



**KENYATTA UNIVERSITY
OFFICE OF THE DEPUTY VICE CHANCELLOR (RESEARCH,
INNOVATION AND OUTREACH)**

**GUIDELINES FOR THE VICE CHANCELLORS'
RESEARCH AND INNOVATION GRANT**

NOVEMBER 2019

I. BACKGROUND INFORMATION

Kenyatta University is a public university established in 1985 through the Act of Parliament - Kenyatta University Act 1985 and later revised by the Kenya University Act 2012 upon which Kenyatta University was awarded its current Charter. The University is an equal opportunity premier institution with a strong agenda for Research, Innovation and Outreach this is well captured in its identity statement "*A community of scholars committed to the generation and dissemination of knowledge and cultivation of wisdom for the welfare of society.*" Kenyatta University is among the top institutions in the region in reference to the quality and breadth of its research enterprise, its scholarly distinction, its excellence in Ph.D. programs and its research programs. Kenyatta University's core research community is made up of over 1,000 full time faculty, technical staff, postgraduate and undergraduate students participating in cutting edge research. The university annually solicits research proposals from members of the university academic staff for consideration for funding through the Vice Chancellor's Research Grant. To be funded, research proposals are expected to be robust and in line with the University's Strategic and Vision Plan and Kenya Vision 2030.

II. OBJECTIVES OF THE VICE CHANCELLOR'S RESEARCH GRANT

One of the strategic goals of Kenyatta University is to promote research, science, technology and innovation. The objectives of the Vice Chancellor's Research Grant are to:

- a) Promote a research culture in the University
- b) Enhance research capacity among middle career faculty members
- c) Strengthen adherence to research ethics
- d) Promote the utilization of research findings for societal development
- e) Promote collaborative research between and within disciplines in the University
- f) To strengthen university industry partnership
- g) To promote research uptake

III. ELIGIBILITY

To be eligible for the Vice Chancellors' Research Grant:

- a) The applicant must be a full time member of staff at Kenyatta University
- b) The applicant must have no research ethics disciplinary record.
- c) The project must be within the priority areas of focus for the 2019/2020 call in-line with the University's Vision and Mission, Kenya's Big Four Agenda as well as Kenya Vision 2030.
- d) The project must be original and innovative in nature
- e) **A researcher is eligible to submit only one application for funding in any given call. A researcher whose name appears in other applications will be penalized.**
- f) The applicant should not in any way be involved in the administration of the Vice Chancellors Research Grant including playing an advisory role on the fund due to conflict of interest and for purposes of protecting the integrity and image of the University Research management.

- g) In the event that a member of University Research Advisory Board (URAB) wants to apply for the Grant, then they must first resign from the board prior to applying.
- h) Person(s) applying should have relevant qualifications and competence in the subject area of the proposed project.
- i) Applications must be received before the deadline.

IV. GENERAL GUIDELINES TO GRANT APPLICANTS

- a) The University shall award grants for proposals that promote interdisciplinary/interschool research projects subject to availability of funds. The interdisciplinary of the proposal must be evident in the entire proposal apart from the composition of the research team. The maximum amount of grant funding for interdisciplinary/interschool research projects shall be Ksh. 2,000,000 per proposal. The grant shall be awarded for a maximum period of 3 years subject to submission of satisfactory technical and financial reports.
- b) The University shall also award grants for proposals submitted by individual researcher subject to availability of funds. The maximum amount of grant funding shall be upto Kshs. 1,000,000 per proposal. The grant shall be awarded for a maximum period of 1 year subject to submission of satisfactory technical and financial reports.
- c) Applicants who have received funds from other sources for the same proposal must justify their application for the Vice Chancellor's Research Grant.
- d) Applicants MUST submit their proposals to the Turn-it-in software available at the University Library and present an authentic certificate on the same together with the proposal.
- e) All members of a research team must sign the research proposal before submission for consideration to signify their consent to participate in the research project

V. SPECIFIC GUIDELINES

Proposal submission Guidelines

The proposal should be submitted in the official application form available on the website at

No reorganization of the structure of the application form is allowed.

A. Proposal Formatting:

- **File Type:** Word with an exception of the appendices (*truncated CV, project team endorsement page and turn-it-in certificate*)
- **Font:** Times New Roman
- **Text (Including references):** Single-spaced

B. Document Organization:

To facilitate the blind peer-review process, *project team endorsement page/applicant(s) details page should be separated from the proposal submission form and submitted as*

separate attachments. Identifying information should not appear anywhere within the Proposal application form.

Application form consisting of:

- ✓ Project Title
 - Thematic area
 - Abstract/executive summary (150-200 words max)
- ✓ Background
- ✓ Objectives and Expected outcomes
- ✓ Key deliverables
- ✓ Methodology
- ✓ Results Uptake
- ✓ Risk management
- ✓ Budget
- ✓ Plan of activities
- ✓ Project team
 - Expertise and role in the project
- ✓ References
- ✓ Appendices **Submitted as a separate attachment**
 - *Truncated CV (CVs for each of the team members. Each CV should be maximum one (1) page long, with the exception of PI's CV which can be of maximum Two (2) pages.*
 - *Project team endorsement page (duly signed by all members of the team)*
 - *Turn-it-in Certificate*

Budget

- a) Approved projects will be eligible for funding for the specified timeframe only.
- b) Funding for continuing projects will be subject to satisfactory progress and financial reporting
- c) Funds will be disbursed upon achievement of specific milestones as will be outlined in the contractual agreement and on satisfactory progress and accounting of the earlier amount.
- d) Personnel costs should not take more than 25% of the total budget
- e) The grant does not support international travel and/or attendance of international conferences outside the country (Kenya)
- f) The Budget should be clearly itemized and justified, drawn up using the allowable costs in (Ksh) in the following budget lines:
 - i. *Consumables/Expendable supplies*
 - ii. *Equipment*
 - iii. *Documentation*
 - iv. *Travel (local travel only)*
 - v. *Extra personnel*
 - vi. *Dissemination of Results and other outputs*
 - vii. *Other costs*

VI. ASSESSMENT CRITERIA

Each proposal shall undergo a blind review and shall be assessed independently by a minimum of 3 subject specialists (peers) selected from within and outside Kenyatta University and reports submitted to University Research Advisory Board (URAB) for consideration within two months from the date of receipt of proposals. URAB shall rank the proposals on the basis of the reports from reviewers and submit its recommendations to the University Management through the Deputy Vice Chancellor (Research, Innovation and Outreach) for consideration and final decision.. The reviewers shall exercise confidentiality, fairness and declare conflict of interest where one exists. The following criteria shall guide the reviewers:

a) *Title and Relevance of the proposal (15%)*

- Provide the title of the proposal and details of the applicant(s)
- Provide an abstract of not more than 250 words

b) *Scientific design and methodology of the study (40%)*

This will include the clarity of the hypothesis or research objectives, the strengths and weaknesses of the study design and the feasibility. Further, the reviewer will consider the following:

- Scientific basis and the appropriateness of the study design including methodology for data collection
- The justification of predictable risks weighed against the anticipated benefits
- The adequacy of the study site, including staff and facilities
- The manner in which the results of the research will be disseminated
- Evidence for seeking ethical approval before commencement of the study.

c) *Significance and/or innovation (30%)*

This will include the potential to increase knowledge in the relevant area, or the application of new ideas, procedures, technologies and programmes that will impact on national development goals or achievement or on the implementation of Kenyatta University's Vision and Strategic plan. The reviewer will have community considerations in mind in relation to:

- Impact and relevance of the research on the local community.
- Community consultation during the course of the research.
- Contribution of research to capacity building.
- Availability and affordability of study products to the community.

d) *Track record, relative to opportunity available to the researcher (15%)*

This will be considered in terms of whether the applicant's previous research demonstrates that the researcher (or team) is capable of achieving the proposed project and/or ability to deliver the project in terms of the appropriate mix of research skills and experience. Track record may also encompass the researcher's standing in terms of:

- Research outputs
- Contribution in the discipline or area
- Other research related achievements

Applicants are advised to submit a 1-page summary of their bio-data or truncated Curriculum Vitae with the exception of PI's CV which can be of maximum Two (2) pages.

VII. SPECIFIC GUIDELINES FOR GRANT RECIPIENTS

- a) The grant shall not be transferable to any other person or institution.
- b) In the event that someone resigns from the employment of the University, the research team shall nominate a qualified member of the team to serve as principal investigator.
- c) Funds received through the Vice Chancellor's Research Grant shall not be used to purchase items such as laptops, printers, cameras, scanners, photocopiers, vehicles, etc.
- d) Researchers shall expend the funds to undertake research activities and adhere to the work plan, as set out in the approved research proposal without any amendments except where there is a written approval for variations by the Vice Chancellor.
- e) The Grant shall be released only after the grant contract has been duly signed by the researcher and the University.
- f) Researchers will be obligated to participate in activities related to dissemination of the research findings as may be deemed necessary.
- g) Grant recipients shall not be eligible to apply for the VC's Research Grant until one (1) year after the submission & approval of both the technical and financial reports of the previous grant.

VIII. CONTRACT EXPIRATION AND TERMINATION

All projects will end on the date specified in the Grant contract and will not be extended or renewed unless under special circumstances and with approval of the University Management.

IX. TERMINATION OF THE GRANT CONTRACT OR FUNDING

- a) The Grant contract may be terminated by either party by giving a 30-days' written notice to the other party, as specified in the grant agreement.
- b) Funding may be suspended or terminated if the researcher fails to comply with the terms and conditions of the Grant agreement.
- c) In the event of termination of funding for technical reasons, the researcher(s) may be required to refund monies if the need project is established.

X. PUBLICATION AND DISSEMINATION

To maximize the benefits from research and as broadly as possible allow access by other researchers and the wider community, the Vice Chancellors' Research Grant beneficiaries shall

be required to publish and disseminate their findings in refereed journals or peer attended fora. The grantee shall;

- a) **Submit copies of any publications arising from research activities funded by the Vice-Chancellors' Research Grant to the office of the DVC (RIO).**
- b) **All papers published and conference presentations made must acknowledge the Vice-Chancellors' Research Grant and Kenyatta University.**

XI. MONITORING, EVALUATION AND REPORTING

- i. The Division of Research, Innovation and Outreach shall carry out the monitoring and evaluation of all funded projects and report to the University Management.
- ii. Researchers will undertake to adhere to the following reporting and monitoring mechanisms:
- iii. Submit technical, financial and ethics reports (where applicable) to the office of the Deputy Vice Chancellor (Research, Innovation and Outreach) before disbursement of any subsequent research funds
- iv. Submit final technical and financial report at the end of the project in both hard and electronic copies to the University Management through the Division of Research, Innovation and Outreach).
- v. The structure of final technical report should follow internationally accepted format for presentation of technical and scientific works. The components of the report should be:

- i. Abstract*
- ii. Table of Content*
- iii. Introduction*
- iv. Methodology*
- v. Results and Discussion*
- vi. Conclusion*
- vii. Recommendations*
- viii. Financial Statement*
- ix. References*
- x. Key outputs*
- xi. Appendices*