

BUGEMA UNIVERSITY

RESEARCH POLICY

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PREFACE

This policy document aims to outline the research policy of Bugema University and to guide all staff and students in matters related to research.

The research and development activities have great influence on the policies and growth of institutions, both public and private, and nations as a whole. Research and innovations must be rooted in the interaction between these activities and economic, social, political and institutional processes. A policy in this direction must respond to problems posed by the very innovations, R&D, technology and science, and related activities concerned with the acquisition of knowledge (learning) and its exploitation.

The ultimate benefit of research lies not only in the generation of new knowledge but in the translation of knowledge into technologies, interventions and strategies effectively and appropriately delivered to the poor. In order to reach this objective, it is imperative that the entire research process be pursued within the context of contemporary knowledge, good ethics, effective policy, adequate resources and international cooperation. At Bugema University, research and innovations necessitate multi-level, multi-disciplinary approaches that support the exploration of new ways of using these disciplinary perspectives and methodologies.

The Current research trend has had several effects one of which is less visibility of Bugema University on the web since most of the research endeavours have been attributed to individuals within the university rather than necessarily the institution itself. The Research policy seeks to reverse this trend in a two-way approach: encouraging and providing more opportunity for team/multidisciplinary research and innovation on the one hand, and rationalizing these efforts in a broader university framework of research and innovations. The policy puts emphasis on provision of research opportunities, quality and ethics in research and innovation, efficiency and effectiveness in coordination and management of research and innovation at Bugema University. In achieving the aims of this policy, the university is committed to working closely with national and international organizations that support and monitor research activities. In Uganda, this refers to such organizations like the Uganda National Council of Science and Technology, National Agricultural Research Systems, National Council for Higher Education.

The Research Policy has been developed under the overarching framework of the university vision, mission and core values.

By Vice-Chancellor Prof. Patrick Manu PhD

INTRODUCTION

1.1. Research is a necessary part of the academic environment and the intent of this policy is to clarify and facilitate the process. In order to fulfill the mandate of 'Excellence in Service' and meet the 2016 goals outlined in the Strategic Plan, the university must engage not only in extra-mural collaboration, internally foster mentoring and interdisciplinary projects but generate research income. This policy is to work together

with the targets and strategies outlined in the Bugema University Strategic Plan 2006-2016. Transparency is also vital to the establishment of viable linkages and this policy has provided guidance in that area.

1.1 Legal Framework

The Bugema University Research Policy is developed in line with the existing policy frameworks of the University as well as regulatory bodies at the regional (IUCEA), and national (NCHE) in charge of institutions of higher learning.

The Uganda Universities and other Tertiary Institutions Act 2001 (Under Section 102 of the Act) and the Bugema University Charter Notice, 2010. Section 8.0 provides for the Bugema University mission statement that partly states that the University is to prepare students through training and research. Furthermore section 12.1.2 of the Bugema University Charter Notice, 2010 provides that one of the functions of the University is to provide resources for University education, training and research. Section 12.1.4 of the Bugema University Charter Notice, 2010 provides for research for advancement and dissemination of knowledge. Section 21.1.9 of the Bugema University Charter Notice, 2010 provides for promotion of research. Section 12.1.11 partly provides for instituting a research fellowship. Under section 40.0 of the Bugema University Charter provides for schools, institutes and other academic bodies. Section 40.2.4 of the Bugema University Charter Notice, 2010 provides for the promotion of teaching, research, writing academic papers and publishing professional papers and books.

Section 45.0 of the Bugema University Charter Notice, 2010 provides for offices of the University and Section 45.1.10 of the Bugema University Charter Notice, 2010 provides for directors of institutes and other academic and administrative bodies.

1.2 The Mission of Bugema University: Bugema University seeks to offer an excellent and distinctive holistic Christian education designed to prepare our students through training, Christian scholarship for productive lives of useful service to God and to society with uncompromising integrity, honesty and loyalty.

1.2.1 Vision of Bugema University: Bugema University envisions training for excellence in service. It seeks to enlighten the mind, to enhance the quality of personality, to enable each individual out of Christian love, and concern, to serve humankind creativity, responsibly and humanly and to enkindle a never-ending search for knowledge and truth.

1.2.1 Bugema University Values: Pursuit of excellence in all we do: Bugema University is committed to the highest intellectual, spiritual and ethical in teaching, learning and, research and research training, in the conduct of its activities and relationships.

1.3. Policy Goal

1.3.1 As a central tenet of the Bugema University mission, research complements and invigorates teaching, as well as collectively supports the preservation, dissemination and advancement of knowledge for the betterment of society on the basis of good scholarship. Equally relevant in this context is the exploitation of such knowledge and innovative ideas in the development of tangible and non-tangible outputs beneficial to society.

1.4. Objectives

1.4.1 The objectives of this policy are to define the principles that will:

- (a) Support the further development of a research culture.
- (b) Lead to the broadening and development of the research capacity of the institution across all disciplines, and to extend that research-based knowledge to the local community, the nation and the international community.
- (c) Encourage and empower staff to manage, conduct, disseminate and report research results.
- (d) Remove or reduce obstacles that hinder or discourage research and development.
- (e) Establish the University as a centre of research excellence.
- (f) Establish procedures to manage and use research resources effectively, efficiently and fairly.
- (g) Increase quality of student research activity at Bugema University.
- (h) Encourage the research-teaching nexus.
- (i) Improve the quality of outputs, including their impact, level of accountability, and timeliness of reporting.
- (j) Provide a structure for continual improvement of research and development.
- (k) Enable the commercialization of research and development outputs, for the benefit of the researcher, the University, and the wider community.

1.4.1 Definitions

For the purposes of this policy the following definitions shall apply:

1.4.1.1 “Research”

Research is “the systematic investigation into and study of materials, sources, etc., in order to establish facts and reach new conclusions” (Concise Oxford Dictionary). In this document it shall be taken to include development and innovation.

1.4.1.2 “Development”

Development shall mean the innovative and creative adaptation of information

and knowledge for a new purpose, thereby creating new information.

1.4.1.3 “Director”

Director shall mean the Director of the Center for Research and Publications.

1.4.1.4 “Consultancy”

A consultancy is work done for an external organization, which may or may not include a research component, and for which the organization pays a fee. All consultancies are subject to the University policy on Private Work.

1.4.1.5 “Institutional Consultancy”

An Institutional Consultancy is a consultancy where the agreement is between the University and the client.

1.4.1.6 “Private Consultancy”

A Private Consultancy is one which is undertaken by a staff member, and for which the University has no legal liability whatsoever.

1.4.1.7 “Office of Director for Center of Research and Publications (RP)”

The Director of RP is responsible for the implementation of the Research Policy.

1.4.1.8 “Research Committee”

The University Research Committee is a body responsible for advising the Director of RP on implementation of policy.

1.4.1.9 “School Research Committee”

A school Research Committee is a body responsible for assisting the School Dean, and the Faculty, to implement the research policy, and to provide an academic assessment of research.

1.4.1.10 “University Research Handbook”

The University Research Handbook is the document which details the implementation of University Research Policy. It includes explanatory notes on this policy.

2.0. GENERAL RESEARCH POLICY

2.1 The policy shall apply to all members of the University Community, and other users of University resources.

2.2 Research activities will aim at fulfilling the University Vision, Mission and Values

statements, and the National aspiration of the country.

2.3 The University will take into account goals and priorities established by appropriate Government bodies in establishing its research priorities.

2.4 Staff shall be encouraged to engage in interdisciplinary research as well as research in their area of speciality, provided that they adhere to the University's ethical principles and values.

2.5 The University shall recognize the value of both of internationally and nationally recognized research of direct benefit to the country, and beyond.

3.0. RESEARCH AT BUGEMA UNIVERSITY

3.1 Research at Bugema University comprises three major types; that of fundamental (basic) research, applied research and experimental research.

3.2 Fundamental research refers to either pure basic research or strategic basic research. Pure basic research is experimental and theoretical work undertaken to acquire new knowledge without looking for long-term benefits other than the advancement of knowledge. Strategic basic research is experimental and theoretical work undertaken to acquire new knowledge directed into specified broad areas in the expectation of useful discoveries. It provides for the broad base of knowledge necessary for the solution of recognised practical problems.

3.3 Applied research is original work undertaken primarily to acquire new knowledge with a specific application in view. It is undertaken either to determine possible use for the findings of basic research or to determine new ways of achieving some specific and predetermined objectives.

3.4 Experimental research is systematic work, using existing knowledge gained from research or practical experience that is directed to producing new materials, products or devices, to installing new processes, systems and services, or to improving substantially those already produced or installed.

3.5 Overall, Bugema University shall invest and give equal emphasis in terms of resources and time allocated to all types of research as above.

4.0 RESEARCH GUIDING PRINCIPLES

4.1 Management and Organization of Research

The policy recognizes that a positive harmonious, transparent and efficient environment is essential to foster research and innovation in the university. Within the portfolio of university activities, research (basic and applied), teaching and outreach should be appropriately balanced to ensure efficient creation of knowledge and its transfer. Such an environment will be created through the following strategies:

4.1.1 Create centers of excellence that are adequately equipped and maintained for use by all interested parties in the University in a sustainable manner. The University shall, therefore: (i) Develop and update guidelines for setting up centers of excellence (ii) Encourage and support the establishment of state-of-the-art laboratories with user guidelines for researchers (iii) Encourage the formation of multidisciplinary research teams/groups at centers of excellence (iv) Ensure that capacity to maintain the state of the art equipment is developed e.g. through enhanced training of technical staff and users (v) Require research equipment and other resources acquired during the life of any research project to revert to the University at termination of the project (vi) Guidelines for use of equipment (including bench fees) and disposal of such resources shall be developed by the center.

4.1.2 Support staff members' access to the internet and other ICT services. The University shall, therefore: (i) Provide internet and other ICT facilities at every academic/research unit for purposes of knowledge creation and dissemination. (ii) Provide access to the e-resources and other ICT related common services/software for the purpose of data management and analysis

4.1.3 Researcher's time compensation shall be provided for at 10% of the total cost of a grant proposal

4.1.4 Support researchers to attend and present papers/posters at national and international conferences. This shall be achieved through the following: (i) Provision for travel support in the units' budgets to facilitate staff attendance at conferences (ii) Inclusion of a budget line for attendance at conferences in the research projects (iii) A requirement for staff to be supported to have obtained invitations to present papers/posters or to chair sessions at these meetings (iv) Support shall be in part or total depending on availability of funds

4.1.5 Bugema University shall generate a research agenda periodically (i) Faculties/institutes/schools and colleges 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.

4.1.6 Facilitate national, regional and international collaboration, and global networking. To this end, the university shall (i) Enter into MoU with leading research and higher education institutions (ii) Operationalise and nurture existing MoUs at Bugema University

4.1.7 Provide research support services including management information systems and library resources that facilitate access to international literature and data bases. The University shall, therefore: (i) Continue to subscribe to relevant data bases that provide information to researchers (ii) Create and maintain its own research and innovations data base accessible to the university community and the general public

4.2 Strengthening Research Management and Coordination

The policy recognizes that research activities carried out through various academic and research units in the university have to be managed and coordinated properly for the benefit of the entire university in a fair and transparent manner. This will be achieved through the following strategies:

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

4.2.2 Provide regulations for sourcing services related to research (i) Develop guidelines for engaging persons employed from research funds (research assistants, data managers, etc)

4.2.3 Promote a mentoring and apprenticeship culture/approach in research (i) Require as part of the eligibility criteria for research support senior members of staff to work with junior members of staff and graduate students on research projects for mentoring and supervision (ii) Support senior members of the academic community to work with junior members of staff to produce joint publications (iii) Mainstream gender and actively involve women in research activities. (iv) Encourage academic units to establish Professorial Research Chairs.

4.2.4 Provide guidelines for supervisors and supervisees during the research process to ensure harmony, quality and timely completion. To this end, the University shall: i) Develop, operationalise and review periodically guidelines for supervision of graduate students (qualification, appointment, remuneration, conduct etc) ii) Disseminate widely the rules and regulations for graduate study.

4.2.5 Strengthen the research management and coordination function at institutional and at unit levels. To this end: (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 committee (ii) Provide tools for internal procedures for approval, control, monitoring and coordination of research and innovations

4.2.7 There shall be the Bugema University Committee of Research and Publications to guide the research and innovation function of the University. The Director of the Research and Publications shall provide the secretariat.

(i) The functions of the Committee 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) Oversee the scholarly aspects of Bugema University Press (d) Submit to senate reports on its activities periodically.

(ii) There shall be technical sub-committees to assist the University Committee of Research and Publications in implementing its mandate. These shall include: (a) The Ethics Committee, (b) Intellectual Property Management committee (c) Editorial Board of Bugema University Press

4.3 Organization of Research

4.3.1 All academic staff are required to undertake research. In turn, the University is committed to support all research with appropriate resources where necessary.

4.3.2 Bugema University's overall research focus is diversely expressed in each faculty or institute niche area(s). Each niche area within the faculty or institute allows for research convergence and the optimization of research resources.

4.3.3 Within this niche area(s), the faculty identifies priority research topics. Staff undertaking research within a Priority Research Topic are called a research group.

4.3.4 Any research that does not fall within the ambit of the faculty or institute niche area(s) is called "complementary research". Although complementary research is not discouraged, it shall not take precedence over niche-area research in the allocation of University resources.

4.3.5 Depending on prevailing needs and relevance, the University management may give precedence in terms of resource (facilities and funding) apportionment to one or more selected niche areas or priority research topics.

4.3.6 At the faculty and institute level, a cluster-based approach to research is encouraged. Cluster-based research refers to a strategy whereby either an amalgamation of research projects or components of one large project, are undertaken collaboratively either within a priority research topic or across priority research topics. By definition, it involves more than one researcher. Sharing similar research interests, researchers collaborate intellectually and in work responsibilities. As far as possible, Bugema University desires research to be multi-disciplinary or inter-disciplinary in design and approach. Inter-faculty and inter-institutional research collaboration is encouraged since the sharing of expertise and techniques across disciplines and institutional boundaries shall eventually prove beneficial in adding value to research.

4.3.7 It is preferred that each cluster-based research project have a few postgraduate (research) students attached to it. Working with principal researchers, the students derive their postgraduate theses from the research project. The participation of research students is highly desirable and recommended as they augment research in terms of providing principal researchers with original data and collaborative feedback. Furthermore, they form the nucleus of new scholars, trained by principal researchers, and are poised to break new ground and take research to advanced levels. For this to happen, all research projects should have merit-based research scholarships and studentships for fieldwork to assist their postgraduate students financially throughout the duration of their studies.

4.3.8 Research (inclusive of contract research/consultancies) shall comprise not more than 30 percent of the total workload of lecturers, expressed in terms of teaching, committee work, and administrative load. For full-time research staff, research shall comprise not less than 90 percent of their workload.

4.3.9 Each faculty or institute has principal responsibility in developing, implementing and monitoring their respective research projects. University level approval and oversight of faculty or institute research projects lies with the University, delegated to the Center for Research and Publications.

4.3.10 The flowcharts in Appendix 1, 2 and 3 illustrate the approval process for all university research, undergraduate, graduate and faculty, respectively.

4.4. Sharing of Research Resources

4.4.1 All infrastructure and logistical resources presently dispersed throughout the University in the various faculties, institutes or centers are, in principle, available on a shared basis to all researchers subject to their obtaining consent for use from the respective heads of department.

4.5. Roles and Responsibilities

4.5.1 Center for Research and Publications

As research is a central tenet of the mission, Bugema University shall establish the Centre for Research and Publications.

4.5.2 Functions of Center for Research and Publications

4.5.2.1 The Center for Research and Publications shall be principally responsible for overseeing the management of research in Bugema University. Accountable to the Research Committee and the Deputy Vice Chancellor Academics, the Center for Research and Publications shall be assigned to:

- serve as the administrative secretariat to the BU Research Committee;

- oversees and implements BU research policy;
- scrutinizes and approves undergraduate and graduate research proposals for compliance to this policy document;
- facilitate Research Grant Adjudication committees (tasked with scrutinizing and recommending support for research proposals on the basis of merit, relevance and excellence);
- approve expenditures and monitor research activities;
- develop and maintain a research database and for research projects carried out in BU;
- maintain a database of research expertise of staff of BU;
- develop and maintain a dedicated website for research activities at BU;
- maintain a monitoring system designed to assist principal researchers in meeting research implementation schedules, progress reports and financial reporting deadlines as described in proposal time lines;
- assist researchers in securing research grants, especially in meeting grant specific procedural requirements;
- forward all research proposals and research reports (technical and financial) after they have been documented to the Research Committee for appropriate action;
- serve as the point of contact with funding agencies in terms of technical and financial progress reporting;
- initiate, facilitate and maintain liaison with industry, government agencies and other stakeholders;
- encourage exploitation, development, patenting and commercialisation of research and innovative outputs by Bugema University researchers;
- promote research culture amongst the staff of BU by organizing research seminars involving invited guests, faculty and staff, and University students;
- publish a Bugema University Research Update and research achievements at BU through print (Bugema University Academic Journal) and electronic media;
- showcase successful research findings in local and international expositions;
- organize relevant training programmes (both internal and external) on a regular basis to enhance the capability, especially of new academic staff, in R & D activities;
- prepare and publish the University Annual Research Report;
- prepares and implements the annual budget for the Center for Research and Publications

4.5.3 Research Committee

4.5.4 Reviewing Faculty Research Proposals

4.5.4.1 Research Committee shall be a working committee of the Center for Research and

Publications primarily tasked with providing internal (within the university) peer review of all research proposals submitted for BU research grant support. They will also ensure that research proposals meet internationally recognized quality standards.

4.5.4.2 The Research Committees shall be tasked with providing peer scrutiny of all faculty research proposals and shall be responsible for ensuring that all research proposals meet the following criteria:

- makes noteworthy contribution to knowledge;
- is realistic in terms of its scope, time frame and schedule, with adequate human and financial resources to complete the project;
- is theoretically and methodologically coherent;
- strengthens overall research efforts and expertise within the faculty or institute;
- is relevant to the needs of society;
- scrutinizes and approves research proposals for compliance to this policy document.

4.5.4.3 In situations where the proposals being evaluated fall outside the expertise of the Research Committee, an expert (in the area of the proposed research) shall be invited to assist in its evaluation.

4.5.4.4 In cases where proposals require further clarification, the Director, Center for Research and Publications shall invite the proposal proponent(s) to a discussion with the Research Committee.

4.5.4.5 Research Committee members shall not adjudicate grant applications if they have submitted a proposal.

4.5.4.6 The Director of the Center for Research and Publications or designate of the Research Committee shall communicate in writing any required revisions or improvements to the proposal.

4.5.4.7 The Research Committee is responsible for reviewing progress and final reports (inclusive of financial reports) of all research grants and projects.

4.6. Research Grants

4.6.1 Bugema University Research Grants

4.6.1.1 BU research grants (also known as research seed grants) shall be allocated to BU faculty and Staff members on the basis of merit and shall be designed to kick-start new research projects. Such research shall not continue to rely upon university research grants as their

principal sources of funding. Instead, such researchers shall be expected to access grants from non-university sources, such as international government, corporate or private grant sources.

4.6.1.2 BU Research grants shall be open to full time faculty and part time faculty (who are members of a research project team led by a full time Faculty). Faculty members may apply on behalf of graduate students they are supervising at BU.

4.6.1.3 University research grants shall be normally for a duration of one to two years. The Monetary value of a research project shall be determined by the stakeholders. Funding allocations may also be set aside for special research projects as identified by the Vice Chancellor.

4.6.1.4 These grants shall be mainly for the support of primary data collection, such as survey and research traveling expenses, research consumables, experimental material supplies, remuneration for research assistants, specialised software, hardware maintenance, rentals and etc.

4.6.1.5 Publications resulting from research supported by BU Research grants shall include BU in the author's address and acknowledge the support of BU.

4.6.2 External Research Grants

4.6.2.1 Bugema University shall actively encourage researchers to access external research grants, whether from official government sources, commercial/corporate funding, research trusts from other academic institutions in the form of individual or joint institutional research projects. Such external grants reflect external recognition of research competence and enhance both the researcher's reputation and the University's research standing.

4.6.2.2 To enhance the chances of securing such grants, Bugema University researchers shall be encouraged to establish or join national and international research networks, and to collaborate with their local and international counterparts.

4.6.2.3 On externally funded research projects, BU shall charge overhead at the following rates:

- 8% - for grants from governments and international organizations;
- 12% - for research contracts from industrial or business partners if the results are to be published in an open forum;
- 15% - for contracts from industrial or business partners if the results cannot be published in an open forum because they are considered proprietary and fully owned by the sponsor;
- negotiable, if the sponsor has pre-existing policy of lower overhead rates.

4.6.2. Limit on Number of Research Grants or Projects

4.6.2.1 To ensure that research is completed on schedule, all researchers who are full-time lecturers shall be limited to leading a maximum of two research grants or projects at any one time. In addition, these researchers can participate in a maximum of two further projects as a member of the research teams.

4.6.2.2 Holders of professorial Chairs in faculties or research institutes undertaking cluster research may participate in as many research grants and projects as their full-time dedication to high quality research work allows. Such levels of participation must however, not jeopardize the expected high quality of output of the research institute.

4.7. Consultancy

4.7.1 The University shall create a conducive environment in order to avail its extensive human resource for consultancy as a way of contributing to the overall University mandate and national development. In particular the University shall undertake to support its staff to create a vehicle through which staff can compete for consultancy services.

4.7.2 Consultancy means the provision of professional services by a Staff Member or Members to an external party. Internal Consultancy between Schools/Areas is thus excluded from the provisions of the Policy and Procedures. The Bugema University Consultancy Policy and Procedures embraces two categories of Consultancy:

- Private Consultancy; and
- University-based Consultancy

4.7.3 For the purposes of the Policy and Procedures, the latter shall be further divided into Commercial Consultancy and Strategic Consultancy, to be undertaken through the University Consultancy Coordination Unit (UCCU) in the Office of the Research and Publication or through a school Consultancy Coordination Unit (SCCU), reporting directly to the relevant Executive Manager; and Community Service Consultancy, to be undertaken through the relevant School Consultancy Coordination Unit.

4.7.4 The amount of time taken up by the staff member in providing all Commercial Consultancy, Private Consultancy, Strategic Consultancy and/or Community Service Consultancy does not exceed, on average, 20% of the time that is allowed for normal duties and that the additional amount of time designated to perform the Consultancy described herein will not adversely affect the staff member's performance of normal duties (other than for those staff employed with non-recurrent funding and primarily for the purposes of undertaking Consultancy);

All Consultancy work undertaken by staff members of the University shall be governed by the Bugema University Consultancy Policy and Procedures.

4.8. Research Output

4.8.1 The University shall recognize the following as concrete evidence of quality research output:

- externally refereed publications as articles or scientific papers in national and international journals of scholarly repute, or in refereed open-access web-based academic journals;
- monographs, books, chapters in books and published conference proceedings;
- presentation of research work at external conferences, seminars and workshops (national and international);
- in-house research working papers, technical reports, professional society publications;
- Publication in the Bugema University Academic Journal
- research-based creative works/exhibitions and artistic performances;
- success in attracting external research funding;
- supervision of research graduate students to completion of their degree.

4.9. Contractual Obligations of Researchers and University

4.9.1 Researchers shall be obliged to complete all assigned, and agreed upon research, and to publish findings of such research as widely as possible. In particular, with regards to research supported by funds from BU, the university shall expect a return from the recipients of the funding. As such, researchers shall be obliged to generate output from the research conducted. The University on its part shall be obliged to support and assist researchers in meeting all their research obligations.

4.9.2 As far as possible, publication of research shall be current and of high quality. Ideally, there should be a minimum delay between the end of any research and submission for publication of its findings. Any delay in submission for publication of research findings shall not, normally, exceed a period of 12 months.

5.0. RESEARCH ETHICS

5.1 Integrity

5.1.1 Researchers shall be expected to be honest in respect to their own actions in research and in their responses to the actions of other researchers. This shall apply to the whole range of research, including the design of research projects or experiments, generating and analysing data, applying for funding and grants, and publishing results.

5.1.2 Researchers shall be expected to uphold research integrity at all times. Specifically, researchers shall acknowledge the direct and indirect contributions of colleagues, research collaborators and others in their work and publications at all times.

5.1.3 Research integrity shall include; maintaining rigor, carefulness and accountability that are the recognized standards of good scholarship, and not just the avoidance of wrongdoing. All researchers shall actively practice the following:

- emphasize high quality research;
- undertake appropriate research supervision;
- maintain accurate and detailed research activity records and results;
- be ethical about the objectives of one's research;
- be open and cooperative with one's fellow researchers and others;
- be committed in publishing and further develop or commercialize one's research findings.

5.1.4 Researchers shall be accountable to society, their professions, the communities and institutes where the research is taking place, the staff and students involved, and to sponsors that are funding research

5.1.5 At the beginning of a research project, researchers shall be required to declare and manage potential conflicts of interest in writing. At the end of a research project, researchers shall be required to disclose any real financial or professional conflict of interest in writing. Areas of real or potential conflict of interests shall include:

- where researchers have an existing or potential financial interest in the outcome of the research;
- where researchers are likely to gain any private benefit that is dependent on the research outcome;
- where the researcher's professional or personal gain arising from the research outcome may be more than usual or normal in a specific research undertaking.

5.2 Openness

5.2.1 While recognizing the needs of researchers to protect their interests in research, including intellectual property rights, the University shall encourage researchers to be as open as possible in discussing their work with other researchers and with the public. Once research has been published, where appropriate, the University shall expect researchers to make available such research, data and materials to other researchers on request, provided such requests are consistent with any ethical approvals and consents which cover the data and material as well as any intellectual property rights in them.

5.2.2 Researchers shall be especially careful in discussing their work in public forums, especially work that has not been peer reviewed or remains as yet unpublished.

5.2.3 Professional Guidance and Legal Requirements: Where available, the University shall

expect researchers to be guided by and to observe standards of practice set out in guidelines as published by funding bodies, scientific societies and other related professional bodies.

5.2.4 Researchers shall be bound by all legal requirements, which regulate their work, particularly health and safety requirements, environmental standards, and the privacy and protection of research data.

5.3 Leadership and Cooperation

5.3.1 Heads of research projects and senior researchers shall be responsible for fostering a dynamic research culture within a climate of mutual trust and cooperation in which all members of a research team are encouraged to develop their knowledge and skills and to exchange ideas and opinions freely in the spirit of genuine scholarship.

5.4 Supervision

5.4.1 Research project leaders shall be responsible for the supervision of the whole research process, including research project design, preparing funding applications, the design of experimental or research protocols, data recording, data analysis and publication and dissemination of results. The project leader shall be responsible for the appointment of suitably qualified co researchers/research assistants and supervision of the research assistants in the course of the research.

5.4.2 Research project leaders shall maintain frequent contact with research staff, to advise and scrutinize all research data and to meet the broader needs of research staff and students.

5.5 Training

5.5.1 Research staff shall have the right to receive the relevant training required to ensure that they are able to engage in high quality research. Research project leaders shall be responsible to ensure that their staff attend relevant training courses as part of their career development.

5.6 Humans and Human Communities as Research Subjects

5.6.1 The interests and rights of those involved or affected by the research shall be appropriately safeguarded. The principle of voluntary participation shall be in effect, and the participant shall have the option to withdraw at any time.

5.6.2 The researcher(s) shall ensure that legislative requirements on human rights and confidentiality (or preferably anonymity) have been met. Clearly, anonymity is a stronger guarantee of privacy, but if the researcher(s) must know the names of participants, this or any information that could serve to identify the participant shall not be released to the public. The researcher(s) shall explain in writing how participants right to privacy will be safeguarded.

5.6.3 The researcher(s) shall establish informed consent before the work begins and shall not expose the participants to risk of harm as a consequence of that participation. Harm shall

includes both physical and psychological aspects. Prospective research participants shall be fully informed about the procedures and risks before they are asked to sign the consent form. Signed consent forms shall be presented on demand. In the case of underage children, the parent or guardian shall give informed consent.

5.6.4 The researcher(s) shall maintain integrity and develop the highest possible standards of research practices including in research design, data collection, storage, analysis, interpretation and reporting. Reporting may include providing the feedback information to the community from which the information was gathered depending on the sensitivity of the research.

5.6.5 The researcher(s) shall as far as possible anticipate the consequences of the work or its misuse for those involved in the study and other stakeholders.

5.6.6 The researcher(s) shall submit their proposal to the Research Ethics Sub-Committee and other appropriate external professional ethical committees for approval where required. Any significant change to the procedures after the proposal is approved shall be submitted to the Research Ethics Sub-Committee for re-approval.

5.6.7 The Research Ethics Sub-Committee shall consist of three members including the Director of the Research and Publications. The other two members shall be appointed by the Research Committee.

5.7 Animal Research Subjects

5.7.1 The guiding principles of the Bugema University animal welfare policy shall be based on the principles of the “3 Rs”, which are:

5.7.1.1 “Replacement” by use of non-animal systems or less sentient animal species to partially or fully replace animals;

5.7.1.2 “Reduction” in the number of animals utilized to the minimum required to obtain scientifically valid data.

5.7.1.3 “Refinement” by use of a method that lessens or eliminates pain and distress and therefore enhances animal well being.

5.7.2 Any proposed research activity, or significant change in research involving homeothermic vertebrates must be vetted by the Research Ethics Sub-Committee according to the following criteria, which shall be addressed by the Principal Investigator in writing:

5.7.2.1 The rationale for involving animals, the appropriateness of the species, and the number of animals used;

5.7.2.2 the description of procedures or methods designed to ensure that discomfort and pain to animals shall be limited to that which is unavoidable in the conduct of scientifically valuable research and that analgesic, anesthetic, and tranquilizing drugs shall be used where indicated as appropriate to minimize discomfort and pain to animals;

5.7.2.3 the narrative description of the methods and sources used to consider alternatives to procedures that may cause more than momentary or slight pain or distress to the animals; and

5.7.2.4 the assurance that the activities do not unnecessarily duplicate previous experiments.

6.0. RESEARCH MISCONDUCT

6.1 Examples of Research Misconduct

6.1.1 Bugema University shall regards the following practices as research misconduct since they violate commonly accepted principles and practices of research upheld by the general scholarly community. Such offenses are serious and shall be subject to strict disciplinary action.

- Fabrication of data: Dishonesty in reporting results, ranging from fabrication of data, improper adjustment of results, and gross negligence in collecting or analysing data, to selective reporting or omission of data for deceptive purposes;
- Falsification of research: Deliberately misrepresenting research, including the progress of research, making grossly exaggerated claims of the significance of research results, falsely claiming priority by willfully ignoring prior relevant reports in research literature;
- Plagiarism: Taking credit for someone else's work and ideas, stealing other's results or methods, omitting acknowledgment of significant contribution(s) received from others, copying or paraphrasing the writing of others without proper acknowledgment, or otherwise falsely taking credit for the work and ideas of others;
- Failure to acknowledge: Willfully ignoring and failing to acknowledge the source of materials used in laboratory research or significant human assistance.
- Abuse of confidentiality: Taking or releasing ideas and data that was shared with the legitimate expectation of confidentiality (e.g. use of confidential results without permission of other researchers or previous employers), stealing ideas from others' grant proposals, award applications, or manuscript publication;
- Dishonesty in publication: Knowingly publishing material that will mislead readers (e. g. misrepresenting data, particularly its originality, misrepresenting research progress, adding the names of other authors without their permission, or including honorary authorships or excluding a major collaborator as co-author of the paper);
- Property violations: Stealing or destroying property of others, such as research papers, supplies, equipment or products of research;
- Misuse of funds: Failure to spend research funds in ways consistent with the goals stated in the relevant contract documents and/or failure to maintain clear and proper records of expenditures;
- Mistreatment of human research subjects: Failure to obtain informed consent of research informants/clinical trial patients, failure to protect the rights of informants regarding their privacy and to protect the research subject's anonymity and the confidentiality of information sources. Individuals and communities have the right to know the results of research in which they have been involved as subjects even if they do not exercise that right. Researchers shall supply a form of report to individuals or the community that was the subject of research.

- Mistreatment of animals: Failure to treat animals with care, and humaneness.
- Failure to report known incidents of serious research misconduct: Covering up or otherwise failing to report major offenses of research known to oneself; and/or
- Retaliation against informants: Taking punitive action against an individual for having reported alleged major research offenses.

6.2 What Research Misconduct is Not

6.2.1 Research misconduct shall not include honest error or honest differences in interpretations or judgments of data. Serious misconduct shall be distinguished from honest error and differences of interpretation inherent in any scientific and creative process and which are normally corrected through further research and scholarship.

6.3. Research Misconduct: Grievance Procedure

6.3.1 In cases of research misconduct, there shall be grounds for disciplinary action against staff or students.

6.3.2 All complaints of alleged research misconduct shall be reported first to the appropriate Dean of the School. Unsigned, anonymous allegations will not be acted upon. It is the responsibility of Dean of School to inform the Director, Center for Research and Publications of the complaint, with copies to the Deputy Vice Chancellor Academics. Such reports or complaints shall be filed in writing.

6.3.3 In cases of alleged research misconduct involving a Dean, a signed complaint shall be filed in writing directly to the Director, Center for Research and Publications with copies to the Quality Assurance Director and Deputy Vice-Chancellor Academics.

6.3.4 Any action involving investigation, arbitration and decision on the complaint shall be undertaken in accordance with university staff disciplinary procedures (where applicable, student disciplinary procedures).

6.4. Academic Freedom

6.4.1 Given the different disciplines in which research occurs in the University, researchers shall be encouraged to pursue different styles and approaches to research. No one model of research enterprise shall be valued more than others given the varying cultures, traditions and infrastructural requirements of the different disciplines. Instead, the value of a research approach shall only be determined by its intellectual, social, cultural and economic outcomes.

6.4.2 Bugema University is conscious of certain priority areas of research as determined by the government. There may be occasions when the University is asked to implement certain research projects commissioned by the government (known as “top down” research). It is necessary that the University meet these official research demands to ensure the University contributes towards

key national development priorities. Under these circumstances, researchers shall be encouraged to focus their research efforts in a way that shall not only meet their own research interests but also that of the country and university.

6.4.3 No researcher shall be obliged to work on research projects in which they do not have a research interest.

6.5. Ownership of Intellectual Property

6.5.1 Intellectual Property (IP) shall include any discovery, innovation, inventive step or development of other intellectual property that is capable of identification for the purposes of a commercialisation, publication or other similar activity whether capable of protection by way of patents, trademarks, copyright, circuit layouts, plant varieties, trade practices, and design legislation or not, but shall not include any moral rights.

6.5.2 In normal circumstances of university-funded research, ownership of IP arising from the research shall rest jointly with researchers (University staff, students, visiting researchers) and the University, in line with the generally accepted view that universities retain certain rights of intellectual property ownership over all research undertaken under its auspices.

6.5.3 In cases of commercial research, ownership of IP generally shall rest with the commissioning sponsor but may also allow for shared IP ownership between commercial sponsor, University and researcher.

6.5.4 Whatever the case, it shall be imperative that researchers clarify at the outset of any research project the ownership of IP of researchers, University and sponsors since Bugema University carries out diverse types of research, each having different implications, more so when the results are commercially viable. This shall be especially important when research is undertaken for government agencies and corporate sponsors in the form of research consultancies.

6.6. Publication and Dissemination of Research

6.6.1 Researchers shall be expected to publish or exhibit the findings of their research with full responsibility and with an awareness of the consequences of any such dissemination in the public realm.

6.6.2 The University shall work to ensure that research sponsors understand that researchers must have academic freedom and that sponsors should not discourage publication or dissemination of research and research findings. Every effort shall be made to inform sponsors ahead of any potential publication or dissemination of the research findings. This will allow sponsors adequate time and accurate information to protect any arising intellectual property or to plan their own public relations together with the University, especially since media publicity is increasingly important to industry, civil society organisations and the University itself.

6.6.3 Researchers shall be guided by the following points when publishing or disseminating their research or research findings in publications, conferences or on websites:

- Researchers shall make every effort to ensure that their research or research findings are peer reviewed before it is published, publicized or disseminated. If research is placed in the public realm before any peer review has been undertaken, this shall be made clear by the researcher;
- Researchers shall acknowledge all fellow research collaborators and all sources of funding openly in any publication or publicity.

6.7. Monitoring and Evaluation Framework of the Research Policy

6.7.1 This shall be based on the implementation and Monitoring and Evaluation Strategies spelt out in the BU strategic Plan 2006-2016. It shall ensure that the measures provided for in the policy are fully implemented, the subsequent outcomes measured and evaluated and future plans recapitulated as appropriate. The policy shall be continually tested and revised

6.7.2 Research committee chaired by the Director of research and publication, shall measure progress toward strategic goals, revise long term strategic objectives where needed, set institutional priorities and evaluate proposals for establishing new research programs and revising existing ones.

The committee shall comprise of representative group of faculty, students and deans. It shall meet regularly and report monthly to the Director of Quality Assurance and DVC Academics.

The committee shall coordinate its work with the efforts of other committees. The principle work of the committee shall be research programs.

6.7.3 Each school/department shall on an ongoing basis develop, implement, assess and update the research policy and systematically take stock of its strengths and weaknesses in research and establish its goals and priorities in line with the research policy and develop strategies for achieving its goals.

The structures shall provide mechanism for the comprehensive ongoing review of new initiatives and for ordering the University's research priorities overtime.

6.7.4 The University shall continuously engage in a process of external peer review at both school and departmental levels. All research programmes shall be reviewed at regular intervals by external peers. The reviews shall be conducted on an ongoing basis of approximately 3 to 4 years.

6.8. Annual Research Report

6.8.1 Principal researchers of every research project shall be responsible for generating an annual research report which is submitted to the Research Committee for approval. The Department for Research and Publications which acts as secretariat to the Research Committee shall be responsible for collating all such approved reports in a University Annual Research Report for circulation throughout the University and the public. Such a report informs the public about research in the University and encourages the pursuit of research excellence. Publication of

detailed annual research income and expenditure also allows for transparency and accountability of all research funds.

6.9. Research Recognition

6.9.1 The University shall recognize research excellence through academic promotion. As well, the University shall be committed to sponsor and nominate research projects and researchers for external recognition.

7.0 STRATEGIES FOR IMPLEMENTATION OF THE POLICY

7.1 Improve research and publications culture. In order for the university to attain and maintain a leading position in research output, the policy recognizes that the research and publication culture must be enhanced. This shall be realized through measures described hereunder:

7.1.1 Provide Incentives/Reward for Research

(i) Staff shall spend at least 20% of their time on research and dissemination. To this end, the University shall: (a) Ensure maintenance of satisfactory staff to student ratios in line with university 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 one paper in a peer reviewed journal before they graduate (d) Develop, operationalise and update periodically a system for tracking of staff research and outputs (e) Require staff to publish research findings in form of policy briefs for use by policy makers (f) Recognize and reward staff for outstanding performance in research and innovations (g) Develop, operationalise and review periodically guidelines on how to identify and reward staff for outstanding research and innovation

7.1.2 Provide and support platforms for dissemination of research outputs

The university shall:

(i) Create platforms for staff and students to disseminate research outputs such as seminars and locally hosted journals, newsletters and bulletins (both hardcopy and electronic)

(ii) Support units to organize regular conferences

(iii) Support regular public presentations and debates on topical areas of national or international concern

(iv) The university shall require doctoral students to publish their findings in any of the following forms: a) theses/dissertations as either monographs b) theses/dissertations with chapters as stand-alone papers c) theses/dissertations as a compilation of papers either already published or accepted for publication

(v) Establish and support the Bugema University Press. To this end, the University shall: (a) Establish, operationalise and review periodically the governance structure of the University Press (b) Develop guidelines for establishment and role of the editorial board (c) Provide financial support to the university Press

(vi) All research reports shall be deposited with the University Library at the researcher's cost.

7.1.3 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, operationalise and review periodically guidelines on good research practices and misconduct

7.2 Improve funding 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:

7.2.1 Commit at least 3% of the internally generated funds to research and innovations annually

7.2.2 Require graduate and undergraduate students to contribute towards the cost of research. The amounts paid shall be recommended by the Committee of Research and Publications

7.2.3 Require all research projects to contribute 15% (5% to the Research and Publication, 3% to the Department, 3% to the School and 4% retained at the center) of the research costs as institutional overheads/indirect costs. This shall be reviewed by the committee of Research and Publications from time to time

7.2.4 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 institute, and college levels

7.2.5 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

7.2.6 Provide general information including databases on possible sources and modes of research funding on a regular basis

7.2.7 The University shall subscribe to databases that provide information on funding opportunities

7.3. To improve gender-responsiveness of the University through research and innovations

7.3.1 Provide opportunities for staff and students to train in gender focused research methodology

7.3.2 Integrate gender in research proposals

7.3.3 Encourage involvement of women in research teams.

7.4.0 Strategies to enhance Research Capacity

In order to realize goals of research policy, the University shall identified a number of areas which are key enhancing the research capacity. These are: University research fund, human resource and capacity building, research systems and value addition, linkages with industry, research management structure, communication, sensitization on the research process, commercialization of innovations/inventions, and Information Communication Technologies infrastructure.

7.1.1 Deans Committee Research Development Fund

The University shall establish University Research Development Fund to support research on a competitive basis through provision of short and long term fellowships and competitive grants for research.

7.1.2 Human Resource and Capacity Building

The University shall continue to provide opportunities to increase the research capacity of faculties/schools/institutes, centres and departments and individuals to conduct research in relevant fields and to develop and deliver new concepts and technologies. This shall be achieved through use of appropriate avenues as spelled out in the policy implementation plan.

7.4.3 Research Systems and Value Addition

In order to achieve the policy strategic objectives, there is need to identify and prioritize strategic institutional innovation systems that prove extension and outreach services. The University shall facilitate, host and conduct relevant research activities whose focus shall be on improving productivity and sustainability of Uganda's development, through provision of improved product with high impact on socio-economic development.

7.1.4 Industry – Academic Research Interphase

Partnership of the University research units with private sector shall be encouraged. Engagement shall be through joint research ventures and other appropriate avenues. The management of such partnerships shall be conducted through instruments of engagement such as Memorandum of Understanding/Agreement and Letters of Intent.

7.1.5 Development of Appropriate Research Management Structures

To mitigate research compliance risks, the University shall re-organize the functions and role of Research Grants Office to: provide support for research policy formulation and strategic planning; provide support service for the administration of internal and external research grants

scheme; act as a focal point for internal and external research information dissemination and external liaison; develop and maintain a central database and institutional repository for research activities; support services for University Research Centre funding allocation and progress monitoring; compile submissions for Research Assessment Exercise including assessment of research risk areas; and provide secretarial support to the University Research Committee and other Working Groups, evaluating research proposal for funding.

7.1.6 Research Communication

The University shall: establish a well-structured and objective information delivery system and network to enhance research activity information sharing; coordinate and organize a University or School-based research conferences and make outcome publications available online and on print; support (fund) local international-standard journals to create more avenues for disseminating research findings.

7.1.7 Sensitization on the Research Process

The University shall endeavor to sensitize students and staff on the research process on a regular basis including new requirements by donor agencies.

7.1.8 Commercialization of Products

The University shall develop a clear strategy to link research activity to commercialization of products through, for example, establishment of Science and Technology Parks. Commercialization of research products, would improve the image of the University globally.

7.1.8 Information and Communication Technologies Infrastructure

The University's investment in Information and Communication Technologies (ICT) infrastructure and training of staff on ICT literacy skills shall improve adoption of ICT in teaching and research. The University shall continue to expand ICT adoption and use it to improve research delivery at all levels.

8.0 WAY FORWARD

8.1 Implementation: (i) This policy shall be implemented and reviewed periodically by the Directorate of Research and Publications. ii) This Policy shall be implemented or supplemented in any way consistent with its terms and those of other University policies. iii) In the event of circumstances requiring any exception to the terms of this, such exceptions shall require the consent of the Vice Chancellor. The Vice Chancellor shall, when practical, seek the advice of the University Council prior to approving any exception to the terms of this Policy. When prior

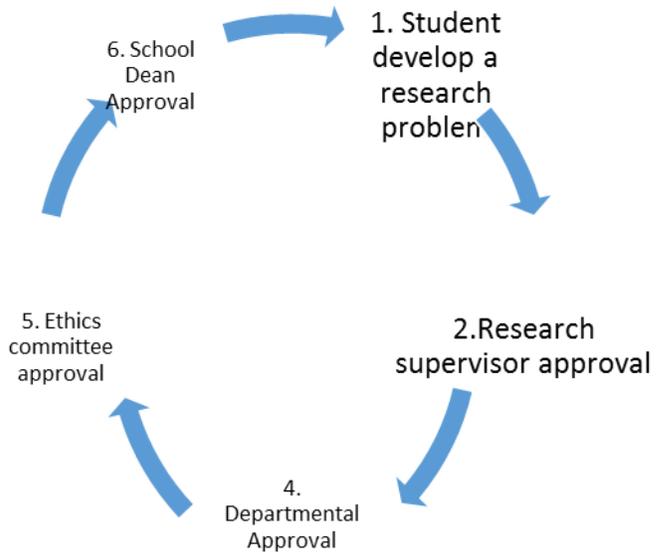
consultation is impractical, the Vice Chancellor shall promptly notify the University Council of any exceptions to the terms of this Policy.

(iv) This Policy shall not apply to on-going research projects and written agreements between the University and/or any external organization or individual, entered into prior to the date on which this Policy is adopted by the University Council. (v) If an existing written agreement is renewed, revised, or amended after the date on which this Policy is adopted by the University Council, reasonable attempts shall be made to conform such agreement with the requirements of this Policy as of the date on which it is renewed, revised, or amended. (vi) After adoption of this policy, the University Senate shall be responsible for drawing out implementation guidelines or procedures from time to time.

8.2 Notification: The Directorate of research and publication shall inform all persons subject to this Policy of its terms after its adoption and at regular intervals thereafter.

8.3 Date of Commencement: 1st July, 2015

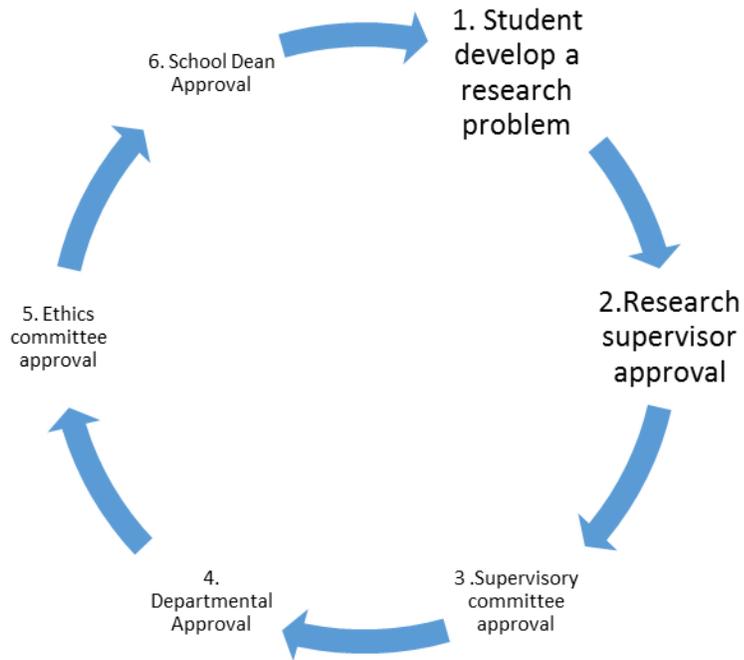
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APPENDIX 1
flowchart in
Appendix 1,
illustrate the
approval process
university
undergraduate
research.

APPENDIX 2

The flowchart in Appendix 2 illustrate the approval process for all university graduate research.



APPENDIX 3

The flowchart in Appendix 3 illustrate the approval process for all university faculty and Staff.

