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RESEARCH, GRANTS AND CONSULTANCY POLICY

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1.0 Interpretation of Operational Terms of the Policy

i. Grants: are non-repayable funds or products disbursed or given by one party, often a government department, corporation, foundation or trust, to a recipient, often a non-profit entity, educational institution, business or an individual.
ii. Research: a careful consideration of study regarding a particular concern or problem using scientific methods (the methods are both inductive and deductive). Or, it is a systematic inquiry to describe, explain, predict, and control the observed phenomenon.
iii. Consultancy is a defined service in which the member of staff's expertise is given, for a fee or in-kind benefit, to assist or advise in relation to problem-solving whilst applying existing knowledge. Consultancy contracts are generally of a short duration and are not normally carried out over a continuous, long period of time. Consultancy can be provided to clients from public, private, charitable or voluntary sectors by individuals, consultancy units or groups of academics responding on behalf of an approach or tender.

1.1 Background of MRU

Muteesa I Royal University (MRU) was offered an operational license by the National Council for Higher Education (NCHE) in 2005 and started its operations in 2007. The founding Chancellor of the University, who is also its Visitor, is His Majesty the Kabaka, Ronald Muwenda Mutebi II.The genesis of modern education in Uganda is historically associated with the Kingdom of Buganda owing to the role that Sekabaka Muteesa I played in inviting the missionaries who introduced education in Uganda. Owing to this history, it is only befitting that the University was named after this visionary leader. Hence, the University was named after the 31st King of Buganda who was a monarch of great vision, Kabaka Muteesa I (1856-1884). MRU is a skills training, academic and research-oriented institution of higher learning that was established as a private institution. The initiative was promoted by the Executive Committee (EC) of the Buganda Kingdom, headed by the *Katikkiro* (i.e., Prime Minister).

1.2 Strategic Goals of MRU

The Strategic Goals of MRU are as follows:

a. To produce graduates with all-round competencies and skills to be able to initiate self-employment activities or compete for jobs in the global market;
b. To promote research and encourage students and staff to publish;
c. To build and expand collaboration and engagement with the community, the alumni, and industry and business, and to equip students with practical skills while empowering the community; industry &business to develop local solutions;
d. To strengthen MRU's human resource capacity;
e. To achieve a sustainable financial resource base;
f. To improve the administrative and organizational arrangements of MRU with a view to achieving efficiency and effectiveness in all sections of MRU; and
g. To construct or acquire, rehabilitate and maintain buildings, equipment, implements, ICT facilities and land particularly for the growth and development of its niche.

1.3 Vision of MRU

The Vision of MRU is to be "a leading university responding to contemporary challenges through teaching and learning, research and technical guidance".

1.4 Mission of MRU

The Mission of MRU is "to provide training, research and technical guidance responsive to national socio–economic needs".

1.5 Core Values of MRU

The core values of MRU are as follows:

i. Professionalism; Professionalism is a trait that's highly valued in the human resource of any organization. It has many attributes, including: (a) Specialized knowledge, (b) Competency, (c) Honesty and integrity, (d) Respect, (e) Accountability, (f) Self-regulation, and (g) Image.
ii. Respect for Diversity;
iii. Cultural Sensitivity;
iv. Tenacity; and
v. Team Spirit.

2.0 Introduction of the Policy

This policy sets forth the guidance on MRU's Grants Office (GO), research and consultancy by providing it with a uniform set of minimum procedures to govern the practices and procedures of the running of grants, research and consultancy. As regards grants, it offers the requirements for announcing the availability of funding, including both external and internal funds. The policies and procedures for use by the GO ensure the consistent implementation of legislation, regulations, and practices while handling grants and compensation of all entitlements. The policy is for internal use by GO personnel and does not create any rights or liabilities with respect to the public or any third party. It is to be used by operating units, GO, and all involved in the administration of grants. The generation of a profitable income stream from a diverse range of activities is a crucial part of the MRU's long-term Corporate Strategy. Consultancy has been identified as a means to create resources which can aid the development of the core activities of MRU, particularly research. MRU is, therefore, committed to supporting staff to make the most of research and consultancy opportunities whilst ensuring that issues relating to contracts and institutional liability are managed effectively.

3.0 Objectives of the Policy

a) To provide guidelines and procedures for managing and implementing research and consultancy endeavors within MRU;
b) To aid the creation of an environment that encourages and rewards a vibrant research, scholarship, consultancy, and innovation culture;
c) To provide mechanisms that support quality research within MRU through its documented quality systems, procedures, standards, and regulations;

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d) To contribute solutions to academic and societal challenges through the inclusion of students, staff and societal actors using diverse academic points of views, applying relevant techniques to research questions or problems in a scientifically rigorous manner;
e) MRU's consultancy is an activity it values and which it seeks to encourage. This policy, therefore, aims to increase transparency and clarity of consultancy activities as well as to facilitate procedures that will support members of staff in the delivery of the consultancy within a clearly understood framework;
f) to simplify processes and clarify the use of documentation, as well as to ensure that appropriate attention is paid to:

i. protection of the name and reputation of the MRU;
ii. ensuring the activity is supported within the framework of MRU's teaching workload and balanced between Research and Teaching priorities; and
iii. Ensuring that research and consultancy are carried out in a transparent and professional manner and in accordance with all appropriate legal guidelines.

4.0 Application of the Policy

This policy shall be applicable to employees of MRU and students under the management and control of the Faculties/Academic Departments, when conducting any related grants, research and consultancy activities.

5.0 Grants Management at MRU

5.1 University Office Sponsored Programmes

The administration of sponsored programmes at MRU provides an integrated team of professionals serving the needs of the Faculty pursuing externally funded projects, research support and scholarship excellence. The team provides the support, both administrative and financial, for pre- and post-award processes involved in promoting and managing external funding from state, local and private sources.

5.2 Grants Office (GO)

The GO aids Faculty members in locating and obtaining funding opportunities to support research projects and consultancy to advance scholarship. Services include, but are not limited to, searchable online funding databases, grant writing seminars and workshops, proposal development, administering research compliance, and travel support to national funding agencies. Additionally, the office acts as MRU's representative in pursuing partnerships and collaborative agreements with entities outside MRU. The GO is the central point of coordination for sponsored projects, representing the Vice Chancellor's authority over academic activity at MRU. The Director of Grants Office serves as MRU's representative and authorized institutional official for grants, contracts and other agreements from government agencies and private industry. The GO is responsible for pre-award, post-award and compliance activities related to internal and external grants, contracts and other sponsored program pursuits. It also assists Faculty staff with proposal

preparation (agency forms and budget preparation), proposal submission, post-award account set-up and monitoring in coordination with Grants Accounting, negotiating research-related agreements, and other post-award activities such as time extensions and budget modifications. The GO staff work hand-in-glove with the Accounts Office, particularly with the Principal Investigator (PI) for Grant Accounting on all financial aspects of sponsored project administration. The Grants Office researches, cultivates and approaches friends, corporations and philanthropic foundations to be donors or sponsors of MRU's life and activities. The GO coordinates with Development Partners in several ways:

i. As the clearinghouse for MRU's Faculty and staff seeking external funding from corporations and private foundations;
ii. As expert advisors on unsolicited approaches(letters, visits) to entities referenced above; and
iii. As the lead institutional office when sponsor has a pre-existing relationship with MRU's development or when the sponsor's funding is likely to be more of a gift than a grant. The Office of the Vice Chancellor requires proposals from Faculty members to be reviewed by the GO regardless of which MRU office is taking the lead in proposal preparation and submission. The Faculty member is responsible for sending the proposal routing form through the appropriate chair and Dean to the GO and the Vice Chancellor.

5.3 Office of Finance

The Controller's Office, primarily through the Bursar's Office, is responsible for post-award administration of financial matters, reviewing and analyzing expenditures, expenditure reporting to sponsors and outside agencies, and preparation of the facilities and administrative cost-rate proposal. The proposal's Principal Investigator (PI) or Project Director (PD) and the appropriate Faculty's/School's/Institute's Project Officer work directly with the Grants Accountant from the Bursar's Office to ensure financial compliance and appropriate allocation of funds.

5.4 University Policies Related to Grants and Agreements

5.4.1 General MRU Policy Overview

External funding is an integral part of today's academic environment. Hence, MRU encourages Faculty members to seek external funding for programs and scholarship that supports its Mission and Vision. The ultimate responsibility for managing these projects belongs to the PI or PD, assisted by the academic Head of Department and staff. All applications, proposals, and contracts for research funding, training, and other research-related activities, are made in the name of MRU. The Board of Trustees has empowered a select number of officials to request and accept grants, contracts, and other related agreements on MRU's behalf. Thus, only those officials designated by the Board of Trustees of MRU may bind it.

5.4.2 Incentive

Once a project has been won and awarded to MRU, it offers a bonus equivalent of 4% of the total project funds to the initiator of the project and 3% to the GO.

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5.4.3 Eligibility

To be able to apply for external funding at MRU, an individual must be a full-time Faculty member with one of the following appointments: Assistant Professor, Associate Professor, Professor, Distinguished Professor, Academic Professional, Senior Lecturer, and Lecturer. Visiting Professors, part-time Faculty members, and other research interested partners must receive prior approval from the Vice Chancellor upon recommendation by a Dean before applying for external funding. This will be followed by agreements with all external parties involved.

5.4.4 Contractual Liability for Sponsored Programmes and Research

If an application/proposal/contract is not processed through the proper channels of MRU and is subsequently funded there is the risk of the award not being accepted, or a delay in accessing funds. Additionally, if a project is solicited by a third-party, and work is performed on this project in absence of a recognized and fully-executed grant or contract, the PI/PD alone maintains ultimate liability for any and all requirements of the research programme. Further, the PI/PD must reimburse MRU for any and all costs associated with the use of its resources commonly associated with the pursuit of this research.

5.4.5 Project Costs

MRU expects the sponsor of the project to pay the actual costs for conducting the activity. These costs include both the direct costs and facilities and administrative [financial and administration (F&A) or indirect] costs incurred by the PI/PD during the conduct of a project. Direct costs can be clearly identified and directly benefit a specific project - salaries, consultant cost, equipment, laboratory supplies, travel, other expenses, and consortium/contractual costs. F&A costs (also referred to as indirect or overhead costs) are generally those institutional infrastructure costs that cannot be easily attributed to an individual project or monitored on an individual basis, and include building and equipment use, operations, maintenance, utilities, general departmental administration, telecommunications, library resources, and capital improvements. Each grant is expected to pay its proportional share of these infrastructure costs.

5.4.6 University Resources

MRU encourages its Faculty members to interact with business, industry, public and private foundations, government agencies, and religious and other educational institutions in appropriate ways. Such interaction assures the relevance of MRU's Mission of teaching, research and service. MRU employees may not use its resources (including any person, money, or property) under their official control or direction or in their custody, for personal benefit or gain, or for the benefit or gain of any other individuals or outside organizations.

The use of research resources, including laboratories and research equipment, should not be used for consolatory activities. In such cases where research equipment is

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needed, the sponsor should enter into a sponsored research agreement with MRU to ensure that it is reimbursed for expenses incurred to provide and maintain these facilities. In cases where MRU's resources are utilized in the absence of a sponsored programme agreement, the Faculty member will assume all responsibility for reimbursing it for rental fees and/or royalties earned from these activities.

5.5 Research Integrity

MRU's personnel are expected to adhere to the highest ethical standards for all research and scholarly work. It is the responsibility of every PI/PD to maintain the integrity of research projects by keeping accurate, permanent, and auditable records of all experimental protocols, data, and findings, and to charge other contributors with the same standards.

5.6 Financial Conflict of Interest

MRU's employees should conduct their affairs so as to avoid or minimize real or apparent Conflicts of Interest, including financial conflicts of interest and conflicts of commitment. MRU's Conflict of Interest describes its regulations for Conflict of Interest. This Policy is intended to serve as a primer for Faculty members in structuring their relationships with business entities in view of their primary academic responsibilities to MRU. The Policy is not intended to eliminate all situations of Conflict of Interest, but rather to enable the Faculty to identify and avoid real or apparent Conflicts of Interest.

Any real or apparent Conflict of Interest should be reported to the Vice Chancellor's Office. If potential Conflicts of Interest involve sponsored program activities, these conflicts should also be reported to the Vice Chancellor and the GO so that a proper disclosure and review can be performed before any sponsored program is initiated. In most cases, a Conflict of Interest may be managed or avoided through proper guidance in structuring an appropriate relationship and through thorough review, disclosure, and monitoring processes.

5.6.1 Financial Conflict of Interest Disclosure

Before a grant application can be sent to a sponsoring agency, the GO must have a financial Conflict of Interest disclosure statement on file for all key personnel listed in the application. All research applications to state agencies require certification that the investigators conducting the research do not have a Conflict of Interest that might compromise the conduct of the proposed research or the interpretation of the results of the research.

5.7 Cost Sharing on Equipment Proposals

Typically proposals requesting acquisition of a major piece of equipment require institutional cost-sharing per the sponsor's guidelines. However, MRU has a limited pool of money for cost-sharing. The proposer, with the assistance of GO, should coordinate the support of the academic Head of Department, Dean and Vice Chancellor to ensure that the fund is committed wisely to support research or activity central to the Department, College/School/Institute, and MRU priorities.

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5.8 Publication Policy

Publication of new knowledge is a right and an obligation that is fundamental to an academic institution. MRU retains the right to publish all works derived as a result of its Faculty's efforts in support of research and scholarship through grants, contracts and gifts. The right to approve any publication or edit the content of Faculty's work by individuals or sponsors outside of MRU is also strictly prohibited. Reasonable publication delays may be negotiated prior to submission to allow the sponsor to review a publication for the inadvertent disclosure of sponsor's confidential information, permit review for possible premature disclosure of patent application information, or to allow for the filing of a patent application. However, in any and all cases, the final publication decision rests with MRU.

5.9 Support of Research or Educational Programming

MRU accepts unrestricted gifts of funds to support classroom innovations, research and scholarship activities. Monetary gifts from foundations, individuals or other sources and the processing of non-cash gifts of equipment and other items of use in MRU's programmes are coordinated through the GO. Gifts for research are contributions by donors, usually non-profit or for-profit organizations, to MRU to fund scholarly activities and research. Typically, a gift for research is any item of value given by a donor who expects nothing of significant value in return, other than recognition and disposition of the gift in accordance with the donor's wishes. Funds for Sponsored Programs refer to research, instruction, and public service grants and contracts undertaken pursuant to a proposal submitted by the investigator that specifies the line of inquiry. Such arrangements require the prior approval of MRU and the sponsoring agency and may be initiated in response to a sponsor's request for proposals, or may be submitted at the initiative of the PI.

5.10 Proposal Preparation

The individual serving as PI or PD for a proposed project is responsible for preparation of the proposal following MRU's policies and procedures as well as guidelines provided by the anticipated funding agency. Coordination with the GO ensures that conflicting institutional requests for foundation resources are avoided. Regardless of the funding source or sponsor, all proposal submissions for sponsored activity must be processed by the GO.

5.11 Signature Authority

The Director of the GO serves as MRU's representative and authorized institutional official for grants, contracts and other agreements from government agencies and private industry. In the Director's absence, the GO will coordinate obtaining the signature of the Vice Chancellor.

5.12 Role of Grants Office

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The Faculty considering writing a proposal to support a program idea or research project should contact the GO to avail themselves of all possible services of the office. Services include, but are not limited to, targeted searches for sponsors, award and programme research (past grantees, abstracts of winning proposals), proposal development, editing, budget development and spreadsheet building, and travel support for agency visits, if appropriate. Should collaboration with another university be planned, the GO will coordinate the compliance and commitment documents needed.

5.13 Locating Funding Opportunities

Through the GO, MRU shall create a database which has information regarding funding agencies both locally and internationally.

5.14 Faculty Review Board

If human subjects are to be included as part of a research study, the protocol must be reviewed and approved by MRU's Institutional Review Board (IRB), regardless of whether research funding is being sought. After review, the PD will receive written notification of the IRB action. Studies may not begin until a sponsored research agreement is fully executed and the protocol is approved by the IRB. Approved protocols are required by regulatory law to receive continuous review and approval at least annually.

5.15 Proposal Format and Content

Proposal format may vary greatly between different sponsors. Detailed instructions are most often found within the sponsor's grant proposal guidelines or on the sponsor's website.

5.16 Budget

Using a detailed budget form, the GO can assist PIs in formulating a comprehensive project budget. Budgets must adhere to a sponsor's and institutional costing policies regarding sponsored programs and contracts, as follows:

a. Cooperating with Institutions and Organizations: formal consortium/partnership agreements are executed when any substantial portion of a project is to be performed by another institution. Early in negotiations with any cooperating institution or sub-awardee, contact the GO, for assistance, in acquiring the necessary documentation for the comprehensive proposal budget;
b. Partnering with Industry: MRU-Industry partnerships for the purpose of seeking funding cooperative research initiatives, such as Small Medium Enterprises Innovative Research (SMEIR) programs, may require formal agreements between the parties. In these cases, the GO should be involved, coordinating with the Vice Chancellor, so that such partnerships can be fully developed; and
c. Fringe Benefits: Fringe benefits include such items as Social Security, MRU retirement programs, health insurance, life insurance, and disability insurance. Average rates are used for assessing the costs of a project. Typically, fringe benefits are a direct charge to the grant or contract, and most forms that MRU Faculty members fill out will indicate lines for fringe benefits on project staff salaries.

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5.17 Proposal Submission

All requests for external funding, regardless of source, must be processed through the proper channels of MRU before initiation of effort on the project. Without an award agreement or fully executed contract in place, the PD alone maintains ultimate liability for any and all requirements of the program, as well as any and all costs associated with the use of MRU's resources commonly associated with the pursuit of the research or other activity.

5.18 Advance Notice and Lead Times for Review

- It is to the benefit of the PI or PD to contact the GO as soon as preparation of a formal proposal begins. Advanced notice will ensure that all administrative and budgetary items are accurate before the proposal is finalized and submitted. Letters of Intent and Pre-proposals shall be processed through the GO. This is all the more critical if the information submitted in any way defines an institutional commitment to the sponsor in the case of an award; and
- All proposals, whether electronic or paper-based and regardless of the funding source, must go through the GO and receive institutional review prior to submission.

5.19 Award Receipt

The GO seeks to help with any administrative questions that might pertain to a submitted proposal. The GO Director will be provided with a copy of the funding decision, award letter or any other pertinent correspondence with a sponsor regarding the review process, funding decisions or a site visit, regardless of the timing of such correspondence. Awards are made to the PI through MRU. The original notice of grant award, award letter, or contract for all activities should be provided to the GO immediately after it is received if the office has not already been the primary recipient. Also, the GO will be provided with a copy of or link to any of the sponsor's policies, as this will assist both the GO and the Bursar's Office with preparation for the ongoing management of the award.

5.20 Receipt of Award Document and/or Check

a. Grants and contracts awarded to MRU must be reviewed and accepted by the Director of the GO. Terms and Conditions associated with an award will be noted on the Summary of Award Terms and Conditions and distributed, along with copies of the award, to the grants accountant, the relevant Faculty/College/Institute/School project officer and Dean, and the PI/PD. The GO, as a designee of the Vice Chancellor, signs acceptance letters, grant acknowledgements and contracts. In the absence of the Director, the Vice Chancellor will sign off. Unexpected or questionable Terms and Conditions will be discussed with the PI/PD and Dean. Awards that contain conditions unacceptable to MRU may be returned; and
b. Should the PI/PD receive the award documents, the original documentation, in its entirety, should be sent promptly to the GO, with the PI retaining a complete copy. The GO will review the award documents and distribute for account set-up. In the event that a check arrives:

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- With an award document, the GO or the recipient should immediately make a copy of the check for records and security and hand-carry it to the Grants Accountant in the Bursar's Office. The Bursar's Office will deposit the check into a holding account until the GO reviews the Terms and Conditions of accepting the funds; and
- Prior to/without an award letter, the GO or the recipient shall immediately make a copy of the check and hand-carry it to the Grants Accountant in the Bursar's Office for depositing into a holding account. The recipient shall contact GO promptly to begin the process of acquiring needed documentation about the check's purposes, Terms and Conditions. When proper documentation is acquired by the GO that confirms a MRU PI/PD for an approved activity, a restricted award account will be set up for the check.

5.21 Contract Negotiation

a) The GO will work directly with the sponsor to negotiate a language that is favorable to both parties, while protecting the rights and obligations of MRU and the researchers involved in the endeavor. All research-related agreements, including but not limited to, sponsored research agreements, research service agreements, material transfer agreements, non-disclosure agreements, industry-related agreements, grant awards and contracts are negotiated by the Vice Chancellor's Office; and
b) GO will negotiate Terms and Conditions and obtain official signatures. Clauses that often require special attention include confidentiality requirements, the right to publish findings, budget limitations, required reports, and record retention, patent and copyright protection, liability and indemnification. It is an absolute requirement, and in the PI's best interests, that any and all contracts or agreements be thoroughly reviewed and negotiated. Further, such review and negotiation is required so that the contractual language is in accordance with the mission of MRU and consistent with its adherence to the principles of academic freedom. The PI or PD will be provided a copy of the fully executed agreement and should maintain this agreement for future reference.

5.22 Account Setup

Once the original notice of grant award, award letter or fully executed contract has been received by the GO, an account will be established by the Bursar's Office. Without a tangible notice of award, an account cannot be established. The GO shall prepare a Summary of Award Terms and Conditions that is forwarded to the PI or PD, Faculty/College/Institute/School project officer, Dean and the Bursar's Office. If an award is made for a different amount than the proposed budget, a revised budget for the new amount is required and should be forwarded to the GO as soon as possible to avoid a delay in setting up an account.

5.23 Award Management

5.23.1 Administrative Responsibilities

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The PI is responsible for the day-to-day administration and direction of the approved project. In order to carry out this responsibility, the PI should be aware of all grant/contract Terms and Conditions and should give special attention to them regarding budget limitations, patents and copyrights, inventions, confidential information, safety and security, and required reports.

5.23.2 Recruitment, Classification and Compensation of Program Personnel

The recruitment, classification and compensation of personnel paid by a sponsored project shall be conducted according to MRU's policies and procedures as established and implemented by the Human Resource Department. PI/PDs shall contact the Human Resource Department for assistance and guidance in the hiring of all new staff associated with a sponsored activity. The Human Resource Department will require authorization from the appropriate Dean prior to moving forward on the hiring of "soft money" employees.

5.23.3 Salary Authorization

The Faculty, students and staff at MRU who require that a portion of their compensation be sourced to a sponsored project fund must process a payroll action form that is approved by both the PI/PD of the sponsored project and the appropriate Dean in the Faculty/College/Institute/School of the employee.

5.23.4 Prior Approvals

- Each sponsor may have specific requirements regarding changes to the scope of the project or modifications to the approved budget. Communications about changes to the scope or budget should be coordinated through the GO. Sponsors expect the institution to endorse any programmatic or budgetary changes by the PD because the award is actually made to the institution. Especially important are changes in project duration or the budget, as MRU may have expanded authority to approve changes to certain grants without referring back to the sponsor. If such expanded authorities are granted, sponsors expect the internal approval process to be well-documented within the GO; and
- For grants/contracts requiring the sponsor's prior approval, correspondence with the sponsor requesting such changes must be reviewed and co-signed by a MRU official on its behalf. As stated above, the designated official at MRU is the Director of GO. Once a written approval is received from the sponsor, the PI and the Bursar's Office will receive notification that changes can be formalized.

5.23.5 Reporting Requirements

The PI or PD is responsible for complying with all reporting requirements and deadlines, as specified by the sponsor. Therefore, PIs/PDs should read the sponsor's guidelines carefully to ascertain what reports are required, their frequency, and preparation instructions. Formal financial reports will be prepared by the Bursar's Office at the PI's/PD's request and sent to the PI/PD for review prior to being sent to the sponsor.

5.23.6 Invoicing the Sponsor

Most research agreements specify that an initial payment will be made upon receipt of a fully executed agreement. Often, the sponsor may also require additional invoices to cover the cost of the project as defined by the contract period. The Bursar's Office will provide invoices to the sponsor based on the payment schedule defined within the research agreement.

5.23.7 Equipment

- MRU retains ownership of or title to most capital equipment purchased with sponsored research funds. Equipment should not be sold, transferred, or otherwise disposed of without first notifying the GO. The GO is responsible for researching and determining agency specific regulations governing the sale, transfer, or disposal of equipment purchased with sponsored research funds; and
- General guidelines concerning title to capital equipment permits full vesting upon close-out of the award under which the property was acquired. There may be special circumstances, such as the transfer of a PI or PD to another institution, when arrangements can be made to transfer property to another institution. In these situations written approval is required by both the awarding agency and MRU, and may require reimbursement for the equipment. Arrangements should be coordinated through the GO.

5.23.8 Transfer to Another Institution

If a principal investigator anticipates leaving MRU for another appointment, the GO and the Vice Chancellor's Office should be notified immediately. If requesting a transfer of extramural support to another institution, specific written approval must be obtained from MRU, the anticipated recipient institution, and the funding agency. If the PI becomes unable to serve as the lead investigator on a grant and wishes to relinquish the grant, and nominate another MRU Faculty/College/Institute/School member as the lead PI, written permission from both MRU and the sponsor must be obtained. In all such cases the GO can provide assistance.

6.0 MRU's Research Programme

6.1 Intellectual Property Rights

a) Staff and student research outputs, or any MRU research endeavors it is undertaking must have a copyright seal. MRU reserves the right to have copyright on all research endeavors conducted by staff and students under its arrangement (either academic or otherwise). Anybody reproducing MRU research outputs without prior permission is liable to legal prosecution;
b) When an individual or individuals (either staff or student) initiates or initiate and undertakes a research or an innovation and it yields such benefits (for example economic benefits), he/she shall be entitled to 30% net income from the research output after sale; and
c) Academic plagiarism is a criminal offense. Therefore, all researches will be subject to a plagiarism check using plagiarism software. Plagiarism means the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

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6.2 Referencing Style used by MRU

Research outputs for MRU shall be in line with related international research policies especially referencing and paraphrasing styles. MRU shall use the American Psychological Association (APA) referencing style in all researches conducted by both staff and students. MRU researchers can also use some software, like Medley, to perfect the APA referencing style automatically.

6.3 Rights and Responsibilities

The transmission of knowledge and conduct of scholarly inquiry are central and complementary functions at MRU. They can be carried out effectively only if scholars are guaranteed certain freedoms and accept corresponding responsibilities, namely:

a. All academic staff have the right and are required to conduct research and engage in scholarship and to publish their findings as the final outcome. It is equally an important performance appraisal strategy for staff;
b. All academic staff have the right to and should, where appropriate, seek research funds in support of their research;
c. The requirement to undertake research is a career expectation and over time will be balanced as appropriate with the other obligations of academic staff including significant administrative responsibilities;
d. All students should engage in research endeavors for both academic and professional requirements as a clear-cut route to improve their critical thinking, observation, and writing skills;
e. Research techniques should not violate established professional ethics pertaining to the health, safety, privacy, and other personal rights of human beings or to the infliction of injury or pain on animals; and
f. Individual scholars should be free to select the subject matter of their research, to seek support from any source for their work, and to form their own findings and conclusions. These findings and conclusions should be available for scrutiny and criticism.

6.4 Plagiarism

Plagiarism is presenting someone else's work or ideas as one's own, with or without their consent, by incorporating it into one's work without full acknowledgement. All published and unpublished material, whether in manuscript, printed or electronic form, is covered under this definition. Plagiarism may be intentional or reckless, or unintentional. Under the regulations for examinations, intentional or reckless plagiarism is a disciplinary offence.

6.4.1 Management of Alleged Academic Misconduct

MRU shall take action in response to all allegations of academic misconduct to ensure that:

a. Values of academic integrity are upheld;

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b. Students who observe the principles of academic integrity are not put at a disadvantage; and
c. MRU's reputation and standards are protected for current and future students and staff.

6.4.2 Roles and Responsibilities

i. MRU shall ensure that:

a. This Policy is accessible and communicated to all researchers;
b. This Policy is implemented and applied consistently across MRU's Faculties, Units and Campuses;
c. MRU promotes best practice in managing research misconduct; and
d. the process for managing research misconduct allows for:

- timeliness of response;
- fairness of consideration;
- respect for privacy; and
- keeping all parties informed of their rights and responsibilities in relation to alleged research misconduct.

ii. MRU shall have an obligation to investigate allegations of research misconduct; and
iii. Researchers shall:

a. Promote and observe responsible research practice, in support of a strong research culture at MRU; and of the conduct of research that serves the interests of the community;
b. Assist MRU to maintain public confidence in research endeavors by conducting themselves in accordance with this Policy, the Code of Practice on Research, and all other relevant MRU rules, codes, policies, and procedures;
c. Identify and report suspected research misconduct; and
d. Specific roles and responsibilities of Officers involved in investigating alleged research misconduct are as detailed throughout this Policy.

6.4.3 Principles of Natural Justice

Investigations of alleged breach or research misconduct shall observe the principles of natural justice, including:

a. Informing the Researcher of the processes being followed and providing the Researcher with copies of relevant rules, codes, policies, and procedures;
b. Informing the Researcher of the nature of the allegation against him/her in writing, and allowing time for a response in accordance with the timeframes stipulated in this Policy;
c. Providing the Researcher with the opportunity to state his/her case, provide an explanation and/or put forward a defense;
d. Conducting a factual investigation of the allegation, interviewing relevant parties and considering all relevant information;

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e. Acting fairly, impartially and without bias by considering all relevant information and any mitigating factors;
f. Providing findings in writing; and
g. Providing a right of appeal.

6.5 Research Engagement Model

a. All staff research engagements shall be managed at Faculty or Departmental level. One of the major roles of the Faculty Deans and academic Heads of Department is to initiate, supervise, outsource, and guide the research and innovations process at those levels;
b. There shall be a Faculty Research Committee to handle staff research affairs in the Faculty;
c. The Faculty Dean or Head of Department handles research issues at the Faculty or Department and convenes Faculty/Department Research Committee meetings to take decisions on what would be the research priorities of the respective unit and funding requirements;
d. Research themes shall organically emerge in order to encourage originality, innovativeness, relevance and practicality of the research undertaken;
e. Multidisciplinary research outputs which are a result of teamwork using multiple authorship are encouraged and considered paramount at MRU; and
f. Faculties shall have an annual Faculty research budget which shall be sent to management for scrutiny and possible endorsement.

6.6 Research Management Process

a. A staff that want/s to undertake research shall be compelled to write a proposal/s and send it/them to the Faculty Dean;
b. The proposal is then forwarded to at least two experts in that particular discipline for independent blind review;
c. The Faculty Research Committee shall convene and take a decision/s whether to fund the research/s basing on the opinion/s of the line experts, on whether the research is appropriate for funding;
d. Quarterly progress reports shall be expected by the Faculty Research Committee from the researcher/s in the course of undertaking the research outputs; and
e. The research outputs of each unit shall be reports, trainings and possible innovations while the final research outcome shall compulsorily be a publication or publications in a peer-reviewed journal/s.

6.7 Research Guiding Principles

6.7.1 Provide Incentives/Reward for Research

MRU staff shall spend at least 20% of their time on research and dissemination. To this end, MRU shall:

(a) Ensure maintenance of satisfactory staff to student ratios in line with MRU's establishment policy;
(b) Require staff at levels of Lecturer and above (or equivalent) to publish at least one paper in a peer reviewed journal yearly;

(c) Require doctoral students in the course of their studies to publish at least two papers in a peer reviewed journal before they graduate;
(d) Develop, operationalize and update periodically, a system for tracking of staff research and outputs;
(e) Recognize and reward staff for outstanding performance in research and innovations; and
(f) MRU shall foster an environment conducive to research. Where, because of limited resources, it cannot support all research demands, it shall allocate space, facilities, funds, and other resources for research programs based on the scholarly and educational merits of the proposed research.

6.7.2 Provide and Support Platforms for Dissemination of Research Outputs

MRU shall:

(i) Create platforms for staff and students to disseminate research outputs such as seminars and locally hosted journals, newsletters and bulletins;
(ii) Support units to organize regular conferences;
(iii) Support regular public presentations and debates on topical areas of national or international concern; and
(vi) All research reports shall be deposited with MRU Library and the national library at the researcher's cost.

6.7.3 Research Openness

The principle of research openness fostered by freedom of access by all interested persons to the underlying data, to the processes, and to the final results of research is paramount at MRU.

6.7.4 Co-authorship

Multi-investigator research teams differ significantly from the individual Faculty or research teams. In particular, the former often consist of colleagues from different disciplines who perform different, specialized functions. It is possible for participants to have little knowledge or understanding of parts of the work performed by their colleagues. Sometimes, there is no single person who understands all the research. Consequently, the following guidelines for scholarly manuscripts will guide multi-investigator research:

a. PIs and senior Faculty staff have special responsibilities to assure the overall cohesiveness and validity of the publications on which they appear as co-authors;
b. All authors in a group effort have a shared responsibility for the published result and should have the opportunity to review all sample preparation procedures and data as well as all data acquisition and analysis procedures;
c. Each author in a group effort should have access to the manuscript prior to its being submitted for publication, and should agree to his/her inclusion as a co-author. All the participants in the program should know that the manuscript is being prepared for publication; and
d. Early in the project, each research group should define appropriate practices for the maintenance of data.

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6.7.5 Academic Freedom

MRU assures the fullest protection of freedom of inquiry, thought, expression and publication. MRU's central functions of teaching, learning, research, and scholarship depend upon an atmosphere in which freedom of inquiry, thought, expression and publication are given the fullest protection. Expression of the widest range of viewpoints should be encouraged, free from institutional orthodoxy and from internal or external coercion.

7.0 Consultancy at MRU

7.1 The Outline

The Policy outlines the requirements for consultancy so that MRU's Faculties/Units and staff may understand what is required in the conduct of all forms of consultancy and related activity. The University seeks to encourage Consultancy within the framework of this Policy and aims to:

a) Build and maintain viable commercial relationships to develop, resource and add-value to the research and teaching activities of MRU;
b) Provide enhancements to encourage staff to undertake consultancy activities;
c) Ensure an appropriate return to MRU for the deployment of its resources in line with its Strategic Plan; and
d) Encourage meaningful links between MRU and industry as well as business groups.

7.1.1 Benefits

- The benefits of undertaking consultancy at MRU are numerous. The benefits for the member of staff engaging in approved MRU consultancy include:

a) Creating opportunities for generating additional personal income or funds for personal research;
b) Additional funding for MRU activities;
c) Access to new industrial and commercial opportunities for collaboration;
d) Developing new skills and experience;
e) Building links with private and public sector companies and bodies;
f) Providing supporting information for teaching and research; and
g) Recognition for fostering enterprise activity and credit in an evaluation of academic performance.

- The benefits associated with MRU staff undertaking its consultancy include:

a) Increased third stream revenue level with any resultant benefit from government funding;
b) Good publicity leading to increased status; and
c) Creation of links and relationships with private and public sector companies and bodies.

7.1.2 MRU Recognizes Two Types of Consultancy:

7.1.2.1 University Consultancy

Where a member of staff engages with a client for a fee or other benefit as an employee of MRU, this is recognized as MRU consultancy. They gain the full support of MRU. The prior approval of the Vice Chancellor must be obtained before the consultancy is undertaken. MRU consultancy should take place where a clear opportunity exists to provide benefits for the individual member of staff, the Faculty and MRU.

In addition and for further clarification, if the activity embraces any of the following MRU and/or its subsidiary companies' resources, it is MRU consultancy:

a. Staff, including technicians and administrative support, specifically when the consultancy is derived from employment by MRU;
b. Space and/or facilities, including office, laboratory, meeting rooms, lecture theatres, conference facilities;
c. Resources or infrastructure, including IT infrastructure (e-mail address/internet access);
d. Job Title: where its use might be misconstrued by a client; and
e. Crest/Logo/MRU name or address.

7.1.2.2 Private Consultancy

- Private Consultancy, in contrast, is undertaken by a member of staff who operates in a personal and private capacity in return for a fee or other benefit. It is an activity based on their reputation, knowledge or expertise as a member of the staff of MRU that does not use its name nor impinges on its reputation in any way;
- The member of staff must obtain approval from the Vice Chancellor of MRU to ensure that no Conflict of Interest exists and to ensure that the Private Consultancy is not carried out to the detriment of mainstream activities of MRU or Faculty or Department nor to the staff member's normal MRU duties;
- Private Consultancies shall not be incorporated into any MRU or Faculty or Unit workload, incentives or promotion cases; and
- In addition and for further clarification, if the activity utilizes any of the following MRU and/or its subsidiary companies' resources it is not Private Consultancy:

  i. Additional staff, specifically when the consultancy is derived from employment by MRU;
  ii. Space and/or facilities, including office, laboratory, meeting rooms, lecture theatres, conference facilities;
  iii. Resources or infrastructure including IT infrastructure (email

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address/internet access);
iv. Job Title; where its use might be misconstrued by a client; and
v. Crest/Logo/MRU name or address.

7.2 Exclusions to MRU Consultancy Policy

Some activities will not be channeled through the normal consultancy route as they are germane to the teaching and research missions of MRU, and although outside the remit of core activities, MRU shall support and encourage them. They may include services to the outside community and academic activities carried out on behalf of MRU such as:

a) Lecturing;
b) Research Assessment Exercise panel member;
c) Research funded where the main aim is to conduct research without profit in an innovative manner;
d) Knowledge Transfer;
e) Partnerships;
f) Teaching Quality Assessors;
g) Refereeing Papers;
h) External Examining;
i) Reviewing Books and Manuscripts;
j) Ad-hoc interaction with media, e.g., comments to journalist regarding a specific topic;
k) Serving on public, governmental and charitable bodies;
l) Journal Editorships;
m) Invited Lecturers; and
n) Business Training Development.

It ought to be noted that this list is not exclusive. Senate can help decide how to define the activity proposed to undertake and give guidance on the appropriate process if there is any doubt. Senate will also provide the support required to set up contracts with external organizations, as well as set up budget codes for the activity. The Vice Chancellor must be satisfied that the appointment does not conflict with the performance of the staff member's MRU duties. It is important to contact RES at an early stage of any potential consultancy to take advantage of the support and expert advice that is available.

7.3 MRU Consultancy

A member of staff undertakes MRU consultancy when they engage with a client as an employee of MRU for a fee or other benefit. They gain the full support of MRU as well as legal, marketing and business support services and may call on appropriate resources of MRU for the successful completion of their consultancy contract.

7.3.1 Costing/Pricing

Price charged to the client should include additional factors which reflect the

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market rate whenever a market will bear this. The price charged to the client will, therefore, depend on a number of environment/market factors including the:

a) Extent of the client's needs;
b) Urgency of the client's requirement;
c) Level of expertise involved;
d) Time involved on the project;
e) Availability of competitive alternative consultancy;
f) Availability of public domain knowledge;
g) Extent of convenience, intrusion and relevance to research & teaching activities to the member of staff, their MRU or equivalent;
h) Expectation of knock-on benefits; and
i) Historic relationship.

Staff must seek guidance from management on appropriate pricing.

7.3.2 Contracts

a. MRU is the proper party to its consultancy contract and, whether or not documentation refers to any individual employee as the principal consultant, the contract must be drawn up between it and the Client. This will be done and signed by the Vice Chancellor to ensure that the contract provides an appropriate framework and scope for the work to minimize risk for the individual and for MRU; and
b. It should be noted that if a member of staff signs a contract, or operates without a contract, they shall do so at their own risk.

7.3.3 Code of Conduct

a. Care should be taken to avoid arrangements that might result in conflicting obligations to different parties or which will negatively affect the reputation of MRU, either by the nature of the work or the reputation of the proposed client or in terms of the quality of the consultancy work undertaken; and
b. There is no guarantee that permission for MRU consultancy will be given as the Vice Chancellor must be satisfied that the appointment does not conflict with the performance of the staff member's MRU duties.

7.3.4 Use of IT and/or Library Networked Services

Any use of MRU's facilities in the delivery of consultancy activity must be carried out in accordance with the relevant policies, rules, regulations and procedures.

7.3.5 Distribution of Fee Income

- Fees earned from MRU consultancy will be subject to a 10% deduction as a contribution to its costs. The balance of 90% will be paid to the MRU or equivalent;
- The member of staff and the Vice Chancellor or equivalent should agree a distribution of income between MRU and the individual at the time they discuss the activity and before they complete the permission form;

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- MRU and/or the Centre may require a proportion of the fees earned to be taken by the MRU or Centre: for instance, if the member of staff is part of a self-financing Centre where consultancy activity is regarded as part of the core income generating activities of that unit, or where the nature of the consultancy work requires additional resources to be paid for by MRU to cover the individual's normal duties; and
- Once the fee has been paid by the client, the income will be received by the MRU or equivalent and redistributed as per the percentage previously agreed on the permission form.

7.4 Private Consultancy

Private Consultancy is carried out by a member of staff in a personal and private capacity and in return for a fee or other benefit. It must be conducted without using MRU's resources, infrastructure or name and must not conflict with the staff member's normal MRU duties.

7.4.1 Pricing and Income from Private Consultancy

Individuals undertaking this form of Consultancy must set and collect fees.

7.4.2 Private Contracts

Members of staff must undertake to include a statement in any written contract and on any written report/results/specifications produced in the course of the Private Consultancy, that the:

a) Consultant is undertaking the consultancy in a Private capacity;
b) MRU is not involved in the consultancy in any way; and
c) MRU is, therefore, not liable for any claim whatsoever arising out of the consultancy arrangement.

7.4.3 Conflicts of Interest

Private consultancy must not be entered into if it results in a Conflict of Interest. The member of staff should confer with the Vice Chancellor on this matter.

7.4.4 Permission for Private Consultancy

Private Consultancy should be planned in advance and adequate notice given to the Vice Chancellor so that any knock-on effects on core activities are planned for. There is no guarantee that permission for Private Consultancy will be given as the Vice Chancellor must be satisfied that the appointment does not conflict with the performance of the staff member's MRU duties.

7.4.5 Insurance

a. The individual is the proper party to a Private Consultancy. Staff undertaking Private Consultancy are not covered by MRU insurance and it is, therefore, a

recommendation of MRU that the Private Consultant ensures he/she arranges their own insurance as appropriate; and

b. In any case, the Consultant shall indemnify MRU and its representatives from and against all actions, claims, loss, damage, costs and expenses arising directly or indirectly from, or in respect of his/her Private Consultancy activity by completing a "Permission to Undertake Private Consultancy Form".

7.4.6 Private Consultancy Approval

Before engaging in Private Consultancy a staff member must provide a "Permission to Undertake Private Consultancy Form" which acts as a signed declaration. This declaration states that the Private Consultant will not use MRU's and/or its subsidiary companies' resources in the provision of the Private Consultancy, namely:

1) Space and/or facilities, including office, lab, meeting rooms, lecture theatres, conference facilities;
2) Resources or infrastructure including IT infrastructure (email address/internet access);
3) Crest/Logo/MRU name or address;
4) Job Title: where its use might be misconstrued by the client; and
5) Business cards.

The member of staff must obtain approval for private consultancy from the Head of Unit or equivalent, as well as from the Vice-Chancellor.

7.4.7 Annual Disclosure of Outside Interests and Private Consultancy

MRU is committed to the highest standards of openness, accountability and integrity. As part of achieving this, its staff must submit an annual declaration to their Heads of Unit or equivalent by 31 August, declaring any external interests including positions held in external organizations, Private Consultancy and other paid work. This declaration shall include any Private Consultancy and should give details of:

- the nature of the activity;
- the client; and
- a 'nil' return if the staff member has not been involved in any such activity.

7.5 Non-compliance

a. Failure to comply with MRU's Policy may render the member of staff liable to disciplinary action for misconduct or serious misconduct in accordance with the its disciplinary provisions; and
b. MRU staff should also note that, in appropriate cases, MRU could pursue recovery of any costs and damages to which it has been exposed as a result of a breach of this Policy.

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