MAKERERE UNIVERSITY

RESEARCH MANUAL

"Somewhere, something incredible is waiting to be known." – *Dr. Carl Sagan*

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PART I: INTRODUCTION

BACKGROUND

Established in 1922, Makerere University is one of the oldest institutions of higher learning in Africa. The university continues to contribute significantly to national, regional and global development. Makerere University has continued unrivalled to produce the bulk of Uganda's human resource for both the public and private sectors. Currently, Makerere University accounts for over 80% and 95% of the national annual graduate and university related research output, respectively (UNCHE, 2004).

Higher education sub sector in Uganda has been de-regulated leading to an increase in the number of private sector providers. By 2007, the number of universities was 27 of which 5 are public universities. Enrolment in tertiary institutions has been on the increase with a modest enrolment in science and technology. There has been a moderate increment of academic staff in tertiary institutions and by 2006 the total number of academic staff in higher education institutions was 6,465 of which 771 were PhD holders (11.5 percent) .

At Makerere University, out of 1301 academic staff, 45 per cent (600) have PhDs and 44 percent (570) have Masters degrees (Human Resource, 2009). This is an indication of a large pool of well trained personnel at Makerere to be the leaders in research and graduate training not only for Uganda but for the whole of the Great lakes region. Indeed, Makerere University is poised to be the main research university for graduate training and research within the Great Lakes Region.

Notable innovations have resulted from research conducted at the University since the 1950's. A few recent examples include: production of sanitary pads from local materials, anti-stripping technology for road construction, production of mosaic virus-resistant cassava and disease resistant soya bean varieties, use of kaolin in paper production, clinical trials for confirmation of use of nevirapine - a drug for prevention of HIV transmission from mother to child. The prospects for protection, business development/incubation and eventual commercialization of promising innovations and research output is now brighter following the approval of both the Research & Innovations, and the Intellectual Property Management Policies that are now being implemented.

The relevance of the university to national development is evident in influencing policy at different levels including, for example: The Energy Policy for Uganda; The policy on use of energy-saving bulbs; the Land Amendment Bill; various policies in health, such as policies on HIV/AIDS, malaria, TB treatment and control; National Gender Policy; policies on peace and conflict management and good governance and the National Compensation Policy for Avian Influenza, among others.

Since the beginning of this century, Makerere University has continued to make tremendous contribution to national/community development. A few examples are: The establishment and operationalisation of the demographic surveillance site at Iganga/Mayuge that provides data on health and population issues, and is being used for various interventions including clinical trials in TB, and Malaria vaccine trials. The site also is a host to other studies such as Saving new-born lives; The Uganda Gatsby Trust based in the Faculty of Technology transfers knowledge and technology to SMEs, and provides microfinance services assisting businesses to grow. The Innovations Systems and Clusters Programme based at the Faculty of Technology links the University directly to Government and the Private Sector, and support the small and medium enterprises to become more competitive locally and globally. In order to strengthen linkages with the private sector, the University has established the Private Sector Forum. These and other innovations underscore Makerere University's leadership role as a change agent.

Makerere University is implementing the Strategic Plan 2008/09-2018/19. Over the next 10 years, the University has re-defined her overarching enterprise strategy to be the leading institution for academic excellence and innovations in Africa. This is to be achieved through providing innovative learning & teaching, research and outreach/services responsive to National and Global needs. Strategically, the University is being steered in the direction of a learner-cantered problem-based instruction, a research driven university where research and learning/teaching are mutually re-enforcing, and knowledge transfer partnerships and networking between the University on one hand, the public and private sectors on the other.

LEGAL AND POLICY FRAMEWORK

This section presents the guiding principles (National and Institutional) in relation to the Research and innovation function of Makerere University. The laws and policies provide an environment that supports, enhances and fosters graduate training and Research by University units by promoting cutting edge innovative, impact oriented research and centres of excellence to meet the changing needs of society. The policies include:

Freedom of access to information (Uganda Constitution, 1995)

The right to access of information as enshrined in Chapter 5, Article 41 of the Uganda Constitution (1995) stipulates that every citizen has a right of access to information in the possession of the State or any other organ or agency of the State except where the release of the information is likely to prejudice the security or sovereignty of the State or interfere with the right to the privacy of any other person. However, parliament shall make laws prescribing the classes of information and the procedure for obtaining access to that information.

The Universities and other Tertiary Institutions Act (as amended in 2006)

This Act mandates the University Senate with direct responsibility for the organization, control and direction of the Academic matters of the University such as teaching, research, general standards of education and assessment in the University.

Makerere University Strategic Plan 2008/9-2018/19

Makerere has repositioned herself as a research-led University where research and teaching/learning are mutually reinforcing. The rise of a knowledge driven economy has made it imperative for the University to vigorously undertake research to generate knowledge to power the national economy. The strategic plan emphasizes research as a mechanism through which the University will become a locus of scientific innovations and discoveries that drive the national economy as a pillar of both institutional and national development. This plan, therefore, provides details on how the University will consolidate and enhance both the research profile of Makerere University and the transformation and utilization of knowledge, research and innovations.

Research and Innovations Policy, 2008

This policy aims at strengthening both the capacity and output in research and innovations and increase the contribution of Makerere University to the global knowledge and innovations. The policy focuses on: Creating an enabling environment for research and innovations, Strengthening research management and coordination, improving research and publications culture, providing and supporting platforms for dissemination of research out puts, Promoting ethical conduct of research in the University improving funding for research and innovations and gender- responsiveness of the University through research innovations.

The Intellectual Property Management Policy, 2008

The IPM policy emphasizes the protection of research, research outputs and innovations as a stimulus to national development. The policy addresses issues of ownership, protection and commercialization of intellectual property and innovations created by students and staff of the University. It also stipulates the need for the University to:

- Support and promote knowledge transfer mechanisms to students and the wider public;
- Develop an inventory/database of all research activities and innovations where all employees engaged in research at the University shall maintain a note book of their findings with a format set by the University Research Council and hence forth submit a copy to the Intellectual Property Unit through their head of department
- And Promote economic activity arising from the products of research and innovation by taking advantage of any intellectual property arising out of innovative research activities in terms of commercialization among others.

Policy on Appointment and Promotion of Academic staff, 2006

This policy guides the promotion of Academic staff whose performance demonstrates particular merit in teaching (and related duties) including student supervision ,research, scholarship and creative activity, administration, service and leadership in the University and Professional practice including service to the community. In a bid to promote a relentless but systematic quest for knowledge, and knowledge transfer of scientific information produced through research, this policy awards a maximum of 8points to a researcher as a bonus for promotion at department level.

Information and Communication Technology (ICT) Policy, 2004

This policy provides guidance in leveraging faculty and unit effectiveness, and enables easier access and coverage of University education by using ICT in instruction, learning and research through wide implementation of e-learning.

Human Resource Development Policy, 2009

This policy among others emphasises that, while on sabbatical leave, an employee should focus on advancing frontiers of knowledge though research i.e. processing of research data and publishing the results in form of scholarly papers and/ or books and Consultancy work especially where there is evidence of research involvement and benefit to both the University and the employee.

STRATEGIC DIRECTION

Makerere University is implementing a successor strategic plan 2008/9-2018/19 with a vision to be a leading institution for academic excellence and innovations in Africa. This will be achieved by providing innovative teaching, learning, research and services responsive to national and global needs.

Strategically, Makerere has repositioned herself as a research driven university where research and teaching/learning are mutually reinforcing. This will enable Makerere to focus more on knowledge production to support evidence based decision making and to power the growth of the Ugandan economy. The strategy identifies three core functions: Teaching and learning, Research & Innovations, and Knowledge Transfer Partnerships and networking.

The strategic plan highlights two goals for the focus area of research and innovations:

1. To consolidate and enhance the research profile of Makerere University by developing and operarionalising university research agenda, strengthening research capacity of staff, strengthening research execution, coordination and management, mobilising more funds to support research, mainstreaming laboratory services in research and university partnerships and mainstreaming gender.

2. To enhance transformation and utilisation of knowledge, research and innovations by developing a dissemination strategy, promoting commercialisation of innovations and exploitation of intellectual property, and enhancing networks with teaching, research and cultural institutions. Regarding Partnerships and networking, the plan envisages promotion of joint research; knowledge and technology innovation and transfer initiatives to address stakeholder needs by creating research and technology innovation and incubation centers.

RESEARCH COOPERATION/ COLLABORATION/ PARTNERSHIPS

INSTITUTIONAL SUPPORT FOR RESEARCH

Makerere University remains attractive to donor funding and to other universities and institutions seeking partnerships in graduate training and research capacity building. Notable among the development partners are Swedish International Development Agency (Sida), NORAD (Norway), Carnegie Corporation of New York, Belinda and Gates Foundation, McArthur Foundation, Rockefeller Foundation, among others. Partnerships have been developed with Uganda Virus Research Institute (UVRI), University of Copenhagen in association with universities of Nairobi and Sokoine University of Agriculture, Irish African Partnership involving nine universities in North and South Ireland, and the universities of Malawi, Dar es Salaam, Eduardo Mondlane and Makerere University, among others.

In the 1990's, there was direct albeit meager support by government to the research function at Makerere University up until 1994. Later beginning 2000, Makerere saw a renaissance in development partner support to institutional development including the research function. Key among the major development partners are Sida (Sweden) that has provided to date (2001-2014); the Rockefeller Foundation, the Carnegie Corporation of New York 2006 – 2014, the Melinda and Gates Foundation, NORAD 2006-2009. More recently (since 2009), direct government support through the National Council for Higher Education (NCHE) for public Universities (2009/2010 financial year). In addition to funding research efforts directly, marked investment went into the environment in support of research namely ICT infrastructure and library services. This has strengthened the position of the university as a leader in science research and research training in focal areas for national development including agriculture, health, technology, basic sciences, veterinary medicine and social sciences.

Uganda Virus Research Institute (UVRI)

Makerere University is in partnership with UVRI under the 'Infection and Immunity' programme that brings in London School of Hygiene and Tropical Medicine, and Cambridge University. The partnership is funded by the Wellcome Trust to the tune of 2.5 million pounds over three years (2007-2010).The main activities include Ph.D training, Postdoctoral training, Short courses in Immunology, improvement of laboratory infrastructure (Microbiology), Joint symposia, seminars, workshops, and lab meetings. The Wellcome Trust also supports a number of collaborations/partnerships in Makerere most of which focus on Ph.D training such as:

- Makerere-Uganda Virus Institute programme on Infection and Immunity

- Malaria Capacity Development Consortium (in College of Health Sciences)

- Afrique One (Veterinary Medicine)

- Consortium for Advanced Research Training in Africa (CARTA) (School of Public Health)

- Training Health Researchers into Vocational Excellence in Eastern Africa (THRIVE) (College of Health Sciences)

Irish African Partnership for Research Capacity Building (IAPRCB)

This initiative brings together nine universities in Ireland and Northern Ireland, University of Dar es Salaam, Eduardo Mondlane University, Bunda College in Malawi and Makerere University. The main focus is on building capacity in Education and Health with ICT and gender as cross cutting issues through summer schools, workshops and conferences.

University of Copenhagen Collaboration

Makerere University, University of Nairobi and Sokoine University of Agriculture together with University of Copenhagen are implementing the programme code-named Prepare Ph.D (2008-2011). The programme is aimed at Promoting Excellence in Ph.D research in East Africa through updating and disseminating rules and regulations that govern Ph.D programmes. Key activities include improving the capacity of academic staff to supervise, formation of Ph.D student associations and development of student and supervisor tracking mechanisms to improve the student completion rates.

CATEGORIES OF RESEARCHERS

Researchers at Makerere University comprise of Graduate Students, postdoctoral fellows, Senior researchers, research fellows and research assistants. There is a thrust to establish research chairs to lead research teams in specific thematic areas at the university under the Collegiate university structure. However, most (over 60%) of the research portfolio at Makerere University is currently conducted by graduate students.

RESEARCH ALIGNMENTS AND PRIORITIES

The first research agenda for the University was developed in 2001/2002 (University Strategic Plan 2001/02 – 2006/07), and was focused on the following areas:

- Research into education for development
- Food, nutrition and value addition
- Sustainable environmental development
- Good governance, equity and service delivery
- Health
- Natural resources utilisation and conservation
- ICT for development

Cross-cutting areas:
- Appropriate technology
- Economics
- Biotechnology
- Methodological studies
- Research for staff development

In 2008, the university developed the 10 year successor strategic plan (2008/09-2018/19). The plan, however, did not include a revised university research agenda. Subsequently, during the development of the Makerere-Sida bilateral research program 2010-2014, the university brought together various stakeholders to a round table meeting in November 2008 that culminated

in priority areas to guide allocation of resources for research at Makerere University. These priority areas are categorised into the broad themes.

- Research in Health, indigenous knowledge and health systems
- Environment and Natural Resources Management
- Agricultural production and productivity (crop and livestock), Nutrition, Food Security and Value Addition
- Technology and Basic sciences
- Governance, Human rights and Economic Management

All the above areas take into consideration the cross cutting issues of Gender, Quality Assurance, ICT and Biotechnology. However, the revised research agenda is in the offing.

The transformation of the School of Graduate Studies into the Directorate of Research and Graduate Training with a redesigned governance structure was in line with the strategic plan of the university. The new organization and structure will improve staff competence to :

• Better coordinate research in the university
• Increase the generation and use of knowledge hence increasing the contribution of Makerere to the well being of society
• Mobilise resources to support the research function
• Increase income generation from research and innovative ideas
• Promote quality graduate training

Policy guidance under the then School of Graduate Studies was provided through two boards – Board of Research and Publications and the Board of Graduate Studies. However, under the directorate this guidance is is provided through one Board, the Board of Research and Graduate Training.

The Board of Research & Graduate Training is a Senate committee chaired by the Deputy Vice Chancellor, Academic Affairs. The members are comprised of the Director, DR&GT, nominees by each college and the two independent schools at the rank of Associate Professor, and two graduate students. The term of office for each member of the board is four years renewable once. The directorate of research and graduate training provides the secretariat.

Terms of Reference for the Board of Research and Graduate Training

• Initiate, develop, review periodically and oversee the implementation of the policies on research, innovations and graduate training
• Develop generic guidelines for research, innovations and graduate training
• Encourage research and other original work by the members of the University.
• Promote the dissemination of research findings to the Community.
• Administer the funds for Research and Publications from the University funds made available for these purposes.
• Develop policy on sourcing and administration of research funds.
• Oversee the scholarly aspects of the Makerere University Press
• Discuss new academic programs on behalf of senate
• Present recommended programs to senate for approval
• Assess applications and admit students who meet admission requirements on behalf of senate
• Handle appeals from graduate students
• Submit biannual reports to the Senate on research, Innovations and Graduate Training

ORGANISATIONAL STRUCTURE

One of the aims of transforming the School of Graduate Studies into the Directorate of Research and Graduate Training was to create a one stop centre for research information and coordination across the whole university. This places the directorate in charge of all research and research support to the university and, to spearhead the transformation of Makerere into a research led university as stipulated in the Strategic Plan 2008/09-2018/19. In order to execute her functions, the directorate operates through two divisions, namely:

• Division of research, innovations and knowledge transfer partnerships
• Division of Graduate training coordination

The division of research, Innovations and knowledge transfer partnerships comprises of three units namely, Research grants unit, Intellectual property & knowledge transfer unit and the Publications unit (see RSC 1).

Specific Functions

a) Division of Research, Innovations and Knowledge Transfer Partnerships
i) Research Grants Unit

This unit performs a number of functions to facilitate the administration and coordination of research, research grants and research outputs. The specific functions attached to this unit are to:

• Facilitate training of staff in Proposal writing, Research Management, & Scholarly writing and Communication Ensure conformity of research proposals to both internal and funder's requirements
• Assist researchers with costing of research – i.e. research overheads
• Review research contracts

• Gateway for submission of proposals – signing off
• Provision of advice to researchers on the availability of funding opportunities
• Advice and assist with the preparation of grant submissions
• Responsible for the administration of successful grants
• Facilitate Monitoring and evaluation of research grants

ii) Intellectual Property and Technology Transfer Unit

The IP & TT office facilitates the translation of knowledge into practice by identification, evaluation and commercialisation of intellectual property arising from research activities at Makerere University. The unit receives IP disclosures from researchers and innovators and determines whether the innovations merit patenting or licensing or another form of management resource. The functions of the unit are specifically to:

• Facilitate knowledge transfer partnerships with industry
• Facilitate and guide academia-industry partnership, collaborations and agreement negotiation
• Sensitise staff and students on university policies and guidelines regarding IP, Technology Transfer, and commercialization of research outputs
• Initiate and review policies and guidelines in the area of IP, and in the knowledge and technology transfer
• Assist researchers in identification of possible IP issues in their research proposals and during implementation of research projects
• Evaluate inventions for patentability and commercial potential
• Facilitate research incubation through proof of concept
• Facilitate the acquisition of intellectual property protection (patents, trademarks, plant/animal variety protection certificates, copyrights, or trademarks) on university inventions
• Market technology to commercial companies identified as the most likely to bring the technology to public use
• Negotiate license agreements in a way that will bring reasonable financial return to Makerere University
• Ensure that license income is credited to the University account
• Maintain active patents
• Support researchers and inventors with negotiation of material transfer agreements, confidentiality agreements, and other contracts governing university technology

iii) Publications Unit

The Publications unit primarily caters for the scholarly and other publication needs of Makerere University. Specifically, the publications unit is responsible for the production and distribution of learning, instructional materials as well as dissemination of research outputs created by the university. The Makerere University Press is managed under this unit.

The functions of the unit, therefore, are to:

• Handle pre-press activities i.e. receive, review and produce camera ready copies of manuscripts for publication

• Coordinate the publication of Journals hosted at Makerere University

• Coordinate the production of scholarly books authored by Makerere staff

• Distribute learning and instructional materials

• Identify and collaborate with marketing outlets for scholarly materials produced by the Makerere University Press including the Makerere University Library

(b) Graduate Programs Division (Admissions and Examinations)

i) Graduate Programs Unit

The function of the Graduate Programs Unit:

• Review the regulations governing Graduate academic programmes and make recommendations to the Board

• Harmonize all application and admission requirements

• Liaise with Colleges/Schools in the management of graduate academic programs.

• Develop guidelines and regulations on examination management

• Liaise with the Colleges/Schools in Appointment of Supervisors and Examiners.

• Oversee the management of academic quality and research ethical issues

• Oversee the outreach and dissemination activities, providing a bridge between the University and public in identifying relevant research and courses to national development needs.

(ii) Data Management Unit

The Data Management Unit (DMU) oversees the planning, operation, maintenance and security of the graduate training information system.

Specifically, the unit:

• Ensures availability, confidentiality, and integrity of graduate training's information assets

• Maintains the database operated by records office in the unit.

• Develop policies, procedures, and guidelines for management of graduate data across the University

PART III: PROCESSES AND
GUIDELINES

The Business Process Re-engineering of the research and innovations function at Makerere University entailed the following: the exisiting processes were identified, described, critically examined and the "TO-BE" processes or re-engineered processes proposed. The TO-BE processes are   designed to make the university research and innovation function more efficient and affective The re-engineered (TO-BE) sub-processes are categorsied under the following six core processes: Organisation & Resourcing, Research Grants Management, Monitoring & Evaluation, Procurement of Research Material, Dissemination, and Innovations.

RESEARCH AND INNOVATIONS PROCESS MATRIX

Ref	Process	Ref	Sub-Process
RSC 1	Organisation and Resourcing	RSC 1.1	Research Coordination
		RSC 1.2	Periodic Needs Assessment for Research Staff Establishment
		RSC 1.3	Periodic Needs Assessment for Research Unit Establishment
		RSC 1.4	Research Agreements
		RSC 1.4.1	Guidelines for Research Agreements
		RSC 1.5	Recruitment of Research Staff
		RSC 1.5.1	Guidelines for Recruitment of Research Staff
		RSC 1.6	Advertisement
		RSC 1.7	Short listing
		RSC 1.8	Interviewing
		RSC 1.9	Hiring
		RSC 1.10	Induction
		RSC 1.11	Retooling
		RSC 1.11.1	Guidelines on Retooling of Research Staff
RSC 2	Research Grants Management	RSC 2.1	Research Grants Mobilization
		RSC 2.2	Requisition for Research Funds
		RSC 2.3	Financial Reporting for Research Funds
		RSC 2.4	Identification of Grant Awardees
RSC 3	Monitoring & Evaluation	RSC 3.1	Technical Reporting of Research Findings for an Academic Degree
		RSC 3.2	Appraisal of Research Staff and Teams
		RSC 3.2.1	Guidelines on Appraisal of Research Staff and Teams

RESEARCH AND INNOVATIONS PROCESS MATRIX

Ref	Process	Ref	Sub-Process
RSC 3	Monitoring and Evaluation	RSC 3.3	Monitoring and Evaluation of the Research Process and Research Teams
RSC 4	Procurement of Research Material	RSC 4.1	Recruitment
		RSC 4.2	Promotion
RSC 5	Dissemination	RSC 5.1	Authoring and Documentation of Findings
		RSC 5.1.1	Guidelines on Authorship and Co-authorship of Scholarly Publications
		RSC 5.2	Delivery of Research Findings
		RSC 5.3	Distribution
		RSC 5.4	Preservation and Conservation
		RSC 5.4.1	Preservation and Conservation (Thesis and Dissertations)
		RSC 5.4.2	Preservation and Conservation (Papers and Articles)
		RSC 5.5	Access to Research Information
		RSC 5.6	Publishing of Scholarly Material
INV 1	Innovations	INV 1.1	Protection – Patenting
		INV 1.1.1	Guideline on Protection of Research
		INV 1.2	Identification (includes evaluation)
		INV 1.3	Incubation
		INV 1.1	Marketing

ORGANISATION AND RESOURCING

Research Coordination

The research and innovations function at Makerere University is coordinated by the Directorate of Research and Graduate Studies as a one stop center. The structure has been re-organised to efficiently and effectively facilitate the coordination the research and innovations enterprise at the university (RSC 1.1). All institutional grants are coordinated by the Directorate. Research and innovation related activities at the College Level are coordinated by a Research Grants desk officer based at the office of the Deputy Principal.

Research Agreements

The process of formulating and signing of research agreements for collaborative non institutional research is initiated by the College Research Grants Office. All agreements are approved by the university Legal Office and signed by the University Secretary. This conforms to the university laws and regulations and ensures proper accountability.

Recruitment of Research Staff

Recruitment of research staff is carried out by individual Units/College based on periodic needs assessment with regard to the research structure and research staff establishment. The process of recruitment of research staff involves advertising positions, short listing, interviewing, hiring, and induction. Hiring of researchers should be result oriented and targeting well qualified persons to fulfill the research functions at the University. For details on recruitment refer to the Process Map, Figure 1.5 and Guidelines, 1.5). Researchers should regularly undergo a retooling exercise to ensure compliance with the university laws and regulations. Guidance is provided for in Guidelines 1.11 Retooling of research staff should follow the policy and the guidelines.. These guidelines cater for the project research staff.

RSC 1.1 Research Coordination

Proposed Organogram

Vice Chancellor

Senate

Board of Research and Graduate Training

Director (1)

Deputy Director (Graduate Training) (1)

Deputy Director (Research and Publications (1)

Data Management Unit
Data Manager/ Analyst

Graduate Programs Unit
Deputy Registrar (Admissions & Examinations) (1)

Assist. Accountant (2)

Admin/Personal Secretary (3)

Research Grants Unit
Grants Officer

IP Unit
IP Officer

Publications Unit
Publications Officer

Records Officer (1)

Records Clerk Admissions (1)

Records Clerk Examinations (1)

Acct. Clerk (2)

Secretary (1)

Marketing Officer (1)

Assist. Grants Officer (1)

Assist. IP Officer (1)

Editor/Assist Publications Officer (1)

Drivers (3)

Copy Typist (3)

Office Attendant (3)

Messengers (3)

RSC 1. Organisation and Resourcing

RSC 1.2 Periodic Needs Assessment for Research Staff Establishment

Process Map

Periodic Needs Assessment

Secretary to Council

Unit /Department initiates needs assessment

2 - 4 years

1 month

The decision is communicated

D.H.R

Minutes are communicated

Min 1 Week

Rejected ← No — **Establishment Committee** — Yes → **Revise**

Min 3 Months

Rejected ← No — **Council** — Yes → **Revise** — Or → **Revise**

4 months

RSC 1. Organisation and Resourcing

RSC 1.2 Periodic Needs Assessment for Research Staff Establishment

Description

PROCESS		PERIODIC NEEDS ASSESSMENT FOR RESEARCH STAFF ESTABLISHMENT	
Policy		The Research & Innovations Policy.	
Purpose		To guide the assessment and establishment of posts for Research Staff	
Scope			
Process Owner		Human Resource Directorate	
Director, Human Resources			
Definitions			
Brief Description of Procedure		The procedure starts with submission of a request to the Director HR by the Head of a Unit or a Department. The request is reviewed and forwarded to the Establishment and Admin. Council committee which considers the request and the secretary to council finally communicates the agreed policy to the concerned parties.	
S/N	Activity	Responsible Officer	Duration of Activity
1	The head of the research unit/department • Department initiated e.g. SPH • Initiated form above e.g. CHS Submits request	Head of Unit	2 years 4 years
2	The request is submitted to the director HR.	Director HR	Min 1 Week
3	The DHR reviews the request.	Director HR	Min 2 Weeks
4	If there is merit in the request, it is forwarded to the committee.	Director HR	Min 3 Weeks
5	If it is inadequate, it is sent to the initiator for update.	Director HR	
6	Establishment and admin Committee receives and considers the request.	Council Establishment and admin Committee	Min 3 Months
7	The request is forwarded to council for consideration.	Council Establishment and admin Committee	Min 4 Months
8	Secretary to Council communicates policy to the concerned parties.	Secretary to Council	Min 1 Month

RSC 1. Organisation and Resourcing

RSC 1.3 Periodic Needs Assessment for Research Unit Establishment

Process Map

Unit /Department initiates request

Establishment of appropriate

Min 1 Week

D.H.R

Min 2 Weeks

DPP

Min 2 Weeks

Planning & Finance Committee

No → **Rejected**

Yes → **Revise**

Min 2 Weeks

D.H.R

Min 2 Weeks

Yes → **Revise** → No → **Rejected**

Min 4 Months

Secretary to Council

Min 1 month

The decision is communicated to relevant parties.

Minutes are communicated

RSC 1. Organisation and Resourcing

RSC 1.3 Periodic Needs Assessment for Research Unit Establishment

Description

PROCESS	PERIODIC NEEDS ASSESSMENT FOR RESEARCH UNIT ESTABLISHMENT	
Policy	The Research & Innovations Policy.	
Purpose	To guide the assessment and establishment of Research Units	
Scope		
Process Owner	Human Resource Directorate	
Definitions		
Brief Description of Procedure	The procedure starts with submission of a request to the Director HR by the Head of a Unit or a Department. The request is forwarded to the Finance & Planning Committee where it is reviewed and forwarded to the Establishment and Admin. Council committee which considers the request and the secretary to council finally communicates the agreed policy to the concerned parties.	
S/N	Activity	Responsible Officer	Duration of Activity
1	The head of the research unit/department initiates the request	Head of Unit	
2	The request is submitted to the director HR.	Director HR	Min 1 Week
3	The DHR reviews the request and forwards to Director Planning and Development (DPP)	Director HR	Min 2 Weeks
4	After review by DPP, the document is forwarded to the Planning and Finance Committee	Director HR	Min 2 Weeks
5	Planning & Finance comm. Considers it and studies the financial implications and makes recommendations which are forwarded to DHR	Planning & Finance committee	Min 2 Weeks
6	DHR forwards recommendations to establishment and admin committee submits it to Council.	Director HR	Min 2 Weeks
7	Establishment and admin committee submits it to council.	Establishment and admin committee	Min 4 Months
8	Secretary to Council communicates policy to the concerned parties.	Secretary to Council	Min 1 Months

RSC 1.4 Formulation and Signing of Research Agreements
Process Map

Formulating & signing of Research Agreements

Vice Chancellor

5 days

Expression of interest by both the user unit and an organization to collaborate in research

Respective Unit

5 days

Research agreement is signed by both parties

Rejected

No   **Yes**   **Revise?**

Legal Officer

5 days

User Unit

Unit and Organization give their input

14 days

Legal Officer

1 day
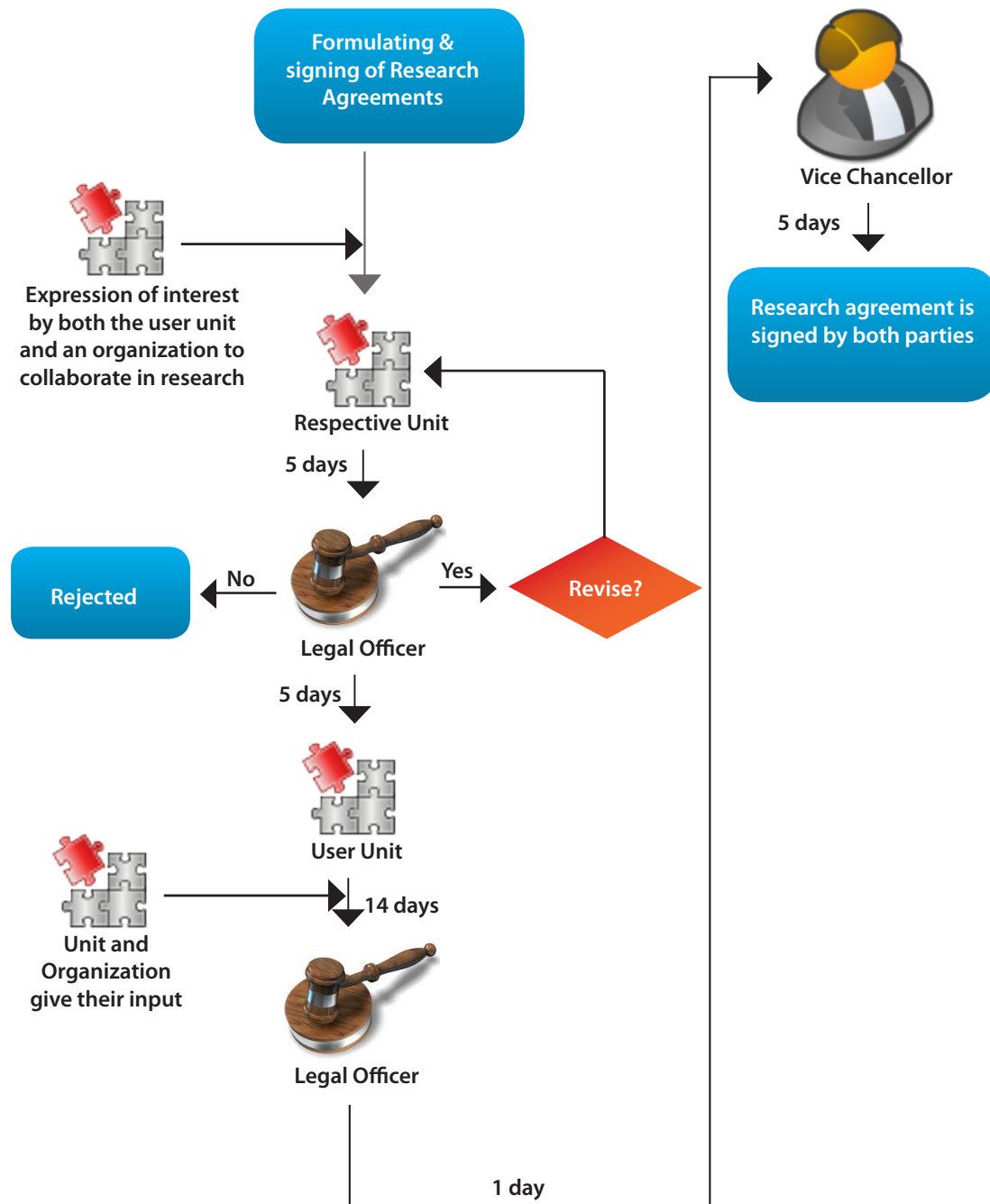
RSC 1.4 Formulation and Signing of Research Agreements
Description

PROCESS	FORMULATION AND SIGNING OF RESEARCH AGREEMENTS	
Policy	The Research & Innovations Policy.	
Purpose	To write agreements conforming to the University generic format.	
Scope		
Process Owner	Directorate of Research and Graduate Training	
Definitions		
Brief Description of Procedure	The procedure starts with an expression of interest for collaboration by a Unit, followed by drafting of the research agreement by both the Unit and the Legal officer, the legal officer and the Unit peruse through the agreement for corrections and the Unit writes to the Vice Chancellor through the legal officer to endorse the agreement and finally the research agreement is signed.	
S/N	Activity	Responsible Officer	Duration of Activity
1	Expression of interest by both Prospective partners	Head of Unit	Min of 5 days
2	Unit and respective organization agree on areas of collaboration	Head of Unit	Min of 5 days
3	Unit requests user the legal office to draft a Research Agreement (MoU)	Head of Unit	Min of 2 days
4	Legal officer drafts agreement and sends it to Unit for their input.	Legal Officer	Min of 2 days
5	Both the Unit and the prospective organization add their input to the agreement and forward agreement to the legal officer	Head of Unit	Min of 14 days
6	The legal officer peruses through the research agreement for verification of content.	Legal Officer	Min of 1 day
7	Research agreement is signed by both parties.	Legal Officer	Min of 5 days

Assumption

• That the Legal office will be adequately resourced
• There is generic format for Research Agreements

RSC 1. Organisation and Resourcing

RSC 1.4.1 Guidelines for the Formulation & Signing of Research Agreements

Purpose

Makerere University is increasingly a prefered destination for research collaboration. The institution continues to attract research funds from both domestic and foreign partners; Government Organizations, Universities globally and the Private Sector. The University is dedicated to knowledge generation and promoting exchange of knowledge and technology with the community; facilitating and accelerating the translation of research products into practice.

Scope

The Guidelines govern the formulation and signing of research agreements between Makerere University and Third Parties in the field of research, and is binding on the University and the respective Researchers". The agreement applies to all cooperation contracts governing joint research projects, in particular service contracts, sponsoring and donation contracts, license and option contracts, non-disclosure agreements, and material transfer agreements. All such contracts or agreements must comply with all the relevant University rules, procedures and policies.

Definitions

Contract: is an agreement between two or more legal persons to do or not do something lawful.

Third Parties or **Contracting Parties:** are legal entities, either domestic or foreign in origin.

Makerere University Partner: is the corresponding research unit of Makerere University.

Intellectual Property (IP): comprises developments or results which can be given legal protection, such as inventions, software, designs or Trade-marks, capable of being patented.

DDR&P: is the Deputy Director Research & Publications at Makerere University.

Director DRGP: is the Director of the Directorate of Research and Graduate Training.

Types of Agreements

a) Agreements with financial considerations

Research contracts govern all research projects between Makerere University and third parties where a contracting party acts as the financial sponsor or supports these projects through other means. Each project must be clearly defined and differentiated from other research projects. As a rule, overall responsibility for the project lies with the Makerere University. The liability for research results is however excluded.

Service contracts govern work carried out by Makerere University for third parties involving in-house expertise, such as the completion of studies or the recording and evaluation of data. They are clearly defined and limited in terms of scope and deadlines. As a rule, service contracts do not result in the creation of IP, where IP rights are involved, these remain with Makerere University. A contract is not necessary where the total value of the final invoice is less than ETB 20,000; instead a written confirmation is sufficient.

Sponsoring contracts govern the donation of financial or material goods or services for research purposes by third parties (sponsor) to a Makerere University partner. The sponsor does not receive any rights in the project results, but is only informed about the progress of the sponsored project. In addition, the sponsor can be mentioned/acknowledged in Makerere University publications, or in other ways. No connection between Makerere University and a sponsor's product may be established. Sponsoring contracts may not contain any liability for research results.

Donation contracts are contracts concerning a donation of financial or material assets for a specific project or, to a research field where the performance of a reciprocal service is not stipulated. This also comprises financial contributions and grants, endowments or scholarships. Conditions imposed by the donor or benefactor may not impose any restrictions on the results, and free publication must be guaranteed. Unilateral attestations concerning a contribution shall be treated like donation contracts. In terms of IP rights, the scholarship holders are treated the same as Makerere University employees.

License or Option Contracts permit the licensee to exploit IP of the licensor in consideration of payment, or to reserve the right to exercise this right. This comprises exploitation such as the amendment, further development, utilization, or transfer of the license product. Licenses can be issued for patents, expertise or software for example. The licensor retains ownership of the licensed IP.

RSC 1. Organisation and Resourcing

RSC 1.4.1 Guidelines for the Formulation & Signing of Research Agreements

b) Agreements without Financial Considerations

<u>Material Transfer Agreements (MTA):</u> govern the transfer at no cost of materials (e.g. biological material such as bacterial strains or plasmids, other material samples or chemical substances) for research purposes (expenses may be charged). Makerere University may act as donor or recipient. As a rule, the transferred material may not be used for commercial purposes and remains the property of the donor.

<u>Non-disclosure agreements</u>: govern the exchange of confidential information with third parties for the purpose of assessing a possible co-operative project, for example. IP may not be assigned under a non-disclosure agreement.

Basic principles for all contracts

It is recommended that Makerere University (Mak) partners involve the Research Units and the Legal office at Mak in all contractual negotiations from an early stage.

1) Formal Aspects

Contracting party: on the Makerere University side: the contracting party in all contractual agreements is Makerere University, since it is a legal entity. Legally valid contracts can only be concluded in its name executed by the Vice Chancellor and witnessed by the Legal Unit.

Signatory rules: Other Makerere University employees may sign as contracting parties, only if delegated the responsibility.

Agreements for multilateral projects: must be signed by the Vice Chancellor, Witnessed by the Head Legal Unit.

All research contracts and agreements concluded with third parties must be reported to the Makerere University Directorate of Research within Two weeks following their signing, at the latest.

2) Key components of the Makerere Research Agreement:

- The parties
- Recitals – objectives e.t.c.
- Scope of the research project /program
- Commencement of the project
- Duration of the research
- Funding: Scope of funding- Management of the research funds , Accountability
- Reporting – where the researcher should report to. When? Where? Whom?
- Assignments – who is going to conduct the research, can the principal investigator sub-contract the work?
- Privileges and immunities – in the event that something goes wrong, how are the researchers protected?
- Intellectual Property- who owns the research output or material, Ownership of the equipments -after the research project?
- Dispute resolution – incase of conflict
- Law applicable – What law does one follow in-case of conflict, etc.
- Termination clause- When? How? And circumstances of termination of contract.
- Variation and amendment clause – for any un anticipated required changes
- Notices- if any, where and when should they be given and for how long? What is the responsibility centre?
- Binding effect of the agreement – who signs the agreement. Who witnesses?

RSC 1.5 Recruitment of Research Staff
Process Map

Recruitment of Research Staff

Department fills an Advert form

Employment Division

Min 10 days

Director, Human Resource

Responses to Advert

Min 5 days

Concerned Department

Min 1 month

Selection Committee

No → Rejected

Yes

Employment Division

Shortlisted candidates submit papers

Appointments Board
Min. 1 Month

Manager, Employment Division

Min 5 days

Appointment letter issued

HOD receives appointee writes to Employment Division

Recruitment Done/Complete

RSC 1.5 Recruitment of Research Staff
Description

PROCESS	RECRUITMENT OF RESEARCH STAFF	
Policy	The Research & Innovations Policy/ Human Resource Manual	
Purpose	To facilitate the identification and recruitment of research staff with consideration of organizational Human resource needs	
Scope		
Process Owner	Human Resource Directorate	
Definitions		
Brief Description of Procedure	The User Department initiates advertisement and forwards it the Employment Division where it is reviewed by the DHR before it is sent to the media. Applications are reviewed by a selection committee followed by short listing, interviewing, recruitment and finally induction	

S/N	Activity	Responsible Officer	Duration of Activity
1	Initiative to advertise comes from the Department	HOD	
2	Then sent to the Employment Division and an advert is drafted and then sent to the Director HR for approval before it is sent to the Media.	Employment Division	Min 10 Days
3	Responses to an advert are sent to the concerned Department for short-listing.	Director HR	Min 1 Month
4	A selection committee is constituted comprising of both members of staff and the public	User Unit	Min 5 Days
5	Members of the selection Committee sign the minutes indicating short-listed candidates are sent back to the Employment Division.	Employment Division	Min 5 Days
6	Documentation of Shortlisted candidates is sent to Appointments Board which is comprised of 9 members and other people who attend. Usually 20 people attend the meeting.	Short Listed Candidates	Min 3 Months
7	Appointments Board considers applications and appoints	Appointments Board	
8	Manager Employment Division then writes to the Director HR with a copy to the Performance and Appraisal Section to make Appointment Letter.	Manager Employment Division	Min 5 Days
9	After the person appointed has picked the letter, he/she reports to the concerned Head of Department who in turn writes to Employment Division certifying that the appointed person has reported to work.	Head of Department	Min 5 Days

RSC 1. Organisation and Resourcing

RSC 1.5.1 Guidelines for Recruitment of Research Staff

Preamble

Makerere University as a research led institution, needs to develop guidelines on recruitment and management of research staff primarily committed to research work in line with the Makerere University human resource policy 2004 and manual of 2009, Research and Innovation policy 2008 and Intellectual Property Management policy 2008

Sourcing and recruitment

Staff are sourced through advertisement both internally and externally from industry, government, civil society, international organization, research institutes and higher institutions of learning.

Post	Terms of Service	Minimum Qualifications	Area of Specialization
Research Professor/ Director	Contract of 5 Years Renewable once	PhD 1. A minimum of ten (10) years of Directing and managing advanced research 2. Credible record of atleast twelve (12) publications of which eight (8) are in refereed Journals or Books and two (2) are books 3. Evidence of successful grant proposals 4. Ability to shoulder heavy administrative duties 5. Recognized service to the community. 6. Membership to Professional Organizations	Candidate must fall in any of the specific disciplines relevant to the respective faculties and colleges

Post	Terms of Service	Minimum Qualifications	Area of Specialization
Research Associate Professor	Contract of 5 Years Renewable once	PhD 1. A minimum of ten (10) years of proven research 2. A minimum of twelve (12) new publications in refereed Journals and/or four (4) books. 3. Evidence of successful research grants proposals. 4. Recognized service to the community. 5. Membership to Professional Organizations.	Candidate must fall in any of the specific disciplines relevant to the respective faculties and colleges
Senior Research Fellow	Contract of 5 Years Renewable once	PhD 1. A minimum of ten (10) years of proven research 2. A minimum of eight (8) new publications in refereed Journals and/or two books. 3. Evidence of successful research proposals 4. A significant contribution to the intellectual life in their area of specialization. 5. Recognized service to the community. 6. Membership to Professional body	Candidate must fall in any of the specific disciplines relevant to the respective faculties and colleges

RSC 1. Organisation and Resourcing

RSC 1.11 Guidelines on Retooling of Research Staff

Preamble

In Accordance to the Makerere University human resource policy 2004 and manual of 2009, and in addition to the mission and strategic focus of the University, there is need to ensure that research staff, at different stages undergo further training to enhance their knowledge, skills, performance and outputs with the support of the University.

The research staff shall undertake different trainings but not limited to the following:

1. Sabbaticals-The research staff shall be encouraged to take sabbatical leave during the course of their contractual period.

2. The university shall facilitate international exchanges and placements of research staff in different research institutes, industry, and other place where it is deemed the individual will gain relevant skills to maximize his/her performance.

3. Research staff shall undertake short courses both at and outside Makerere University annually.

4. The Directorate of research and Graduate Training shall organize training workshops for the research staff at the University. The University shall facilitate the researchers to participate in other relevant workshops outside the University.

5. Researchers shall be facilitated to participate in skills enhancement seminars at national, regional and international level.

RSC 2. Research Grants Management

The Directorate has a Research Grants Unit to guide and assist researchers in the university including mentoring; and skills enhancement training of staff in research management. The Directorate of Research and Graduate Training coordinates and facilitates the following training workshops: Research Management; Scholarly Writing and Communication Skills; Ph.D Supervision and Mentorship, as well as the Ph.D cross cutting courses. A Handbook on research management is under preparation and when completed will be available on the Directorate website. The process of research management entails the sub-processes of research grants mobilization, identification of research teams, awarding and reporting of grants. Availability of these sub-processes will lead to increased quality and (quantity) of research outputs from the University.

i) Research Grants Mobilization –Research Grants Mobilization is largely an team /college's responsibility, coordinated through/ by the Research Grants Unit. The University has committed to provide 3% of internally generated funds to support research. Research funds are managed by the the Directorate of Research and Graduate Training. However, the research Grants Units keep a grants database that can be accessed by the stakeholders.

The process maps and flow charts in the requisition for and financial reporting for research funds from the Directorate of Research and Graduate Training, and for identification of Grant Awardees are provided in the following section.

RSC 2.1 Research Grants Mobilization

Process Map
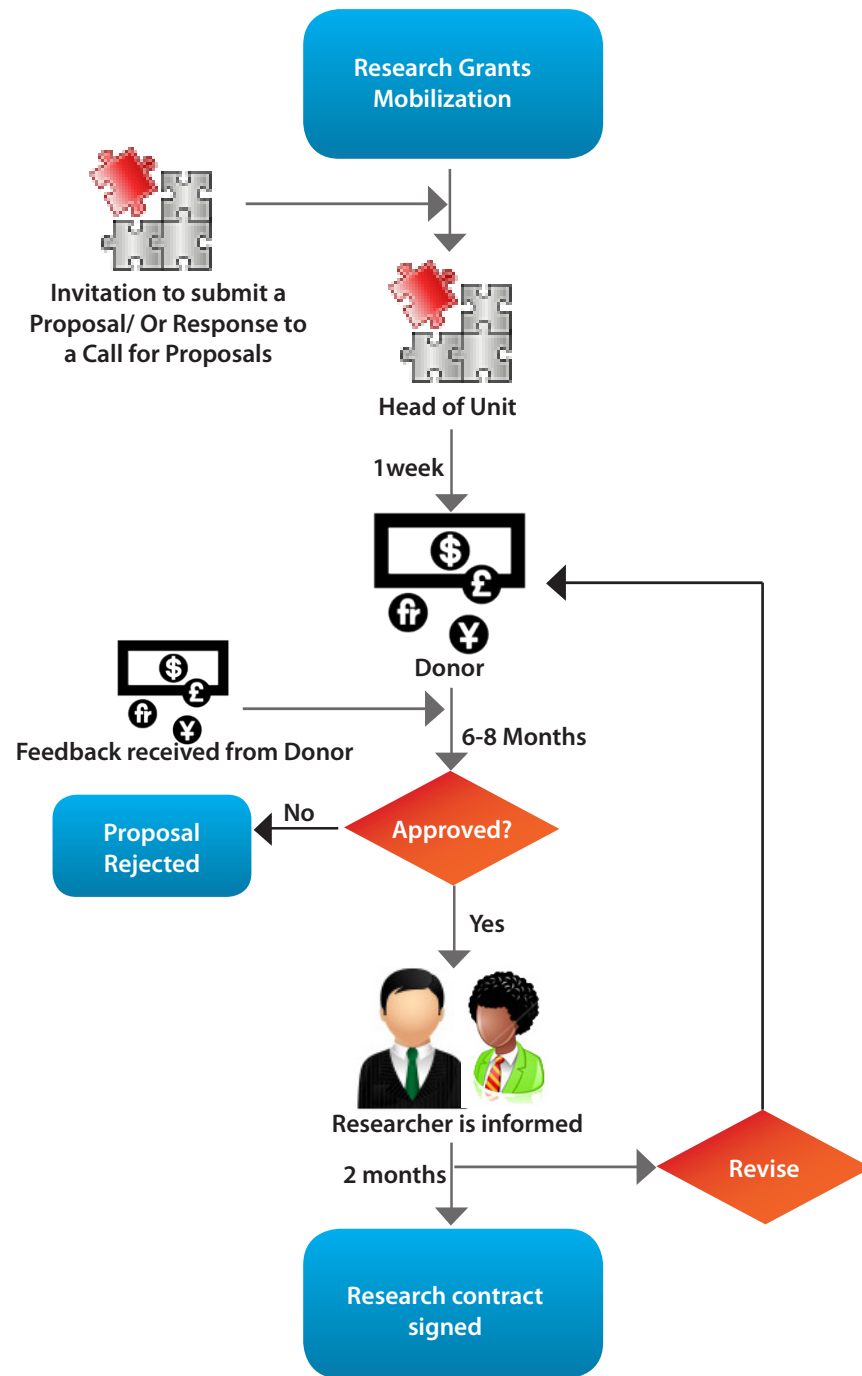
Description

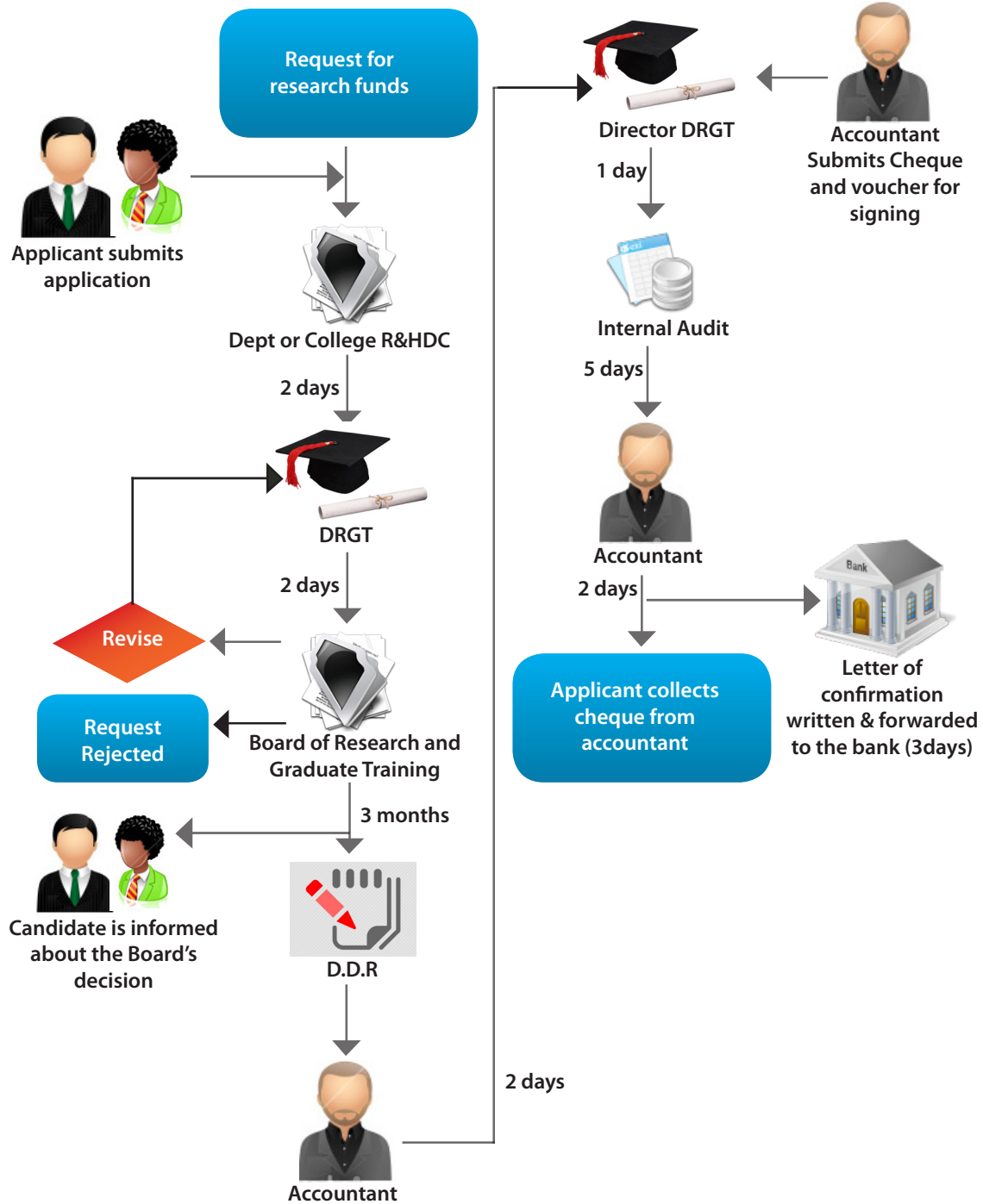| PROCESS	RESEARCH GRANTS MOBILIZATION	
Policy	The Research & Innovations Policy.	
Purpose	To power and promote Research at Makerere	
Scope		
Process Owner	Heads of Unit	
Definitions		
Brief Description of Procedure	The Library liaises with appointments and promotions unit to keep track of researchers, the unit librarian the solicits articles from researchers which are processed and uploaded on the approved archiving system	
S/N	Activity	Responsible Officer	Duration of Activity
---	---	---	---
1	Invitation to submit a proposal/ Or Response to a Call for Proposals.	Head of Unit	
2	Submit draft proposal to donor	Head of Unit / PI	1 - 3 months
3	Receive comments from donor	Researcher / PI	6-8 Months
4	Revise proposal and re-submit	Researcher / PI	1-2 Months
5	Research grant award	Donor	Included in above
6	Sign a research grant contract	Researcher	

Note:

Process does not take less than a year!

RSC 2. Research Grants Management

RSC 2.2 Requisition for Research Funds

Process Map

Request for research funds

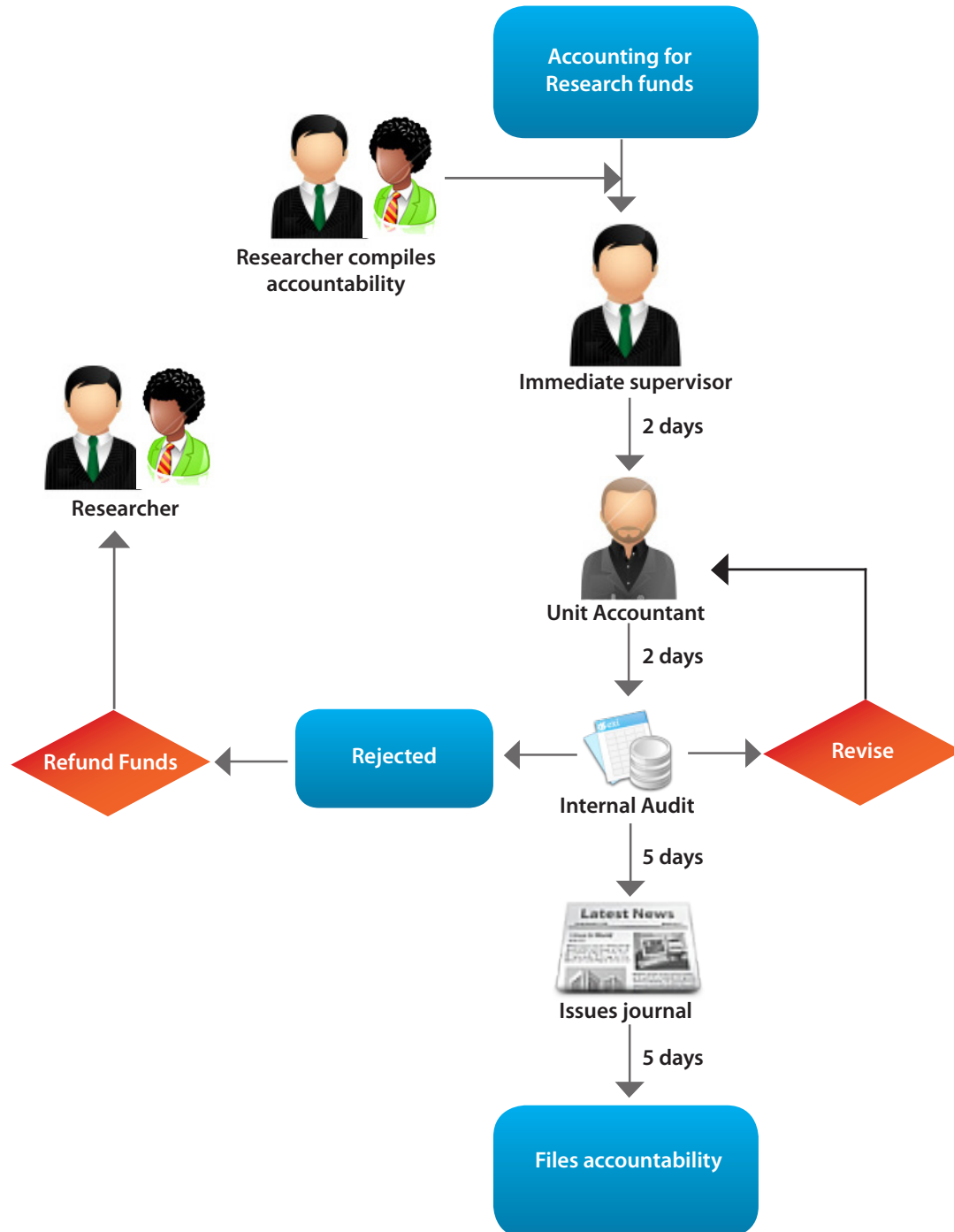**Applicant submits application**

Dept or College R&HDC
2 days

DRGT
2 days

Revise

Request Rejected

Board of Research and Graduate Training
3 months

Candidate is informed about the Board's decision

D.D.R
2 days

Accountant

Director DRGT
1 day

Internal Audit
5 days

Accountant
2 days

Accountant Submits Cheque and voucher for signing

Applicant collects cheque from accountant

Letter of confirmation written & forwarded to the bank (3days)

RSC 2.2 Requisition for Research Funds

Description

PROCESS		REQUISITION FOR RESEARCH FUNDS	
Policy		The Research & Innovations Policy	
Purpose		To guide the process of requisition for and accessing research Funds	
Scope		All university employees.	
Process Owner		Director, DRGT	
Definitions			
Brief Description of Procedure			
S/N	Activity	Responsible Officer	Duration of Activity
1	Applicant with approved proposal submits application for research funds to the Faculty Research & Higher Degrees committee	Researcher	Min of 1 Day
2	Consider the application and make a recommendation to DRGT	Dept / College Dean	1 - 3 days
3	Applicant submits application for funds together with signed minutes of the FR&HDC to the DRGT	Researcher	Min of 1 Day
4	Application is screened to conform to requirements	Deputy Director Research	Min of 1 Day
5	Application considered by the Board of Research & Graduate Training	DVC (AA)	3 months
6	Applicant is informed of decision of the Board	Director DRGT	1 week
7	Release warrant is prepared and signed by the DDR	DDR	Min of 3 Days
8	Accountant prepares the voucher and cheque	Accountant	Min of 2 Days
9	Voucher and cheque approved by the Director	Director DRGT	Min of 1 Day
10	Accountant prepares voucher and cheque accompanied with a letter to the Director for approval of the voucher and first signature on the cheque.	Director DRGT	Min of 2 Days
11	Documents are forwarded to the internal audit for verification.	Accountant	Min of 2 Days
12	Internal audit verifies and endorses.	Accountant	Min of 5 Days
13	The SGS accountant picks the documents and forwards them to the bursar for second signature and keeps custody of cheque until the applicant appears to collect and sign for it.	Accountant	Min of 3 Days
14	Accountant writes a letter of confirmation to the bank.	Accountant	Min of 2 Days
15	Accountant delivers letter of confirmation to the bank	Accountant	Min of 1 Day
16	Applicant collects cheque from the SGS accountant	Accountant	Min of 2 Days

RSC 2.3 Financial Reporting for Research Funds

Process Map

Accounting for Research funds

Researcher compiles accountability

Immediate supervisor

2 days

Unit Accountant

2 days

Refund Funds ← **Rejected** ← **Internal Audit** → **Revise**

5 days

Issues journal

5 days

Files accountability

Researcher

RSC 2.3 Financial Reporting for Research Funds

Description

PROCESS	FINANCIAL REPORTING FOR RESEARCH FUNDS
Policy	National / Makerere Financial Guidelines
Purpose	To enhance, facilitate and promote accountability of Research Funds.
Scope	Financial Management
Process Owner	Heads of Unit
Definitions	
Brief Description of Procedure	The Process starts with the researcher compiling accountability which is forwarded to the immediate supervisor or Head of Department who forwards it to the Unit Accountant. The information is forwarded to the Internal Audit for verification and then finally journal vouchers are issued.

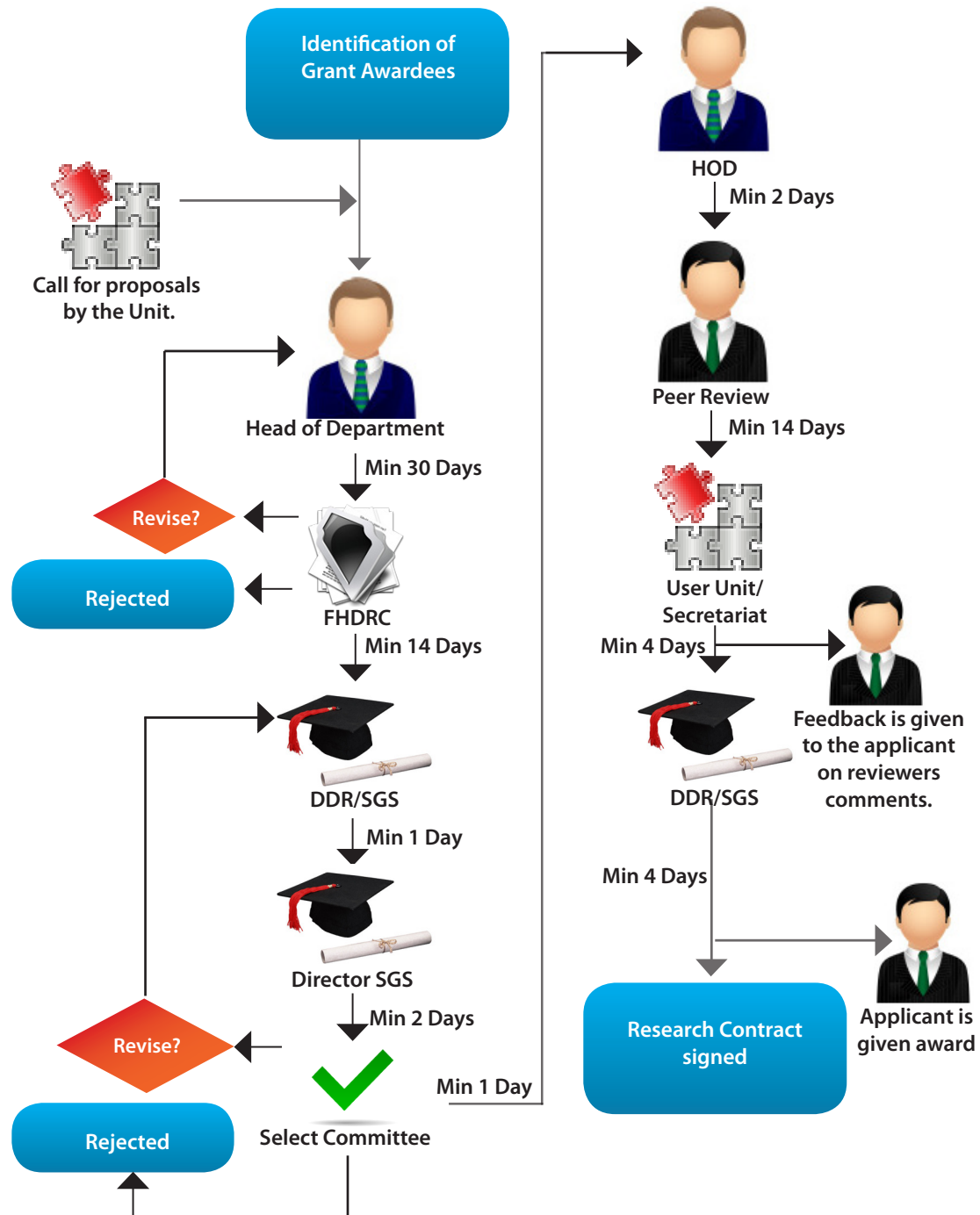| S/N	Activity	Responsible Officer	Duration of Activity
1	Researcher compiles accountability	Researcher	Max. of 3 Months
2	Submits accountability to immediate supervisor (HoD or Dean)	Head of Department	Min of 2 Days
3	Accountability is forwarded to the Unit Accountant and finally to the Bursar/Director	Unit Accountant	Min of 2 Days
4	Director / Bursar forwards accountability to audit for verification	The Bursar/Director	Min of 2 Days
5	Issues journal vouchers	Internal Audit	Min of 5 Days
6	Files accountability	Unit Accountant	Min of 5 Days

Caution:

A researcher shall account for research funds within a maximum of 14 days upon completion of a research activity, failure of which shall attract disciplinary action.

RSC 2. Research Grants Management

RSC 2.4 Identification of Grant Awardees
Process Map

Identification of Grant Awardees

Call for proposals by the Unit.

Head of Department
Min 30 Days

Revise?

Rejected

FHDRC
Min 14 Days

DDR/SGS
Min 1 Day

Director SGS
Min 2 Days

Revise?

Rejected

Select Committee
Min 1 Day

HOD
Min 2 Days

Peer Review
Min 14 Days

User Unit/ Secretariat
Min 4 Days

DDR/SGS
Min 4 Days

Feedback is given to the applicant on reviewers comments.

Research Contract signed

Applicant is given award

RSC 2.4 Identification of Grant Awardees
Description

PROCESS	IDENTIFICATION OF GRANT AWARDEES	
Policy	The Research & Innovations Policy	
Purpose	Identify the best candidates for award of research grants on a competitive basis	
Scope	The process covers applicants for degree and non-degree research	
Process Owner	Director, Directorate of Graduate Training	
Definitions		
Brief Description of Procedure	The process starts with a call for proposals by the relevant unit; the submitted proposals are reviewed by the faculty Higher Degrees and Research Committee (FHDRC) and there after peer reviewed. Success full applications are finally awarded.	

| S/N	Activity	Responsible Officer	Duration of Activity
1	Call for proposals by the relevant unit.	Head of Unit	Min 30 days
2	Approval of the proposal to FHDRC	FHDRC	Min 14 days
3	Submission of approved proposals by the applicant to SGS	DDR / DRGT	Min 1 day
4	The Head of Unit (SGS) identifies screening committee.	Director DRGT	Min 2 days
5	Screening of applications by a select committee.	Select Committee	Min 1 day
6	Head of Unit identifies peer reviewers	Head of Unit	Min 2 days
7	Successfully screened proposals sent for peer review.	Head of Unit	Min 14 days
8	Bonding forms are approved Reviewers comments fed back to applicant	Secretariat/Head of Unit	Min 4 days
9	Revised proposal submitted to SGS	Secretariat/Head of Unit	Min 7 days
10	Approved proposal grant processed	DDR/DRGT	Min 7 days
11	Award given to applicant.	DDR/DRGT	Min 1 day
12	Research Contracts signed	DDR/DRGT	Min 2 days

RSC 3. Monitoring and Evaluation

Monitoring and evaluation of research and research projects is critical as it ensures conformity to the university's and donor guidelines and regulations. Monitoring and evaluation is conducted through monitoring of the research process and research teams by assessing conformace to the stipulated guidelines (page 67). The appraisal of research staff and research and research projects guidelines are also shown. The process for technical reporting of research findings for an academic degree is outlined in the following section.

RSC 3.1 Technical Reporting of Research Findings for an Academic Degree

Process Map
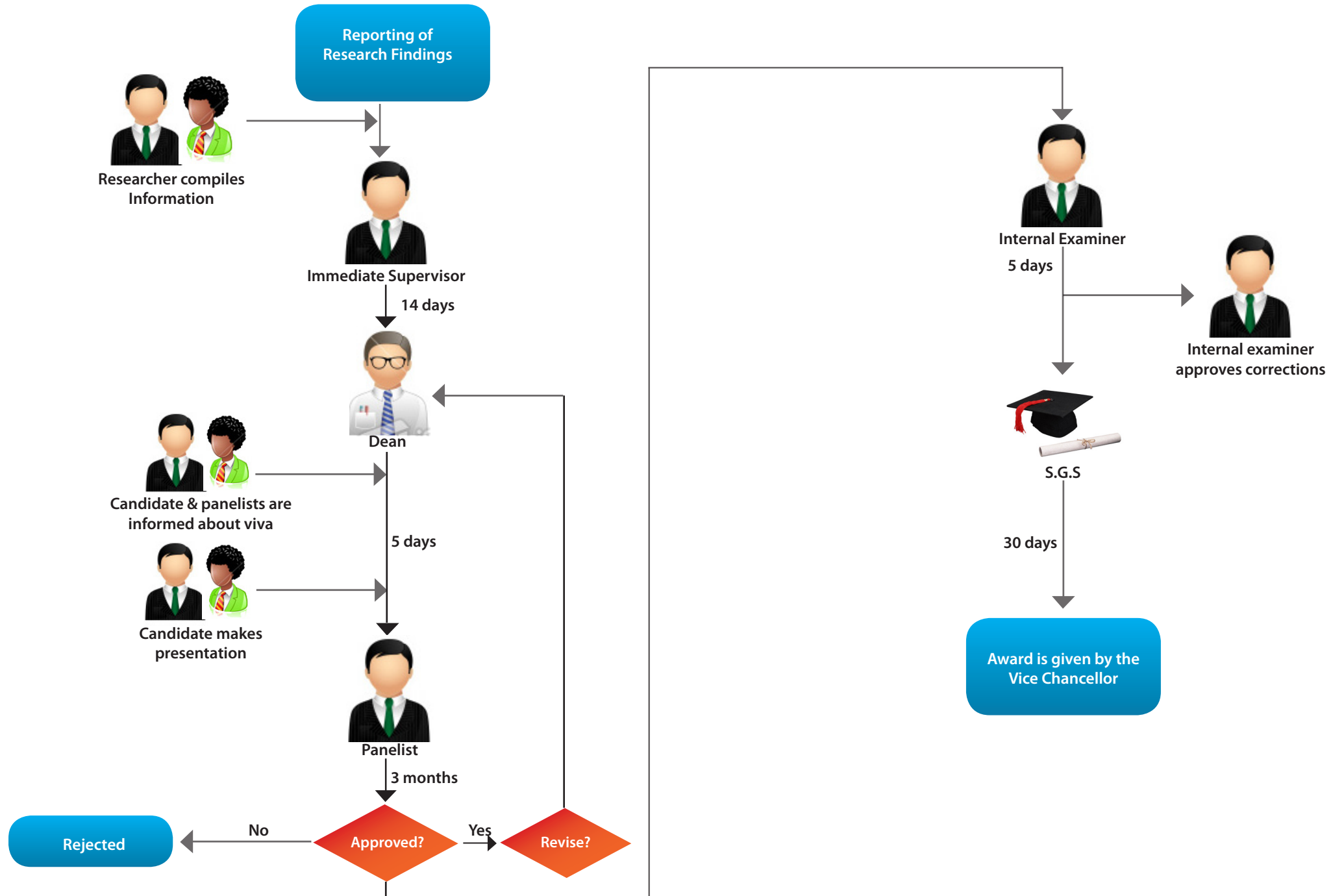
RSC 3. Monitoring and Evaluation

RSC 3.1 Technical Reporting of Research Findings for an Academic Degree

Description

PROCESS	TECHNICAL REPORTING OF RESEARCH FINDINGS FOR ACADEMIC DEGREE
Policy	The Research & Innovations Policy
Purpose	To guide systematic reporting of research findings for an academic degree.
Scope	
Process Owner	Directorate of Graduate Training
Definitions	
Brief Description of Procedure	The Procedure starts with the compilation of information by a researcher. This information is submitted to the immediate supervisor who informs the Dean. A viva examination is organized where panelists asses the candidate and make the necessary recommendations. Once the candidate has satisfactorily met the requirements, the vice chancellor grants the award.

S/N	Activity	Responsible Officer	Duration of Activity
1	Researcher compiles information	Researcher	Min of 6 months
2	Submits findings to the immediate supervisor.	Immediate Supervisor	Min of 5 days
3	Supervisor peruses through the submitted information.	Immediate Supervisor	Min of 14 days
4	Supervisor notifies the Dean about the candidates completion of research	Dean	Min of 5 days
5	Dean gives notice of Viva Voce to the candidate and members of the panel to read the thesis	Dean	Min of 5 days
6	Candidate makes presentation of research findings	Candidate	Min of 1 day
7	Panelists evaluate the presentation	Panelists	Min of 1 day
8	In case of corrections, an internal examiner monitors the completion of the process	Internal Examiner	Min 3 months
9	In case of failure, the candidate is advised to redo the work or discontinued and communication is sent to the SGS by the Dean	Dean	Max of 3 months
10	Candidate is finally assessed and the panel makes an appropriate recommendation and sent to SGS	Dean	Min 5 days
11	Award recommendation is signed by the panelists upon confirmation by the supervisor that corrections have been made.	Dean	Min of 5 days
12	Award granted by the Vice Chancellor upon recommendation by the Chairman Board of research.	Vice Chancellor	Min of 30 days

RSC 3. Monitoring and Evaluation

RSC 3.2.1 Guidelines on Appraisal of Research Staff and Teams

Preamble

Research staff performance monitoring shall be on annual basis in different research units to quantify the performance and identify the possible skills, needs and refresher trainings required.

Appraisals shall be one of the tools used in the assessment and should be designed to capture the following performance drivers of research teams/staff.

Examined Performance Drivers of Research Teams/Staff

1. The number of successful research proposals developed annually.
2. Publications. A specific number of peer reviewed and cited publication in international respected journals must be identified [set] in every biannually.
3. Research grants. A number of research grants won annually
4. The number of on-going research projects (national, regional & international) that the researcher is engaged in and specifically where the researcher is the lead investigator.
5. The number of papers presented in regional and international conferences
6. The number of graduate students the researcher has supervised and completed successfully in time.
7. The number of innovations and technologies developed annually
8. The number of knowledge Transfer Partnerships & Networking projects (community outreaches) developed.
9. The number of consultancy projects engaged in.
10. The number of success stories as shared from communities about the projects developed by the researcher or team.

Note. The instrument will be designed in accordance to Makerere University Human Resource manual 2009.

RSC 4. Procurement of Research Material

Procurement of Research Materials and books is critical to the success of research implementation. The process needs to be as smooth as possible. Procurement of research materials and books is conducted through the Procurement Committee at College level (for purchases below UGX 50 million) and at the Central Procurement Office for procurements above this limit following the PPDA guidelines. The procurement process maps and flow charts are provided in the proceeding section.

RSC 4. Procurement of Research Material
RSC 4.1 Procurement of Research Material
Process Map

Procurement of Research Material

Researcher Initiates request /List of requirements

Dean/HoD
1 day

Accountant
2 days

Finance & Planning Committee
2 days

PDU
3 days

Quotations are received

5 days

PDU
1 day

Evaluation Comm. Formed
2 days

Contracts Committee
5 days

Report to PDU

Approved —No→ **Revise**

Yes

PDU
2 days

PDU makes LPO

2 days

LPO delivered to successful

Advance —No→ **Don't advance**

Yes

Delivery to stores
5 days

Audit verifies
2 days

Store recommends payment & transfer research Materials
5 days

Research Materials accepted by the user

RSC 4. Procurement of Research Material

RSC 4.1 Procurement of Research Material

Description

PROCESS	PROCUREMENT OF RESEARCH MATERIAL	
Policy	PPDA	
Purpose	To ensure timely procurement of quality research materials.	
Scope		
Process Owner	Procurement and Disposal Unit	
Definitions		
Brief Description of Procedure	The process starts with an initiation of a request by the researcher which is forwarded to the head of Unit, the accountant prepares PP20 and Procurement calls for quotations which are vetted by the Procurement Unit and an offer is made, materials are delivered, internal audit verifies and finally documents are forwarded to the accountant for payment processing.	

S/N	Activity	Responsible Officer	Duration of Activity
1	Researcher initiates request/list of research materials.	Researcher	Min of 2 days
2	Forwards request to Dean/Head of the Unit	Head of Unit	Min of 2 days
3	Dean forwards request to accountant	Dean	Min of 1 day
4	Accountant prepares PP20 and forwards it to finance and planning committee	Accountant	Min of 2 days
5	Finance and planning committee forwards request,PP20 and minute to procurement office	Finance & Planning Committee	Min of 2 Days
6	Procurement calls for quotations/advertises	PDU	Min of 3 Days
7	Quotations are received	Service Providers	Min of 5 Days
8	Bids are opened	PDU	Min of 5 - 22 Days
9	Offers is made	PDU	Min of 5 - 10 Days
10	Delivery is done to respective store	Service Providers	Min of 5 Days

S/N	Activity	Responsible Officer	Duration of Activity
11	Audit verifies	Internal Audit	Min of 2 days
12	Store forwards documents (invoice, delivery note, form PP20,blue copy and others) to accountant for payment	Accountant	Min of 4 days

RSC 4.2 Procurement of Books

Process Map

Library puts call for Unit to identify required resources

Researcher/ Unit

1 day

Access to Research Information

Bank of Uganda

1 week

Supplier

Researchers/unit identifies the required book/journal

1 month

Library

1 week

Supplier submits delivery plan

Library

Library receives invoice from supplier and submits it to PDU/Audit

1-2 Months

Books received and audited

1 week

PDU/ Audit

1 week +

Books processed – stamping, capturing in virtual ILS, Spin labeling, sorting, packaging and delivering to user unit.

RSC 4.2 Procurement of Books

Description

PROCESS	PROCUREMENT OF BOOKS	
Sub- Process 5.5	Access to Research Information	
Policy	PPDA	
Purpose	To guide systematic access to research information.	
Process Owner	University Librarian	
Brief Description of Procedure	The Process starts with a call to the Units for identification of required books and journals, the library reviews and collates the requests and forwards to procurement and the books are processed	

S/N	Activity	Responsible Officer	Duration of Activity
1	Library puts call for units to identify required journals and books (To be process – units can also initiate the process)	Head of Unit	1 day
2	Researcher/unit identifies required journal/books.	Researcher	1 Month
3	Researcher/unit submit list to library.	Researcher	Incl. in above
4	Library reviews and collate requests from researcher/ units.	Library Management	1-2 Month
5	Library submits list to supplier.	Library Management	Incl. in above
6	Library receives invoice from supplier.	Service provider	2 weeks
7	Invoice submitted to PDU, Audit.	Procurement Unit	1 Week +
8	Letter of credit prepared - Bursar	Bursar	1 Week-6 Month
9	Letter of credit opened – bank of Uganda & sent to supplier	Bursar	1 Week
10	Supplier submits delivery plan	Service provider	1 Week
11	Books received and audited	Library Management	1 Week
12	Books processed – stamping, capturing in virtual LS, spin labeling, sorting according to department, packing and delivery: process and time depends on number of books.	Library Management	1-3 Months

RSC 5. Dissemination

Dissemination of research findings is part of accountability that contributes to individual scholarly growth and the University's image. Guidance is provided for the following activities: Authorahip, Documentation of findings' Delivery of research findings; Distribution Preservation and Conservation. Access to research information; Preservation and Conservation; and Publication of Scholarly Material.

RSC 5. Dissemination

RSC 5.1.1 Guidelines on Authorship and Co-authorship of Scholarly Publications

Preamble

The practice of mono authors still exists in the humanities field where a scholarly paper or a book is authored by one person. The situation in the science disciplines is often different today where you may find 12 people co-authoring a scholarly publication. Here- in lies the challenge of defining who is an author or more so the first author.

The generally accepted guideline for authorship is that one must have contributed substantially to the research and the development of the paper. What then is Substantial contribution in this context? International convention stipulates that the person who has done the most work should be cited as the first author of a paper. Subsequently, the order of names should reflect the extent of contribution of each worker to the research project. This document will guide researchers at Makerere in determining who should be an author and guide the order of co-authors in case of multiple authorship of a scholarly manuscript.

Criteria for 'Substantial Contribution'

1. Initiates or develops the central ideas in the article including the research plan or funding for the research program.
2. Gathered data for the research program. This data may or may not have been an integral part of the initial program for this article and has not been published before.
3. Where an individual including a technician refines or improves the analysis and or contributes to data analysis.

Criteria on Who is the 'First Author'

1. A person who writes most parts of the paper or a book i.e. defines the problem and places it in context, shows how this study advances knowledge in that field could be considered a first author.
2. Where a graduate student designs and carries out the research, and writes most of the sections of a journal paper should be considered as a first author even if the supervisor/advisor may have acquired the funding for the research program in which the student is part. The supervisor/advisor and other scientists who guided the graduate student in the design, analysis and interpretation may be included as authors based on the degree of their contribution.
3. A technician becomes a first author where a paper presents novel analytical or instrumental procedures developed by that technician.
4. The principal researcher is the first author in the case of a general article presenting results from a large multi-disciplinary research program.

RSC 5. Dissemination

RSC 5.2 Delivery of Research Findings
Process Map
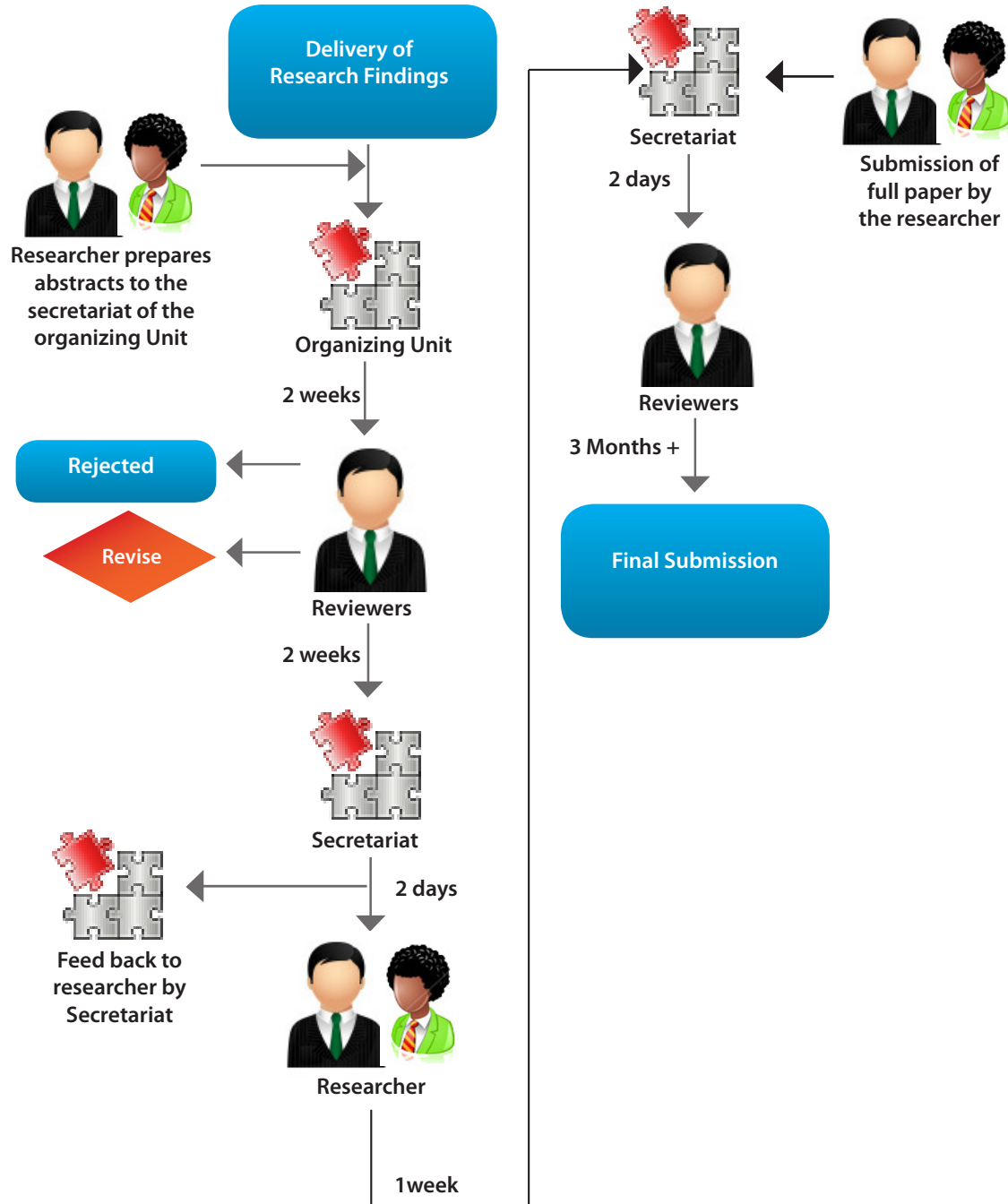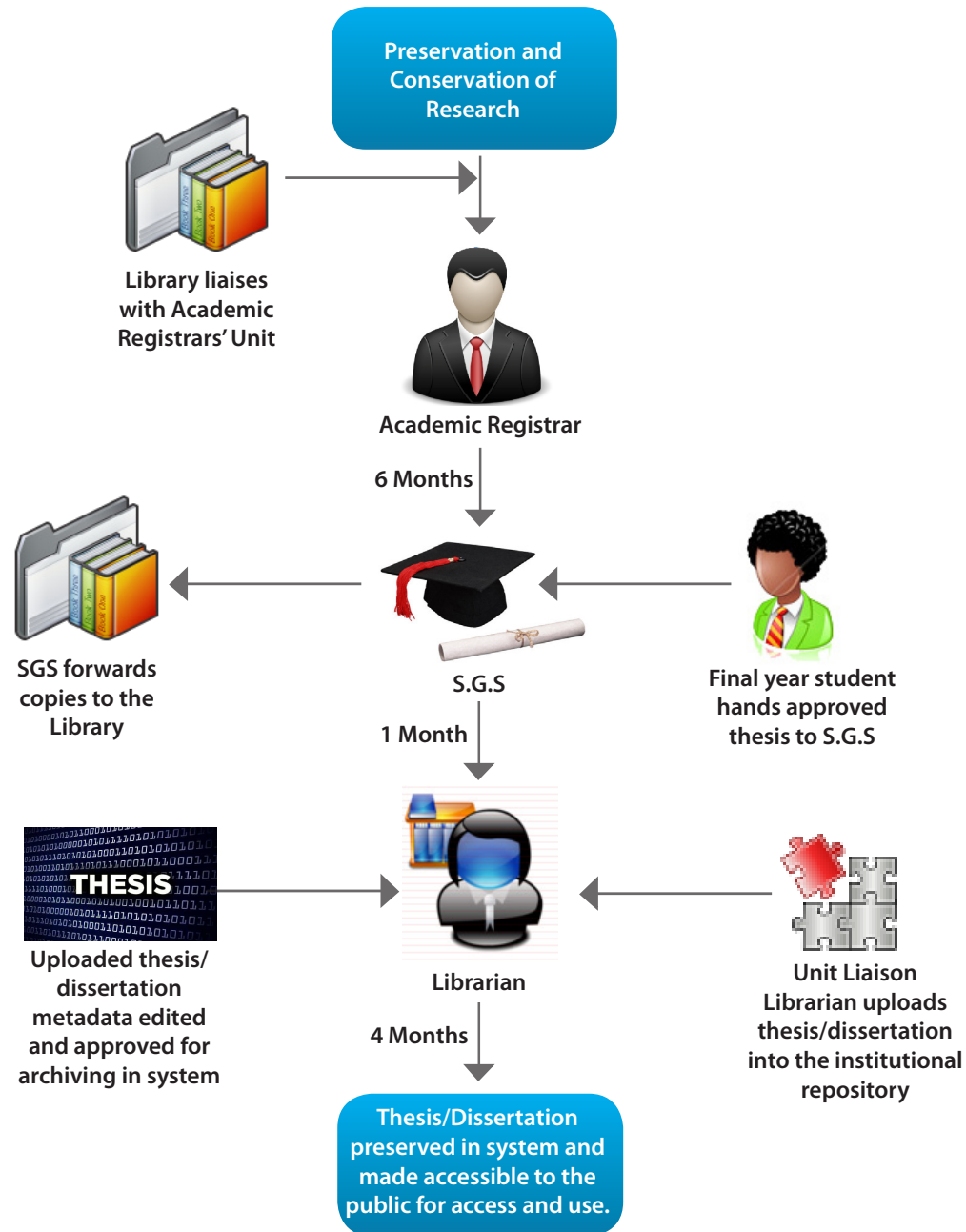

RSC 5.2 Delivery of Research Findings
Description

PROCESS	DELIVERY OF RESEARCH FINDINGS (ORGANIZING CONFERENCES, SEMINARS & BREAKFAST)MEETINGS
Policy	The Research & Innovations Policy.
Purpose	To guide systematic delivery of research findings
Brief Description of Procedure	The process starts with a call for abstracts from the organizing unit; applications are submitted and vetted by reviewers who are identified by the unit. Successful applicants then present full papers which are peer reviewed before publication.

S/N	Activity	Responsible Officer	Duration of Activity
1	(Announcement of conference and call for abstracts) Receipt of call for abstracts.	Secretariat	
2	Researchers Prepare abstracts to the secretariat of the organizing unit.	Researcher	2 weeks – 1 month
3	Submission of abstracts by the secretariat of the organizing unit	Secretariat	1-2 weeks
4	Acknowledgement of receipt by secretariat of the organizing unit.	Secretariat	1-2 days
5	Identification of reviewers by the organizing unit.	Head of Unit	1 week
6	Review of the abstracts.	Selected Peer Reviewers	2-3 weeks
7	Feedback to researchers by the secretariat.	Secretariat	2 days
8	Submission of full paper for presentation by the researcher.	Researcher	1 week – 1 month+
9	Presentation of the paper by the researcher.	Researcher	15 mins
10	Publication in proceedings by the secretariat of the organizing unit.	Head of Unit	3-5 months+
11	Peer review of the full paper for publication.	Head of Unit	3 months +
12	Final submission of paper	Researcher	Max 1 month

RSC 5.4.1 Preservation and Conservation (Thesis and Dissertations)

Process Map

Preservation and Conservation of Research

Library liaises with Academic Registrars' Unit

Academic Registrar

6 Months

S.G.S

1 Month

SGS forwards copies to the Library

Final year student hands approved thesis to S.G.S

THESIS

Uploaded thesis/ dissertation metadata edited and approved for archiving in system

Librarian

4 Months

Unit Liaison Librarian uploads thesis/dissertation into the institutional repository

Thesis/Dissertation preserved in system and made accessible to the public for access and use.

RSC 5.4.1 Preservation and Conservation (Thesis and Dissertations)

Description

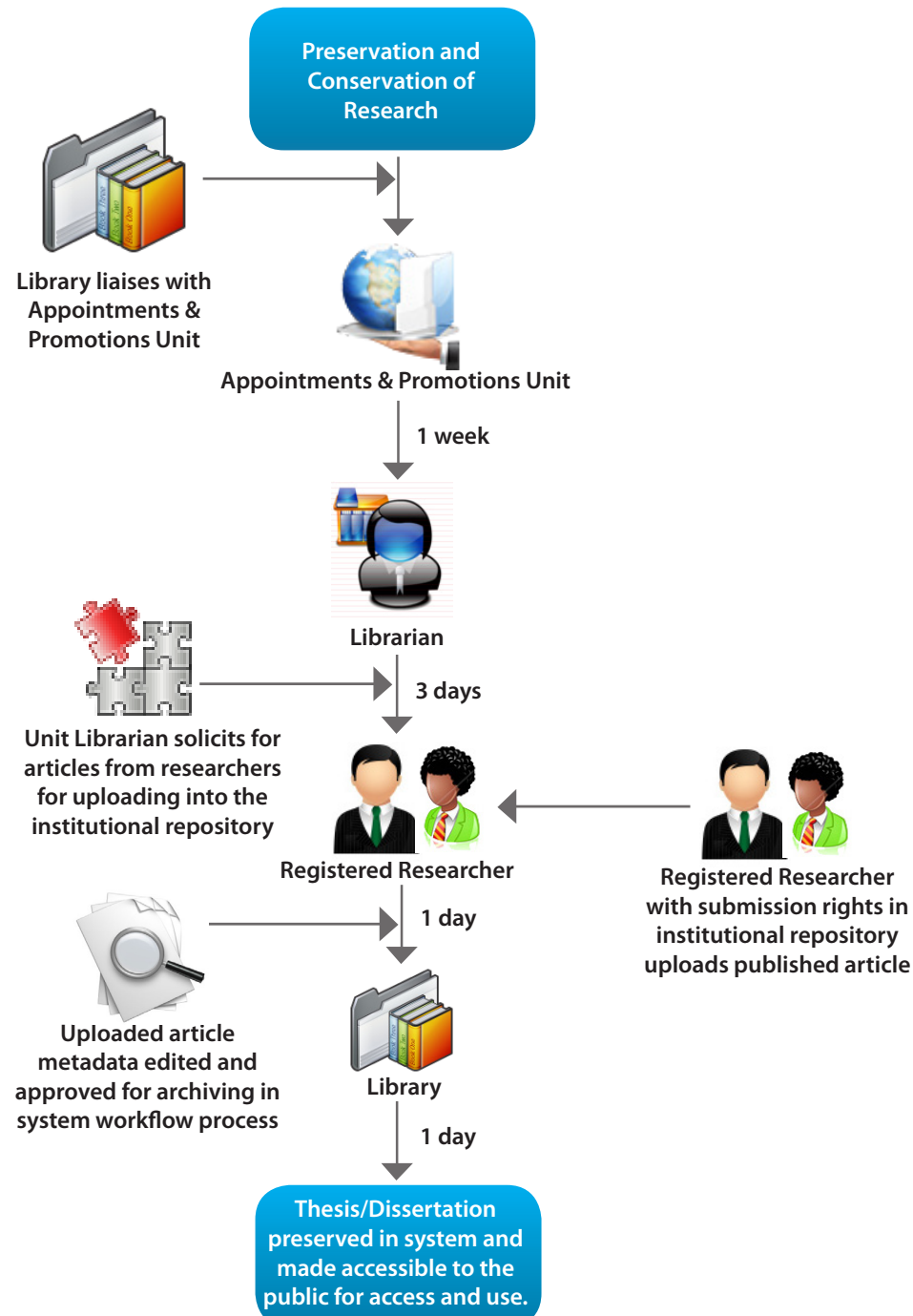| PROCESS	PRESERVATION AND CONSERVATION (THESIS AND DISSERTATIONS)		
Policy	The Research & Innovations Policy.		
Purpose	To facilitate proper preservation and conservation of Research		
Scope			
Process Owner	University Librarian		
Brief Description of Procedure	The Library liaises with the Academic Registrar to track graduands before each ceremony, Students are requested to hand in both hard and soft copies of their dissertations to the Graduate School which forwards them to the Library		
S/N	Activity	Responsible Officer	Duration of Activity
1	Library liaises with Academic Registrars' Unit to keep track of graduands per graduation ceremony	Library	Twice a Year
2	Final Year Student hands in approved thesis/dissertation (hard & soft copy) to Unit/SGS	Student	1 month
3	Final Year Student signs institutional repository submission consent form accessible from Unit/SGS	Student	1 day
4	Unit/SGS forwards signed consent form and the softcopy thesis/dissertation to the Unit Liaison Librarian for uploading into the institutional repository	S.G.S	1 month
5	Unit Liaison Librarian uploads thesis/dissertation into the institutional repository	Unit Liaison Librarian	2 months
6	Uploaded thesis/dissertation metadata edited and approved for archiving in system workflow process	Unit Liaison Librarian	2 months
7	Thesis/Dissertation preserved in system and made accessible to the public for access and use. (Access with/without limits provided according to the signed consent forms)	Unit Liaison Librarian	Included in above

RSC 5.4.2 Preservation and Conservation (Papers and Articles)

Process Map

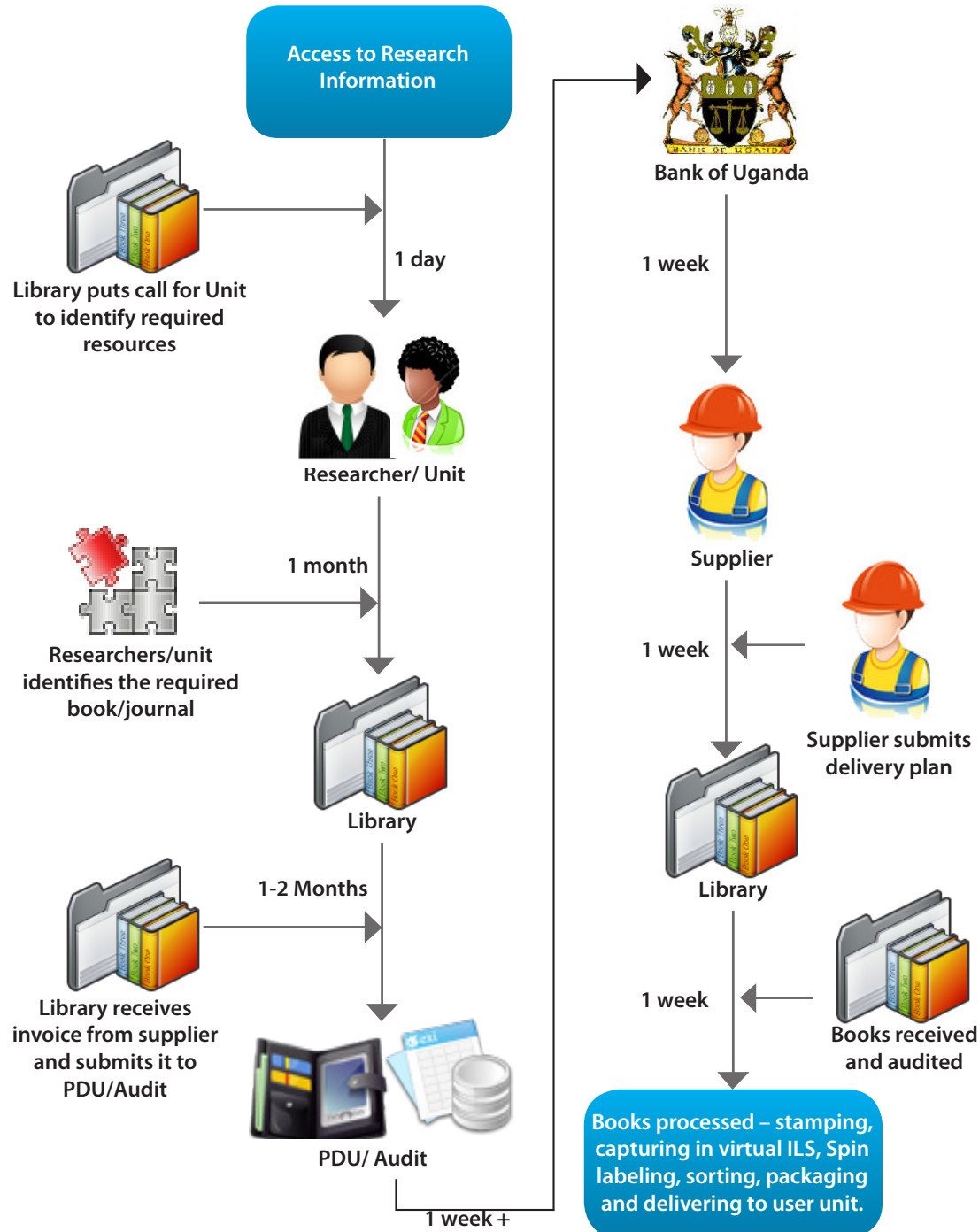RSC 5.4.2 Preservation and Conservation (Papers and Articles)

Description

PROCESS	PRESERVATION AND CONSERVATION (PUBLISHED PAPERS / ARTICLES: BOOKS/ CONFERENCE PAPER/ ARTICLES)	
Policy	The Research & Innovations Policy.	
Purpose	To facilitate proper preservation and conservation of Research	
Process Owner	University Librarian	
Brief Description of Procedure	The Library liaises with appointments and promotions unit to keep track of researchers, the unit librarian the solicits articles from researchers which are processed and uploaded on the approved archiving system	
S/N	Activity	Responsible Officer	Duration of Activity
1	Library liaises with Appointments and Promotions Unit to keep track of researchers' recent publications submitted for promotion	Library	Once a week
2	Unit Librarian solicits for articles from researchers for uploading into the institutional repository OR Researchers register and request for submission rights in institutional repository	Unit Librarian	Twice a week
3	Unit Librarian / Registered Researcher with submission rights in institutional repository uploads published article (pre-print/post-print version preferred). The publisher field should be filled for cross-checking with copyright and self-archiving policy guidelines.	Registered Researcher	Daily, with an average of 10 articles per submitter
4	Uploaded article metadata edited and approved for archiving in system workflow process	Library	Daily, with an average of 10 articles per administrator
5	Uploaded article preserved in system and made accessible to the public for access and use (Access with/without limits provided according to the publisher self-archiving policies)	Unit Liaison Librarian	Included in above

RSC 5.5 Access to Research Information
Process Map

Access to Research Information

Bank of Uganda

Library puts call for Unit to identify required resources

1 day

1 week

Researcher/ Unit

Supplier

1 month

Researchers/unit identifies the required book/journal

Library

1 week

Supplier submits delivery plan

1-2 Months

Library

Library receives invoice from supplier and submits it to PDU/Audit

1 week

Books received and audited

PDU/ Audit

Books processed – stamping, capturing in virtual ILS, Spin labeling, sorting, packaging and delivering to user unit.

1 week +

RSC 5.5 Access to Research Information
Description

PROCESS	ACCESS TO RESEARCH INFORMATION	
Sub- Process 5.5	Procurement of Books	
Policy	The Research & Innovations Policy	
Purpose	To guide systematic access to research information.	
Process Owner	University Librarian	
Brief Description of Procedure	The Process starts with a call to the Units for identification of required books and journals, the library reviews and collates the requests and forwards to procurement and the books are processed	

S/N	Activity	Responsible Officer	Duration of Activity
1	Library puts call for units to identify required journals and books (To be process – units can also initiate the process)	Head of Unit	1 day
2	Researcher/unit identifies required journal/books.	Researcher	1 Month
3	Researcher/unit submit list to library.	Researcher	Incl. in above
4	Library reviews and collate requests from researcher/units.	Library Management	1-2 Month
5	Library submits list to supplier.	Library Management	Incl. in above
6	Library receives invoice from supplier.	Service provider	2 weeks
7	Invoice submitted to PDU, Audit.	Procurement Unit	1 Week +
8	Letter of credit prepared - Bursar	Bursar	1 Week-6 Month
9	Letter of credit opened – bank of Uganda & sent to supplier	Bursar	1 Week
10	Supplier submits delivery plan	Service provider	1 Week
11	Books received and audited	Library Management	1 Week
12	Books processed – stamping, capturing in virtual LS, spin labeling, sorting according to department, packing and delivery: process and time depends on number of books.	Library Management	1-3 Months

RSC 5.6.1 Publishing Scholarly Books

Process Map

Publishing Scholarly Books

Academic staff with a manuscript submits to departmental HD

Faculty HD&RC

1 month

HD &RC reviews the manuscript and recommends to the Board of Research & Publications

Board of Research & Publications

3 months

Faculty

1 week

Peer review of manuscript and feedback to the Board of R&P

Peer Reviewers

3 - 4 months

Rejected

No

Board of Research & Publications

Yes

Revise

3 - 4 months

Board reviews the comments and communicates.

Academic Staff

1 month

MUP

Reviewed Manuscript resubmitted

2 Months

Scholarly Material Published

RSC 5. Dissemination

RSC 5.6.1 Publishing Scholarly Books

Description

PROCESS	PUBLISHING SCHOLARLY BOOKS	
Policy	The Research & Innovations Policy.	
Purpose	To guide the process of publishing scholarly books.	
Definitions	HD& RC : Higher degrees and research committee MUP: Makerere University Press	

S/N	Activity	Responsible Officer	Duration of Activity
1	Academic staff with a manuscript submits to departmental HD & RC	Academic staff	
2	PHD&RC reviews the manuscript and recommends to Faculty HD&RC	HD&RC	Min 1 Month
3	FHD&RC reviews the manuscript and recommends to the Board of Research & Publications	HD&RC	3 Months
4	Board of R&P considers the application and recommends for peer review	Board of R&P	Min of 4 Months
5	Identification of peer reviewers	Head of Unit	1 Week
6	Peer review of manuscript and feedback to the Board of R&P	Board of R&P	3-5 Months
7	Board reviews the comments and communicates to the academic staff	Board of R&P	3-4 Months
8	Academic staff may review the manuscript	Academic staff	1 Month
9	Reviewed and accepted manuscript is submitted to the MUP	Head of Unit	2 Weeks
10	MUP reviews the manuscript	MUP	2-3 Weeks
11	Feedback by MUP to academic staff	MUP	2 Days
12	Reviewed manuscript re-submitted to MUP	Head of Unit	1 Month
13	MUP makes a camera ready copy of the manuscript	MUP	2-3 Weeks
14	Proof is sent to academic staff for authorization to print	MUP	2-3 Weeks
15	Scholarly material printed	MUP	

RSC 5.6.2 Publishing Papers
Process Map
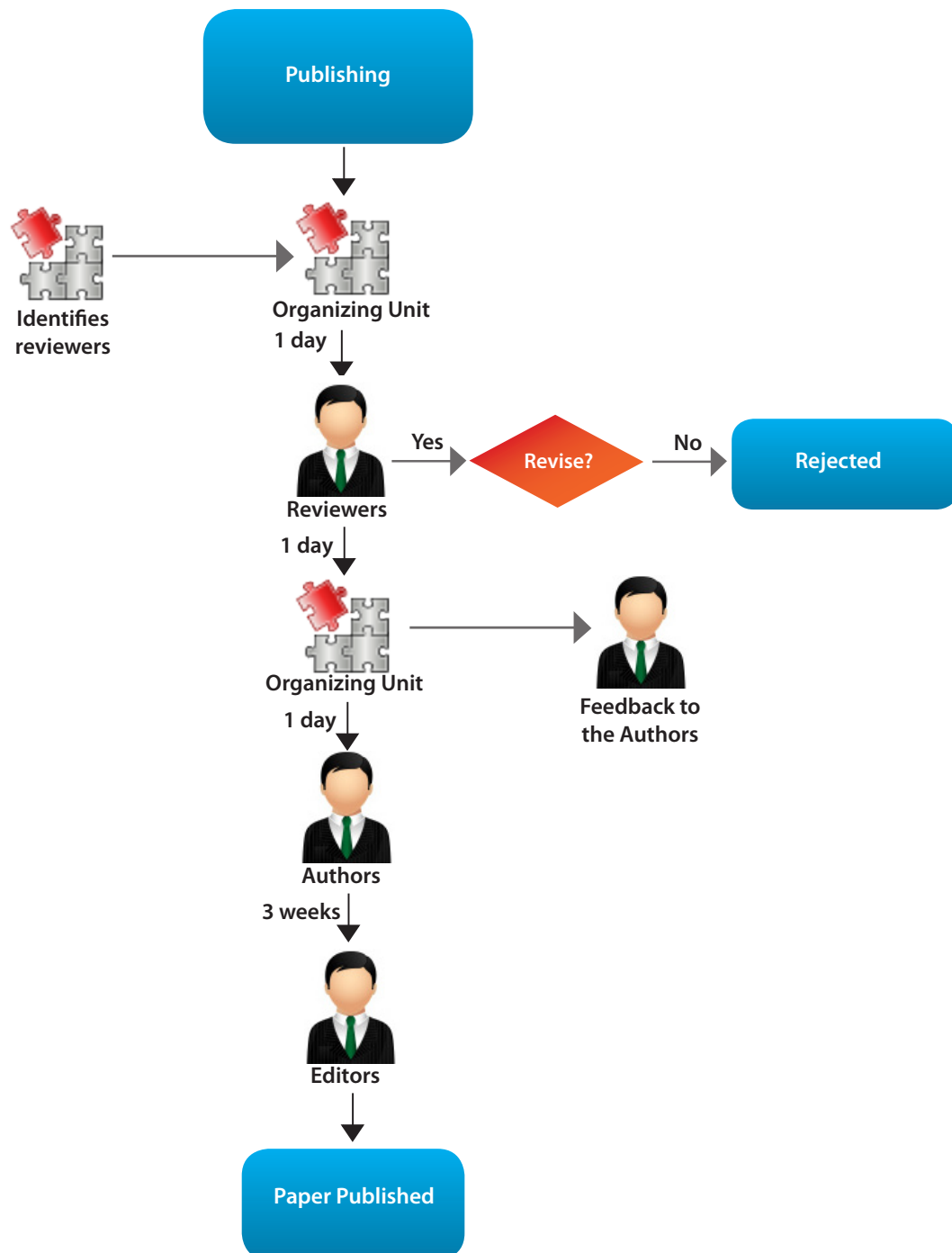
RSC 5.6.2 Publishing Papers
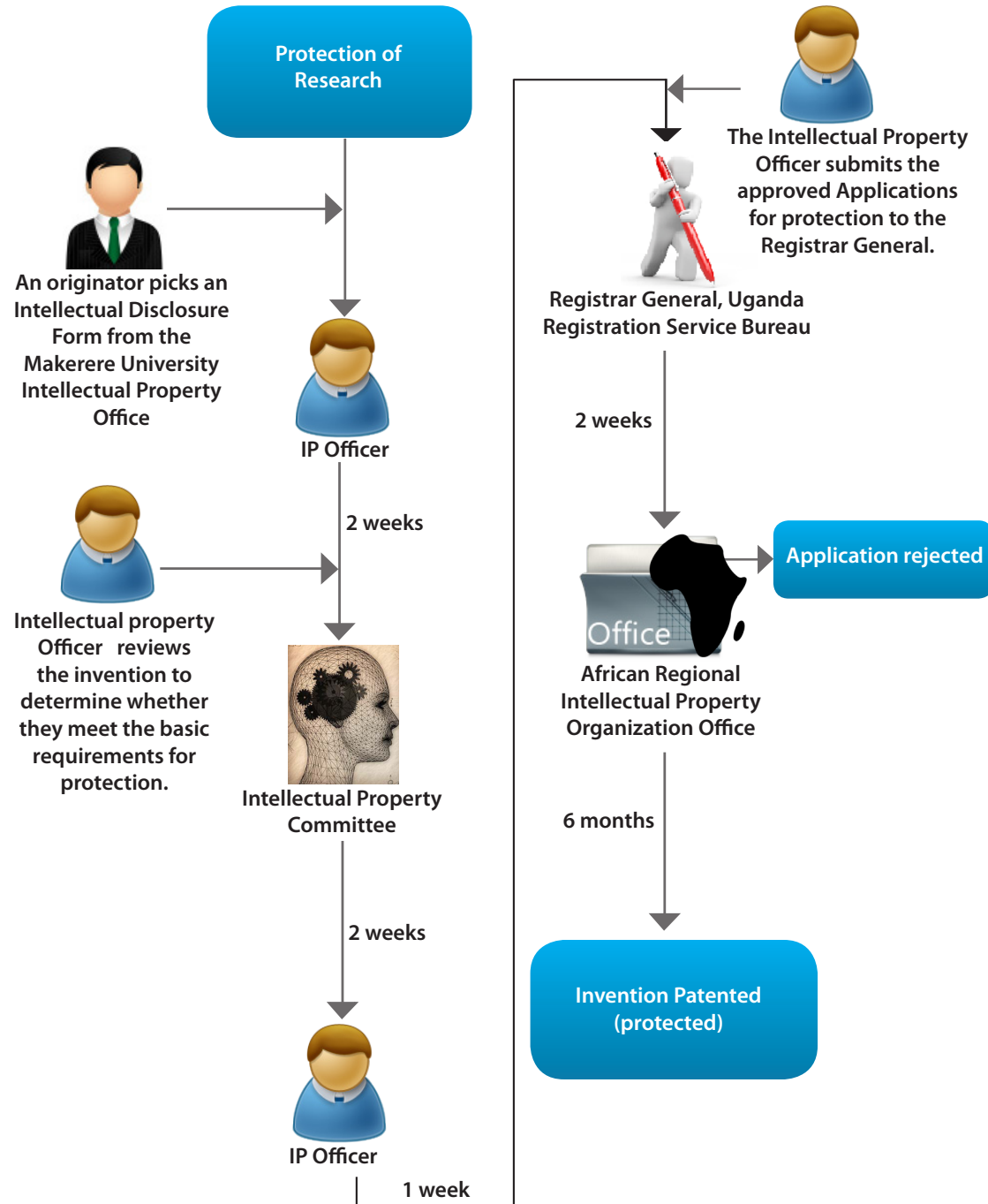### Description

PROCESS		PUBLISHING PAPERS	
Policy		The Research & Innovations Policy	
Purpose		To guide systematic Publishing of Papers	
Scope			
Brief Description of Procedure		The Process starts with a call to the	
S/N	**Activity**	**Responsible Officer**	**Duration of Activity**
1	Call for abstracts	Head of Unit	
2	Submission of abstracts / Papers to organizing Unit	Researcher	1 day
3	Identification of Reviewers	Head of Unit	1 week
4	Review of the abstracts / articles	Researcher	3 weeks
5	Feed back to researchers / authors	Head of Unit	1 day
6	Revision by authors	Researcher	3 weeks
7	Submission of revised Paper	Researcher	1 day
8	Editing by technical editors	Editor	3 weeks
9	Paper published	Editor	

INV 1.1 Protection – Patenting

Process Map

Protection of Research

An originator picks an Intellectual Disclosure Form from the Makerere University Intellectual Property Office

IP Officer

2 weeks

Intellectual property Officer reviews the invention to determine whether they meet the basic requirements for protection.

Intellectual Property Committee

2 weeks

IP Officer

1 week

The Intellectual Property Officer submits the approved Applications for protection to the Registrar General.

Registrar General, Uganda Registration Service Bureau

2 weeks

Application rejected

African Regional Intellectual Property Organization Office

6 months

Invention Patented (protected)

INV 1.1 Protection – Patenting

Description

PROCESS	APPLICATION FOR PROTECTION OF AN INNOVATION (PATENT)		
Policy	Intellectual Property Management Policy,2008		
Purpose	Protection of Research, Research outputs and Innovations		
Scope			
S/N	Activity	Responsible Officer	Duration of Activity
1	An originator picks an Intellectual Disclosure Form from the Makerere University Intellectual Property Office	Intellectual Property Officer	Return form to IP office after three working days
2	On return of the Form the Originator(s) fills in an assignment form in the witness of Makerere University Intellectual Property Officer	Intellectual Property Officer	Within three working days after submission of IP Disclosure Forms.
3	The Intellectual property Officer reviews the invention to determine whether they meet the basic requirements for protection	Intellectual Property Officer	Within fourteen working days
4	The Intellectual Property Officer forwards the application to the Intellectual Property Committee for review and decision whether the invention should be supported by the university	Intellectual Property Committee	Within fourteen working days
5	The Intellectual Property Officer compiles a list of inventions considered at the meeting that are going to be supported	Intellectual Property Officer	Two working days
6	The Intellectual Property Officer communicates to the applicant(s) on the decision of the committee	Intellectual Property Officer	Three working days
7	The Intellectual Property Officer Requisitions for funds required for Application for protection, depending on the numbers of applications approved by Intellectual Property Committee	Intellectual Property Officer	Five working days
8	The Intellectual Property Officer submits the approved Applications for protection to the Registrar General, Uganda Registration Service Bureau (URSB), under the Ministry of Justice and Constitutional Affairs. (An application comprises of the following: (a) Search, Filing and examination fees; (b) A written document which contains the description and claims and an oath or	Intellectual Property Officer	One (1) working day

INV 1.1 Protection – Patenting

Description

S/N	Activity	Responsible Officer	Duration of Activity
	declaration. The description must conclude with a claim or claims particularly pointing out the subject matter which the applicant regards as his/her invention. In a patent or patent application, the claim is the precise legal definition of the invention, identifying the specific elements of the invention for which the inventor is claiming rights and seeking protection. Claims may be either independent or dependent. While an independent claim does not refer to or rely upon any other claims in the patent, a dependent claim specifically refers to and relies upon another claim. (c) Also a drawing in those cases where it may be necessary		
9	When all requirements for the applications are fulfilled, a filing date will be accorded. After being accorded a filling date; it bars any other person to register for the same	State Attorney, Business Intellectual Property Rights Uganda Registration Service Bureau (URSB)	
10	The Application is sent to the African Regional Intellectual Property Office in Harare for a novelty search	State Attorney, Business Intellectual Property Rights (URSB)	
11	After search and examination; Incase there is anything patentable an Application will be accepted and a Certificate of Grant will be issued	IAfrican Regional Intellectual Property Organization Officers/ URSB Officers	Six months
12	And therefore an invention will be patented (protected), and it will become a Patent for Makerere University	Intellectual Property Officer	

INV 1.1.1 Guidelines on Protection of Research Outputs and Innovations

Introduction

INTELLECTUAL PROPERTY RIGHTS OWNED BY MAKERERE UNIVERSITY

(Makerere University here in after is referred to as the University)

Definition of Intellectual Property Rights (IPR)

Intellectual property rights are the rights given to persons over the creations of their minds. They usually give the creator an exclusive right over the use of his/her creation for a certain period of time.

Guidelines to University Intellectual Property Rights

1. Interpretation

In this guideline and any regulation made in accordance with it, unless the contrary intention distinctively applies;-

Committee: the Intellectual Property Committee.

Assignment: the transfer, by agreement or deed, of all Intellectual Property arising in a particular work or invention. The Intellectual Property most commonly assigned is rights in patentable inventions and copyright in literary works. It is also possible to assign rights in Intellectual Property to be created in the future. This can be done as part of an agreement under which a sponsor provides funding for a research project.

Board of Research and *Publications:* the legal body that oversees the development and implementation of research, innovations and intellectual assets of the University.

Commercialization: any form of exploitation of the Intellectual Property which may include assignment, licensing or the disposal of any other interests, whether in return for cash or payment in kind or any other form of value.

Confidential Information: any kind of information which because of its confidential character is capable of protection by contractual or equitable means, for example; information of a costly commercial and technical character or functional aspect.

Copyright Work: any artistic work, literary work, dramatic work, musical work, sound recording, cinematograph film, television broad cast, sound broad cast, cable programmes or published edition of work as those terms are clearly defined by the copyright Act Cap 215, 1964 and their respective meanings certified to them in that Act.

INV 1.1.1 Guidelines on Protection of Research Outputs and Innovations

Course Material: any copyright work created by an originator in the circumstances referred to in section 3a (i) strictly or precisely for use in or in connection with a course, subject or unit offered or to be offered by the University.

External Body: a company, government body, registered charity or any other entity or individual who is not a university employee.

Intellectual Property: any copyright work, design, patent, invention, confidential information, know – how, plant variety/plant breeders Rights, Trademark or other ingenuity of origin, and any related right.

Intellectual Property Management Unit: the unit in the University having responsibility for identifying, protecting and commercializing Intellectual Property.

Invention: an invention (whether or not it qualifies for registration) under the Patents Act Cap 216, 1993.

Originator: any person who makes whether or not in conjunction with another person(s) Intellectual Property.

Patent: a patent within the meaning of the patents Act Cap 216, 1993 and if applicable may include a standard patent or a petty patent.

Registered Design: the inventor has exclusive rights to use the design specified in the registration (e.g. logo) and species the coverage. The owner of a registered design has exclusive rights to authorize other people to use that design.

Research Results: the results arising from an individual's research including details of any Intellectual Property, results or source code.

Resources: include administrative support and other human resources of the University.

Scholarly Materials: include textbooks, academic journal articles, conference papers and related presentations, theses and dissertations, popular non-fiction, novels and poems, but excludes any such materials or part of them which can be defined as teaching material or University materials. In the interest of Intellectual Property Management Policy, computer software, firmware and database are also excluded from this definition.

Scholarship: includes a fellowship and a scholarship awarded by the University, a department, centre or other unit of University organization or person or body external to the University

Specific Contribution: in relation to the creation of Intellectual Property excludes a scholarship and means funding, resources, facilities or apparatus which is earmarked for the purpose of creating the Intellectual Property.

Spin Out Company: a company established with a view to commercializing of Intellectual Property originating from the university (whether on its own or with other Intellectual Property)

Student: Despite any meaning to the contrary in any other Act or regulation whatsoever, a student is a person who creates Intellectual Property in the course of the person's studies or research at the University undertaken in pursuance of a degree, diploma or unit offered by the University or any other affiliated qualification.

Teaching Materials: any material created within the university or created on behalf of the university ,that are intended to be used or accessed by students for the purpose of their course of study including course guides, handouts and presentation materials (including lecture notes, slides and other audio-visual material) instruction manuals and assessment and examination questions.

Trade Mark: a Trademark as defined by the Trademarks Act Cap 217, 1953

University Materials: any type of work produced for administrative purposes, including but not limited to promotion and marketing of University courses, students and staff recruitment, papers for any internal committee or similar body, material included in any university handbook for employees or students or and other university purpose and any item created by an employee of the university whose job description specifically includes the creation of printed or electronic materials.

University Resources: any form of funds, facilities, including equipment and consumables, use/supply of heat, light or power otherwise purchased or paid for by the university or other university subsidiary; or another employee's contracted hours of work.

2. Ownership of Intellectual Property

a) Subject to section (e), the University owns Intellectual Property,

1. which is created by an originator in accordance with the originator's employment under a contract of service with the University: or
2. Incase of sponsored research by external body; when the sponsor has made a substantial investment in the development of the technology which is the subject of the University research, specifically is likely to be the only practical user of the resulting inventions or incase it is solely the sponsor who has provided the proprietary information, technology, or material which is the basis for the research.
3. Notwithstanding section a (2) when the sponsor acquires ownership of the copyright or invention, the University retains a royalty—free right to use the Intellectual Property for any research and teaching purposes, and the right to sublicense to investigators for research and teaching purposes
4. The University and sponsor jointly own the Intellectual Property which is generated individually and collectively by one or more employees or students of the University and one or more employees of the sponsor in the performance of any research whatsoever.
5. The University policy on intellectual property control any individual consulting agreement
6. The University has definite rights to intellectual property developed by a Consultant, including the right to receive a disclosure of any inventions of the Consultant
7. Any rights to intellectual property which may be transferred by the Consulting Agreement shall be subject to the rights of the University as set out in this guidelines.
8. The University Intellectual property guidelines shall prevail over the consultancy Agreement should there be any inconsistency whatsoever between the consultancy Agreement and the University Intellectual property guidelines;
9. All University faculty, staff and students must disclose their inventions to the Intellectual Property Officer to determine ownership. And this also includes when a faculty member is an inventor as a result of work performed under consulting agreement

10. The University will not have absolute claim of ownership in an invention of the consultant where the invention is completely unrelated to the activity for which the inventor (consultant) is employed to do in the university;

11. 3a (xi) if the invention was not conceived or made under circumstances involving University facilities or personnel apart from the consultant

12. 3a (xii) The University will not have any legal obligation to the hirer of the consultant. The employee (consultant) is personally liable for any breach of his/her contractual obligations and should, therefore, peruse carefully any proposed consulting agreement and should seek legal advice from the University legal Officer if he/she has questions about any provision of the agreement. The Intellectual Property Officer will answer question specifically concerning Intellectual Property Ownership of the invention created out of the consultancy, but cannot provide personal legal advice.

b) In the case of Intellectual Property created by a student, the student assigns the ownership of the Intellectual Property to the University upon enrollment for study in the University.

1. The University owns the Intellectual Property created by an honorary Researcher in the course of their honorary activities to the university but this is subject to the terms and conditions of their honorary contract.

2. The Intellectual Property created by a university employee having an honorary appointment at any institution during that appointment shall lie with the employer who pays the salary of that employee.

c) The Vice Chancellor and the Board of Research and Graduate Training or Officer authorized by the Vice – Chancellor in the best interest of the University:

1. May enter into an agreement with an originator or other person in relation to the creation, ownership, assignment, licensing, use or exploitation of the Intellectual Property: and

2. Subject to subsection (d) shall, where the University owns the Intellectual Property, enter into an agreement with an originator referred to in subsection (a)(1) regarding the distribution of revenue between the University and the originator where the Intellectual Property is sold, assigned or licensed by the University.

d)
1. Subsection c (2) does not apply to or in relation to
2. Course material, or
3. Intellectual Property in respect of which the distribution of proceeds is governed by the Council's statement on patent proceeds distribution.

e) An agreement made in accordance with section (c) which is clearly in the best interest of the University prevails over any provision in this guideline or regulation made in accordance with this guideline which is inconsistent with the agreement.

f) Where an originator of a copyright work prescribed by the regulations is a member of the academic staff of the University, subject to subsection (g) the University by operation of this guideline assigns ownership in the copyright work to the originator.

g) The assignment of ownership in the copyright work under subsection (f) is subject to non exclusive, royalty free and irrevocable license to the University to duplicate, digitize, publish, perform, communicate to the public and otherwise use the work for the University's teaching and research significance.

h) Subject to sections (e) and (k) in cases where the University owns the copyright work, by operation of this guideline, the originator is granted a non – exclusive, royalty free and irrevocable license to use the copyright work for the originator's teaching and research purposes.

i) Subject to section (e) where the University owns a copyright in the computer program, the originator of the program may not disclose it or information concerning it other than reasonable disclosure to persons employed or contracted by the University without prior approval of the Intellectual Property Officer who, in deciding whether to give approval, must primarily consider, the need to preserve appropriate academic interchange and communication.

j) An originator must, if required by the Vice Chancellor and the Board of Research and Graduate Training or authorized officer, do anything reasonably required by the University in relation to Intellectual Property created in part or in whole by the originator to demonstrate its operation to third parties any costs of or for which are to be borne by the University.

k) Subject to section (e), an originator must not disclose the details of his creation or use that Intellectual Property if the disclosure or use.
1. Involves Computer information not approved under section (i) or
2. Disclosure or use being determined by the Intellectual Property officer as to prejudice the protection, enforcement or commercial exploitation of Intellectual Property owned in part or wholly by the University or by another person under an agreement made in accordance with section (c) or to any Government or Legislative requirement.
3. Notwithstanding section (k) a University Employee must not disclose university inventions while performing outside work for reward not until the University has had the opportunity to take the steps necessary to protect the innovation through patent or otherwise.

l) the Intellectual Property Officer must not prevent publication of a student's thesis beyond any time frame that may be set or reviewed by the Higher Degrees Committee.

m) before making a determination under section (k) the Intellectual Property Officer shall consult with the relevant senior academic staff and shall cause to be published and make available the current determinations which prohibit disclosure or use of Intellectual Property.

n) An originator must not apply for any form of protection for, or to commercially exploit or otherwise deal with any Intellectual Property, or do any act or thing in a manner inconsistent with the University's rights under this Guidelines, Regulations or otherwise.

o) Where the University causes to be published or publishes a copyright work, owned by the University pursuant to this Guideline,-
1. without any adaptation or other modification, the University shall ensure that the authorship of the work is acknowledged in the publication; or
2. With adaptation or other modification, the University shall consult with and obtain the agreement of the originator of the work on whether the authorship of the work is to be acknowledged and if he/she complies, then mode of the acknowledgement.

p) The University must remove the acknowledgement of authorship carried on course materials created by the originator should he/she request to that effect.

q) Before entering into an agreement to assign or license a copyright work owned by the University, the originator of the work must be consulted and reach an agreement on whether authorship is to be acknowledged and, if so, the form of the

acknowledgement.

r) Where the University owns Intellectual Property, other than copyright, it shall ensure if practicable that the originator is acknowledged as the inventor or co- inventor, as the case may be, in any relevant patent application or other documentation of any kind

s) If five years elapse from the date of the issuance of the patent without any arrangement for commercial development of the invention the University will ordinarily not continue to support the costs of maintaining a patent unless the Intellectual Property Officer recommends otherwise

t) The University will therefore assign the patent rights of the invention to the inventor(s) in case of failure to commercialize in a period described in section (s).

3. Using Third Party Copyright

a) Candidates who intend to publish their thesis must ensure that they obtain permission in writing and in advance of completion, for any signification third – party copyright content included within the final version of their thesis.
1.   Notwithstanding section (a) a candidate may not require permission if the amount of text reproduced or to be included is insubstantial
2.   Third party copyright material may include:
•   Any visual content like; figures, flow – charts, maps, graphics, designs, logos, photographs, tables, images, artworks, diagrams, graphs.
•   Textual material irrespective of whether it is published or not.
•   Collections or samples of data including questionnaires or interview scripts.
•   Electronic documents, soft ware code, text from websites.
•   Song lyrics, player, screen plays, poems.
3.   One will not assume to have got permission to use any of the third party copyright material listed in section (2) because;
•   The copyright holder is un available
•   The Copyright holder declines to reply to the request.
•   The permission has been granted by a person who does not have authority.
4.   The candidate requesting for permission to use third – party copyright material should include all information about how the work will be used, and where or how it will be published.
5.   Multi authorship: where the work has been done by more than one author, one executive author should be nominated by mutual agreement by the other co-authors. It is the executive author who will be responsible for obtaining written or electronic acknowledgement of authorship of papers, conference abstracts or related publications.
6.   Publication in Journals and the public media: Copyright in the work will be assigned to the Journal or book publisher, if it is accepted for publication. And the author will benefit through dissemination of the authors ideas to the research community and peer review.
7.   Assignment: Candidates joining Graduate studies may be required to assign ownership of some types of Intellectual Property created from their research to Makerere University as part of the terms of their enrolment in the Graduate program.
8.   Publisher: When a thesis is accepted for publication as a book, the author is required to sign a contract under which the publisher agrees to pay a royalty percentage to the author in return for the copyright assigned in the manuscript.
9.   License: The author may exclusively or non- exclusively license his/her work through a mutual agreement to the licensee to publish the work as a book or in a journal or in conference proceedings while the licensor retains ownership of the copyright.

10.   Intellectual property form: Although it is not a legal document, candidates and their supervisors should sign an Intellectual Property form at the time of the candidate's first enrolment. This will help a candidate to become aware of his/her rights and responsibilities in relation to Intellectual Property, and it will stimulate a discussion between the candidate and supervisor on Intellectual Property issues.
11.   A thesis with commercial materials: A thesis which contains significant commercial materials should not be delayed by Intellectual Property issues, but rather; examiners should sign a confidential agreement so that the examination proceeds.
12.   Collaborative Research: The supervisor should inform the candidate in writing interested in collaborative research areas that he/she needs not to disclose before completion of the work.
13.   Research Reports: In situations where research reports are required in a research agreement; the University on behalf of the author of the reports, may assign copyright of the report delivered to the sponsor. However, the University explicitly reserves the right to continue to use data and information contained in the report. And should the report be published by the sponsor, the University may require acknowledgment of the University contribution
14.   Non-Disclosure Agreement: Candidates involved in research should sign a non – disclosure Agreement if they want to protect some confidential information.

4. Intellectual Property Committee

There shall be an Intellectual Property Committee which shall be a Committee of the Academic Board from various disciplines

5. Regulation Making Power and Promulgation

a) The University Council may make regulations for and with respect to;
1.   Ownership, licensing and use of Intellectual Property:
2.   Developing Intellectual Property
3.   Commercial exploitation of the Intellectual Property;
4.   Apportionment of income generated by Intellectual Property.

6. Distribution of Proceeds

a) The University shall recover all direct expenses incurred for the patenting, protection and licensing of each university invention from the proceeds before distributing the net proceeds remaining among the inventor(s), major administrative unit and the university.

b) The University reserves the right to review the modalities for sharing proceeds among the originator(s), the inventor's major administrative unit and the University from time to time.

PART IV: PROFILES /ROLES/
JOB DESCRIPTIONS

Director Research and Graduate Training

The Director oversees and coordinates the functions of the Directorate of Research and Graduate Training, and reports to the Vice Chancellor/DVC Academic Affairs. The roles of the Director are the following:

• Coordinating the research and innovations function in the university

• Mobilising resources to support the research function

• Generating income from research and innovative ideas

• Promoting quality graduate training

• Promoting the generation and use of knowledge at the university

Deputy Director Research, Innovations and Knowledge Transfer Partnerships

The Deputy Director assists the director to coordinate the functions of the division of Research, Innovations and Knowledge Transfer Partnerships, and reports to the Director. Specifically, the role of the Deputy Director is to assist the Director in:

• Coordinating of research activities in the University

• Producing an annual update on on-going research publication in the University

• Organising courses, workshops seminars and symposia on research activities

• Handling research publications in the University

• Soliciting funds for enhancement of research in the University

• To perform any other duties as may be assigned by the Director

Research Grants Officer

The officer is in charge of the Research and Research grants unit. Broadly, the Research Grants Officer assist the Deputy Director in the coordination of the research support team and provides support to researchers and research programs in the areas of funding, information and professional development. Specifically, the Research Grants Officer assists the Deputy Director of the division in:

• Monitoring of research activities in the University

• Collating of information about on-going research and publications in the University

• Organising courses, workshops seminars and symposia on research activities

• Updating and managing a database of funding sources for research and research related activities

• Providing information on funding sources to the university community

• Providing advise and assisting researchers on pre-grant (grant applications) and post grant procedures

• To perform any other duties as may be assigned by the Director

Assistant Research Grants Officer

The officer assists in the coordination of research projects and grant applications for both the humanities and science disciplines, and reports to the Research Grants Officer. Specifically, the Research Support Officer assists the Research Grants Officer in the roles identified in 4.3 above:

• Monitoring of research activities in the University

• Updating research database in the University

• Making reports on courses, workshops seminars and symposia on research activities

• Updating the database of funding sources for research and research related activities

• Sourcing information on funding sources to the university community

• Assisting researchers on pre-grant (grant applications) and post grant procedures

• To perform any other duties as may be assigned by the Director

The Intellectual Property and Technology Transfer Officer

The IP&TT officer is in charge of the IP&TT office, and reports to the Deputy Director, RI&KTPs. Specifically, the officer assist the Deputy Director RI&KTPs in:

- Providing a database of promising innovations and research outputs
- Providing support to innovators, researchers in business development
- Providing support to innovators, researchers in commercialization of promising innovations and research outputs
- Sourcing for promising innovation and research outputs from researchers in the colleges/institutes and research centers
- Liaising with the private sector forum of the university in the process of business incubation and commercialisation of innovations and research outputs
- Any other duties assigned by the Deputy Director, RI&KTPs

Commercial Development Officer

The CDO assists the Deputy Director, RI&KTPs in:

- Providing support to innovators in the Technology Transfer, Business Development and Commercialisation of innovations and research outputs

Publications Officer

The Publications officer is in charge of the publications unit and reports to the Deputy Director, RI&KTPs. Broadly, the Operations Officer manages both pre- and press activates. Specifically, the Operations officer assist in:

- Handling pre-press activities i.e. receive, review and produce camera ready copies of manuscripts for publication
- Publishing Journals hosted at Makerere University
- Facilitating the production of scholarly books authored by Makerere staff
- Facilitating the distribution of learning and instructional materials
- Identifying and collaborating with marketing outlets for scholarly materials produced by the Makerere University Press
- Liaising with the Makerere University Library
- Any other duties assigned by the Deputy Director, RI&KTPs

Assistant Publications Officer / Editor

The Editor ensures that quality manuscripts are submitted for publications. Specifically, to assist the publications officer in:

- Receiving, documenting and handling manuscripts from prospective clients
- Screening manuscripts for conformity with the requirements
- Identification of reviewers
- Any other duties assigned by the operations officer

Contact Information

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