



POLICY ON THE ESTABLISHMENT OF RESEARCH ENTITIES AND INSTITUTIONS

1.0 Policy Statement

Makerere University Senate and Council are committed to creating a supportive environment, through research entities, that will spur high-quality multi-disciplinary research, innovations, capacity development, and knowledge transfer partnerships for socio-economic transformation of our nation and Africa.

2.0 Rationale

Makerere seeks to become a research-led and research-intensive University. Management of the research, innovation and knowledge transfer activities through the mainstream academic units, which ordinarily have been designed for teaching and learning is not efficient. This policy is designed to provide the necessary conducive environment for research, innovation and knowledge transfer through appropriate enabling structures.

3.0 Policy Purpose and Objectives

The purpose of this policy is to provide for the formal establishment, organisation and regulation of Research entities and institutions (Research Units, Centres, Institutes and Centres of Excellence) to facilitate cooperative research, innovative teaching and learning, advancement in scholarship and strategic partnerships.

The overarching objective of this policy is to stimulate the quantity, quality and visibility of the University's research outputs and innovations through the creation of research entities/ structures that can facilitate individual and formal collaborative research work. This policy is designed to encourage cooperative and collaborative work and to make it possible for researchers to benefit from the intellectual stimulation generated by working in teams. The objectives of this policy are to:

- a) Promote and facilitate collaborative and/or interdisciplinary and multi-disciplinary research and the enhancement of research networking capacity and infrastructure;
- b) Provide education and training in research and related skills for faculty, graduate and undergraduate students, and enhance the quality of academic programs delivery in academic units;
- c) Contribute to the university's strategic educational and research missions and to support synergies between research, teaching, and learning. The centres will attract, maintain and award talent at Makerere University;

- d) Increase and effectively manage the research resources and infrastructure for researchers to optimize benefit to the wider university research stakeholders;
- e) Spur growth of academic staff and community outreach in a manner that sustainably causes positive change through the transfer and mobilization of knowledge gained through research for the benefit of society.;
- f) Promote the status and research profile of Makerere University nationally, regionally and internationally through coordinated, enhanced and quality research output.

4.0 Definitions, Scope and Functions of Research Entities

Research entities are differentiated based upon founding processes and requirements, the scope of research activities, sources of funding and management structure. The following are the types of Research Institutions/ Entities that may be established at Makerere University.

This policy defines 5 types of entities: (1) Research Group, (2) Research Unit, (3) Research Center, (4) Research/ Capacity Development Institute, and (5) Research Center of Excellence (CoE) – as approved under this policy; or have inherited the title under the old policy/ approvals.

4.1 Research Group: Level 1 (*At Department*)

A research group is the first level formation of a team of researchers drawn from within a Department or Departments in a School who join to work together on a specific research area – within the broader institutional research agenda. The key feature of a research group is that it is a voluntary, adhoc and self-regulating group, but known and recognized by the Department. It is formed as a research syndicate group that may dissolve on completion of a research project. The composition of a research group is individuals from within a Department or across departments that mutually come together to incubate a research idea. It shall be hosted at a Department and will conform to policies and regulations that govern research and research funding in the University.

4.2 Research Unit: Level 2 (*Department or at School*)

A Research Unit is a micro-entity within a Department or School formed to foster focused research on a specific issue that merits concentrated research efforts. It represents the institutionalisation of a Research Group and therefore grows from a research group. The essential features of a Research Unit are that:

- a) It consistently conducts research on a very specific issue of need that merits independent recognition within the broader institutional research agenda for a department or a school.;
- b) It has a formally approved University budget neutral leadership structure (approved at Department and School Board) recognized within the university's official structures.

- c) Its members are from within a department or across departments, and shall be hosted at a School where more than 50% of the subject specialty is mandated.

4.3 Research Center: Level 3 (*At School or College*)

A Research Center is an entity within a ***School or College*** established to foster transdisciplinary research, knowledge transfer, research-to-policy engagement, and community interventions/outreach activities in a particular area of research that is of importance to national, regional or global agenda. A research Centre has a multidisciplinary composition of affiliated researchers convened from multiple departments or schools within a College and coordinated within a particular school or College. A particular distinguishing feature of a research center is its multi-disciplinarity, and researcher membership that transcends one Department or School.

- a) A Research Centre shall be hosted at a School where more than 50% of its membership and the subject specialty is mandated, and shall report to the School Board/ College Board.
- b) A Research Centre must be able to leverage external funding and resources to sustain its operations over a medium-term period.
- c) A Research Center should not host/ offer academic degree programs, but can provide support to teaching and learning; curriculum review and development of enhanced learning modules; sourcing for funded scholarships; teaching, supervision, placements and mentorship of students/research fellows.

4.4 Research Institute/ Capacity Building Institute:

Level 4 (*University wide or hosted by a College*)

A research institute is a large scale trans-disciplinary entity intentionally established by the university as part of its long-term strategic commitment to broad areas of research and/ or capacity development services that are of priority to the University and/ or its partners at national, regional or global development agenda. A Research Institute may have multiple Research Centers; and will have the following focus, objects and features:

- a) Being an arm of the University to undertake commissioned research and provide outputs that can inform governmental policy and interventions for socio-economic transformation;
- b) Engaging in consultancy work and/ or providing professional advisory and technical services on behalf of the University.
- c) Lending prestige, standing, and exposure of researchers from several Colleges to work together on a wide range of emerging social issues/ problems or on common research theme.
- d) Offering targeted capacity-building and development programs in form of professional/ technical / or specialized training, including short courses and executive training that may not fit in the regular academic programmes of the existing academic departments.

- e) To provide substantial support, sponsor or facilitate the implementation of academic programs, provided that such programs shall be hosted by the mother academic Department/ School.
- f) A University-wide Institute that is not hosted under a particular College or one whose major work focus runs across colleges and schools shall have a Governing/Advisory Board appointed by the Vice Chancellor, in consideration of the key stakeholders/ partners;

A Research Institute/ Capacity Building Institute may be incorporated as a Company with Makerere University as a sole guarantor/ proprietor or as a consortium of partners, in accordance with the ***provisions of Section 7 of this Policy***.

4.5 Research Center of Excellence:

Level 5 (University wide or hosted by a College, with External, local, regional/ international agency partnership)

A Centre of Excellence (CoE) is an umbrella research entity that brings together a critical mass of high-level scientists and researchers drawn from partnerships with other universities and/ or research institutions, working in collaboration to implement high level research and innovations, and coordinated by Makerere as the prime institution in the partnership. Research Units/ Centres/Institutes can grow into Centres of Excellence, provided they meet the requirements ***stipulated in the guidelines and procedures of this Policy Section 12.5(c)***. A CoE will have the following features:

- a) A well-defined governance structure, having a Governing/Advisory Board that represents its cross-institutional and/ or national /regional /international stakeholder outlook, appointed by the Vice Chancellor with approval of the University Council/ Partnership Council.
- b) Undertaking transdisciplinary work on issues of national /regional /global importance.
- c) Being able to obtain reasonable start-up funding and over time to attract new sources of funding to sustain its operations over a medium to long-term period.
- d) Targeting to produce research and innovation outputs that lead to substantial transformation at policy and program level either nationally, regionally or globally.
- e) May have multiple hubs coordinated by the CoE head office at Makerere University.

The CoE may incorporate or be incorporated as a limited Company, with Makerere University as a sole guarantor or as a consortium of partnerships, in accordance with the ***provisions of Section 7 of this Policy***.

5.0 Scope and Application of the Policy

- a) This policy shall apply to all research entities/ institutions (Research Groups, Research Units, Research Centres, Research Institutes, CoEs) and organizations that do similar work at Makerere University.
- b) This policy shall apply to all Research entities/ institutions that preceded this Policy, provided that they will be allowed to institutionalise and re-align with this policy within a period of one year, with a possible extension for a period not exceeding six months.
- c) A list of approved Research Centres and Institutes will be maintained and monitored by the Office of the Deputy Vice-Chancellor (Academic Affairs).

6.0 General Regulations for Research Entities and Institutions

- a) The initiation, management and dissolution of University Research entities and Institutions shall be conducted in accordance with the guidelines and procedures provided in this this policy, the Grants Management and Administration policy and other relevant policies approved by the University Council ***as highlighted in Section 9 of this Policy and Guidelines;***
- b) The Research entities that operate at University-wide level (Centres, Institutes and CoEs shall have respective Governing/ Advisory Boards appointed by the Vice Chancellor in consideration of the different stakeholder entities and partnerships, with approval of the University Council;
- c) Research Entities and Institutions are an integral part of the University system obliged to foster the vision and mission of the University through conduct of high-quality research and innovation activities;
- d) Research Centres and Institutes are responsible for generating own funding from external resources to run their operations, unless provided for in the University budget appropriation and approval by University Council;
- e) The University Council may appropriate a budget and funding to carry out specified functions or activities under a centre or institute.;
- f) A Research Entity and Institution may employ its own research project, technical, administrative and clerical staff on terms and conditions determined by their respective approval Committees/Governance Boards, subject to the relevant collective agreements held by the entity;
- g) Makerere University Staff (appointed under Appointments Board/Vice Chancellor) may participate in the activities of the Research Entities and Institutions; and project staff of Research Centres/ Institute may hold honorary positions in the University and may supervise research students, as may be determined by the relevant School/ College Academic Boards.
- h) Full-time or contracted staff in the University's departments/ Schools called upon/ wishing to participate in the activities/ rendering services to Research Entities shall do so with explicit authorization and clear schedule of duties from their respective Deans and Heads of Department. Participation in such activities should not in any way compromise the work duties in the staff's mother units.

- i) All funds received, equipment purchased and income accrued by a University Research Entities and Institutions are the property of the University, unless determined otherwise through a binding agreement approved by Makerere University.
- j) Any innovations and intellectual property generated through the Research Entities and Institutions will be handled in accordance with the provisions of the Intellectual Property Policy and/ or the Grants Management and Administration Policy.
- k) Research Entities and Institutions may collaborate or share resources with another university, research institution or other external body, provided the arrangements are specified in a legally binding agreement negotiated between the parties. Such arrangements require the approval of the Vice Chancellor and, where the joint venture is intended to result in a new incorporated structure and/or the issuing of shares, the approval of Council following a recommendation from the Council Finance Committee. Council approval is also required for a major strategic initiative or a significant commercial activity.
- l) All University Research Entities and Institutions must submit an annual report against agreed key performance indicators. They will be subject to formal reviews, as and when required.
- m) If use of the words 'Uganda' or 'National' in the title is desired, specific approval by the Council is required, and will only be granted where the University Research Centre or Research Institute has a national dimension to its character (e.g. has nodes across the country, serves as a national focal point, or is unique and prominent in Uganda).
- n) Changes to the Research Entities and Institutions, that materially affect any matter addressed in the establishment proposal, must be approved by the Vice Chancellor before being implemented. Significant changes may require a new proposal for the approval of the Council.
- o) Contributions to the work of Research Entities and Institutions are to be included in documentation for career evaluation purposes (e.g., tenure, promotion, merit awards, etc.) in accordance with the provisions of the Human Resource Manual.
- p) A Research Entity or Institution may occupy space designated specifically for its own use, or its activities may be carried out without assigned space. A Research Centre or Institute may be located on the University campus, or in off-campus premises owned by the University, or in premises owned by a third-party.
- q) Funding for Research Entities and Institutions can be made up of a combination of multiple internal and external sources including but not limited to: external funding agreements, academic unit operating funds, non-recurring funds, indirect funding, and endowments. Funding sources may change and adapt over time.
- r) The financial statements of Research Entities and Institutions will be audited as part of the University's financial regulations and Public Financial Management Laws.

- s) A Centre or Institute must obtain approval from the Vice-Chancellor for fundraising activities directed at external donors. All fundraising activities undertaken by a Research Centre or Institute shall be in accordance with the university's Grants Management and Administration Policy, the Financial Manual and code of ethics.
- t) A Centre or Institute that plans to sell services or products on a commercial basis may not compete unfairly with private sector organizations offering similar services or products and must comply with the intellectual property and commercialization policies of the university.
- u) A Centre/ Institute providing professional services such as Legal Aid Services, ICT, etc. shall abide by the professional requirements for the provision of the same which may include, approval and licenses, staffing requirements and management of finances meant for clients.
- v) Any agreement defining the obligations and liability of the University with respect to the activities of, and with respect to the other participants in, the Centre or Institute will require the approval of the Vice-Chancellor and the University Secretary. Such agreements shall comply with the signing and research policies and procedures of the university.

7.0 Research Entities Incorporated as Companies

- a) Research Entities at Level 4 (Research Institutes and Centres of Excellence) may be incorporated in accordance with the laws of Uganda upon approval by Council;
- b) Centres of Excellence and Institutes that register companies or get registered as Companies shall have a governing Board recommended by the University Management with the approval of the University Council;
- c) Institutes and Centres of Excellence registered as companies limited by guarantee shall submit annual reports to Council through the Finance, Planning & Investment Committee (FPAIC), including audited annual accounts;
- d) The Management Team of Centres of Excellence and Institutes registered as companies limited by guarantee shall be appointed by the Boards of the respective companies;
- e) Management of funds raised by Centres and Institutes that register/ registered as companies by guarantee shall be governed in accordance with the Memorandum and Articles of Association (MEMARTS) of the companies approved by Council;
- f) Staff of Centres of Excellence and Institutes registered as companies limited by guarantee shall be appointed by the respective Boards of the companies.

8.0 Responsibilities

The overall governance authority of Research Entities is vested in the University Council or through the governance Boards approved by the University Council. The overall administrative authority is in the Vice-Chancellor. The procedural and

operational supervisory authority is with the Deputy Vice-Chancellor (Academic Affairs/Research).

9.0 Related Policies

This Policy will be read with reference to the following University policies:

- a) Research and Innovations Policy
- b) Grants Management and Administration Policy
- c) Intellectual Property Management Policy
- d) Human Resource Manual
- e) Financial Manual

10.0 Establishment

- a) Level 1 and 2 research organisations (***Research Group and Research Unit***) that typically do not extend beyond the Department / School level shall be approved by the respective College Academic Boards and communicated to the University as part of the respective Unit reporting. The process and requirements for establishing the different levels of Research Entities is outlined in the ***guidelines and procedures of this Policy under ANNEX 2 (Sections 12.1; 12.2; 12.3; 12.4; and 12.5)***.
- b) Interim approval of a Center/ Institute may be given by the Vice-Chancellor in order to expedite the response to a funding opportunity or to provide a mechanism for an entity to organize. Interim approval shall require the approval by Management or by the College where the Centre/Institute may be hosted. The interim approval shall usually be limited to one calendar year. It may be extended for a period not exceeding six months.
- c) Approval of a Research Centre/ Institute/ CoE shall, among other requirements, be based on a sustainability strategy and demonstration of capacity for the entity to generate external funding to run its business and project operations. For avoidance of doubt, the salaries and emoluments of staff hired on projects in the research entities (full-time or part-time contracts) shall be under full responsibility and obligation of the research entities. The personnel shall only be hired on contract in accordance with the particular project lifetime or engaged, as and when there is commitment of funding for the project(s) run by the research entity.
- d) Where the establishment of a research entity is initiated and determined by the University management and/ or Council, the resources to run the activities and operations of the entity will be provided for in the University budget framework and/ or from a partnership framework approved by the University Council.

11.0 Review of Policy

This Policy shall be reviewed as and when it is deemed necessary, on the initiation of management, with approval of the University Senate and Council.

Date of approval: 11th June, 2021

Signed: Chairperson of Council Lerna Ndagasa LN Dagasa

Signed: Secretary to Council Yusuf Ririnda 

ANNEX 2:

GUIDELINES AND PROCEDURES FOR ESTABLISHMENT OF RESEARCH ENTITIES AND INSTITUTIONS

12.0 Requirements for Establishment and Management of Research Entities

12.1 Research Group

- a) Initiation:** A research group is initiated by a group of researchers in a department, led by a PI with a track record of research in the specific field for which the research group is proposed.
- b) Approval:** No formal approval is needed for a research group. However, it is recognized by the respective department and School where the research group is hosted. There are no specific requirements for a PI to initiate a Research Group.
- c) Management and reporting requirements**
- It is led by a PI as a Research Group Leader, identified from the researchers in the group;
 - It has a leadership structure agreed upon by the group members
 - It may have temporary staff when there are active projects but these are within the auspices of the department
 - Its research projects are managed and reported within the institutional leadership of the department.

12.2 Research Unit

- a) Initiation:** A research unit is initiated by a group of researchers in a department, led by a PI with a track record of research in the specific field for which the research group is proposed. Some Research Units will naturally evolve from Research Groups. A research group may grow and increase its operational capabilities to meet the requirements for a Research Unit, in which case the group initiates the process to formalize as a university research entity. However, researchers may initiate a Research Unit even when they have not had a prior Research Group.
- b) Approval:** Research Units will need approval by the host School's Board and thereafter, full approval by the College Board. Upon the approval of a Research Unit by the College, the College Principal will notify the DVC Academic Affairs.

c) Requirements for approval of a Research Unit

For a Research Unit to be approved, the initiating Researchers will present a proposal document that shows the following requirements:

- i. Name of the Research unit; the name should include the term 'Unit' and the specific research issue of focus

- ii. Vision, Mission Statement aligned to that of the host school
- iii. Specific Research area of focus
- iv. Justification for the issue of focus
- v. List of affiliated researchers, (mostly from the host department or school)
- vi. List of research projects already undertaken in the group
- vii. Proposed Leader + CV
- viii. Annual Financial and Activity Plan (with a start-up budget of at least US\$50,000 or 187,500,000/=) immediate and future
- ix. Proposed Organizational Structure and how it fits within the department or school
- x. Description of how the unit will support teaching and learning
- xi. Sustainability plan
- xii. Performance indicators for Periodic review.

d) Management and reporting requirements

- i. A Research Unit will be led by a **Research Unit Head**. A Research Unit Head will be at a level equivalent to an Academic Programmes Coordinator within a Department. He/she should be a senior faculty (Senior Lecturer and above) with a track record of research in the specific area of focus for the proposed unit
- ii. A Research Unit will have an established office and may have a few full-time staff
- iii. The Financial Management activities of a Research Unit will be integrated within the School's system
- iv. Research Unit Head will provide bi-annual progress reports to the respective Head of department and in turn to the School Dean for consideration by School Board.
- v. On an annual basis, they will provide a progress report to the College Principal.

12.3 Research Center

a) Initiation: A Research Center may be initiated in three ways:

A research group or approved Research Unit may seek to grow into a Centre if it meets the criteria. The University Management may sanction the establishment of a center based on need or strategic mission of the University. In such cases, the University Management may identify a host/ reporting Unit and a senior researcher to spearhead the establishment of the Research Center.

b) Approval: Research Centers will need approval by the host School Board and thereafter, by the College Board, Makerere University Senate, and Council. Fast-track approval of a Research Center may be granted by the Vice Chancellor may grant discretionary approval for a one-year period, after approvals by the School Board (where a Center is hosted by a School) as well as the College Board for the host College.

c) Requirements for approval of a Research Center

For a Research Center to be approved, the initiating Researchers will present a proposal document that shows the following requirements:

- i. Name of the Center; the name should include the term 'Center' and the broad thematic area of research for the Center
- ii. Vision, Mission Statement aligned to that of the host College
- iii. Broad Research/Innovation Thematic area of focus
- iv. Justification for the Thematic area of focus/Center
- v. A medium-term (3-5 year) budget
- vi. Proof of startup grant of at least \$150,000 to cover medium term budget needs (or in the alternative) a funding framework/plan approved by University central management.
- vii. Proposed research topics (Research agenda)
- viii. List of affiliated researchers reflecting multi-disciplinarity and representation from other schools/colleges
- ix. List of research projects already undertaken in the group/unit
- x. Proposed Organizational structure and staffing
- xi. Proposed Initiating Center Director/Chair + CV
- xii. Proposed initiating leadership team
- xiii. Plan for supporting undergraduate and graduate (Masters and PhD students) and Post-doctoral training
- xiv. Plan for supporting curriculum development, teaching and learning
- xv. Strategy for sustainability
- xvi. Succession Plan
- xvii. Performance indicators for Periodic review
- xviii. Letters of support participating Schools or Colleges
- xix. Letters of support from local external collaborating agencies

d) Management and reporting requirements

- i. A Research Center will be led by a **Center Director or Center Chair**. The Center Director will be at the level equivalent of a Head of Department. S/he should be a Senior faculty member (Senior Lecturer) of good academic standing, with demonstrated leadership skills, core-competence in the research area of focus and a track record of research in the targeted research area. S/he should have demonstrated ability and experience to attract external research funding
- ii. The Research Center shall have an established office or fully functional center
- iii. It may have full-time staff including administrators and Research Fellows, reflecting the volume of research work expected of a research center.
- iv. The Centre's Financial Management shall be based on approved framework by the University School and College Board, and shall be in accordance with the University financial regulations.
- v. The Center uses its own grants to pay Full-time staff
- vi. Full-time staff have up to 1-year renewable contracts approved by the host College. Such staff are governed by the Human Resource guidelines and regulations of Makerere University

- vii. A Research Center is expected to provide performance reports to the host School and/or College on a 6-monthly basis. And shall provide annual performance reports to the University Management through the Office of the DVC AA.

12.4 Research Institute/ Capacity Development Institute

Initiation: A research/ Capacity development institute is initiated/ sanctioned by the University Management with approval of Senate and Council, based on a determination that it fits within the strategic direction of the university in its responsiveness to national, regional or global development needs. In this case, the University Management will identify a host/ reporting Unit and a senior researcher (Associate Professor and above) to spearhead the establishment of the Institute. University management may direct a particular School/ College/ Administrative Unit to sponsor the establishment of an institute or a specific senior researcher to do the same. A Research Centre may also apply to grow into a Research Institute if it satisfies the requirements of the Institute.

a) Approval: Research Institutes will be approved at the level of the Senate and the University Council.

b) Requirements for approval of a Research Institute

For a Research Institute to be approved, the initiating unit or management will present a proposal document that shows the following requirements:

- i. Name of the Research Institute (The name should include 'Makerere University Institute of.....')
- ii. Broad thematic area of research
- iii. Justification for the institute showing that the area of research endeavor/ capacity building is a priority at national, regional or global;
- iv. Where initiation is from a College/ Centre, proof of startup grant of at least \$300,000 to cover medium term budget needs or (in case of initiation by management) a funding framework/plan recommended by University top management resolution.
- v. A medium-term (3-5 year) budget; Proof of funding from the university to cover medium term budget
- vi. List of affiliated researchers reflecting multi-disciplinarity and representation from other college.
- vii. Proposed research agenda.
- viii. Proposed Organizational structure and staffing.
- ix. Proposed composition of the Institute Advisory Board.
- x. Plan for supporting specialized graduate training (Masters and PhD students as well as Post-doctoral training)-Plan for providing substantial support to teaching and learning for professional/executive development
- xi. Strategy for sustainability
- xii. Proof of buy-in from national/regional agencies.

c) Management and reporting requirements

- i. A Research Institute will be headed by an **Institute Director**. The Institute Director is at a level equivalent to a School Dean. S/He should be a senior faculty of good academic standing (at level of Associate Professor), with demonstrated leadership skills. S/He should have core competence in the broad technical area of focus for the Research Institute; H/she should have experience both in research and teaching. S/He should have demonstrated ability and experience to attract external research funding
- ii. A Research Institute will have an established office or a fully functional Institute space and infrastructure
- iii. It should have several Full-time staff including administrators and Research Fellows
- iv. Financial Management based on approved framework by the University and in accordance with the University financial regulations.
- v. It uses its own grants to pay Full-time staff
- vi. Full-time staff have multi-year contracts approved by the host College OR University.
- vii. The Research Institute is expected to provide performance reports to the host College (if based in a College) and to the University Management through the Office of the DVC AA, on annual basis.

12.5 Research Center of Excellence

a) Initiation: A Research Center of Excellence may be established in one of 3 ways:

- i. A research Unit/ Centre/ Institute may seek to grow into a CoE if it meets the criteria.
- ii. A research Unit/ Centre with proof of substantial start-up funding (grant) specifically for establishing a CoE, and appropriate justification for the regional/global importance of the cross-national research area of focus may seek approval of its establishment as part of the grant requirements.
- iii. The University Management with approval of Senate/ Council may sanction the establishment of a CoE based on regional/global need and cooperation.

b) Approval: A CoE initiated or hosted at College level will need preliminary approval by the host School/ College Board. In circumstances where approval of a research center is required by urgency of need, it can be fast-tracked with the interim approval by Vice Chancellor on the recommendation of University Management. This may arise in situations where substantial funding has been made available from a credible funder, conditional to evidence of establishment of a CoE. Fast-track approval of a CoE will require a minute and proposal recommendation from School/ College Board (where the planned CoE is). Thereafter, the Vice Chancellor may grant approval for a one-year period, renewable once for six months. Fast-track approvals will then have to seek formal full approval by the Senate and the University Council.

c) Requirements for approval of a Research Center of Excellence:

For a Research Center of Excellence to be approved, the initiating Researchers will present a proposal document containing the following requirements:

- i. Name of the CoE.
- ii. Broad thematic area of research/innovation.
- iii. Justification for the Thematic area of focus/CoE.
- iv. Proof of startup grant of at least \$500,000 to cover medium term budget or a funding framework/plan recommended by University top management.
- v. List of affiliated Universities/Research Institutions.
- vi. Proposed Leadership/coordinating/Organizational structure reflecting the involvement of partner entities.
- vii. Proposed Steering Committee/Governing Board Members reflecting involvement of partner institutions (Appointed by Vice Chancellor).
- viii. Proposed Technical Advisory Group members composed of reputable researchers from the partner institutions
- ix. Proposed initiating CoE Director + CV
- x. Proposed staffing structure
- xi. Medium-term budget
- xii. Strategy for sustainability
- xiii. Letters of support from external collaborating entities.

d) Management and reporting requirements

- i. Centers of Excellence will be led by a **Center of Excellence Director**. The Center of Excellence Director will be at the equivalent of a Dean of School. S/He will be a Senior faculty of good research standing (at level of Associate Professor), with demonstrated skills in leading cross-disciplinary networks of researchers. S/He should have demonstrated ability and experience to attract external research funding and to mobilize other higher education institutions and external research
- ii. The Center of Excellence has an established office or a fully functional center with substantial infrastructure to manage a large diverse research network
- iii. It should have several full-time staff including administrators and Research Fellows.
- iv. Financial Management based on approved framework and in accordance with the University financial regulations.
- v. It uses its own grants to pay Full-time staff.
- vi. Full-time staff have 1-year renewable contracts approved by the host School OR College.
- vii. CoEs are expected to provide periodic performance reports to the host School or College and to the University Management (through the DVC AA and Director, DRGT) on annual basis.

13.0 Procedures for Approval, Operationalisation, Review and Dissolution

a) Submission of a Proposal for Establishing a Research Entity

Proponents of a research entity will submit a written proposal to the approval levels indicated in the earlier section on 'Requirements for Approval'. The proposal must contain the areas specified for the different research entities.

b) Consideration of the Proposal by the Academic Boards

Before submission to Senate and Council, of a proposal for establishing a Research Centre or Institute, the School and College Academic Boards must first ascertain that the proposal meets the criteria set out, with particular emphasis on:

- i) the assessment of at least two external assessors;
- ii) the Boards' and Senate view on academic merits of the proposed research projects;
- iii) how the research programme fits with the Research Plan/Strategy of the relevant School(s) and/or College and the University;
- iv) the feasibility of the work plan and capabilities of researchers involved;
- v) the likelihood of the entity being able to meet its deliverable targets and any challenges which the entity is likely to face;
- vi) the proposed budget, especially items that cannot be met from the Faculty's share of the Research budget.
- vii) the standing, leadership qualities and experience of the proposed head of the entity and succession plan
- viii) the available infrastructure and whether any relocation, building alterations and the like are required and if so, have been approved.
- ix) Economic viability and sustainability of the entity
- x) Contribution to national development Plan of Uganda.

c) Approval

- i) Establishment of a Center, Institute and CoE has implication for the Departments, Schools, and Colleges with participating faculty. Establishment, therefore, of such an entity requires the approval letters of all involved Chairs, Deans and Principals.
- ii) Following approval, each Center/Institute will develop a Charter during its first year of existence or the first year following reauthorization. The Charter will describe the mission, proposed activities, and governance structure, and include a strategic plan describing the means of addressing the mission of the unit. The plan will specify explicit goals e.g. graduate students supported, research funds generated, faculty release time paid from Center/Institute projects, and indirect costs recovered. The Charter shall be approved by the Director, the DVC (AA) and Vice-Chancellor.

d) Operationalisation of a Research Centre, Institute or CoE

- iii) The head of a research entity will be expected to develop a strategy and programme for the realisation of the objectives of the entity in consultation with other members. He/she will provide leadership and guidance to members of the entity and will be responsible for liaising with other sections of the University in relation to matters (e.g. budgets, annual reports, appointment of staff, etc.) affecting the entity. He/she will represent the entity outside the University and may delegate any of these responsibilities to any member of the entity.
- iv) The University Management/ Senate may require that an Advisory Board or Committee be constituted for Research Centres and Institutes. It will assist in the planning and assessing the activities of the entity. The composition of such an Advisory Board will be based on individual project, but it will be desirable that it includes at least one external expert.
- v) Academic staff members who are members of a research entity, unless appointed on the funds of that entity, will retain their academic responsibilities to their respective Head of Department or other division, as appropriate, but on research entity matters they will be responsible to the head of the research entity.
- vi) Research staff appointed on university funding will be accountable to the head of the research entity for their research activities. Since they will normally be appointed against a Faculty's share of the research budget, the research posts will form part of that Faculty's staff complement. Where such appointees are in the academic department, they will be expected to carry a at least one third of the normal teaching load, to be determined by a Head of Department or Dean of the School in consultation with the head of the relevant research entity. Research staff appointed on external funding will also be expected to carry a teaching load unless this is explicitly prohibited by the external funder(s) of the post.
- vii) Each research entity shall develop and maintain an appropriate summary of its research activities and strength and will be expected to identify those performance indicators by which it, and the University, can most appropriately evaluate its progress and achievements.
- viii) All funds received by a research entity shall be deemed University funds for audit and accounting purposes. All equipment purchased from such funds is the property of the University, unless circumstances dictate otherwise, e.g. when such equipment is purchased by a partner institution.

14.0 Reporting Procedure

- a) Every research entity will prepare an annual report and present it through the respective College Academic Board by 30th June of the following year.
- b) Each Centre/Institute will submit an annual report to the DVC (AA) through the Director, Research & Graduate Training (DRGT) by 30th July of each year. The annual report should summarize the activities of the Center/Institute for the past year, and address the mission of the unit. Updates or modification of the Center/Institute strategic

plan should accompany the annual report. The report should, among others, normally include all of the following:

- i) Name of the Research Programmed/Group/Unit/Institute
- ii) Name of the Director/Leader and his/her home School
- iii) List of participating academics
- iv) Tabulation of the names, schools and percentage time spent on these research activities.
- v) A short resume of the projects undertaken during the period under review, with description of the progress made. List and brief indication of the nature and progress of both current and proposed future extensions or developments of each project plus names of people involved.
- vi) A list of publications which appeared in print during the year, sorted by category.
- vii) Lists of those conferences attended and institutions visited, locally and abroad, during the period under review.
- viii) List of the researchers from other centres, local and overseas, who visited and who contributed to research activities.
- ix) A complete income and expenditure report for the year, including unspent balances carried into the year and carried forward to the following year.
- x) Each report will be scrutinised by the appropriate College Academic Board and forwarded to the Directorate of Research and Graduate Training, not later than 30 July.

15.0 Review and Evaluation

Each Centre/Institute will be established for a fixed period of time, usually five years unless there are prevailing reasons for a shorter or longer term. Shorter or longer terms must be explicitly described in the proposal or evaluation documents. In the final year of authorization, each Center/Institute will conduct a self-study and undergo a thorough review and evaluation of its activities and accomplishments. The review will include an evaluation of the effectiveness of the Director and their suitability to continue in that role.

- a) Every research entity will be subject to periodic reviews which will normally be on a five-yearly cycle. Where practical, this may be included in a quinquennial School review, even if it means resetting the recognition cycle of the entity to coincide, but the DVCAA must be consulted over how the Senate and Council interests are to be represented in the review process. He/she will reserve the right to involve external experts.
- b) However, the DVC (AA) may, at any time, require a review of any research entity recognised under this policy e.g. when a Director resigns, the entity becomes of sub-critical size, gets into financial difficulty, appears to be unproductive, etc. An ad hoc review Committee will be constituted by the DVC (AA), upon which the interests of the Council will be represented.
- c) A review of a research entity will essentially take a longer-term view of the information provided in successive annual. In particular, it will consider:

- i) its activities and achievements in relation to its own statement of aims, objectives and functions;
- ii) its strategic plan and its congruence with Faculty and University plans;
- iii) its research outputs – publications and higher degrees in particular;
- iv) the financial resources which have gone into producing such outputs and value for money;
- v) a comparison of the cost: benefit ratio above to School and Faculty norms;
- vi) projected outputs in future years.

16.0 Reauthorization / Termination

At the end of the approved period, the existence of the Center or Institute will terminate unless it is specifically reauthorized to continue following its review and evaluation. The period of reauthorization will be specified in the reauthorization approval, but shall **not exceed five years**. Reauthorization must follow the same University approval process.

17.0 Dissolution of Research Centre or Institute

- a) In the event that a Centre or Institute decides to cease operations, or is not recommended for an additional term, the activities of the Centre or Institute will be wound down in accordance with University procedure for closing entities. In addition, the University reserves the right to close a Centre or Institute during its approved period for financial exigency or other reasons, with due regard to human resources policies and employment standards legislation. Ultimately, the University Council, on the recommendation of Senate and or management, will formally dissolve an established Centre or Institute.
- b) When a Research Centre or Institute is to be closed, the Director (or the person to last serve in that position) shall be responsible for coordinating the appropriate and orderly closure of the Centre, including but not limited to completion or termination of research activities and projects in the Centre or Institute, resolution of financial matters, disposition of infrastructure (including computers) and other physical resources (e.g. furnishings), archiving of management records, and proper handling of research resources including archiving of research data, records, and research results as required by University or funding agency policy.

Date of approval: 11TH JUNE 2021

Signed: Chairperson of Council Lorna Nagara LNagara

Signed: Secretary to Council Musuf Kiranda

Table 1: Proposed definition, scope and requirements for the different research entities specified in this policy

Entity	Level	Definition, Scope of functions	Initiation	Approval	Management
Research Group	Department; draws membership and hosted at Department.	A research group is a first level formation of a team of researchers drawn from within a Department or Departments in a School who join to work together on a specific research area – within the broader institutional research agenda. The key feature of a research group is that it is a voluntary, largely informal and adhoc group arrangement, but known and recognized by the Department.	A group of researchers in a department, led by a PI	No approval needed; but recognized by the Department/ School	<ul style="list-style-type: none"> - Leader: Group Leader/ Principal Investigator - Informal leadership structure - Research projects/ activities are reported to the institutional leadership of the department and the school - Temporary staff when there are active projects -
Research Unit	Department or a School (Cross-department)	A Research Unit is a micro-entity within a Department or School formed to foster focused research on a specific issue that merits concentrated research efforts. It represents the formalization of a Research Group and therefore grows from a research group. The essential features of a unit are that: 1) it consistently conducts research on a specific issue of need that merits independent recognition within the broader institutional research agenda; 2) it has a formally approved leadership structure; 3) Its members are from within a department or can be transdisciplinary, drawn from several departments in a School.	A group of researchers in a department, led by a PI	Approval by School Board and/ or College Board <u>Requirements:</u> <ul style="list-style-type: none"> - Name of the Research unit; the name should include the term 'Unit' and the specific research issue of focus - Vision, Mission Statement aligned to that of the host school - Specific Research area of focus - -Justification for the issue of focus - List of affiliated researchers, (mostly from the host department or school) - List of research projects already undertaken in the group - Proposed Leader + CV - Annual Financial and Activity Plan (with a start-up budget of at least US\$50,000 or 187,500,000/=) immediate and future - Proposed Organizational Structure and how it fits within the department or school 	<ul style="list-style-type: none"> - Leader: Unit Head - Level Equivalent: Academic Programs Coordinator <ul style="list-style-type: none"> o A senior faculty with a track record of research in the specific area of focus for the proposed unit o Established office; may have part-time/ fulltime staff funded by the project - Grants received shall be managed in accordance with the Grants Management & Administration Policy (2020). - Report to the School Dean and the College Principal

Entity	Level	Definition, Scope of functions	Initiation	Approval	Management
				<ul style="list-style-type: none"> - Description of how the unit will support teaching and learning - Sustainability plan - Performance indicators for Periodic review 	
Research Center	School or College	<p>A Research Center is an entity within a <i>School or College</i> established to foster transdisciplinary research, knowledge transfer, research-to-policy engagement, and community interventions/outreach activities in a particular area of research that is of importance to national, regional or global agenda. It has a multidisciplinary composition of affiliated researchers convened from multiple departments or schools within a College and coordinated within a particular school or College. Because of the importance of its area of research at regional and global level, it is able to leverage external funding and resources to sustain its operations over a medium-term period. A particular distinguishing feature of a research center is its multi-disciplinarity, and researcher membership that transcends one school or College. Though a Research Center offers no degree programs of its own, it provides support to teaching and learning including curriculum development, participation in teaching, development of enhanced learning modules, support to undergraduate and graduate students and post-doctoral research fellows, and support to student research placements.</p>	<p>-A research group/unit may seek to grow into a centre if it meets the criteria</p> <ol style="list-style-type: none"> 1. A research group/unit with proof of start-up funding (Annual grant of at least \$150,000) may seek to develop a center 2. The University Management may sanction the establishment of a center based on national need or Strategic focus of the University 	<p>Approval by School Board, College Board, Senate, University Council</p> <p>OR</p> <p>School Board/ College Board and Interim approval by the Vice Chancellor (pending Senate and Council approval) (Fast-track)</p> <p><u>Requirements:</u></p> <ul style="list-style-type: none"> - Name of the Center; the name should include the term 'Center' and the broad thematic area of research for the Center - Vision, Mission Statement aligned to that of the host College - Broad Research/Innovation Thematic area of focus - Justification for the Thematic area of focus/Center - A medium-term (3-5 year) budget - Proof of startup grant of at least \$150,000 to cover medium term budget needs - Proposed research topics (Research agenda) - List of affiliated researchers reflecting multi-disciplinarity and representation from other schools/colleges 	<ul style="list-style-type: none"> - Leader: Center Director/ Chair - Level equivalent: Head of Department <ul style="list-style-type: none"> o A Senior faculty of good academic standing o With demonstrated leadership skills o With core competence in the general area of research focus for the Center o With demonstrated ability and experience to attract external research funding - Established office or fully functional center - Several Full-time staff including administrators and Research Fellows - Grants received shall be managed in accordance with the Grants Management & Administration Policy (2020). - Uses its own grants to pay Full-time staff - Full-time staff have up to 1-year renewable contracts approved by the host College - Reporting to the host School/ the College and Annual College reports to the University (DVC AA/ DRGT, Director)

Entity	Level	Definition, Scope of functions	Initiation	Approval	Management
				<ul style="list-style-type: none"> - List of research projects already undertaken in the group/unit - Proposed Organizational structure and staffing - Proposed Initiating Center Director/Chair + CV - Proposed initiating leadership team - Plan for supporting undergraduate and graduate (Masters and PhD students) and Post-doctoral training - Plan for supporting curriculum development, teaching and learning - Strategy for sustainability - Succession Plan - Performance indicators for Periodic review - Letters of support participating Schools or Colleges - Letters of support from local external collaborating agencies 	
Research Institute/ Institute (for Capacity Building & Development)	University wide or hosted by a College	A research institute is a large scale trans-disciplinary entity intentionally established by the university as part of its long-term strategic commitment to broad areas of research and/ or capacity development endeavors that are a priority in the national, regional or global development agenda, with the intention of 1). <i>Producing research outputs that inform national policy and socio-economic transformation;</i> 2). <i>Lending prestige, standing, and exposure of researchers from several Colleges to work together on a wide range of associated problems;</i> 3). <i>Institute established for targeted capacity building and Dev't/ training for broader national/ regional program.</i> For example,	<p>1. Sanctioned by the University Management and Senate/ Council</p> <p>2. Initiated by a Research Center sponsored by a College.</p>	<p>Sponsoring School/college Senate University Council</p> <p><u>Requirements:</u></p> <ul style="list-style-type: none"> - Name of the Research Institute (The name should include 'Makerere University Institute of....' - Broad thematic area of research - Justification for the institute showing that the area of research endeavor/ capacity building is a priority at national, regional or global; - Where initiation is from a College/ Centre, proof of startup grant of at least \$300,000 to cover medium term budget needs 	<ul style="list-style-type: none"> - Leader: Institute Director - Level Equivalent: School Dean <ul style="list-style-type: none"> o A Senior faculty of good academic standing o With demonstrated leadership skills o With core competence in the general area of research focus for the Center o With demonstrated ability and experience to attract external research funding o With both teaching and research experience - Established office or fully functional Institute

Entity	Level	Definition, Scope of functions	Initiation	Approval	Management
		<p>a research institute established around Safe Water and Sanitation may convene researchers from Engineering, Public Health, Agriculture, Social Sciences, Environment, Animal Health all conducting different streams of research but contributing to improving water and sanitation. It may also offer targeted capacity-building in form of professional/ executive short and midterm training. It also provides substantial support to academic programs. The institute may sponsor the implementation of highly discretionary degree programs targeting executive/professional development, provided such programs are hosted by a School/ Department. A Research Institute may have multiple Research Centers.</p> <p>A Research/ Capacity Building Institute may be incorporated as a Company (limited by guarantee) with Makerere University as a sole guarantor or as a consortium of partners with Makerere, as the University Council shall determine/ approve from time to time.</p>		<ul style="list-style-type: none"> - A medium-term (3-5 year) budget; Proof of funding from the university to cover medium term budget - List of affiliated researchers reflecting multi-disciplinarity and representation from other colleges - Proposed research agenda - Proposed Organizational structure and staffing - Proposed composition of the Institute Board - Plan for supporting specialized graduate training (Masters and PhD students as well as Post-doctoral training)-Plan for providing substantial support to teaching and learning for professional/executive development - Strategy for sustainability - Proof of buy-in from national/regional agencies. 	<ul style="list-style-type: none"> - Several Full-time staff including administrators and Research Fellows - Uses its own grants to pay Full-time staff - Full-time staff have multi-year contracts approved by the host College OR University - Grants received shall be managed in accordance with the Grants Management & Administration Policy (2020). - Reporting to the host College and the University Management (through the DVC AA/ DRGT Director)
Research Center of Excellence	University-wide or hosted by a School or College with external linkages to other research institutions at regional	A Centre of Excellence (CoE) is an umbrella research entity that brings together a critical mass of high-level scientists and researchers drawn from several universities and/ or research institutions, working in a partnership to implement high level research and innovations, and coordinated by Makerere as the Prime institution in the partnership. It has a defined governance structure that represents its cross-	1. A Research Unit/ Centre may seek to grow into a CoE if it meets the criteria (e.g. with proof of start-up funding (grant) for establishing a	<p>Approval by School Board and/ or College Board; Senate and University Council</p> <p>OR</p> <p>University Management with approval of Senate/ Council</p> <p>NOTE: An interim approval by the University Management (pending Council approval) (Fast-track)</p>	<ul style="list-style-type: none"> - Leader: CoE Director <ul style="list-style-type: none"> o Level equivalent: Dean of School o A Senior faculty of good academic standing o With demonstrated skills in leading cross-disciplinary networks of researchers

Entity	Level	Definition, Scope of functions	Initiation	Approval	Management
	or global level	<p>institutional and national /regional /international nature. It undertakes transdisciplinary work on issues of national /regional /global importance. It is able to obtain reasonable start-up funding and over time to attract new sources of funding to sustain its operations over a medium to long-term period. It targets to produce research and innovation outputs that lead to substantial transformation at policy and program level either nationally, regionally or globally. It may have multiple hubs coordinated by the CoE head office at Makerere University.</p> <p>The CoE may be incorporated as a Company (limited by guarantee) with Makerere University as a sole guarantor or as a consortium of partners with Makerere, as the University Council shall determine/ approve from time to time.</p>	<p>CoE) as may be determined by Council;</p> <p>2. The University Management with approval of Senate/ Council may sanction the establishment of a CoE based on national, regional/global partnership needs.</p>	<p><u>Requirements:</u></p> <ul style="list-style-type: none"> - Name of the CoE - Broad thematic area of research/innovation - Justification for the Thematic area of focus/CoE - Proof of startup grant of at least \$500,000 or as may be determined by Univ. Council to cover medium term budget - List of affiliated Universities/Research Institutions - Proposed Leadership/coordinating/Organizational structure reflecting the involvement of partner entities - Proposed Steering Committee/Governing Board Members reflecting involvement of partner institutions (Appointed by Vice Chancellor) - Proposed Technical Advisory Group members composed of reputable researchers from the partner institutions - Proposed initiating CoE Director + CV - Proposed staffing structure - Medium-term budget - Strategy for sustainability - Letters of support from external collaborating entities. 	<ul style="list-style-type: none"> o With demonstrated ability and experience to attract external research funding - Established office or fully functional CoE - Full-time staff including administrators and Research Fellows - Uses its own grants to pay Full-time staff - Full-time staff have 1-year renewable contracts approved by the host School OR College - Grants received shall be managed in accordance with the Grants Management & Administration Policy (2020). - Report to the host School OR College and to the the University Management (through the DVC AA and DRGT Director)