



LIRA UNIVERSITY

RESEARCH POLICY AND GRANT MANAGEMENT MANUAL

JUNE 2023

FORWARD

Lira University is a public academic institution founded in 2015 by Statutory Instrument No. 35, and formerly a constituent college of Gulu University since 2009. This Research Policy and Grant Management Manual is intended to address the needs of internal and external stakeholders, such as research collaborators, funding agencies, or research clients, and to provide a framework for addressing the major barriers to excellent research performance.

The Research Policy and Grants Management Manual supports the overall vision of the University as “A BEACON CENTER FOR APPLIED SCIENCE AND TECHNOLOGY” and catalyzing the University’s overall programmes through staff motivation and retention, promotion of professionalism and excellence in the delivery of the university’s core activities of knowledge generation, dissemination and driving socio-economic transformation within the community.

This shall be implemented to the extent that they are consistent with the University’s policies and procedures related to research, project management, grant management and human resource management. In the event of any omissions or questions arising regarding the meaning of any of the terms and provisions of this policy and SOPs, Lira University top management’s interpretation based on the University’s policies, procedures and laws and regulations of Uganda will take precedent. Except for foreign funding, the funder specific guidelines will take precedent.

The university, therefore, shall put in place a research agenda with priorities that address national and global challenges.



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VICE CHANCELLOR-LIRA UNIVERSITY/CHAIRPERSON SENATE

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I wish to acknowledge with great pleasure the various actors for their inputs in the development and formation of this Policy. I am highly indebted various departments, Faculties and Administrative units for the tremendous inputs.

In a special way, I would like to recognize the contribution of Global Research Administration and Management Systems for their technical support and guidance in reviewing the policy. Also, special thanks go to the Directorate Graduate training and Research and the grants office for coordinating with other stakeholders in consolidating their ideas and inputs into a policy.

Amendment of this policy and procedures

Amendments to this policies and SOPs are not permitted without the prior approval from Lira University Senate/ Council. Anyone who proposes (an) amendment(s) to this policy and SOPs will have to submit them in writing to the Director, Directorate of Graduate Training and Research (DGTR) who will formally present them to the University Senate and University Council for approval. Upon approval, the amendments shall take effect after thirty (30) days and will accordingly supersede the affected provisions. Notification of any changes shall be made in writing to all the staff and shall be explained in a staff meeting or any other suitable forum not later than 30 days before implementation, except under exceptional circumstances.

Abbreviations and acronyms

DVC Deputy Vice Chancellor

MOU	Memorandum of Understanding
PC	Project coordinator
PI	Principal Investigator
PIC	Project Implementation committee
GAMU	Grants Administration and Management Unit.
US	University Secretary
CMP	Conflict Management Plan
RFP	Request for Proposal
EC	Evaluation Committee
ICT	Information Communication Technology
MOU	Memorandum of Understanding
PC	Project coordinator
PI	Principal Investigator
VC	Vice Chancellor
RFP	Request for Proposals
LUREC	Lira University Research Ethics Committee
RFA	Request for Application
M&E	Monitoring and Evaluation
MSTI	Ministry of Science and Technology and Innovations (MSTI)
LRA	Lord's Resistance Army
LU	Lira University

Operational definitions

Administrative Costs: These are expenses that are incurred for common or joint objectives in the University and cannot be easily and specifically identified with a particular project.

Affiliated Persons: These are persons working within organizations that have official working relations with Lira University or those with honorary University appointments.

Contractor: A contractor is a funding agency which does not issue a grant solicitation but contracts a university unit to perform specific tasks as outlined in a given term of reference.

Department: A unit of the University devoted to a specific discipline.

Donation: Something of value such as goods or money given freely to the institution for charitable purposes to benefit a cause

External Funding: Finances that the University receives from outside the university.

Financial interest: Anything of monetary value whether or not the value is readily ascertainable.

Grant: A grant is a non-repayable fund disbursed by one party often a government department, corporation, foundation or trust, to a recipient, often (but not always) a non-profit entity, educational institution, business or an individual.

Grants committee: A Committee of the University unit whose mandate is to provide oversight of the unit's Grants Office.

Invention: A process, machine, method, discovery, device, plant, compound, composition of matter, apparatus, or other creation that is created or conceived by the creator, whether or not patented at any time as now existing or hereafter amended or supplemented

Intellectual Property: Any invention, discovery, improvement, copyrightable work, trademark, trade secret, licensable know-how, tangible research, integrated circuit mask and related rights. This includes, but is not limited to, the physical embodiments of intellectual effort and that which is protectable by statute or legislation

Key Personnel: Principal Investigator/Project Director and any other person identified as senior/key personnel by the University/College in the grant application.

Post-award: Activity after official funding of a submitted proposal.

Pre-award: Activity prior to official funding of a submitted proposal.

Principal Investigator: This the lead person in the implementation of the project, S/he is the link between the University and the donor and takes responsibility for the success of the project,

Project Overheads: These are also known as institutional costs or indirect costs or facilities.

Research: refers to a systematic investigation which includes research development, testing and evaluation, designed to develop or contribute to generalized knowledge.

Solicitation: A document which provides the requirements and instructions for the submission of applications for funds to sponsors by eligible applicants.

The University: refers to Lira University.

Trademark – Any word, name, or graphic symbol used to identify and distinguish the distributor of goods or services

1.0 INTRODUCTION

1.1 History of Lira University

Lira University started as a constituent college of Gulu University in 2009 and attained autonomy as a fully-fledged Public University by Statutory Instrument No. 35 made on the 8th day of July 2015 enacted by the 9th parliament of Uganda on the 25th of July 2015 under the Universities and Other Tertiary Institutions Act 2001 as amended in 2006. Lira University is located in Northern Uganda as one of the post conflict interventions for community

restoration and prosperity by increasing access to higher education, promoting innovation and creativity and employability in this region that was hard hit by the Lord's Resistance Army (LRA) insurgency. The University was established as a niche for Health Sciences training with its main campus in Ayere Village Barapwo Parish, Lira City West division, Lira City, Lira district.

Lira University is governed by the University Council which is the supreme policy making organ of the University. The University has a Chancellor appointed by the President of the Republic of Uganda in accordance with Section 30 (1-4) of the Universities and other Tertiary Institutions Act 2001. The Management of the University activities is vested in the Vice Chancellor as the Chief Executive Officer of the University, assisted by the Deputy Vice Chancellor (Academics), University Secretary, Academic Registrar, University Librarian, University Bursar and Dean of Students.

Its proudest achievements include being a pioneer University in Uganda with its own specialized teaching hospital that is community-based, health professional training of pioneer bachelor-level midwives and soon to be post-graduate programmes of Midwifery which has potential of changing the landscape of higher educational training in Uganda. Lira University sits on an expanse of 621 acres of land, and has secured commitment of more land for future expansion from districts within the region. LU has also been designated by the Ministry of Science, Technology and Innovations (MSTI) to establish a regional science and innovations park that will boost research and innovations in the region.

1.1.2 Vision

A Beacon Centre of Applied Sciences and Technology

1.1.3 Mission statement

To provide access to higher Education and Research and to conduct professional training for delivery of appropriate health services directed towards sustainable health community and environment

1.1.4 Motto

“The beacon”

1.1.5 Core values

- Management excellence
- Professionalism
- Integrity
- Effectiveness and efficiency

- Accountability
- Team work
- Concern for elderly and people with disability
- Internationalization
- All inclusiveness

1.2 RATIONALE OF THE POLICY

As the number of grants awarded to various entities in the university increases, the challenges of compliance and effective implementation is anticipated to arise. The development of this policy is therefore intended to streamline the administration and management of grants, research, publication, innovations, intellectual property rights and contracts within the various units of the university and provide a transparent, compliant and enabling environment for research administration and management.

1.3 SCOPE OF THE POLICY

This policy applies to all grants, research projects, consultancies, training infrastructure and services delivery applied for by faculties and affiliated staff from all entities of Lira University. This policy covers all aspect of the research and grants and sponsored programmes including identification of funding opportunities, proposal development and submission, award negotiation and acceptances, financial account set-up, award management and close-out

1.4 RESEARCH GOVERNANCE STRUCTURE

1.4 1 The University research management structure

Subject to provisions of the Public Finance Management Act, 2015(as amended), grants and donations to the University shall be received by the accounting officer and shall be managed by the provisions of this policy under the GAMU. The figure 1 below shows an organogram of the University research coordination and management

Program Coordination & Management Organogram

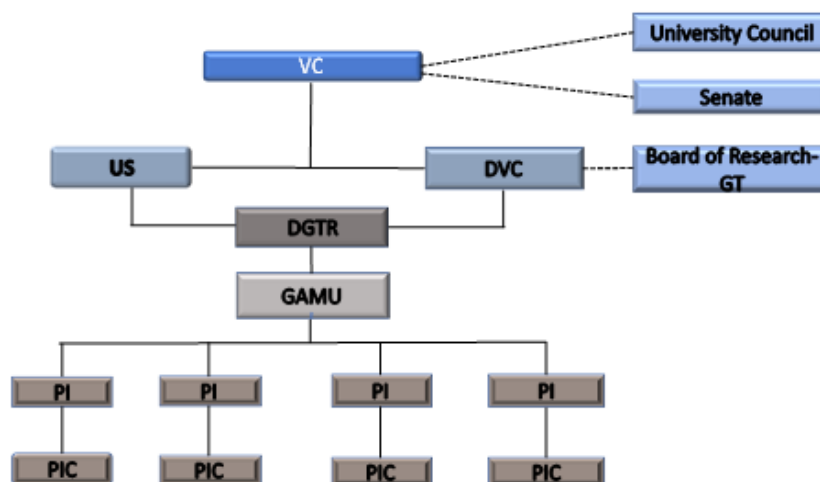


Fig 1. Program Coordination and Management Structure

1.4.2 Directorate of Graduate Training and Research (DGTR)

Structurally, all grants at Lira University are institutionalized under the Directorate of Graduate training and research (DGTR). Implementation of programs and projects are carried out at faculty and department levels. DGTR provides oversight, training and guidance to the teams in the planning and management of projects in collaboration with the Grants Administration and management unit (GAMU) headed by Grant officer in collaboration with the Principal Investigators.

DGTR will undertake the following functions;

- i) Coordinate with faculties on research implementation to ensure compliance to the policy and guidelines.
- ii) Manage research grants and funds through Grants administration and management Unit (GAMU)
- iii) Maintain registry of partnerships and collaborations and their focal persons and contact details.
- iv) Spear head resource mobilization for research, innovations, discoveries and publications.

- v) Lead Networking with sister institutions in other universities for quality improvement and partnerships
- vi) Ensure ethical adherence through Lira University Research Ethics Committee (LUREC) and observance of other legal requirements.
- vii) Manage graduate training and research, ensuring compliance to the University guidelines and policy, conformity to research ethics, research completion and examination, achieving and publications
- viii) Manage research related misconducts and prevention of the same, like plagiarism

1.4.3 Faculty/Department

The Director, DGTR will be responsible for building research capacity at the faculty as well as working with all Faculty members, students, post doctorates and research fellows to ensure increased generation of research projects, with particular emphasis on locally generated research, which could lead to innovations.

- i) Faculty based researchers shall be responsible for generating research proposals.
 - ii) Requests for Applications (RFAs) will be circulated by DGTR to all faculties and institutes.
 - iii) The University shall, as much as possible, support the researchers to generate quality proposals by offering them opportunities to develop the proposals offsite.
- IV) Researchers who have developed their projects will have the responsibility of being principal or co-investigators as appropriate

1.4. 4 Grants Administration and Management Unit (GAMU)

There shall be a Grants Administration and Management Unit within the DGTR with the following functions;

- i) Undertake regular mapping and up to date data base of grants and funding opportunities and ensure that these opportunities are communicated to faculties staff in a timely manner;
- ii) Ensures that Lira University is registered with the various funding agencies such as NIH whenever necessary;

- iii) Support faculty and other staff of the University in preparation of the following;
 - a. Eligibility checks for grants opportunities
 - b. Proofing adherence to applications guidelines
 - c. Appropriate formatting of the proposal
 - d. Compliances with the university regulations
 - e. Clearance from university departments and officials
 - f. Securing the necessary support documents such as audit reports, letter of support, MoUs, registration certificates and others relevant documents
 - g. Advising on budget requirements and supporting the budget processes including ensuring applicable administrative fees as well staff and auditing cost are provided for
- iv) Support award winners with all the necessary negotiations and coordination with relevant authorities for signing process
- v) Liaise with relevant university authority for account set-up whenever necessary
- vi) Follow-up with the principal investigator to ensure timely compliance with terms and condition for the grants and the university policies.
- vii) Ensure that the concluded projects are appropriately phased out in accordance to the university policies and guidelines or the Funders guidelines
- viii) Ensure all grants comply with laws and policies of the university
- ix) Ensures compliance of funding guidelines Prepare a quarterly report in accordance with the provision of this policies

1.4. 5 Composition of Grants Administration and Management Unit.

- i) The Grants Administrator who shall be appointed by the University Secretary upon approval by the Management committee
- ii) Such other staff that may be determined from time to time as deemed necessary for effective operation of the Unit.

- iii) The Grants Administrator shall report to the Deputy Vice Chancellor (Academic Affairs)

1.4.6 Responsibilities of Lira University Research Ethics Committee (LUREC)

- i. Maintain ethical standards of practice in Research
- ii. Protect Research participants and researchers from harm and exploitation
- iii. Preserve the participants rights and welfare
- iv. Provide assurance to society of the protection of rights and welfare of research participants
- v. Ensure adherence to ethical conduct of Research protocols approved by the LUREC

1.4. 7 Principal Investigator (PI)

The PI is responsible for;

- a) The overall Management, coordination and the supervision of the Project
- b) Ensuring successful initiation, negotiation, execution /implementation and closeout of the project;
- c) Review the contract of award and agreements wholly in accordance with this policy and limitations under this policy
- d) Initiate project activities, payment schedules and work plans;
- e) Ensuring that new and existing staff are aware of the grants' conditions;
- f) Compliance with Lira University and funders requirements
- g) Supervising and management of project implementation team;
- h) Ensuring timely and accurate reporting;
- i) Initiate budget modifications e.g., redirect, carryover and project extensions;
- j) Prepare and submit relevant reports in accordance with the provision of this policy

2.0 STRATEGIC POLICY OBJECTIVES AND STRATEGIES

Lira University is committed to providing a conducive environment for research, innovations and publication to all the staff and collaborating partners with the highest standard of transparency, integrity and efficiency in research administration and management

2.1 Strategic objectives

The overarching objective of this policy is to produce increasing outputs of research with societal impact.

1. Strengthen management and coordination of research and innovation
2. Build a conducive and inclusive environment for research and innovation
3. Build partnerships and collaborations to drive research and innovation
4. Increase funding opportunities for research and innovations
5. Inculcate a culture of research and publications.
6. Enhance research integrity
7. Promote Translation and commercializing research outputs for social transformation and impact

The policy acknowledges the need for proper management and coordination of research activities conducted by various academic and research departments in the University for the benefit of the entire university in a fair and transparent manner.

This will be achieved through the following strategies:

2.1.1 Strengthen the research management and coordination function at institutional and at unit levels.

(i) The university shall develop a governance structure for research and coordination

a) There shall be a Research, Innovation and Publications committee at unit level

b) administrative responsibilities regarding research management at unit level shall be specified by the research council

(ii) Provide tools for internal procedures for approval, control, monitoring and coordination of research and innovations

2.1.2 There shall be Lira University Board of Research and Publications to guide the research and innovation function of the University. The Directorate of Graduate training and Research (DGTR) shall provide the secretariat

(i) The functions of the Board of Research and Publications shall be to:

(a) Initiate, develop, implement and review periodically the policy on research and innovations

(b) Develop policy on sourcing and administration of research funds

(c) Submit to senate reports on its activities annually

(ii) There shall be technical sub-committees to assist the University Board of Research and Publications in implementing its mandate. These shall include:

- (a) The Grant administration and Management units
- (b) Ethics Committee,
- (c) Intellectual Property Management committee
- (d) Institutional Biosafety committee

2.1.3 Provide guidelines for supervisors and supervisees during the research process to ensure harmony, quality and timely completion. The University shall:

- i) Develop, operationalize and review periodically guidelines for supervision of graduate students (qualification, appointment, remuneration, conduct etc.)
- ii) Disseminate widely the rules and regulations for graduate study

2.1.4 Promote a mentoring and apprenticeship culture in research

- (i) It will be a requirement for senior staff members to supervise and mentor junior staff members and graduate students as part of the eligibility requirements for research support.
- (ii) Encourage senior academics to collaborate with junior employees to develop joint publications
- (iii) Include women in research efforts and mainstream gender.
- (iv) Promote the creation of professorial research chairs within academic institutions.

2.1. 5 Provide regulations for sourcing services related to research

- (i) Develop guidelines for engaging persons employed from research funds (research assistants, data managers, etc.)

2.1. 6 Support staff to continually update their skills in research management.

This shall be achieved through:

- (i) Conducting regular training workshops/seminars at both unit and center level in grant proposal writing, financial management, scholarly writing and dissemination.

- (iii) Developing and updating research management tools such as graduate hand books and guidelines
- (iv) Support staff to attend skills enhancement courses locally and internationally

2.2 Build a conducive and inclusive environment for research and innovation for students and faculties.

The policy recognizes the importance of providing a supportive research and innovation environment in the University. Research thrives in an atmosphere of academic freedom. This policy guarantees that level of academic freedom and responsibility in conducting and managing the research processes. To promote a positive, harmonious, transparent, and effective environment for knowledge generation and its transfer, research (both basic and applied), teaching, and outreach should be effectively balanced within the portfolio of university operations.

This will be achieved through the following strategies:

2.2.1. Establish centers of excellence/teams for faculty-based research that are sufficiently furnished and maintained to be used by all parties interested in the university in an equitable and sustainable manner.

Therefore, the University shall:

- (i) Promote the formation of multidisciplinary research teams or groups at centers of excellence
- (ii) Develop and update guidelines for setting up centers of excellence
- (iii) Promote and support the establishment of cutting-edge laboratories with user instructions for researchers
- (iv) Make sure that capacity to maintain cutting-edge equipment is developed, for example through improved training of technical staff and users.
- (v) Insist that, upon completion of any research project, all equipment and other resources acquired for that project must be returned to the University.
- (vi) The center shall adopt policies for the use of equipment (including bench fees) and disposal of such resources.
- (vii) Provide opportunities for staff and students to train in gender focused research methodology.
- (viii) Integrate gender in research proposals.
- (ix) Encourage involvement of women in research teams

- (x) Continue to build and invest in research infrastructure to support the growth of the research enterprise
- (xi) Use data and active internal and external participation to drive strategic decisions by establishing baseline metrics and key performance indicators

2.2.2 Support internet and other ICT services and library services for staff members. Therefore, the University shall

- (i) provide internet access and other ICT facilities at each academic and research institution for the purpose of sharing knowledge.
- (ii) Make e-resources and other common ICT-related services and software available for data management and analysis.
- (iii) Continue to subscribe to relevant data bases that provide information to researchers
- (iv) Create and maintain its own research and innovations data base accessible to the university community and the general public

2.2.3 Support researchers to attend conferences both domestically and internationally and to present papers or posters there

The following strategies shall be used to accomplish this:

- (i) Including a budget line for conference attendance in research projects
- (ii) Requiring staff to be supported to have received invitations to present papers/posters or to chair sessions at these meetings
- (iii) Support may be partial or total depending on the amount of funding available

2.2.4 Lira University shall generate a research agenda periodically

- (i) Faculties shall formulate research priorities that will feed into the university research agenda.
- ii) The priorities identified shall reflect national research objectives, priorities and relevant international trends.
- (iii) Research agenda shall promote both basic and applied research
- (iv) The review of the research agenda shall be pegged to the review of the University Strategic Plan.

2.3 BUILDING PARTNERSHIPS AND COLLABORATIONS TO DRIVE RESEARCH AND INNOVATION

This policy recognizes the critical role partners and collaborators play in driving research and innovation world over. By facilitating national, regional and international collaboration, and global networking, we open doors for impactful research opportunities.

To this end, the university shall:

- I. Develop relationships with new partners and deepen existing partnerships based on emerging research-and-innovation trends
- II. Pursue more international partnership opportunities
- III. Increase collaboration with internal partners
- IV. Enter into MoU with leading researchers, higher education institutions and industrialists

2.4 INCREASE FUNDING OPPORTUNITIES FOR RESEARCH AND INNOVATIONS

The policy realizes the importance of securing sufficient funds for staff members to conduct meaningful research, to attend national and international meetings, and to contribute to the research income of the university. It is envisaged that the strategies highlighted hereunder will improve funding for research and innovations. To this end, the University shall:

- a) Commit at least 5 % of the internally generated funds to research and innovations annually
- b) Require graduate and undergraduate students to contribute towards the cost of research. The amounts paid shall be recommended by the Board of Research and Publications
- c) Require all research projects to contribute 15% (5% to the DGTR, 3% to the Department, 3% to the faculty and 4% retained at the center) of the research costs as institutional overheads/indirect costs. This shall be reviewed by the Board of Research and Publications from time to time
- d) Continue to solicit research funds from national and international organizations, both public and private. Solicitation of funding shall be encouraged and facilitated at individual, departmental, faculty or Directorate or Units.
- e) Engage the private sector to contribute towards research and innovations
 - i. Through contract research

- ii. Sponsoring of research chairs
- iii. Through joint ventures, licensing, patents and trade marks
- f) Provide general information including databases on possible sources and modes of research funding on a regular basis
- g) The University shall subscribe to databases that provide information on funding opportunities

2.5 IMPROVE RESEARCH AND PUBLICATIONS CULTURE

The policy recognizes that in order for the Lira University to achieve and retain a leading position in research output, the research and publication culture must be improved. This will be accomplished using the following measures:

2.5.1 Provide incentives /reward for research

- (i) Staff shall spend at least 30 % of their time on research and dissemination. In order to accomplish this, the University shall;
 - a) The researcher's time should be compensated at 10% of the total cost of a grant proposal awarded to the team.
 - b) Require lecturers and above (or equivalent) to produce at least one paper in a peer-reviewed journal each year.
 - c) It shall be a requirement for master's students to submit at least one paper/manuscript ready for publication in before graduating.
 - d) Require doctorate students to publish at least three papers from their PhD work in a peer-reviewed publication during their studies before graduating.
 - e) Develop, operationalize, and update a system for tracking staff research and outputs on a regular basis.
 - f) Require staff to disseminate research findings in the form of policy briefings.
 - g) Recognize and reward employees who excel in research and innovation.
 - h) Develop, implement, and review procedures for identifying and rewarding workers for excellent research and innovation on a regular basis.
 - i) Maintain satisfactory staff-to-student ratios in accordance with university policy.
 - j) Build the University brand of research and innovation culture through talent recruitment and retention, training and recognition
 - k) Focus on diversity and inclusion in recruitment, retention and day-to-day interaction and culture
 - l) Develop strategies to improve global rankings

2.5.2 Provide and support platforms for dissemination of research outputs

The university shall:

- a) Establish platforms for staff and students to disseminate research outputs, such as seminars and locally hosted journals, newsletters and bulletins (both hardcopy and electronic); and
- b) Establish platforms for staff and students to disseminate research outputs, such as seminars and locally hosted
- c) Assist units in organizing frequent conferences.
- d) Encourage regular public presentations and debates on topics of national or worldwide relevance.
- e) Doctoral students must publish their findings in one of the following formats:
 - I. Theses and dissertations as monographs
 - II. Theses and dissertations with chapters as stand-alone papers
 - III. theses/dissertations as a collection of works that have previously been published or have been approved for publication

2.6 IMPROVE RESEARCH INTEGRITY

Lira University is committed to the highest standards of research integrity, including independent review and approval of intended research activities ethics before they begin. The requirement to uphold the highest levels of research integrity should never be overlooked. High-quality research is built on the application of honest and verifiable techniques in proposing, carrying out, and assessing research, as well as reporting research results in a credible and trustworthy manner. To accomplish this, the University shall;

2.6.1 Promote ethical conduct of research in the University

The university shall:

- I. Support the establishment of Institutional Review Boards to oversee ethical conduct of research at units
- II. Develop, operationalize and review periodically guidelines on good research practices and misconduct

- III. Ensure that researchers working within or associated with the university abide to the established international ethical standards
- IV. Through LU Research Ethics Committee (LU REC), guidelines on ethical research practices shall be reviewed from time to time as dictated by advances in knowledge
- V. LU shall operationalize the Faculty Research Scientific Committees as well as strengthening LUREC to oversee the ethical conduct of research.

2.6.2 Promote Disclosure of Researcher Conflict of interest (COI)

Conflicts of interest ('COI') in research can be broadly described as any interest that competes with an organizations or individual's obligation to protect the rights and welfare of research subjects, the integrity of a research study, or the credibility of the research program. Conflicts of interest can be financial or non-financial. In the event a conflict that requires disclosure or management is identified, the COI Chair will provide to the LUREC in writing with a summary of conflict and the conflict management plan ('CMP') approved by the Committee.

The detail of managing will be prescribed in the LUREC guideline.

2. 7. TRANSLATING AND COMMERCIALIZING RESEARCH DISCOVERIES FOR SOCIETAL IMPACT

This policy recognizes the importance of research commercialization that has a direct impact on our society. The University promotes a diverse, supportive culture for our results to benefit as many people as possible. By facilitating the commercialization process for faculty and by recognizing the vital work our researchers accomplish, our office will foster the success of the commercialization enterprise.

Objectives:

- I. Increase faculty understanding and knowledge of research commercialization
- II. Advance the role of innovation and entrepreneurship in the tenure and promotion process
- III. Create standard operating procedures for research commercialization processes
- IV. Increase the diversity of the participants in research commercialization, with an emphasis

- V. Foster a more pervasive culture of valuing and celebrating entrepreneurship and commercializing research discoveries by faculty, students and staff
- VI. Partner with local and national groups to expand the visibility of and opportunities for research impact and commercialization

3.0 GRANT MANAGEMENT PROCEDURE AND GUIDELINE

3.1 PRE-AWARD MANAGEMENT PROCESSES

This covers all the activities that take place prior to obtaining a grant. It commences with identification of an appropriate funding opportunity to submission of a proposal. Refer to pre-application checklist in appendix

3.1.1 Registration on funding platforms

A number of funders require that institutions register on their grants platforms before allowing electronic submission of proposals. Registrations to donor platforms will be managed by the GAMU which will work with the PIs to ensure successful submission of proposals.

3.1.2 Solicitation

The GAMU shall share appropriate funding opportunities with students, faculty and other staff. Faculty and authorized affiliated persons will submit proposals to sponsors including Government, private institutions, foundations, non- profits, educational institutions and other organizations for support.

All intending applicants shall notify their immediate GAMU of their intention to respond to a given funding opportunity or to participate in any sponsored partnership. The immediate Grants Office shall then inform the Head of GAMU of this intent to apply. This allows GAMU to avoid multiple applications within the institution where they are not acceptable to the donor,

The GAMU shall provide support right from pre-proposal contact with donors where applicable to submission of the proposal.

3.1.3 Proposal Development

The individual designated as the Principal Investigator (PI) is responsible for preparation of the proposal following University policies and procedures as well as guidelines issued by the anticipated funding agency. The PI shall be assisted by a team composed of internal and external participants to develop the proposal. The PI shall be responsible for ensuring quality and completeness of the proposal as well as appropriateness of the proposed project team.

The GAMU shall support the proposal developer in various ways including developing a checklist for proposal development, editing proposal documents, compiling relevant support documents, providing the required templates, budget, and budget justification development. In addition, the GAMU shall coordinate with procurement and legal offices where necessary. Grant project budgets shall be made to include all appropriate costs such as direct project costs as well as institutional facilities and administrative costs (indirect costs). Any cost sharing commitments shall be made with approval of the University Council. Project budgets shall comply with all the legal requirements of Uganda.

3.1.4 Proposal submission

Prior to submission to the funder, applicants for grant proposals will receive the support of the GAMU in areas such as administrative and budgetary review of the proposals for completeness, accuracy of information, legal appropriateness, inclusion of the appropriate institutional administrative costs and adherence to the sponsor's/FOA guidelines and the laws of Uganda.

3.1.5 Partnerships and Sub-contracting

University staff or students may apply for grants in partnership with other institutions when required. The University may partner with relevant and complementary institutions when applying for grants. The University shall carry out due diligence on its partners and ensure that MoUs are put in place and signed by the authorized officers of the University.

3.1.6 Relationship with other University Policies

This policy shall be implemented jointly with other laws, policies and regulations governing the University including the Acts of Parliament, Ministerial Policy Instruments, government circulars and regulations, and relevant statutes enacted by the University Council,

3.2 POST AWARD MANAGEMENT PROCESSES

Post award processes cover all aspects of grant management following receipt of the award. The post award processes begin when the designated officer receives a notification from a sponsor of their willingness to fund an activity and ends at grant close-out when the final report including other deliverables are submitted to and accepted by the funder.

3.2.1 Negotiating and accepting the award

Contract negotiation and acceptance of the award shall be done by the Principal Investigator of the project and shall be communicated by the Head of GAMU to the Vice-Chancellor for approval. The Vice-Chancellor shall ensure that any grant contract to be signed is part of the grants or donations declared to the University Council. Negotiation will include a thorough review of the award terms and conditions by the University legal office before an award is signed. A copy of this award must be filed with the Grants Administration and Management Support Unit. A Grant Contract will only be binding on the University after the University Council has pronounced herself by including it in the annual budget estimates.

3.2.2 Cost Sharing

Cost sharing is an arrangement in which the funding entity commits to providing only a portion of a project budget, leaving a percentage which should be contributed by the applicant institution. All cost sharing commitments must be approved in advance by the Vice Chancellor. Note that Matching funds do not qualify if they are from the same funding agency or political government

3.3. PROJECT IMPLEMENTATION

The PI shall have overall responsibility of implementing the project and ensuring its success. The PI shall be responsible for project initiation - bringing all key stakeholders on board, requesting account set-up, obtaining ethical approvals, ensuring that the right cadres of staff are hired following existing procedures set out by the Appointments Board, and all the necessary supplies and equipment are acquired through the existing procedures.

3.3.1 Opening of a project account

In cases where funders require a project specific bank account or an interest-bearing account, authority to open an account will be obtained from the University Accounting Officer following existing laws, policies and regulations on account opening.

3.3.2 Overheads and administrative costs consideration in grants

Overheads also known as indirect costs or facilities and administrative costs are incurred for common or joint objectives and cannot be easily and specifically identified with a particular project or institutional activity. Therefore, the terms indirect costs, overhead costs, and facilities and administrative costs are synonymous.

These costs relate to the use of an institution's facilities and administrative support but cannot be claimed as direct costs. Overhead costs are critical to implementation of institutional activities and are important for the success of institutional projects as well as for the institution hosting the project as they are incurred for common objectives within the institution.

While some funders/donors prescribe the percentage of the overhead to be charged on a grant, others allow for institutions to use their own rates, yet others simply do not allow overhead on grant. In order for Lira University to be competitive, an overhead cost of between 15% will be charged on grants that allow a negotiated rate. Where the above percentages are not applicable and require a waiver, a University Council decision shall be sought through the Vice-Chancellor.

3.4 MANAGEMENT OF INTERNAL RESEARCH FUNDS

There will be situations where the university will have Funds to dispense to faculty for advancement of science through research. In such instances, the following guidelines will apply.

3.4.1 Issue of a Request for Proposals (RFPs).

The GAMU shall be responsible for developing and publishing the request for proposals. Such a Request for proposals shall be open to all eligible faculty at Lira University. GAMU will indicate all the specific requirements for the application in the RFP

3.4.2 Evaluation/Review Committee

The Evaluation committee (EC) will be ad-hoc for each Request for proposals.

i. Composition and functions

The EC is composed of the Chairperson, Secretary and three to five Evaluators. The EC is responsible for:

- (a) The administrative check of the applications received. In this case the individual applications are checked accordingly to assess administrative compliance;
- (b) The evaluation of the proposals, their scoring and ranking according to the evaluation criteria.

Chairperson

- Ensures the Committee impartiality and transparency;
- Nominates the Secretary and between three to five members of the Committee (the evaluators);
- Leads and is responsible for the decisions taken by the EC;
- Coordinates the work during the opening session(s) (the administrative check) and the whole evaluation process in accordance with procedures sets in this Operational Manual
- Calls for EC meetings, sets the meeting agenda and time schedule, moderates among different evaluations with the objective to find consensus.
- Decides whether the evaluation process must be derogated or restarted. This decision must be recorded and reasons must be included in the evaluation report.

Secretary

- Is appointed by the Chairperson among Lira University Administration staff;
- Has non-voting rights;

- Is responsible for carrying out all administrative tasks connected with the evaluation procedure. These include:
 - Circulate, collect and archive “Conflict of Interest Declarations” signed by the evaluators;
 - Keeping minutes of meetings including record attendance
 - Compiling the administrative eligibility report and the final evaluation report;
 - Compiling communication letters to applicants
 - Archive all documentation

Evaluators

- Evaluators shall have the technical and administrative capacities to give an informed opinion on the proposals;
- Chairperson shall decide to include in the committee external assessors if particular technical competencies are required;
- Prior to the beginning of the evaluation, they must sign the “Conflict of Interest Declaration Form” that will be kept in the archive and annexed to the Evaluation Final Report. Their name, should remain undisclosed to third parties;
- They must attend all meetings except, if not requested, the proposal opening session(s) (i.e., those meetings in which the administrative check is done). Any absence must be recorded and explained in the evaluation report;
- All evaluators have equal voting rights;

3.5 MANAGEMENT OF FUNDS AND REPORTING

3.5.1 Setting up sub-award recipients

Where an awarded grant requires the participation of sub-recipients, the GAMU will be responsible for preparing sub-award agreements and ensuring that they are signed by the designated official.

3.5.2 Sub Award Process

A sub-recipient is an entity that receives flow-down funds from the university to carry out a part of a grant project’s activities. A sub-recipient relationship is established through a sub-grant agreement, a contract issued by the university for the commitment of specific services or project-related activities that are to be performed by the sub-recipient. Issuance of a sub-grant under a project prime award is subject to compliance with donor conditions, and all

sub-awards are subject to the terms and conditions of the prime grant award and the University's procurement policies.

3.5.3 Development of Terms of Reference for Sub-Granting

The Project Lead/PI will develop a Terms of Reference which must include a statement of need to justify the need for sub-granting and the Scope of Work for the Sub-Recipient. The Project Lead/PI in collaboration with the faculty dean will propose the partner selection process that should be undertaken. These TORs and proposed selection process will be reviewed by the faculty dean, Head of Department and approved by the Director of Graduate Training and Research

3.5.4 Partner Selection Processes

There are different processes of selection that Lira University undergoes which include the following.

i. When Partners Are Identified Within Original Application

When partners are identified in Lira University initial application for funding, along with their detailed budget and scope of work and the award references them explicitly in the cooperative agreement, no further requirements are needed to consider these partners for sub-grants. This represents the first step in a more intense approval process. Other sections of this manual will lay out other requirements for full approval of partners and their proposed scope of work, budgets and overall performance expectations.

ii. When Partners Are Selected by the Funding Agency

When partners were determined in advance by the funding Agency; documentation must then be provided by a legal representative of the funding agency stating that they have directed such inclusion and the basis for doing so.

iii. When Partners Are Selected Without Competition Because of Unique Attributes

Under some circumstances, Lira University may select partners without competition on the basis of their unique qualifications. This selection process is called a sole source. A sole source justification will be prepared that should justify why open solicitation was not engaged to identify other potential partners to provide the services needed. This documentation should be placed on file.

iv. When Partners Are Selected Competitively

Competitive selection of partners is the preferred way to go. Competition increases the likelihood of cost-competitiveness as well as the possibilities for finding a more diverse range of skill-sets and more innovative approaches.

Competitive selection processes usually rely on Requests for Applications (RFA) or Requests for Proposals (RFP) circulated widely enough to reach organizations outside of your normal circle. When these processes are employed, announcements should provide the following key information:

- your program objectives, including areas of special interest
- minimum eligibility requirements for applicants
- criteria for evaluating applications
- funds available, period of performance, and the number of awards anticipated
- types of activities and costs that will not be funded
- required or suggested elements for cost-sharing
- required format and deadline for submitting applications
- how interested parties may obtain application materials

3.5.5 Conduct Partner Due Diligence or Capacity Assessment

It is mandatory for Lira University to conduct a due diligence on its sub-recipient's. All sub-recipients will be assessed for their financial capacity to manage the sub-grant in line with their own policies and procedures as well as the requirements of the funder. The Institution Data form will be filled for all sub-recipients being considered

3.5.6 Sub-Recipient Contracts

Following a satisfactory due diligence process, the Project Lead/PI working in collaboration with the GAMU prepares the Sub-Award contracts which must be signed by the Vice Chancellor.

All requirements of the main funder to Lira University in the Prime agreement should be passed down to the sub-recipient in the sub-contract and the same should apply for 3rd tier sub-contracts where the sub-recipient has sub-contracts under them.

Regardless of how the sub-partners were selected, a formal agreement must be put in place outlining how funds are to be awarded between Lia University and the Sub-Recipient.

3.5.7 Sub-Recipient Performance Management

The performance management arrangements prescribed here are a minimum that must be followed, however depending on the capacity and risks associated with the sub-recipients, the Project Lead or Lira University Management may require additional measures from time to time.

3.5.8 Contract Period

Sub-grantee contract period should be within the contract period of the main funder's agreement for which Lira University is the Prime. It should be considered to end the sub-contracts three months earlier than the end date of the prime agreement in order to allow a close-out period of the sub-agreement.

3.5.9 Orientation Meeting

The Project Lead should organize a post-award orientation to sub-recipients to clarify the roles, responsibilities and expectations of Lira University vis a vie the Sub-Recipient. This meeting should be used to go through key aspects of the sub-agreement including clarifying the scope of work, deliverables, budget, payment mechanisms, accountability requirements, reporting requirements and compliance review requirements.

3.5.10 Payment Mechanism

Lira University employs any of the following payment mechanisms to the Sub-Recipients:

i) Disbursement Method

This method involves making payments in advance to the sub-recipient to implement a defined scope of work in a specific period. This method should only be used if a sub-recipient has proved that they have basic accounting controls but do not have sources of funds to pre-finance project activities.

Disbursements will be made quarterly and monthly if deemed necessary depending on the risk and capacity assessment of the Sub-Recipient. An initial schedule of the quarterly payments will be included in the initial-sub-agreement including a final payment that should be 10% of the contract amount. The final reimbursement will be made after approval of the final report and will be in line with the balance of funds due to the Sub-Recipient.

ii) Reimbursement Method

This method involves refund of actual costs incurred by the Sub-Recipient to implement eligible project activities. This method may be employed where the Sub-Recipient has the financial capacity to pre-finance the activities even when they do have good accounting

controls in place. However, on the other hand where a sub-recipient has proved that they do not have basic accounting controls and have been assessed as highly risky, reimbursement method should be employed.

The reimbursement takes place at the Sub-Recipient's request, submitted a financial report on monthly or quarterly expenditures that are fully supported with expenditure listing. The basis for reimbursement of the incurred expenditures is provided by all accounting documents used by the sub-recipient organization in its own bookkeeping. Where the sub-recipient was categorized as highly risky all expenditure must be supported with third party receipts confirming expenditure incurred.

Please note that reimbursement is the safest and most preferred payment method by Lira University and therefore should consider the financial capacity of the sub-recipient and the potential to constrain project implementation.

3.5.11 Sub-Recipient Reporting

The reporting requirements will be included in each sub-recipient agreements with the timing and contents stipulated. Sub-Recipient will submit progress technical and financial reports either monthly or quarterly as indicated in the sub-agreement.

Progress Technical Reports

Monthly/Quarterly Progress technical reports shall include progress on major activities and milestones in line with targets defined in the work-plan and Monitoring and Evaluation framework.

Annual report: For sub grants running for a period of at least 12 months, this shall cover a 12-month reporting period (as stipulated in the sub-agreement) which includes all activities reported in the quarterly reports. Sub-partners must document and report on their success stories annually, when they submit their annual report.

Final Report: The sub-partner shall submit a final performance report which summarizes the accomplishments of the sub-agreement activities undertaken, problems encountered and recommendations regarding unfinished work or program continuation.

Financial reports

Financial reports shall include a summary of the approved budget, expenditure for current period, total expenditure for previous period, total expenditure to date and budget balance as indicated in the Financial Reporting Template. This summary will be supported by a

detailed expenditure listing of the current period expenditure from the recipient's accounting system and supporting documents

In line with the funder's requirements as per the prime agreement with Lira University, funders may request for additional compliance supporting documents of expenditure incurred. Lira University will pass down this requirement to the sub-recipient and all supporting documents should be submitted by the sub-recipient to Lira University.

Sub-Recipient Annual Audited report

The Sub-recipient shall be required to submit their annual audited reports including the management letter for the periods in which the contract with Lira University is running. This requirement shall be included in the sub-agreement.

3.5.12 Equipment Inventory and Transfer

If the sub-recipient acquired equipment of any sort, an inventory must be reviewed by the Project Lead and Operation Team for further instruction on the disposition of that equipment based on the Sub-Recipient Agreement and donor guidelines.

Obtain Publications and Materials Produced

Copies of all publications and materials produced with Lira University grant funds must be sent to the Lira University office, including electronic copies. These publications should be sent to the Lira University office when they are produced and not just at the end of the grant period. Agreements may also require prior approval of all publications that sub-recipient will produce before they are published.

3.5.13 Issue a Close-Out Letter

Once everything has been settled, the Project Lead should prepare and submit a close-out letter signed by DGTR to formally mark the end of the sub-recipient relationship.

Certificate of Good Conduct

For Sub-Recipient that had a capacity building component, the Project Lead should consider awarding a certificate of good conduct to the sub-recipient that has behaved honorably during the sub-granting period to assist them gain credibility from other potential funders in their resource mobilization efforts.

3.5.14 Close-Out Procedures

Close-Out Plan and Issue Notification to Sub-recipient

Depending on the duration of the sub grant, between six and three months before the end of the sub-grant, the Project Lead should send a close-out notification to the sub-recipient point of contact or head of the organization informing them that the sub-grant will be closing out in six (6) or three (3) months' time and lay out the close-out plan and roadmap.

Close-Out Check-In Meeting

Three (3) months to the end of the sub-grant, the Project Lead must conduct a Close-out Check-in meeting with sub-recipient, The Project Lead in collaboration with the Project Officer should prepare a close-out checklist which will be the subject of discussion during the close-out check-in meeting.

Sub-Recipient Final Report

The sub-Recipient must submit the final report showing that the outputs and results that have been achieved.

Final Close-Out Meeting

The Close Out Team (Project Lead, Accountant, Project Officer, Compliance Officer and other Lira University Project Management team staff) should, after review of the final report and status of accounts, conduct a final close-out meeting to go over final programmatic, financial, and administrative details before the official close-out of the sub-grant.

Final Payment

Sub- Recipient Agreements should specify that final grant payments will not be made until the final close-out of the grant is completed (i.e., all financial reports and accountabilities, programming reports, equipment and inventory returns, and publications produced with grant funds are received). 10% final payment of the contract amount as indicated in the sub-agreement should be withheld until close-out completion.

Close-Out Certification from Sub-recipient

Before closing out a grant, the Project Coordinator should request from the sub-recipient a signed statement certifying the following:

- that partner has received all funding due under the sub-agreement.
- that the partner is due no outstanding funding.

that the partner has no outstanding debts to your organization

3.6 RESOLUTION OF DISPUTES

Any research challenging a decision arising over the application of this policy and the ownership of patents and/or copyrightable works may appeal to the Vice Chancellor of the University. The appeal must be in writing within six months from the appearance of such grievance. The Vice Chancellor shall give a decision in no more than ninety calendar days from the lodging of the appeal or the University will relinquish rights to ownership of the disputed Intellectual Property. The Vice Chancellor decision on the appeal will be final and will be explained in writing to the researcher

4.0 MONITORING AND EVALUATION

The Research policy and Innovation and the grant management will be monitored using M&E framework based on the objectives as set out in the policy. Data collection shall be through routine reporting of all research activities by the faculties to the Grant management unit and LUREC and other committee that will be set to support research and innovation in the University.

At the end of three years, review will be undertaken to assess progress made towards set goals and to inform intervention measures.

Table 1: Indicators of research quantity and quality

Type of indicator	Description	Source
Input	Value of grants applied for	Letters of support prepared
	External grants received	Award Letters/MOU
Output	Number of publications	ORCHID method and Web of Science
	Number of citations received (leading to secondary bibliometric data, like the h-index	Web of Science or Scopus
Outcome	Media interest LU innovation	Average value equivalent
	Impact assessments	Case studies

APPENDICIES

Appendix I: Grant Pre-Application Assessment Checklist

Factors	Y	S	Comments
Is the purpose of the funding opportunity compatible with our mission? vision? values?			
Is something similar to this already part of our long-range or strategic plan?			
If so, how high a priority has it been given?			
If not, is it something we should consider incorporating into our strategic plan?			
Is Lira University eligible to apply?			
If not, can we partner with an eligible agency?			
Is the deadline a realistic one for us, given the resources and time available?			
Is the amount available through this opportunity compatible with our funding needs?			
Is there any potential ethical conflict between our mission, vision, and values and the source of this funder's philanthropic dollars? (This is an especially important question to ask when contemplating funding from a corporation whose products or services might not be in alignment with what your organization stands for.)			
How competitive will the funding process be? <ul style="list-style-type: none"> • If "low," is this an opportunity we want to pursue? • If "high," do we have the time and resources to invest in putting together a highly competitive – and speculative – proposal? 			
How complex or involved are the requirements			

for supporting documentation? Do we realistically have time and resources to meet those requirements?			
Are we prepared to live up to the terms of a grant award from this agency? <ul style="list-style-type: none"> • Periodic reports • Accounting/financial responsibility • Evaluation requirements • Certifications and assurances • Other 			
Operational factors			
Are there match funding requirements? Is Lira University in position to raise the matching funds?			
Are there any hidden Costs that will be incurred by Lira University as a result of implementing the grant program that will not be recouped in the grant award			
OVERALL:			
How well does this funding opportunity fit with our mission, vision, and values?			
Do we have the resources needed to prepare a technically qualified, highly competitive and timely proposal?			

Appendix iii: Template for capturing Externally funded grants at Lira University

Project Name and the PI	Funding Source/Grant Ref.No.	Project objectives	Start Date	End Date	Project Budget	Amount released to date	Expenditure to date

Date of approval by Council:24 May 2021

Signature:



(Augustine Oyang-Atubo)
SECRETARY UNIVERSITY COUNCIL

Signature:



(Prof. Joel Okullo Odom)
CHAIRPERSON UNIVERSITY COUNCIL