



THE TECHNICAL UNIVERSITY OF KENYA

1.8 RESEARCH AND DEVELOPMENT POLICY

POLICY No. TU-K/ReKE/001/2024

Revised Version: February 2024

1.8.1. INTRODUCTION

This Research Policy serves as a guide to ensure that research at the Technical University of Kenya (TU-K) is conducted and managed according to global best practices to produce research and innovation of the highest significance and societal impact. 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, the Technical University Statues 2013 and the Science, Technology, and Innovation Act No.28 of 2013. The TU-K supports research and innovation through competitive research grants and by soliciting donor funds to supplement its contribution. The University encourages collaborative research and development through partnerships with national, regional, and international institutions and organizations.

The research policy addresses the systems that respond to the University's mandate to support the realization of the nations development and economic priorities. The policy articulates the responsibilities of the various members of the University that are necessary to achieve effective research management and engage in high quality research. The Research Policy articulates the enabling areas of action that will provide focus and capitalize on the management critical mass and academic interdisciplinary capabilities. It outlines the procedures that address research integrity, financial management, alignment of operations and strategy at all levels of the University.

VISION

To be a Top-Rated University of Technology

MISSION

To provide technological education and training and to contribute towards the advancement of society through research and innovation.

MOTTO

Education for the real world

MANDATE

To train high and middle level personnel for both public and private sectors

CORE VALUES

The Technical University of Kenya has adopted the following set of values and guiding principles towards the achievement of its Mission and Vision:

Creativity and Innovation: To embrace originality, authenticity, and imagination in all areas of operation.

Excellence: Commitment to excellence and the provision of quality services.

Respect: Respect in our dealings with customers both internal and external.

Integrity and Impartiality: The guiding principles are observance of ethical behavior and promotion of self-discipline and personal integrity, commitment to transparency and accountability in all corporate endeavors, honesty, fairness, justice, and trust.

Customer Focus: Management and administration operations are structured and geared towards satisfying and exceeding operations.

Social Responsibility: Responsibility to social needs is governed by; being at the forefront in providing leadership in national agenda, inculcating culture of care for others and proactive dialogue with stakeholders, promoting social responsibility programmes that add value to society, and enhance the public image of the institution including human rights, Labour rights, the environment and community, being responsive to disadvantaged members of the society including physically challenged persons, promoting and defending the freedom of association, having the courage to initiate and adapt to change among others.

Professionalism: Professionalism will be upheld and always safeguarded.

Team Spirit: The fundamental operating principles are oriented and focused on synergy as a mode of operation to maximize the institution's total productivity.

Guiding Principle: The TU-K management will adopt a results-based approach in conception, delivery, monitoring, and evaluation of its programmes; within which rational resource allocation will be upheld.

1.8.2. DEFINITIONS AND INTERPRETATIONS

In this policy, unless the context otherwise requires, the following terms will have the meaning defined below.

“**University**” means the Technical University of Kenya.

“**TU-K Council**” means the Council of the Technical University of Kenya.

“**Vice Chancellor**” means Vice Chancellor of the Technical University of Kenya.

“**DVC-RTD**” means Deputy Vice Chancellor, Research and Technology Development of the Technical University of Kenya.

“Senate” means the Academic Faculty who participate in the shared governance of the University.

“Dean” means the Executive Dean of Faculty of the Technical University of Kenya.

“Research Board” means the University board that develops the Research agenda and system wide research policies and issues related to the University research mission.

“Member” means any member of the TU-K University Community including:

- i. An employee of the University.
- ii. An individual who holds office under the University Charter or Statutes or Board or Committee.
- iii. An appointee of the University (including sabbatical, volunteer, and interns).

“Agency” means donor, funding organization or partner.

“Indirect costs” means those University expenditures incurred in the conduct of research for which it is not possible to provide an accurate itemization of the cost of performing a specific research activity.

“Research Contract” means a negotiated agreement between TU-K and an External Sponsor to provide services under specified conditions in exchange for a specific research related deliverable.

“Cooperative Agreement” means multiple funding sources such as a combination of government agency, private sector sponsorship and a university contribution. Cooperative Agreements, particularly (but not exclusively) those with funding agencies or industry grants may contain restrictions on publication of research results, claims against Intellectual Property, or other conditions that require them to be treated as Research Contracts

“Research Agreement” means a contract between the University and a sponsor for the purposes of funding and conducting research at the University.

“Research Project” means a project governed by a Research Agreement.

“External Sponsor” means any external partner(s), including a granting agency, which provides funding for a Research Project.

“Principal Investigator/Grantee” means the lead Researcher(s) at TU-K who is responsible for a Research Project.

“Gift” or **“gift in kind”** means any item of value given to the University by a donor who expects nothing significant of value in return, other than recognition and disposition of the gift in accordance with the donor's wishes.

“Student research grants” means awards of financial research support to individual named students or undergraduate research programs or to TU-K on behalf of individual named students or research training programs.

“Technology transfer” means the process whereby University creative and scholarly works may be put to public use and/or commercial application.

“Research data” means all information in whatever form which is generated during any research project conducted at the University, with university resources, or under the auspices of the University.

“Administrative Cost / Overhead Cost” means Expenses incurred that are not directly tied to a specific objective e.g. costs associated with general services, basic costs of taxes, rent, insurance, licensing fees, utilities, accounting and legal teams, administrative staff, facility upkeep, etc.

“Secondment” means the temporary assignment of a staff member from their primary job to a different department/ office/ role within the organization.

“Service Provider” means an individual or entity that provides services to another party.

TABLE OF CONTENTS

- 1.8.1. Introduction2
- Vision2
- Mission2
- Motto.....2
- Mandate.....2
- Core Values2
- 1.8.2. Definitions and Interpretations.....3
- Table of Contents5
- 1.8.3 Preamble8
- 1.8.4 Scope9
- 1.8.4.1 research Policy objectives9
- 1.8.4.2 Rationale..... 10
- 1.8.4.3 Research priority areas 10
- 1.8.5 Management of Research 11
- 1.8.5.1 Research Board (alternative name University Research Committee) 11
- 1.8.5.2 University Research Ethics Committee 12
- 1.8.5.3 Science Technology and innovations (STI) Committee 12
- 1.8.5.4 Institutional Biosafety Committee 12
- 1.8.6 Categories of Funded Research 13

1.8.6.1 Sources of funds for the Institutional Research /Training Fund (IRTF)	13
1.8.6.2 Management of the Institutional Research and Training Fund (IRTF).....	14
1.8.6.3 Application for the Institutional Research /Training Funds	14
1.8.6.4 Award of Institutional Research / Training Funds	14
1.8.6.5 Application for External Research Funds from Donors, Government and Development Partners	15
1.8.7 Management and Requisition of Research funds.....	15
1.8.8 rights and responsibilities of researchers	16
1.8.9 Research ethics and integrity	17
1.8.10 Intellectual Property	17
1.8.11 Research Administration and management.....	17
1.8.12 Research Property	18
1.8.13 Responsibilities of the PRINCIPAL investigator (PI).....	18
1.8.14 Teaching Research and Administration.....	19
1.8.15 Appointment and responsibilities of project staff.....	20
1.8.15.1 Secondment of staff to the Division of Research and Technology Development	20
1.8.16 Environmental health and safety	20
1.8.17 Capacity building.....	21
1.8.18 Monitoring and evaluation	21
1.8.19 Research Knowledge and Data management	21
1.8.20 Dissemination of Research Findings	22
1.8.21 Research misconduct.....	22
1.8.22 Research Grievances.....	23
1.8.23 Termination of a Research Project	23
1.8.24 Citation	23
1.8.25 Policy Review	23
1.8.26 Policy Implementation and Approval	23
1.8.27 Types of Research Agreements.....	24
1.8.28 Sponsored Projects.....	24
1.8.29 Financial Accountability.....	24
1.8.30 Disposition of Properties	25
1.8.31 Gifts and 'Gift- in- Kind'	25

1.8.32 Contract and Consultancy Research.....	25
1.8.33 Research Training Grants.....	26
1.8.33.1 Student Research Grants.....	26
1.8.33.2 Undergraduate Research.....	27
1.8.33.3 Postgraduate Research.....	27
APPENDIX.....	28
1.8.34 Procedures.....	28
1.8.34.1 Procedure 1: Application of the Policy.....	28
1.8.34.2 Procedure 2: Rights and Responsibilities in the Conduct of Research.....	28
1.8.34.3 Procedure 3: Ethics and Integrity in the Conduct of Research.....	29
1.8.34.4 Procedure 4: Professionalism and Integrity in Research.....	29
1.8.34.5 Procedure 5: The University Research Board (UNIVERSITY RESEARCH committee).....	30
1.8.34.6 Procedure 6: Tangible Property.....	30
1.8.34.7 Procedure 7: Intellectual Property Rights and Patents.....	31
1.8.34.8 Procedure 8: Health and Safety Regulations.....	32
1.8.34.9 Procedure 9: Principal Investigator's Responsibilities.....	33
1.8.34.10 Procedure 10: Administration of Research Funds.....	33
1.8.34.11 Procedure 11: Indirect Cost Recovery.....	34
TABLE 1.9.7: Indirect Costs Guideline.....	34
1.8.34.12 Procedure 12: Research Appointments.....	35
1.8.34.13 Procedure 13; Conditions for Research Consultancy.....	35
1.8.34.14 Procedure 14: Application for Internal Research Support.....	36
1.8.34.15 Procedure 15: Application for External Research Funds.....	37
1.8.34.16 Procedure 16: Training and Stipend Allowance for Students.....	37
1.8.34.17 Procedure 17: Application for Institutional Research Fund.....	37
1.8.34.18 Procedure 18: Procedure for Requisition of Funds for Research Implementation.....	38
1.8.34.19 Procedure 19: Monitoring and Evaluation.....	39
1.8.34.20 Procedure 20: Research Knowledge Management.....	39
1.8.34.21 Procedure 21: Publication and Dissemination of Research FINDINGS.....	39
1.8.34.22 Procedure 22: Research Misconduct.....	40
1.8.34.23 Procedure 23: Research Grievances.....	41
1.8.34.24 Procedure 24: Termination of a Research Project.....	41

1.8.34.25 Procedure 25: Ethics and Joint Code of Practice.....	41
1.8.34.26 Procedure 26: Conflict of interest	42
1.8.35 Centers of Research Excellence	43
1.8.36 Research Equipment.....	44
1.8.37 Research Capital Equipment.....	44
1.8.38 Equipment Purchase.....	44
1.8.39 Research Publications and Intellectual Property Rights	45
1.8.40 Records of Research Findings	45
1.8.41 Data Protection and Privacy.....	45
1.8.42 Retention of Research Data and Documents	46
1.8.43 Access to Research Findings.....	46
1.8.44 Research Dissemination	46
1.8.44.1 Publications.....	46
1.8.44.2 Extension and Community Work	47
1.8.45 Technology Transfer	47
1.8.46. Intellectual Property Rights	47
1.8.47 Responsible Offices	48
1.8.48 Other Responsible Officers	49
1.8.49 Policy Effective Date:	50
1.8.50 Approvals:.....	50
1.8.51 Relevant Documents:.....	50

1.8.3 PREAMBLE

TU-K is a public University established in Kenya. The University’s objects and functions include inter alia, to provide higher learning facilities for university education and to participate in the discovery, transmission, preservation, and enhancement of knowledge and to stimulate the intellectual participation of students on the economic, agricultural, professional, and cultural development of Kenya. The University was awarded a charter on 15th January 2013 under the Universities Act, 2012 as the tenth public University in Kenya and the first Technical University in the history of independent Kenya.

The Research Policy is a commitment by the Technical University of Kenya to stimulate, support and develop applied research in line with its mandate as a university of technology and applied research. This policy aims to advance the goals and mission of the university’s research at all levels of training

and enhance collaboration with industry and other institutions. TU-K prioritizes research and scholarship which will have tangible benefits and impact on societal development. The guidelines contained in this research policy document are intended to close gaps and address emerging research challenges as well as stimulate research capacity at the Institutions.

The TU-K research policy describes administrative structures of the Institutions' ongoing efforts to structure and systemize academic scholarship, research activity and collaborative engagements, and sourcing of grants from donor agencies and foundations. This policy and guidelines will be applicable to all researchers at TU-K and is expected to encourage and facilitate mechanisms for research engagement and collaborations with other institutions in the public and private sector.

The purpose of this Policy document is therefore to ensure the following:

- i. Promotion of research and research culture at the TU-K.
- ii. Members of the University community and research collaborators have the research procedures, expectations, and research management systems.
- iii. Researchers adhere to the University standards, rules, and regulations regarding the conduct of research, ethics, academic and financial governance.
- iv. Research activity at the University shall be conducted and managed to the highest ethical standards.
- v. Research at TU-K generates outputs and products which lead to high societal impact.

1.8.4 SCOPE

The Policy applies to all Technical University of Kenya (TU-K) research and knowledge exchange activities (including trainings, workshops, and seminars), researchers and their collaborators. It contains rules, principles, and regulations that University researchers and their collaborators should observe while conducting research to maintain the integrity and dignity of the University and meet international standards.

1.8.4.1 RESEARCH POLICY OBJECTIVES

The Research Policy shall be in accordance with the Charter, and the powers and authority of the University Council. The Policy will be implemented within the context of the TU-K statutes with the following objectives:

- a) Set research as a tool to achieve the National Research and Development Agenda.
- b) Encourage the knowledge and technology transfer for the economic benefit of Kenya, and the region at large.
- c) Create a conducive environment for producing quality research proposals, projects, and outputs.
- d) Support and allocate resources (Internal Research Fund) to build the research capacity of students and faculty.
- e) Maintain dedicated research funds accounts in various currencies as appropriate.

- f) Enhance transparency and accountability in conducting research.
- g) Guide researchers on ethical principles and practices.
- h) Create a framework for projects monitoring and evaluation (M&E).
- i) Recognize excellence in research work at the TU-K through merit awards.
- j) Participate in Research and innovation activities. TU-K will have an annual innovation week spearheaded by the Divisions of Institution Advancement and Enterprise (IAE) in collaboration with the Division of RTD
- k) Allocate funding for research dissemination and stakeholder engagement at the community level.

1.8.4.2 RATIONALE

Subject to the Charter; the powers and authority of the University Council; and the Rules and Regulations of the Senate, the Research Board shall formulate policy on research including the procedures to be used in the University for reviewing and administering internally and externally funded research projects.

The purpose of this policy and the procedures set forth herein are to assist the University too.

- a) Ensure that the University fosters a research and science environment that promotes the responsible conduct of research, research training and activities related to research or research training, discourages research misconduct, and deals promptly with allegations of research misconduct.
- b) Govern how the University will manage research in a thorough, competent, objective, and fair manner, including precautions to ensure that members are responsible for carrying out any part of a research project.
- c) Set forth how the University will take all reasonable and practical steps to protect the positions and reputations of good faith or researchers and research committee members.
- d) Take all reasonable and practical steps to ensure the cooperation of the researchers in providing information records for institutional grants management.
- e) Cooperate with the funding agencies for research compliance reviews and assist in administering and enforcing research administrative procedures of the University.
- f) The TU-K Research Board shall review implementation of the policy and practices that affect the faculties' ability to do research and the way research is conducted, monitored, and reported.

1.8.4.3 RESEARCH PRIORITY AREAS

The development of applied research at TU-K is guided by the national priorities in research and development and the principles articulated in the Kenya Sector Plan for Science and Technology and input from stakeholders through the National Research Fund (NRF-Kenya), National Commission for Science, Technology, and Innovation (NACOSTI), and Commission for University Education (CUE). The thematic areas are based on Kenya's existing frameworks as listed in the Science Technology and Innovation (ST&I) Act of 2013; Second Schedule Section 9 (1) are:

1. Agricultural and Natural Resource Sciences

2. Biological and Health Sciences
3. Physical, Industrial and Energy Sciences
4. Infrastructure, Information and Communication Sciences
5. Humanities and Social Sciences
6. Earth and Space Sciences

The University's research agenda is intended to build capabilities and competencies which will contribute and support the interface of Science, Engineering & Technology and Sustainable development. The TU-K Research policy encourages both basic research and applied research and promotes University and industry collaborations which will result in outcomes that benefit mankind.

1.8.5 MANAGEMENT OF RESEARCH

Research at the TU-K is managed by the Division of Research and Technology Transfer (RTD) that is headed by the Deputy Vice-Chancellor, Research and Technology Development (DVC-RTD) and assisted by the Directorate of Research and Knowledge Exchange (DReKE) that is headed by the Director of Research and Knowledge Exchange. Its functions include co-ordination and facilitation of: Research, knowledge exchange, grants management, vocational training, publications, information management and dissemination of information through seminars, workshops, conferences, and symposia. DReKE secretariat is responsible for the day-to-day coordination of research related activities and implementation of research related policies, regulations, and guidelines. The Division operates through the following boards /committees:

1.8.5.1 RESEARCH BOARD (ALTERNATIVE NAME UNIVERSITY RESEARCH COMMITTEE)

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

- a) Develop and recommend to Senate the TU-K Research Policy.
- b) Review the TU-K Research Policy from time to time and make recommendations to Senate.
- c) Establish and communicate the University research priorities.
- d) Facilitate capacity building for researchers.
- e) Receive, review, and approve research/training proposals for the Institutional Research and Training Fund (IRTF).
- f) Recommend allocation of research and training funds to successful applicants.
- g) Monitor and co-ordinate research/training projects periodically by reviewing progress, technical and financial reports from grantees and the University Research Account.
- h) Identify and recommend establishment of research/training facilities and laboratories to the University.
- i) Establish and manage the annual TU-K Best Researcher Award.

1.8.5.2 UNIVERSITY RESEARCH ETHICS COMMITTEE

There shall be a Technical University of Kenya Research Ethics Committee whose Terms of Reference are to:

- a) Advise the University on all matters pertaining to the ethics of research.
- b) Review and approve proposals and monitor progress for research with ethical issues to be carried out in the University, or in area under its authority.
- c) Be available for consultation on ethical issues by researchers and individuals or interested groups within the University community.
- d) Undertake training on ethical matters related to the conduct of research with ethical issues within the University and its stakeholders.
- e) Submit reports to the DVC-RTD, through DReKE and to relevant government agencies as required and which should be made available to the public if need be.
- f) Set and review policies of the University in matters relating to Research ethical issues, in accordance with the policies and procedures established by the relevant government research agencies.

1.8.5.3 SCIENCE TECHNOLOGY AND INNOVATIONS (STI) COMMITTEE

There shall be a Technical University of Kenya Science Technology and Innovations (STI) Committee whose Terms of Reference are to:

- a) To develop and regularly update the TU-K STI strategy using the template provided by NACOSTI.
- b) To implement the STI Strategy by undertaking the following interventions
 - i. Documenting Research Programmes and/or Projects and the funding sources.
 - ii. Undertaking Research & Technology Innovation and Technology transfer and commercialization
 - iii. Disseminating research findings and/or recommendations and technology innovations through conferences, workshops, and seminars.

1.8.5.4 INSTITUTIONAL BIOSAFETY COMMITTEE

There shall be a Technical University of Kenya Institutional Biosafety Committee whose Terms of Reference are to:

- a) Register TU-K institutional biosafety committee (IBC) by the National Biosafety Authority (NBA) as per the requirement for all research and academic institutions undertaking research activities

involving biological samples for cell cultures, molecular biology, recombinant DNA, or genetic modification.

- b) Review research proposals and monitor research activities for biological risk assessment and management.
 - i. The IBC should comprise of a chairperson, a secretary and three other members.
 - ii. The committee must be registered by the National Biosafety Authority, a body mandated to regulate contained use research activities involving genetically modified organisms and other related biological research activities.

1.8.6 CATEGORIES OF FUNDED RESEARCH

The TU-K shall operate two categories of projects: the internally funded Institutional Research/Training Fund (IRTF) and the externally funded projects. The TU-K shall establish an IRTF and fund it through its research budgetary allocation. Externally funded projects are those that receive funds or grants from government, donors, and development partners. The University shall ensure that funds allocated to this account are utilized for the intended purpose. The TU-K shall manage both IRTF and externally funded projects.

1.8.6.1 SOURCES OF FUNDS FOR THE INSTITUTIONAL RESEARCH /TRAINING FUND (IRTF)

- a) The University shall support IRTF by establishing mechanisms to generate internal research funding. This will include the following:
 - i. Research Administration Fees
 - ii. Allocations from the TU-K Annual Budget (The Vice Chancellor shall set aside a percentage of the total TU-K budget determined and approved by the University Council as the TU-K Institutional Research/Training Fund)
 - iii. TU-K research patents copyrights and consultancy research.
 - iv. Government Agencies
 - v. Private sector
 - vi. Local and international donors
 - vii. Postgraduate student tuition fees
- b) The University shall always maintain research funding in the IRTF account in the dedicated research funds account for the sole purpose of funding research/training related activities.

1.8.6.2 MANAGEMENT OF THE INSTITUTIONAL RESEARCH AND TRAINING FUND (IRTF)

The Directorate of Research and Knowledge Exchange (DReKE) shall create a database and maintain up-to-date records on the IRTF. This shall include records relating to the following:

- a) Purchase of research equipment for use within the TU-K.
- b) Research grants awards and research output.
- c) Expenses incurred with respect to research meetings, conferences, and workshops.
- d) Expenses incurred for publication of research findings.
- e) Research merit awards.

1.8.6.3 APPLICATION FOR THE INSTITUTIONAL RESEARCH /TRAINING FUNDS

- a) The Division of Research and Technology Development shall make a call for the submission of research proposals by staff and students from time to time subject to availability of funds.
- b) All proposals submitted to the Division of Research and Technology Development shall conform to the standard proposal preparation guidelines obtainable from the Office of the Director (ReKE).
- c) All applications for research support shall be addressed to the DVC -RTD through the applicant's immediate supervisor, the Executive Dean, and the Director ReKE.
- d) All submitted proposals shall be checked by the University Research Board (or University Research Committee) for conformity with application guidelines.
- e) 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.
- f) Each proposal shall be ranked by the reviewer based on the tool for evaluating the quality of proposals.
- g) Each peer reviewer shall submit detailed critique of the proposal to the DReKE.
- h) The DReKE shall prepare a summary of comments from the three (3) reviewers and send a copy to the University Research Committee (or Research Board) for discussion, after which he/she shall send the review comments to the PI for feedback.

1.8.6.4 AWARD OF INSTITUTIONAL RESEARCH / TRAINING FUNDS

- a) Each successful research proposal submitted to the University for funding shall be awarded grants subject to availability of funds.
- b) All IRTF shall be deposited in a specific University bank account, dedicated to research and which shall be managed by the DVC-RTD.
- c) Researchers may only use the allocated funds for the approved work plan and budget.

- d) A researcher shall be a PI of only **one** University-funded project at any.
- e) For every approved proposal, the PI shall **sign grant conditions form** undertaking to ensure that:
 - i. The project is not funded by any other organization without the knowledge of the DVC-RTD
 - ii. The research results shall be co-owned by the research team and the University.
 - iii. In the 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 publish at least one (1) paper in the TU-K Journal

1.8.6.5 APPLICATION FOR EXTERNAL RESEARCH FUNDS FROM DONORS, GOVERNMENT AND DEVELOPMENT PARTNERS

- a) All applications for donor research support that require University endorsement shall be sent to the DVC-RTD, through Director -ReKE.
- b) Researchers applying for donor research support that does not require University endorsement shall submit the proposals to the donor and notify the Director-ReKE.
- c) 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 his/her designate.
- d) All donor research funds shall be deposited in a specific University bank account dedicated to research funds, which shall be managed by the DVC-RTD.

1.8.7 MANAGEMENT AND REQUISITION OF RESEARCH FUNDS

- a) Research funds shall be managed by the DVC-RTD 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) Principal Investigators and their collaborators shall ensure that donor conditions are fully adhered to in the implementation of the research project.
- d) At the commencement of the project, the PI will submit to DReKE, through the Chairman, Director of School, and the Executive Dean the following:
 - i. Signed Grant Award letter (that's includes the grant title)
 - ii. Date of Grant award
 - iii. Proposed budget
 - iv. Annual work plan (showing monthly or quarterly activity)
 - v. Ethics approval (where applicable)
 - vi. NACOSTI permit (for all research)
 - vii. Deed of Indemnity

- e) Annual or Quarterly reports as appropriate to include:
 - i. Summary technical report (For NRF grants use NRF reporting template)
 - ii. Explanation of monthly or quarterly activities as per the work plan / research proposal
 - iii. Verified impressed warrant form.
 - iv. Verified impressed surrender form.
 - v. List of conferences, workshops, publications resulting from the project.
 - vi. For the final report, an explanation of the relevance of the research to the Kenya Technology and Innovation Policy Framework, National Research and Development Agenda and its benefit to Kenyans (Wanjiku)
- f) Disbursement of funds to a researcher shall be subject to full surrender of previous imprest related to the project and/or submission of the relevant progress report.
- g) A researcher can take only one Imprest at a time per project unless otherwise authorized by the DVC-RTD.
- h) The PI shall formally request for funds for implementing research activities from the VC, through the DVC-RTD, Director-ReKE, respective Executive Dean, Director of School, or Chairman of Department.
- i) The request letter shall comprise of a completed imprest application form, a detailed budget in line with the approved project budget and a work plan.
- j) Failure to account for disbursed research funds and/or provide a satisfactory progress report shall result in termination of the award and appropriate surcharge instituted.
- k) All Principal Investigators should have their requisition plans approved by the Procurement Department.
- l) Balances from expired projects shall be transferred to the university research fund upon consultation with donors.

1.8.8 RIGHTS AND RESPONSIBILITIES OF RESEARCHERS

Researchers' rights and responsibilities shall include:

- a) A guarantee of their freedom of speech, intellect, and association
- b) Researchers and their collaborators shall not be discriminated against or stigmatized based on 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 conflict with human rights, dignity, health, or ethical standards.
- e) TU-K researchers may receive research funds from any source if it does not lead to contravention of university statutes, the laws of Kenya and other international laws.
- f) TU-K researchers may collaborate with local and international institutions and organizations for the purposes of joint research.

- g) TU-K researchers/trainers must account for all research/training funds/grants as prescribed in this policy and other related university polices/guidelines.

1.8.9 RESEARCH ETHICS AND INTEGRITY

Researchers shall adhere to the following ethical and integrity guidelines:

- a) Researchers shall obtain ethical clearance from the Research Ethics Committee
- b) All researchers shall observe high ethical standards while conducting research.
- c) 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).
- d) The Principal Investigator (PI) 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 the research.
- e) All researchers and their collaborators shall respect all ethical responsibilities required of researchers.
- f) Researchers shall ensure proper disposal of research waste in accordance with laid-down regulations.
- g) Researchers should uphold the five pillars of ethics which include accountability, honesty, rigor of research, transparency and care and respect of participants and experimental animals.
- h) Conduct research in a manner that maintains their dignity, integrity, and professionalism.
- i) Respect the rights of others and shall refrain from disruptive, threatening, intimidating, harassing and harmful behavior to themselves, other persons, or property.
- j) Disseminate research findings to all stakeholders using appropriate fora.
- k) All external research/training funds shall be administered through the dedicated research fund/grants account. (*Payments to PIs to be made by cheque, NOT bank transfers.*)
- l) Report any extra research sub-awards to both the DVC-RTD and the main funder of the project within 14 days after award.
- m) TU-K will bear fiduciary responsibility in reporting on the use of the funds to the sponsor or donor.

1.8.10 INTELLECTUAL PROPERTY

Ownership of all Intellectual Property (IP) arising from research activities shall be governed by the relevant clauses of the TU-K Intellectual Property Rights Policy and the Publication Policy.

1.8.11 RESEARCH ADMINISTRATION AND MANAGEMENT

The development, management, and implementation of research initiatives involve proposal preparation and submission, contracts negotiation and management of research projects. This requires strategic planning for research programs including financial management and oversight,

compliance with national regulations and policies. In this regard, the DReKE, under the guidance of DVC-RTD will have the responsibility of oversight of all research and training initiatives at the TU-K.

For each externally funded research project, administrative costs of 15% will be charged except for:

- a) government funded projects.
- b) donor funded projects that do not provide for overhead costs or require a lower percentage.
- c) donor funds that require a contribution from the university. In this case the 15% administrative cost shall be offered as the university's contribution in-kind.

d) To motivate researchers, the 15% administrative fee shall be apportioned as follows:

1	Internal Research/Training Fund	35%
2	Administrative Costs	20%
3	TU-K Principal Investigator	15%
4	Directorate of Research and Knowledge Exchange	15%
5	Principal Investigator's department	15%

- e) Internal Research/Training Fund (IRTF) shall be used to support research/training related activities.
- f) The use of IRTF shall be restricted to approval by the DVC-RTD or the VC.
- g) All IRTF funds shall be deposited in the dedicated TU-K Research/ Training account.
- h) Where the PI receives honoraria from the project, 15% will revert to the University Research Reserve Fund.

1.8.12 RESEARCH PROPERTY

- a) Any equipment of a permanent nature shall be the property of the TU-K.
- b) Any consumable research materials such as chemicals and stationery remaining at the end of the project shall be owned by the PI's Department.
- c) All project research vehicles shall be registered under the TU-K or as specified in the contract for multi-institutional projects.
- d) Assets acquired by the project shall be transferred to the University when the project duration elapses.
- e) Any laboratories or Centers established through research funds shall be the property of the University and shall be used by all staff except where accessibility is expressly restricted to authorized staff only.
- f) Laboratories or Centers established through research funds shall be headed by the Principal Investigator or a person appointed by the University.

1.8.13 RESPONSIBILITIES OF THE PRINCIPAL INVESTIGATOR (PI)

All categories of TU-K Members may serve as Principal Investigator (PI) on applications for IRTFs or external research funds. In this Policy, a 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-RTD. This Policy sets forth the eligibility requirements and the duties and responsibilities of a PI at TU-K and describes the processes for requesting and approving exceptions to the PI eligibility requirements:

- a) A Principal Investigator is a full-time employee of TU-K who is eligible under this policy to submit a proposal for research support, training, or public service projects and who personally participates in the project to a significant degree.
- b) Co-Principal Investigator (s) who is a member of TU-K staff must meet the same eligibility requirements as a Principal Investigator. There may be more than one Co-Principal Investigator who will share responsibility for the scientific, technical, and administrative conduct and reporting of a project with the Principal Investigator.
- c) The Multiple Principal Investigator category comprises several PI (s) who are expected to equally share responsibility for leadership of multidisciplinary and group or team projects which are not optimally served by the single PI model.
- d) In applications/ grants where several names are listed in the proposal, and/or the funding agency recognizes only one PI, the University will assume that the first name listed is *primus inter pares*. The University will direct all administrative correspondence to the first person listed, and that individual shall be identified as Principal Investigator.

The PI shall be responsible for:

- i. the scientific, technical, and administrative conduct and reporting of the project, including the budget.
- ii. Ensuring adherence by the project research team to all the provisions of the Research Policy.
- iii. Ensuring adherence to M & E requirements and timely submission of project reports.
- iv. Ensuring proper acquisition, use and retention of all project research data.
- v. Ensuring compliance with the Project's technical and financial agreement.
- vi. If the PI retires, changes employer or otherwise, he/she shall handover all project responsibilities (including full accounting of all research funds disbursed) to DVC-RTD, who will inform the donor of the changes.
- vii. The DVC-RTD, in consultation with the other members of the research team and the donor, shall identify and appoint a new PI.
- viii. In cases where the donor requires that the projects move with the PI the University will levy a chargeable operational fee of 15% of the total project funds at the time
- ix. Students may serve as PI (s) for their own research project; however, Faculty mentor must be listed as a supervisor on grant applications submission.

1.8.14 TEACHING RESEARCH AND ADMINISTRATION

- a) The primary responsibility of an academic staff is to teach, conduct research and undertake administrative duties. These administrative duties may include membership of committees, coordination of examinations and representing the department in important forums within and outside the University.

- b) Time allocation for research shall be guided by the **University Workload Policy**.
- c) Academic staff involved in more research/mentorship and administrative functions may request the Vice-Chancellor for special exemption from certain duties on negotiated terms.

1.8.15 APPOINTMENT AND RESPONSIBILITIES OF PROJECT STAFF

- a) Appointment of persons employed by the project shall be done in writing stipulating clearly the terms and conditions of the appointment.
- b) Persons employed by the project shall be engaged only for the lifetime of the project.
- c) Such staff 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 Principal Investigator in consultation with the DVC-RTD.

1.8.15.1 SECONDMENT OF STAFF TO THE DIVISION OF RESEARCH AND TECHNOLOGY DEVELOPMENT

- a) The University, from time to time, shall second academically staff with **demonstrated** outstanding research capabilities to the Division of Research and Technology Development on a full-time basis to enhance its capacity to engage in competitive research, training, and consultancies.
- b) Appointment shall be for a term of three (3) years renewable once, depending on performance.

1.8.16 ENVIRONMENTAL HEALTH AND SAFETY

- a) Researchers shall observe health and safety standards as stipulated by the rules and regulations of the relevant authorities.
- b) TUK researchers, staff and their collaborators shall ensure that their environment for conducting research is safe and that laid down procedures and protocols for handling, releasing, or disposing potentially hazardous materials are being followed to protect the persons involved.
- c) 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.
- d) The researcher must report any accidental release of chemical, biological, radioactive, or nuclear materials to the research committee who shall take precautionary measures to minimize any harm to the ecosystem.
- e) The University Research Committee (**Research Board**) 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 all research specimens are handled with respect and care.
- f) Researchers shall observe National and International Health and Environmental Laws/Regulations in handling and disposal of research work materials.

1.8.17 CAPACITY BUILDING

- a) The Division of Research Technology Development shall endeavour to build research capacity through holding workshops and seminars to train researchers on preparation 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.

1.8.18 MONITORING AND EVALUATION

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

- a) The **University Research Committee** shall ensure that M & E is carried out for all approved projects including visits to project sites.
- b) The PI shall submit quarterly technical and financial progress reports to the DReKE in the prescribed format.
- c) For all externally funded research, the PI shall submit the progress and final reports as required by the donor through the DReKE.
- d) Researchers shall include M & E budget in their proposals to meet the M & E costs.

1.8.19 RESEARCH KNOWLEDGE AND DATA MANAGEMENT

There shall be a Knowledge and Data Management Unit in the DReKE.

- a) The DReKe shall be the custodian of all data obtained from research projects.
- b) The data shall be stored by the DReKE in its databanks.
- c) All research conducted by Technical University of Kenya staff shall be registered with the DReKE.
- d) At the conclusion of each project, the PI shall submit, in soft and hard copy, all project data to the DReKE.
- e) All project data shall be confidential until officially made public.
- f) DReKE through the Division of Research and Technology Development shall enhance research information and experience sharing with relevant stakeholders.
- g) All external persons or organizations requiring research data and information shall obtain authority from the DVC-RTD or the VC.
- h) Research data sharing shall be guided by **Section XXX** of the **Technical University Research Data Management Policy**

- i) Disclosure of information and data on innovations and creative works shall be guided by **Section xxx** of the Technical University **Intellectual Property Rights Policy**.

1.8.20 DISSEMINATION OF RESEARCH FINDINGS

- 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 DReKE.
- b) All research papers published because of University or externally funded projects managed by the University shall acknowledge TU-K and the funding agency.
- c) All publications shall be uploaded in the TU-K Library Institutional repository in line with the **Institutional Repository and Open Access Policy**.
- d) The PIs and their collaborators shall disseminate research findings through policy briefs, stakeholder workshops, seminars, and conferences. The Principal Investigators are encouraged to include a dissemination/publication cost in project budget.
- e) **Where possible, the Division shall refund an agreed amount of money to meet the publication charges.**

1.8.21 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 benefitting from university research funds for a period of five (5) years.
- d) If the funds in in1.8.21 (c) are from external sources, the DVC-RTD in consultation with the donor will appoint an alternative PI. In cases where the donor insists that the funds are paid back, the university will levy a chargeable operational fee of 15% of the total project funds at the time.
- e) A researcher who contravenes the provisions of 1.8.20 (a) and (b) shall be held personally liable for losses resulting from the contravention.
- f) All allegations of misconduct shall be investigated by the **TU-K Research Committee** and reported to the DVC-RTD for action.

1.8.22 RESEARCH GRIEVANCES

- a) All grievances related to the conduct of research shall be reported to the DVC-RTD within 14 days of occurrence/discovery who will forward them to the **TU-K Research Committee** for deliberations and recommendations for appropriate action.
- b) Any grievances arising from collaborative research involving a non-TU-K staff shall be handled as stipulated in the Research Contract Agreement.

1.8.23 TERMINATION OF A RESEARCH PROJECT

A research project shall be terminated through consultation between the University, the donor and PI under the following circumstances:

- a) If the project is incapable of meeting its objectives and/or is being implemented unsatisfactorily.
- b) If the PI or research team/collaborators violate 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, funds are not released on time, budgetary changes or if the prevailing economic situation renders the budget unimplementable.
- e) Act of God (Force majeure); In case of retirement or death of the PI the University will appoint a new PI in consultation with the donor and project collaborators where applicable.

1.8.24 CITATION

This policy shall be cited as the Technical University Research Policy No TU-K/RE/POL/01A of 2024.

1.8.25 POLICY REVIEW

This Policy shall be reviewed after every six (6) years or earlier as may be deemed necessary.

1.8.26 POLICY IMPLEMENTATION AND APPROVAL

The DVC-RTD shall be responsible for the implementation of this policy.

1.8.27 TYPES OF RESEARCH AGREEMENTS

- a) Funding from for-profit such as private industry or non-profit including government, or foundations sponsors shall support research agreements. For this policy a research agreement shall also include contracts between the University and the recipient of an institutional research grant.
- b) All research agreements shall be evidenced by a formal document that outlines the research objectives and administrative requirements including budgetary provisions and supervision, of research projects. The University shall not recognize informal agreements made by staff. Such arrangements shall not be binding on the University and will be considered as the personal responsibility of the individual member.

1.8.28 SPONSORED PROJECTS

Sponsored projects will typically be awarded to TU-K, an individual researcher in TU-K, or a consortium of collaborators in response to a request or proposal, detailed statement of work and commitment to a specified project plan and budget. This statement of work will usually be supported by both a project schedule and a line-item budget; both of which are essential to financial accountability. The statement of work and budget will usually be described in a written proposal submitted by TU-K or with the support of TU-K to the sponsor for competitive review.

1.8.29 FINANCIAL ACCOUNTABILITY

TU-K shall account for research grants and contract funds, calculate, and apply indirect costs (administrative overheads) where applicable. TU-K will bear fiduciary responsibility in reporting on the use of the funds to the sponsor or donor.

The TU-K Finance Director involved in the handling of TU-K gifts, including cash, wire transfers or gifts of property, shall compute monetary equivalences. The sponsored *project agreement or grant award will typically include detailed financial accountability conditions including any or all the following:*

- a) Line- item budget related to the project plan including the TU-K indirect costs.
- b) Terms of agreement specifying allowable or unallowable costs and requirements for prior approvals for expenditures.
- c) Specified period of performance; typically defined with specific 'start' and 'end' dates.
- d) Requirement to return any unexpended funds at the end of the research project period.
- e) Specified financial reporting and audit.
- f) Specific bank account from which research funding statements shall be produced. These conditions are generally required for financial accountability associated with sponsored projects obtained from most funding agencies.
- g) A waiver may be requested to the TU-K Research Board through the Office of the DVC-RTD in such cases, valid justification for the request must be submitted prior to submission of the sponsored project application.

1.8.30 DISPOSITION OF PROPERTIES

- a) Research agreements may also include terms and conditions for the disposition of tangible properties. Acquisitions and /or deliverables associated with sponsored projects may include records, specified technical reports, theses, or dissertations or equipment; *also detailed in Procedure number 7* of this policy. Intangible properties, including rights in data, inventions, or copyrights, shall be specified in the terms and conditions in the agency and TU-K agreement.
- b) All research conducted under the auspices of TU-K will require prior agreements on copyright and intellectual property rights with the University. See details in *Schedule 8 of this policy*.

1.8.31 GIFTS AND 'GIFT- IN- KIND'

Gifts or 'gift in kind' are typically irrevocable, although they may be accompanied by an agreement that restricts the use of the funds to a particular purpose. In general, the following conditions shall apply:

- a) **Gifts shall be declared and used as per the government of Kenya and TU-K guidelines on gifts.**
- b) Gifts may not specifically carry restrictions beyond the requirements of responsible stewardship; there are usually no rights to tangible or intellectual property or deliverables to the donor.
- c) Progress summary and research outcome and expenditure reports.
- d) TU-K may agree to use restricted gifts as the donor specifies. If a gift cannot be used as the donor specifies, TU-K will handle the gift as per government of Kenya regulations and TU-K guidelines on gifts.

1.8.32 CONTRACT AND CONSULTANCY RESEARCH

Research Contracts have a clearly defined statement of work and project timelines. A set or fixed price contract payment is usually established in advance for performance of a specified set of tasks or delivery of a certain service. The Sponsor generally imposes certain restrictions either on the direction of the research or service to be performed and/or the use of research results or on their publication. *Research contracts will cover all costs associated with conducting the project, including direct and indirect costs, and must include insurance and indemnification provisions to protect the University, its staff, and students,*

The University will from time to time enter into certain types of cooperative agreements with other institutions. These agreements include affiliation with private or public organizations for the advancement of professional training in the fields of science, engineering, or social and health services. Research collaboration agreements shall be based on mutual interests in particular research objectives that can best be furthered to the benefit derived from affiliation agreements between the University and the cooperating organization. These types of agreements will typically

give personnel of both organizations broader experience during their professional development. Typically, agreements between TU-K and cooperating agency shall include:

- a) Provision for non-salaried exchange appointments or research consultancy in accordance with university policy relating to the appointment of Faculty.
- b) Contracts under which specific research projects are conducted after a formal proposal and award sequence has been followed.
- c) Collaboration between employees of the University and the cooperating agency without specific assignment of facilities to the cooperative effort.
- d) Provision within University facilities or office and/or laboratory space and services to employees of the co-operators,

Each agreement shall be for a specified period and may be terminated by either party upon written advance notice to the other for a specified period and must comply with the University policies. The Research Board will review approvals relating to cooperative agreements and under what conditions the University will enter into such agreements, and the Senate and recommendations provided to the Vice Chancellor. Recommendations shall take into consideration the fiscal and academic impact on the University.

An individual Faculty member may engage in private consulting by entering an arrangement between a company or government agency under the conditions outlined in *Schedule 13* of this policy. Private consulting shall not make use of university facilities or resources. Typically, private consulting activity shall not:

- a) Interfere with the performance of university duties or other contractual obligations of the University.
- b) Create the potential for a conflict of interest and must be disclosed and properly managed or eliminated prior to consulting engagement.

1.8.33 RESEARCH TRAINING GRANTS

The University shall support research-training initiatives by organizing research capacity building initiatives and providing student centered research support. This will be coupled with incentive structures to stimulate student research and Departmental strategic inputs to the overall TU-K research agenda. The purpose of the training programs will be to.

- a) Stimulate focused research development programmes for students.
- b) Institutionalize career development planning for emerging researchers in collaboration with established researchers.

1.8.33.1 STUDENT RESEARCH GRANTS

Where the award of funding for Students research support is made to TU-K, the University shall name the individuals to receive the support. Students' research funds received by TU-K, which are intended to support research training, shall be treated as a research-training grant, a type of sponsored research project. Student research done in partial fulfilment of academic qualification or certificate at various levels shall be referred to as student research grants.

To facilitate the proper handling of student research activity support, the following procedures shall apply to proposal and award processes:

1.8.33.2 UNDERGRADUATE RESEARCH

They shall be in the form of research projects as shall be outlined in the curriculum and supervised by the respective Department, Centre, or Institute within the University. The students shall present and defend the research' project proposals and submit research reports to the relevant department. The results of such research may also be published in other media as deemed appropriate and where applicable, intellectual property rights shall be reserved by TU-K.

Students may apply for external fellowships in their own name. The process for submitting proposals shall vary, depending on whether the application requires institutional endorsement,

In general:

- I. Submissions requiring an institutional endorsement shall be submitted through the Faculty to the Office of the Director of Research and Knowledge Exchange.
- II. Submissions that do not require an institutional endorsement may be submitted directly by the student to the sponsoring agency.

In the circumstances where a student has initiated a research project, a proposal will normally need to be submitted with a faculty member as Principal Investigator (PI). The provisions for rare exceptions to the policy on PI eligibility are applicable. In such cases, the necessary review and approval by the office of the DVC-RTD will be required.

Where funds are obtained by TU-K to support research or internships for undergraduate or postgraduate students, those funds shall be received and processed through the Office of the DVC-RTD, which will administer the distribution of funds.

1.8.33.3 POSTGRADUATE RESEARCH

Applications for TU-K or agency funding, which provide support for postgraduate students' research activity, shall be processed through the Office of the DVC-RTD. This helps to assure appropriate internal controls as regards to research policy, as well as the inclusion of the funds in the appropriate base for the calculations of TU-K's institutional overhead rates for external funds, and the appropriate classification of the research theme.

The relevant Department, Centre, or Institute and the School of Graduate and Advanced Studies shall determine postgraduate research in the form of research projects. The results or innovation obtained from such research shall be published in the form of a thesis or a dissertation. The results of the research or innovation shall also be published in recognized journals and other media as deemed appropriate and shall be patented where applicable.

Postgraduate Scholars who wish to apply for external fellowship funding must submit their application through the Office of the DVC-RTD that will administer the distribution of funds. Each Faculty shall provide an annual report to the DVC-RTD that contains the following information:

- I. Number of postgraduate students directly contributing to the TU-K funded research program(s).

- II. Student participation in TU-K sponsored research program through assistantships, fellowships, or traineeships funded from external sources.

In the circumstances where a student has initiated a research project, a proposal will normally need to be submitted with a faculty member as PI. The provisions for rare exceptions to the policy on PI eligibility are applicable.

APPENDIX

1.8.34 PROCEDURES

1.8.34.1 PROCEDURE 1: APPLICATION OF THE POLICY

This policy applies to all researchers of TU-K and their collaborators. If research is collaborative with other institutions, any conflicts arising from this policy shall be handled under the provisions of Procedure 8. In addition to the descriptions given in Sections I-VIZ the following Procedures constitute the basis of the TU-K Research Policy:

1.8.34.2 PROCEDURE 2: RIGHTS AND RESPONSIBILITIES IN THE CONDUCT OF RESEARCH

- I. All researchers shall be guaranteed their academic freedom of speech, intellect, and association.
- II. A researcher shall be accorded the rights and privileges to carry out research in his/her areas of competence and these rights and privileges as far as resources are available.
- III. The Research Policy shall not discriminate on gender, nationality, organization, or source of research funds; unless prohibited by law, and there is no dilution of dignity of humankind.
- IV. A researcher and his/her collaborator(s) shall not be discriminated against or stigmatized on medical grounds or disability.
- V. All basic and applied research shall be based primarily on original ideas which will not conflict with human rights, dignity, health, or ethical standards.
- VI. The Research Policy encourages research collaboration with public and private organizations.
- VII. The Research Policy supports the establishment of industry research collaborations.
- VIII. All research agreements shall be signed by the Vice Chancellor after TU-K legal review.

1.8.34.3PROCEDURE 3: ETHICS AND INTEGRITY IN THE CONDUCT OF RESEARCH

- I. All researchers are expected to observe ethical standards in the conduct of research and to comply with the responsibilities and obligations required in the codes of practice as outlined by the relevant funding agency and the University.
- II. The University shall constitute the following Institutional Research Board (s):
- III. Institutional Research Ethics Review Board.
- IV. Institutional Human Subjects Ethics Review Board.
- V. Ethical clearances shall be obtained from the relevant institutional Ethics Review Board.
- VI. Research shall be conducted in an open manner and as required by the grant award conditions, contractual obligations or agreements for that research.
- VII. A researcher shall take all necessary steps to ensure that research property that is entrusted to his/her care is adequately protected and used for the intended purpose(s) only.
- VIII. Any project involving human participants or data requires the approval of a certified Research Ethics Board prior to the recruitment of participants or the release of research grant funds.
- IX. This requirement applies equally to Faculty and student research projects, including externally or internally funded or unfunded projects (i.e. a student research project, paper, or study for course credit).
- X. Applications for ethics approval shall be coordinated through the Office of Director, Research and Knowledge Exchange, and reviewed by the approved TU-K Research Ethics Review Board.
- XI. Research funds will not be released until the TU-K approved Ethics Review Board permission has been obtained and verified.
- XII. The Principal Investigator/Grantee shall further undertake to give adequate information to the researchers about the project, relevant rules and regulations, any possible harm, health, and relevant safety regulations.

1.8.34.4PROCEDURE 4: PROFESSIONALISM AND INTEGRITY IN RESEARCH

The researcher(s) shall:

- I. Carry out research in a manner that maintains his/her integrity, professionalism, and confidence.
- II. Treat fellow researchers and collaborators with courtesy, civility, and respect.
- III. Respect the rights of others, and refrain from any form of disruptive, threatening, intimidating, or harassing behavior, or behavior that is harmful to himself/herself, other person(s) and/or property.
- IV. Seek to maintain high standards of research and level of professionalism.
- V. Seek to develop new knowledge and understanding in his/her respective area of expertise or professional field.
- VI. Make his/her research work known, locally and internationally, through publication, exhibitions, conferences, workshops, and seminars.

- VII. Inform the Directorate of Research and Knowledge Exchange on the research progress and any supplementary research sub-awards.

1.8.34.5 PROCEDURE 5: THE UNIVERSITY RESEARCH BOARD (UNIVERSITY RESEARCH COMMITTEE)

The Research Board shall receive the recommendations of the Faculty Research Committee and the DReKE, and shall determine the following:

- I. Whether the planned research will contribute to fostering new intellectual collaborations, stimulating new sources of funding, furthering innovative research, or performing service and outreach to the public.
- II. The acceptability of proposals tendered by PI, with respect to prevailing policy on research approved by the Senate of the TU-K.
- III. Whether the research plan can be accomplished within the proposed budget estimates.
- IV. Award of internal research grants for small and large research programs by TU-K Faculty following rigorous review.
- V. Their recommendations are to be submitted to the Office of the DVC-RTD for assessment and recommendation.
- VI. That the DVC-RTD as the administrative head of the research division shall transmit the recommendations of the Research Board to the Academic Senate for review and recommendation to the Vice Chancellor.
- VII. Procedures governing the Board's consideration of questions or complaints raised by research personnel regarding the administration of externally sponsored projects.
- VIII. The criteria for judging the appropriateness of the level of university services and the overhead rate necessary for support of research.

The Chair of the Research Board shall be charged specifically with the following:

- I. Keeping the Vice Chancellor apprised of the substantive issues under consideration by the Board and decisions or recommendations, which may require Senate endorsement.
- II. Submitting to the Vice Chancellor no later than November 1st of each academic year, one copy of a written Annual Report of the work of the Board during the academic year just completed.

1.8.34.6 PROCEDURE 6: TANGIBLE PROPERTY

- I. Any research equipment of permanent nature shall remain the property of TU-K or as specified in the contract.
- II. All consumable research materials including chemicals and stationery shall remain the property of the relevant department at the end of the research.
- III. All vehicles purchased on any research grant or cooperative agreement shall be registered jointly under the project and TU-K.

- IV. Researchers may, however, retain for personal use equipment whose value does not exceed KES 30,000 on recommendation of the respective Faculty to the office of the DVC (ASA) unless the donor has specified otherwise.
- V. Laboratories and/or Centers for research established through TU-K sponsored research or Consultancy funds shall be the property of the University and shall be accessible for research by university staff.
- VI. The Laboratories and/or Centers for Research established through research/ consultancy funds shall, primarily be headed by the PI who spearheaded the establishment, or by an appointee of the University Management.

1.8.34.7PROCEDURE 7: INTELLECTUAL PROPERTY RIGHTS AND PATENTS

- I. All matters concerning Intellectual Property Rights shall be subject to the TU-K policies and guidelines on intellectual property rights, knowledge and technology transfer, copyrights, and commercialization.
- II. All inventions and innovations resulting from TU-K Members' Research shall be reported to the Directorate of Research and Knowledge Exchange.
- III. The DVC-RTD shall forward research generated inventions and innovations to the Office of the University Secretary and Chief Legal Officer for processing of copyrights patents and /or intellectual property rights.
- IV. TU-K shall apportion revenues resulting from research innovations and patents as follows:
 - a) The TU-K Research Fund.....55%
 - b) The Researcher.....25%
 - c) Division of Research.....20%
- V. Income from research projects or consultancies, where they are budgeted for, shall be shared as follows.
 - a) The Principal Investigator (PI)/Consultant.....50%
 - b) The TU-K Research Fund.....35%
 - c) Division of Research.....15%

The above shall apply provided that the PI and the research team shall not be receiving honoraria from the project or consultancy. If it happens, the 50% earmarked for the aforesaid shall become part of the TU-K research fund.

1.8.34.8PROCEDURE 8: HEALTH AND SAFETY REGULATIONS

Applicable national laws and regulations, together with policies and procedures issued by or through the University Environmental Health and Safety regulations will provide the guidance under which the University will conduct its safety program. All members of the University shall be required to work in accordance with the Rules and Regulations of the University and the relevant national regulatory authorities. A competent person shall carry out hazard and risk assessment. She/he shall have the relevant technical expertise, training and experience and shall be appointed by the Deputy Vice Chancellor in charge of Academics, Research and Students.

The University shall:

- I. Coordinate or conduct inspections to maintain overall safety and address any deficiencies that are identified.
- II. Provide health and safety training and inform all new and current employees and students of the relevant policies, as well as their specific responsibilities and obligations.
- III. Provide financial support for health and safety improvements.
- IV. Investigate all serious accidents, and any other accidents when requested by the Head of Department or Faculty Dean.
- V. Initiate proper follow-up measures and ensure corrective actions are implemented when unsafe conditions, practices or equipment are reported or observed.
- VI. Develop guidelines and procedures governing:
 - a) Handling of specimens as stipulated ethics guidelines.
 - b) Disposal of research materials according to the Health and Safety guidelines.

Researchers shall:

- I. Undertake to ensure that their research environment is safe, healthy, and that safety procedures and protocols and research practice for handling, release and disposal of potentially hazardous materials are followed.
- II. Not perform any function or operation which is considered hazardous or is known to be hazardous without proper instructions and authorization.
- III. Only use equipment and materials approved or provided by the PI or Department, and for which this or other experience has provided instruction.
- IV. Become thoroughly knowledgeable about potential hazards associated with the work area; knowing where information on these hazards is maintained and how to use this information when needed.
- V. Wear or use prescribed protective equipment.
- VI. In the event of accidental release of chemical, biological or radioactive materials, shall report the incident to the head of the relevant Department who shall take immediate necessary action.
- VII. Adhere to national legislation and ethical standards with respect to exporting human biological material.

All visitors to research laboratories/centers for research and designated research areas shall be advised to take precautionary measures to reduce any possibility of harm to themselves and the research activity.

1.8.34.9PROCEDURE 9: PRINCIPAL INVESTIGATOR'S RESPONSIBILITIES

Any Member of the TU-K who has been designated as PI because of his/her participation in the preparation of the proposal or project, and, being recognized as such as per the arrangements of the grant award shall be recognized as such by TU-K. The PIs shall be responsible for:

- I. Ensuring adherence to the regulations set forth in this Research Policy and the National Research and Technology Act 2013¹.
- II. Implementing the project within three months of the award of the grant in case of an internally funded research project.
- III. Ensuring a favorable environment for research.
- IV. Keeping the research on track and ensuring timely submission of required reports.
- V. Ensuring that research collaborators are aware of the ethics of research conduct and data retention.
- VI. Creating awareness -research and advising collaborators accordingly.
- VII. Ensuring project budgetary and financial management.

If the PI/Grantee retires, changes employer, or leaves the institution, no research funds shall be transferred to another entity. The DVC-RTD, in consultation with the sponsors on the recommendations of the Research Board, shall appoint an acting PI unless otherwise advised by the sponsoring agency.

1.8.34.10PROCEDURE 10: ADMINISTRATION OF RESEARCH FUNDS

- I. The PI/Grantee shall be responsible for the proper management of all research funds held in trust in his/her name.
- II. The PI/Grantee shall have the responsibility to ensure that all expenditures authorized against university accounts conform to the pre-approved budget, with terms and conditions of the grant or contract, with regulations of the sponsoring agency, and with TU-K's relevant policies and procedures.
- III. All research funds shall be administered by the University designated research grants accountant in collaboration with the PI, under the supervision of the, Director-ReKE, DVC-RTD and the Vice Chancellor.
- IV. The administration and management of funds shall follow the University financial accounting and procurement procedures except where the donor has specified otherwise.
- V. Research funds shall only be disbursed for the activities of the project, with the approval of the PI, the DVC-RTD and/ or VC. No funds shall be disbursed if a researcher has not surrendered the previous report and required documentation relating to a particular project.

¹ Subject to full time staff equivalent calculation for teaching and administrative responsibilities.

- VI. If budget alterations are desirable during the term of the research project, a request must be made in writing to the DVC-RTD through the PI's Director of School, Executive Dean, and Director-ReKE. The PI must obtain a formal grant contract amendment from the sponsor. to accommodate the change
- VII. All expenses that do not conform to the contract and are not accepted by the sponsor will be the responsibility of the PI/Grantee.
- VIII. TU-K Faculty members shall not accept personal cheques for research support from sponsors. Cheques received directly by Grantees or Departments shall be forwarded to Finance for deposit to the appropriate research account.
- IX. **The Technical University of Kenya shall establish a dedicated research account in KES and major foreign currencies acceptable to funding organizations.**

1.8.34.11 PROCEDURE 11: INDIRECT COST RECOVERY

Whenever allowable by the external sponsor, the full indirect costs of research shall be recovered by the Institution. The full cost of a Research Project is calculated as the total of both direct and indirect costs. For research activities to be sustainable and for researchers to receive authorization from TU-K to conduct research, the following conditions shall apply, subject to the restraints or requirements imposed by such factors as arm's-length bargaining:

- I. The General Operating Funds of the University must absorb indirect costs, which are not supported by an External Sponsor.
- II. Budgets prepared for external funding applications shall include both sets of costs at appropriate rates, as set or allowed by Sponsor guidelines and/or University policy.
- III. Indirect costs shall include administrative overhead, utilities, facility and space use, materials, equipment use and repair.
- IV. Indirect Cost rates shall be included in application budgets, where permitted, as an individual line item.

TABLE 1.8.34.11: INDIRECT COSTS GUIDELINE

GRANT OR PROJECT SPONSOR	INDIRECT COST (0/0)
Technical University of Kenya Grant Support	N/A
Government Departments and Agency grants	Up to - 7.5 %
Companies, Industry Consortia, Foundations	7.5 - 15 %

#Subject to agreements with the sponsoring agency.

The calculation of research Indirect costs shall be subdivided into the following seven categories:

- I. operation and maintenance expenses,
- II. use charges for buildings and equipment,
- III. library expenses,
- IV. sponsored projects administration,
- V. general administration,
- VI. student administration and services, and
- VII. Departmental administration.

The costs associated with the first three categories can be documented. The latter four administrative cost components are less definitive and difficult to evaluate in terms of individual research projects and shall be calculated on a per project basis,

1.8.34.12PROCEDURE 12: RESEARCH APPOINTMENTS

- I. Faculty engagement in research will be as determined in the appointment letter that outlines duties including Teaching² and University administration.
- II. An academic staff member may be appointed by the VC to engage exclusively in research duties.
- III. Appointments of non-Faculty external researchers, visiting researchers or research assistants for a research project drawing support from TU-K managed research funds shall be reported in writing to the Directorate of Research and Knowledge Exchange and the DVC-RTD.
- IV. Research Fellows shall be appointed using the University Terms of Service, where provisions for such positions exist.

1.8.34.13PROCEDURE 13; CONDITIONS FOR RESEARCH CONSULTANCY

- I. All TU-K Faculty engaged in external research consultancies shall be required to make disclosures of any of the consultancies to the Office of the DVC-RTD.
- II. All research consultancy work undertaken by a member must comply with the University's Code of Conduct and Financial Regulations³ and Procedures.
- III. Declarations of any perceived or envisaged conflict of interest emanating from participation in research consultancy shall be reported to the DVC-RTD for interpretation with respect to the relevant University policies and statutes.
- IV. Where another third-party organization(s) has an interest in an investigation, the University at the discretion of the Vice Chancellor, and considering data protection interests, may notify and liaise with that third party body in relation to any investigation under this Schedule.

- V. Prior written approval from the office of the DVC-RTD and VC shall be required if the consultancy shall result in personal benefit to the employee or result in absences from work or result in other costs to the University.
 - VI. Staff undertaking private consultancy will have personal liability in the event of any problems arising, and the University shall not indemnify such consultancy.
- TU-K shall comply with investigation (s) by relevant legal or regulatory entities, which will take precedence over the TU-K Research Policy 2024, The University may institute parallel investigations at the discretion of the Vice Chancellor.²
- VII. The University disciplinary procedures and/ or relevant laws of Kenya shall apply where alleged misconduct could lead to criminal liability, or a Member violates this policy in part or in totality.

1.8.34.14PROCEDURE 14: APPLICATION FOR INTERNAL RESEARCH SUPPORT.

- I. Subject to availability of funds, the Directorate of Research and Knowledge Exchange shall publish the Request for Applications (RFA) for research support for TU-K staff or student research.
- II. TU-K students or staff shall submit research proposals in the standard proposal format issued by the Directorate of Research and Knowledge Exchange.
- III. Research proposals that include at least one (1) female researcher shall receive additional scores for gender parity.
- IV. Applications for grants through this mechanism shall be addressed to the DVC-RTD, through the Head of respective Department/ School/Institute/Centre.
- V. Applications shall be initially reviewed by the Research Board to determine if the proposals are consistent with the established TU-K Research Policy.
- VI. If there are minor deviations from the guidelines, the PI may be asked to correct the proposal accordingly. If there are major deviations, the proposal shall be rejected, and the PI notified.
 - a) Proposals that pass the initial review stages shall be sent to peer-reviewers who possess qualitative knowledge of the subject matter.
 - b) Peer Reviewers shall rank the proposal according to the review and rating criteria developed by the Research Board.
 - c) Each peer reviewer shall give detailed critique of the proposal; a copy of which shall be sent to the PI for purposes of feedback and guidance to researchers involved in preparing the proposal.
- VII. Based on the recommendation of the peer reviewer's report, the Research Board shall make the final decision on funding the proposals.

² TU-K Finance Policy

³ Staff Research undertaking and contracts shall be drawn and executed by the University Secretary, in accordance with the TU-K Finance and Human Resource Policies.

- VIII. All approved internally supported research projects shall have clearly indicated 'start' and 'end' dates.
- IX. Internal research support shall be effective on execution of contract prepared by the University Secretary and Chief Legal Officer.

The DVC-RTD shall notify the applicants of the grant application decision, in writing, through the respective Directors of Schools/Chairpersons of Department/Directors of Institutes/Centers.

1.8.34.15PROCEDURE 15: APPLICATION FOR EXTERNAL RESEARCH FUNDS

- I. Research proposals and any other applications for external research support or funding that require University endorsement shall be submitted to the Faculty Research Committee and forwarded to the Directorate of Research and Knowledge Exchange.
- II. The PI shall also notify the Office of the Deputy Vice-Chancellor, Research and Technology Development if he or she chooses not to accept funding for a pending or newly awarded proposal.
- III. The Directorate of Research and Knowledge Exchange shall be notified of all research grants and collaborative research applications for external funding that do not require University endorsement.
- IV. Applications for collaborative research to external sponsors, and where the project funds shall be held externally, shall not be administered by the University unless written provisions of TU-K involvement are obtained in advance from the office of the DVC-RTD

1.8.34.16PROCEDURE 16: TRAINING AND STIPEND ALLOWANCE FOR STUDENTS

- I. All externally funded research proposals may incorporate student training components unless stipulated otherwise by the sponsor.
- II. Appointment of students for training shall be transparent and based on established criteria.
- III. The role of the student(s) in the project shall be clearly specified.
- IV. Students shall receive stipend allowance, if applicable, as stipulated in the research agreement and the approved proposal.

1.8.34.17PROCEDURE 17: APPLICATION FOR INSTITUTIONAL RESEARCH FUND

Research proposals for the Internal Research Fund shall be considered annually. Funds for projects designed to run for more than one year shall be released on an annual basis subject to submission of satisfactory annual technical and financial progress reports:

- I. TU-K staff and students shall have access to university research grants, subject to availability of funding.
- II. The research grants shall be awarded on a first-come-first-served and merit basis.
- III. Equitable distribution of research grants shall be done based on representation of all Departments/Schools/institutes/Centers/Faculties.
- IV. Considerations shall be based on relevance to national development priorities and TU-K research thematic areas for social, economic, and industrial growth.

Allocations of IRF grants shall be based on the merits of proposals and the publication and research record of the applicant. The following will guide research proposal evaluations at Department/ School/Faculty and Research Board levels:

- I. Originality and potential to contribute to the generation of new knowledge. Research capability and funding availability.
- II. Justifications to support continuation of ongoing research.
- III. Availability of technical support.
- IV. Proof of professional capability.
- V. Internal collaborations: several staff and/or postgraduate students working on a common theme.
- VI. Projects directed at development of new research foci with the potential to develop institutional academic and research excellence.
- VII. Multidisciplinary nature of the project as an approach to problem-solving.
- VIII. Evidence of previous external grants awards and/ or Industry collaboration, by the applicant.
- IX. Ability to promote innovation and entrepreneurship development in wealth creation and employment.
- X. Focus on fulfilling TU-K research vision and mission.

1.8.34.18PROCEDURE 18: PROCEDURE FOR REQUISITION OF FUNDS FOR RESEARCH IMPLEMENTATION

- I. The PI/Grantee may submit a request for an advance to cover expenses for the first three (3) months. This application shall be in accordance with the work plan and the budget as provided in the approved research proposal.
- II. Further advances on a project shall be made only subject to a satisfactory progress report submitted by the PI/Grantee to the office of the DVC-RTD.
- III. Failure to provide a satisfactory progress report and accounting for the research grant advance may result in termination of the award and surcharge. In this case, any unspent balance shall be refunded to the Research Account.
- IV. The rules contained in this Schedule shall be subject to periodic review by the Research Board.

1.8.34.19PROCEDURE 19: MONITORING AND EVALUATION.

- I. The Directorate of Research and Knowledge Exchange shall be responsible for quality assurance, monitoring, and evaluation of all approved projects.
- II. For internally funded projects, the PI shall submit a technical and financial progress report on a quarterly basis to the Research and Knowledge Exchange.
- III. For donor-funded research, a copy of the progress report shall be forwarded to the Director, Research and Knowledge Exchange.
- IV. All research output shall be subjected to quality assurance as described in the TU-K Quality Management System.

1.8.34.20PROCEDURE 20: RESEARCH KNOWLEDGE MANAGEMENT

- I. The Directorate of Research and Knowledge Exchange shall be the custodian of data obtained from all research projects that shall be stored in TU-K secured databases.
- II. All internally or externally supported research projects conducted by TU-K staff shall be registered with the Directorate Research and Knowledge Exchange.
- III. All research data shall be deposited in both soft and hard copies, in the Directorate of Research and Knowledge Exchange and within three (3) months of the conclusion of the project.
- IV. All data collected in any research project shall be treated as confidential until such a time as it is published.
- V. The PI shall ensure the transformation of the knowledge resources by identifying relevant information and submit it to Directorate Research and Knowledge Exchange to facilitate transfer for industry and societal needs.
- VI. Research results shall be co-owned by the researchers and the University.
- VII. Research Data archiving shall be mandatory for all TU-K and sponsor agency supported research.
- VIII. Research data shall be securely archived and available for use by others for a period of at least seven (7) years from the completion of the project.

1.8.34.21PROCEDURE 21: PUBLICATION AND DISSEMINATION OF RESEARCH FINDINGS

- I. The Directorate Research and Knowledge Exchange shall endeavor to build research capacity through training in workshops and seminars on publications, dissemination of research findings and maintenance of records.
- II. The PI shall submit two (2) copies of the final report and any publication(s) to the Directorate of Research no later than 2 months after the end of the research project.

- III. Research papers shall include all names and affiliations of persons involved in the research, who are entitled to co-authorship.
- IV. The corresponding author shall make a reasonable effort to obtain the consent of the co-authors to the order of attribution of authorship.
- V. The corresponding author shall provide each co-author with a copy of the manuscript prior to its submission; and provide each co-author with a copy of the manuscript submitted for publication.
- VI. The University and the donor, where applicable, must be acknowledged in all publications, and receive copies of the publications.
- VII. Research results shall be disseminated through workshops, conferences and/or seminars.
- VIII. The PI shall make reasonable effort to secure external funding to support attendance of conferences, workshops, seminars, and stakeholder meetings.

1.8.34.22PROCEDURE 22: RESEARCH MISCONDUCT

This policy defines research misconduct as: "fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. The Directorate of Research and Knowledge Exchange shall keep a register of all persons granted permission to conduct research at TU-K and /or together with approved collaborating agencies. Any person issued with permission pursuant to this Schedule shall adhere to such procedures, standards, code of ethics and guidelines as may be prescribed by regulations made under this Schedule.

- I. 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.
- II. A researcher who contravenes (a) above or commits any other financial indiscipline shall be held liable for losses resulting from the contravention.
- III. The University disciplinary procedures and/ or the relevant laws of Kenya shall apply where a researcher violates any of the research ethical standards such that he/she seriously harms the reputation of the University or compromises his/her or others ability to function effectively in the workplace.
- IV. All allegations of research misconduct shall be investigated by a tribunal appointed by the Vice Chancellor and the recommendations presented to the Academic Senate for appropriate action in accordance with the procedures outlined in the TUI-K Academic Malpractice Regulations.
- V. Where the researcher and his/her collaborators violate acceptable research practices, the researcher, together with the collaborators, shall be in addition to any other penalty which may be provided for in this Policy or any other written law, be held liable and subject to disciplinary action as recommended by the Academic Senate.
- VI. Failure by a member of staff or student to report research misconduct may constitute concealment of misconduct in research in contravention of the regulations governing Academic Malpractice

1.8.34.23PROCEDURE 23: RESEARCH GRIEVANCES

The University shall assist in the resolution of disputes between or among researchers; however, the researchers shall first seek to resolve disputes between or among themselves.

- I. Grievances related to disputes, or the misconduct of research shall be reported to the Director of Research and Knowledge Exchange within fourteen (14) days of the occurrence who will forward it to Research Board for further investigation and deliberation.
- II. All grievances shall be considered, and necessary action taken within twenty-one (21) days.

1.8.34.24PROCEDURE 24: TERMINATION OF A RESEARCH PROJECT

A research project may be terminated under the following circumstances:

- I. The project does not commence within three (3) months of the award in the case of an internally funded project.
- II. The project appears to be incapable of meeting its objectives and/or is being implemented unsatisfactorily.
- III. Act of God (*Force majeure*).
- IV. Evidence of violation of any of the principles and requirements in this research policy and/or University Statutes.

1.8.34.25PROCEDURE 25: ETHICS AND JOINT CODE OF PRACTICE

The University must pursue its research mission in a manner that advances its goals, protects the integrity of all it does and maintains the confidence of all members of the University community, its affiliated institutions, granting agencies and its public and private sponsors.

The Joint Code of Practice for research shall include:

- I. **Responsibilities:** The University is responsible for the overall quality of research conducted within it, including compliance with in-house research and management policies. All staff and students have a responsibility to ensure that good scientific, technical, and social research practices are followed, including a commitment to the development of scientific, technical, and social research skills. The PI, group leaders and academic supervisors have a responsibility to enforce these practices and ensure that all staff and students have clearly stipulated responsibilities in relation to the research project and are aware of their responsibilities.
- II. **Competence:** all personnel associated with the research project must be competent to perform the research and where necessary receive appropriate training.

- III. **Research project planning:** appropriate risk assessment for the research project shall be conducted before the start of the research project.
- IV. **Quality control:** research projects shall be subjected to formal reviews at appropriate levels. The dissertation, thesis and publications shall also be used as a measure of the quality of the research work undertaken.
- V. **Health and safety:** all research must comply with relevant Health and Safety Regulations.
- VI. **Handling of samples:** All samples and other research materials shall be labeled clearly and durably and retained as required by the conditions of the grant award/ funding agency. Disposal of materials must be done according to regulations.
- VII. **Facilities and equipment:** The working environment shall be appropriate for safe operation of equipment, maintenance of sample quality and integrity. The facilities and equipment shall be checked and calibrated in accordance with standard operating procedures.
- VIII. **Research work records:** All records must be of sufficient quality to present a complete picture of work performed, enabling it to be repeated if necessary. The PI/academic supervisor shall review the records of each researcher periodically.

In addition, all research projects conducted with TILK approval shall be subject to the following conditions:

- I. Research proposals shall undergo ethics review by the relevant TU-K approved Ethics Review Board.
- II. Research involving human subjects shall be subject to review by an approved Institutional Review Board.
- III. Export storage and re-use of human biological materials must receive prior approval by the Institutional Ethics Review Board.
- IV. National and International Bio-safety legislation and regulations governing genetically modified organisms.

1.8.34.26PROCEDURE 26: CONFLICT OF INTEREST

This Regulation applies to all members of the University community. Conflict of interest may arise when a member of the University community is able to influence the conduct of research, academic, human resource, financial, governance or other matters in ways that could lead to personal gain, or give improper advantage to others, to the detriment of the University or other members of the University community.

Potential conflict situations may arise which do connote misconduct or preclude the involvement of a member when the conflict has arisen provided the conflict is recognized, disclosed, assessed, and addressed, The TU-K shall cultivate and reinforce a culture that will enable its members to identify and resolve conflicts of interest. The University management units will support and mentor members of the community on addressing conflict of interest.

The failure of a member who knows, or who should reasonably know, that he or she is in a position of a Conflict of Interest, may constitute a disciplinary offence under the regulations, policies if h/ she fails to comply with the following provisions of this Regulation.

- I. All members shall promptly disclose actual or apparent conflicts of interest.
- II. All members of the University community must recognize that not all conflicts of interest, even if disclosed in a timely manner, will be permitted.
- III. All affairs of the University shall be conducted in a manner that is free of actual and apparent conflict of interest and maintaining the trust of the community in the University and its affiliated institutions.
- IV. All actual and apparent conflicts of interest shall be properly managed in keeping with the law and best research practices.
- V. Economic or personal links in collaborative research between any company and the University, or between any company and individual researcher(s), must be disclosed in all grant applications, Ownership of shares, board memberships, and employment/ consultancy work should be specified.

A Member, immediately upon becoming aware of a Conflict of Interest, shall make written disclosure of the fact(s) which is material to the Conflict of Interest to:

- I. His/her Reporting Officer in accordance with these provisions; and
- II. In the case of a Conflict-of-Interest situation arising in the context of research involving human subjects, to the relevant Institutional Research Ethics Board in accordance with the University policies governing the ethical conduct of human subject research.
- III. Members of a research related- committees shall declare any conflict of interest related to the activities being considered by that Board or Committee to the Chair of that Board or Committee and must refrain from involvement in the decision-making process in matters in which they have a conflict of interest. The mission of the Board will be to enhance the long-term quality or research scholarship throughout the University by supporting meritorious research projects.

1.8.35 CENTERS OF RESEARCH EXCELLENCE

The University shall optimize its resources by identifying the research foci and develop these as clusters or “centers” of academic research excellence. The Centers may comprise of Institutes, Groups/or Laboratories. An appropriate process of profiling such centers shall consider existing research strengths, as well as priorities.

The defining features of research foci and centers shall be:

- I. Existence and maintenance of sustained research programs characterized by excellence in publication and in training of postgraduate students.
- II. Collaboration among several researchers internally and externally such that a distinct "research density" is clearly present, achievable by sharing of resources and specialized equipment not normally available for individual researchers.
- III. Consultancy group, patent, and commercialization potential of research products by the research team.

- IV. Productive researchers whose work may not necessarily be associated with the centers and who shall continue to be supported through project funding and IRTF awards.

1.8.36 RESEARCH EQUIPMENT

The University shall purchase equipment and accessories directly related to projects; Prior approval is usually required from the sponsoring agency for research equipment acquisitions. These will normally be purchased only if needed and not already available from existing resources.

1.8.37 RESEARCH CAPITAL EQUIPMENT

The University shall strive to obtain equipment for research for all departments in various Faculties, Institutes and Centers. Investments in Research Capital Equipment (RCE) shall be made to support such centers of research excellence, subject to the availability of resources, Funding for RCE shall be considered as part of a policy for development of research foci and "Centers of Excellence."

1.8.38 EQUIPMENT PURCHASE

All research equipment, unless supplied by the donor, shall be purchased following the normal University procurement procedures on purchase of such equipment. Exemptions to such procedures shall be considered only by a request made through the Office of the DVC-RTD. In general:

- I. All equipment purchased through internal and external research grants shall become University property and assigned to the relevant department at the completion of the project unless otherwise specified in the project contract.
- II. Research project vehicles shall become University property on purchase but shall be exclusively used on the project until completion unless the PI and/or the sponsoring agency grant permission for other use.

Other use of Equipment.

- I. During the time that equipment is used on the project or program for which it was acquired, the PI/grantee may make it available for use on other projects or programs. This shall be considered if such other use will not interfere with the work on the project or program for which the equipment was originally acquired.
- II. The PI/grantee shall not use equipment acquired with IRTF to provide services to non-TU-K affiliated research programs for a fee unless specifically authorized by the University, for as long as the TU-K retains an interest in the equipment.

- III. All repairs on equipment shall be undertaken by the project until the end of the project. Where the cost of repairing equipment exceeds the budgeted allocation, the University shall endeavor to supplement repair costs.

1.8.39 RESEARCH PUBLICATIONS AND INTELLECTUAL PROPERTY RIGHTS

Researchers shall be expected to publish research outputs in journals of the discipline or the TU-K Journal and deposit their research outputs in the University's publications repository and where possible, to make all research outputs available as open access, The University shall ensure that researchers have academic freedom for the publication and dissemination of research findings.

1.8.40 RECORDS OF RESEARCH FINDINGS

Research findings shall be stored as laboratory or field data, books, digital media, technical reports, journal publications and/or in any other retrievable forms.

1.8.41 DATA PROTECTION AND PRIVACY

Research data encompasses original and derivatives of research data, including recordings of data. Research data protection is meant to guarantee our right to privacy and security measures designed to guarantee that all personal data are safe from unforeseen, unintended, or malevolent use. The University shall formulate specific regulations with respect to data protection. This shall include the following:

- I. Data Management Policy.
- II. Access to data and the conservation of data.
- III. Measures to assure a data protection strategy including the applicable local or national legal requirements and the competent authorities which provide the necessary authorizations.
- IV. Privacy of data relating to persons which is collected during TU-K sponsored research and stored in digital form or otherwise.
- V. Protections relating to all personal identifiable information to guarantee personal privacy.
- VI. Measures to ensure that researchers have the academic freedom to publish research findings and inform sponsors ahead of time, where necessary of any potential publication or dissemination of research.

1.8.42 RETENTION OF RESEARCH DATA AND DOCUMENTS

The University shall retain a database of all research findings within the Directorate of Research and Knowledge Exchange and the University Library. The PI shall have the obligation to ensure that accurate records are maintained, including the experimental methods and data.

Research documents shall be forwarded by the PI to the Directorate of Research and Knowledge Exchange and copies issued to the University Library, for archiving in the Institutional Repository, for a period not less than seven (7) years or if the University requires for protection of any resulting patent (s).

1.8.43 ACCESS TO RESEARCH FINDINGS

The research materials/documents shall be available for reference in the University library and website and shall be available for copying electronically or by photocopying unless protected by copyrights.

Members of the University for the purpose of with prior authorization from the author and/or the University shall make all research findings and publications, in hard and soft copies, available for use.

1.8.44 RESEARCH DISSEMINATION

Academic staff shall organize workshops, Conferences, Seminars and Symposia in conjunction with the Division of Research and Technology Development. Subject to availability of resources, dissemination activities shall be organized annually. The University shall also support workshops, seminars, and public lectures designed for knowledge transfer - a vital source for accessing ideas to enhance the TU-K research thematic areas.

1.8.44.1 PUBLICATIONS

Publications can be initiated during the research before the project is complete. The Sponsor may review the results and materials resulting from the research. Such reviews should not delay publication for more than three (3) months from the date the review starts. Where the research findings may lead to patentable outcomes, the University and the donor/private sector agency funding the research shall pursue the patent(s) and the University policy on patent rights shall apply thereafter.

The University shall support the formation of suitable journals including the TU-K Journal to publish and disseminate research findings. To achieve this, the University shall establish a Research and Publications Editorial Office, The Research Board shall develop procedures to establish clear and rigorous guidelines for best working practices in scientific publishing.

1.8.44.2 EXTENSION AND COMMUNITY WORK

The TU-K research, which is demand-led, will require opportunities to integrate technology commercialization initiatives at the University with those occurring in the broader community. The University will identify the relevant regional economic developers, the private sector, technology-based service organizations and business/entrepreneurial development centers to Support transitioning its academic research into the public realm. The University shall therefore allocate funding for research dissemination and stakeholder engagement at the community level, establishing collaborations with industry, development of networks and for leverage of skills amongst staff.

The University shall support and encourage University staff engagement in (unpaid) voluntary community research related activities in their own time and at their own expense. The University may invite staff to voluntarily disclose their involvement in such research activities to publicize and promote or where necessary, profile such activities.

1.8.45 TECHNOLOGY TRANSFER

The dissemination and application of knowledge and innovation is central to the mission of the University.

Technology transfer is a core component of that mission which promotes economic development by facilitating the commercialization of intellectual property through a variety of innovative mechanisms, The Office of the Deputy Vice Chancellor Research & Technology Development (DVC-RTD) ,shall work with the University Secretary and Chief Legal Officer to identify, assess, protect and market commercially viable intellectual property developed at TU-K. Technology transfer shall be considered within the framework of a Member's obligations to the University.

1.8.46. INTELLECTUAL PROPERTY RIGHTS

The protection of research intellectual property with commercial potential is an essential aspect of the technology transfer process. The following shall be applicable to TU-K member's research output:

- I. Rights to research intellectual property conceived or created by TU-K researchers with the use of university facilities or resources, or in the field of expertise and/ or within the scope of responsibilities by virtue of the researchers' appointment in the University shall be governed by the TU-K Intellectual Property Rights Policy that assigns such rights to the University.
- II. Inventions resulting from research conducted by the University staff and students entirely on their own time without use of university funds or facilities shall be considered the property of the inventor and shall be used by the inventors at their discretion, benefit, and cost.
- III. TU-K staff or students may apply for rights of an invention resulting from research activity, through the Office of the DVC (RTD) and the University shall decide whether it can grant such rights or not.

- IV. Where research is funded by a private sector/industry, innovations shall be owned jointly by the funding organization and the University.
- V. Incomes from research inventions shall be shared according to the University Policy on Intellectual Property Rights.

1.8.47 RESPONSIBLE OFFICES

- I. The Vice Chancellor and the Deputy Vice Chancellor in charge of Research and Technology Development hereafter referred to as DVC-RTD and the University Bursar and Chief Finance Officer shall have overall responsibility for and the administration of research funds and activities including ensuring compliance with sponsor requirements, budgetary audits, research outcome reporting, legislative, and compliance with TU-K's policies and procedures.
 - II. The University Management Board shall develop the Development of the University research strategic plan. The plan shall be in line with the overall institutional strategic plan and national research and development priorities.
- A Director appointed by the Vice Chancellor will head the Directorate of Research and Knowledge Exchange. The Director of Research and Knowledge Exchange shall report to the DVC-RTD and shall be charged with the responsibility of managing research at the University. The functions of the Directorate shall include:
- I. Management of research in accordance with the TU-K Research policy.
 - II. Maintain record of research as reported at Department and Faculty levels.
 - III. Establishment of a database for funding agencies and circulate funding opportunities to Faculty.
 - IV. Facilitation and support in the hosting of seminars and conferences on thematic areas developed by the faculties on a rotational basis.
 - V. Establishment of mechanisms for staff training on research grant proposal and research publication.
 - VI. In conjunction with the three Faculties, establishment of a TU-K research journal; maintain an institutional record of research funding; research output and research equipment database.
 - VII. Identification and circulation of information on international and regional conferences/workshops/symposia, and relevant funding opportunities.

The TU-K Research Board hereafter referred to as Research Board, will be one of the standing academic committees appointed under the authority of the Vice Chancellor or a designated office to formulate and review research policy and procedures with respect to implementation of the policy. The Vice Chancellor has the authority to approve the establishment, disestablishment, and name change of the Research Board after favorable review by the Academic Senate.

The Board shall include members of the Academic Senate and may include, in addition, the Executive Deans, three academic staff members from each Faculty, and the Director of Library and Learning Resource Services, The DVC-RTD shall determine the charge to the Board, its functions „and reporting requirements. The Research Board shall consist of nine voting members including three members of the Academic Senate, of which one member shall be from each Faculty and at Professor

level. The DVC-RTD shall be the Chair of the Board and the Director, Research and Knowledge Exchange shall be an ex officio member of the committee without voting rights.

For effective implementation of the Research Policy and discharge of its duties, the Research Board shall propose the establishment of relevant sub-committees (as the need arises), to carry out specific mandates, Initially, the following sub-committees shall be established to carry out specific roles:

- I. Technical aspects of research proposals and grants.
- II. Research Budgets and Finance.
- III. Research Communication, Publications and Knowledge Exchange.
- IV. Researcher Development

The Research Board shall develop, periodically review, and recommend to the Academic Senate the Research Policy of the University. The specific terms of reference shall include:

- I. Establishment of research priorities for the University and assess the potential value for enhancing the stature of the University.
- II. Coordination of all TU-K administered research proposals; TU-K administered collaborative research review of the quality of proposed research or creative activity.
- III. Making recommendations for the sourcing, administration, and distribution of university funded research training grants.
- IV. Making recommendations to the Research Board on the allocation of university funds available for staff research and travel grants in connection with research.
- V. Recommending research funds allocations for individual applicants, and budget establishment of appropriateness of proposed projects from the Institutional Research Fund (IRF).
- VI. Formulation and coordination of the development of institutional research proposals for research funds from external donors.
- VII. Preparation of the University research annual budget estimates and reports.
- VIII. Determination of the procedures governing the Board's consideration of questions or complaints raised by research personnel regarding the administration of externally sponsored projects.
- IX. Review of reports from grant recipients on the use of research funds received from all sources.
- X. Establishment of procedures for leveraging University research funds to support promising Junior Faculty, and mechanisms for funding of high-quality new initiatives of Senior Faculty.
- XI. Promotion of a closer linkage of research, training, and extension through staff training.
- XII. Coordination of research consultancy and knowledge transfer or exchange.
- XIII. Establishment of mechanisms for the development of University research publications including newsletters, magazines, web content and journals; and contributions to other formal University documents relevant to research.

1.8.48 OTHER RESPONSIBLE OFFICERS

- I. Officer in charge of Finance: Fiduciary responsibility of all research grants and funding.
- II. University Secretary and Chief Legal Officer: Research Grant Contracts, Memoranda of Understanding; Collaborations Partnerships; Patents, Copyrights.
- III. Executive Deans: Faculty Research Thematic Areas.

IV. University Librarian: Research Publications Repository.

1.8.49 POLICY EFFECTIVE DATE:

The effective date of a new or revised policy shall be the date of approval by the University Council.

1.8.50 APPROVALS:

Policy Number	TU-K/ReKE/001/2024
Version	1.0
Date Approved by Council	

1.8.51 RELEVANT DOCUMENTS:

1. TU-K Strategic Plan
2. TU-K Innovation Policy
3. TU-K Intellectual Property Rights Policy
4. TU-K Finance Policy
5. TU-K Human Resource Policy
6. TU-K Occupational Health Policy
7. TU-K Research Data Management Policy
8. TU-K Research and Innovation Policy
9. TU-K Ethics Review Committee Policy
10. TU-K Intellectual Property Rights Policy