JARAMOGI OGINGA ODINGA UNIVERSITY OF SCIENCE AND TECHNOLOGY

RESEARCH AND DEVELOPMENT POLICY

JULY 2024

Jaramogi Oginga Odinga University of Science & Technology

Research and Development Policy

Policy Title:	Research and Development Policy
Policy Theme:	Provision of essential guidelines for conducting Research for Development
Policy Contact:	Deputy Vice-Chancellor (ASAR)
Approval Authority:	University Council
Category:	Research
Policy Reference Number:	JOOUST/ASAR/RIE/01
Status:	Approved by Council
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Review of the Policy:	After every three (3) years
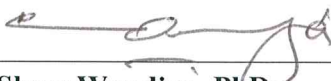
Signed

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Prof. Emily Achieng' Akuno, PhD, OGW.
Vice Chancellor

24·01·2025

Date

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Prof. Shem Wandiga, PhD.
Chairman of Council

25/01/2025

Date

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LIST OF ABBREVIATION AND ACRONYMS

For purposes of this policy, unless otherwise stated, the following abbreviations and acronyms shall apply:

AA	Academic Affairs
ARG	Annual Research Grants
ASAR	Academic, Student Affairs and Research
COP	Community Outreach Programme
DRIE	Directorate of Research, Innovation and Extension
DVC	Deputy Vice-Chancellor
FTSE	Full-Time Student Equivalent
ICT	Information and Communications Technology
IG	Income Generation
IRD	Innovative Research and Development
JOOUST	Jaramogi Oginga Odinga University of Science and Technology
NACOSTI	National Commission for Science, Technology and Innovation
PAF	Planning, Administration and Finance
PI	Principal Investigator
QMS	Quality Management Systems
R&D	Research and Development
RIE	Research, Innovation and Extension
RPO	Research, Publication and Outreach
RPPC	Research, Publications and Press Committee
URF	University Research Fund
VC	Vice Chancellor

DEFINITIONS

Unless otherwise specified, the following definitions shall apply to this policy:

Advisory Board: A committee of experts reviewing and advising the project team.

Conflict of interest: Undisclosed research relationship with an external agency that requires a commitment of time, effort or resources to non-University activities such that the researcher cannot meet the usual obligations to the University or makes decisions that are injurious to the University or its partners' interests;

Misconduct in research: Plagiarism, fabrication and falsification of research and research findings, productions and misappropriation or conversion of research resources BUT shall not include honest error or honest differences in interpretation or judgment of data;

Project Team: Cross-functional group of individuals, working together and undertaking different tasks towards a common goal

Publication: Putting into the public domain any paper, book, report, brochure, thesis, model or any such manuscripts, orally or in writing;

Research: A systematic investigation into and study of materials and sources to establish facts and reach new conclusions;

Research fund: Financial resources set aside to support research activity in the University;

Research Proposal: A formal and structured document that describes an idea for an investigation, outlines the process from beginning to end;

1.0 INTRODUCTION

The University has continued to grow in strength in terms of raising funds through traditional sources, which include government funding and local, regional and international research partners. With an increased inflow of funds, partners and research activities, there has been a growing need to develop a policy in response to the increased level of operations. This policy has therefore been developed in response to articulating projects management related issues and promoting research and development at the University in line with the country's development agenda as well as the regional and global development goals such as AU 2063 Targets and the UN Sustainable Development Goals (SDGs). The policy provides a framework for ensuring effective and efficient use of research resources and fosters an open and conducive environment for collaborative research. It provides clear guidelines for research projects management and similarly creates an environment of fairness and accountability in the award and utilization of research grants by the University.

1.1 Vision
The beacon of excellence in University Education.

1.2 Mission Statement
To provide quality education that nurtures creativity and innovation through integrated training, research and community outreach for sustainable development.

1.3 Philosophy
A holistic scholarship service to humanity through wisdom, science and technology

1.4 Core Value
- Customer focus
- Impartiality
- Professionalism
- Responsiveness
- Integrity
- Meritocracy

1.5 Motto
Oasis of Knowledge.

2.0 THE POLICY

2.1 Purpose
The purpose of this Research Policy is to provide a framework for governance and conduct of research as well as promote the positioning of research as a priority in JOOUST.

2.2   Policy Statement

At JOOUST, we are committed to fostering a culture of research, and scholarly pursuit guided by a strong commitment to Ethical Conduct, Academic rigour and the generation of knowledge that contributes to the greater good of society.

2.3   Policy Objectives

The objectives of this policy are to:

i)   promote and facilitate cutting-edge research;

ii)   develop a robust research capacity;

iii)   develop strategic internal and external research networks

iv)   establish mutually beneficial linkages & partnerships with industry for collaborative research;

v)   promote ethical and safe practices in research;

vi)   encourage and support the raising of funds for research.

2.4   Scope of the Policy

The Policy applies to all University staff, students involved in research, persons affiliated with JOOUST, and partners engaged in collaborative research with JOOUST.

2.5   Guiding Principles

2.5.1   Research Priority Areas

The University research priority areas shall be aligned to the Niche areas specified in the University Strategic Plan 2023-2027: Food Security, Renewable Energy; Blue Economy and Culture and Heritage.

2.5.2   Compliance with Regulatory Requirements

All research activities shall comply with:

i)   Public Finance Act, 2012 and Public Procurement and Disposal Act, 2015. Research procedures shall be as Each research shall be headed by a PI;

ii) Ethical guidelines as outlined in the National Commission for Science, Technology & Innovation guidelines;

iii) Financing and partnership agreement

2.5.3   Internal Management of Research

Every research activity shall be authorised and administered according to the JOOUST QMS procedures for the administration of research.

2.5.4   Benefit Sharing

The University shall reward researchers for their effort as provided for in the Income Generating Policy

3.0   RESOURCES IN SUPPORT OF RESEARCH

i)   The University shall set aside funds annually for research purposes to be disbursed as per the laid down guidelines.

ii)   The University shall operate an account dedicated to research funds.

3.1   Eligibility for Annual Research Grant

Vetting for annual research grants for eligible staff members and postgraduate students shall be carried out as outlined in the procedure in **Appendix I-IV** and the grant shall be awarded according to the criteria in **Appendix B**.

3.2   External Research Grants

i)   The University shall encourage and support staff and students to mobilise external research funds.

ii)   The University shall normally retain 15% of all external research grants received to meet its research management costs including compensation to researchers as per JOOUST prevailing IGU policy 2024;

3.3   Equipment from External Research Funds

i)   All research equipment, unless supplied by the donor or procured through the donor's guidelines, shall be procured using the University procurement guidelines and in accordance with the Public Procurement laws and regulations.

ii)   All equipment and consumables purchased through research grants shall become property of the University upon completion of the project;

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

3.4   Data & Information Sharing

i)   The University is committed to providing and sharing research-generated data with its partners, institutions and society at large;

ii)   Data and information sharing shall be governed by JOOUST Data and Information sharing policy and Data Protection Policy.

3.5   Joint Publications

Research findings including processes and methods published jointly shall be guided by intellectual Rights policy

3.6   Commercialization of Research Output

i)   The University will work with partners and industry to commercialize research outputs where appropriate based on benefit to the University and the Country.

ii)   Commercialization of research outputs shall be governed by guidelines as outlined in the Intellectual Property and Copyright Policy 2024.

3.7 Capacity Development

This policy shall promote and support capacity development in the following areas:

i) Expansion and equipping research facilities within the University research facilities

ii) Human resource development and capacity building for research in accordance with the Human Resource Policy 2024

iii) Promote rewards for outstanding research initiatives in accordance with the rewards and promotion as outlined in the Human Resource instruments.

iv) Promote gender mainstreaming in research and development.

4.0 RESEARCH INTEGRITY AND ETHICAL CONSIDERATIONS

i) The University community shall adhere to a code of ethics as per the Ethics and Review Committee's guidelines, the National Commission for Science, Technology and Innovation (NACOSTI) guidelines and other relevant national and international legislation when dealing with issues arising from the nature of research.

ii) Any misconduct in research shall be handled in accordance with the Terms and Conditions of Service and Human Resource Instruments.

5.0 RESEARCH MANAGEMENT

i) The University shall maintain a dedicated research account for purposes of administering research grants;

ii) All research grants shall be administered in accordance with the provisions of the financing agreement, Government policies, legislations and regulations.

5.0 MONITORING AND EVALUATION

i) The policy shall continually be monitored and evaluated for its effectiveness, performance and relevance;

ii) Records of the research activities shall be maintained for each research project in retrievable format for purposes of M&E.

6.0 AMENDMENTS AND REVIEW

Any amendments to this policy shall be approved by the University Council. The policy shall be reviewed every three (3) years or as and when the need arises.

7.0 REFERENCES

1. Constitution of Kenya 2010
2. Universities Act 2012
3. JOOUST Charter 2013
4. JOOUST Revised Statutes 2024
5. JOOUST Strategic Plan 2023 - 2027

6. JOOUST Staff Training Policy 2013
7. JOOUST Income Generating Policy 2024
8. JOOUST Criteria for Appointments and Promotions 2013
9. Intellectual Property and Copyright Policy 2024
10. Public Procurement Act and Asset Disposal Act 2015
11. Public Finance Management Act 2012 (Revised 2020)
12. Data Protection Policy
13. JOOUST Data and Information sharing policy

APPENDICES

Appendix I: **Procedures for submission of Internal research proposals**

i)   Applications for annual research grants shall be submitted on invitation only while external proposals shall be submitted as specified in the call documents;

ii)   Three copies of the completed application forms together with fully developed proposals shall be submitted to the office of the Director (RIE);

    a)   Upon receiving the applications, the Director (RIE) shall acknowledge all the applications received within two weeks from the deadline for submission of proposals;

    b)   Incomplete applications shall be returned to the applicants and shall not be forwarded to the reviewers;

    c)   Proposals received after the deadline shall not be considered.

    d)   All applicants shall be informed of the decision of the RPPC after the reviewers' reports have been deliberated and grants awarded to the successful applicants.

Appendix II: **Criteria for Reviewing Submitted Proposals**

i)   All research proposals shall be internally reviewed by DRIE before submission;

ii)   All proposals shall be checked for compliance with the call requirements.

iii)   All annexes attached to the proposals shall be verified by DRIE.

iv)   A minimum of 1 reviewer who is conversant with the research areas shall be tasked with reviewing the technical aspects of the proposal.

v)   To ensure a fair and impartial review of the proposals the names of the applicants shall be omitted from the application forms and a coding system shall be used to identify the applicants;

vi)   For internal annual research grants, allocations of funds shall depend on the quality of the proposals and the general research record of the applicants;

vii)   In assessing proposals, the reviewers shall be guided by the following principles depending on the discipline and the nature of the project:

    a)   Originality and potential to contribute to the generation of new knowledge;

    b)   The involvement of several staff and/or postgraduate students working on a common theme;

    c)   The development of new research frontiers which have the potential to develop academic and research excellence;

    d)   Multi-disciplinary approach to problems solving;

    e)   Previous attraction of research funding or the ability to attract funding from other sources;

    f)   Demonstration of synergies between methods and disciplines.

viii)   For external funding, the review shall be guided by the call for proposals and the criteria specified by the funding agency and any other guidelines from the University.

ix)   The review shall consider the issues of technology transfer, extension and outreach

for every proposal as far as possible.

Appendix III: The Final Report Format

i)   The project title;
ii)   The project number;
iii)   The name(s) of the investigator(s);
iv)   A brief introduction outlining the aims of the research project or activity;
v)   A statement on the progress of the research with respect to achieving the project objectives indicated in the application document, and whether or not this particular research project or activity is completed;
vi)   Details on what the benefits of the grant were to the researcher and University, such as any new findings/approaches, and possible future research directions arising from the project or activity;
vii)   Any other comments, such as a brief review of any problems with the research components that arose during the project and how these were solved;
viii)   A list of publications arising from the project or activity;
ix)   A financial statement providing details of expenditure.

Appendix IV: Guidelines for sourcing and submitting applications for external funding for research

The University shall support the sourcing and submission of applications for external research grants that:
i)   Contributes to and enhances the research and academic endeavour of the University and staff;
ii)   Should preferably be undertaken through the University;
iii)   Should not drain University resources;
iv)   Should not unduly expose the University to legal risk;
v)   Should be undertaken in ways that enhance collegiality, transparency, equity and good governance;
vi)   Must take place within a broad set of University-defined guidelines and principles such as the Policy on Intellectual Property and the University's human resources policies;
vii)   Permission may be granted for employees to engage in external research activities;
viii)   For external funding, the submission shall depend on the instructions given by the potential funding agency.
    a)   For online submission the lead applicant shall upload the proposal and any required annexes to the application website and provide a copy of the submitted proposal and annexes to DRIE.
    b)   For physical submission, a hard/digital copy of the complete proposal shall be submitted to DRIE.
    c)   Where both methods of submission are allowed option (b) shall apply.