

EU/RE/POL/01A

EGERTON



UNIVERSITY

Transforming Lives through Quality Education

University Research Policy

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PREAMBLE

Egerton has transformed itself from an Agricultural College of 1939 with three students to a modern University with over 20,000 students. The departments, faculties and programmes have also increased. The University has positioned itself to be a world class University guided by its vision and mission. The University's mandate as stipulated in The Universities Act No. 42 of 2012 includes advancement of knowledge; promotion of learning; quality teaching and research; gender balance and equality of opportunity among students and employees; cultural and social life of society; mainstreaming of persons with disabilities, minorities and other marginalized groups; supporting the realization of national, economic and social development; capacity building; dissemination of research outcomes; and provision of adult and continuing education.

The University supports research and extension by availing funds for competitive University-funded research and by soliciting donor funds to supplement its contribution. The research is carried out using facilities such as the Biotechnology Laboratory, Computer laboratories, Centre for Herbal Medicine and Research, Limnology Laboratory, Departmental Laboratories, libraries and other useful outdoor facilities. The University encourages collaborative research and development through partnerships with national, regional and international institutions and organizations. The emphasis is on demand-driven, policy and market-oriented research that culminates in the development of new products, technologies, innovations and improved services. This Policy provides the framework for improving efficiency and effectiveness of conducting research and should be read in tandem with the Universities Act No. 42 of 2012 and the Egerton University Statutes.

ARTICLE 1.0: Vision, Mission, Philosophy and Core Values of the University

1.1 Vision

To be a world class University for the advancement of humanity.

1.2 Mission

To offer exemplary education to society and generate knowledge for national and global development.

1.3 Philosophy

Egerton University innovatively influences human development through holistic education and generation, acquisition, preservation and dissemination of knowledge and skills, with emphasis on Agriculture and related disciplines. The University provides equal opportunity in producing competitive and hands-on graduates that contribute to national and global development.

1.4 Core Values

The University's activities and decisions will be guided by the following core values:

- i) National unity
- ii) Internationalism
- iii) Passion for excellence
- iv) Professionalism
- v) Devotion to duty
- vi) Integrity, transparency, and accountability
- vii) Social fairness

ARTICLE 2.0: Research Policy Objectives

The research policy seeks to:

- i) Use research as a tool for achieving the Millennium Development Goals and the Vision 2030.
- ii) Create a conducive environment for producing quality research proposals and outputs.
- iii) Create a framework for benefit sharing.
- iv) Enable researchers adhere to ethical practices.
- v) Enhance transparency and accountability in conducting research.
- vi) Create a framework for projects monitoring and evaluation (M&E).

ARTICLE 3.0: Scope of the Policy

The Policy applies to all Egerton University research activities, researchers and their collaborators. It contains rules, principles and regulations that University researchers and their collaborators should observe while conducting research in order to maintain the integrity and dignity of the University.

ARTICLE 4.0: Committees

The University has a Division of Research and Extension headed by the Deputy Vice- Chancellor (Research and Extension). Its functions include coordination and facilitation of research and extension, consultancy services, vocational training, publications, production of extension materials, information management, and dissemination of information through seminars, workshops, conferences and symposia. The Division operates through the following committees:

Article 4.1: Tegemeo, Academic and Research Committee

This is an Egerton University Council committee whose terms of reference include to:

- (a) Advocate on behalf of and enhance marketing of the University locally and internationally.
- (b) Assist in mobilizing resources for the University.
- (c) Advice on development and implementation of University policies, academic and research programmes.
- (d) Make recommendations for sourcing, administering and distributing University scholarships.
- (e) Oversee a University reward scheme for excellence in teaching, research and extension.
- (f) Receive regular reports from, and advise, the Deputy Vice-Chancellor (Academic Affairs) and the Deputy Vice-Chancellor (Research & Extension), on the development of academic and research policies and procedures.
- (g) Approve Tegemeo Institute's policies, business plans and annual budget.
- (h) Identify Tegemeo Institute's risks and internal controls.
- (i) Ensure good management, corporate governance and leadership in Tegemeo Institute at all levels.
- (j) Strategize on how to develop Tegemeo Institute in a sustainable manner.
- (k) Consider and report any matter referred to it by the University Council and Senate.

Article 4.2: Research Committee

There shall be a Research Committee whose Terms of Reference are to:

- (a) Develop and recommend to Senate the University Research Policy.
- (b) Review the Research Policy from time to time and make recommendations to Senate.
- (c) Establish the University research priorities.
- (d) Facilitate capacity building for researchers and their collaborators.
- (e) Receive, review and approve research proposals.
- (f) Allocate research funds to successful applicants.
- (g) Monitor and Co-ordinate research projects.
- (h) Receive progress, technical and financial reports from grants' beneficiaries.
- (i) Identify and recommend establishment of research facilities and laboratories to the University.

Article 4.3: Publications' Committee

There shall be a Publications' Committee whose Terms of Reference are to:

- (a) Advise and publish University newsletters, magazines, research journals and any other relevant University documents.
- (b) Receive, consider and approve manuscripts for publication.
- (c) Ensure that Egerton University Press (EUP) is efficient, effective and self-supporting.
- (d) Facilitate capacity building of staff in writing manuscripts, educational materials and books.
- (e) Support production of instructional materials.

ARTICLE 5.0: Categories of Research Projects

Egerton University manages both University-funded and Donor-funded projects.

- (a) University-funded projects receive money from the university through its budgetary allocation.
- (b) Donor-funded projects receive funds or grants from donors based on successful proposals

ARTICLE 6.0: Citation

This Policy shall be cited as the Egerton University Research Policy No **EU/RE/POL/01A**

ARTICLE 7.0: Researchers' Rights and Responsibilities to Conduct Research

The researchers' rights and responsibilities shall include:

- (a) A guarantee of their freedom of speech, intellect and association.
- (b) All researchers and their collaborators shall not be discriminated against or stigmatized on the basis of disability or medical grounds.
- (c) Based on the available resources, all researchers will have the rights and privileges to conduct research in their areas of competence.
- (d) All basic and applied research shall not be in conflict with human rights, dignity, health or ethical standards.
- (e) Egerton University researchers may receive research funds from any source provided that it does not lead to contravention of the laws of Kenya.
- (f) Egerton University researchers may collaborate with local and international institutions and organizations for purposes of joint research.
- (g) All research Agreements shall be signed on the advice of the University Legal Officer.

ARTICLE 8.0: Research Ethics and Integrity

This Policy shall be guided by the following ethical and integrity issues:

- (a) Research shall be conducted in an open manner.
- (b) Researchers shall obtain ethical clearance from the Research Ethics Committee when appropriate. This is important particularly when using human or animal subjects.
- (c) All researchers shall observe high ethical standards while conducting research.
- (d) Researchers shall take all reasonable steps to ensure that research property entrusted to their care is adequately protected and used for the intended purpose(s).
- (e) The Principal Investigator shall ensure that all subjects to be used in the project are informed of their rights and of any possible harm that may arise from their participation in research.
- (f) All researchers and their collaborators shall respect people's gender, religion and culture and race.

ARTICLE 9.0: Professionalism and Integrity in Research

Researchers shall:

- (a) Conduct research in a manner that maintains their dignity, integrity and professionalism.
- (b) Treat research subjects and their collaborators with courtesy, civility and

respect.

- (c) Respect the rights of others and shall refrain from disruptive, threatening, intimidating, harassing and harmful behavior to themselves, other persons or property.
- (d) Endeavour to improve the standards of research and professionalism.
- (e) Maintain and develop knowledge and understanding of their respective areas of expertise.
- (f) Publish their research findings locally and internationally.
- (g) Report any extra research sub-awards to both the Deputy Vice-Chancellor (Research and Extension) and the main funder of the project within 14 days after award.

ARTICLE 10.0: Intellectual Property

Ownership of all Intellectual Property Rights arising from research activities shall be governed by the Egerton University Intellectual Property Rights Policy.

ARTICLE 11.0: Benefits Sharing

- (a) For each externally funded research project, the University will retain 10 – 15% of the total cost as administrative costs.

- (b) The administrative costs will be shared as follows:

University Research Reserve Fund 30%

Service providers administrative costs 35%

*The Research Team and Principal

Investigator's (PI) Department 35%

*25% to the PI and the team and (10%) to the Department. The proportion of sharing between the PI and other team members shall be recommended by the PI to DVC (R&E) for approval.

Where the PI and other team members receive honoraria from the project, the 25% will revert to the University Research Reserve Fund; however, if only the PI receives an honorarium, the other team members will share part of the 25% as will be recommended by the PI and approved by the DVC (R&E).

- (c) This Policy also applies to Tegemeo Institute of Agricultural Policy and Development of Egerton University. The policy notes the uniqueness of Tegemeo as a semi- autonomous institute that largely relies on its capacity to raise funds for its operations. The Institute raises funds from two categories of projects: Core long-term projects and short to medium-term projects and consultancies. The Institute has overheads from core and non-core projects:

- i) Administrative costs from the core projects shall be remitted in full to the University. Administrative costs from short to medium-term projects and consultancies shall be retained by the Institute and used to complement payment of salaries and other expenditure not catered for by the core projects.
- ii) To ensure sustainability and staff retention and subject to the availability of funds, the Institute staff shall receive a gratuity of 25% of basic salary per year from any savings made from short to medium-term projects and consultancies.
- iii) The balance from non-core projects after paying gratuity shall be allocated as follows:

Tegemeo Development Fund	30%
Tegemeo Research Reserve Fund	20%
Research team	35%
Service providers administrative costs	15%

ARTICLE 12.0: Research Property

- (a) Any equipment of a permanent nature shall be the property of the PIs department or any other facility at Egerton University as specified in the Contract.
- (b) Any consumable research materials such as chemicals and stationery remaining at the
- (c) end of the project shall be owned by the PI's Department.
- (d) All project research vehicles shall be registered under Egerton University and managed by either the Division of R & E or the PI's Department.
- (e) Except where the project Agreement specifies otherwise, researchers shall retain laptops/notepads that they have used in the project for more than one year. Desktops, printers, cameras, video recorders and LDC's shall become the property of the PI's Department at the conclusion of each project
- (f) Any laboratories or Centres established through research funds shall be the property of the University and shall be used by all staff except where accessibility is restricted to authorized staff only.
- (g) The Laboratories or Centres established through research funds shall be headed by the
- (h) Principal Investigator or a person authorized by the University.

ARTICLE 13.0: Research Thematic Areas

- (a) In consultation with researchers and other stakeholders, the Division of Research and Extension shall, from time to time, review research thematic areas, based on current and emerging issues.
- (b) Based on the identified research thematic areas, The University shall adjust its research strategy in order to realign itself with national goals, needs and priorities.

ARTICLE 14.0: Environmental Health and Safety

- (a) Researchers shall observe health and safety standards as stipulated by the rules and regulations of the relevant authorities.
- (b) Egerton staff and their collaborators shall ensure that their environment for conducting research is safe and that laid down procedures and protocols for handling,
- (c) releasing or disposing potentially hazardous materials are being followed to protect the persons involved.
- (d) All visitors to research laboratories and designated research areas shall be advised to take precautionary measures to reduce any harm to self, research specimens and to persons involved in research.
- (e) The researcher must report any accidental release of chemical, biological or radioactive materials to the Dean, Faculty of Environment and Resources Development, who shall take precautionary measures to minimize any harm to the ecosystem.
- (f) The University Research Committee shall:
 - (i) Oversee that disposal of research materials is done according to the University and national standards and guidelines for waste disposal.
 - (ii) Ascertain that specimens (plants, animals, human beings) are handled with respect and care.

ARTICLE 15.0: Principal Investigators' Responsibilities

- (a) In this Policy, a Principal Investigator (PI) is the person responsible for providing leadership in development and implementation of a research project. The PI is accountable to the University and donors through the DVC (R&E).
- (b) Principal investigators shall be responsible for:
 - (I) Implementation of the project as stipulated in the project work plan.
 - (ii) Ensuring the smooth implementation of the project.
 - (iii) Ensuring adherence by the project research team to all the provisions

of the Research Policy.

- (iv) Ensuring timely submission of project reports.
 - (v) Ensuring proper acquisition, use and retention of all project research data.
 - (vi) Ensuring compliance with the Project's technical and financial agreement.
- (c) In the event that the PI retires, changes employer or otherwise, he/she shall handover all project responsibilities (including full accounting of all research funds disbursed) to DVC (R&E), who will inform the donor of the changes. The DVC (R & E), in consultation with the other members of the research team and the donor, shall identify and appoint a new PI. In cases where the donor insists that the projects moves with the PI the University will levy a chargeable operational fee of at least 10% of the total project funds.

ARTICLE 16.0: Teaching, Research and Administration

- (a) The primary responsibility of an academic staff is to teach and conduct research and may be called upon to undertake administrative duties. These administrative duties may include membership to committees, coordination of examinations and representing the department in important forums within and outside the University.
- (b) For purposes of (a), the Policy recommends that time be allocated as follows:
- | | |
|----------------|-----|
| Teaching | 60% |
| Research | 30% |
| Administration | 10% |
- c For academic staff holding more involving administrative posts such as Programme Coordinators, Chairmen of Department, Deans and Directors, the apportioning of time for teaching, research and administration shall be determined by the Vice- Chancellor.

ARTICLE 17.0: Appointment of Research Fellows, Research Assistants and Project Staff

- (a) Research fellows and assistants shall be appointed using the University recruitment procedures.
- (b) Persons employed by the project who are not University employees shall be engaged only for the lifetime of the project. They shall maintain

confidentiality of all project data, findings and patentable innovations and shall not share the project information with non-project staff unless authorized in writing by the Project Manager in consultation with the DVC (R&E).

ARTICLE 18: Secondment of Academic Staff to the Research Division

- (a) The University, from time to time, shall second academic staff with outstanding research potential to the Division of R&E on a full-time basis to enhance its capacity to engage in competitive research, training and consultancies.
- (b) Appointment shall be for a renewable term of five (5) years and will depend on to one year successful performance probation period

ARTICLE 19.0: Management of Research Funds

- (a) All research funds shall be managed by the Deputy Vice-Chancellor (R&E) under the University financial and procurement procedures except where the donor and the University have agreed otherwise.
- (b) Research funds shall be disbursed only for the approved project activities.
- (c) The PI shall apply to the Deputy Vice-Chancellor (R&E) through the Director of Research for disbursement of project funds
- (d) Disbursement of funds to a researcher shall be subject to full surrender of previous imprest related to the project.
- (e) A researcher shall take only one imprest at a time per project unless authorized otherwise by the DVC (R&E).
- (f) Principal Investigators and their collaborators shall ensure that donor conditions are fully adhered to in the implementation of the research project.

ARTICLE 20.0: Application for University Research Funds

- (a) The Division of Research and Extension shall make a call for submission of research proposals in April of each year.
- (b) All proposals submitted to the Division of Research and Extension shall conform to the standard proposal preparation guidelines obtainable from the Office of the Director (Research and Extension) or the

University website.

- (c) All applications for research support shall be addressed to the DVC (R&E) through the applicant's immediate supervisor.
- (d) All submitted proposals shall be checked by the University Research Committee for conformity with application guidelines.
- (e) If there are minor deviations from the guidelines, the PI shall be asked to make relevant corrections. If deviations are major, the proposal shall be rejected and the PI notified.
- (f) Each proposal that meets the requirements specified in the application guidelines shall be subjected to peer review by three (3) specialists in the subject area.
- (g) Each proposal shall be ranked by the reviewer based on the tool for evaluating the quality of proposals.
- (h) The ranking of the proposals shall be as follows:
 - (i) Within the top ten percent (91-100%)
 - (ii) Within the top quarter, but not among the top 10% (75-90% range).
 - (iii) Within the top half but not among the top quarter (50-74% range).
 - (iv) Within the bottom half (less than 50%).
- (i) Each peer reviewer shall submit detailed critique of the proposal to the Director (Research and Extension).
- (j) The Director (R&E) shall prepare a summary of comments from the three (3) reviewers and send a copy to the University Research Committee for discussion, after which he/she shall send the review comments to the PI for feedback.

ARTICLE 21.0: Award of University Research Funds

- (a) Each successful research proposal submitted to the University for funding shall be awarded grants subject to availability of funds.
- (b) All University research funds shall be deposited in a specific University bank account, which shall be managed by the DVC (R&E).
- (c) Researchers shall be required to use allocated funds as per the approved work plan and budget.
- (d) To build capacity of as many researchers as possible, a researcher shall be a PI of only one University-funded project at any given time.
- (e) For every approved proposal, the PI shall sign grant conditions' form where he/she shall undertake to ensure that:
 - (i) The project is not funded by any other organization without the knowledge of the DVC (R & E).
 - (ii) The research results shall be co-owned by the research team

and the University.

- (iii) In case of an invention, the research team and the University shall be co- owners of the patent.
- (iv) Research results shall be disseminated to the end-users using appropriate dissemination methods.
- (v) The research team shall be required to publish at least one (1) paper in a peer- reviewed journal.

ARTICLE 22.0: Application for Donor Research Funds

- (a) All applications for donor research support that require University endorsement shall be sent through the DVC (R & E). Researchers applying for donor research support that does not require University endorsement shall submit the proposals to the donor and notify the DVC (R&E).
- (b) There shall be a research Contract Agreement between the University and the donor for all successful donor-funded projects and signed by the VC or DVC (R&E).
- (c) All donor research funds shall be deposited in a specific University bank account, which shall be managed by the DVC (R&E).
- (d) Egerton University shall not be held responsible for donor funded collaborative research projects, whose funds are not managed by the University.

ARTICLE 23.0: Requisition for Research Funds

- (a) The PI shall formally request for funds for implementing research activities from the DVC (R & E) through the Director (R & E).
- (b) The request shall comprise of a completed imprest application form, a detailed budget in line with the approved budget and a work plan.
- (c) No request for additional funds shall be approved until all outstanding funds have been accounted for and/or the relevant progress report has been submitted.
- (d) Failure to account for disbursed research funds and/or provide a satisfactory progress report shall result in termination of the award and surcharge.
- (e) All unspent research funds shall be refunded to the project account.

ARTICLE 24.0: Capacity Building

- (a) The Division of Research and Extension shall endeavour to build research capacity through holding workshops and seminars to train researchers on preparations of research proposals, project management, publishing, presentation of research findings, and maintenance of records.
- (b) All donor funded research projects shall as much as possible incorporate training component.
- (c) Selection of trainees, who may be members of staff or students, to benefit from donor-funded projects shall be open and transparent.
- (d) The trainees' role in the project shall be clearly specified in the project document.
- (e) Trainees shall receive stipends and/or other benefits stipulated in the project document or Project Contract Agreement.

ARTICLE 25.0: Monitoring and Evaluation

- (a) All approved research projects shall have a monitoring and evaluation (M&E) component.
- (b) The Research Committee shall ensure that M&E is carried out for all approved projects.
- (c) For all University-funded projects, the PI shall submit quarterly technical and financial progress reports to the DVC (R&E).
- (d) For all donor-funded research, the PI shall submit the progress reports required by the donor through the DVC (R&E).
- (e) The University Research Committee shall arrange supervisory visits to review and Confirm projects' implementation progress.

ARTICLE 26: Research Knowledge and Data Management

- (a) There shall be a Knowledge and Data Management Unit in the Division of R&E
- (b) The Division of Research and Extension shall be the custodian of all data obtained from research projects.
- (c) The data shall be stored by the Knowledge and Data Management Unit of the Division of R&E in its databanks.
- (d) All research conducted by Egerton University Staff shall be registered with the Division of Research and Extension.
- (e) At the conclusion of each project, the PI shall submit, in soft and hard copy, all project data to the DVC (R &E).

- (f) All project data shall be confidential until officially made public.
- (g) The Division of Research and Extension shall enhance research information and experience sharing with relevant stakeholders.
- (h) All external persons or organizations requiring research data and information shall obtain authority from the DVC (R&E).

ARTICLE 27.0: Publications and Dissemination

- (a) At the end of a research project, the PI shall submit two copies of the final report and any other publication(s) to the DVC (R&E).
- (b) All research papers published as a result of University or donor-funded projects managed by the University shall acknowledge Egerton University and the donors.
- (c) The PIs and their collaborators shall disseminate research findings through policy briefs and stakeholder workshops, seminars and conferences.

ARTICLE 28.0: Research Misconduct

- (a) A researcher shall not engage in acts that include, but not limited to, dishonesty, fraud, embezzlement and misappropriation of research funds, falsification, plagiarism, and non-compliance with the conditions as stated in this Policy.
- (b) Where a researcher violates research ethical standards in a way that seriously harms the University reputation or compromises the researcher's ability to work effectively, the University Disciplinary Procedures and/or the relevant Laws of Kenya shall apply.
- (c) A researcher who violates acceptable research practices shall be blacklisted and stopped from benefiting from University research funds for a period of five (5) years.
- (d) A researcher who contravenes the provisions of Article 25a & b shall be held personally liable for losses resulting from the contravention.
- (e) All allegations of misconduct shall be investigated by the Research Committee and reported to the DVC (R&E) for action.

ARTICLE 29.0: Research Grievances

- (a) All grievances related to the conduct of research shall be reported to the DVC (R&E) within 14 days' of occurrence who will forward to the Research Committee for deliberations and recommendations for

appropriate action.

- (b) Any grievances arising from collaborative research involving a non-Egerton
- (c) University staff shall be handled as stipulated in the Research Contract Agreement.

ARTICLE 30.0: Termination of a Research Project

A research project shall be terminated under the following circumstances:

- (a) If the project is incapable of meeting its objectives and/or is being implemented unsatisfactorily.
- (b) If the PI violates the principles and requirements in this Policy and the Research Committee is satisfied that he/she is guilty.
- (c) If there is a serious disagreement between the PI and the research team/collaborators such that the research cannot continue.
- (d) If the funds allocated are insufficient to complete the project.
- (e) Act of God (*Force majeure*).

ARTICLE 31.0: Policy Review

This Policy shall be reviewed after every five (5) years or earlier when necessary.



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