KABARAK UNIVERSITY

RESEARCH POLICIES

RECOMMENDED BY

THE UNIVERSITY SENATE

AND APPROVED BY

THE UNIVERSITY GOVERNING COUNCIL

DECEMBER 6, 2019

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RESEARCH POLICIES

Background

Kabarak University is a chartered Christian institution of higher learning that provides holistic quality education from a Biblical Christian worldview. The University was established in October 2000 by the 2nd President of the Republic of Kenya; H.E. Daniel TorotichArapMoi, C.G.H. who is the Chancellor of the University. This was as a result of his Visionary idea of setting up a Christian University that would meet the demand for higher education in Kenya by offering quality education based on strong Biblical moral principles. The University opened its doors to the first students in 2002. The University was awarded a charter on 16th May 2008 by the 3rd President of Kenya, H.E. MwaiKibaki.

The University currently operates two campuses that include the main campus, situated 20 km north of Nakuru Town, and the Nakuru Town campus within Nakuru Town. The two campuses are well equipped with modern learning and recreational facilities. The University, like all private universities in Kenya, is subject to the regulatory authority of the Commission for University Education (CUE) which accredits all degree programmes in the University sector. The University is ISO 9001:2015 certified.

Kabarak University offers programmes in the Humanities, Social Sciences, Business, Health Science, Education, Pharmacy, Law, Medicine and Technology. The guiding principles in the development of programmes are that that meets the quality standards within the region and beyond, and also meeting the demands of all relevant stakeholders.

Kabarak University Mission

To provide a holistic quality education based on research, care, practical skills and Biblical Christian values

Kabarak University Vision

A Center of Academic Excellence founded on Biblical Christian values

Rationale of the Policies

The Kabarak University Strategic Plan 2017 – 2021 acknowledges the hosting of an international research conference as well as a great number of researchers in the form of faculty and graduate students as some of the key strengths in the area of research in the University.

The strategic plan also documents some of the key challenges facing Research, Innovation and Outreach activities. These include limited funding for research activities, minimal institutional conference and publication assistance, few consultancies, minimal research related training, insufficient number of graduate student supervisors, lack of awards for research and innovations, and the lack of policies to measure research productivity beyond paper publications.

The strategic plan, in the Teaching, Learning and Research strategic theme outlines some key initiatives in the area of research as follows;

1. Organize research dissemination forums

2. Review faculty workload and ensure increased focus on research

3. Implement a program that encourages innovations and their commercialization

The expected outcomes and Key performance Indicators for this strategic theme are as follows;

Expected Outcomes	Key Performance Indicators
Enhanced research capacity	i. No. of publications in peer refereed journals ii. No. of international conferences attended by faculty
Enhanced innovation and entrepreneurship	i. No. of new patents ii. No. of new technologies transferred to industry iii. % of graduates who set up their own businesses within two years of graduation

The University has in the meantime established the directorate of Research in the year 2017. This directorate was then renamed to the Directorate of Research, Innovation and Outreach in the year 2019 in order to reflect the breadth of its mandate. One of the key challenges that has faced the Directorate has been the lack of a comprehensive and up to date policy to guide the conduct of research, innovation and outreach activities in the university.

Objectives of the policies

The main objective of these policies, in line with the University Strategic Plan 2017 – 2021, is to create the structures required to undertake research, innovation and outreach in keeping with expectations of all its stakeholders, both internal and external measured against standards acceptable in research globally.

These policies will enable Kabarak University to ensure that;

1. the University provides support, recognition and rewards for research, innovation and outreach activities.

2. the University attracts and manages research, innovation and outreach grants professionally and in line with the expectations of all stakeholders.

3. the University produces and disseminates research, innovation and outreach outputs on appropriate and quality platforms.

4. the University establishes and maintains quality platforms for the dissemination of research, innovation and outreach outputs.

5. the University produces, safeguards and exploits all intellectual properties in an ethical, professional and legal manner.

6. the University undertakes all research, innovation and outreach activities in line with acceptable ethical standards.

7. the University establishes and manages hubs, laboratories, institutes and centers for research in a clear and sustainable manner.

8. the University ensures the ethical and professional management of research data.

9. the University initiates and undertakes community outreach activities in a consistent and productive manner.

10. the University establishes and maintains relevant and productive linkages for the purposes of academic, research, innovation and outreach activities.

11. the university establishes relevant offices and committees to support research, innovation and outreach activities.

Scope of the research policies

These research policies apply to the following;

1. All Research, Innovation and Outreach activities undertaken by staff and students of Kabarak University.

2. All parties working with Kabarak University on any aspects of Research, Innovation and Outreach outlined in these policies.

Anticipated benefits of the research policies

It is anticipated that successful implantation of this policy will result in:

1. an increase in the quality and volume of research, innovation and outreach outputs from the University.

2. an increase in the number and value of research, innovation and outreach grants attracted by the University.

3. an increase in the quality and volume of research, innovation and outreach outputs by the University.

4. establishment of robust and consistent platforms for the dissemination of research, innovation and outreach outputs by the University.

5. an increase in the development and exploitation of intellectual properties by the University.

6. adherence to acceptable ethical standards in the conduct of research, innovation and outreach activities in the University.

7. establishment of productive and sustainable hubs, laboratories, institutes and centers for research, innovation and outreach in the University.

8. ethical and professional management of research data.

9. consistent engagement in outreach activities that have significant impact in the community.

10. establishment of linkages that are relevant and productive for the purposes of academic, research, innovation and outreach activities by the University.

11. coordinated and effective management of research, innovation and outreach activities in the University.

Acknowledgments

This policy has been prepared with insights and content from;

Definitions

- **Community** - People living in one particular area or people who are considered as a unit because of their common interests, social grouping, or nationality.

- **Due Diligence** - The care that a reasonable person exercises to avoid harm to other persons or their property.

- **Effective Date** – The date when this policy is signed by the University Vice Chancellor and Chairman of the University Council.

- **Innovation** - A new idea, creative thoughts, new imaginations in form of a device or method.

- **Invention** - Something that has never been made before

- **Linkage** – A formalized relationship between the University and an external entity for the purposes of Research, Innovation or Outreach.

- **Outreach** - An effort to bring services or information to people where they live or spend time.

- **Publication** - A means of making information available to people in a printed or electronic form.

- **Research** - A systematic inquiry to describe, explain, predict and control the observed phenomenon.

- **Researcher** – An employee or student of Kabarak University whose employment obligations or program of study require them to undertake research, innovation or outreach activities.

Principles Concerning Research, Innovation and Outreach

Kabarak University hereby affirms the following principles concerning research:

a) Research, Innovation and Outreach activities shall be motivated by identified needs in the community, shall be undertaken in close collaboration with the members of the community and all findings shall be disseminated to the community in appropriate forums and using appropriate media for adoption.

b) Research, Innovation and Outreach activities shall not violate any biblical principles, legal provisions, professional codes of conduct and ethical requirements.

c) Individual researchers shall be free to select the subject matter of their Research, Innovation and Outreach activities, to seek support from any source for their work, and to form their own findings and conclusions in line with these principles. These findings and conclusions shall be available for scrutiny and criticism.

d) The University shall allocate space, facilities, funds, and other resources for research programs based on the scholarly and educational merits of the proposed research based on the availability of such resources and funding.

I

POLICY ON UNIVERSITY SUPPORT FOR RESEARCH, INNOVATION AND OUTREACH

1. Purpose

The University acknowledges the critical need for facilitation and motivation for researchers in the conduct of research, innovation and outreach activities. This facilitation can take many forms including but not limited to provision of finances, time, promotion and various recognition. This facilitation and motivation is critical in helping the University to achieve its strategic objectives in the area of research, innovation and outreach.

This policy aims to provide the University with the means by which

a) To develop, implement and maintain sustainable avenues for the facilitation and motivation of researchers

b) To increase staff and student participation in research, innovation and outreach activities.

2. Scope

a) This policy applies to all teaching, research, technical and clinical staff of Kabarak University

b) This policy applies to all undergraduate and graduate students of Kabarak University

3. University Research fund

a) The University shall set aside funding for research activities annually.

b) The funding shall be accessible to all teaching, research, technical and clinical staff of Kabarak University through an open and competitive process as will be outlined by the research committee.

c) The university research fund shall be utilized to support research activities, for research capacity building, research grant proposal writing activities, the acquisition of research infrastructures and subscriptions to research services.

4. Innovation and Business Incubation fund

a) The University shall set aside funding for innovation and business incubation activities annually.

b) The funding shall be accessible to all students, teaching, research, technical and clinical staff of Kabarak University through an open and competitive process as will be outlined by the innovation and business incubation committee.

c) The university innovation and business incubation fund shall be utilized to support innovation and business incubation activities, for innovation and business incubation capacity building, protection of Intellectual property rights, commercialization of

innovations, innovation and business incubation grant proposal writing activities, the acquisition of innovation and business incubation infrastructures and subscriptions to innovation and business incubation services.

5. Outreach and Linkages fund

a) The University shall set aside funding for outreach and linkages activities annually.

b) The funding shall be accessible to all teaching, research, technical and clinical staff of Kabarak University through an open and competitive process as will be outlined by the outreach and linkages committee.

c) The university outreach and linkages fund shall be utilized to support outreach and linkages activities, for outreach and linkages capacity building, outreach and linkages incubation grant proposal writing activities, the acquisition of outreach and linkages infrastructures and subscriptions to outreach and linkages services.

6. University Conference fund

a) The University shall set aside funding for conference activities annually.

b) The funding shall be accessible to all members teaching, research, technical and clinical staff of Kabarak University through an open and competitive process as will be outlined by the research committee.

c) The university conferences fund shall be utilized for the following;

   i. Organization of internal conference, seminars and workshops,
   ii. Registration, travel, accommodation and allowances required for attendance of internal, local and international conferences,
   iii. Capacity building in conference, seminars and workshops organization,
   iv. Grant proposal writing activities for conference, seminars and workshops,
   v. Acquisition of infrastructure for conference, seminars and workshop,
   vi. Subscriptions to conference, seminars and workshops services

d) The criteria for support for internal conference participation shall include;

   i. An accepted paper.
   ii. Other applicable criteria as may be specified by the Research committee.

e) The criteria for support for external conference participation shall include;

   i. Accepted peer reviewed paper
   ii. Participation in University internal conferences,
   iii. Conference whose outputs are to be published in peer reviewed journals or proceedings
   iv. Other applicable criteria as may be specified by the Research committee.

f) Applications for external conference support shall be made to the Research committee through the deans of schools for recommendation to the university management.

g) For Conferences whose attendance is fully funded the University shall provide the researcher with ¼ per diem as per the relevant university policy.

7. Time allocation for Research, Innovation and Outreach

a) The University shall provide time for faculty for the following Research, Innovation and Outreach activities;

    1   Book writing - University, Tertiary or High School level book.
    2   Patent writing
    3   Research field work and data collection
    4   Outreach activity
    5   Innovation activity

b) Each of the activities listed in (a) above shall be granted time equivalent to one course per semester. The semester in this case shall refer to a period of 4 months starting in January, May or September.

The maximum allowable course exemptions per semester shall be two (2).

c) More exemptions may be considered and approved by the committees outlined in section (f) based on the relevance, scale and scope of the activity envisaged.

d) For an activity involving more than one member of staff in the university only one member elected by the team shall be eligible for the course exemptions.

e) The following shall be the requirements for the application for the course exemptions for the respective research, innovation and outreach activities.

1	Book Writing	- A Book Outline
2	Patent writing	- An Invention
3	Research Field work and Data collection	
		- Proposal
		- Research Permit
		- Evidence of funding
4	Outreach activity	- A Proposal and evidence of funding
5	Innovation activity	- A Proposal and evidence of funding

f) The application for course exemptions shall be made to the following committees who will make recommendations for approval to the University management;

1	Book Writing	- Editorial and Publications Committee
2	Patent writing	- Research Committee
3	Research Field work and Data collection	- Research Committee
4	Outreach activity	- Outreach and Linkages Committee
5	Innovation activity	- Innovation and Business Incubation Committee

These applications shall be made 12 weeks in advance of the semester for which the exemptions are being sought for to allow for review and approvals before the close of course allocations as per the University academic policies.

g) The following shall be the reporting requirements for the respective activities at the end of the semester for which exemptions have been granted;

    i.   Monthly reports for the respective activities shall be submitted to the respective committees outlined in section (f) through the office of the Director, Research, Innovation and Outreach.

    ii.   End of activity reports outlined below shall be submitted to the respective committees outlined in section (f) through the office of the Director, Research, Innovation and Outreach.

      1. Book Writing
          i. Book Manuscript
          ii. Letter from a publisher confirming receipt of the manuscript
      2. Patent writing
          i. Draft Patent
          ii. Copy of Patent Application
          iii. Evidence of payment of patent filing fees
      3. Research Field work and Data collection
          i. Data collected
          ii. Data collection approvals
          iii. Task completion forms
      4. Outreach activity
          i. Activity Reports
          ii. Attendance Register
          iii. Feedback Survey
      5. Innovation activity
          i. Innovation Demonstration
          ii. Evidence of application for Intellectual Property Registration

The committees may also request for any other information necessary to confirm that the proposed activities were undertaken.

h) Failure to undertake the activities proposed as evidenced by the lack of required progress reports, final reports and outputs shall attract the following penalties;

    i.   A cash penalty equivalent to the payment for the number of courses exempted and;
    ii.   Ineligibility for course exemptions for a period of 24 months.

- These penalties shall be recommended to the university management by the committees outlined in (f) after due process comprising of written and oral submissions has been followed.
- The committees in (f) may also recommend other remedial and disciplinary action in addition to the specified penalties to the university management.

8.   Rewards and Recognition

The university from the respective funds shall recognize and reward exemplary achievements in the area of Research, Innovation and Outreach in the following areas;

     i.   Research grants
    ii.   Infrastructure grants
   iii.   Publications
   iv.   Innovations
    v.   Outreach activities

9. Research grants

The University shall take the research grants attracted into account for the promotion of staff.

10. Infrastructure grants

a) The University shall, from the university research fund, reward researchers for infrastructure or infrastructure grants received through their efforts.

b) These rewards shall not apply to grants awarded to the university where the full time engagement of the member of staff is to specifically source for grants or resources.

c) Upon receipt of the funding or infrastructure the University management and upon the advice of the Research committee shall reward the applicants with an amount equivalent to 5% of the grant attracted.

11. Publications

a) The University shall, from the university research fund, reward and recognize researchers for publications that meet the criteria set out in sections 3.7 and 3.8 in the Publications Policy.

b) The editorial and publications committee shall review the publications for adherence to item (a) and make recommendations to the university management for rewards and recognition.

12. Innovations

a) The University shall, from the university innovation fund, reward and recognize researchers for innovations developed.

b) The Innovation and Business Incubation committee shall review the innovation activities and make recommendations to the university management for these rewards and recognition.

13. Outreach activities

a) The University shall, from the university outreach and Linkages fund, reward and recognize researchers for organizing and executing outreach activities.

b) The Outreach and Linkages committee shall review the outreach activities and make recommendations to the university management for these rewards and recognition.

II

GRANTS MANAGEMENT POLICY

1. Purpose

The University acknowledges the critical need for prudent management of research grants received from external sources as well as those set aside by the University itself. This prudent management ensures that the objectives for the funding are met as well as ensure that the University continues to be a recipient of such funding from various funding sources.

This policy aims to provide the University with the means by which

    a) To develop, implement and maintain meaningful grant oversight and coordination.

    b) To increase grant related revenues

    c) To limit exposure to grant related legal liabilities

    d) To improve the efficiency and impact of programs and services funded through grants

2. Definitions and Interpretations

- **Activities:** Activities include the strategies, techniques, and types of treatment that comprise a program's service and methodology.

- **Award**: Financial assistance that provides support or stimulation to accomplish a specific and clearly defined purpose. Awards include grants and other agreements in the form of money or property in lieu of money, by the grantor to an eligible recipient. The term does not include technical assistance, which provides services instead of money; other assistance in the form of loans, loan guarantees, interest subsidies, or insurance; direct payments of any kind to individuals; and, contracts which are required to be entered into and administered under procurement laws and regulations.

- **Cash Match**: Includes actual cash spent by grant recipients for project-related costs.

- **Contracts**: Written agreements entered into by the awarding agency, recipients or sub-recipients, and commercial (profit-making) and non-profit organizations.

- **Direct Cost**: Costs that can be specifically identified with a particular cost objective or program; charged directly as a part of the cost of the program.

- **Grant**: A financial award given by the Government or a private entity to an eligible grantee, usually with a defined scope of activities or programmatic objectives. Grants are not expected to be repaid by the recipient. Grants do not include technical assistance or other forms of financial assistance such as a loan or loan guarantee, an interest rate subsidy, direct appropriation or revenue sharing.

- **Grantor**: Primary awarding agency (e.g. government).

- **Grantee**: The direct recipient of a grant award who is legally bound by the grantor's award or contract.

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- **Indirect Cost**: Costs that are incurred by a grantee organization for common or joint objectives and which therefore cannot be identified specifically with a particular project or program.

- **In-kind Match**: In-kind match does not involve a monetary transaction. 'In-kind' is the value of something received or provided, which is beneficial to the program, but for which no cash exchanges hands. In-kind contributions related to a particular grant program must be allowable under the grant program, verifiable from grantee records, necessary and reasonable, allowable under cost principles, and not included as a contribution under any other award.

- **Match**: The grant recipient's share of the project cost. Match must be directly related to the project goals and objectives and must be documented in the same manner as grant-funded activities.

- **Program Manager**: The lead staff member who conducts the activities under a particular grant program.

3. Due Diligence

While this policy appreciates the role of individual researchers in the choice of where to apply for funding it also acknowledges the existence funders whose aims and means do not comply with the moral code of the University and national laws. This policy therefore requires all researchers to undertake the necessary due diligence on potential funders in close collaboration with the University in order to establish their suitability.

4. Effective Date

Kabarak University Grants Management Policy requires that on the effective date

a) Researchers submit the full proposal document/s of all grant applications in the University's grant applications database prior to or immediately after the submission (within 3 months).

b) Researchers deposit full text copies of research outputs, i.e. final accepted peer-reviewed journal articles and conference papers (and where appropriate, monographs) in the institutional repository no later than three months after the closure of the funded activity.

5. Scope

a) This policy applies to all grant applications developed by employees of Kabarak University in the course of their employment, where research is an expectation of their employment, and by students in the course of their studies.

b) This policy addresses all grant applications which have already been generated and are intended for submission in some form. It does not place any obligation on researchers to generate or publish additional documentation on the proposed activities.

6. Grants Database

The University shall maintain records of all grant applications and subsequent outcomes to serve any relevant purposes that may be legal, regulatory, ethical, professional or educational.

a) The University shall establish and maintain a grants database to serve as the archive for all grant applications and other related grant information.

b) The grants database shall be established and managed by the Grants Administration office in the Directorate of Research, Innovation and Outreach.

c) All researchers making grant applications shall be required to deposit copies of final submitted grant applications in the grants database as well as other information pertinent to the grant applications and outputs of the subsequent funded activities.

7.   Grant Administration

The University incurs costs in the development of grant proposals and management of grant funding in the form of personnel time in the various departments involved, use of office facilities, internet access and other administrative costs such as utilities. It is therefore necessary that these costs be met by the grants in order to sustain the institution and structures for current and future research activities.

a) The University shall charge a grant administration fee on all grants to meet these costs unless otherwise stipulated in the grant conditions and agreed upon in writing between the grantor and the University prior to the receipt of grant funding.

b) In the case of multi-institutional grants this policy shall only apply to the funds received directly by the University.

c) All externally sourced grants shall be subject to a grant administration fee of 10%.

d) The University shall consider requests to waive grant administration fees or the percentage charged upon request and on a case by case basis.

e) Funds collected from grant administration shall be distributed as follows;

i. One third to the University main account.

ii. One third to the researcher's departmental infrastructure.

iii. One third to the University Research Fund.

8.   Externally Sourced Grants

The University shall ensure that all grant applications are prepared in a timely and professional manner in order to ensure success of such applications.

9.   Application

The researcher considering an application for a grant shall be responsible for pre-application assessment of the total anticipated project costs, availability of matching funds and resources, costs to be incurred by the University, possible project incomes, staffing requirements and project sustainability, in consultation with the grant administration and the finance departments.

All researchers shall include an amount for grant administration in the project budget as per the provisions of section 2.7.

10. Application Submission

i. The researcher submitting the grant application shall be responsible for ensuring that each grant application submitted by or on behalf of the University is aligned with an established University priority, meets the University's expectations of document quality, has matching funds available if required by grantor, and that the means for continuation of the project or program after the grant period ends has been given realistic consideration.

ii. The researcher submitting the grant application shall be responsible for ensuring that all requirements by the grantor and the University are met and that the submission is made within the required timelines.

11. Award Notification, Review, and Acceptance

i. The researcher submitting the grant application shall be responsible for ensuring that award notifications, contracts, memorandum of understanding and any other legally binding documents requiring University approval and acceptance are reviewed and approved by the University Research committee and the University legal office prior to the acceptance of a grant.

ii. Any changes to the grant agreements shall be communicated and agreed in writing between the researcher submitting the grant application and the grantor prior to the acceptance of the grant by the University.

iii. The legal authority for the acceptance of a grant is the office of the University Vice Chancellor and this shall be done upon confirmation that the requisite reviews and approvals by the University Research committee and the University legal office have been given.

12. Use and Receipt of Grant Funds

i. No grant funds shall be disbursed by the University before an award letter has been received from the awarding agency, the grant has been accepted by University, a budget submitted to the Finance Department and the receipt of funds confirmed in the University's accounting records.

ii. Modifications to the budget associated with a grant-funded project in such a way that alters the grant amount or moves funds from one budget line item to another must adhere to University policy and procedures for budget modifications and grantor requirements.

iii. Grant funds awarded to the University shall not be used to supplant an existing expense so that current funds can be diverted to another use, unless such use of grant funds is explicitly identified as allowable in writing by the granting entity in the grant award.

iv. All income resulting from a grant-funded project or program shall adhere to University policy and procedure and be managed and maintained as established in the

award letter, grant agreement, contract, special conditions, or other document generated by the granting entity.

v.   All procurement activity associated with grant-funded projects or programs shall follow the procedures outlined in University's Procurement Policy, Fiscal Policies and Procedures Manual and Government procurement requirements where applicable.

vi.   All property acquired through grant funds shall be subject to the University's Procurement Policy, Government procurement requirements where applicable as well as restrictions and/or requirements set forth within the terms of the grant, including any applicable government rules or regulations.

vii.   All grant and any related matching fund revenues and expenditures shall be recorded in the grant fund source/project. Any revenues or expenditures that occur in another program/project that are applicable to a grant or that are used as a match shall have a journal entry (JE) made to put the revenues or expenditures in the appropriate grant project with a detailed explanation, including original G/L date and batch information.

The researcher submitting the grant application with assistance from the Grants Administration Office are ultimately responsible for adherence to the stipulations outlined in the approved grant award/contract to ensure that only allowable expenditures are incurred.

13. Grant Oversight and Monitoring

i.   **Implementation plan**

All researchers who receive grant awards shall develop and adhere to an implementation plan in line with the grantor requirements. The implementation plan must be submitted to the Office of Grant Administration and the Finance Department within 15 days of University approving a grant award.

ii.   **Programmatic Reporting**

All researchers who receive grant awards shall prepare progress, programmatic and financial reports to be submitted to the grantor as per the grant reporting terms.

All researchers who receive grant awards shall also prepare quarterly progress, programmatic and financial reports to be submitted to the Office of Grant Administration.

iii.   **File Management**

A project master file shall be maintained by the Grants Administration Office, and a copy of all grant proposals or applications, award letters, memoranda of understanding, contracts, and programmatic and financial reports shall be maintained in the file.

All files associated with a grant award shall have a structure that includes, at minimum, the following four sections with clear separations between different fiscal years, unless otherwise directed by the grantor:

a) Application or Proposal (e.g., application guidance, a copy of the application and research including statistical information used in preparation of and support of the grant)

b) Award Documents (e.g., award letter, grant agreement, grant amendments, modifications, extensions, cancellations and terminations and anything else related to the award)

c) Finance (e.g., account set up, purchase orders, invoices, reimbursement requests)

d) Programmatic Reports (e.g., reports to granting entity and evaluation components)

iv. **File Access**

The Grants Management Office and/or the Finance office or their designee may at any time review the files, activities, equipment, and facilities, and interview relevant personnel and contracted entities of any University project or program that is funded with grants awarded to the University.

v. **File Retention**

The University through the grants administration and finance offices shall retain programmatic records in compliance with government policies and grantor requirements. The retention requirements shall extend to books of original entry, source documents supporting accounting transactions, the general ledger, subsidiary ledgers, personnel and payroll records, canceled checks, and related documents and records.

Source documents to be retained shall include copies of all awards, applications, and required recipient financial and narrative reports. Personnel and payroll records shall include time and attendance reports; personal activity reports or equivalent documentation for all individuals reimbursed under the award.

14. Grant Closeout

Upon completion of the grant term of each grant award, the recipient department shall prepare and submit the final project reports (scientific and financial) to the Office of Grant Administration and the Finance Department. Once these records are reviewed and approved they shall then be submitted to the grantor. Once the reports have been approved by the grantor the finance office shall proceed to place the grant's fund source and/or project in a no posting status.

15. Internal Grants

The University shall allocate funding annually for research activities for members of faculty. The Director, Research, Innovation and Outreach in conjunction with the research committee shall be responsible for the management of these funds on behalf of the University.

a) A call for grant proposals stipulating the requirements, eligibility, funding available and other details as shall be determined by the University research committee shall be circulated to all members of staff.

b) Grant applications shall be evaluated by the grants administration office for compliance with administrative requirements as stipulated in the call for grants and then by subject matter experts for the technical quality of the proposals. Subject matter experts shall undertake a blind review and shall preferably be persons from outside the University to ensure objectivity in the review.

c) Eligible proposals shall be recommended for funding by the University Research committee to the Deputy Vice Chancellor in Charge of Research. Successful applicants shall be notified of the award and shall be required to accept the grant in writing.

d) The grant funding shall be disbursed in phases as per the work plans presented by the successful applicants. Funding for subsequent phases shall be disbursed upon the filing of returns for the funding received for previous phases.

e) All grantees will be required to submit quarterly progress reports on the funded research activities. Financial reports shall be submitted along with original receipts for filing by the Grant administration office. Grantees will be required to keep copies of all the reports submitted for their own reference.

f) Upon successful completion of the funded research activities grantees will be required to submit final project reports as well as a letter to the grants administration office indicating that the funded activity has come to an end.

16. Infrastructure Grants

Members of staff in the University may from time to time solicit funding for infrastructure development or actual infrastructure that is relevant to the University for Teaching, Research, Innovation and Outreach.

a) The procedures for the application and administration of infrastructure grants shall be the same as those for the external grant funding.

b) Upon receipt of the funding or infrastructure the University management and upon the advice of the Research committee shall reward the applicants as is outlined in section 1.8.2 in the Policy on University Support for Research Innovation and Outreach.

III

PUBLICATIONS POLICY

Purpose

The University, as part of research activities undertaken by its faculty and students, generates outputs that are documented in various forms for dissemination. The University desires to keep a record of these outputs as well as to ensure that they are disseminated in a timely and appropriate manner.

This policy aims to provide the University with the means by which;

a) to make knowledge generated by the research conducted under its auspices available to the widest possible audience in order to achieve the greatest possible impact.

b) to raise the profile of research outputs through the Kabarak University Institutional Repository.

c) to meet Freedom of Information obligations to publish publicly funded research outputs and data in a proactive manner

d) to meet the requirements of research funders with respect to the dissemination of funded research project outputs.

e) to manage information about its research outputs effectively, both for internal management and external research assessment.

f) to facilitate long term storage and preservation of research outputs.

Definitions

- **Peer-reviewed journal article or conference paper**

  For the purpose of this policy, a peer-reviewed journal article is an article published in a scholarly journal or periodical publication following a peer-review process, i.e. evaluated by at least one independent expert in the field to determine suitability for publication. A peer-reviewed conference paper is a research paper originally intended for presentation at a scholarly conference and subsequently published as part of a conference proceedings or scholarly volume. In the case of conference papers, "peer-reviewed" could mean either that the paper underwent peer-review before acceptance to the conference or prior to acceptance for publication.

- **Published research outputs**

  Published research outputs refers to any tangible output arising from research done in the course of employment or study which is intended for communication of research outcomes to an external party. In addition to peer-reviewed journal articles and conference papers, this may include, but is not limited to, monographs, book chapters,

commissioned reports, contributions to specialist publications, websites, compositions, or patents.

- **Institutional Repository**

  The Kabarak University Institutional Repository is established for the purposes of archiving and providing access to all research outputs by members of staff and students in the University. The repository is managed by the University library and also contains other content from other departments and sections in the University.

- **Open Access**

  Open Access refers to the free availability of research outputs for third parties to both access and to reuse. Free availability of access means availability on the public internet without financial, legal or technical barriers (other than those related to access to the internet itself). Availability for reuse is dependent upon the type of Open Access license used at publication. For the purposes of this policy it is assumed that a minimum standard for classification as Open Access is the Creative Commons Attribution Non-Commercial Non-Derivative (CC-BY-NC-ND) license or an equivalent. This gives third parties the right to access, download, and copy outputs on the condition that the author(s) are properly acknowledged, that the output will not be reused for commercial purposes, and that no changes are made to the output.

- **Open Access licenses**

  Open Access content is still protected by copyright and this usually resides with either the author(s) or the publisher of a work depending on the publishing agreement used. However, to be considered Open Access, certain rights must be granted for third parties to distribute, reuse, or modify content. The extent of these rights and corresponding restrictions are codified and communicated through use of a license attached to the work. There are a number of different licenses available which offer different levels of rights and restrictions for reuse by third parties.

  Once a license has been used for publication this cannot be revoked. For content published as Open Access on a publisher's website, the type of license used will be specified as part of the publishing agreement between author(s) and publisher.

The following are the Creative Commons License types:

CC BY	**Attribution**. This license lets others distribute, remix, tweak, and build upon your work, even commercially, as long as they credit you for the original creation.
CC BY-NC	**Attribution Non-Commercial**. This license lets others remix, tweak, and build upon your work non-commercially,
CC BY-ND	**Attribution Non-Derivative**. This license allows for redistribution, commercial and non-commercial, as long as it is passed along unchanged and in whole, with credit to you.
CC BY-NC-ND	**Attribution Non-Commercial Non-Derivative**. This license allows others to download your works and share them with others as long as they credit you, but they can't change them in any way or use them commercially.

- **Persistent author identifier**

A persistent author identifier is a unique number issued to authors which can identify that author on a number of systems and will remain with that author in the case of change of institution or change of name. For an author identifier to be effective it must be issued and maintained by a service supported by the University and by external services. The system of persistent author identifiers supported by Kabarak University is ORCID (Open Researcher and Contributor ID).

- **Date of acceptance**

The date of acceptance is the point at which the author is notified that their output has been reviewed by the journal or conference, that all academically necessary changes have been made in response to that review, and that the article is ready to be taken through the final steps toward publication (normally copy-editing and typesetting).

- **Date of publication**

Date of publication is usually classed as the first date on which an ordinary reader would be able to access the content. Journals articles often have an official publication date but also an earlier date on which they are made available online, sometimes called an "early-online" date. In this case, the date on which the article first appeared online is classed as the date of publication.

- **Metadata**

  Metadata is data about another piece of data. In the context of this policy it refers to descriptive information about research outputs generated by members of the University. Examples of the information contained could be article title, author(s), journal title, volume, publication date, associated projects, Digital Object Identifier, etc. This is information about the outputs which will help users to locate and access outputs (for example, through search engines or keyword searches) and to give important contextual information (for example, allowing users to connect different publications based on projects from which they were derived). As a minimum, a successful metadata record should allow users to find the record by title or by creator (author), provide enough information for users to locate a published research output, and provide enough information to distinguish an output from other, similar outputs.

Due Diligence

While this policy appreciates the role of individual researchers in the choice of what to disseminate and where to do so it also acknowledges that there may be information not suitable for dissemination and numerous avenues for such dissemination that may not be fit for purpose. This policy therefore requires all researchers to undertake the necessary due diligence on the nature of information to be disseminated as well as the means for doing so to ensure that they comply with all legal, ethical and professional requirements in their respective disciplines.

Effective Date

Kabarak University Publications Policy requires that on the effective date

a) All researchers currently processing any works for publication familiarize themselves with the provisions of this policy and adhere to them prior to publication.

b) All publications accepted for publication after the effective date comply with the provisions of this policy.

Scope

a) This policy applies to all published research outputs created by employees of Kabarak University in the course of their employment, where publication is an expectation of their employment, and by students in the course of their studies. This includes submission of Doctoral and Master's Research theses.

b) This policy addresses all research outputs which have already been generated and are intended for publication in some form. It does not place any obligation on researchers to generate or publish additional outputs.

Institutional Repository (IR)

a) The University shall establish and maintain an institutional repository to be populated with all research outputs from researchers at Kabarak University.

b) The institutional repository shall be established and maintained by the University Library.

c) The following publications shall be deposited in the University repository

   i. Peer-reviewed journal articles

   ii. Peer-reviewed conference papers

   iii. Books

   iv. Postgraduate research theses

   v. Other academic publications

Preparing publications

Every author shall ensure the following;

a) *That the publication route meets funder requirements*: Authors will check the funder and external research assessment requirements before choosing their publication route.

b) *That a standard author identifier is used*: Authors will use a persistent author identifier such as ORCiD and their official University email addresses when submitting author details for a publication, where this option is given by the publisher.

c) *That they acknowledge all co-authors:* Authors will acknowledge all co-authors including research supervisors in the case of postgraduate research outputs.

d) *That they acknowledge affiliation to Kabarak University*: Authors will acknowledge Kabarak University in all their research outputs. The address will be in the form below.

> [Parent department], Kabarak University, Nakuru, Kenya.
>
> P.O Box Private Bag 20157 Kabarak
>
> www.kabarak.ac.ke

> If there are constraints on the space available for the address, the phrase "Kabarak University" will be used.

e) *That they acknowledge all sources of research funding*: Authors will acknowledge all funding sources with relevant external grant numbers (in the correct format) in their research outputs.

f) *That they retain copyright of the works*: Authors are encouraged to seek to retain copyright and other reuse rights for research outputs in contracts with collaborators, funders and publishers.

Publishing research outputs

While this policy appreciates the role of individual authors in the choice of where to publish it also acknowledges the existence of avenues that do not meet specific quality criteria required for academic publishing.

a) Researchers shall publish with publishers that meet the following criteria.

   i. Peer Review: Application of the peer-review process is an indication of publication standards and signifies the overall quality and integrity of the research presented and the completeness of bibliographic elements, especially cited references and inclusion of funding information.

   ii. Ethical Publishing Practices: Publishers must not engage in unethical policies such as predatory publishing practices or editorial instructions leading to excessive, inauthentic self-citation or any other fraudulent practices.

   iii. International Editorial Conventions: The publication follows international editorial conventions, which are intended to optimize retrievability of source articles. These conventions include informative titles, fully descriptive titles and author abstracts, complete bibliographic information for all cited references, and full address information for every author.

b) The researcher shall provide evidence of peer review to the editorial and publications committee for review and approval prior to uploading to the University repository by the University library.

   i. Original manuscript

   ii. Evidence of Peer review

   iii. Final manuscript

   iv. Plagiarism reports

   v. Publication timelines – date submitted, date accepted and date published.

Providing access to published research outputs

a) Research outputs which have been deposited in the Institutional Repository will be made Open Access via the Institutional Repository if and when this is permitted by the publisher or funders.

b) Postgraduate theses and projects shall be made Open Access 12 months after the graduation of the student.

c) Authors shall provide copies of their publications on request to the editorial and publications committee or the University library when required for purposes of verification or otherwise.

Publications for Recruitment, Promotion and Graduation

The University shall only consider publications that meet the criteria set out in sections 3.7 and 3.8 for recruitment, promotion and graduation purposes.

IV

INTELLECTUAL PROPERTY POLICY

1. Purpose

The University through its researchers will from time to time develop knowledge and ideas through research and other related processes that is original and of potential value to the society. It is therefore necessary that such ideas and knowledge be suitably managed for the benefit of the University and the researchers in a manner that prevents adverse exploitation by any party or entities external to the University.

This policy aims to provide the University with the means by which

a) To protect Intellectual Property Rights of the University, its innovations, inventors, breeders and research sponsors.

b) To prevent the infringement, unlawful exploitation and abuse of the Intellectual Property assets owned by the University, its staff and students.

c) To acknowledge the partnership between student and University in the creation of IP during, and directly related to, the course of the student's studies.

d) To promote creativity and innovation.

e) To generate income through royalties from licensed IP's, consultancy, contract research and commercialization of research findings.

f) To ensure fair and equitable distribution of all benefits accruing from all innovations, inventions and breeding activities.

2. Definitions

In this Policy, unless the context otherwise requires, the following terms shall have the meanings assigned to them:

- **Benefit Sharing Agreement:** This is an agreement that stipulates how co-inventors, Innovators and Indigenous communities, Licensors and licensees, employers and employees and indigenous owners of inventions can share benefits arising from the commercialization of an intellectual property.

- **Collaborative Research Agreements**: A contract that governs cooperation between two or more persons in the systematic investigation of a particular subject in an effort to discover new knowledge or to develop new processes or products.

- **Copyright**is defined as the exclusive right of a creator/owner of an original creative work to prevent unauthorized copying. The owner of the copyright in a work has the exclusive right to use the work. Issue copies of the work to the public, rent or lend the work to the public, perform, show, or play the work in public, communicate the work to the public and make an adaptation of the work or do any of the preceding acts in relation to an adaptation.

- **Commercialization** means any form of exploitation of the IP including assignment, licensing or the disposal of any other interests, whether in return for cash or payment in kind or any other form of value.

- **Confidentiality [Non-Disclosure] Agreements:** Is a document that, when signed, allows one party to discuss their confidential information (including their work and ideas) with other interested parties. It legally binds those parties to keep the information confidential and not to disclose it to third parties.

- **Contract Research** means a sponsored research project, which does not meet the criteria established for Grants, and possess many of the following characteristics: the research project is defined by specific stipulations and conditions detailed in the contract, as agreed to by all parties involved; a set time schedule for the work to be performed; defined deliverables and due dates; established ownership, patent rights and licensing ;established budget approvals and payment schedules; established considerations for acceptance and/or termination of the agreement; limited liability of participants, indemnity.

- **External Research** means a research done collaboratively with a company, government body, registered charity or any other entity or individual who is not a University employee.

- **Intellectual Property** means all subject matter capable of being protected by patents, copyright, design, trade mark, plant breeders rights know how and all other intellectual or industrial property rights in each case whether registered or unregistered, and including applications or rights to apply for them together with all extensions, divisions, continuation, continuations in part and renewals of them and in each and every case all rights or forms of protection having equivalent or similar effect anywhere in the world.

- **Innovation** refers to a multi stage process whereby individuals transform ideas into new/ improved products, services or processes in order to advance, compete and differentiate themselves successfully in the market place

- **Innovator:** Scientist, researchers, author or performer. This includes a staff member (researchers and non-researchers), undergraduate and graduate students, candidates for masters and doctoral degrees, predoctoral and postdoctoral fellows, including any other person employed by the University, whether full or part-time, emeritus staff while at the University, visiting faculty and researchers, adjunct staff and professors, company representatives, administrators and any other persons who create or discover applicable intellectual property using Kabarak University resources or who receives funds or other rewards for their services (work-for-hire), work done through research whether or not funded by the Government, or those who voluntarily assign their intellectual property to the University

- **Invention** means an idea of an inventor which permits in practice the solution to a specific problem in the field of technology

- **Invention Disclosure** A formal description of an invention that is confidentially made by the inventor to Kabarak University for purposes of protection.

- **Material Transfer Agreement:** A contract that governs the transfer of one or more materials important for biological, engineering, chemical, artistic and physical science

applications with defined properties, from owner (or authorized licensee),to a third party who wishes to use the material for research and academic purposes.

- **Plant Breeders Rights** are proprietary rights in respect to new plant varieties

- **Patent** means giving exclusive rights to commercially exploit 'the invention' for the life of the patent. This is given for a product or idea that can be manufactured. A patent is granted for any device, substance, method, or process which is new, inventive or useful.

- **Student** is someone pursuing certificate, diploma, undergraduate or postgraduate studies.

- **Teaching Materials** means any materials created within the University or created on behalf of the purpose of their course of study including course guides, handouts and presentation materials (including lecture notes, slides and other audio-visual materials) instruction manuals and assessment and examination questions.

- **University Resources** means any form of funds, facilities, including equipment and consumables, use/ supply of heat, light or power otherwise purchased or paid for by the University or another employee's contracted hours of work.

- **University Staff** refers to any person employed by Kabarak University on contract or permanent and Pensionable terms.

3. Due Diligence

This policy requires all researchers to undertake the necessary due diligence on all intellectual property arising from their works and to take appropriate measures in line with this policy and other governing laws to ensure that it is developed, protected and fairly exploited in conjunction with all interested parties.

4. Effective Date

Kabarak University Intellectual Property Policy requires that on the effective date

a) Researchers submit details of all intellectual properties under development with the University at the commencement and during the conduct of all research and innovation activities.

b) Researchers comply by way of signing the relevant agreements and documents according to the provisions of this policy.

5. Scope

This policy applies to

a) Kabarak University personnel inclusive of students, as well as non-Kabarak University personnel (collaborators) associated with any activity of Kabarak University such as, but not limited to, collaborative research and education programs.

b) Kabarak University or Non- Kabarak University personnel who use Kabarak University resources in such development.

c) All students and those University or external staff involved in their supervision.

6. Intellectual Property Management

The University shall establish or designate a committee to undertake the following functions in intellectual property management

a) Sensitize and advice on Intellectual Property issues and conflicts.

b) Keep Inventory of Intellectual Property and Intellectual Assets.

c) Evaluate the commercial potential of Intellectual Property and undertake commercialization for the purposes of generating financial gains.

d) Obtain appropriate Intellectual Property protection and licensing.

e) Draft Intellectual Property agreements and documentation.

f) Draft and review contracts and agreements that may affect the ownership and access to intellectual property developed in Kabarak University and those owned by a third party.

g) Disseminate information with regard to Intellectual Property.

h) Ensure confidentiality with respect to inventor during disclosure.

i) Review regularly the Intellectual Property Policy to be in line with the University's vision and mission and other emerging laws.

j) Implement Intellectual Property Policy in a manner consistent with other Policies and Regulations in force at Kabarak University.

7. The University Innovation and Business Incubation Center

Kabarak University shall establish an Innovation and Incubation Center with required expertise, infrastructure and resources to scout, identify processes and monitor progress of Intellectual Property in the process of creation and subsequent commercialization.

8. IP Protection

a) The committee shall take all the necessary steps to determine if the invention or the innovation meets the legal requirements for IP protection and if freedom to operate exists,

b) If the invention or innovation meets the legal requirements the Director, Research, Innovation and Outreach upon the advice of the committee take all necessary measures to protect the IP,

c) The researcher or student must also submit any document deemed necessary to enable the Director, Research, Innovation and Outreach to protect the IP rights where appropriate,

d) At commencement of studies or employment at Kabarak University, every student and staff

member must be informed on the Intellectual Property Policy, and

e) Upon leaving the employment of Kabarak University, staff members and students shall not disclose information regarding any Intellectual Property to a third party of any IP created by the staff member while in employment of Kabarak University for a period of five years from the date of cessation of employment or studies unless otherwise agreed upon in writing with the University.

9. Ownership of Intellectual Property

a) Ownership within scope of employment

i. Except as otherwise agreed in writing, Kabarak University claims ownership of Intellectual Property produced by University staff in the course of discharging their employment obligations as is stipulated in their employment contracts with the University.

ii. To facilitate the creation and protection of commercially valuable Intellectual Property, the lead researcher should immediately advise the Intellectual Property Committee (IPC) through the Director, Research, Innovation and Outreach when research activity generates results that are novel and have potential commercial applicability. The IPC will make the final decision on commercial applicability, and, where appropriate, will initiate formal procedures to protect Intellectual Property. Any costs involved will be paid by the University but may be recovered subsequently pursuant to section 4.13

iii. In order to safeguard any Intellectual Property created within Kabarak University, it is important that staff members do not disclose the results of research activity with potential commercial applicability to anybody outside Kabarak University until the Intellectual Property Committee (IPC) has made a final decision on commercial applicability and protection of Intellectual Property. This decision shall be made expeditiously, so that publication of the staff members' work is not unreasonably delayed. The KABU- IPC shall assist in the process of patenting provided that it was informed initially of the possibility of a patentable object.

iv. Researchers are encouraged to keep regular lab notebooks and records in accordance with accepted industry standards or accepted laboratory record keeping practices. These records should be kept confidential.

b) IP created by students

i. Kabarak University's has a part ownership in all IP that is produced by students with the assistance of the University through its staff and other resources. If it wishes to exercise a claim on ownership of the IP, the University, through the office of the Director, Research, Innovation and Outreach will enter into an agreement with the respective student, in accordance with this Policy, to share the financial benefits that may arise. Should the University waive ownership, the student is free to make his or her own arrangements regarding the IP.

ii. When using the IP created by a student, the supervisor/s concerned have an obligation to declare both the supervisor's and the student's respective roles in creating the IP.

The supervisor/s may not commercially exploit the IP created with a student without the express written agreement of both the student and the University.

iii. Where the University wishes to exercise its rights as outlined (i) it shall do so within 12 months of receipt of the Intellectual Property information in writing to avoid undue delays in the protection of Intellectual Property.

c) Contract Research

Kabarak University shall be allowed to exploit intellectual property arising from contract research it undertakes unless otherwise stated in the contract.

10. Copyright

a) Kabarak University claims copyright in work or material produced by University staff in furtherance of their employment obligations.

b) Students' theses and dissertations are considered Kabarak University Intellectual Property. The student shall therefore not reproduce or print copies of thesis / dissertations without notifying Kabarak University in writing.

c) Kabarak University shall not claim ownership of copyright on creations, ideas, books and publications authored by Kabarak University Staff undertaken outside of their employment obligations.

11. Copyright license and restriction on use of copyright in teaching materials

Where University staff produce teaching materials or resources for distribution or display to students in accordance to the University stipulated content development terms;

a) The staff member shall not, while employed by the University, assign or license the copyright in such materials or resources to any other institution providing educational services without the consent of the University,

b) Kabarak University is entitled to a non-exclusive, non-assignable, royalty-free, irrevocable and perpetual license to reproduce the materials or resources for use within the Kabarak University for teaching and research purposes; and

c) Kabarak University is entitled to a non-exclusive, irrevocable and perpetual license to incorporate the materials or resources into any media for distribution. Intellectual Property in the distribution media is owned by the University and may be sold or licensed to any other institution providing educational services. The distribution of income from the sale or licensing of the content shall be pursuant to section 4.13below.

12. Technology Transfer

a) The University with the assistance of the researcher shall identify potential licensee(s) and strive to market the IP for commercialization. Kabarak University possess the right to contract with an external organization to market and manage the commercialization of IP.

b) For the IP for which exclusive rights have not been already assigned to a third party, the author(s)/inventor(s) may also contact potential licensee(s) on their initiative maintaining confidentiality and taking all necessary care so as not to affect the value of the IP through appropriate agreements such as Non-Disclosure Agreement (NDA) with the potential licensee(s) during technology marketing discussions.

c) If the University is not able to initiate commercialization of the IP within one year, then it may reassign the rights of the IP to the creator(s)/inventor(s) of the IP. Optionally, if the University has not been able to commercialize the creative work within above time frame, the creator(s)/inventor(s) may approach the KABU-IPC to request the assignment of rights of the invention(s) to them.

13. Distribution of income from intellectual property

Any royalties or other remuneration received by the University as a consequence of licensing, selling, or otherwise dealing with Intellectual Property which the University claims ownership of, shall be distributed as follows.

a) As a first charge the University shall recover all direct expenses incurred in the protection and/or commercialization of the Intellectual Property which expenses may include:

   i. Legal or other expert advice;
   ii. The cost of obtaining IP protection and maintenance of any registered rights in respect hereof;
   iii. Plant/equipment costs;
   iv. Business planning costs; and
   v. The ongoing cost of commercially exploiting the IP.

b) The balance of the royalties or other remuneration shall then be divided as follows:

   i. One third to the University staff member(s)/ student who produced the Intellectual Property.
   ii. One third to the inventor's departmental infrastructure
   iii. One third to the University Research Fund.

   For the avoidance of doubt, income from intellectual property excludes funds received for research support.

14. Cessation of employment/studies

a) When a University staff member who is entitled to payments pursuant to section 4.13 leaves the University, retires, or dies while employed by the University, the payments will continue for a period of five years from the date of the departure, retirement, or death. Payments will continue to the end of this five year period even if the University staff member who has left or retired dies before the period ends.

b) The termination of payments after five years will not apply to payments arising from licences granted to the University by staff members.

c) If anyone entitled to payments pursuant to this section acts to hinder the University in the exercise of its Intellectual Property rights, the University may cease the payments.

15. External Research Contracts

a) The University may enter into contracts to provide research resources to external clients, including those in the commercial sector. Ownership of Intellectual Property generated by such research, and distribution of income from that Intellectual Property will be governed by the terms of the contracts.

b) Kabarak University Staff and Students engaged in such contract research must:

   i. be fully informed in writing of the IP provisions that have been arranged
   ii. give their consent in writing to these arrangements prior to beginning their research
   iii. comply with all contract terms and conditions, including any confidentiality requirements and publication constraints.

16. Consultancy

a) Consulting for outside organizations is encouraged and may be performed by University employees pursuant to applicable IP and University policies.

b) If the employee's obligations under this policy conflict with the employee's obligations to the consulting entity, the obligations under this policy will take precedence.

c) An employee may not transfer, by assignment or otherwise, intellectual property owned by the University through a consulting or other agreement with a third party unless authorized in writing. Any purported transfer in violation of this policy shall be void and unenforceable.

17. Conflict of Interest or Commitment

a) Anyof the following factors may signify Conflict of Interest which will be considered before waiving or licensing Kabarak University's rights to inventors, innovators, creators and researchers:

   i. An adverse impact on the University's educational responsibility to its students
   ii. A detrimental effect on Kabarak University's obligations to serve the needs of the general public
   iii. Potential Conflict of Interest as defined by National Laws, Kabarak University's regulations, policies and procedures

b) A member of staff may be required to disqualify himself/herself from participating in any licensing negotiations or other matters of technology transfer where the University is likely to be disadvantaged by such a decision in the following circumstances:

   i. Where member of staff has an external relationship with a company that itself has a financial interest in a University project
   ii. Where the member of staff serves on a board of a company that has financial transactions with the University; or
   iii. Where member of staff has equity holding or royalty expectations that could influence the decision.
   iv. Where member of staff of the University is an interested party and by virtue of position held is likely to influence the decision.

18. Ownership of equipment and infrastructure

Any equipment bought / constructed under a funded research contract or obtained through collaboration research shall remain the property of Kabarak University on completion of the contract or unless otherwise agreed in writing by the parties.

These equipment include:

a) Office, lab and studio space and equipment,
b) Computer hardware, software and support,
c) Supplies and utilities
d) library facilities

19. Relevant Agreements

Kabarak University will formulate appropriate as, agreements and other related contracts as need arises, documents, for the management of Intellectual Property Rights, such as;

a) **Collaborative Research Agreements**

There shall be Collaborative Research Agreements, which will govern the joint research activities, with other institutions and industries, especially the intellectual property concerns thereof. The Directorate of Research, Innovation and Outreach shall ensure that appropriate Collaborative Research Agreementsare developed by the researcher(s), respective Head(s) of Department(s) and Dean(s) and the Legal Officer. The agreements shall be signed by the authorized officer of the University.

b) **Participation Agreements**

Each participant in a research project shall be required to sign a Participation Agreementthat confirms acceptance of the provisions of Kabarak University Intellectual Property Policy. Each Head of Department must confirm that a valid Participation Agreement is on file before any University's resources are made available for the students and other researchers from outside of the University.

c) **Material Transfer Agreements (MTA)**

There shall be Material Transfer Agreements, which will govern the transfer of proprietary tangible property, often biological materials to or from Kabarak University during collaborative project with other institutions and industries. Each Head of Department shall ensure that appropriate Material Transfer Agreement is developed with the collaborating institution and signed by the authorized officer of the University.

d) **Confidentiality (Non-Disclosure) Agreements**

There shall be Confidentiality (Non-Disclosure) Agreements which will outline the engagements between parties with respect to the disclosure of information considered to be confidential or private and on the appropriate handling and use of such information.

e) **Licensing Agreements**

There shall be Licensing Agreements clearly outlining the use of patents, brands, trademarks and other intellectual property and the remittance of any applicable payments and royalties.

f) **Project Funding Agreement**

There shall be project funding agreements clearly detailing the amount of funding availed, its purpose and other applicable terms and conditions for the use of the finding between the funder and the University.

g) **Access to innovation and Benefit Sharing Agreements**

There shall be agreements detailing the mode of sharing benefits between the various intellectual property stakeholders.

20. Exemptions

Any requests for an exemption from any provisions this Policy shall b**e** made in writing and shall besent to the University for consideration through the committee overseeing intellectual property management. The committee shall consider the request and make recommendations to the Deans and Research Committee and the University Senate.

V

RESEARCH ETHICS POLICY

1. Purpose

The conduct of research especially that with the potential to cause harm to and infringe on the rights and well-being of humans and animals is often times unavoidable. There is therefore need to establish the means by which such potential for harm or infringement of rights is minimized or eliminated in totality in the conduct of such research.

This policy aims to provide the University with the means by which

a) To evaluate all proposed and ongoing research activities for compliance with ethical requirements of the University, regulatory bodies, the government and other relevant stakeholders.

b) To ensure adherence with all required ethical requirements of the University, regulatory bodies, the government and other relevant stakeholders.

c) To address any ethical issues arising from proposed and ongoing research activities by staff and students of Kabarak University.

2. Scope

a) This policy applies to all research activities undertaken by staff and students of Kabarak University in the course of their employment, and by students in the course of their studies.
b) The policy covers all activities through which research information is gathered, interpreted, processed and disseminated, for example surveys, interviews, data processing and the reporting of research findings.
c) The policy applies to all parties in research, including Kabarak University, researchers, students, research participants, peer reviewers, consultants, clients, funders and sponsors.

3. Due Diligence

This policy therefore requires all researchers to undertake the necessary due diligence and required action on potential and emerging ethical issues before and during the conduct of all research activities that they are involved in.

4. Effective date

Kabarak University Research Ethics Policy requires that on the effective date

a) Researchers apply for ethical review and approval of all proposed the research activities with the exception of those explicitly exempted for in this policy.
b) Researchers provide evidence of ethical review and approval as part of all the research outputs and reports as part of and prior to publication or approval of these outputs.

5. Exemptions

a) Some research with humans can be designated as exempt from IREC review. Research that is part of a routine educational experience, or in which participants will be anonymous or effectively de-identified falls into this category and may be granted a certificate of exemption.

b) The proposal must still be reviewed by a member of the IREC to assign exempt status, but the application process may be considerably shorter.

6. Institutional Research Ethics Management

The University shall establish the Institutional Ethics Review Committee to undertake the following functions in research ethics management.

a) To develop policies, processes and guidelines on ethical review at the University.

b) To review, evaluate and decide on the ethicalmerits of research proposals in order to ensure and guarantee the rights, dignity, safety andprotection of actual or potential individuals, animals and communities who participate in research.

c) To ensure compliance with ethical standards,

d) To provide advice and assistance with regard to ethical standards to anyone undertaking such research or teaching, and

e) To handle complaints or queries made by any interested person with regards to ethics in a research activity.

f) To grant ethical approval for research activities by University staff, students and any other persons who apply for approval.

7. Rights and Responsibilities of Kabarak University

a) The University shall promote the observance of the Research Ethics Policy and take appropriate steps for protection against pressures inimical to the observance of the policy

b) Kabarak University has the right to monitor research that has been approved by Institutional Research Ethics Committee and to require submission of regular reports or other information about the research. It may impose disciplinary measures or stop research when ethical principles are violated or the integrity of the University is jeopardized.

c) In pursuance of this right, the Directorate of Research, Innovation and Outreach shall register all research activities that have been granted ethical clearance.

d) Kabarak University shall be accountable only for research which has been approved by The Institutional Research Ethics Committee.

8. Rights and Responsibilities of Researchers at Kabarak University

a) The individual researcher shall take personal responsibility to ensure that the conduct of research, the sources of funding for that research, and its perceived applications are consistent with the individual researcher's judgment and conscience, and with established professional ethics.

b) Researchers shall undertake only such research as, according to their understanding, will benefit society and contribute to knowledge on the subject. They are advised to use resources judiciously and to avoid the unnecessary duplication of research.

c) Researchers have a right and a duty to make all necessary efforts to bring the research and its findings to the public domain in an appropriate manner and at an appropriate time. The publishing of research findings should be done in a manner which will not harm research participants or their communities.

d) Researchers shall not undertake secret or classified research, any secret assignment under the guise of research or research whose findings are to remain confidential. They shall endeavour to convince their client(s)/sponsor(s)/funder(s) of the importance of publishing research findings in scientific journals.

9. Human Subjects in Research

a) General Principles

The University Research Ethics Policy is based upon widely accepted principles and practices governing research involving human participants. The key elements are:

i. Minimal risk of harm to participants and researchers;
ii. Potential for benefit to society;
iii. Maintenance of the dignity of participants
iv. Minimal risk of harm to the environment;
v. Voluntary informed consent by participants, or special safeguards where this is not possible;
vi. Transparency in declaring funding sources;
vii. Confidentiality of information supplied by research participants and anonymity of respondents;
viii. Acknowledgment of assistance;
ix. Appropriate publication and dissemination of research results;
x. Independence and impartiality of researchers.

b) The Definition of Human-Related Research

All human-related research which includes one or more of the following requires ethical assessment and approval at the appropriate level:

i. Direct involvement through physically invasive procedures, such as the taking of blood samples
ii. Direct involvement through non-invasive procedures, such as laboratory-based experiments, interviews, questionnaires, surveys, observation
iii. Indirect involvement through access to personal information and/or tissue

iv.   Involvement requiring consent on behalf of others, such as by parents for a child participant.

c) **Vulnerable Participants**

Some participants may be particularly vulnerable to harm and may require special safeguards for their welfare. In general, it may be inappropriate for undergraduates to undertake research projects involving such participants.

Particularly vulnerable participants might be:

i.   Infants and children under the age of eighteen
ii.   Expectant mothers and unborn
iii.   People with physiological and/or psychological impairments and/or learning difficulties.
iv.   People in poverty
v.   Relatives of sick, or recently–deceased, people
vi.   People with only a basic/elementary knowledge of the language of the researcher.
vii.   Prisoners
viii.   Elderly persons with dementia

d) **Protection of Human Subjects in Research**

Kabarak University is committed to the principle of protecting the rights of human subjects participating in research and related activities. The University recognizes and accepts responsibility, which it shares with its researcher and other researchers, for determining that research involving human subjects fulfills these ethical principles.

i.   *Respect for persons* dictates that researchers must obtain informed consent from all human subjects invited to participate in research. In order to respect subject autonomy, the consent process includes giving subjects full and comprehensible information about the research and providing a clear assurance of the subjects' voluntary participation.

ii.   The researcher must have concern for the well-being of subjects, and requires that the risk of harm to subjects is the least possible, and that the sum of benefits to the subject and the importance of the knowledge to be gained so outweigh the remaining harm as to waive a decision to allow this risk.

e) **The Use of Students as Research Participants**

The following should be considered guidance when planning research involving students as participants.

i.   Non-exempt research involving minors, in most instances, requires parental permission as well as assent of the student.

ii.   Solicitation of volunteer student subjects for research must be done in a non-coercive manner. To avoid undue influence, subjects should be recruited by a general announcement or central posting. In addition to being provided with the standard information and consent forms, the student should also be provided with the name and contact information of a neutral third party to contact should they feel coerced at any time during the process.

iii. The informational letter or informed consent form should make clear the consequences of withdrawing from a project prior to completion. In general, credit for participation should be given even if the subject withdraws, unless the student withdraws immediately or there is evidence of bad faith on the part of the student.

iv. It is recognized that in some research situations, the use of one's own students is integral to the research. This is particularly true of research involving teaching methods, curricula or other areas related to the scholarship of teaching and learning. In these situations, where activities are not part of a required class activity, and thus students may choose not to participate, it is preferable that the faculty member arrange to have the data collected by an independent third party. The instructor can then avoid seeing who participated and who did not and can avoid having access to identifiable data.

v. Even when the research is integral to the class, students should be given an alternative to participation in any particular research project whenever possible. They must have the right to exclude the use of their own data from any publications which results.

vi. Studies should not involve more than minimal risk.

vii. For faculty using pre and post-tests to determine the efficacy of a particular curriculum, it is preferable that an independent third party distribute the informational letters or consent forms.

viii. When instruments call for the disclosure of information which participants may view as personal or sensitive, data should be collected in a manner that minimizes the chance of one participant learning the response of another.

ix. If the research involves the collection of data from a group project or a videotape of group interaction, each student's consent for the use of data in the faculty member's research should be obtained. If one student does not consent, the data should be used only if the non-consenting student's data can be effectively excluded.

f) **Guidance on the Use of Audio or Video Recording**

Audio and video recording of human subjects is a form of research where it is often impossible or difficult to maintain the anonymity of the subject.

Therefore, certain precautions must be taken, whether the project is reviewed through Exempt, Expedited or Full committee procedures. In research projects involving audio or video recording, the following guidelines apply:

i. Research participants must be advised that their participation includes the use of audio or video recording.

ii. Before consenting in writing to being recorded, subjects should be informed of:

1) the current and planned use of the materials, including storage, access by persons other than the researcher,

2) how and by whom the recordings will be transcribed, and

3) Whether the participants' responses will or will not be attributed to them.

10. Research on Animals

Kabarak University is committed to maintaining high standards for the care and use of animals in research and teaching and will provide reasonable care of laboratory animals.

All faculty, staff, visiting scholars and students comply with the Kabarak University Policy failure to which may result to suspension of privileges pertaining to use animals in teaching and research.

The Kabarak University Research Ethics Policy emphasizes the responsibilities of researchers to:

    i.   ensure that the use of animals is justified,

    ii.   ensure that optimal standards in terms of animal health, care and welfare are observed,

    iii.   only use animals when alternative techniques and research methods for a certain project do not exist,

    iv.   only use the number of animals absolutely required by the study, and

    v.   Refine methods and procedures to minimize or avoid pain or distress in animals used in research projects.

    vi.   Researchers must ensure that procedures which will cause hunger, thirst, injury, disease, discomfort, fear, distress, deprivation or pain to the animals involved in the studies are limited to the absolute minimum.

    vii.   Approval for each research project involving animals must be based on considerations whether the project is justified and whether the potential benefit outweighs the potential harmful effects on the welfare of the animals used.

    viii.   Researchers must submit written proposals to the Institutional Research Ethics Committee for all projects involving animals. These proposals must address the expected value of knowledge to be gained and the justification of the project.

    ix.   The use of animals for research purposes must be justified by assuring that the outcomes of the studies will essentially contribute to

        1) the understanding of humans and/or animals,
        2) the maintenance and improvement of human and/or animal health or welfare,
        3) the improvement of animal management or production,
        4) the understanding, maintenance or improvement of the natural environment, and that the potential benefits outweigh the potential harm to the animals used.

11. The Use of Research Assistants

Researchers engaging research assistants shall ensure the following;

a) That the terms of engagement are clearly outlined in the form of a contract that must be signed by both the research assistant and the researcher.

b) That the research assistants are provided with adequate training and facilitation to undertake the tasks for which they have been engaged in.

c) That the engagement does not expose the research assistant to any form of danger or harm for which preventive measures can be taken.

d) That the contribution of the research assistants to the research activity be acknowledged and compensated for in an appropriate manner.

12. Graduate student supervision

Ethical issues arising from the supervision of graduate students shall be addressed in the policies and guidelines in the institute of Postgraduate Studies.

13. Unethical research practices

All researchers shall ensure the following;

a) That all participants in a research activity are made aware of their participation and that this participation is informed and voluntary.

b) That no participant is bribed, coerced or induced to participate in a research activity.

c) That all guarantees for the privacy, safety and confidentiality of research participants and their information is ensured as required and agreed upon.

14. Research Ethics Approval Application

Research will require ethical approval:

a) Where research involves human participants or involves data relating to identifiable human subjects, researchers are required to complete Research Ethics Application Form. This will determine at what level of intervention if any is required by the Institutional Research Ethics Committee. The purpose of the Application Form is to require the researcher to reflect the potential ethical implications of their research and the risk or harm that might be caused to the participants

b) Ethical approval is required before the commencement of research

c) The completed Application Form and all required supporting documents must be submitted for scrutiny by the Institutional Research Ethics Committee.

d) Applications relating to the following kinds of research should always be subject to full review by the Research Ethics Committee if the following matters are involved in the research:

   i. **Matters around subject-matter**

   Controversial / contentious / sensitive / embarrassing / upsetting subject-matter

   ii. **Matters around participants**

   a) Infants and children under the age of eighteen
   b) Expectant mothers and unborn

c) People with physiological and/or psychological impairments and/or learning difficulties.
d) People in poverty
e) Relatives of sick, or recently–deceased, people
f) People with only a basic/elementary knowledge of the language of the researcher.
g) Prisoners
h) Elderly persons with dementia

iii. **Matters around researchers**

There is a conflict of interest for the researcher

iv. **Matters around recruitment of participants**

a) Participants may be approached in a public space
b) Participation is not voluntary, or there is coercion or incentive to participate
c) Researcher or Faculty / Department / University has a financial interest in the project
d) The participant may not be able to withdraw from the project
e) Deception is involved

v. **The nature of the participants**

Participants may disclose that they have broken the law

vi. **Risks or hazards to participants or researchers**

a) Physical or mental risk or hazard
b) Fear or pain / distress / discomfort to the participant or researcher
c) Taking of samples e.g. blood, saliva
d) Physical contact
e) Food or drink is to be administered
f) Risk to personal safety e.g. physical or verbal attack; disability or health problems; delayed access to personal or medical assistance; failure of routine or emergency communications; security of accommodation and support; getting lost, or stranded by transport; cultural or legal differences
g) Inconvenience or changes in lifestyle for participants

vii. **Location of participation**

a) The project or interaction is out in the open, at another organization's premises, abroad / overseas

b) Natural physical hazards - effects of the natural environment, climate, landscape, plants, animals e.g. extreme weather; earthquakes and volcanoes; mountains, cliffs and rock falls; glaciers, crevasses and icefalls; caves, mines and quarries; forests including fire; marshes and quicksand; fresh or seawater, tidal surges

c) Environmental impact e.g. pollution and waste, deposition of rubbish, disturbance of eco-systems, trampling, harm to animals or plants

viii. Confidentiality issues

a) Covert observation of participants
b) Recording or filming / photography of participants (whether covert or otherwise)
c) Issues of confidentiality and privacy, or lack of anonymity security of personal data, retention and disposal of the data.

VI

EDITORIAL POLICY

1. Purpose

The University will from time to time engage in direct dissemination of research outputs both from its own researchers and others external to itself through journals, books, newsletters and other such means. There is therefore need to ensure that these means of dissemination are properly established and managed to ensure quality and consistency over time.

This policy aims to provide the University with the means by which

    a) To establish and manage robust research publications.

    b) To develop and apply quality assurance measures for all University research publications.

2. Due Diligence

This policy requires all researchers desiring to publish any research work with the University journals, press or other available avenues to ensure the scientific, professional and ethical soundness of their content and presentation as is required by all applicable University policies, relevant ethics bodies, national and international laws and guidelines from relevant professional bodies and societies.

3. Effective Date

Kabarak University Editorial Policy requires that on the effective date

    a) All researchers desiring to publish any work with Kabarak University familiarize themselves and comply with the provisions of this policy.

    b) All editors of current publications within the University familiarize themselves with this policy and ensure compliance.

4. Scope

    a) This policy applies to all research works that are intended for publication in any form, print or electronic, by Kabarak University.

    b) This policy applies to all researchers from Kabarak University (staff, faculty and students) and any others from other institutions desiring to publish any research work with Kabarak University.

    c) This policy applies to all means and avenues of publication of research outputs that bear the name of Kabarak University.

5. Institutional Editorial Management

The University shall establish or designate a committee to undertake the following functions in editorial management.

    i. To develop editorial and publication policies, processes and guidelines for the University.

    ii. To establish and maintain vibrant University journals and other publications.

    iii. To identify reviewers and editors for the University publications.

    iv. To organize training programs for faculty in the area of research publications.

    v. To provide support for University conference submissions, review and publications.

6. Establishment of Publications

Any researcher, group of researchers, department, school or institute desiring to establish a publication shall submit a proposal to the University editorial and publications committee detailing the following;

a) The name of the publication
b) The objectives of the publication
c) The justification for the publication
d) The subject matter coverage
e) The Journal Advisory board
f) The editorial team for the publication
g) The reviewers for the publication
h) The frequency of publication
i) The means of publication (hardcopy, electronic or both)
j) The manuscript format detailing required sections and formatting requirements.
k) A sample publication following the manuscript format.
l) The submission, review and editorial process of the publication
m) The author guidelines for the publication to include the following

    i. Authorship
    ii. Acknowledgment
    iii. Changes in authorship
    iv. Manuscript format
    v. Submission of Manuscript
    vi. Publication fees
    vii. Conflict of interest
    viii. Publication ethics
    ix. Confidentiality
    x. Correction and retraction of publications
    xi. Copyright

n) The reviewer guidelines for the publication

o) Processing charges

      i. The charges for the publication.
     ii. The reviewer and editor fees.

p) Provisions for abstracting and indexing of the publication
q) The publication copyright policy / statement

7. Considerations for approval

a) The editorial and publications committee shall take the following into consideration in the review and approval for the establishment of a publication;

       i. The justification for the publication
      ii. The Journal advisory board
     iii. The proposed editorial structure
     iv. The reviewers of the publication
      v. The sufficiency of procedures for the publication
     vi. The sustainability of the publication
    vii. Other pertinent issues unique to the proposed publication

b) The editorial and Publications Committee shall present the proposal to the deans and research Committee for consideration and approval to the University Senate.

c) The university Senate shall consider the proposal for approval.

8. Review of publications

a) The editorial and publications committee shall review annually the performance and viability of all publications.

b) The review shall inform the continuance of the publication, its restructuring or its termination.

VII

RESEARCH AND INNOVATION HUBS, LABORATORIES, INSTITUTES AND CENTERS POLICY

1. Purpose

The conduct of research activities in the University will from time to time require the formation of special entities in order to satisfy requirements from stakeholders or in order to accommodate researchers from different disciplines in a manner that cannot be achieved within the existing academic structures. The establishment and subsequent management of these entities will require sufficient justification and monitoring in order to ensure that they meet their stated objectives.

This policy aims to provide the University with the means by which

   a) To establish research and innovation hubs, laboratories, institutes and centers.

   b) To ensure that these research and innovation laboratories, institutes and centers are professionally managed in order to meet their objectives.

   c) To achieve the sustainability of these research and innovation hubs, laboratories, institutes and centers.

2. Definitions

- **The terms "Hub", "Laboratory", "Institute", or "Center"** may be used informally to designate research or innovation efforts or programs within single departments.

- **"Independent Hub, Laboratory, Institute, and Center"** refers to formally-organized research, innovation or scholarly programs which involve faculty members from more than one School, and which report to the office of the director, research, innovation and outreach.

- **Interdisciplinary research** describes research collaboration across at least two disciplines of study. The purpose of interdisciplinary research is to break down the barriers between traditional areas of study in order to solve complex problems at the intersection of various disciplines. Such interdisciplinary collaborations are essential in the search for solutions to significant global and societal problems.

3. Due Diligence

This policy requires all researchers desiring to establish and manage research and innovation hubs, laboratories, centers and institutes to undertake all necessary preliminary assessment on the legal, financial, professional and ethical requirements by all relevant stakeholders prior to the establishment and to further comply with all such requirements.

4. Effective Date

Kabarak University Research and Innovation hubs, Laboratories, Institutes and Centers Policy requires that on the effective date

a) Researchers prepare formal proposals for the establishment of research and innovation hubs, laboratories, institutes and centers for consideration and recommendation to the deans and research committee by the University research committee.

b) Researcher's currently managing research and innovation hubs, laboratories, institutes and centers formally document them and submit the documentation for review by the University research committee.

5. Scope

a) This policy applies to all research and innovation hubs, laboratories, institutes and centers at Kabarak Universities that are either single or interdisciplinary in nature.

b) This policy addresses the establishment of all research and innovation hubs, laboratories, institutes and centers to be domiciled at the University or established in partnership with Kabarak University even if not domiciled within the University.

6. Characteristics of Research and Innovation hubs, Laboratories, Institutes and Centers

a) **Management and governance**

    i. They shall be directed by full time faculty.

    ii. They shall have a governance and management structure representing the diversity of interests and disciplines of participating faculty members and other stakeholders.

    iii. They may employ and pay salaries to administrative and technical staff.

    iv. They shall not employ or pay salaries to faculty members.

b) **Academic and professional programs**

    i. They may offer academic programs only in partnership with regular academic departments.

    ii. They shall not admit students for the conferment of academic degrees.

    iii. They may develop and offer professional courses and programs.

c) **Research activities and funding**

    i. They may apply for and independently manage their research funding.

ii. They shall only undertake approved research as proposed and approved by the research committee at inception.

7. Application for approval

Researchers wishing to establish a research or innovation hub, laboratory, institute or center will prepare and submit a proposal to the research committee detailing the following;

a) The charter

    i. Justification for why Kabarak University should establish this entity.

    ii. The goals for evaluation of the unit at the end of its initial term, considering the likely evolution and "life cycle" of the proposed activities.

b) Description of proposed research activities

    i. Detailed description of the proposed research activities and objective(s)

    ii. Justification on how these activities support the University's current initiatives and long term strategies.

    iii. Justification on why these activities should be treated independently and cannot be housed and managed within an existing school or department.

    iv. An impact assessment (positively or negatively) on the participating faculty members home academic departments with respect to the coherence and integrity of the departments, impact on teaching programs, ability to attract new faculty, etc.

    v. Description on whether Kabarak University has the expertise and resources for the success of the activities.

    vi. A description of the role of researchers or organizations from outside of Kabarak University.

c) Academic and professional programs

    i. A list of all current and proposed academic and professional programs to be undertaken by the proposed entity.

    ii. Relationships or agreements between the entity and academic department where academic programs are domiciled.

d) The faculty members to be involved and their roles

    i. The nature of participation in the entity by faculty and graduate students.

    ii. Availability of sufficient numbers of faculty for current and future leadership roles.

    iii. A list of all participating faculty.

e) Governance

    i.   The governance structure of the entity

    ii.   Reporting relationships that may be used to provide ongoing evaluation of the entity and its activities including but not limited to a steering committee, external or internal review body.

    iii. Criteria for selection of participating faculty, students and other stakeholders.

    iv. Faculty who would be candidates for Director, initially and in future years.

f) Management

    i.   Organization structure, noting key responsibilities and roles with a consideration for both initial and longer term needs.

    ii.   Budget for the initial period with indications of sources of funds

    iii. Provisions for financial and program management

    iv. Human Resource requirements

    v.   Administrative and other support required from the University

g) Internal and external stakeholders

A list of all current and envisaged stakeholders along with their specific contributions and roles in the proposed entity.

h) Anticipated funding sources

A list of all current and envisaged sources of funding along with any conditions for the receipt of such funds by the proposed entity.

i) Other pertinent information required to inform a sound decision on the merits of the establishment of the proposed entity.

8. Considerations for approval

In reviewing and considering the approval for research and innovation hubs, laboratories, institutes and centers the research committee shall consider and assure the University of the following;

a) The advantages associated with the establishment of the proposed entity in light of existing ones.

b) The likelihood of long-term and active participation by faculty and graduate students.

c) The impact (positive or negative) that the entity may have on the participating faculties' home academic department and the University.

d) The resources required to support the unit, and how will those resources be obtained and managed.

e) The extent to which the establishment of the new entity will help to attract external support and funding.

f) The availability of expertise and resources within the University to enable the new entity succeed in its proposed mandate and goals.

The research committee shall review the application and recommend it to the Deans and Research committee if it is satisfied with the need and other requirements for the establishment of the proposed entity.

10. Reviews

a) Each Hub, Laboratory, Institute, or Center shall be reviewed by the research committee annually to determine whether the circumstances that led to its creation still exist and whether the entity continues to meet its goals.

b) Such reviews shall evaluate the continued intellectual vitality of the unit, the commitment of the faculty to its program, the involvement of students and other stakeholders, and the availability of funding and other resources.

c) The outcomes of the review may affirm the continuation of the activities of the entity, the revision of its charter, its governance and management, its activities, nature and participation of stakeholders and any other necessary action recommended by the research committee.

OUTREACH POLICY

1. Purpose

The University exists to make an impact in the community through the acquisition of knowledge and its subsequent application in addressing identified needs and challenges. The University is therefore keen on encouraging and facilitating the systematic conduct of outreach activities by researchers.

This policy aims to provide the University with the means by which

a) To establish and strengthen outreach activities for the identification of issues and challenges in the community for research and innovation activities.
b) To establish the means for the translation of research and innovation outputs into policy and practice.
c) To provide a framework for sharing of revenues / incomes

2. Definitions

- **Capacity Development -** Strengthening skills, competencies and abilities of people and communities for development

- **Community -** Specific structured and non-structured collective interest groups conjoined in their search for sustainable solutions of their needs and challenges. Some of these groups may be unable to identify their needs, and the community may participate or could potentially participate as partners in addressing their needs and challenges.

- **Engagement with Stakeholders -** The process by which an organization involves others who may be affected by the decisions that it makes, or who can influence the implementation of its decisions.

- **Extension -** These are activities that are systematically undertaken to provide services and knowledge to individuals and communities. They increase availability and utilization of services and knowledge through intervention and interaction with a society.

- **Outreach -**A one-way initiative of voluntary services to a community in response to social, economic, political and environmental needs. More often than not, the community may not have access to these services.

- **Partnership -** A collaborative engagement between two or more parties sharing a similar vision aimed at reaching a common goal by devising and implementing a mutually agreed on to modus operandi, while maintaining their respective identities and agendas.

- **Research -** A scholarly or scientific inquiry or investigation into an area of academic interest which aims to contribute towards a body of knowledge or theory.

- **Service -** Social accountability and responsiveness to development challenges through the key functions of an institution in close cooperation and interaction with a community. This encompasses making available the institution's intellectual competence and infrastructure to improve service delivery.

- **Stakeholder -** An individual, a group of people, an institution or an organization that has interest or shares common values with the University.

- **Technology -** The creation and use of technical means and their interrelation with life, society and the environment, to solve a problem, improve a pre-existing solution to a problem, achieve a goal, handle an applied input/output relation or perform a specific function.

- **Consultancy Service -** Professional advice that provides expert opinion or advice within a particular area of interest or expertise, usually at a fee paid to a consultant or consulting firm. In the case of Kabarak University the consultant may be an individual or a group of individuals employed in the University, specific its, research affiliates or the Kabarak University Enterprises Limited.

- **Technology Transfer -** Technology transfer facilitates the transmission and utilization of skills, knowledge and techniques. The University has the innovative capacity, techniques and expertise that can be transferred to the society in various forms. Technology transfer is important since it encourages use of technology developed by researchers as well as increases their visibility in, relevance to and value to the society. It can leverage resources and encourage partnerships with public and private sectors.

- **Translation of Research to Policy and Practice -** Sometimes referred to as knowledge translation, the translation of research to policy and practice is the process of moving from what has been learnt through research to its application in different practical contexts. There are a large number of planned knowledge translation models, derived from different disciplinary, contextual (that is, setting), and target audience viewpoints. It is therefore important that researchers develop appropriate strategies for ensuring that their research reaches potential end-users in forms that can be used to develop policies, programmes, and other practical applications. Some of the tasks associated with knowledge translation process are identifying and establishing relationships with potential partners who can put proposed use to good use, identifying barriers to research uptake, considering innovative methods for communicating with different groups of stakeholders, developing appropriate communication products, and creating a research-use strategy.

- **Community-Based Capacity Development -** The University has the capacity to contribute to the local and regional development through strengthening skills, competencies and abilities of communities to address their immediate socio-economic needs and challenges.

- **Engagement in Cultural and Environmental Activities -** The University is committed to upholding responsible citizenship as a core value. In this connection, it engages in a number of activities such as music, art, theatre, sports, entertainment and environmental conservation that promote the respect for and preservation of culture and the environment.

3. Due Diligence

This policy requires all researchers planning for, and undertaking outreach activities to ensure that these activities are in compliance with laid down ethical, scientific, legal and professional standards as stipulated by the University and other relevant stakeholders.

4. Effective Date

Kabarak University Outreach Policy requires that on the effective date

a) All researchers planning to undertake outreach activities comply with all the provisions of this policy.

b) All researchers currently undertaking outreach activities ensure that these activities are in compliance with this policy.

5. Scope

a) This policy applies to all outreach activities undertaken by researchers at Kabarak University.

b) This policy applies to all outreach activities in which the University is participating in through its researchers

6. Management of outreach activities

The University shall establish or designate a committee to undertake the following functions in outreach activity management.

a) To develop policies, processes and guidelines on outreach at the University.
b) To establish and coordinate outreach activities in all schools.
c) To create and manage an up-to-date data-base of outreach activities undertaken by the University.
d) To document and highlight in various forms the outreach activities by the University.
e) To advertise the capacity of the University in offering consultancies, technical expertise, technology transfer and professional services to the public.
f) To participate in community and industry outreach programs and events to identify needs and to share University research outputs.

7. Outreach Activities

a) **Consultancy Services**

   i.   Consultancy services either can be provided by the University, a department and a unit or can be provided directly by an individual member of staff of the University.

   ii. Under the direction of the Vice Chancellor, all consultancy services from the University as a corporate entity shall be coordinated by the Office of the Director, Research Innovation and Outreach.

   iii. The Office of the Director, Research Innovation and Outreach shall consult with the relevant department, or unit regarding the consultancy and appoint the relevant department to offer the services

   iv. All aspects of the consultancy shall be discussed and agreed upon in a departmental meeting, which shall nominate members to participate in the consultancy and forward their names to the Office of the Director, Research Innovation and Outreach for official appointment and engagement.

   v.   Where more than one department or unit is involved in the same consultancy, the Office of the Director, Research Innovation and Outreach shall coordinate the

formation of a consulting team from the concerned departments and coordinate the management of the consultancy.

vi. The department or unit receiving an inquiry on consultancy services, on behalf of the University, shall inform the Office of the Director, Research Innovation and Outreach accordingly and shall be guided by the relevant guidelines outlined in this policy.

vii. Remuneration from consultancies shall be paid to a designated University account and shall be distributed to the participating department or departments and staff as follows

   a. As a first charge the University shall recover all direct expenses incurred in the delivery of the consultancy.

   b. The balance of the income shall then be divided as follows:

      1. Fifty Percent (50%) to the team delivering the consultancy service

      2. Twenty five percent (25%) departmental infrastructure

      3. Twenty five percent (25%) to the university main account.

viii. Consultancies undertaken by individual members of staff are encouraged as long as the consultancies do not impact negatively on their core duties of the department.

b) **Membership of Boards and Committees of Public and Private Institutions**

   i. Appointments to be a board or committee member of public or private institutions can be done by the state, through the University, or, directly, to an individual member of staff by an institution.

   ii. The University, faculty, school, centre, institute, department and units shall keep up-to-date data-bases of staff appointed to be a board or committee members in public and private institutions.

c) **Technology Transfer**

All matters to do with technology transfer shall be coordinated, in consultation with the Office of the Director, Research Innovation and Outreach, at the school level and the relevant technology transfer units.

   i. In specific and relevant units, technology transfer shall be undertaken either at designated technology transfer centres or during designated University technology transfer open days and exhibitions, or both.

   ii. University departments and units are encouraged to participate in technology transfer activities, exhibitions, and trade fairs.

   iii. Income and royalty generated from technology transfer activities shall be paid to a designated University account and shall be distributed to the participating department or departments and staff as follows

   a. As a first charge the University shall recover all direct expenses incurred in the delivery of the technology transfer exercise.

b. The balance of the income shall then be divided as follows:

    1. Fifty Percent (50%) to the team delivering the technology transfer exercise

    2. Twenty five percent (25%) departmental infrastructure

    3. Twenty five percent (25%) to the university main account.

iv. In cases where technology transfer involves intellectual property rights, the University Intellectual Property Policy shall apply.

d) **Translation of Research to Policy and Practice**

i. Translation of research to policy and practice shall be coordinated at the departmental level, where staff and student researchers are encouraged to include policy considerations or recommendations, or both, in research reports and, where possible, to publish policy-oriented articles or briefs.

ii. For visibility and recognition purposes, policy briefs shall bear the University logo, names of the authors, their contact information and the department or unit.

iii. In allocating its own research funds, the University shall give priority to policy-related work.

iv. Staff and student research funded by University sources must include a policy or practice, or both, dimension in their research design.

v. Relevant policy makers will be, as much as possible, key stakeholders in all research projects.

vi. Research methods courses at the University shall include aspects of research dissemination and translation of research into policy.

e) **Community-Based Capacity Development**

Community-based capacity development shall be coordinated at the school, centre, institute, departmental or unit level.

i. The school, center, institute, department, or unit shall keep up-to-date documentation of engagement in community-based capacity development.

ii. Where community-based capacity development involves structured partnerships, relevant University policies regarding links and partnerships shall apply.

iii. Where an inquiry has been made to the University regarding community-based capacity development, the Office of the Director, Research Innovation and Outreach,shall consult with the relevant school, center, institute, department, or unit and appoint the relevant department or unit to offer the services.

iv. Departments and units are encouraged to organize community-based capacity development activities and events.

f) **Humanitarian and Voluntary Services**

Philanthropic, humanitarian and voluntary services shall be coordinated at the University, school, centre institute, departmental or unit level.

i.   The University, college, faculty, school, center, institute, department, or unit shall keep up-to-date documentation of their engagement in humanitarian and voluntary services.

ii.   Departments and units are encouraged to organize activities and events that promote humanitarian and voluntary services.

iii. These activities and events shall bear the University brand-name and logo for visibility purposes.

g) **Engagement in Cultural and Environmental Activities**

Cultural and environmental activities shall be coordinated at the school, center, institute, departmental, or unit level.

i.   The school, centre, institute, department or unit shall keep up-to-date documentation of their engagement in cultural and environmental activities.

ii.   Schools, centres, institutes, departments and units are encouraged to organize activities and events geared towards the preservation and conservation of culture and the environment.

iii. These activities and events shall bear the University brand-name and logo for visibility purposes.

IX

LINKAGES POLICY

1. Purpose

The conduct of Academic, Research, Innovation and Outreach activities in the University requires relevant, strong and well-structured partnerships that are critical for the identification of common agenda, resource mobilization and successful execution of joint activities. There is therefore need for the establishment of the means for the initiation and maintenance of these partnerships.

This policy aims to provide the University with the means by which

   a) To establish and strengthen Academic, Research, Innovation and Outreach linkages.
   b) To provide the means by which to monitor the impact of existing linkages.

2. Due Diligence

This policy requires all researchers proposing and engaging in linkages to ensure that these linkages and the ensuing activities are in compliance with laid down ethical, scientific, legal and professional standards as stipulated by the University and other relevant stakeholders.

3. Effective Date

Kabarak University Research Linkages Policy requires that on the effective date

   a) All researchers proposing to establish research linkages comply with all the provisions of this policy.

   b) All researchers currently engaged in any research linkages to ensure that these linkages and ensuing activities are in compliance with this policy.

4. Scope

   a) This policy applies to all linkages involving faculty and researchers at Kabarak University.

   b) This policy applies to all research linkages in which the University is participating in as a body corporate.

5. Management of Research, Innovation and Outreach Linkages

The University shall establish or designate a committee to undertake the following functions in linkages management.

   a) To develop policies, processes and guidelines on research linkages at the University.
   b) To establish and coordinate research linkages in all schools.
   c) To create and manage an up-to-date data-base of research linkages in the University.
   d) To document and publicize the research linkages by the University.
   e) To review and evaluate the effectiveness of existing research linkages in the University.

6. Establishment of Linkages

a) A researcher, school or department wishing to establish a linkage shall prepare a proposal for consideration and approval by the linkages committee.

b) The proposal shall detail the following

    i. The name of the proposed linkage
    ii. The objectives of the proposed linkage
    iii. The duration of the proposed linkage
    iv. The profile/s of the organization/s to be involved in the proposed linkage
    v. The specific roles of all the participants in the proposed linkage
    vi. The obligations of the University in the proposed linkage
    vii. The benefits of the proposed linkage to the University
    viii. The draft memorandum of understanding for the proposed linkage
    ix. The governance and management structure of the linkage
    x. Any other information required to justify the need for the proposed linkage

7. Evaluation

a) Each linkage shall be reviewed by the linkages committee annually to determine whether the circumstances that led to its establishment still exist and whether the linkage continues to meet its goals.

b) Such reviews shall evaluate the continued relevance of the linkage, the commitment of the faculty to its activities, the involvement of students and other stakeholders, and the availability of funding and other resources.

c) The outcomes of the review may affirm the continuation of the activities of the linkage, the revision of its charter, its governance and management, its activities, nature and participation of stakeholders and any other necessary action recommended by the linkages committee.

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RESEARCH DATA MANAGEMENT POLICY

1.   Purpose

Kabarak University recognizes the integral role of research data and the management of related administrative records in upholding high quality research and research integrity. The University further acknowledges the need to adhere to all relevant legislation, codes and guidelines guiding the acquisition and management of research data.

This policy aims to provide the University with the means by which

a)   To standardize research data management practices for all researchers at Kabarak University

b)   To ensure that research data is stored, retained, made accessible for use and re-use and disposed of securely in accordance with all legal, statutory, ethical, contractual and funding bodies' requirements.

2.   Definitions

Research Data is information in digital, computer-readable format or paper-based that:

i.   is contained or presented in various ways including notes, facts, figures, tables, images (still and moving), audio or visual recordings; and
ii. which is collected, generated or obtained during the course of or as a result of undertaking research (which includes but is not limited to conducting field or laboratory experiments, conducting trials, surveys, interviews, focus groups or analysis of data); and
iii. which is subsequently used by the Researcher as a basis for making calculations or drawing conclusions to develop, support or revise theories, practices and findings.

3.   Scope

a) This policy applies to all research activities undertaken by Kabarak University researchers (staff, adjuncts, honorary, visitors and students) in all disciplines, notwithstanding their location.
b) This policy applies to all research activities in which the University is a participating in as a body corporate.

4.   Due Diligence

This policy requires all researchers undertaking a research activity to ensure that all processes followed in the collection, storage, protection, access and disposal of data are in compliance with laid down ethical, scientific, legal and professional standards as stipulated by the University and other relevant stakeholders, and where applicable, ethical protocols

5. Effective Date

Kabarak University research data management Policy requires that on the effective date

All researchers undertaking research under the auspices of the University prepare and adhere to a data management plan as per the provisions of this policy.

6. Research Data Management Planning

As a minimum, research data planning should take into account and document the following:

  a) Ownership of copyright and other intellectual property;

  b) Ethical requirements, including privacy and confidentiality

  c) The duration for which data must be stored, how and by whom it will be archived, disposed of, or destroyed, at the end of the retention period;

  d) Secure storage and controlled access; and

  e) Documentation and metadata that it can be easily retrieved used and managed beyond the end of the project.

  f) All researchers make available for scrutiny these data management plans and research data by the University research committee as and when required.

8. Ownership and IP Rights

  a) Where intellectual property rights exist or could exist over Research Data which is collected, created or generated by Researchers, then the first owner of the intellectual property right(s) (as between the University and the Researcher) will be determined in accordance with the University's Intellectual Property Policy.

  b) Subject to clause 10.7 (a) or if no intellectual property rights exist in the Research Data or subset thereof, the University is the owner of all legal rights in relation to the Research Data which is collected, created or generated by Researchers. Accordingly the University shall be entitled to enter into agreements governing among other things the sale, supply, transfer, access to or use of the Research Data in question. These agreements will be subject to the intellectual property rights of third parties (if any) and the contractual obligations of the University.

  c) Where research involves external funding and/or collaboration with other institutions or external parties, intellectual property rights ownership and rights of use should be dealt with in the relevant contract prior to commencement of the project and adhered to by the Researchers. It is recommended that where possible, the contract identify a process for research data management which is consistent with the broad objectives of this Policy. All Researchers must be aware of the data management plan submitted as part of the research bid (where applicable) and adhere to the contractual obligations governing research data (as defined in the relevant research contract), and the application of this Policy.

d) Where a research project involves usage of data (which may include Research Data) owned or controlled by a third party (who is not a collaborating party), each Researcher must abide by the terms of contract governing the use of that data and ensure that the use of this data will not place the University in breach of its contractual or funding obligations arising under clause 10.7 (c).

9.   University Research Data Repository

The university shall establish a digital and analogue data repository for the storage and archival of research data as is outlined in this policy.

10.   Storage of Research Data and Records

a) As part of responsible conduct of research, researchers should incorporate data storage information into their research data management plan, including processes for the storage of research data and records associated with their research program as well as confidential research data and records.

b) All Researchers shall ensure that all significant Research Data stored in digital and computer-readable form:

   i. is stored securely in a durable format appropriate for the type of Research Data in question;

   ii. is stored with adequate metadata and/or documentation to facilitate identification and support effective reuse of Research Data where this is appropriate;

   iii. is backed-up regularly in accordance with best practice in the relevant field of research;

   iv. subject to clause 10.7, deposited in the Repository or a national or international repository where it is more appropriate to do so. Where Research Data is stored in another repository, an entry must be made in the Repository indicating where the Research Data has been stored.

c) Non-digital Research Data unsuitable for digitization but which is significant should be stored securely protect against theft, misuse, damage or loss.

   i. labeled, indexed or categorized appropriately in order to identify the Research Data in question and support effective reuse of Research Data where this is appropriate; and

   ii. subject to clause 10.7, an entry must be made in the Repository identifying that the Research Data in question is held by the University.

d) In a joint research project, collaborative research or research undertaken in accordance with a contractual agreement data, the researchers will document clearly the procedures for the storage of research data and records

11. Retention of Research Data and Primary Materials

a) Research data and records retention plans must be documented during research data planning

b) Materials and data, whether in hard copy or digital format, must be stored in University facilities/infrastructure.

c) Retention of research data shall take into account the availability of resources for its retention, discipline, type of research, institutional policies, and the requirements of external bodies such as funding agencies and commercial sponsors as well as the retention requirements from funding bodies and applicable national laws.

d) Research Data shall not be retained for a period longer than 10 years unless the following circumstances manifest;

    i. an increased retention period is required to meet the University's statutory obligations, contractual obligations or the guidelines of the body funding the relevant research project;

    ii. the results of the research have resulted in a patent application;

    iii. the results of the research become contentious or subject to challenge at any time during the initial 10 year retention period, in which case Research Data should be retained pending review and not destroyed or otherwise disposed of until the matter is fully resolved.

    iv. the research has a public interest or heritage value.

e) The disposal and destruction of Research Data must be undertaken in accordance with the provisions of section 10.11.

Type of Research Data / Record / Primary Material	Minimum Retention Period	Retention Duration
Research data for short-term research projects that are for assessment purposes only, such as student research projects	Destroy 1 year after last action	Temporary
General research data and results	Destroy 5 years after date of publication or 5 years after conclusion of project	Temporary
Research data created in the conduct of research projects which lead to a patent (excludes clinical trials)	Destroy 7 years after expiry of patent	Temporary
Research data created in the conduct of clinical trials that lead to a patent.	Destroy 10 years after expiry of patent	Temporary
Research data from clinical trials including those that involve adults	Destroy 15 years after action completed	Temporary
Records relating to the actual practice or performance of research including clinical trials. Includes monitoring of progress	Minors - Destroy 30 years after research project completed	Temporary

Research which could be become contentious or subject to challenge	Retain initial 10 year retention period, in which case Research Data should be retained pending review and not destroyed or otherwise disposed of until the matter is fully resolved.	Temporary
Research data from projects involving gene therapy, e.g., patient records	Permanent	Permanent
Research of public interest or heritage value.	Permanent	Permanent
Research data created in the conduct of a research project where the findings have given rise to a widespread scientific interest, involve the use of innovative methods or involve eminent researchers or the research have a potential public or societal impact	Permanent	Permanent

12. Disposal and Destruction of research data

a) Prior to any scheduled disposal and destruction, the relevant Research Data records which have been stored and retained in accordance with this policy should:

   i. be reviewed with a view to their suitability for destruction by the data owner and the appropriate University Faculty;

   ii. the process shall be managed in line with any regulatory and contractual obligations, and in accordance with the sensitivity of the data in question;

b) A record of the disposal or deletion of Research Data originally stored and retained in accordance with this policy, should be logged in the Repository which should include the reason for deletion.

c) Data must not be destroyed without written authorization and documentation of the data and the destruction processes used.

13. Access to Research Data

a) Before sharing Research Data during or after a project it is essential to consider whether this is permissible in light of IPR ownership, ethical, privacy, confidentiality requirements or any legal, regulatory or funding restrictions. In addition, Researchers must consider whether Research Data has commercial potential and in consultation with the University's Directorate of Research and Innovation and Outreach consider if it is suitable for protection and/or transfer under the University's Intellectual Property Regulations.

b) Access to Research Data during the course of a research project should be restricted to the collaborators on the research project in the first instance and only made available to other parties if none of the issues in clause 10.7 are present and with the permission of the research collaborators.

c) To assist in complying with the University's obligations set out in clause 10.2, access to Research Data which is deposited in the Repository may be restricted or embargoed by technical means.

d) Researchers who deposit Research Data in a national or international repository must only do so if the matters set out in clause 10.7 have been addressed and there are no restrictions in place governing the sharing of data.

e) Persons interested in accessing Research Data should forward a formal request using the prescribed form to the Directorate of Research, Innovation and Outreach.

14. Ethical requirements of data management

a) All Researchers shall consider, document and comply with ethical requirements relating to data management using the Kabarak University Research Ethics Policy.

b) All researchers shall respect any confidentiality agreement on stored research data made with participants and ensure documentation of same for the awareness of future users.

c) All researchers shall determine consent processes to contain information about the form in which the data will be stored and the purposes for which the data will be used and/or disclosed.

All researchers shall retain records of confidentiality agreements and consents; and secure data to prevent access by users or for use to which subjects did not consent

OFFICES AND COMMITTEES THAT MANAGE RESEARCH, INNOVATION AND OUTREACH

The achievement of the aims of these policies is dependent upon the establishment and proper functioning of structures in the form of offices and committees with the responsibility for interpreting their various provisions and taking the required action to achieve them.

The following are the offices and structures for the management of research at Kabarak University.

Offices

a) **Vice Chancellor**

The Vice Chancellor provides overall guidance and oversight in the running of research, innovation and outreach activities in the University.

b) **Deputy Vice Chancellor, Academic and Research**

The Deputy Vice Chancellor (Academic and Research) provides guidance and oversight in the running of research, innovation and outreach activities in the University.

c) **Deputy Vice Chancellor (Administration and Finance)**

The Deputy Vice Chancellor, Administration and Finance provides guidance and oversight in the administrative and financial aspects in the running of research, innovation and outreach activities in the University.

d) **Registrar (Academic and Research)**

The Registrar, Academic and Research supports the Director, Research, Innovation and Outreach in the running of research, innovation and outreach activities in the University.

e) **Director (Research, Innovation and Outreach)**

The Director, Research, Innovation and Outreach shall oversee the day to day running of research, innovation and outreach activities in the University.

The University may from time to time appoint additional officers to be in charge of various aspects of research, innovation and outreach as need arises.

COMMITTEES SUPPORTING RESEARCH, INNOVATION AND OUTREACH

a) **University Senate**

The University senate provides oversight and approves research policies in the University.

b) **Deans and Research Committee**

The deans and research committee provides guidance on the conduct of research activities in the University.

c) **Board of Postgraduate studies**

The board of postgraduate studies oversees the conduct of graduate student research in conjunction with the respective schools.

d) **School Research Committees**

The school research committees work with Directorate of Research, Innovation and Outreach in;

i. Promoting research among faculty and students in the respective schools
ii. Organizing school conferences, seminars and workshops.
iii. Organizing outreach activities at the school.
iv. Identifying partners and establishing research linkages at the school
v. Overseeing publication of the school journal or journal issues in the University journal.
vi. Identifying and nurturing innovations at the school.
vii. Identifying and managing ethical issues in research.

The membership of the school research committee shall be as follows;

i. The dean of school
ii. The school research chair
iii. The school editorial and publications coordinator
iv. The school innovations and business incubation coordinator
v. The school outreach and linkages coordinator
vi. The school ethics committee representative
vii. Any other member/s appointed by the dean of school

The respective members shall also represent the school at the University research committees as follows;

i. The dean of school - Deans and Research Committee
ii. The school research chair – Research Committee
iii. The school editorial and publications coordinator – Editorial and Publications committee
iv. The school innovations and business incubation coordinator – Innovations and Business Incubation Committee
v. The school outreach and linkages coordinator – Outreach and Linkages Committee

vi. The School ethics committee representative – Institutional Ethical Review Committee

e)   **Research Committee**

Terms of Reference

The following are the proposed terms of reference for the committee.
i.   To develop policies, processes and guidelines on research at the University.
ii. To oversee the management of the University research fund.
iii. To oversee the establishment and operations of research centers and institutes in the University.
iv. To oversee the organization and execution of research conferences, workshops and symposia at the University.
v.   To oversee the processes for the application and management of research grants.
vi. To establish and oversee the structures and processes for the dissemination of research outputs at the University.
vii. To identify and address needs related to research infrastructures, processes and other support required by researchers.
viii.   To organize for research capacity building for faculty and students.

Membership

The committee will comprise of the following members;

i.   Senate representative – Full or Associate Professor
ii. Director, Research, Innovation and Outreach
iii. Research Coordinators
iv. Director Post graduate studies
v.   School Research Chairs.
vi. Director, Excellence in Learning and Teaching.
vii. Director, Quality Assurance.
viii.   University Librarian

Duration of appointment – 2 years
Chair to be elected by the members from among the school or senate representatives.

f)   **Editorial and Publications Committee**

Terms of Reference

The following are the terms of reference for the committee.

i.   To develop editorial and publication policies, processes and guidelines for the University.
ii. To establish and maintain vibrant University journals and other publications.
iii. To identify reviewers and editors for the University publications
iv. To organize training programs for faculty and students in the area of academic publications
v.   To provide support for University conference submissions review and publications.
vi. To embark on the process of the establishment of the Kabarak University Press

Membership

The committee will comprise of the following members;

    i.   Director, Research, Innovation and Outreach
    ii. Coordinator, Editorial and Publications
    iii. School Representatives
    iv. University Librarian

Duration of appointment – 2 years
Chair to be elected by the members from among the school representatives.

g)   **Innovation and Business Incubation Committee**

Terms of Reference

The following are the terms of reference for the committee.

    i.   To develop policies, processes and guidelines on innovation management at the University.
    ii. To develop and run training programs for innovators on areas such as innovation, entrepreneurship, commercialization, IP Protection and in other technical areas required.
    iii. To establish innovation activities in all schools / disciplines
    iv. To identify commercially viable ideas and support their business incubation.
    v. To provide support for innovation in areas such as commercialization and IP protection.
    vi. To organize events to identify, expose and reward innovators.
    vii. To establish, equip and furnish an innovation center at the University

Membership

The committee will comprise of the following members;

    i.   Director, Research, Innovation and Outreach
    ii. Coordinator, Innovation and Business Incubation.
    iii. School Representatives
    iv. General Manager, Kabarak University Enterprises

Duration of appointment – 2 years
Chair to be elected by the members from among the school representatives.

h)   **Outreach and Linkages Committee**

Terms of Reference

The following are the terms of reference for the committee.

    i.   To develop policies, processes and guidelines on outreach and linkages at the University.
    ii. To establish and oversee outreach activities in all schools.

iii. To establish and oversee linkages with the community and industry in all schools.
iv. To organize and attend community and industry outreach programs and events to identify needs and to share University research outputs.

Membership

The committee will comprise of the following members;

i. Director, Research, Innovation and Outreach
ii. Coordinator, Outreach and Linkages
iii. School Representatives
iv. Marketing Manager

Duration of appointment – 2 years
Chair to be elected by the members from among the school representatives.

i) **Institutional Ethical Review Committee**

Terms of Reference

The following are the terms of reference for the committee.

i. To develop policies, processes and guidelines on ethical review at the University.
ii. To review, evaluate and decide on the ethical merits of research proposals in order to ensure and guarantee the rights, dignity, safety and protection of actual or potential individuals, animals and communities who participate in research.
iii. To ensure compliance with ethical standards,
iv. To provide advice and assistance with regard to ethical standards to anyone undertaking such research or teaching, and
v. To handle complaints or queries made by any interested person with regards to ethics in a research activity.
vi. To grant ethical approval for research activities by University staff, students and other parties seeking review and approval from Kabarak University.

Membership

The committee will comprise of the following members;

i. Director, Research, Innovation and Outreach
ii. A coordinator from the Directorate of Research, Innovation and Outreach
iii. School Representatives
iv. Director, Quality Assurance
v. Member of the community

Duration of appointment – 2 years
Chair to be elected by the members from among the school or senate representatives.

APPENDIX ONE

Provisions for Transition

The University acknowledges that there may be existing Research, Innovation and Outreach activities for which the requirement to adhere to these policies may violate contractual obligations.

The University therefore requires the following;

a) That all researchers familiarize themselves with the provisions of these policies and identify any potential areas of conflict between these policies and existing contractual obligations.

b) That the researchers bring these identified issues to the attention of the University through the office of the Director, Research, Innovation and Outreach.

c) That the researchers make reasonable attempts to request for revisions of these conflicting provisions in agreement with the other parties to the contract.

d) That no contracts with provisions conflicting with the requirements of these policies be renewed after the effective date of these policies before these provisions are addressed in order to comply with the requirements of these policies.

e) The University may chose to terminate any existing contracts if they are in serious conflict with the requirements of these policies and where no satisfactory amendments to the contracts can be agreed upon by the parties in line with the provisions of the respective contracts.

APPENDIX TWO

Conflict Resolution

Any conflicts arising between;

i.   individual researchers

ii.   the University and a researcher

iii.   the University and a third party

on a Research, Innovation or Outreach activity or any provisions of these policies shall be addressed as follows;

1. **Step 1:** An amicable discussion and agreement between the parties.

2. **Step 2:** A formal and minuted discussion between the parties and the relevant committee where the committee is not a party to the conflict either directly or on behalf of the University.

3. **Step 3:** A formal and minuted discussion between the parties and the Deputy Vice Chancellor in charge of Research where the office of the Deputy Vice Chancellor in charge of Research is not a party to the conflict either directly or on behalf of the University.

4. **Step 4:** A formal and minuted discussion between the parties and the University Vice Chancellor.

    - The Vice Chancellor will be at liberty to require any organ, department or office within the university to participate in the process when the matter reaches their attention.

    - The decision of the Vice Chancellor shall be final.

APPENDIX THREE

Revision of these Policies

These policies shall be revised in whole or in part as follows;

1. When need arises due to changes in the Research, Innovation and Outreach practices, laws and other circumstances within or without the University that render its provisions illegal, outdated, unethical, unprofessional, impractical or irrelevant.

2. The revision process:

   i. can be initiated by any researcher in the university through a formal submission to the relevant committee through the office of the Director Research, Innovation and Outreach.

   ii. shall be initiated by the Director Research, Innovation and Outreach 6 months before the fifth anniversary of its approval by the University senate.

   iii. shall ensure that all stakeholders are formally engaged and that this engagement is documented.

3. The revisions shall be considered by the Deans and Research Committee for recommendation to the University Senate which shall either approve, reject them or require amendments before approval.

4. The decision of the University Senate shall be final on the approval and implementation of these policies.

Kabarak University Moral Code
As members of Kabarak University family, we purpose at all times and in all places, to set apart in one's heart, Jesus as Lord.
(1 Peter 3:15)

Kabarak University is ISO 9001:2015 Certified

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