schools, Departments and Units shall develop and pursue well-defined research priorities prepared in consultation with their eligible staff. The thematic areas shall be in line with institutional, national and global research priorities.

4.0. Research governance

Research governance structure shall uphold existing University administrative structure. The Deputy Vice- Chancellor in charge of Partnerships, Research and Innovations (DVC-PRI) The DVC-PRI shall be responsible to the Vice-Chancellor and the Council and shall provide leadership in Research, Innovation and Partnerships of the University. The Directorate of Research, Publications and Innovations (DRPI) shall be responsible to the Deputy Vice-Chancellor Research Innovation and Partnerships. The DRPI, **through its board** shall develop policy proposals on Research, innovations and oversee their implementation and review.

4.1. The Directorate Research, Publications and Innovations (RPI) board shall include:

- (i) Director (RPI) /Chairman
- (ii) A representative from each School/Faculty
- (iii) Coordinators of Research Institutes/Centers

4.2. Functions of board shall include:

- (i) To advice the Senate on the research, Intellectual Property and other research related policies of the University.
- (ii) To establish research priorities for the university.
- (iii) To coordinate all research and research support activities in the university.
- (iv) To receive and consider minutes and reports on research activities of the research committees of School/Centers.
- (v) To make recommendations to the Senate on the allocation of University funds available for research.
- (vi) To undertake and facilitate fundraising from external sources in support of research at the university.
- (vii) To evaluate research proposals and allocate research funds to individual applicants out of any funds voted by Council for this purpose
- (viii) To monitor the use of research resources
- (ix) To develop policy on monitoring the use of research grants
- (x) To receive and evaluate reports from recipients of research grants through Heads of Departments/Programmes and Deans/Directors of Faculties on the use of research funds received from all sources
- (xi) To scout for project ideas and initiatives among research faculty, advise on potential funding agencies, constitute project development teams and coordinate proposal write up, review and approval
- (xii) To monitor the progress and performance of research projects by initiating and coordinating project.
- (xiii) To advice DVC-PRI on IP matters, review IP disclosures and resolve disputes



arising from implementation of the Intellectual Property Policy.

5.0. Academic and research freedom

The University shall emphasize a balance between teaching, research and administrative activities. The separation as teaching only, research only and administrative only staff is generally regarded as a condition that pulls apart research, teaching and administrative activities of academic staff. A more flexible approach to the allocation of teaching and research responsibilities would entail agreement of percentages of time that each academic spends on each of the above activities from time to time.

The University will therefore recognize time dedicated to research by every member of academic, academic-administrative staff and shall ensure that research effort by such staff is evaluated and rewarded for successful conduct of research (*Cross-reference to Recognition and reward policy*).

6.0. Research leave/study leave/sabbatical

Research leave is one of the most significant elements in the career development of research active academic and academic-administrative staff. It is therefore important that the allocation of this resource, so precious both to the individuals who receive it and to the institution, which must finance it, be seen to be managed in the most fair, efficient and effective way possible. Research leave procedure shall be spelt out in the Maseno University human resource policy.

7.0. Responsibilities of the researcher

7.1 Researchers shall keep the University informed about any funding they have received to support their research, and comply with any conditions specified by funding bodies in respect of their research. Each researcher shall be responsible for:

- (i) Reporting on his or her research activities as per required by the performance contract;
- (ii) Completing and lodging an Authorship Form in respect of any research material that has been published or submitted for publication;
- (iii) Maintaining records in respect of the conduct of experimentation involving animals, human subjects or biosafety matters, in accordance with the provisions and processes identified above;
- (iv) Maintaining research records, and ensuring that arrangements are made for his or her research data and records to be stored and referenced in accordance with this Policy;
- (v) Advising the Dean of School of any confidentiality provisions or contractual arrangements that apply in relation to a research project or with regard to publication of the research, both in respect of his or her own research and that of any student whose research he or she has been appointed to supervise.



7.2 Students conducting research must comply with the provisions contained in:

- (i) The Rules and Regulations for undergraduate students;
- (ii) School of Graduate Studies Rules and Regulations (For postgraduate students)
- (ii) The University' Research Policies and Procedures;
- (iii) Other relevant policies and guidelines on research.

7.3 For any externally funded projects, the University shall enter into a research contract with the funding agency as soon as the project has been approved for funding.

7.4 Where there is interest of joint ownership of research results/output, the contract shall be between the researcher(s) as one party, the joint financiers as the second party and the University as the third party.

7.5 Any University funded project whose progress shall be found unsatisfactory on two consecutive bi-annual evaluations shall be wound up prematurely to avoid further wastage of resources.

7.6 Any research grant funds must be used in accordance with Maseno University financial management procedures unless otherwise stated by the funding body.

7.7. For each externally funded project, the researcher in consultation with the University asset management department shall keep an updated inventory by verifying the following information for each asset:

- Location,
- Status,
- Condition,
- Description,
- Manufacturer,
- Model No.,
- Year manufactured,
- Serial No.

8.0. Research misconduct

Scientific research must be conducted in accordance with the highest regard for standards of honesty. Misconduct of any nature in research is an abomination to the intrinsic goals of all scientific inquiry and dissemination of knowledge. The academic community cannot tolerate plagiarism, fraud, lying, or other types of malfeasance in the conduct of scientific research. Such activities undermine the foundations of our institutions, the fundamental concepts underlying scientific research, and the public's trust in the personal integrity of a researcher.

8.1. Research misconduct includes:

- (a) Fabrication, defined as making up data or results and recording or reporting them.
- (b) Falsification, defined as manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately



represented in the research record.

(c) Plagiarism, defined as the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

(d) The destruction, absence of, or the respondent's failure to provide research records adequately documenting the research that is the subject of an allegation of research misconduct.

(e) Mis-expenditure/misappropriation of funds granted to the institution or by the institution to a investigator for the conduct of a specific research project.

(f) Conducting research without compliance approvals (or without following approved research protocols for a research project.

(g) Misuse of resources in the conduct of research provided to the institution under a Material Transfer Agreement.

(h) Theft of resources provided to the institution for the conduct of research or released to other institutions without executed Material Transfer Agreements, Confidentiality Agreements, or other required documentation.

(i) Authorship disputes are not usually considered research misconduct although in extreme cases may qualify as plagiarism.

(j) Misconduct in the reporting of research results by: dual submission of manuscripts, redundant publication of research results or republication of research results, failure to obtain consent for publication from co-authors, failure to disclose conflicts of interest in manuscripts, grants and publications, or otherwise making false statements to journal editors.

9.0. Innovation and value addition

Maseno Universities has an enormous potential for innovation. The University shall strive to identify and prioritize its innovation systems. The University will therefore facilitate, host and conduct appropriate research activities with a focus on changing attitudes and improving research productivity of its staff, students and affiliate partners.

10.0. Consultancy (*Cross-reference to consultancy policy*)

Maseno University shall create an enabling environment in order to avail its extensive human resource for consultancy as a way of contributing to the overall University mandate and national development. In particular, the University undertakes to support its staff to enable them compete for consultancy services.

11.0. Research dissemination (*Cross-reference to publication policy*)

Maseno University shall establish a well-structured and objective information delivery system and network to enhance research activity and information sharing. The University will also organize and coordinate University-wide, national, regional and international research conferences, workshops and make outcome publications available online and on print. It will also strive to support by way of funding, local international standard journal as an additional avenue for research dissemination

12.0. Commercialization (*Cross-reference to intellectual property rights policy*)

Maseno University shall develop a clear strategy linking research activity to commercialization of products through establishment of Science and Technology Parks.



Partnership of the University research units with private sector will be encouraged. Engagement will be through joint research ventures and other appropriate avenues. The management of such partnerships will be conducted through instruments of engagement including Memoranda of Understanding.

13.0 Contribution to research administrative and costs human capacity building.

13.1 Each externally funded project shall normally contribute at least 15% of the total direct costs of the project to be distributed as follows: institutional overheads (10%) and research capacity building (5%). However, the actual percentages may vary depending on the regulations of the funding agency where there are no direct investments in the University.

13.2. Where the policy of an external donor does not allow for overheads, then the estimated costs of utilities and management support shall be included as direct costs to the project.

14.0 Creation a conducive research environment

14.1 The University shall establish and strengthen administrative and financial management support to research in order to relieve researchers of such non-research burdens.

14.2 Research support services shall include continuous improvement and modernization of research information systems and access to international literature and databases. The University shall promote this agenda through collaborative partnerships to access online resources.

14.3 Researchers and research administrators shall be encouraged and facilitated to improve their capabilities in programme formulation and fundraising and in routine project management.

14.4 The University shall be proactive in working towards a stable research environment by responding positively to staff needs, providing equitable compensation and by providing and maintaining basic research infrastructure and accessories.

14.5 Research collaboration partnerships for capacity development, experience sharing and benchmarking shall be encouraged.

14.6 To monitor the research impact, the University shall set up and implement a feedback mechanism to assess research effectiveness in solving societal problems.

15.0 Proprietorship of research outputs (*Cross-reference to intellectual property rights policy*)

15.1 In Principle, Proprietorship of research results/outputs shall rest with the University. This shall always be the case, without any dispute, when all research funding is from within the University, other public sources, or where donor funding is not tied to any specific research project(s) except where explicitly stated in the research contract.



15.2 Where research is financed either partially or wholly from an external source, and there is a desire for shared proprietorship of research results/outputs, then a formula for ownership shall be worked out up front and be part of the approval process. The negotiated Intellectual Property Rights policy of the University will be applied in consultation with the funding agency.

16.0 Ethical, environment and safety considerations

16.1. Maseno University will continually improve its research approval process for students, staff and research affiliates by creating specialized institutional review boards. For this purpose, the Maseno University Ethical Review Committee (MUERC) has been instituted to facilitate research proposal clearance. MUERC shall work closely with relevant University and national review organs to ensure researchers working within and/or who are associated with Maseno University comply to established international ethical standards.

16.2 The following issues will be considered before commencement of any research project:

a) Researchers must comply with relevant legislation, guidelines, policies and directives with regard to ethical and safe practices in research.

b) All research involving human subjects, animals or biosafety matters must be approved and monitored by the relevant university committee and/or authorized body as outlined below:

(i) All proposals involving experimenting with animals are to be submitted to the Animal Welfare Society to satisfy requirements and approval conditions.

(ii) Proposals involving the participation of human subjects, or the use of human tissue or blood, or those that involve either participation of or may impact on indigenous peoples, are to be submitted to the MUERC and any relevant government regulatory agencies for approval.

(iii) Proposals involving use of clinical drugs in research trials must be submitted to MUERC, the Pharmacy and Poisons Board and any other relevant regulatory authority.

(iv) Where a proposal may involve research with other significant hazards advice should be sought from the National Commission for Science Technology and Innovation, National Biosafety Authority (NBA), National Environmental Management Authority (NEMA) and other relevant regulatory bodies.

c) Where research is to be conducted off-campus or through external affiliation or requests from external researchers, the University may approve an arrangement whereby a proposal may be approved and monitored by another authorized committee, and specify the conditions under which such an arrangement will operate.



17.0 Maintenance of research records, and data storage and retention

17.1 Research records and data must be retained and stored appropriately in laboratory notebook to enable the accuracy, veracity and basis of research findings and research methods to be tested, established and scrutinized.

17.2 The DVC (PRI) will issue guidelines specifying the University's requirements for reporting on research activities, maintaining research records and retaining and storing research data.

17.3 The Dean/Directors of Schools/Centres shall be responsible for monitoring compliance of researchers within their respective School with regard to the matters specified in 9.4 below, and exercising supervisory responsibility on these matters.

17.4 The Vice-Chancellor, Deputy-Vice-Chancellor (PRI), the Dean/Director of Faculty/School, Director (RPI) and other persons authorized by the Deputy-Vice-Chancellor (PRI) shall be entitled access to research records and data of any researcher, for the purpose of ensuring compliance with this Policy, and with the provision that any confidentiality arrangements authorized by the University must be respected.

17.5 A researcher who uses data or research materials obtained under an agreement between the University and an external agency or institution is bound by the terms and conditions to which the University is a signatory, and is required to use the data or materials in compliance with such terms and conditions.

18.0 Research project close-out.

18.1. Ownership of Equipment Purchased with external Funding.

Generally, the title of ownership for equipment purchased on externally funded sponsored agreements rests with the University. If the funding authority is to retain ownership, it should be specifically identified in the funding agreement.

18.2. Employees hired in research grant positions will be required to sign a statement indicating that they are employed in a contractual basis and that their employment is limited to the duration of the grant funding.

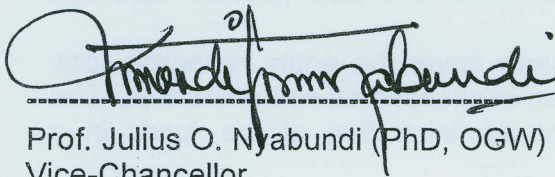


19.0 Policy review.

The policy shall be reviewed shall be subjected to review by the DRPI board every 4 years or whenever the need arises.

The Deputy-Vice-Chancellor (Partnerships, Research and Innovations-PRi), through the Directorate, RPI, shall be responsible for monitoring observance of the Policy on Research Practice across the University and reporting to the Vice-Chancellor on any significant issues that may arise with regard to the conduct of research.

Policy Authorization


Prof. Julius O. Nyabundi (PhD, OGW)
Vice-Chancellor

Date & Stamp: 28th Feb, 2017



APPENDIX

DIRECTORATE OF RESEARCH, PUBLICATIONS AND INNOVATIONS

UNIVERSITY RESEARCH GRANT SCHEME

1.0 Introduction

The Directorate of Research, Publications and Innovations (DRPI) is through a Research Award Scheme programme will help academic staff members of Maseno University undertake academic research. It is envisaged that this programme shall be particularly useful to junior academic staff at the beginning of their research/academic careers or staff who may require urgent start-up funds to generate preliminary data leading to write-up of a substantive research project proposal(s) for external funding. The DRPI Board proposes a review of the Research Award Scheme to enable deserving academic staff benefit from the limited funds and also provide objective guidelines in the competitive disbursement of funds.

The funds in question shall assist and not necessarily cover the entire research cost. The maximum amount of the award will only be given in exceptional circumstances. The DRPI Board shall be responsible for the prudent administration of the funds in a professional and accountable manner.

2.0 Eligibility

Application for research funding/award is open to all staff of Maseno University competitively.

3.0 Thematic Research Areas

Thematic research areas will vary from time to time depending on University-wide, Kenya Vision 2030, regional and global focus. Current thematic areas should be in line with Sustainable Development Goals (SDGs) including: education, poverty alleviation, health, energy, climate, infrastructure and industrialization, gender issues and biodiversity. Provision shall be given to other areas of research not specified above as need arises.

4.0 Categories of Proposals

4.1 Discipline – Specific individual Research Proposals

This is a uni-disciplinary research proposal either for postgraduate students or staff of Maseno University. Where the applicant is a postgraduate student, the application shall be considered within the applicant's area of specialization under the guidance of a senior research mentor.



4.2 Multi-disciplinary Group Research

Multidisciplinary, multi-institutional research proposal are those written across disciplines. It should include members of academic staff of Maseno University from different disciplines. Each team member must have a given objective to address or a task to accomplish, however, all members must work towards a common problem/goal.

Priority will be given to proposals that are multidisciplinary as it has a holistic approach to addressing problems. The proposal should be submitted by the principal researcher but signed by all co-researchers. The budget should consider the co-investigators who should represent different disciplines within or outside the Department/Faculty.

4.5 Call for proposals

There shall be annual call for proposals for prioritized thematic areas based on University research agenda, national agenda and the SDGs.

4.6 Review of proposals

All proposals shall be subjected to peer review both internally and externally.

4.7 Use of Research Grant Funds

The Research Grant funds must be used in accordance with Maseno University procurement procedures.

5.0 Monitoring and Evaluation

5.1 Visits to the experimental sites by the Maseno University research board .

The Research, Partnerships and Innovations board shall undertake periodic evaluation of all funded research projects.

5.2 Progress Reports

Progress reports shall be submitted every six months to the committee and financial report after every 3 months, approved by the University finance officer. Those who do not show proper accountability for the funds and/or provide adequate technical reports will refund all the funds not properly accounted for and may be subjected to disciplinary action.

5.3 Final technical and financial reports

Final technical report to be submitted at the end of the funding period and financial report duly signed by the University finance officer and DRPI.

5.4 Seminar presentations

The beneficiaries shall make regular seminar presentations for monitoring and evaluation.

5.5 Publications

Results from the research shall be published in international peer-reviewed journals, conference proceedings, workshops, seminars, reports and policy briefs.



5.6 Intellectual property rights

Intellectual Property rights shall be applied for through the DRPI for any innovations from the research.

5.7 Equipment

Any equipment bought from these research funds shall be surrendered to the relevant University department at the end of the research period. This should be in line with the provisions by the funding agency.

5.8 Re-imbursement of the research funds

Successful applicants shall show evidence of using the money for intended research. Unused funds must be paid back to the University or the University shall surcharge the researcher(s) to recover such funds.

6.0 Submission of Proposals

The committee will meet twice a year at the beginning of each semester. Applications shall normally take about 1-2 months to process before the outcome is released following a call. All proposals shall be peer reviewed. Proposals are acceptable throughout the year, however, it is advisable to submit proposals at the beginning of the semester.

7.0 Disbursement of Funds

All successful applicants for the grant shall sign contract before funds are released.

8.0 Format of Proposals

All proposals for the research grant scheme shall be in the following format:

- i. Abstract: maximum 250 words.
- ii. Introduction: background to the study and literature review (2-3 pages).
- iii. Problem statement and justification (1 page).
- iv. Goals/objectives/hypotheses/research questions (1/2 page).
- v. Description of activities: Applicant to provide some details of the activities to be implemented, providing details of how (methodology) and where it will be implemented including the executing persons (2-3 pages).
- vi. Co-ordinating framework: Applicant to indicate the co-ordination mechanism for the activities. This is particularly important for group proposals (1 page).
- vii. Schedule of activities: provide a Gantt chart and log frame (1 page).
- viii. Expected outputs.
- ix. A detailed budget.

Expenditure Table for University Research Grant Scheme

S.No	Item	Unit cost (KShs)	Quantity	Total cost (KShs)
1.	Grand Total			
2.	Amount Awarded			
3.	Over/Under-expenditure			

