MOI UNIVERSITY
ISO 9001: 2015 Certified Institution

RESEARCH POLICY

VERSION 3

JUNE 2019

MOI UNIVERSITY
ISO 9001:2015 Certified Institution

MU/OP/DVC (A, R&E)/055-PROCEDURE FOR DEVELOPING OF QUALITY UNIVERSITY RESEARCH POLICY

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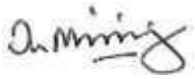
The Directorate of Research wishes to acknowledge the role played by the Management of the University to enable undertaking of research in the University. Research and scholarship is central to the Vision and Mission of the University thus the need to review the Research Policy. The Directorate of Research is grateful to the Deputy Vice-Chancellor Academics, Research & Extension for his leadership throughout the review process and various stakeholders, including the University Management, Dean's and Senate Committees for their scrutiny and input. The Directorate further acknowledges the contribution of members of staff, research teams, individuals, School Research Committees who directly or indirectly were instrumental during the review. We appreciate the leadership of our Vice Chancellor, Prof. Isaac. S. Kosgey. The Moi University fraternity is recognized for their input and active participation during the process. Special gratitude goes to Directorate of Research Staff members who contributed to the completion and production of this Policy.

The Policy will guide all the coordination of research activities in the University.



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FOREWARD

The Office of the Deputy Vice-Chancellor, Academics, Research and Extension coordinates research and extension activities and manages the commercialization of research findings, including Intellectual Property Rights involved in research and extension. To this end, it works closely with other institutions including universities, the private sector, government, NGOs and international organizations. The main objective of the University in this regard is to entrench a research culture in the University by:-

a) Ensuring that there is significant allocation of funds to the annual research budget.
b) Deliberately motivating researchers in the University to seek additional research funds.
c) Focusing efforts on attracting substantial amounts of external funds from private sector and donor agencies.
d) Promoting conducive environment for collaborative research for both national and international research partners.
e) Disseminating research findings in workshops, seminars and conferences.

This 3rd version of the research policy document provides guidelines for the incorporation of research activities into the university's mainstream as core business. It also provides for a conducive research environment that motivates staff to undertake sustainable research work within competitive, national and international environment.

This policy is to provide a framework for:

a) Sourcing funds under the University Research Funds (URF)
b) Detecting misconduct in research and determining the penalty.
c) Encouraging continuous policy review.
d) Scrutinizing national, government, and provincial tender bulletins for research contracts so as to inform researchers accordingly.
e) Seeking consultancy contracts that are related to research and development (R&D) and to work with the relevant organs of the university in terms of communication and publicity.
f) Assisting in the protection of intellectual property rights. (IPR)
g) Rewarding researchers who have substantially attracted external research grants or published widely in international refereed journals.
h) Supporting development of fundable research project proposals.
i) Providing support and facilitation through the Vice Chancellor to those seeking external research funds.
j) Alerting researchers on international funding opportunities especially those arising from bilateral and multinational agreements.
k) Announcing international funding opportunities for researchers channeled through the Vice-Chancellor.
l) Funding for the Moi University local/International Conferences.
m) Creating, developing and sustaining conducive research environments.

Certain areas of Research Policy outlined herein ought to be read as evolving in relation to other policies in the University.

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DEFINITION OF TERMS

Academic year	-	Means a period of twelve calendar months ending on such dates as may be designated from time to time by Senate, provided, however, that Senate designate different dates or different periods of more or less than 12 months for different purposes
Academic Staff	-	Means Professors, Associate Professors, Senior Lecturers, Lecturers, Tutorial Fellows and such other persons in the employment of the university engaged in teaching or research therein as council, acting in accordance with the recommendation of senate, may from time to time grand the status of members of the University.
Administrative Staff	-	someone who performs routine clerical and organizational tasks. They organize files, draft messages, schedule appointments and support other staff.
Awards	-	a prize or other mark of recognition given in honor of an achievement.
'Big Four'	-	Kenya's development agenda of housing, security, affordable healthcare and manufacturing under Jubilee Administration 2017-2022.
Capitation	-	Means grants from the government
Chancellor	-	Means the Chancellor of the University appointed in accordance with section 10 of The Universities Act (No. 42 of 2012).
Collaborative/Joint Research	-	Means research jointly undertaken by institutions, departments & individuals under memorandum of understanding.
Commercialization of Research Products	-	Means the transfer of research findings into utilizable form for monetary value.
Conference	-	Means the gathering of scholars with the similar work interest or those who come together to discuss views and exchange new ideas
Council	-	Means the council of the University established under section 16 of The Universities Act (No. 42 of 2012).
Counterpart Funds	-	Means matching funds needed to enable

		the partner to release an equivalent amount for a project
Dean	-	Means the academic and administrative head of a school
Directors	-	a person who is in charge of an activity, department, or organization.
Deputy Vice-Chancellor	-	Means the Deputy Vice-Chancellor appointed by the University under section 13 of The Universities Act (No. 42 of 2012).
Evaluation	-	Means assessment as per laid down terms and conditions
Extension	-	Means the dissemination of research findings to the University community and stakeholders
Facilitation	-	Means intended support towards achieving a given task or assignment
Financial year	-	Accounting period that can start on any day of a calendar year but has twelve consecutive months (52 consecutive weeks).
Force Majeure	-	Means an act of God.
Gender Equity	-	Means the attainment of parity amongst all people in the same set up
Graduate	-	Means a person whom a degree has been conferred by the University
Inaugural Lectures	-	Means professorial lecture delivered by a professor upon appointment to a level of professor
Innovation Award	-	Means an award by the vice-chancellor for innovations or inventions, products or processes that meet excellent transfer of technology in the area of specialization.
Intellectual Property	-	Means creations of human minds (intellect & comprises of property, copyrights & plant breeders right)
Minor Equipment	-	Means equipment used in University laboratories or offices of not exceeding KSh.100,000 (Kenya Shillings Hundred Thousand)

Misconduct	-	Means research plagiarism, fabrication and falsification of research and research products and processes leading to misappropriation or conversion of research resources and findings. Misconduct does not mean honest errors or honest differences in interpretation or judgment of data
Multidisciplinarity	-	Means joint research undertaken by consortium of experts across disciplines
Principal Investigator (PI)	-	PI(s) are responsible for determining the intellectual direction, timely submission of proposal and reports, management of funds and preparation of research papers of a research project
Postgraduate	-	Means a person who already holds a first degree and who is doing advanced study or research.
Public Lecture	-	Means a lecture delivered by a prominent or eminent person to the members of University Campus & surrounding community
Refereed Journal	-	Means papers published and approved by peers
Research	-	Means a careful study of a subject especially to discover new facts or information about it.
Research Proposal	-	Means a formal suggestion or plan
Senate	-	Means the senate of the University constituted under section 19 of The Universities Act (No. 42 of 2012).
Technology Transfer	-	Means the dissemination of scientific knowledge.
University Research Fund	-	Means the fund set aside by the University Council for purposes of research.
Vice-Chancellor	-	Means the Chief Executive Officer of the University appointed under section 10 of the Act.
Institutional collaborations	-	Initiatives or arrangements of various kinds between two or more organizations working to accomplish specific goals in distance education that have *institutional* commitment
Vision 2030	-	Kenya Vision 2030 is the long-term development blueprint for the country and is motivated by a collective aspiration for a better society by the year 2030.

LIST OF ABBREVIATIONS, ACRONYMS AND SYNONYMS

A, R&E	-	Academics, Research and Extension
AMPATH	-	Academic Model Providing Access to Healthcare
CD-ROM	-	Compact Disk Read Only Memory
CUE	-	Commission for University Education
CARTA	-	Consortium for Advanced Research Training in Africa
DVC	-	Deputy Vice-chancellor
DFiD	-	Department for International Development
FAO	-	Food and Agriculture Organization of the United Nations
GMOs	-	Genetically Modified Organisms
IPR	-	Intellectual Property Rights
IREC	-	Institutional Research and Ethics Committee
ID	-	Identification Number
ICT	-	Information Communications Technology
IODL	-	Institute of Open & Distance Learning
IGERD	-	Institute of Gender Equity, Research & Development
KENIA	-	Kenya National Innovation Agency
MUIPP	-	Moi University Intellectual Property Policy
MURG	-	Moi University Research Grant
NACOSTI	-	National Commission for Science Technology and Innovation
NRF	-	National Research Fund
NGOs	-	Non-Governmental Organizations
NHI	-	National Health Insurance
OVI	-	Objective Verifiable Indicators
PSSP	-	Privately Self-Sponsored Programmes
P&D	-	Planning and Development
PF	-	Personal File
R&D	-	Research & Development
RAB	-	Research Advisory Board
RUFORUM	-	Regional Universities Forum for Capacity Building in Agriculture
SRCs	-	School Research Committees
SDGs	-	Sustainable Development Goals
USAID	-	United States Agency for International Development
URF	-	University Research Fund
VC	-	Vice-chancellor
WHO	-	World Health Organization

1.0 INTRODUCTION

Moi University is a public institution of higher learning established by an Act of Parliament of 1984. The University was re-chartered in the year 2013 under the Universities Act No. 42 of 2012 as amended in 2016. It is governed by the University Council, which is responsible for the overall policy, human and financial resources, and physical establishment. The Moi University Management Board manages the daily operations at the University. Many decisions at the University emanate from Committees and Boards that are established by the Statutes, or on *ad hoc* basis, but always with the Moi University Act, the Statutes and the various rules and regulations governing the establishment of such committees or Boards, and their operations.

1.1 Vision

To be the University of choice in nurturing innovation and talent in science, technology and development.

1.2 Mission

To preserve, create and disseminate knowledge and conserve and develop scientific, technological, and cultural heritage through quality and relevant teaching and research; to create a conducive working and learning environment, and to work with the government and the private sector for the betterment of society.

1.3 Core Values

i) Promotion and defence of intellectual and academic freedom, scholarship and relentless search for truth.
ii) Fostering teamwork, collaboration, creativity and innovation, effective communication, tolerance, perseverance, and a culture of peace.
iii) Embracing excellence, openness, consultation and consensus building, efficiency and effectiveness.
iv) Practicing professionalism, meritocracy, exemplary leadership, equality, integrity and social justice.
v) Maintaining a sense of self-respect, discipline, responsibility, institutional loyalty and national patriotism.
vi) Continuous improvement of services in order to remain competitive.

1.4 Quality Objectives

i) Enhance the quality and relevance of University programmes in order to produce globally competitive graduates with relevant knowledge, skills and appropriate attitudes for national and international socio-economic development needs.
ii) Promote scholarship and creation of knowledge through research and disseminating findings.
iii) Strengthen and diversify University linkages with Government, industry, development partners and other stakeholders.
iv) To promote extension and outreach services.
v) To provide timely and adequate support services to enhance service delivery.

1.5 Quality Policy Statement

Moi University is committed to providing quality higher education and services that meet the needs and expectations of its customers and other stakeholders through relevant Teaching, Research, Extension & Outreach and Consultancy. The University is committed to providing

resources and a conducive working & learning environment that are grounded on our core values so as to nurture innovation & talent in science, technology and development.
To be able to realize this commitment, the University will continually review its Programmes, Activities and Services (objectives) to conform to the Quality Management System based on the ISO 9001: 2015 Standard.

2.0 THE RESEARCH POLICY

2.1 Aim of the policy

This Policy establishes a framework to effectively spearhead research and innovations at Moi University.

2.2. Purpose of the Research Policy

The Policy shall enable the University to fully contribute towards the development of national and global agenda. It shall provide a guiding framework to facilitate research activities within the University. It shall also ensure that all research activities have a clear purpose drawn from the Vision and Mission of Moi University, and that all resources mobilized for research activities are directed towards the fulfillment of institutional goal.

2.3 Relevance to National, Regional and International Context

The National Strategy for University Education reform process emphasizes the creation of a culture of innovation through acquisition, generation and application of knowledge.
Further, recent developments in University education management have resulted in the enactment of the Universities Act No 42 of 2012 (revised 2016) which gives provisions within which Universities shall operate.
In the Universities' Act No 42 of 2012 (revised 2016), the objectives of University education are defined in Article 3(1) as;

i) Advancement of knowledge through teaching, scholarly research and scientific investigation.
ii) Promotion of learning in the student body and society generally.
iii) Promotion of social life in society.
iv) Support distribution to the realization of National Economic and Social Development.
v) Promotion of the highest standards in the quality of teaching and research.
vi) Dissemination of the outcome of research conducted by the University to the general community.

Additionally, Article 3(2) Section C emphasizes that the University shall "Promote Private-Public Partnership in University Education and Development". Moi University intends to fully encourage these roles in particular to participate in discovery, transmission and preservation of knowledge, and to stimulate the intellectual life, economic and socio-cultural development of Kenya as per its mission.
This Research Policy shall ensure that research in the University satisfies the following principles:

- Relevance to National and International Development Policy such as the Sustainable Development Goals (SDG's), Africa's Agenda 2063 and the Kenya National Development Agenda that includes Vision 2030 initiative and the "Big Four" initiative.
- Strategic linkages to the Vision, Mission, Core values and Strategic Plan of the University.
- Conformity of Research with International best practices in order to facilitate implementation and dissemination and foster Research Linkages with other Institutions National and Internationally, including Research Grant awarding bodies.

2.4 Government Role in recognizing Research

The Formation of the Commission for University Education (CUE) has made a remarkable difference in terms of the quality of teaching, programmes and facilities particularly in the public universities. CUE provides leadership on formulation of Research and Innovation agenda in Kenya. The Research and Development (RD) unit of CUE Conducts research on critical issues in university education; preparation of research funding proposals in support of university education; conducting relevant manpower surveys and studies; publishing and disseminating research findings on university education and research; formulation, implementation and review of university research policies and strategies; liaising with government, university, industry, development partners and research institutions locally and internationally to develop an efficient and effective university research agenda for the country; mobilizing funds and resources to support university research; developing the capacities of universities and ensure that universities offer quality postgraduate research training, improved research projects management, develop and implement policies on plagiarism and open access; asses and align university research with the national development agenda including vision 2030.

2.5 Challenges facing University Research in Kenya

Higher Education in Kenya has for many years been faced with the need to compete between resources, increased enrolment and maintaining relevance through research and Innovation. The situation is dire to a point where the balance between productivity gains and the quality of teaching and research is under threat.

These has attributed to the challenges faced by university Research in Kenya;

- Low levels of funding by the universities by the Government
- Lack of research infrastructure; laboratories and equipment
- Universities spreading too thin; lack of geographical and thematic focus.
- Rapidly expanding privately sponsored teaching programs that are pulling academic staff away from research into teaching only. Pressures of massification that require expansion to cater for the large increase in student numbers.
- Poor University-Industry linkages; hence undermining the relevance of teaching programs and low levels of university research funding by industry.
- Poor implementation of policies on intellectual property rights, research ethic, plagiarism and open access to information.
- Poor alignment of university research to national development goals and aspirations
- Poor management, supervision, monitoring and evaluation of university research programs.
- Low impact of university research and its utilization at the national level.

3.2 Strategic issues for improving research at Kenyan universities

For Kenya to accelerate its development and achieve the Sustainable Development Goals, the government will have to increase its investment in Science and Technology at the universities and in turn demand prudent management of resources. This can be through:

- Improving access to research infrastructure: libraries, laboratories and ICT.
- Improving research funding and capacity: proposal writing, research project management, report writing, and scientific communication.
- Improving collaboration and linkages: local, regional and international. University-industry linkages, science parks and research support.
- Encouraging creative works, inventions and innovations and commercialization of the same.
- Encourage outreach, dissemination, benchmarking and stakeholder involvement in setting the agenda and dissemination of university research products.
- Forge links with industry and government to become more innovative and relevant to society; and participate in or form part of government policy making organs. this can be done by getting data on universities, university research and its utilization in policy making and national development.
- Expenditure on research and development should be increased.

2.6 Justification

The need for such a framework is necessitated by a number of factors, including need for:

i) Efficient use of scarce research resources;
ii) Fostering an open and conducive environment for collaborative research and consultancy;
iii) Providing clear guidelines for research and consultancy; and
iv) Motivating staff to seek research funding.

2.7 Rationale for the policy

i) A guide for stakeholders on procedures and processes for conducting research in the University.
ii) Informing on the core business of the University.
iii) Reference on administration, funding, conducts and regulation of research output.

2.8 Strategies

The University will achieve this aim *inter alia* by:

i) Annually allocating funds to the University Research Fund (URF);
ii) Intensifying efforts to attract external research support from development partners such as, United Nations, World Bank, WHO, NHI, USAID, FAO, DFiD and African Union among others;

iii) Creating an enabling environment for collaborative research with national and international partners such as the National Research Fund, AMPATH, CARTA, RUFORUM among others;
iv) Fostering productive research with the private sector; and
v) Coordination and partnership with state agencies responsible for research such as NACOSTI, NRF and KENIA, amongst others.

3.0 GOVERNANCE AND CO-ORDINATION OF RESEARCH AT MOI UNIVERSITY

All research in the University shall normally be coordinated by the Directorate of Research under the DVC (A, R&E). There shall be a Research Advisory Board and School Research Committees (SRCs) whose functions shall be to assist the DVC (A, R&E) and Director (Research) in the coordination of research activities in the University.

3.1 Directorate of Research

The Management of Moi University is committed to providing quality education and services that meet the needs of its clients and stakeholders through quality and relevant teaching and research. This commitment is reflected in the University's vision, mission, core values and objectives. To achieve its mandate in research, Moi University aims to promote a vibrant and productive research environment that positively contributes to national industrialization and development goals by putting in place appropriate structures for effective research funding and management of research activities. It is in line with this that, the Directorate of Research under the Office of the Deputy Vice Chancellor (A, R & E), was established in the year 2014 to coordinate research activities in the University. Additionally the Directorate facilitates School Research Committees (SRCs) and collaborates with other directorates of the University: ICT, IGERD, PSSP, IODL, Quality Assurance, Innovations Firm, International Linkages and Dean, School of Postgraduate Studies to harness the potential and strengthen the research capacity at all levels to compete nationally and globally in attracting research grants for the fulfillment of the University vision and mission.

3.1.2 Research Goal

To promote active research among staff and students so as to create new knowledge and innovations.

3.1.3 Research Vision

Committed to develop, increase and sustain quality research, publication culture and innovation.

3.1.3 Mission

To enhance capacity of researchers and dissemination of research outputs, improve management of Research funds, incubate research innovations/inventions and partner with industry to commercialize Research outputs for the betterment of society.

3.1.4 Quality Objectives

i. Institutionalize research culture at Departmental and School levels through attraction of research grants/funds, publications, innovations and consultancies.
ii. To improve and maintain University ranking through encouraging staff to publish in peer reviewed journals and to register with Google Scholar.
iii. Develop an approved reward system for researchers who attract the highest grant, consultancy and unique innovation.

iv. Improve and enhance research ecosystem in physical facilities and human resource training in research, administration/management.

3.1.5 Functions of Directorate of Research

i. To identify funding opportunities and promote them to the staff and students;
ii. To manage University research funding database and report research activities to University Management, Senate and Deans Committees;
iii. To review and sign research proposals on behalf of the University to ensure that all sponsor and University requirements have been met;
iv. Confirm eligibility of Researchers according to sponsor guidelines;
v. Verify that required signatures are included on all documents related to research funding applications;
vi. To generate and disseminate knowledge for use in teaching, policy briefs and commercialization of research products with industry-academic linkages;
vii. To foster an active research culture, encourage innovation and creativity among staff and students;
viii. Assist with development and preparation of applications for research funding and drawing up of contracts in liaison with the Technology Transfer Office; and
ix. To ensure the University assumes responsibility, accountability and control over all research activities undertaken within or on behalf of the University.

3.2 RESEARCH ADVISORY BOARD

The purpose of the Research Advisory Board (RAB) is to provide strategic guidance in support of the objectives of the Directorate of Research, and sets priorities and all operational research matters.

The RAB will support accountability of academic programmes by providing guidance and feedback, and serving as partners in research and community collaborations.

The following shall constitute the RAB:

i. *Chairman:* Deputy Vice-Chancellor, A, R&E or a Professor appointed by the Vice Chancellor;
ii. *Secretary:* Director, Research;
iii. *Members:* Dean, School of Postgraduate Studies, University Librarian, Registrar (A, R&E), Directors, (ICT, IODL, Quality Assurance, International Programmes & Linkages and Alumni, IGERD), Chairs of School Research Committees, Technology Transfer Officer, Chair of Institutional Research & Ethics Committee (IREC) Committee;
iv. *Co-opted member:* University Legal Officer;
v. Co-opted individuals into the Board as need arises.

3.2.1 Roles of Research Advisory Board

The RAB is expected to:

(i) Advertise, process and approve award of research grants from the URF and other research funds on recommendation from the SRCs and recommend such awards to the University Senate.
(ii) Monitor and evaluate utilization of University research grants and other research funds.
(iii) Spearhead development, implementation and review of research and other related policies and plans from time to time.

(iv) Ensure that capacity building in Research is undertaken regularly by organizing annual Training courses in proposal writing and research skills.
(v) Put appropriate mechanisms in place to ensure that the University's rating based on research indicators is improved.
(vi) Vet and select research awards of the year for forwarding to Senate and Council for approval.
(vii) Provide quarterly reports to University Senate through the office of the Deputy Vice Chancellor, A, R &E.
(viii) Perform any other task as may be assigned by the Deputy Vice-Chancellor (A, R&E) or the Vice-Chancellor.

3.2.2 Evaluation of Research Proposals

The RAB shall provide the application guidelines for the evaluation of the research proposals which will be guided by some or all of the following principles:

i) Originality.
ii) Potential to generate new knowledge and/or products.
iii) Involvement of students.
iv) Contribution to development of new research foci with potential for academic and research excellence.
v) Multidisciplinary approach to solving stated problems.
vi) Potential to leverage funding from external sources.
vii) Contribution to fulfilling Moi University Vision and Mission.
viii) Gender equity.

3.3 THE SCHOOL RESEARCH COMMITTEE

All Schools shall establish School Research Committees (SRCs). The SRC's shall be made up of elected representatives from the Departments in the School. Elections for the SRC's membership shall be done at a regular School Board. The Dean shall normally be the Chairperson of the SRC.

For the purpose of this Policy, the administrative staff shall form one unit similar to a School. There shall be a Research Committee of the Administrative staff in the University, which, for the purpose of this Policy, shall be considered as the SRC for administrative staff. The Committee shall normally be chaired by the DVC (A R&E) and shall carry out functions of the SRC with respect to the administrative staff.

3.3.1 Functions of SRCs

The functions of the SRCs shall be to:-

i) Review, evaluate and shortlist all applications from members of that School for University research funding, and submit the short list to the RAB for further review and award of the grants sought.
ii) Promote collaborative research across Departments and disciplines.
iii) Establish any discipline-specific guidelines for all applicants. Such guidelines shall be published within the University and copies shall be deposited with the DVC (A, R&E) and other relevant offices of the University for record and follow up.
iv) Take initiative for external funding.
v) Assist the Board to investigate alleged cases of misconduct in research.
vi) Monitor and evaluate research activities.
vii) Profile centers of excellence.

viii) Assist researchers in responding to tenders from government and the private sector.
ix) Assist researchers in drawing up specific proposals.
x) Liaise with the Directorate of Research to send regular briefings to potential funding agencies.

4.0 UNIVERSITY RESEARCH FUND (URF)

The Moi University Council shall establish a University Research Fund (URF) and allocate at least 2% of University revenue and capitation for research activities as will be determined from time to time as per the CUE standards.

Since the University recognizes the need for both basic and applied research as complementary and indispensable, it shall support appropriate funding for its staff to carry out both basic and applied research.

The University shall, in particular, fund strategic research with potential to generate innovations in products and processes without compromising intellectual property rights.

The URF shall be disbursed for various research activities within the University under the following guiding principles:

i) Support original, productive and strategic basic and applied research.
ii) Provide a significant internal research budget and its potential to leverage external funding for research within the University.
iii) Develop strategic research foci and centres of excellence.
iv) Support and develop an active and vibrant postgraduate research environment.
v) Build capacity for research in the University in terms of staff training and infrastructure development.
vi) Foster multidisplinary and collaborative research internally and with external partners.
vii) Reward demonstrated research and publication excellence among staff.

4.1 Sources of URF

The sources of funds for the URF shall include the following:

i) Financial allocation by the Moi University Council, which shall comprise a minimum of 2% of University revenue from tuition, capitation and other funds, less recurrent expenditure.
ii) A minimum of 25% of the 10% administrative retention fees charged on all research grants.
iii) 0.2% of all University conferences registration fees.
iv) The research component of the Moi University Endowment Fund
v) Research grants from Chairs – grants from outside foundations brought into the University by researchers.
vi) Proceeds from commercialized intellectual property as defined in the Moi University Intellectual Property Policy.
vii) Proceeds from consultancy.

4.2 Allocation of the URF

The URF shall be used to support listed activities in the proportions stated hereunder:

i) University Research Grant– 50.0% of URF.
ii) Moi University Conferences – 22.0%.
iii) Outreach and Extension Fund – 7.5%.
iv) Inaugural Lectures –5.0%.
v) Minor Equipment Maintenance and Repair – 4.0%.
vi) Fostering Research & Industrial Collaborations – 2.5%.
vii) Public Lectures – 1.5%.

viii) Facilitations – 1.0%.
ix) Office operations – 1.0%.
x) Intellectual Property Protection – 2.0%.

4.3 Uses of the University Research Grant (URG)

The 50% of URF shall be allocated for URG and shall be used for:

i) Training Young staff (who for the purpose of this Policy shall be Graduate Assistants, Tutorial Fellows and Junior Research Fellows and administrative staff in similar grades) to develop competitive research skills through seminars, workshops, conferences and mentoring.
ii) Funding competitive research within the University.
iii) Financing refereed journals and conferences within the University.

Grants shall normally be awarded to competitive research proposals in each School/Faculty and administration. The research grants will normally be for one-year period, and will be awarded in two categories:

(a) Young Scholars Grants.
(b) Senior Research Grants.

The proportion of the URG shall be used for any of the categories of activities and dedicated to funding competitive research within the University, and how it is to be distributed among the sub-activities may be varied from time to time by RAB with authority from Senate and Council.

a) Young Scholars Grant

The Young Scholars Research Grants will comprise between 5% and 10% of the URG. The Funding under this category will only be available during the first three years on first appointment for junior staff and shall be awarded only once to any staff and may be applied for at any time during the period of eligibility

b) ***Senior Research Grants***

The Senior Research Grants shall make up between 90 and 95% of the URG. These funds will normally be distributed to Schools on an equitable basis, in proportion to the number of academic staff in each School/Faculties.

c) Support to Moi University Based Refereed Journals

Moi University will support refereed journals in Schools/Faculties to facilitate publishing of peer reviewed papers to disseminate research findings.

4.4 Moi University Conferences

The URF shall allocate 22% for Moi University conferences (local and international).Schools are also encouraged to source for external funds and sponsors to host conferences.

The Conference shall be organized for the purpose of disseminating research findings from within and outside the university. The Directorate of Research in collaboration with schools shall be responsible in organizing the conference. The Committee shall propose conference dates, themes, and budget, which will be submitted to relevant authorities for consideration and approval.

4.5 Inaugural Lectures

Inaugural lectures shall normally be supported by funds provided by the URF up to a maximum of 5% of this fund in any one year. Schools/ Faculties are also encouraged to support their professors by supporting an item in the professor's budget. Disbursement of such funds shall be made by the Directorate of Research through the projects office and the respective school hosting the lecture.

4.6 Minor Equipment Maintenance and Repair Fund

The University shall service and repair equipment in research centers and/or Departments within Schools with this component of the URF. The funds will be allocated to Schools and Centers twice a year on a revolving basis. The repairs and minor replacements shall be those that cannot be obtained using University Teaching Allocations and Equipment votes. The Departments and/or Research Centers in eligible Schools for each allocation shall submit a proposal to the office responsible for the management of the URF.

4.7 Fostering Research and Industrial Collaborations

This component of the URF shall be used to finance invited visits for the Committee responsible for Academics, Research and Extension, researchers and heads of research institutions to explore means of increased collaboration in research and/or training.

4.8 Public Lectures

The Committee responsible for Academics Research and Extension shall spearhead public lectures from renowned researchers, experts in various fields, and heads of national or international organizations for the purpose of revitalizing or establishing links with other institutions.

4.9 Facilitation

This component of the URF shall be used to compensate resource persons and Committee members.

4.10 Office operations

This component of the URF shall be used for routine operations of the Academics, Research and Extension Committees.

5.0 AWARDS

Introduction

MU recognizes and encourages excellence in academic research, creative activity, scholarship, and mastery of subject matter by faculty. This is to celebrate outstanding research, innovations and inventions of faculty members in all schools who have made significant contributions to their fields.

The selection process will be made on the basis of the significance and quality of research, innovation and invention. The awards shall recognize research accomplishments by considering the extent to which they represent a major breakthrough or advance in the field, are intellectually distinctive or creative, and contribute to improvement and enrichment in the human condition.

The research awards will be presented each year in a congregation of outstanding university researchers.

The awards will be given in three categories:

5.1 Research Awards

The Moi University Research Awards will be conferred to deserving projects. The University shall recognize the attraction of external funds and reward such researchers with a token equivalent to 2% of the administrative costs to the University.

Applicants shall be shortlisted by the SRC and recommendations submitted to RAB for consideration. The RAB shall forward a list of shortlisted applicants to the DVC (A, R&E) with a copy of Memorandum of Understanding and signed Agreements. The DVC (A, R&E) shall then forward to Senate and Council for approval and award.

5.2 Publications Award

The Publications Award will be given to a staff member who will have published the highest number of publication in high impact referred journals, and/or books in their areas of specialization in the preceding year. The type and cost of the award shall be determined by Council from time to time.

Applications for this award shall be made by Moi University staff to the DVC (A, R&E) with a list and a copy of each of the published papers. Applications shall be shortlisted by the SRC and recommendations submitted to RAB for consideration and award. The Award shall be submitted to Senate for approval.

The total cost of this Award shall normally not exceed 1% of the URG. The Board shall propose the monetary value of the Award and submit to Senate and Council for approval.

5.3 Innovations and Inventions Award

The Innovations and Inventions Awards shall be conferred on a staff/ student who will have developed an innovation, or invented products or processes, or achieved excellent transfer of technology and/or knowledge in their area of specialization in the preceding year. The type and cost of the Award shall be determined by Council from time to time.

Nominations for this Award shall be made by Technology Transfer Officer to the DVC (A, R&E) on behalf of the would be awardee. A detailed resume of the nominee and the innovation for which the Award is being sought shall be submitted to the DVC (A, R & E). The Board shall shortlist the applications and nominate an awardee whose name shall be submitted to Senate for approval

The total cost of this Award shall normally not exceed 1% of the URG. The Board shall propose the monetary value of the Award and submit to Senate and Council for approval.

6.0 TYPES OF FUNDS

6.1 Funding From External Sources

For the purpose of this Policy, funding from external sources shall include both cash grants and material donations, such as equipment and chemicals. The University shall encourage research funding from external sources to supplement the internal funding. Any external grant will be expended as specified in the contract between the donor, the grantee, and the University. Staff shall be entitled to a honorarium from the project as long as that honorarium is initially included in the project budget and agreed upon by the funding partner.

6.2 Counterpart Funds

Where an external partner requires University contribution, and/or imposes other conditions with financial implications for a researcher to receive external funding, the Principal Investigator shall submit a proposal to the Director, Research who shall then make appropriate recommendations.

7.0 PURCHASE, MAINTENANCE, AND OWNERSHIP OF RESEARCH EQUIPMENT

7.1 Procurement Procedures

All research equipment shall be purchased as per the Moi University Procurement Procedures, unless supplied directly by an external sponsor.

7.2 Ownership of Equipment

All equipment purchased through research grants will become University property, and retained in the Departments of the researchers at the completion of the project, unless otherwise specified in the grant contract. Such equipment shall be used exclusively for project activities, or as provided for in the grant contract.

7.3 Maintenance and Repair of Equipment

Maintenance or repair of equipment bought using research project funds shall be carried out by the project for the duration of that project and according to the project budget. The relevant Department shall maintain or repair the equipment after the end of the project.

Where the cost of repairing equipment exceeds the budgeted allocation, the University may supplement the repairs through the maintenance component of the URF.

8.0 ADMINISTRATION OF RESEARCH GRANTS

8.1 External research grants

Research proposals from external funding shall normally be submitted through the Directorate of research. Where applications are submitted to donors on-line, the PI or the University collaborator shall notify the Director for record and follow-up. Such notification shall include an electronic and/or printed copy of the proposal. The University will accept a research project if it is considered to be in the University's best interest to do the research, and it contributes to fulfilling its Vision and Mission.

All PIs who obtain grants through the University shall either sign a research contract with the University and the external partner(s) in prescribed format before receiving the first release of the funds. Records of all contracts so signed shall be kept in the Office of the DVC (A, R & E) for management, monitoring and evaluation.

The University shall normally retain 10% of all external grants received through the University to meet its research management costs, or as agreed with the external partner(s).

8.2 Internal Research Grants

Research proposals from internal funding shall normally be submitted through the Directorate of Research.

The University will accept a research proposal if it is considered to be in the University's best interest to do the research, and it contributes to fulfilling its Vision and Mission.

Requests for Proposals (RFP) for internal research grants shall be made at least three months before the date for the awards of grants subject to availability of funds.

Applications from the Schools/Faculties for internal research grants shall be submitted to Director of Research by 31st September for grants to be awarded by RAB.

Disbursement of funds from the awards shall normally be done within sixty (60) days of such awards.

All PIs who obtain grants through the University shall sign a research contract with the University.

Records of all contracts so signed shall be kept in Office of the DVC (A, R &E) for management, monitoring and evaluation.

The PI shall submit half-year technical and financial reports to the DVC (A, R&E) through the respective SRC.

8.3 Monitoring & Evaluation of research projects

All approved research projects shall have a monitoring and evaluation (M&E) component.

i) The Research Advisory Board (RAB) shall ensure that M&E is carried out for all approved projects.
ii) For all University-funded projects, the PI shall submit quarterly technical and financial progress reports to the Directorate of Research.
iii) For all donor-funded research, the PI shall submit the progress reports required by the donor through the DVC (A, R&E).
iv) The University Research Advisory Board shall arrange supervisory visits to review and confirm projects implementation progress.
v) At the end of the project the PI shall submit to RAB the following;
   - A technical report detailing the work accomplished, project results and any recommendations for further research;
   - A complete financial statement, covering all funds expended on the project and including the detailed budget.
vi) The RAB will prepare consolidated progress for tabling in the relevant University Committee every quarter.
vii) The RAB will communicate officially to the PI and other project members as to the completeness of documents submitted;
viii) If satisfied with the technical and financial, the RAB shall communicate to the PI and the project will be deemed closed.

9.0 INFORMATION RESOURCES REPOSITORY

The University Librarian, in collaboration with Directorate of ICT, shall establish an Information Resources Repository within the Special Collections section in all the University Libraries. The section shall contain all records of research activities in the University. The DVC (A, R&E) and the Director of Research shall provide the materials for archiving.

The Directorate of Research shall establish and maintain an up-to-date electronic and printed database of all research findings in the University. Such database shall be made up of abstracts of reports and other publications arising from research. Researchers/Principal investigators must preserve and submit data to the Directorate that can be used to establish the validity and re-productivity of research results, notes on methods and processes and, if necessary, reagents and samples used.

The Director Research shall forward copies of the reports to the University Library for archiving in the research special collection section. All research records shall be maintained and handled in accordance with the relevant provisions in the Moi University Intellectual Property Policy (MUIPP).

10.0 RESEARCH PRODUCTS

This section should be read together with the Moi University Intellectual Property Policy.

10.1 Records of Research Activities

All researchers shall be obliged to keep and archive proper field and laboratory records. The research records may comprise note and/or log books, other publications, video recordings, audiotapes, Multi-Media or in any other retrievable media.

10.2 Publication of University Annual Research Reports

The Directorate shall annually publish a record of all research activities in the University for the preceding year in electronic and print forms. The details of research findings in the records shall conform to intellectual property protection provisions in MUIPP.

10.3 Research Findings

All research findings and publications in the research Resource centre will be available for use by scholars for purposes of research and teaching. However, reproduction of such materials shall be done only upon the authority of the author(s) and /or the University Librarian in consultation with the Technology Transfer Office. The person requesting such reproduction shall normally meet its full cost.

Access to the research findings of the University shall be governed by copyright and intellectual property protection provisions in the MUIPP.

10.4 Intellectual Property Rights

The University shall pursue copyright and other intellectual property protection for all its research findings under the relevant laws and in accordance with the MUIPP.

10.5 Research Uptake and communication

Research uptake includes all the activities that facilitate and contribute to research evidence by policy-makers, practitioners and other development actors in packaging research.

Researchers should ensure that research uptake activities communicate their research through policy briefs, leaflets, brochures and videos so as to support the usage of research and use feedback for revising uptake strategy and research design and use of research evidence to inform policy.

10.6 Centers of Research Excellence/Thematic Areas

The University shall identify research thematic areas in reference to the standards provided by CUE which has comparative advantage, and develop them as research foci and centers of academic excellence. The identification will involve profiling such centers in terms of existing research strengths, as well as national and regional needs. The University will encourage researchers to form research teams and foci. The defining features of research foci and centers will be:

(i) The existence of, or the potential for, sustained research in a key area, characterized by excellence in development of innovative products and processes, publications, and training of graduate students.

(ii) Multidisciplinary research teams in and outside the University with a distinct research identity.

(iii) A significant number of patents (or potential patents) and commercializable research products and processes.

(iv) The University will endeavor to invest in capital equipment for such research foci and centers of excellence.

11.0 RESEARCH INTEGRITY AND ETHICAL CONSIDERATIONS

The University is committed to conducting research that promotes honesty, trust, openness and conforms to acceptable ethical principles in research. In pursuit of this ideal, all research proposals presented for funding through the University shall undergo ethical review and approval by RAB. All proposed research involving human subjects shall be reviewed by the Institutional Research and Ethics Committee (IREC) affiliated to the National Commission for Science, Technology and Innovation (NACOSTI). The SRCs shall identify discipline/sector specific research ethics issues in the proposed research within Schools/Faculties, and establish mechanisms for ethical review of proposals in collaboration with IREC. This will improve the quality and quantity of research and protect the reputation of researchers, the University and the collaborating partners.

The Directorate of Research shall establish an Academic Research Integrity Office that shall oversee the implementation, facilitation and promotion of Research Integrity at Moi University across all Schools/Faculties.

11.1 Misconduct in Research

For the purposes of this Policy, misconduct in research is defined to include plagiarism, fabrication and falsification of research and research products, and misappropriation or conversion of research resources. All alleged cases of misconduct in research shall be addressed by the Anti-Plagiarism Policy and will be investigated and disciplinary measures taken when proven. Misconduct will not include honest error or honest differences in interpretation or judgment of data.

11.2 Establishing Malpractice in Research

Where malpractice is alleged, the RAB will form an *ad hoc* investigating panel to inquire into the allegations to determine if the allegations constitute an irrefutable case of misconduct. The *ad hoc* panel will submit its report to the full Board for consideration. The respondent(s) shall be provided with an opportunity to respond to the allegations during the whole investigation process. The Board shall then submit its findings and recommendations to Senate for further action.

11.3 Conflict of Interest

Moi University researchers are discouraged from relationships which constitute a conflict of interest or a conflict of commitment. For the purposes of this Policy, conflict of interest shall occur when a University researcher has an undisclosed research relationship with an external agency that requires a commitment of time, effort or resources to non-University activities such that:

i) The researcher cannot meet their usual obligations to the University.
ii) The researcher makes decisions that are injurious to University's or its partners' interests.

Cases of conflict of interest in research shall be considered and dealt with as misconduct in research.

11.4 Penalty for Misconduct in Research

If a clear case of misconduct in research is found by Senate, it will impose an appropriate sanction on the researcher(s) concerned according to relevant University Statutes.

11.5 Notification of Misconduct

In proven cases of misconduct in research, the Chairman of RAB shall inform the University Researcher in writing, whereby the University Disciplinary Procedures and/or the Laws of Kenya shall apply. After notification, the Researcher can appeal the decision of the Board by following the University Disciplinary Committee procedures.

11.6 Records of Misconduct in Research

All documents related to misconduct in research will become permanent University records.

12.0 COLLABORATIVE RESEARCH

i) Collaboration with other Institutions

Moi University shall encourage collaborative and mutually beneficial research with other institutions, nationally and regionally. Collaborative research involves University staff and external parties and partnerships with industry and other stakeholders. Where the University will be required to contribute to the funding in the collaboration, the proposed budgets and other costs of the projects shall be discussed and approved by RAB. The participating researchers and external parties must sign a contract with the University before commencement of the research activities. Such research shall aim at collaboratively creating new knowledge, products and processes, and researchers are encouraged to work with postgraduate students to enhance capacity development and mentorship. The ownership and use of products and processes so created shall be subject to the specific research contracts and the relevant provisions of the MUIPP.

ii) Publications and Dissemination

For the purposes of this Policy, a publication shall mean putting in the public domain any papers, books, reports, brochures, theses, models and any such manuscripts, orally or in writing. The University recognizes the rights of researchers to publish their findings in the shortest time possible and submit two (2) copies of the final report and any other publication(s) to the DVC (A, R&E). All research published papers as a result of the University and/or donor funded projects managed by the University shall acknowledge Moi University and the Donors.

Research findings shall normally be reviewed by the Moi University Technology Transfer Office and the funding organization(s) to identify products and processes that require protection before manuscripts are submitted for publication. Such reviews shall normally not take more than 90 days. Where protectable intellectual property exists, the University and the funding organization shall pursue protection under provisions of the MUIPP and the specific research agreements. The manuscript shall then be submitted for publication once protective action has been undertaken as provided for in the MUIPP.

The Principal Investigator and their collaborator(s) shall disseminate the research findings through workshops, seminars, conferences, brochures, outreach activities etc.

iii) Ownership of Inventions and/or Innovations

Ownership of research inventions, innovations, products and processes from the University research shall be governed by relevant provisions of the MUIPP.

iv) Sharing Incomes from Inventions and/or Innovations

Sharing of any incomes arising from inventions and innovations from University research shall be governed by the relevant provisions of the MUIPP.

13.0 NON-PERFORMANCE OF FUNDED RESEARCH

Non-performance of funded research may arise from *force majeure* or from controllable factors.

13.1 Force Majeure / Act of God

Non-performance of a research that has been undertaken by a University researcher, where such is occasioned by circumstances beyond the reasonable control of Moi University and/or the donor agency, shall be dealt with as provided for by the *force majeure* provisions in the research contract. The circumstances may include, fire, flood, hurricane, lightning, windstorm, explosion, earthquake, act of nature, war, insurrection, revolution, governmental regulation, order of decree, uncontrollable delay in transport, inability to obtain necessary materials, failure or destruction, in whole or in part, of machinery or equipment, labor shortage, collision, grave illness, death, discontinuity in supply of power, or any other cause beyond the reasonable control of the parties.

13.2 Non-performance Arising from Controllable Factors

All research contracts shall have provisions for resolving conflicts on non-performance of funded research arising from controllable factors by the University, the donor or the researcher.

14.0 HEALTH AND SAFETY

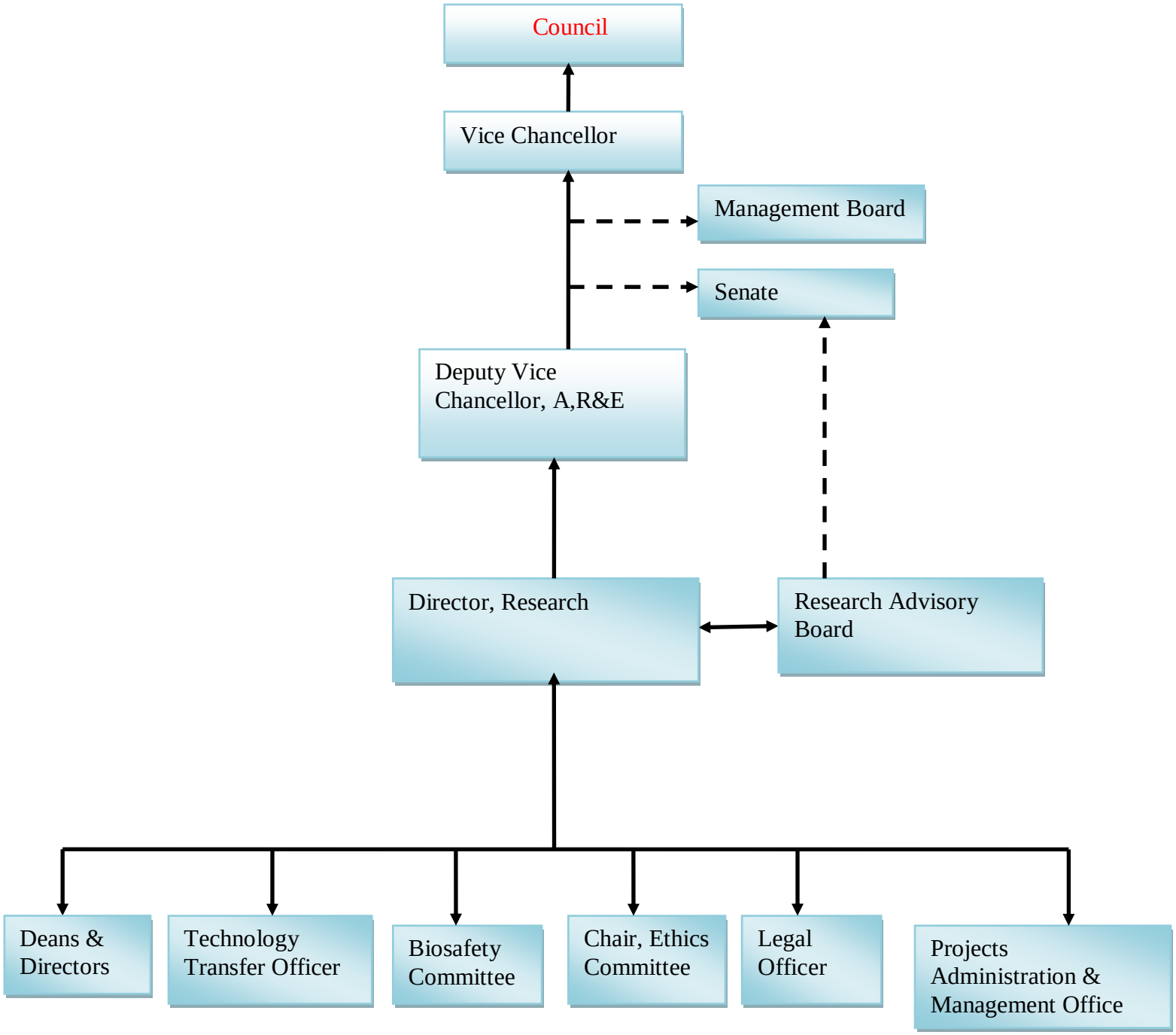
Researchers shall observe health and safety standards as stipulated by the rules and regulations of relevant authorities. The Researcher(s) and the collaborators(s) shall ensure the environment is safe to the public by following protocols set. The Researcher(s) shall report any accidents to the University Biosafety Committee for relevant action.

The disposal of all research activities involving GMOs in food, feed, industry trade and environmental relies should be governed by the provisions of the National Biosafety Act 2009 or any applicable law.

15.0 Policy Review

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

Appendix 1: Organogram



Appendix 2: Research Grant Application Form

OFFICE OF THE DEPUTY VICE CHANCELLOR
(ACADEMICS, RESEARCH & EXTENSION)

RESEARCH GRANT APPLICATION FORM

NOTE: Please read and fill this form in accordance with Guidelines for Application which ~~is~~ are attached to this form. Incomplete forms or applications in any other format shall not be processed.

PART A:

Official Use Only	Ref. No.:	Date Received

1. Research Title	
2. Theme of Application (Tick one)	❑ Food Security ❑ Natural Resources ❑ Health & Nutrition ❑ Environmental Conservation ❑ Community Development ❑ Gender ❑ Education ❑ Human Resource Development ❑ Socio-Cultural Issues ❑ Entrepreneurship ❑ Legal Issues ❑ Others (specify)
Category of Funding	❑ Junior Research Grant ❑ Senior Research Grant ❑ Extension and Outreach ❑ Others (Specify)
Type of Research	❑ Basic ❑ Applied

Type of Funding	❑ Sole Source of Funding ❑ Supplementary Funding ❑ Seed Money ❑ Complementary Funding
3. Personal details of the Principal Researcher	Name: Highest qualification: Department: Office Tel: Fax: Cell phone: E-mail:

PART B:

4. a) Funds requested (Kes) (*maximum 1 year)*	b) Expected date of commencement c) Expected date of completion

Equipment and facilities	Consumables	Travel	Personnel and other costs

5. Collaborating Researcher(s)

Name	Position & Institution	Research Area	Relevant research experience
Students	Level and year of study	Registration & Department	Proposal title (attach Abstract)

6. Background to the research (Precise introduction and statement of the problem) (maximum 150 words)

7. Research hypothesis/Research Question(s)

8. Research objectives (clearly give the specific objectives of this research)

9. Significance and justification of the research (maximum 150 words).

10. Research design and execution (itemize how the research objectives will be achieved and indicators of research impact-logical matrix)

PART C:

11.Indicate intellectual property rights: list and indicate relevant action taken

12. Indicate ethical issues: Where applicable.

13.Details of Expenditure

i*) Equipment*

Item	Quantity	Unit Price	Total (Kes)
-	-	-	-

Other Expenses

ii) Consumables

Item	Qty	Unit price	Total (Kes)
a)			
			Total (Kes)

iii) Personnel and other costs — Total (Kes)

14.Expected Outputs

15.Socio- Economic impact of proposed research (*if applicable*)

16.Dissemination of research findings *(include the mechanisms to be used, i.e., How the finding will be disseminated to end users)*

17.Bibliography/References (Maximum Five)

18.List of relevant publications by researchers for the past five (5) years and not more than five (5) papers per researcher *(Author(s), (Year) Title, Journal/Publisher, Volume, Pages, City (if Book or Monograph)*
19. Abstract (One Page)

DECLARATION

Submitted by the Principal Researcher

_____ _____

Signature Date

Head of Department

_____ _____

Signature

Date

Chair of IREC (*where applicable*)

_____ _____

Dean of School

_____ _____

Signature Date

Instructions for completing Moi University Research Grant (MURG) application

Background to MURG

- The MURG is a component of the Moi University Research Fund as set out in the Moi University Research Policy, Section 4.3.
  The Grant is to support i) Training of junior staff, and ii) competitive research for senior staff. Normally, students cannot apply on their own, but may participate as collaborators.

- Eligible applicants are Moi University staff, Departments or Schools/Faculties. All listed participants MUST have a specific function in proposed set of activities. Such activities shall not include "Deputizing the PI" or just "supervision" of any kind.

- Proposals must aim at increasing capacity of the participating researchers and promote the transfer of know-how at the University level, Institutional capacity building in support of policy, management, planning and administrative capacity, academic level, maximization of

academic relevance, and research and technology capacity building; extension and community service.

- The duration of proposed projects should be a minimum of 6 months and a maximum of 12 months. Proposals shall be nominated for award by the School or equivalent Research Committee, and successful proposals shall be awarded not more than KES 500 000.

- Proposals will be evaluated with regard to their quality and relevance by the School or equivalent Research Committee. The final decision on selection of projects for grant financing will be the responsibility of the RAB, subject to approval by Moi University Senate

- A call for proposals and its evaluation is a competitive process. Only the best 3 may finally be selected, because of the limited amount of funding available.

Filling in the Application Form

In filling in the Application Form, strictly adhere to the rules provided. Do not leave out or add any sections or change their sequence. Above all, respect the limitations to a certain number of pages that are indicated for some sections.

Make a thorough analysis of the background of your project to lay the foundation for the action you propose. It must identify the essential problem areas; define target groups and stakeholders, and links and complementarities with other initiatives in such a way that the activities you plan to undertake and the solutions you propose follow logically from the analysis. If you start the preparation of your proposal with the Logical Framework, as we strongly suggest, you will automatically be led to performing this background analysis.

Identify clear objectives, methods, and results to show that you have a clear idea of your project; that you know exactly what to do, how to do it and why. Again, the Logical Framework Analysis will help you to structure your ideas and check their logic.

Develop a well-structured work plan. Show in your work plan that you have a realistic view of the sequence and timing of the activities to be undertaken in the performance of the project, the inputs required at each point and the results you expect to achieve. Be honest about possible constraints and make appropriate provision for them in the work plan. Make sure to have an appropriate project management cycle, with properly defined Objective Verifiable Indicators (OVI) for ease of Monitoring & Evaluation.

The budgeted project costs must be reasonable and realistic. Start from realistic considerations regarding the activities needed to successfully carry out the action and then translate them into cost. Avoid the impression that your budget was artificially inflated ~~in order~~ to obtain the maximum possible grant.

The form should be filled in softcopy in Microsoft Word font size 12, Times New Roman and hard copy printed for submission.

Appendix 3: Logical Framework Analysis

	Intervention Logic	**Objectively verifiable indicators of achievement**	**Sources and means of verification**	**Assumptions**
Overall objective	What is the overall broader objective to which the project will contribute?	What are the key indicators related to the overall objective?	What are the source of information for these indicators?	
Project purpose	What are the specific objectives which the project shall achieve?	What are the quantitative or qualitative indicators showing whether and to what extent the project's specific objective are achieved?	What are the sources of information that exist or can be collected?What are the methods required to get this information?	What are the factors and conditions not under the direct control of the project which are necessary to achieve these objectives?What risks have to be considered?
Expected Results	What are the concrete outputs envisaged to achieve the specific objectives?What are the envisaged effects and benefits of the project?What improvements and changes will be produced by the project?	What are the indicators to measure whether and to what extent the project achieves the envisaged results and effects?	What are the source of information for these indicators?	What external factors and conditions must be realised to obtain the expected outputs and results on schedule?
Activities	What are the key activities to be carried out and in what sequence in order to produce the expected results?	What are the means required to implement these activities, e.g., personnel,equipment, training,studies,supplies, operational facilities,etc.	What are the sources of information about project progress?	What pre-conditions are required before the project starts?What conditions outside of the project's direct control have to be present for the implementation of the planned activities?

Appendix 4: Research Contractual Agreement for Researchers (Template)

1. Title of Project:

---

2. Name(s) of Researcher(s):
(a) (Principal Investigator)
(b)
(c)
(d)
3. Funding agency: _____

4. Sponsor's Code Number (if external):_____

5. Moi University Code Number: _____

6. Compliance with Project Proposal: The project shall be implemented as per the details contained in the approved Project Proposal, which is attached hereto. Any changes in project plans shall be undertaken only if approved by the Research Advisory Board and/or the project sponsor.

7. Duration of engagement: The project shall be undertaken for a period of ……..months plus any additional extension approved by the parties, and to avail my professional services for the full duration of the project.

8. Undertaking on funding: The University, or the external sponsor through the University, to provide funding for the proposed project for the total amount of KShs. _____. The first installment shall be released on satisfactory completion of this agreement.

9. Subsequent disbursements: Disbursement of subsequent installments shall be subject to satisfactory technical and financial reports and in accordance with the approved schedule that is attached to this contract.

10. Adherence to Moi University Employment Policy: All supporting staff, e.g., secretarial, technical and auxiliary will be from among the Moi University staff/students.

11. In case of poor technical and/or financial performance:
i. The Research Advisory Board reserves the right to withhold disbursements, partially or fully, if it is not satisfied with the progress of the project.
ii. If poor performance is detected over two consecutive progress evaluations, the Research Advisory Board shall have the right to terminate the project forthwith, in accordance with The Research Policy.
iii. The researcher(s) shall be required to refund the Moi University payments received fully or in part in case of non-performance.

13. Declaration: I, _____, being the Principal Investigator / Co-Researcher (delete as appropriate) in the project named above, undertake to implement the project under the terms and conditions stated herein.

_____ _____

Principal Investigator Witness **Date**

_____ _____

Deputy Vice Chancellor (A, R&E) **Date**

Appendix 5: Moi University Research Proposal Guidelines (Template)

Project Registration Form

1. Title of Project:
_____
_____

2. Name of Principal Researcher:
Name: _____ Department: _____

3. Co-researchers:

	Name	School/Department
i)	……..	……
ii)	……..	……
iii)	……..	…….

4. Funding agency: _____

5. Name of contact person: _____

6. Project duration: _____ months/years
From: _____/_____/_____ to: _____/_____/_____ (day/month/year)

7. Total Project Cost: Kenya Shillings (Kes) _____

8. Planned reporting schedule: Quarterly: ____ Semi-annually: ____ Annually: ___

Report No.	Date report expected
1st _____	_____
2nd _____	_____
3rd _____	_____
4th _____	_____

9. Planned disbursement schedule

Installment No.	Date	Amount
1st _____	_____	……
2nd _____	_____	……
3rd _____	_____	……
4th _____	_____	……
	Total	_____

10. Prepared by: _____ _____
Name Sign

11. Approved: _____ _____
Director, Research Date

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