MAKERERE UNIVERSITY

RESEARCH AND INNOVATIONS POLICY

AS APPROVED BY THE UNIVERSITY COUNCIL AT ITS 112TH MEETING HELD ON THURSDAY MARCH 13TH 2008

MARCH 2008

Table of Contents

Foreword

Makerere University is the leading higher education institution in the country with tremendous skilled human power and infrastructure to generate new knowledge through research. The overall aim is to reinforce vigorously the university's status as a major international university that sustains and adds value to the Ugandan culture, to the natural environment and to the economy and society of Uganda and the wider world. The university, therefore, shall put in place a research agenda with priorities that address national and global challenges.

The Research and innovations Policy supports the overall ambitions of the university, providing both depth and breadth to the articulation of university goals as a research-led university, and setting out key strategic approaches to be undertaken to enable the achievement of these goals.

The research and innovations policy cannot be implemented in isolation: areas of interaction with other aspects of the institutional strategy, for example the strategic plan, quality assurance policy, gender policy, ICT policy and plans for central services and administration will be apparent. It is important that such interactions are fully explored and approaches agreed upon to enable successful implementation of this policy

This document – **Research and Innovations Policy** for Makerere University addresses internal and external stakeholders' needs either as research collaborators, funding agencies or research clientele and provides a framework to address the main obstacles to outstanding research performance. Once implemented, this should propel Makerere University forward to maintain its leading position as a research-led University in the region.

Prof. L.S. Luboobi
Vice Chancellor, Makerere University

1.0   PREAMBLE

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

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

Established in 1922 as a technical college, Makerere University has evolved into one of the leading Universities in sub-Saharan Africa. In the 1950s, 60s and early 70s the University experienced her most productive decades with a vibrancy of teaching in the region, research and engagement with government and the public through public lectures and other fora of academic and political engagement. In subsequent years, the volume of research not only decreased but also increasingly became project based and dependent on individual's motivation. The latter created a situation that even where research continued to flourish, it was not institutionally driven or coordinated and therefore oftentimes did not get registered as a Makerere University product. This trend was further expounded by the introduction of the private programmes that emphasized innovation at unit level. Teaching/learning and research have therefore been unit-based presenting increasing challenges for university wide coordination and management especially of the research enterprise at Makerere University.

The aforementioned trend has had several effects one of which is less visibility of Makerere University on the web since the milliard research endeavours have been attributed to individuals within the university rather than necessarily the institution itself. The Research and Innovation policy seeks to reverse this trend in a two-prong approach: encouraging and providing more opportunity for team/multidisciplinary research and innovation on the one hand, and rationalizing these efforts in a broader university framework of research and innovations. The policy puts emphasis on provision of research opportunities, quality and ethics in research and innovation, efficiency and effectiveness in coordination and management of research and innovation at Makerere University. This policy does not address issues pertaining to intellectual property management (IPM)[1]

---

[1] The IPM is contained in a separate policy document.

In achieving the aims of this policy, the university is committed to working closely with national and international organizations that support and monitor research activities. In Uganda, this refers to such organizations like the Uganda National Council of Science and Technology, National Agricultural Research Systems, National Council for Higher Education.

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

2.0 Purpose of the Research and Innovations Policy

The overall aim of the Research and Innovations Policy is to strengthen research capacity and output, and increase the contribution of Makerere to the world of knowledge and innovation. This will be achieved through four strategic objectives as shown in Section 3.0.

3.0 Strategic Objectives

(i) To create an enabling, harmonious, transparent and efficient environment for research and innovations
(ii) To strengthen research management and coordination
(iii) To improve research and publications culture
(iv) To improve funding for research and innovations
(v) To improve gender responsiveness of the University through research and innovations.

4.0 Guiding Principles

4.1 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:

4.1.1 Create centers of excellence that are adequately equipped and maintained for use by all interested parties in the University in a sustainable manner. The University shall, therefore:

(i) Develop and update guidelines for setting up centers of excellence
(ii) Encourage and support the establishment of state-of-the-art laboratories with user guidelines for researchers
(iii) Encourage the formation of multidisciplinary research teams/groups at centers of excellence
(iv) Ensure that capacity to maintain the state of the art equipment is developed e.g. through enhanced training of technical staff and users

(v) Require research equipment and other resources acquired during the life of any research project to revert to the University at termination of the project

(vi) Guidelines for use of equipment (including bench fees) and disposal of such resources shall be developed by the center.

4.1.2 Support staff members' access to the internet and other ICT services. The University shall, therefore:

(i) Provide internet and other ICT facilities at every academic/research unit for purposes of knowledge creation and dissemination.

(ii) Provide access to the e-resources and other ICT related common services/software for the purpose of data management and analysis

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

4.1.4 Support researchers to attend and present papers/posters at national and international conferences. This shall be achieved through the following:

(i) Provision for travel support in the units' budgets to facilitate staff attendance at conferences

(ii) Inclusion of a budget line for attendance at conferences in the research projects

(iii) A requirement for staff to be supported to have obtained invitations to present papers/posters or to chair sessions at these meetings

(iv) Support shall be in part or total depending on availability of funds

4.1.5 Makerere University shall generate a research agenda periodically

(i) Faculties/institutes/schools and colleges shall formulate research priorities that will feed into the university research agenda.

ii) The priorities identified shall reflect national research objectives, priorities and relevant international trends.

(iii) Research agenda shall promote both basic and applied research

(iv) The review of the research agenda shall be pegged to the review of the University Strategic Plan.

4.1.6 Facilitate national, regional and international collaboration, and global networking. To this end, the university shall

(i) Enter into MoU with leading research and higher education institutions

(ii) Operationalise and nurture existing MoUs at Makerere University

4.1.7 Provide research support services including management information systems and library resources that facilitate access to international literature and data bases. The University shall, therefore:

(i) Continue to subscribe to relevant data bases that provide information to researchers

(ii) Create and maintain its own research and innovations data base accessible to the university community and the general public

4.2 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:

4.2.1 Support staff to continually update their skills in research management. This shall be achieved through:
- (i) Conducting regular training workshops/seminars at both unit and center level in grant proposal writing, financial management, scholarly writing and dissemination, etc
- (iii) Developing and updating research management tools such as hand books and guidelines
- (iv) Support to staff to attend skills enhancement courses locally and internationally

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

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

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

4.2.5 Strengthen the research management and coordination function at institutional and at unit levels. To this end:
- (i) The university shall develop a governance structure for research and coordination
  - a) There shall be a Research, Innovation and Publications committee at unit level
  - b) Administrative responsibilities regarding research management at unit level shall be specified by the research council
- (ii) Provide tools for internal procedures for approval, control, monitoring and coordination of research and innovations

4.2.7 There shall be the Makerere University Board of Research and Publications to guide the research and innovation function of the University. The Director of the School of Graduate Studies shall provide the secretariat.

(i) The functions of the Board of Research and Publications shall be to:
(a) Initiate, develop, implement and review periodically the policy on research and innovations
(b) Develop policy on sourcing and administration of research funds
(c) Oversee the scholarly aspects of Makerere University Press
(d) Submit to senate reports on its activities annually

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

4.3 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:

4.3.1 Provide incentives /reward for research

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

4.3.2 Provide and support platforms for dissemination of research outputs

The university shall:

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

(ii)   Support units to organize regular conferences

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

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

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

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

4.3.3 Promote ethical conduct of research in the university.

The university shall:
(i)   Support the establishment of Institutional Review Boards to oversee ethical conduct of research at units
(ii)   Develop, operationalise and review periodically guidelines on good research practices and misconduct

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

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

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

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

4.4.4 Continue to solicit research funds from national and international organizations, both public and private. Solicitation of funding shall be encouraged and facilitated at individual, departmental, faculty or institute, and college levels

4.4.5 Engage the private sector to contribute towards research and innovations
      i) Through contract research
      ii) Sponsoring of research chairs
      iii) Through joint ventures, licensing, patents and trade marks

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

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

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

4.5.1 Provide opportunities for staff and students to train in gender focused research methodology
4.5.2 Integrate gender in research proposals
4.5.3 Encourage involvement of women in research teams.

5.0 WAY FORWARD

5.1 Implementation:
- (i) This policy shall be implemented and reviewed periodically by the Board of Research and Publications
- ii) This Policy shall be implemented or supplemented in any way consistent with its terms and those of other University policies.
- iii) In the event 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.

(iv)   This Policy shall not apply to on-going research projects and written agreements between the University and/or any external organization or individual, entered into prior to the date on which this Policy is adopted by the University Council.

(v)   If an existing written agreement is renewed, revised, or amended after the date on which this Policy is adopted by the University Council, reasonable attempts shall be made to conform such agreement with the requirements of this Policy as of the date on which it is renewed, revised, or amended.

(vi)   After adoption of this policy, the University Senate shall be responsible for drawing out implementation guidelines or procedures from time to time.

5.2 Notification:

The School of Graduate Studies shall inform all persons subject to this Policy of its terms after its adoption and at regular intervals thereafter.

5.3 Date of Commencement: 13th March, 2008

--------------END---------------------