BISHOP STUART UNIVERSITY
P. O. BOX 9 MBARARA

RESEARCH, INNOVATIONS AND GRANTS POLICY

September 2015

Table of Contents

1.0 INTRODUCTION

1.1 Definition of Terms

Research: The University recognizes that 'research' includes a number of activities that share the property of being innovative. Research includes:

- Basic research which is experimental or theoretical and aims at acquiring new knowledge or offering new interpretations;
- Strategic research which is potentially applied but is in an area where the eventual applications are not clearly specifiable at the time;
- Applied research which is work undertaken to acquire new knowledge and is directly aimed at practical and applicable objectives;
- Near-market research which is innovative work aimed at generating or partially generating a specific product, artifact or idea for the commercial market;
- Creative work, particularly in the arts and applied subjects;
- Advanced pedagogic research of the type acceptable in national assessment exercises, including innovative research into teaching methodology and development of curriculum.

Grant: A research grant is financial support for an individual(s) or a group or a research Centre/institute conducting research in a particular subject area or field.

1.2 Background

Bishop Stuart University (BSU) is a private**,** not-for-profit University founded by the Ankole Diocese of the Church of Uganda to provide higher education through teaching, research, and community service. To carry out these functions, BSU has *four* faculties viz; ***Applied Science, Education, Development and Business Studies and Law***. The BSU charter spells out its objectives pointing to the three major functions of teaching research and outreach. The University is committed to the integration of research, teaching, outreach, and Christian Ethics and Values, in order to develop creative, innovative, professionals and practitioners who know the way show the way and go the way. Whereas, the University has made tremendous progress in teaching and service, research has lagged behind particularly in the area of grants writing, and scholarly publications, their commercialization and protection. To promote grants writing, scholarly research, and publication, and interaction between BSU and the Ugandan public, private and civil sectors, it is important to have a Research and Grants Policy in place. This policy will encourage and guide the academia, the public, private and civil sectors to partner and to write grants and undertake research.

One of the core functions of every University is research. Universities have been known to be engines of discovery and generation of new knowledge through research. Research ultimately contributes to national development through innovations and technological advancements. There

is need to create an environment that promotes research activities in BSU. BSU has hitherto no coherent Research and Grants Policy to regulate and guide the conduct of research at the institution. This policy is, amongst others, founded on recognition of the need for excellence in research, quality management and research ethics, institutional collaboration and research infrastructure. The policy addresses fundamental issues such as funding for research and effective coordination of research activities at the institution by establishing a necessary institutional research agenda anchored on the unique needs of the society it serves. This policy is a culmination of an intensive and extensive consultative process and therefore, it is believed that many will identify themselves with this important document. Indeed, since the document will operate as a guide to the development of research at the institution, the dedication and commitment of all members of staff towards the realization of the collective aspirations contained in the document is paramount. This research policy marks a new epoch in the conduct of research and its outputs, and will enhance the image of our cherished institution both locally and internationally. It will guide each and every researcher at the institution; it will buttress the institution's efforts to reclaim its rightful position on the world research, science and technology index.

1.3 Research Policy Environment

1.3.1 Regional Context
The development of research in any country has both national and international perspectives, which derive from universality and dynamism of scientific and technological knowledge, irrespective of national boundaries. In this regard, the Ugandan government supports and seeks co-operation with regional and international organizations and institutions in the promotion of research. Through sub-regional and regional co-operation, the Ugandan government collaborates with other national or international and/or regional organizations and higher institutions of learning to strengthen its scientific and technological capability. Regional collaboration requires that universities and other research institutes co-operate and forge links with the industry/private sector. Regional collaboration also requires that universities and other research institutes allow access and jointly develop and share research facilities including costly and sophisticated scientific equipment and materials in order to maximize the use of scarce resources.

1.3.3 National Context
The Network of African Health Science Academies (NASAC) is "convinced that a sustainable economic future for Africa lies in strengthening the continent's scientific and technological research capacity"[1]. This goal can only be met if Universities educate and retain a critical mass of world-class researchers with the knowledge and expertise to address the continent's key scientific, technological and economic problems. Uganda has attempted to create a conducive environment for research and recognizes that Research and Development (R & D) should be geared towards generation, acquisition, application and dissemination of knowledge and findings for national development. Consequently, a number of sector ministries have formulated research

policies that are guided by national development priorities. The over-arching objective of all the research policies is "to ensure that sector ministries and their research institutes conduct demand-driven, client-oriented strategic research". In order to enhance research and development, the Ugandan government, through the Ministry of Ministry of Finance Planning and Economic Development, came up with Uganda National Council for Science and Technology (UNCST) whose goals include:

1. Streamline national science and technology policy environment to foster scientific and technological innovation and research.
2. Strengthen national system for research, product development, technology transfer and intellectual property management.
3. Strengthen institutional research base and technical capacity.

These goals are achieved through liberalization and autonomisation of research institutions, promotion of partnerships and to encourage demand-driven research. UNCST also provides for linkages between research institutions and Social and Economic sectors of the economy. Despite the efforts, funding for research by both Government and the private sector has, however, been limited and this has greatly contributed to the poor performance and application of Science and Technology, as well as the application of research findings in national development. Weak linkages between the research institutions on one hand and Government and industry on the other, is another contributing factor.

It is recognized that factors outside the Ministry of Education in general and BSU in particular, such as the state of the economy, and the HIV and AIDS epidemic have a profound impact on the development of teaching and research. HIV and AIDS has rapidly become the number one constraint to economic development in general and the educational sector in particular. The problem requires attention by the education sector in various ways including setting up of research priorities, dissemination of HIV and AIDS related information to staff, the introduction of HIV and AIDS in the curricula of learning institutions, and the development of an HIV and AIDS policy to guide the numerous efforts and interventions aimed at mitigating the impact on staff, students and the surrounding communities. The government recognizes the role of Universities in national development and would like to promote a conducive research culture among staff and students. However, as already alluded to, a number of problems have retarded the effective conduct and application of research. BSU faces challenges of research infrastructure, funding, teaching loads and staff profiles that are more suited to teaching than to research. The lack of research capacity among the staff members, in particular, has been a major obstacle to progress.

1.3.4 Networks and Partnerships

It is important to note that in the knowledge economy universities no longer have the monopoly of knowledge production through research to themselves. Though they undoubtedly have a

crucial role to play, Universities are one actor amongst many organizations contributing to the flow of knowledge and information through research. The driving force of the current trend to establish linkages, networks and partnerships with relevant research institutions, beyond the walls of the university, is to take advantage of resultant synergies and avoid system redundancy (duplication) in research. The BSU research policy, therefore, will encourage University staff to explore and devise ways of establishing such alliances, networks and partnerships with relevant public, private and other research institutions for mutual gain. BSU must, in this regard, co-operate and collaborate with individuals, institutions and agencies belonging to the above mentioned categories, which share the ideals expressed in this research policy. Such research collaboration should be intensive and extensive, depending on available resources and modalities for collaborative research effort. Such collaborative research processes should adhere to the principle of reciprocity and genuine exchange between the University and other research partners, with each partner treating the other as an equal partner. The most successful research partnerships under this policy will be based on the premise that "each has something to contribute to the welfare of the other, with resources and knowledge flowing in both directions."

1.3.5 Universities and Development

Universities are crucial forces and factors that promote development. They are now more widely perceived to be key players in economic development through their research. They are also active partners and contributors to the knowledge economy. In both of these roles, research acts as a central engine to development and the knowledge economy of many countries such as Uganda. There are several reasons on why research conducted within universities has become the centre piece for development. First, knowledge generated by research facilitates a country like Uganda to become competitive in the international arena. Second, universities, through the research they conduct in communities have begun to reverse the perception that they are elite institutions, remote from the everyday concerns of society. BSU increasingly sees engagement (rather than disengagement) with societal needs as part of its core mission. Third, with the process of globalization and the growth of the knowledge economy worldwide, universities are now more widely perceived to be key players in economic development through their research. As knowledge-producing organizations, they are back on the development agenda with new, more differentiated roles and expectations to play than before.

1.4 Situation Analysis

1.4.1 Levels of Research Activities
Research is one of the cornerstones of the University goal, which aspires to meet the needs of Uganda through excellence in teaching, research and service in order to foster sustainable development. BSU has, since its inception, been involved in research at various levels including:
• Undergraduate
• Postgraduate
• Postdoctoral

• Academic staff
Participation at the levels of Research Affiliation and Collaborative Research has (if any) been minimal. Each faculty of the University should have a Faculty Research Committee whose main mandate will be to preside over research matters of the faculties. There is need to establish the Directorate of Research and Graduate Studies (DRGS), which will work in conjunction with faculties and other Units, to oversees and coordinates postgraduate research activities. Postgraduate research is an integral part of the university research activities governed by postgraduate studies regulations. DRGS will also administers a Research Affiliations Scheme that enables researchers from outside the University and/or from outside the country to be affiliated to BSU for the purpose of conducting research. The research conducted under this scheme will be governed by the appropriate research affiliations regulations. It is generally anticipated that with improved funding and evident widening of the research agenda arising out of emerging cross cutting issues such as climate change, need for renewable energy sources, problem of new infectious diseases, other research units will be established in BSU. In addition to research, such units can also carry out consultancy services in relevant research programmes including, facilitating the organisation of workshops, seminars and conferences.

1.4.2 Research by Academic Staff

Research by academic staff of BSU is still in its infancy. Few staffs are actively involved in research and publications. However, coordination and proper documentation of the combined research activities and outputs of the academic members of staff of the University has been a major challenge. In order to increase research, the academic staff's research output shall continue to be one of the significant factors in determining staff progression. Furthermore, the Intellectual Property Policy shall enable researchers to obtain financial benefits from any inventions/creation arising from their research. It is envisaged that the above incentives shall make research both satisfying and rewarding and will, therefore, encourage academic staff to undertake research.

1.4.3 Postgraduate Research
BSU has been running some postgraduate programmes since 2010. Most postgraduate programmes of BSU require students to conduct research as part of the fulfillment of their postgraduate programmes. Postgraduate research activities can contribute immensely to the amount of research conducted in the university. To date (2013), 94 candidates from the disciplines of Agriculture and Rural Innovation, Education and Education Management, have completed postgraduate studies at BSU. Most of these students have deposited their dissertations in the University Library. There has not been an appropriate and sustained forum for dissemination of postgraduate studies. Abstracts of these dissertations/theses should be made available electronically through databases managed by the DRGS. Generally, postgraduate research has not received adequate attention and use by researchers and other scholars. There are generally limited postgraduate programs in in southwestern Uganda. This has left many of those interested in furthering their studies to commute to Makerere University and other Universities in

central Uganda, in search for postgraduate education. This is not only time wasting but it also constrains retention of quality staff. There is need to develop more postgraduate programs to meet the growing needs of the local communities in southwestern Uganda.

1.4.4 Research Funding
Funding for research has not been adequate to meet the research needs of the University. The University has relied on fewer sources for funding research and these include both internal and external sources. Internal sources (mainly Tuition, university projects such from the farm) of funds for research include: University budget, NGOs and private sector. Where appropriate and possible, the University shall continue to provide seed money to staff to enable them pilot their research concepts. External funding sources include regional and international funding agencies mostly through collaborative research with foreign universities. Research offers one of the strong avenues through which BSU can sustain its flow of funding. BSU staff is free to source external funds provided that such funds are administered by the University and the budget includes overheads. However, at the moment, this opportunity is still underutilized, partly due to lack of established research infrastructures such as the absence of the office of sponsored programs (Grants Office) in BSU, as well as lack of research capacity to write proposals that can favorably compete for international funding.

1.4.5 Research Infrastructure
The research infrastructure and facilities are resources that provide essential services to the researchers for both academic and/or industrial purposes. The research infrastructure has not developed in line with the growing research needs of BSU, in particular and those of national development in general. It is widely recognized that lack of grant funding, research infrastructure, and a fertile academic opportunities make it difficult for institutions in many sub-Saharan African countries to attract and retain talented researchers. BSU is not exceptional; the resources available to support researchers including seed funds, computers, software, dedicated space and methodological support are grossly insufficient. Researchers face many challenges in writing grant proposals and manuscripts, analysing research data, and disseminating findings. Strengthening institutional and systems capacity is necessary for sustainable increases in research capacity, retention of faculty, and development of BSU leadership. This investment will result in a new generation of Ugandan researchers who are inspired to realize their maximum potential, willing to conduct quality research that meets the needs of local populations, and able to compete effectively for research funds. There is an urgent need to build BSU's research capacity and infrastructure and facilitate full use of endogenous research capacities.

1.4.6 Dissemination of Findings
Few academic members of staff BSU have participated in research dissemination both locally and internationally. BSU is not alone in this regard; Africa currently produces just 1.4% of the

articles published in peer-reviewed international journals[1]. Universities in Africa must take part in disseminating appropriate concepts, technologies, and discoveries to the globalized public. BSU has a journal of Development Studies that locally publishes the output of research conducted by staff. However, the majority of staff have not published in international high-ranked peer reviewed journals. Publishing in such journals improves the profiles of both the research and that of the University.

1.4.7 Challenges facing BSU

BSU lacks a Directorate of Research and Graduate Studies (DRGS) which should be charged with coordinating all the research and postgraduate activities of the university. Consequently, the coordination of research has not been very effective. Faculties have conducted research in an uncoordinated manner resulting into a lack of clear institutional and collective research focus in the university. Furthermore, whilst there has been some research going on, the lack of coordination means that it has not been possible to have a central database of all the research projects taking place throughout the entire University. Other challenges include:

a) Lack of physical research infrastructure e.g. research labs, reading resources. Also, important research software such as EndNote, social science statistical packages (SPSS), and Nvivo are not available at BSU.

b) Lack of faculty and institutional-research ethical committees. No research is supposed to be carried out with formal approval at both the institutional and national level by the Uganda National Council for Science and Technology (UNCST). Publishing findings from research that was not ethically approved is illegal and such publications can be withdrawn anytime the UNCST finds out.

c) Lack of research capacity among the staff members. Essential skills necessary for individual researchers to garner international funds, conduct HIV research effectively, publish their findings, and translate them into policy are limited.

d) Growing competition for professional staff and skilled labour within the country and beyond. This presents challenges in attracting and retaining senior staff. Brain drain continues to deprive Uganda the high-level expertise necessary to accelerate its research and socio-economic progress. Low pay, chronic shortages of research equipment and supplies, under-funding of the research sector, and limited opportunities for further training are the major causes of brain drain in Uganda. Another form of brain drain that is less well recognized is a migration from rural to urban centres within Uganda for better opportunities.

e) Lack of enough time to conduct research due to too much teaching load given to academic staff

---

[1] Brain Drain in Africa: Joint Statement by the Network of African Science Academies (NASAC) for the 2009 G8+5 Summit. Available at: http://www.nationalacademies.org/includes/NASACbraindrain09.pdf. Accessed: 29 November 2012.

f) Lack of a well-defined research agenda that is integrated with national development plans;

g) Lack of enough funds allocated to research

1.5 Rationale for the Research and Grants Policy

In the past, research activities have not been well managed particularly with respect to coordination at the central level. Institutional mechanism for storage, retrieval and dissemination of the research outcomes are inadequate and need attention. BSU has not had a coherent research policy document to guide and regulate the conduct of research for academic members of staff, postgraduate and undergraduate students. Most of the research outputs have not fed into national development, enhanced teaching and curricula development in the university. The formation of this Research and Grants Policy has been necessitated by the requirement to coordinate the expanding research and grants activities efficiently and effectively. This policy, therefore, is motivated by, the following specific factors:

a) Growth of research programmes

b) Need to enhance internally and externally sourced funding

c) Need for improved research administrative infrastructure

d) Need for research regulatory framework and oversight particularly with respect to ethical requirements

e) Need to improve accountability and transparency for fiscal and administrative management of research activities

f) Need to accelerate the development of research that ultimately results in improved decision-making for the betterment of the living standards of many Ugandans, and

g) Need for strong infrastructure and mechanisms to support more effective collaboration and partnerships with other universities and institutions within Uganda and abroad.

In view of the needs highlighted above and the deficiencies identified in Section 1.4, it became imperative for a coherent policy document to be developed in order to inform and guide the conduct of both locally and internationally sponsored research activities in the university. BSU also will need to develop an Intellectual Property (IP) Policy, which will bring harmony to the conflicting interests of all stakeholders in the generation and commercialization of intellectual properties.

1.6 Improving funds and innovations at BSU

As part of the processes for improving sources of income BSU envisages to create more avenues of revenues generation through projects and innovations by both academic and non academic staff. BSU will decide the innovations it would like to carry out. Innovations will require new knowledge for developing new or improving existing products, processes or services. The University will through this plan engage in projects in the area of agriculture using the university farm, creation of components of complex systems and generic technology validation. Innovation funds once generated will help the university systems to

    (i) improve academic and management quality;

    (ii) introduce innovations aimed at greater academic relevance; and

    (iii) increase university cost-effectiveness.

Resources obtained through these innovation funds will be treated as supplements or additions to the BSU's core budget.

2.0 Policy Objectives

2.1General Objective of the Research and Grants Policy

The general objective of the Research and Grants Policy is to provide policy guidelines that will promote and foster the academic and managerial environment conducive for undertaking research and projects in order to enhance the scientific, technological, social, economic and political development for the improvement of the living standards of the Ugandan people and beyond. The policy will aid decision making, setting goals and strategies, and providing a framework for developing innovative, quality management, accountability, and strategic direction for research and grants activities.

2.2 Specific Objectives

In order to attain the general objective, the policy document presents a number of specific objectives and strategies focusing on the following main areas:

2.2.1 Human Resource Development (HRD) Capacity Building;
2.2.2 Research Funding;
2.2.3 Management of Research;
2.2.4 Management of Research Funds;
2.2.5 Research Infrastructure;
2.2.6 Quality Management and Research Ethics
2.2.7 Data Management and Dissemination
2.2.8 Recognition of Excellence in Research;
2.2.9 Institutional Collaboration;

2.2.10 Postgraduate Students Research, and

2.2.11 Undergraduate Research

2.2.12 Intellectual Property Rights

The specific objectives and strategies under each of the above themes are highlighted below:

3.2.1 Human Resource Development(HRD) Capacity Building

Objective

To enhance the research capacities and competencies of the academic members.

Strategies

a) Enhance continuous training and retooling of researchers to enable them keep abreast of emerging technologies, research, grants writing and publication skills.

b) Formalise and establish mentorship system between senior and younger faculty members;

c) Promote and undertake collaborative research and co-authoring;

d) Encourage and attach faculty members to public and private research institutions;

e) Facilitate research exchange programmes including local sabbaticals, fellowships; and

f) Train academic members in research administration, and financial management.

3.2.2 Research Funding

Objective

To source and provide adequate funding for research.

Strategies

a) Promote research proposal writing for submission to potential funding agencies;

b) Engage government and the private sector for research funding;

c) Engage regional and other international organisations for research funding, e.g., New Economic Partnership for African Development (NEPAD);

d) Allocate adequate funds towards research in the university budget;

e) Provide adequate funding for publication of research findings in local and international Journals; and

f) Provide research materials (e.g., reagents).

3.2.3 Management of Research
Objective

To create and ensure an effective, efficient and supportive management system forresearch activities.

Strategies

a) Establish well linked and coordinated institutional structures for supporting research e.g. office of sponsored research/grants office;

b) Develop adequate research administrative and financial systems for research and mechanisms through the intellectual property systems for protection of research findings; and

c) Develop effective mechanisms for supervision, monitoring and evaluation of research activities.

3.2.4 Management of Research Funds

Objective

To provide a financial management system that will ensure fiscal accountability and transparency in line with BSU financial regulations.

Strategies

a) Establish an office of sponsored projects/Grants Office that will provide pre-award and post-award grants administration.

b) The Grants Office will have a centralised quality management system for approving and monitoring the progress of all funded research studies

c) All research funds administered according to existing BSU financial regulations and the intellectual property policy (to be established);

d) Procurement of research materials and equipment shall be done following the laid down tender regulations without causing unnecessary delays; and

e) Research funds shall be subject to internal and external auditing.

3.2.5 Research Infrastructure

Objective

To provide suitable research equipment, facilities and infrastructure;

Strategies

a) Ensure constant research support (e.g. updates of funding opportunities, grants administration, budgeting, and reporting) from the Grants Office (to be established)

b) Establish, maintain and expand research office and laboratories spaces;

c) Provide adequate field laboratories for research subjects that require such

d) facilities; and

e) Provide adequate ICT services and library facilities for research;

f) Provide staff with enough time to carry research

3.2.6 Quality Management and Research Ethics

Objective

To provide Total Quality Management (TQM) system for all research activities; and build effective systems for compliance in issues related to the scientific and ethical management of research.

Strategies

(a) Establish a research audit, implementation and monitoring systems;

(b) Establish and support research ethical committees at the faculty and institutional level

(c) Train staff in research ethics and compliance;

(d) Ensure that all research conducted by the University staff are ethically approved by the University and the Uganda National Council of Science and Technology;

(e) Train staff in research quality control and assurance.

3.2.7 Data Management and Dissemination

Objectives

a) To improve systems for documentation, storage and retrieval of research and grants data;

b) To enhance publication and dissemination of research findings; and

c) To ensure data and research findings are kept confidential where appropriate.

Strategies

a) Create an internet based database for all research and grants;

b) Establish electronic library for all research activities and outputs;

c) Develop a comprehensive research database on all research and grants activities at the

d) University;

e) Promote regular publication of research findings through local and international journals, books, monographs, occasional papers;

f) Facilitate publication of research findings through community outreaches;

g) Orgnise research seminars for disseminating research findings in all faculties and directorates;

h) Organize an annual dissemination conference to facilitate the sharing of resources to a wider audience

i) Facilitate presentation of research papers at community levels, international seminars, conferences and symposia;

j) Require the entire academic and research staff to update their research profiles, publications and grants accomplishments on the University website.

k) Include links to postgraduate research projects on the website.

3.2.8 Recognition of Excellence in Research

Objective

To recognize and reward outstanding performance in research.

Strategies

a) Develop objective criteria for rewarding outstanding research work; and

b) Identify appropriate rewards for outstanding researchers.

c) Encourage participation in research by making research and publication a major basis for staff appraisal and promotion assessments

3.2.9 Institutional Collaboration

Objective

To establish a strong mechanism for supporting effective collaboration and partnerships with other universities, other research organisations, industry, government, private sector in Uganda, and beyond.

Strategies

(a) Provide guidelines for establishing and management of collaborative research;

(b) Promote research affiliation both within and outside BSU;

(c) Establish and facilitate research exchange programmes for staff and students;

(d) Place research students and academic staff in industry and other sectors; and

(e) Provide necessary research requisites (qualified staff as well as physical and Information and Communications Technology (ICT) infrastructures.

3.2.10 Postgraduate Students and Staff Research

Objective

To develop research capacities and skills among postgraduate staff and students and integrate them into BSU's agenda.

Strategies

(a) Provide adequate research training and supervision;

(b) Provide adequate infrastructure;

(c) Provide adequate funding for postgraduate research; and

(d) Promote student and staff exchange programmes within and outside BSU.

(e) Encourage and support staff to undertake postgraduate studies.

(f) Ensure regular monitoring staff undertaking postgraduate research in Uganda and overseas.

(g) Support faculties to start postgraduate research programs.

3.2.11 Undergraduate Research

Objective

To provide adequate undergraduate research training.

Strategies

(a) Design academic courses that incorporate research methodologies;

(b) Promote student and staff exchange programmes;

(c) Provide funding for students research projects;

(d) Promote student attachments to industry; and

(e) Provide necessary research requirements.

3.2.12 Intellectual Property Rights

Any matters related to Intellectual Property Rights arising from this Research and Grants Policy shall be governed by the BSU's policy on Intellectual Property Rights (to be developed). The University will own and protect any IP created or discovered by staff, visiting scholars, consultants, researchers and staff.

4.0 RESEARCH STRUCTURE

In order to achieve the stated mission and objectives, the following institutional structures and arrangements will be provided:

4.1 Research and Grants Board

4.1.1 Functions of *Research and Grants Board*

The *Research and Grants Board* is the highest decision-making organ of the research programmes of the University. The Board will implement the BSU Strategic Plan on Research and Grants. The Board will be mandated by the University Senate to:

a) Provide strategic research direction to the University through the development of effective research policies;
b) Coordinate all research activities in the University;
c) Monitor the allocation and administration of research funds by the Director of Research and Graduate Studies (DRGS) so as to ensure compliance with the criteria adopted by the Board;
d) Spearhead resource mobilization initiatives to ensure that the Research and Grants Policy mandate is met;
e) Provide mechanisms of monitoring research and grants;
f) Foster the development of departmental and faculty research programmes linked to postgraduate studies;
g) Ensure the preparation and production of research agenda and reports and research handbooks, and
h) Ensure compliance by researchers to research ethics.

4.1.2 Composition of Research *and Grants* Board

The Board comprises the following members:
(a) Chairperson (Vice-Chancellor);
(b) All Deans and Directors and the Librarian and their Assistants;
(c) All Assistant Deans (Research);

4.2 Directorate of Research and Graduate Studies (DRGS)

The general administration of the research programmes of the University falls under the DRGS headed by a Director.

4.2.1 Functions of DRGS

The Directorate is charged with the following responsibilities:
a) Co-ordinating, monitoring and organising the research and postgraduate programmes of the University;
b) Carry out the administration of research grants and research contracts by controlling and disbursing the research funds to the faculties and Principal Investigators.
c) Serve as a research link between the University and other research institutions including industry;

d) Administer the Research Affiliation Scheme of the University so as to ensure that, among other things, external researchers follow correct Visa application Protocols and not come in as tourists;

e) Facilitate linkages between BSU and other universities within and outside the Uganda;

f) Facilitate linkages between BSU and political leaderships, Members of Parliament (MPs) and Government Ministries;

g) Maintain research records pertaining to the University's research activities; and

h) Allocate and administer research funds in accordance with the criteria adopted by the Research Board.

4.2.2 Structure of DRGS

Key DRGS Research Management Staff shall be as follows:

(a) Director;

(b) Grants officer;

(c) Finance manager;

(d) Any other staff that will be considered relevant such as the Intellectual Property Officer, personnel, and procurement officer.

4.3 The BSU Research Ethics Committees (BSU-RECs)

There shall be Research Ethics Committees for the University charged with the responsibility of reviewing research proposals for research ethical compliance. All research carried out by BSU staff will be governed by the local and national (Uganda National Council of Science and Technology) ethical requirements. The membership of Research Ethics Committees will be drawn from relevant faculties. In the case of a collaborative research project involving one or more foreign institutions, ethical approval shall be sought both from BSU where the research will be carried out and from the Institutional Review Boards (IRB) of the collaborating institutions.

4.3.1 Ethical Requirements and Standards for Research

The integrity of any research depends not only on its scientific rigour but also on its ethical adequacy. Ethical issues are many and varied, and may be quite complex. All research involving human subjects or participants should be conducted in accordance with the three ethical principles of respect for persons, beneficence and justice. Since Uganda is part of the international research community, all research must strictly abide by the International Ethical

4.3.2 Functions of Research Ethics Committees

The main role of Research Ethics Committees is to review and approve research proposals and protocols dealing with human and animal participants. The specific functions of the Research Ethics Committees are:

a) Review and approve all research proposals and protocols that deal with human and animal participants;

b) Enforce high ethical standards on research done on human and animal participants;
c) Protect the interests of researchers who are conducting research following the approved protocols/proposals;
d) Monitor approved research project to ensure ethical compliance;
e) Participate in the training and/or sensitization of staff and students in research ethics; and
f) Report to the Research Board, through the DRGS.

4.4 Research Audit, Implementation and Monitoring Committee (RAIMC)

The RAIMC will be a standing committee of the Research Board charged with the responsibility of ensuring adherence to total quality management in research.

4.4.1 Functions of RAIMC
The RAIMC will be responsible for:
(a) Ensuring consistence in the research activities of the university;
(b) Adherence to research methodology;
(c) Ensuring correct use of research resources;
(d) Compliance to good research standards;
(e) Enforcement of quality control;
(f) Ensuring that research progress is constantly reported; and
(g) Ensuring that student supervisors do their work of supervision as per BSU Regulations.

4.4.2 Composition of RAIMC
The Research Board will determine the composition of the committee and shall appoint the members.

4.5 Faculty Research Committees

Each faculty of the University has a Faculty Research Committee (FRC) whose main mandate is to preside over research matters of the faculties. The specific functions of the School Research Committee include:
(a) Coordinate the implementation of the University Research and Grants Policy in the faculty;
(b) Facilitate the formulation of the research agenda and the research programmes of the faculty;
(c) Evaluate research proposals from the members of staff in the faculty including ethical reviews before submitting the proposals to the BSU-REC.
(d) Support any efforts towards mobilization of financial resources for research in the faculty;
(e) Provide an interface between the faculty and the Research Board, and
(f) Promote information exchange within the faculty such as holding of seminars and conferences in the faculties.

4.5.1 Composition of Faculty Research Committee
The School Research Committee shall include the following:
a) Dean
b) All Heads of Departments;

c) Two members of staff nominated from each Department.

4.6 Sources of Research Funding

Research funding goes hand in hand with the delivery of research outputs, leading to an increase in publishing activity. There are two sources of funding research at BSU, internal and external.

4.6.1 Internal Research Funding

The University shall make available requisite adequate resources to enable the carrying out of its research agenda. Research Funds shall normally be available to researchers through a competitive process outlined by BSU. The administration of all the research funds shall be the responsibility of the Grants Office.

4.6.2 External Research Funding

The external sources of funding research and Grants will include but not limited to:
NIH; USAID; IDRC; Wellcome Trust; UNCST; DFID; DAAD; SPIDER; Google; British Academy; and royalty disbursement as will be stipulated in the BSU IP Policy

4.6.3 Management of Research Funds

a) All research funds will be managed by the Grants Office and administered according to existing BSU financial regulations.
b) Procurement of research material and equipment shall be done following the laid down tender regulations;
c) Research funds shall be utilized according to the budget and activity based;
d) Research funds shall be subject to internal and external auditing.

Research funds coming from outside BSU shall have specific conditions attached to them. These specific conditions shall be clearly spelt out in the contract or Memorandum of Understanding (MoU). Typically, the contents of the MoU shall include:
(a) Research budget;
(b) Overheads for administrative and other logistical costs;
(c) Issues pertaining to Intellectual Property Rights;
(d) Infrastructural development and training;
(e) Publication of the research materials.

BSU staff shall be free to source external funds provided that such funds are administered by the University through the Grants Office and the budget includes overheads (where possible).

4.7 The Overhead Cost issues

Research projects contribute to the cost of running the University's activities including improvement of the institution's infrastructure. The overhead section of this policy will guide researchers during research proposal writing to arrive at the overhead costs to be included in the

proposal when applying for funds from the donors. The overhead cost rate shall be calculated basing on the institution's indirect costs in the recurrent expenditure budget.

4.7.1 Indirect costs

The indirect costs cover all the support activities of the research projects/grants/contracts and also contribute to the improvement of the institution's infrastructure that arises from the indirect use of the joint resources in the support activities. Examples of indirect costs shall include:

a) Grants management
b) Education and research administration
c) Financial and human resource administration
d) Infrastructure and services

4.7.2 calculation of the rate

The overhead rates shall be calculated using the university's recurrent expenditure i.e. the cost of support activities divided by the total recurrent budget cost. The rate shall be reviewed from time to time depending on the prevailing economic circumstances.

4.7.3 Distribution

Overhead is a benefit to the University, the faculty, and the department. The University will need overhead to run the Grants Office which will be responsible for negotiating, vetting, managing research agreements and contracts. The faculties and departments will use overhead to support their research infrastructure. The following is the proposed distribution of the overhead income to various cost centres:

- 50% for the central administration
- 30% for the faculty
- 20 for the department

4.7.4 Waver of the Overhead

Since overhead revenues benefit the University, faculty and the department, the waving of overhead should be regarded as exceptional, and will only be granted by the Vice Chancellor or any other person the Vice Chancellor may authorize to do so.

4.7.5 Separate Overhead Agreement

A separate overhead agreement may be negotiated with organizations that often contribute to the University's activities or donors who have their own overhead costs different from the University's. Management and such organizations may sign a separate Memorandum of Understanding to that effect.

4.8 Faculty Incentive for Research and Grants writing

One of the reasons why BSU staff is not actively involved in writing research and grants is lack of clarity on the financial benefits of their involvement. It takes a lot of commitment, time and other resources to write a wining research or grant proposal. To motivate staff's involvement, the

research or grants team that obtains external funding for their projects will be allowed to take the amount budgeted for personnel (depending on their % efforts) in addition to getting their usual salaries from the University. Also, the Grants Office will establish a separate salary scale for investigators depending on the seniority. This scale shall be higher than BSU salary scales, and will be used as a basis for calculating the salary section of research/grants proposal budgets.

4.9 The Intellectual Property Management Unit, IP Advisory Committee and IP Enterprise

BSU shall create an Intellectual Property Management Unit which shall manage the Intellectual Property Rights of the University in liaison with the Intellectual Property Advisory Committee, the BSU Legal Counsel and the Intellectual Property Enterprise to be set up by the University. The structure and functions of the Management Unit, the Advisory committee and the IP enterprise shall be outlined in the University IP Policy.

4.10 Research Infrastructure

The research infrastructures and facilities are resources that provide essential services to the researchers for both academic and/or industrial purposes. BSU will strive to build and maintain a sustainable research infrastructure. The infrastructure will be defined to include buildings, office space and facilities, training centres, libraries, databases, laboratory equipment and reagents, instruments, computer hardware/ software. The Research and Grants Policy will facilitate the following activities aimed at building and sustaining the research infrastructure:
a) Investment in research infrastructure bearing in mind that decisions to fund infrastructural development need to be made in a collaborative manner owing to significant cost involved;
b) Support consensus building on a wide range of research objectives, strategies and priorities as conceived by individual faculties of the university;
c) Rapid response to the on-going technological changes.

4.11 Dissemination of Research Findings

The University will promote research dissemination in many ways including:
(a) Establish mechanisms for data processing, information storage access, retrieval systems and ensure that the creative research outputs are peer reviewed, communicated and adopted;
(b) Attendance at local and international conferences; and
(c) Publications: The University shall endeavor to promote dissemination of results of research carried out under its auspices through the university supported publications and local and international journals. In this regard, the university shall continue to support its journal of Development Studies. In addition, the university shall support efforts to start new publications in the fields and disciplines that are not covered by the current journal of Development Studies. The highest standards of academic publication will be promoted and upheld in order to attract international scholarly articles and readership. Publication to peer reviewed international journals will strongly be encouraged.
(d) The University, through the DRGS, will annually hold a research dissemination conference where research findings will be disseminated to a wider audience.

4.12 Application of Research Findings

This policy will promote the application of research findings to commercial ventures and consequently to support value adding activities so as to close the linear value adding gap in science and technology through:
(a) Intellectual Property Protection;
(b) Technology development;
(c) Product development;
(d) Process development; and
(e) Commercialization.

Application of research findings will be subject to the provisions of the BSU IP policy.

4.13 Intellectual Property Rights (IPRs)

Any matters related to intellectual property rights arising from this research policy shall be governed by the BSU Intellectual Property Rights policy. The implementation of appropriate Intellectual Property Policy will enable the University to generate significant and substantial income through:
(i) Royalties and fees from licensed Intellectual Property rights from innovations, inventions and created works;
(ii) Consultancy;
(iii) Research contracts;
(iv) University owned companies and joint ventures;
(v) Commercialization of R & D findings, and
(vi) Utilization of existing protected and unprotected Intellectual Property creations. In order to benefit financially and otherwise from the planned endeavours, BSU recognizes the need to take particular care of the interests of all the stakeholders who contribute in one way of the other in the process of innovating, creating and commercialization of innovations, inventions created works and research findings at the University.

4.14 Implementation of the Research and Grants Policy

Implementation of this policy shall be anchored on the structures as presented in this section (section 4), with the BSU Council, BSU Senate, Senate Research Board respectively coming before the Directorate of Research and Graduate Studies (DRGS) on the organogram.