



RESEARCH, INNOVATIONS AND DISSEMINATION POLICY



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List of Acronyms

CTDT	Centre for Technology Development and Transfer
DGSRI	Directorate of Graduate Studies, Research and Innovations
DRA	Digital Repository Agreement
IP	Intellectual Property
IRB	Institutional Review Board
OADR	Open Access Digital Repository
R&D	Research and Development
RGMC	Research Grants Management Committee
RI&DC	Research Innovations and Disseminations Committee
S&T	Science and Technology
UNCHE	Uganda National Council for Higher Education
UNCST	Uganda National Council for Science and Technology

Definition of Key Terms

Applied Research: Research that seeks solutions to practical problems.

Basic Research: Research undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any particular application or use in view.

Collaborative Research: Research process that involves two or more stakeholders.

Copyright: A legal term that describes the rights that creators have over their invention, design, literary and artistic works.

Digital Repository: A digital collection that captures and preserves the intellectual or scholarly work of Busitema University and its community members.

First Deputy Vice Chancellor: Staff that assists the Vice Chancellor in the performance of his or her functions and in that regard responsible for the academic affairs of Busitema University.

Information Resources: Informal or formal, human, printed or electronic resources that contain information that can be accessed to meet information need.

Innovation: Creation of new products or new processes or new services through new methods or through new ideas or through the application of existing ideas to new situations.

Intellectual Property: Creation of the mind such as invention, literary works, artistic works, designs, symbols, names and images.

Journal: A magazine or periodical, published by a specialist or academic or professional body for its members, containing proceedings, transactions, contributions and reports of work carried out in a particular field.

Management: An Operational Committee of the University, Chaired by the Vice Chancellor, consisting of Officers of the University, Principals of Colleges and Deans of Faculties.

Multi-disciplinary Research: Research work or activity that involves more than one field or discipline.

Patent: An exclusive right granted for an invention. It provides the patent owner with the right to decide how or whether the invention can be used by others.

Publication: The act or process of producing a written work containing articles, stories, pictures, photographs or other visual representation and making it available to the general public for information, distribution or sale with the consent of the author(s).

Research: Any type of systematic investigation, testing and evaluation whose objective is to discover new facts or information and increase the stock of knowledge.

Research Agenda: A research plan that includes research areas and research questions, which are considered most important.

Research Theme: A central and distinct research idea of a Group, Unit, Department or Faculty.

Senate: The organ responsible for the organization, control and direction of the academic matters of Busitema University.

Staff: Any person employed by Busitema University on contract or on permanent and pensionable terms.

Strategic Research: Research carried out with the expectation that it will produce a broad base of knowledge likely to form the background to the solution of recognised or expected current or future problems or offer possibilities for solving them.

Trademark: A sign capable of distinguishing the goods or services of one enterprise from those of other enterprises.

Trans-disciplinary Research: Research that focusses on problems that cross the boundaries of two or more disciplines.

University Council: The supreme organ of Busitema University responsible for the overall administration of the objects and functions of the University.

Vice Chancellor: Staff responsible for the academic, administrative and financial affairs of Busitema University.

1.0 Preamble

Research generates new knowledge, which is critical for sustained economic growth and social transformation of nations. Research and Innovations activities require considerable investments. Therefore, they must be rooted in the economic, social, political and institutional processes. A policy in this direction must respond to problems posed by the very Innovations, Research for Development, Science and Technology, and other 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 need of society. The entire research process needs to be pursued within the context of contemporary knowledge, good ethics, effective policy, adequate resources and international cooperation. Within the context of Busitema University, research and innovations necessitate multi-disciplinary approach that supports the exploration of new ways of using these disciplinary perspectives and methodologies.

Busitema University is a multi-campus Public University that was established by Statutory Instrument No.22 of 2007, enacted by Parliament of Uganda on the 10th of May 2007. The University has operational campuses at Arapai, Busitema, Mbale, Nagongera and Namasagali. Other campuses (planned) are at Kaliro and Pallisa. Busitema University's Vision is "*A centre of academic and professional excellence in science, technology and innovation*" while its Mission is "*To provide high standard training, engage in quality research and outreach for socio-economic transformation and sustainable development*" The driving force towards achieving the Vision and Mission is the motto: "*Pursuing Excellence.*" The University's Core Values, which provide work culture and motivation, are: *Excellence, Relevance, Innovativeness, Professionalism, Ethics and Integrity, Equity, Internationalization and Respect for diversity.*

The Busitema University's Strategic Plan 2009/10 – 2013/14 commits the University to distinguished and reputable research, innovation and outreach through two strategic goals: *enhanced research and innovative capacity at the University and knowledge transfer and service partnerships between the University and Public and Private Sectors.*

The University lacks a framework for the management of research, innovations and outreach. Furthermore, it lacks documented procedures and guidelines for managing research resources and research outputs. An effective policy will result in flourishing of research, innovations and outreach relevant to addressing societal needs. It is thus prudent to begin a strong research and innovation culture. Flourishing research and innovations will promote visibility of Busitema University globally and on the web. This will promote the University's Vision and is a step towards promoting Busitema University as a World class University.

This policy seeks to promote research, innovations and dissemination of findings through strengthening the knowledge foundation base, expanding the scope of research and innovations, promoting ethics in research, promoting the creation of new applications, promoting the societal impact of research and innovation, renewing and transferring knowledge, and transforming knowledge into practical solutions, including new businesses. Issues on intellectual property rights and management arising from research and innovations are addressed in a separate policy. During the implementation of this policy, the University shall initiate and increase collaborative linkages and networks for research, innovations and outreach with various relevant entities both regionally and globally. The University shall also consolidate the existing linkages and networks.

2.0 Policy Goal

The goal of this policy is to provide a framework for the management, support and development of research, innovations and dissemination of research findings at Busitema University.

3.0 Policy Objectives

- (i) To improve the quality of research and innovations
- (ii) To develop capacity of staff for research, innovations and publications
- (iii) To create an enabling, harmonious, transparent and efficient environment for research and innovations
- (iv) To strengthen research management and coordination through setting up a research and grants unit, and a research, innovations and disseminations committee.
- (v) To improve research and publications culture
- (vi) To improve funding for research and innovations

- (vii) To integrate support for Masters and Doctoral research in the University-wide research system
- (viii) To promote multi-disciplinary, inter-disciplinary and trans-disciplinary research
- (ix) To expand the scope of research and innovations through creating research and innovation centres within and outside university campus premises.
- (x) To initiate and increase collaborative linkages and networks for research, innovations, teaching and outreach.
- (xi) To increase utilization of research and innovations outputs
- (xii) To promote industrial parks and incubation centres for utilisation and promotion of research and innovation outputs for the benefit of the wider community.
- (xiii) To improve gender responsiveness of the university through research and innovations.
- (xiv) To promote health and safety, equal opportunity and affirmative action principles.

4.0 Policy Principles

- (i) This policy shall apply to all staff and students of Busitema University.
- (ii) All University staff, especially academic staff, are required to undertake basic and applied research.
- (iii) Research is a public good. All researchers should communicate and disseminate research data.
- (iv) The intellectual contributions of researchers should be recognised.
- (v) The mechanisms for managing and providing access to research and research data should be both efficient and cost effective.
- (vi) The University will ensure that research activities are conducted in conformance with equal opportunity and affirmative action principles.

5.0 Strategies for Policy Implimentation

- (i) The University shall encourage the involvement of female staff and female students in research.
- (ii) The University shall develop a governance structure for research. The University shall establish a Directorate of Graduate Studies, Research and Innovations (DGSRI). It will

also setup a Research, Innovations and Disseminations Committee (RI&DC) to oversee the implementation of all University research, innovations and disseminations activities.

- (iii) All research, innovations and dissemination activities shall be in line with the University's Vision and Mission and with Uganda's Vision 2040.
- (iv) The University-wide research agenda shall be aligned with Government of Uganda priorities. Each Department, Faculty, School or College shall identify priority research areas in line with the University-wide research agenda and shall form research teams or thematic groups.
- (v) The University is committed to support all research activities with appropriate resources where necessary.
- (vi) The University may provide full or partial support to researchers for travel for participation in international conferences.
- (vii) The University shall provide access to e-resources and other ICT related common services/software for the purpose of research data management and analysis.
- (viii) The University may provide research grants to staff and or to graduate students. These grants shall be open to all staff and graduate students and shall be allocated on merit. Applicants for research grants shall adhere to set guidelines and funding cycle. Support to research activities shall be judged on the merits of the proposal, the merits of the applicant, relevance of the research, the need for research capacity development, the need to sustain existing research activities or capacity, the priorities of the University, prevailing circumstances, potential for commercialization or exploitability, and or according to any other criteria as shall be set by the Research and Grants Management Committee and approved by Senate.
- (ix) The University encourages staff to seek external research grants/funding. Such grants/funding shall be subjected to an institutional overhead cost of 10 percent or to a percentage as shall be approved by Council.
- (x) The university shall establish a Research Grants Management Committee (RGMC) to coordinate and manage all research grant/funds received by the University.
- (xi) All University students (both graduate and undergraduate) shall contribute towards the costs of their research activities depending on the nature and duration of the research activities.

- (xii) The University will conduct regular training workshops/seminars for staff and students on areas such as grant proposal writing, research supervision, financial management and accountability, project management, scholarly writing and dissemination of research findings.
- (xiii) All University infrastructures are available for use by all researchers subject to permission granted by the relevant Heads of Units.
- (xiv) The University may facilitate national, regional and international research collaboration activities depending on the availability of funds.
- (xv) Researchers shall complete all research activities according to schedule. They shall spend at least 30 percent of their time on research and dissemination activities.
- (xvi) Researchers shall spend at least 10 percent of their time on outreach activities related to their research results.
- (xvii) Senior researchers, after formal appointment by the Directorate of Graduate Studies, Research and Innovations (DGSRI), will support in supervision of graduate (Masters and PhD) students. The University shall develop, operationalize and review periodically guidelines for supervision of graduate students. It shall also develop a handbook to guide graduate studies and research.
- (xviii) Researchers are encouraged to publish their findings in reputable journals and or present in conferences. Publications of findings shall be current and of high quality. The University shall recognise as up-to-date published materials that are less than ten (10) years old.
- (xix) The University will support senior researchers to work with junior researchers to produce high quality publications. For publications involving students' work, the student shall be the first author.
- (xx) The University will create platforms for staff and students to disseminate research outputs such as seminars, conferences and locally hosted journals, newsletters and bulletins. It will also support regular public presentations and debates on topical areas and on issues of national or international concern.
- (xxi) The University will create and maintain research, innovations and disseminations data in an Open Access Digital Repository (OADR), which shall be accessible to University staff and students and to the general public. All depositors of scholarly work shall sign a

Digital Repository Agreement (DRA) in order to give permission for their work to be held in the OADR. The OADR shall be operated as a non-profit, non-commercial facility by the University Library.

(xxii) Researchers are expected to be honest in respect to their own actions in research and in their responses to the actions of other researchers in the same field of research.

Researchers shall acknowledge the contribution of other researchers in their publications.

(xxiii) Researchers shall make available to other persons any published data or material of their research activities. Where such published material or data contains any intellectual property rights approval shall be required.

(xxiv) Researchers are bound by all Ugandan laws and guidelines governing research activities. Where research activities involve humans, the interests and rights of those involved or affected shall be appropriately safeguarded and the research project(s) shall comply with the National Guidelines for Research involving Humans as Research Participants (2007) or with any other applicable internationally recognized ethics guidance document. Where research activities involve animals, procedures shall be designed to ensure that discomfort and pain to the animals is limited to that which is unavoidable.

(xxv) Researchers involved in research misconduct such as falsification of data, plagiarism, mistreatment of research subjects and misappropriation of research funds shall be subjected to disciplinary actions.

(xxvi) The University shall support the establishment of Ethical Review Boards (IRB) at Faculty, School, Institute and or College levels, to oversee ethical conduct of research within the University. It shall also develop, operationalize and review periodically guidelines on good research practices and misconduct.

(xxvii) Researchers shall submit timely accountability for research funds and annual reports to the University. The annual report should include a section on abstract, objectives, methodology, results and discussion, and on conclusions and recommendations.

(xxviii) The University shall establish centres for Technology Development and Transfer (CTDT). It shall also setup Technology Business Innovations and Incubation Centres and establish Science and Industrial Parks to promote research and innovation activities.

6.0 Intellectual Property

- (i) Intellectual Property (IP) is any creation of the mind such as invention, literary works, artistic works, designs, symbols, names and images.
- (ii) Ownership of Intellectual Property resulting from all University sponsored research activities, from research activities under the direction or supervision of a staff of the University and resulting from the duties of a staff within the University shall belong to the University.
- (iii) Intellectual Property resulting from externally funded research activities, utilizing University resources and facilities, shall be shared between the external funder, the researcher(s) and the University in equal proportions.
- (iv) Intellectual Property resulting from joint research collaboration between the University or its staff and other institutions or researcher(s) shall proportionately be shared among the parties.

7.0 Directorate of Graduate Studies, Research and Innovations

- (i) The Directorate of Graduate Studies, Research and Innovations shall be responsible for all graduate training and for implementing the University's Research, Innovations and Disseminations Strategy.
- (ii) The Directorate shall;
 - a) Coordinate the registration, studies and examinations of all graduate students in the University and make recommendations to Senate.
 - b) Network with Faculties, Institutes and Colleges in the appointment of Supervisors, Internal Examiners and External Examiners for graduate programmes and research.
 - c) Assess and interpret the equivalence of foreign academic qualifications for use within the University.
 - d) Develop and maintain a database on all University research, innovations and disseminations activities.
 - e) Compile annually reports on all University research, innovations and disseminations activities.

- f) Develop a register of graduate students, a prospectus, brochures and any other bulletins about Graduate Studies at Busitema University periodically.
- g) Provide general academic oversight across graduate programmes and modules.
- h) Strengthen research and innovations linkages and networks with other Universities, Research Institutions and with development partners within Uganda and globally.
- i) Produce and periodically review the graduate academic programmes and University research agenda to reflect the priorities of the University and of Uganda.
- j) Provide courses and organize workshops, seminars and support to conferences on graduate training and on research activities.
- k) Develop and nurture a culture of excellence in graduate training, research and innovations in the University.
- l) Provide reports to the Board of Graduate Studies, Research and Innovations.
- m) Perform any other duties as may be assigned by the Senate.

8.0 Research, Innovations and Disseminations Committee

- (i) Shall oversee the implementation of all research, innovations and disseminations activities in the University.
- (ii) Shall develop and maintain a database on all University research, innovations and disseminations activities.
- (iii) Shall provide information to Departments, Faculties, Institutes, Colleges and to other research units on funding sources, and on research networks and linkages.
- (iv) Shall peer review all University research proposals to be submitted for external grant support.
- (v) Shall review Department, Faculty, Institute and or College specific research agenda and thematic research areas and make recommendations to Senate.
- (vi) Shall provide guidance to Departments, Faculties, Institutes, Colleges and to other research units on dissemination and commercialization of research outputs.
- (vii) Shall review research, innovations and dissemination reports from the Board of Graduate Studies, Research and Innovations and make recommendations to Senate.
- (viii) Shall review progress reports and final reports of all University research, innovations and disseminations activities and make recommendations to Senate.

- (ix) Shall perform any other work as may be assigned by Senate.
- (x) Shall be constituted at University, College, School, Faculty, Institute and or Departmental Levels.
- (xi) At University level, it shall consist of the following members;
 - a) The First Deputy Vice Chancellor (Chairperson)
 - b) The Director, Directorate of Graduate Studies, Research and Innovations
 - c) The Deputy Directors, Directorate of Graduate Studies, Research and Innovations
 - d) The Academic Registrar (Secretary)
 - e) The University Librarian
 - f) Principals of Colleges
 - g) Deans of Faculties
 - h) Directors of Institutes
 - i) A representative of Uganda Manufacturer's Association

9.0 Research Grants Management Committee

- (i) Shall coordinate and manage all research funds received by the University.
- (ii) Shall develop merit criteria for allocation of research grants/funds to staff and or to graduate students for approval of Senate.
- (iii) Shall allocate research grants/funds to staff and or to graduate students applicants.
- (iv) Shall consist of the following members;
 - a) The Vice Chancellor (Chairperson)
 - b) The First Deputy Vice Chancellor
 - c) The Academic Registrar (Secretary)
 - d) The University Secretary
 - e) The University Bursar
 - f) The University Librarian
 - g) The Dean of Students
 - h) The Director, Directorate of Graduate Studies, Research and Innovations
 - i) The Director, Planning Unit
 - j) Principals of Colleges
 - k) Directors of Institutes

- l) A representative of teaching staff who should be at a rank of Professor or Associate Professor
- m) A representative of non-teaching staff
- n) Two students' representatives, one of whom should be female.

10.0 Ethical Review Board

- (i) Shall oversee ethical conduct of research within a Faculty, School, Institute or College.
- (ii) Shall develop, operationalize and review periodically guidelines on good research practices and research misconduct.
- (iii) Shall recommend to Senate disciplinary actions against a researcher or researchers involved in research misconduct.
- (iv) There shall be an Ethical Review Board for each Faculty, School, Institute or College and the membership shall be approved by Senate.

11.0 Policy Implementation

- (i) This policy shall complement other approved University policies and guidelines.
- (ii) Any exception to the terms of this policy shall require the approval of the Vice Chancellor.
- (iii) The responsibility for the implementation of the Research, Innovations and Dissemination policy shall reside with the First Deputy Vice Chancellor (in charge of Academic Affairs and Research).
- (iv) Such responsibility shall be exercised through the University Research, Innovations and Dissemination Committee, which functions in accordance with the authority delegated to it by the University Senate.
- (v) The Directorate of Graduate Studies, Research and Innovations shall be responsible for implementing the Research, Innovations and Dissemination Strategy and exercising institutional level responsibilities and functions.
- (vi) Academic Faculties, Schools, Colleges, Institutes and Departments shall take ownership of and manage research, innovations and dissemination activities.

12.0 Policy Interpretation

The interpretation of this policy shall rest with the Vice Chancellor. Any appeal shall be made to Senate.

13.0 Policy Amendment

This policy may be reviewed from time to time with the approvals of Senate and Council

14.0 Notification

The Directorate of Graduate Studies, Research and Innovations shall inform all persons subject to this Policy of its terms after its approval by Council.

15.0 Date of Commencement

The **date of commencement** of this policy shall be **15th April 2014**.