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**KING CEASOR UNIVERSITY**

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**Research and Innovation Policy**

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**JANUARY 2024**

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**Approval**

This policy has been approved on the 19<sup>th</sup> day of March the year 2024

Signed:

  
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Hon. Dr. Chris Baryomunsi

**CHAIRPERSON, KCU COUNCIL**

  
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Dr. Charity Basaza Mulenga

**VICE-CHANCELLOR**

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## 1.0 Preamble

Research shall be critical to King Ceasor University (KCU)'s development, distinctiveness, success and sustainability in an increasingly competitive Higher Education environment. Above all, it is central to the quality of the university's teaching and learning. Research establishes and enhances university's reputation and leads to benefits for society, culture and the economy. Therefore, the need to address local, national and international development challenges calls for investment in research in order to obtain data, information and knowledge on which short- or long-term strategies and interventions may be based.

The ultimate benefit of research lies not only in the generation of new knowledge but also 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.

Within the context of KCU, research and innovations shall necessitate multi-level, multi-disciplinary approaches that support the exploration of new ways of using these disciplinary perspectives and methodologies. A policy in this direction must respond to problems posed by the very innovations, Research and Development (R&D), technology and science, and related activities concerned with the acquisition of knowledge and its exploitation.

A research policy is therefore an integral element of the efforts being made towards achievement of international status for KCU. It will enable the University to fully contribute towards the development of the nation of Uganda and the world. It will provide a guiding framework to facilitate research-related policy development and review, and planning, and implementation of research and innovation activities within the university. It will also ensure that all research activities have a clear purpose drawn from the mission and vision of KCU and that all resources mobilized for research activities are directed towards the fulfilment of institutional goals. These resources include policy framework and supportive infrastructure, human resources, sound knowledge and information, physical infrastructure, equipment, services and finances.

The research policy will also set standards for implementation of research and related activities that encourage efficient and effective communication, efficient and honest research conduct and availability all essential human and material resources. It will ensure that research activity will underpin the educational activities of the university thus facilitating the development of sufficient numbers of highly skilled manpower for national development needs.

Uganda is a country with diverse people, stunning landscapes and rich natural resources. Research is essential for effective management and utilization of natural resources and for building and protecting national wealth. The Research and Innovations Policy has been developed under the overarching framework of the university vision, mission and core values. Through this research and innovation policy, KCU will take up its mantle as the leading national centre for relevant and effective research.

## **2.0 Research Philosophy**

The University aspires to evolve into one of the leading research universities in Uganda and sub-Saharan Africa. As a result, the University's Research and Innovation policy seeks to encourage and provide 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 KCU.

In achieving the aims of this policy, the university shall be committed to working closely with national and international organizations that support and monitor research activities.

## **3.0 Purpose of the Research and Innovations Policy**

The overall aim of the Research and Innovations Policy is to strengthen research capacity and output, ensure that research is facilitated and strengthened at the University in order to meet its goals and achieve its potential and increase the contribution of KCU to the world of knowledge and innovation at national and international arena.

The University research policy and innovations shall:

1. Promote the virtues of truth, integrity, honesty, tolerance, professionalism, teamwork and meritocracy.
2. Uphold the ethics and etiquette of teaching, learning and research.
3. Promote and defend the freedom of thought and academic enquiry as well as freedom of association.
4. Ensure openness and transparency in all its dealings and operations.
5. Nurture responsible corporate citizenship and strong social responsibility.
6. Respect the beliefs and values of others.
7. Respect and protect the environment.
8. Have the courage to initiate and adapt to change.
9. Encourage and promote the academic staff and students to publish relevant academic material in both open access and close access journals in order to promote the KCU University academic image.

This will be achieved through five strategic objectives as indicated below.

#### **4.0 Strategic Objectives**

1. To create an enabling, harmonious, transparent and efficient environment for research and innovations.
2. To strengthen management and coordination of research activities among all stakeholders within and outside the university.
3. To improve research and publications culture of the staff and students.
4. To improve funding for research and innovations among university staff and students.
5. To improve gender responsiveness of the University through research and innovations.

#### **5.0 Scope**

In this policy the University will facilitate, host and conduct research in areas where new developments promise to offer and address the salient problems constraining development initiatives in the host community, Uganda and Africa and where it can complement and add value to other national, regional and international activities: capacity building is a major goal of all research activities. The research scope shall:

1. Enhance research activity communication and information sharing through conferences; workshop; seminars and other mode of international exposures.
2. Include broad areas such as health, agriculture, industry, environment, education, legal issues etc. and should capture major priority areas within the university research framework, as well as global agenda.
3. Capture creative and innovative technologies to advance research within the university while contributing to global knowledge.

## **6.0 Guiding Principles of Key Research Areas**

### **6.1 Create an Enabling Environment for Research and Innovations**

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:

- a) 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:
  1. Develop and update guidelines for setting up centers of excellence.
  2. Encourage and support the establishment of state-of-the-art laboratories with user guidelines for researchers.
  3. Encourage the formation of multidisciplinary research teams/groups at centers of excellence.
  4. Ensure that capacity to maintain the state of the art equipment is developed for example through enhanced training of technical staff and users.
  5. Required research equipment and other resources acquired during the life of any research project to revert to the University at termination of the project.
  6. Guidelines for use of equipment (including bench fees) and disposal of such resources shall be developed by the respective centers.

- b) Support staff members' access to the Internet and other ICT services. The University shall;
1. Provide Internet and other ICT facilities at every academic/research unit for purposes of knowledge creation and dissemination.
  2. Provide access to the e-resources and other ICT related common services/software for the purpose of data management and analysis
- c) Support researchers to attend and present papers/posters at national and international conferences. This shall be achieved through the following:
1. Provision for travel support in the units' budgets to facilitate staff attendance at conferences
  2. Inclusion of a budget line for attendance at conferences in the research projects
  3. A requirement for staff to be supported to have obtained invitations to present papers/posters or to chair sessions at these meetings
  4. Support shall be in part or total depending on availability of funds
- d) The University shall generate a research agenda periodically
1. Faculties/institutes/schools and colleges shall formulate research priorities that will feed into the university research agenda.
  2. The priorities identified shall reflect national research objectives, priorities and relevant international trends.
  3. Research agenda shall promote both basic and applied research
  4. The review of the research agenda shall be pegged to the review of the University Strategic Plan.
- e) Facilitate national, regional and international collaboration, and global networking. To this end, the university shall enter into Memorandum of Understanding (MoU) with leading research and higher education institutions
- f) Provide research support services including management information systems and library resources that facilitate access to international literature and databases. The University shall, therefore:
1. Continue to subscribe to relevant data bases that provide information to researchers



2. Create and maintain its own research and innovations data base accessible to the university community and the general public

## **6.2 Strengthen 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:

- a) Support staff to continually update their skills in research management. This shall be achieved through:
  1. Conducting regular training workshops/seminars at both unit and centre level in grant proposal writing, financial management, scholarly writing and dissemination, etc.
  2. Developing and updating research management tools such as hand books and guidelines.
  3. Support to staff to attend skills enhancement courses locally and internationally.
- b) Promote a mentoring and apprenticeship culture/approach in research
  1. Require as part of the eligibility criteria for research support, senior members of staff are required to work with junior members of staff and graduate students on research projects for mentoring and supervision.
  2. Support senior members of the academic community to work with junior members of staff and the students to produce joint publications.
  3. Mainstream gender and actively involve women in research activities.
  4. Encourage academic units to establish Professorial Research Chairs.
- c) Provide guidelines for supervisors and supervisee during the research process to ensure harmony, quality and timely completion. To this end, the University shall:
  1. Develop, operationalize and review periodically guidelines for supervision of graduate students (qualification, appointment, remuneration, conduct etc.)
  2. Disseminate widely the rules and regulations for graduate study
- d) Strengthen the research management and coordination function at institutional and at unit levels. To this end:
  1. The university shall develop a governance structure for research and coordination;

- i. There shall be the University Board of Research, Innovations and Publications to guide the research and innovation function of the University. The Director of Research, Innovations and Grants shall provide the secretariat.
  - ii. There shall be a Research, Innovation and Publications committee at unit/Departmental/School or College level
  - iii. The Board of research, Innovations and Publications, shall specify administrative responsibilities regarding research management at unit level.
2. There shall be technical sub-committees to assist the University Board of Research and Publications in implementing its mandate. These shall include:
- i) The Institutional Research Ethics Committee (IREC),
  - ii) Intellectual Property Management committee

### **6.3 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:

- a) Provide incentives /reward for research. Staff shall spend at least 20% of their time on research and dissemination. To this end, the University shall:
  1. Ensure maintenance of satisfactory staff to student ratios in line with university establishment policy.
  2. Require staff at levels of lecturer and above (or equivalent) to publish at least one paper in a peer reviewed journal yearly.
  3. Require doctoral students in the course of their studies to publish at least one paper in a peer-reviewed journal before they graduate.
  4. Develop, operationalize and update periodically a system for tracking of staff research and outputs.
  5. Require staff to publish research findings in form of policy briefs for use by policy makers.
  6. Recognize and reward staff for outstanding performance in research and innovations.
  7. Develop, operationalize and review periodically guidelines on how to identify and reward staff for outstanding research and innovation.

- b) Provide and support platforms for dissemination of research outputs. To this end, the university shall:
1. Create platforms for staff and students to disseminate research outputs such as seminars and locally hosted journals, newsletters and bulletins (both hardcopy and electronic).
  2. Support units to organize regular conferences.
  3. Support regular public presentations and debates on topical areas of national or international concern.
  4. Require doctoral students to publish their findings in any of the following forms:
    - i. Theses/dissertations as either monographs
    - ii. Theses/dissertations with chapters as stand alone papers
    - iii. Theses/dissertations as a compilation of papers either already published or accepted for publication
- c) Promote ethical conduct of research in the university. To this end, the university shall:
1. Support the establishment of Institutional Review Boards to oversee ethical conduct of research at units
  2. Develop, operationalize and review periodically guidelines on good research practices and misconduct

#### **6.4 Improve Funding for Research and Innovations**

A key element of any institutional strategy to foster research development and safe applications of research findings is to ensure steady flow of resources for research facilitation. The research resources may include accruing tuition and gifts as well as significant funding from external research sponsors/donors.

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

- a) Commit at least 3% of the internally generated funds to research and innovations annually.

- b) Require graduate and undergraduate students to contribute towards the cost of research. The amounts to be paid shall be recommended by the Board of Research and Publications.
- c) Adopt a proactive approach to seek fellowship/donor support for postgraduate training rather than reliance on one source.
- d) Require all research projects to contribute 15% (5% to the Board of Research and Publications, 3% to the Department, 3% to the School/College and 4% retained at the center) of the research costs as institutional overheads/indirect costs. The Board of Research and Publications from time to time shall review this.
- e) 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.
- f) Engage the private sector to contribute towards research and innovations
  - 1. Through contract research
  - 2. Sponsoring of research chairs
  - 3. Through joint ventures, licensing, patents and trade marks
- g) Provide general information including databases on possible sources and modes of research funding on a regular basis.
- h) The University shall subscribe to databases that provide information on funding opportunities.
- i) Coordinate and organize postgraduate and academic research exhibitors, conferences, workshops and seminars.

#### **6.5 To improve gender-responsiveness of the University**

- a) Provide opportunities for staff and students to train in gender focused research methodology.
- b) Integrate gender in research proposals.

- c) Encourage involvement of women in research teams.

## **7.0 Policy Implementation Strategy**

The policy assumes that four general policy areas must be addressed, namely: research infrastructure, research administration, research finance and research human resources management. Each of these general policy areas should aim at implementing the policies that develop research human resources (academic staff) from postgraduate students to postdoctoral trainees, to researchers and finally to research mentors. The organs of the University that will implement these policies are the department, the faculty, institute or School and central administration – through the Directorate of Graduate Studies and Research.

### **7.1 Research Policy Implementation Structure**

- a) This policy shall be implemented and reviewed periodically by the Board of Research and Publications (a senate committee).
- b) This Policy shall be implemented or supplemented in any way consistent with its terms and those of other University policies.
- c) In the event circumstances require 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.
- d) After adoption of this policy, the University Senate shall be responsible for drawing out implementation guidelines or procedures from time to time.
- e) The general structure of the research policy is documented in the table below;

**Table.1 : Research Policy Implementation**

Policy Area	Issues
<b>Research infrastructure</b>	<ul style="list-style-type: none"> <li>○ Website</li> <li>○ ICT (computers, networks, communications, research software)</li> <li>○ Library</li> <li>○ Laboratories and laboratory equipment</li> <li>○ Houses (animal, green- etc.)</li> <li>○ Vehicles</li> <li>○ Research farms</li> </ul>
<b>Administration</b>	<ul style="list-style-type: none"> <li>○ Policy</li> <li>○ Collaboration and links</li> <li>○ Legal assistance</li> <li>○ Productivity Measurement</li> <li>○ Dissemination (Website, publications)</li> <li>○ Coordination and Management of multidisciplinary projects</li> <li>○ Research Networking</li> <li>○ Maintenance of Research Standards</li> </ul>
<b>Finance</b>	<ul style="list-style-type: none"> <li>○ Research funding management and accounting</li> <li>○ Grants and projects</li> </ul>
<b>Human resource management</b>	<ul style="list-style-type: none"> <li>○ Positions</li> <li>○ Recruitment</li> <li>○ Provision e.g. study leave, sabbatical leave</li> <li>○ Incentives</li> <li>○ Research load</li> <li>○ Promotion requirements</li> <li>○ Appraisal policy</li> </ul>

## 7.2 Research Career Development Framework

The research and innovations policy aims to facilitate the development of research careers, assuming that researchers will become increasingly productive and useful for the fulfilment of the research objectives of the KCU as they grow in seniority.

In order to fulfil the mission and vision of the University, it is expected that staff members will balance their time between activities that contribute towards each of the mission areas of the university.

The table below classifies academics as postgraduate students, research trainees, researchers or research mentors for administrative purposes and outlines the qualifications, establishment positions, roles, research activities, research-to-teaching load and expected outputs of each category.

**Table 2: Research Career Development Framework**

	<b>Postgraduate student</b>	<b>Research Trainee</b>	<b>Researcher</b>	<b>Research Mentor</b>
<b>Qualifications</b>	Bachelors or Masters degree	Masters or Ph.D.	Ph.D.	Ph.D.
<b>Positions</b>	Masters or Ph.D. student.	Tutorial Fellow or Lecturer	Lecturer or Senior Lecturer	Associate and Full Professor
<b>Role</b>	<ul style="list-style-type: none"> <li>○ Qualify with expected degree.</li> <li>○ Assist in research.</li> </ul>	Carry out research project.	<ul style="list-style-type: none"> <li>○ Carry out research.</li> <li>○ Supervise other researchers and students.</li> <li>○ Attract and administer research funding.</li> </ul>	<ul style="list-style-type: none"> <li>○ Mentor all research activity.</li> <li>○ Recruit and supervise other researchers and students.</li> <li>○ Attract and administer large research grants.</li> </ul>

<b>Research Activity</b>	Postgraduate research project or thesis activity	Doctoral or Postdoctoral research.	Successfully implement funded research projects	<ul style="list-style-type: none"> <li>○ Successfully administer large grants.</li> <li>○ Participate in research administration in consultation with head of dept.</li> </ul>
<b>Expected Outputs (indicative)</b>	<ul style="list-style-type: none"> <li>○ Dissertation, Thesis, Conference papers.</li> <li>○ 1 Thesis in 4 years</li> <li>○ 2 conference papers in 4 years</li> </ul>	<ul style="list-style-type: none"> <li>○ Thesis, conference, journal papers.</li> <li>○ 1 conference / journal paper per annum</li> </ul>	<ul style="list-style-type: none"> <li>○ Reports, conference and journal papers, books.</li> <li>○ 1 journal paper or 2 conference papers per annum</li> <li>○ 1 patent</li> </ul>	<ul style="list-style-type: none"> <li>○ Reports, conference and journal papers, books.</li> <li>○ 2 journal papers or 3 conference papers per annum or 1 book every four years.</li> </ul>

### 7.3 Research Functions and Procedures for Research Associates

Research associates are scholars (including postgraduate students) from other academic and research institutions who seek to interact with researchers and use the location and facilities of University to further their research work. Research associates are of value to the University because they:

1. Raise the profile of the University with sister institutions worldwide;
2. Foster research networking, collaborative research and joint publication;
3. Impart knowledge and ideas to University students; and,
4. Inject new ideas and help enhance the capacity of KCU researchers.

This policy with regard to research associates is outlined below:

- a) **Research infrastructure:** Research associates shall be provided with the following research facilities during their period of association:



1. Inclusion of name, institutional details and year of association on the University website with a link to their institution;
2. An electronic mail address, research server account and access to the University network for research purposes
3. Office space, where available.
4. Access to the University library system including the relevant research libraries.
5. Access to photocopying and data processing services at University rates.

b) **Administration:** Research associates:

1. Shall apply in writing to the DVC Academic Affairs through the Director of Research, Innovation and Grants/head of the host department/school or College institute or school enclosing:
  - i. A request for affiliation to the relevant department for the purposes of research
  - ii. A research proposal of 10 – 15 pages including theoretical framework, literature review, objectives, methodology and work plan.
  - iii. Two letters of recommendation from academic referees familiar with the applicants work;
  - iv. Current curriculum vitae (resume)
  - v. Supporting documentation showing financial sponsorship for the project.
2. Are expected to undertake the following activities during the period of association:
  - i. Prepare a minimum of two working papers;
  - ii. Teach / assist postgraduate students, as requested;
  - iii. Give at least one presentation about their research to the University community; and
  - iv. Submit a report on research accomplishments to the head of the host department/faculty/ institute/school or college within 60 days of the end of the association;

3. Must meet the following requirements:

- i. Sign a contract to comply with all University policies governing the conduct of research;
- ii. Comply with Intellectual Property Policy of the University;
- iii. Give due acknowledgement of any assistance received from the University in any publications based on research conducted during the period of association;
- iv. Provide the University library and the host Department/Faculty/Institute/School or College with copies each of publications emanating from the research; and
- v. Pay the required association fee, consumables, equipment and services where required to the University;

c) **Human resource management:** The University shall:

1. Maintain current details for application procedures, appointment procedures, Government requirements, payments and immigration status on the website to facilitate application by research associates.
2. Assist research associates with application and settling in, wherever possible.