



# **MBARARA UNIVERSITY OF SCIENCE AND TECHNOLOGY**

## **INTERNAL RESEARCH GRANTS MANAGEMENT POLICY**

Approval Level 1	Directorate of Research & Graduate Training Board	Approved
Approval Level 2	University Policies Committee	Approved
Approval Level 3	University Top Management	Approved
Approval Level 4	Legal, Rules & Privileges Committee	Approved
Approval Level 5	Finance, Planning & Development Committee of Council	Approved
Approval Level 6	University Council	Approved

## **Table of Contents**

Abbreviations/Acronyms .....	5
Definitions.....	6
1.0 Introduction.....	7
2.0 Policy Context and Problem Statement.....	7
3.0 Policy Statement/Justification.....	7
4.0 Goal .....	7
5.0 Objective.....	7
6.0 Policy Environment and Legal Framework.....	7
6.1 Legal Framework.....	7
6.2 Related Policies and Documents.....	7
7.0 Interpretation and Administration.....	8
7.1 Interpretation.....	8
7.2 Responsibilities and Administration .....	8
8.0 Scope .....	8
9.0 Deliverables.....	8
10.0 Implementation Framework .....	9
10.1 Applications .....	9
10.2 Simultaneous Applications.....	9
10.3 Grant Undertakings.....	9
10.4 Award of Grants.....	9
10.5 Requisition and Disbursement of funds .....	9
10.6 Grant Management .....	10
10.7 Completion and Reporting .....	10
10.8 Conflict of Interest .....	10
11.0 Monitoring and Evaluation .....	11
11.1 Monitoring .....	11
11.2 Evaluation .....	11

12.0	Notification.....	11
13.0	Funding.....	11
	Annex 1: Steps Flow Chart in Internal research Funds.....	12

## Approval

This policy has been approved on the 24<sup>th</sup> day of June the year 2022

## Signed

  
.....  
Professor Celestino Obua  
VICE CHANCELLOR

*For*   
.....  
Dr. Warren Naamara  
CHAIRPERSON, MUST COUNCIL

## Abbreviations/Acronyms

ARDC	Annual Research Dissemination Conference
DRGT	Directorate for Research and Graduate Training
DVC	Deputy Vice Chancellor
IDCs	Indirect Costs
IRGMP	Internal Research Grants Management Policy
MGO	MUST Grants Office
MUST	Mbarara University of Science and Technology
MUST REC	MUST Research Ethics Committee
PI	Principal Investigator
NDPIII	Third National Development Plan
VC	Vice Chancellor

## Definitions

Academic unit	For the purposes of this Policy it shall include; Faculties, Institutes, Departments, Directorates, Centers.
Conflict of Interest	Refers to a member having a clear benefit from a positive outcome (such as a joint applicant). Authorization of an application as part of a member's administrative responsibility within the University would not necessarily constitute a Conflict of Interest.
Direct Costs	Costs directly attributable to an activity.
Employees	Full-time and part-time staff (of all ranks and status) including support staff members.
Full Cost	Total of the direct and applicable indirect costs of a research activity.
Indirect Costs	Administrative or other expenses that are not directly allocable to a particular activity or project; rather they are related to general operations and are shared among projects and/or functions.
Internal Research Funds	Money from the Consolidated Fund.
Research	The intentional process of study and creative expression that explores and extends human knowledge and experience.

## **1.0 Introduction**

MUST has developed the Internal Research Grants Management Policy (IRGMP) to guide the utilisation of Internal Research Funds. It also guides Directorate of Research and Graduate Training (DRGT) in coordinating a fair and transparent distribution and utilisation of internal research funds.

## **2.0 Policy Context and Problem Statement**

Over the years, the University has received funds from the Consolidated Fund to promote and support research. These funds have been utilised to support the function of DRGT, promoting and supporting research. This policy seeks to improve transparency and equitable utilisation of the same funds as well as enhancing value for money.

## **3.0 Policy Statement/Justification**

Government supports research activities in MUST and the funds need to be equitably shared within the University. This policy ensures a fair and transparent distribution and utilisation of research funds from the consolidated Fund.

## **4.0 Goal**

This policy sets out the principles and guidelines for managing Internal Research Funds.

## **5.0 Objective**

The objective of this policy is to nurture and sustain a vibrant MUST research community by encouraging the participation of staff in research endeavours. MUST will assist in meeting the financial needs arising from research projects leading to peer-reviewed publications; creative and scholarly work in all University disciplines.

## **6.0 Policy Environment and Legal Framework**

### **6.1 Legal Framework**

The policy is in compliance and must be read and applied alongside the following, but not limited to, Laws and policy frameworks of Uganda:

- i) Universities and Other Tertiary Institutions Act 2001 as Amended in 2003 and 2006.
- ii) Uganda Public Finance Management Act 2015.
- iii) National Standards Indicators.
- iv) National Development Plan

### **6.2 Related Policies and Documents**

- i) MUST Overhead Policy 2010.
- ii) MUST Finance and Accounting Manual 2010
- iii) MUST Intellectual Property Policy 2018.

- iv) MUST Innovations Policy 2018.
- v) University Research Policy 2019.
- vi) MUST Strategic Plan 2020/2021 – 2024/2025
- vii) MUST Human Resources Manual

## **7.0 Interpretation and Administration**

### **7.1 Interpretation**

- i) The University Council shall determine and approve the policy.
- ii) The University Council's definition, interpretation, application of these rules and the decision on any policy matter shall be final.

### **7.2 Responsibilities and Administration**

- i) The Vice Chancellor shall oversee the implementation of the policy through the Internal Finance and Budget Committee.
- ii) The University Secretary, as Accounting Officer, shall ensure that the University's responsibilities in this policy are met and that all revenues are distributed and accounted for in accordance with this policy.
- iii) Faculties/Institutes/Directorates are responsible for budgeting of research funds in their budgets.
- iv) The DRGT shall coordinate a transparent process of awarding the Internal Research Funds and oversight of the funded project.
- v) The University Auditor shall carry out periodic independent audits during the implementation of this policy.

## **8.0 Scope**

- i) The policy applies to all research and research related funding projects supported by funds from MUST; to all employees as defined by this policy. The funds shall be for purposes of research and related activities as follows:
  - a) Research projects to be completed in 12 Months.
  - b) Innovations.
  - c) Research Mentorship.
  - d) Publication.
  - e) Research Dissemination Conference.

## **9.0 Deliverables**

- i) Publication is mandatory – with a statement in acknowledgement "*this research was funded by the Uganda Government through MUST (Grant Number), (Title of Grant), awarded to (Faculty Name). The content is solely the responsibility of the authors and does not necessarily represent the official view of MUST and Government of Uganda. The funders had no role in study design, data collection and analysis, decision to publish, or preparation of the manuscript.*"
- ii) Innovation or Prototype.
- iii) Policy Briefs.
- iv) Proportion of junior staff on research team to be mentored ( $\geq 20\%$ ).
- v) ARDC.



## **10.0 Implementation Framework**

### **10.1 Applications**

- i) The DRGT shall send out a Call for Proposals which shall be broadcasted on MUST Mailing System, MUST website and other platforms and the process thereafter shall follow as depicted in Annex 1. The call shall specify the thematic areas, formulated in the University/academic units' research priorities and the funds available for each cycle.
- ii) The DRGT shall identify independent peer reviewers for each proposal at every cycle.
- iii) Reviewers shall participate in the review process after signing a confidentiality agreement. Thereafter, Confidentiality shall be maintained during the peer review process to allow free expression of opinions, and to protect the sensitive information.
- iv) The DRGT shall develop guidelines for evaluation and acceptance criteria which shall be approved by the DRGT Board.
- v) The DRGT shall constitute an independent Committee to evaluate the proposals.

### **10.2 Simultaneous Applications**

A Faculty member shall not apply for more than one (1) research or creative project at any one time as Principal Investigator (PI). An individual may, however, apply for two research grants when the second is part of a collaborative project, provided that individual is not the PI of that project.

### **10.3 Grant Undertakings**

- i) The grants shall be awarded to research teams presenting specific project proposals.
- ii) The research teams shall have a mix of senior and junior staff in order to mentor the young researchers.
- iii) Each project shall specify the PI who shall be the grant contact person.
- iv) By accepting the grant and signing the grant undertakings, PIs shall be responsible for overall management, implementation and completion of their research projects.

### **10.4 Award of Grants**

- i) The DRGT prepares a Statement of Grant Conditions to be signed by the PI, immediate supervisor (i.e. Head of Department) and Faculty Dean or Director.
- ii) The DRGT opens a file for each grant awarded and enters all relevant information into the grants database.

### **10.5 Requisition and Disbursement of funds**

- i) The funds shall be requested for by the PI or delegate in line with MUST financial guidelines.
- ii) Since these are Seed funds for short-term research projects, all the money approved and available shall be disbursed at once.
- iii) The awardee shall abide by all relevant MUST guidelines on disbursement, monitoring and accountability.

## **10.6 Grant Management**

- i) The official start date shall be that of signing the Statement of Grant Conditions.
- ii) Internal research grant holders who need to apply for a time extension (one time only) should do so at least three (3) months prior to the approved deadline.
- iii) DRGT must be notified in writing of any significant changes made to the research proposal during the course of the project.
- iv) If the Principal Investigator leaves MUST at his/her own initiative before the completion of the research, he/she is obligated to repay the University all financial support received. The remaining investigators will continue with the project.
- v) Grants may be suspended when adverse events occur among participants or in the event that the team fail to comply with the grant conditions.
- vi) A grant will be terminated if circumstances have changed so that it is no longer possible for the objectives of the project to be realized.
- vii) Any unspent balance shall be returned to the University together with accountability within 30 days of the project completion date or termination.

## **10.7 Completion and Reporting**

- i) Since the project should be completed in 12 months for proper accountability of Government funds in the same Financial Year, the PI shall submit a progress report to DRGT through the Head of Department at the end of sixth month of signing the Statement of Grant Conditions.
- ii) At the 12<sup>th</sup> month, the PI shall submit to DRGT through the Head of Department and Faculty Dean the final report including publications or conference papers or any other deliverable from the project.
- iii) If the project requires additional time, the PI shall submit two progress reports (1<sup>st</sup> at the sixth month and 2<sup>nd</sup> at twelfth month) plus any deliverable to DRGT through the Head of Department and Faculty Dean and request for continuing renewal from MUST REC. The letter must justify the need for renewal as well as indicating the revised timeline.
- iv) All Internal Research Funds beneficiaries shall adhere to MUST Intellectual Property Policy.
- v) The University Secretary shall recover the Internal Grant Funds in full from the grantees who fail to complete the research, publish the results or submit accountability.

## **10.8 Conflict of Interest**

- i) Where a member of the Review Committee believes he/she has a Conflict of Interest in relation to the application being considered, that conflict shall be declared prior to further consideration of the application.
- ii) In the event of a Conflict of Interest, a concerned member shall absent him/herself from consideration of applications for that round. If necessary, an alternate member will be nominated for the period of the assessment of applications.

## **11.0 Monitoring and Evaluation**

### **11.1 Monitoring**

Monitoring will be done through:

- i) Gauging the level and quality of stakeholder engagement
- ii) Putting the policy into practice through financing and implementation planning

### **11.2 Evaluation**

This will be done through combining data from the routine monitoring system for key indicators, complemented by in-depth studies (both quantitative and qualitative).

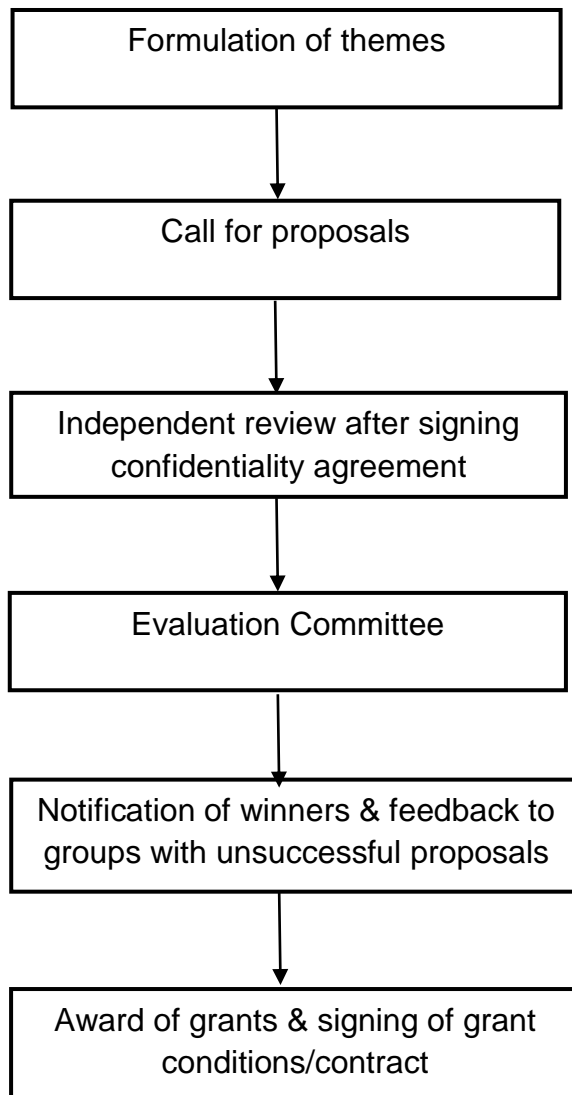
## **12.0 Notification**

DRGT shall inform all persons subject to this policy of its terms after its adoption and at regular intervals thereafter.

## **13.0 Funding**

Funds will be obtained from the Consolidated Fund through MUST's annual budget.

## Annex 1: Steps Flow Chart in Internal research Funds





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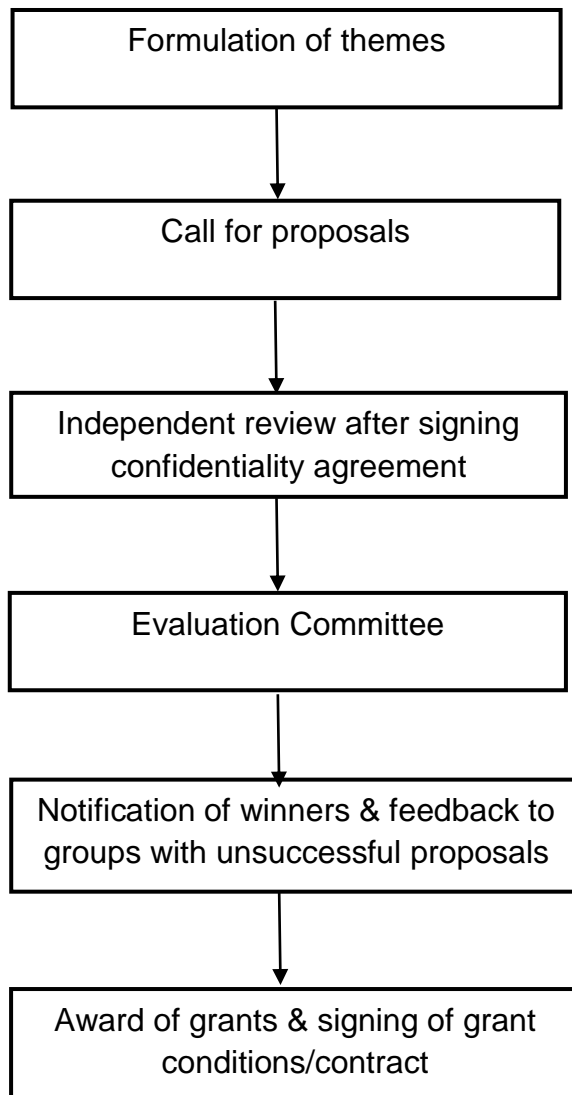
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## Annex 1: Steps Flow Chart in Internal research Funds





## Approval

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## Signed

  
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Professor Celestino Obua  
VICE CHANCELLOR

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