



# NDEJJE UNIVERSITY

## RESEARCH AND INNOVATIONS POLICY

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## ABBREVIATIONS AND ACRONYMS

NDU	Ndejje University
NCST	National Council of Science and Technology
DHDC	Department Higher Degrees Committee
FHDC	Faculty Higher Degrees Committee
SHDC	School Higher Degrees Committee
HDRCo	Higher Degrees Research Coordinator
IEARDA	International Extramural Associates Research Development Award
JCRC	Joint Clinical Research Centre
MUHJU	Makerere University Johns Hopkins University
MDGs	Millennium Development Goals
SP	Strategic Plan
SO2	Strategic Objective 2
GS	Graduate School
APA	American Psychological Association
IEEE	Institute of Electrical and Electronic Engineers Referencing Style
PI	Principal Investigator
Co-I	Co-investigator
AI	Associate Investigator
VC	Vice Chancellor

## **FOREWORD**

Ndejje University Research Policy is a milestone in the journey towards the goal of a vibrant research culture and excellence in research at the University. By spelling out the processes, procedures, requirements, rules and regulations that govern the research mandate of the University, this policy illuminates the path of research and gives authority and confidence to all who are involved in the different research activities in their various roles and capacities. Faculty, staff and students shall operate from a common source of authority, rights and obligations which will make it possible to map out and attain group and individual research goals efficiently.

The Research Policy is a major factor in assuring our research partners of our commitment to integrity in stewardship of research funds and commitment to assure high quality in research. This should encourage them to commit personnel and resources to partner with us in capacity creation, research projects and dissemination ventures of mutual benefit.

Ndejje University is grateful to all those who have contributed to the making of this Research Policy both from within and outside the University. We are grateful to Top Management for their inspiration and support. The Academic Registrar, Directors of the Directorate for Research and the Graduate School, the Heads and Deans of the Faculties and their Research Co-ordinators who have worked through the various drafts and revisions since the initiation of the policy formulation process to this final draft.

The University is particularly grateful to Makerere University Johns Hopkins University (MUHJU) and Find Partners International who have worked with the Directorate for Research, since 2008, to strengthen capacity for research for students, staff and faculty. The International Extramural Associates Research Development Award (IEARDA) at Joint Clinical

Research Centre (JCRC) have co-funded research capacity strengthening workshops with Ndejje University since 2010. They have also worked in partnership with the Directorate for Research in the formulation of this Research Policy. We sincerely appreciate these partners' contribution to the development of research at Ndejje University and the nation as a whole.

Top Management of Ndejje University is fully committed to upholding the Research Policy, ensuring that students, staff and faculty adhere to its provisions and to ensuring the growth and development of excellence in research at the University.

**FEAR OF GOD BRINGS KNOWLEDGE AND WISDOM**

A handwritten signature in black ink, appearing to read 'ELIABU LUGUJJO', with a horizontal line underneath.

Professor Eliabu Lugujjo  
Vice Chancellor  
Ndejje University

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## **CHAPTER ONE**

### **BACKGROUND TO THE RESEARCH AND INNOVATIONS POLICY**

#### **1.1 Preamble.**

The mandate and central functions of Ndejje University, namely, teaching, learning, research and outreach, service to the nation and community, depends on an atmosphere of academic freedom; that is freedom of inquiry, thought, expression, publication and peaceful assembly. It is an atmosphere where expression of diverse points of view is encouraged and is free from institutional orthodoxy and internal or external coercion. Ndejje University Research And Innovations Policy shall uphold academic freedom for the various actions engaged in to fulfil the mandate of the University. It shall govern the search for, appointment, promotion of faculty; the assignment of teaching and other primary academic responsibilities; and the support and sponsorship of scholarly research. A person's political, social, or other views that are not directly related to academic values or to assumption of academic responsibilities shall not influence granting or withholding of benefits or any other demands necessary to focus on research; neither shall race, ethnic origin, sex nor religion be a hindrance therein unless it is contrary to Ndejje University core values. Nothing in the foregoing shall be deemed to affect the University's application of affirmative action policies in its faculty research procedures.

Ndejje University Research Policy contributes towards and reinforces the vision, mission, core values and principles that form the foundation of the University as provided in the Ndejje University Charter ( 2009), the current Strategic Plan

2012/2017 and the various University policies and regulations.

## 1.2 Ndejje University Vision, Mission and Core Values

The vision, mission, and core values of the University are the foundation of all that is undertaken at the institution and beyond. They permeate all aspects of the research and innovations policy and agenda.

**Vision:** To be a leading private, Christian-based, university in Uganda offering quality Academic and Professional Programmes and producing graduates of integrity.

**Mission:** To provide Christian-based high quality and innovative Teaching, Research and Outreach.

**Core values:** The five core values are:

- 1). **Integrity:** Integrity is regarded as honesty and truthfulness or accuracy of one's actions. It is the opposite of hypocrisy and regards internal consistency as a virtue. Consequently, the University shall promote integrity in its dealings with all stakeholders (internal and external) and ensure that its policies, guidelines, procedures, actions and decisions are carried out with utmost integrity.
- 2). **Hard work:** Hard work involves expending ones energies and efforts towards the achievement of a desired goal or outcome. Consequently, Ndejje University shall promote and foster hard work and commitment right from Council, Management, Faculty, Staff and the students' body through unwavering emphasis on efficiency and effectiveness in all aspects of the University's operations.
- 3). **Team Work:** Team work requires that members work individually and collectively towards a common goal. Consequently; the University shall promote establishment and sustainability of work and project teams that will be formed to further its mandate and mission. Such teams shall be supported with adequate resources, a conducive environment

and strategic guidance and will be continuously reviewed for better performance.

4). **God fearing and respect:** Respect for God and man fosters responsibility and wisdom among humans. Consequently; the University shall promote Godly practices and foster unity in diversity among all its Council Management and staff. Godly principles shall permeate all actions and decisions by the University.

5). **Creativity:** Creativity refers to the phenomenon whereby a person creates something new that has value. Consequently; the University shall, through teaching, learning and research, promote the discovery of new knowledge, new ways of doing things and new solutions to existing problems.

### 1.3 **Ndejje University Strategic Plan 2012/2017.**

Ndejje University is implementing its second Strategic Plan. Research and innovation constitute strategic objective 2 which has five objectives, namely;

a). Establish and operationalize a research policy and agenda that will guide identification, conduct and publishing of research.

b). Mobilise and allocate adequate funding for research from local, regional and international sources

c). Improve linkages between Ndejje University and the public and private sector so as to open avenues for research collaboration.

d). Increase dissemination of research findings locally and internationally

e). Build capacity of the faculty and students to generate research ideas (issues), conduct research and publish research findings.

The Research and innovations Policy, although geared towards the implementation of strategic objective 2 of the Strategic Plan, extends beyond 2017 to provide a broader

policy framework for research at the University. This policy does not override any established policy of the University but rather supplements and reinforces its existing policies, rules and regulations.

#### **1.4 Scope, Purpose of the Policy and Organisation of the Chapters.**

The scope, purpose and organisation of the chapters is as follows:

##### **1.4.1 Scope**

The policy spells out the rules and regulations that shall guide research at the University. It spells out provisions for coordination of internally and externally funded research.

It includes policy on dissemination and publication of research findings and results as well as policy for intellectual property and copyright. It outlines procedure for establishing affiliate laboratories, research institutions and centres and also spells out the requirements for internal University structures for award and management of external research funds. This research policy applies to all members of the University involved in research in any capacity. It includes, but is not limited to faculty, professors emeritus, sessional lecturers, staff, trainees, clinical faculty, undergraduate and graduate students, visiting professors and scholars, professional affiliates, associate members, residents and postdoctoral fellows at the University

##### **1.4.2 Purpose**

The purpose of this research policy is to guide research at Ndejje University and efficiently direct the research mandate of the University as a chartered University in Uganda and within the global community of universities. It helps to enhance and strengthen a research culture that boosts research capacity and guides the University to excellence in research and management of research funding and other research

resources.

### **1.4.3 Organisation of the Policy Document**

The policy is presented in three chapters. Chapter one is the general background. It starts with a preamble followed by an outline of the context of the research policy.

Chapter two presents the policy that shall govern teaching, conducting and supervising research at Ndejje University at diploma, undergraduate and graduate degree level. It also includes policy for co-authorship of research output and internal funding of staff and faculty research.

Chapter three focuses on policy for the various requirements of funded research but is also a comprehensive policy for all aspects of academic research. It addresses issues of responsibility and obligations of researchers, managing conflict of interest and commitment, handling and resolving grievances and research misconduct.

The chapter outlines provisions for internal coordination of funded research, dissemination and publication as well as rules to govern intellectual property and copyright. It outlines the procedures for establishing affiliate laboratories, research institutions and centres. It also has provisions for establishing the internal University structures for managing research grants including other funded research resources and materials.

### **1.5 Governing Principles**

The principles governing research are in line with other University policies, core value, guidelines and regulations. They include the principle of integrity, transparency, compliance, and responsible conduct of research.

Research and all scholarly and artistic work at the University, shall be carried out in adherence to stipulated ethical standards in the pursuit of creating, refining and extending knowl-

edge and understanding. Stewardship of resources allocated and acquired for research and scholarly work will be transparent and compliant with the University and funding agency's policies, procedures and regulations.

The policy presents broad principles to guide the research enterprise and assure the integrity of scholarly inquiry at university, including the rights and responsibilities of researchers in the creation and dissemination of knowledge.

Allegations of research misconduct shall be dealt with through the established channels and due process to ensure fair and just investigation in order to protect the reputation and integrity of the concerned and involved individuals.

The University will provide on-going educational opportunities to build research capacity of students, staff and faculty, and all those involved in the research endeavour to assure the highest standard and quality of research.

#### **1.6 Research Environment at the University.**

Research grows and flourishes in an atmosphere of academic freedom. The policy guarantees the required level of academic freedom and responsibility in conducting and managing the research processes.

Researchers shall enjoy the right to academic freedom in the pursuit and support of research. They also have the right to disseminate the results and findings of their research without suppression or modification from external sponsors beyond those provisions explicitly stated in the policy on openness in research. As members of the faculty, they shall have the right to engage in external consulting activities, subject to the University's, and in some cases, individual schools/faculty limitations. The policy assures the fullest protection of freedom of inquiry, thought, expression and publication.

Individual scholars will be free to select the subject matter of their research in a responsible manner and in relation to



the mandate of the University and obligation to contribute to creation of knowledge for the growth and development of the nation, region and beyond. They will be free to seek support from any recognised source for their work, and to form their own findings and conclusions. These findings and conclusions should be available for scrutiny and criticism by peers. Research techniques should not violate established professional ethics pertaining to the health, safety, privacy, and other personal rights of human beings or to the infliction of injury or pain on animals or any other research subjects. The University shall endeavour to distribute research resources in a fair and just manner. In cases where all needs cannot be met because of limited resources, space, facilities, funds, and other resources for research programs shall be allocated based on the scholarly and educational merits of the proposed research, and not on speculations concerning the political or moral impropriety of the uses which might be made of its results.

### **1.7 Guidelines for funded research**

Ndejje University Research Policy provides guidelines related to funding of research. The guidelines in no way diminish, but instead, reinforce the individual researcher's personal responsibility to assure that the conduct of research, the sources of funding for that research, and its perceived applications are consistent with the individual researcher's judgment and conscience, and with established professional ethics.

## **CHAPTER TWO.**

### **RESEARCH AT NDEJJE UNIVERSITY**

Ndejje University offers academic and professional programmes with a view to producing academicians and professional with excellent skills and integrity. Training and hands-on experience in research is among the keys to this goal. The research policy provides the guidelines for the procedures that will ensure a culture of excellence in research. Teaching/learning and supervision of diploma, undergraduate, graduate and post graduate research will be governed by the following:

#### **2.1 Basic Requirement**

All diploma and undergraduate students will take, at least one course in research methods and or statistics. Diploma students will also prepare and be examined on a research proposal that will be submitted as a requirement for the award of the diploma. Undergraduate students will prepare a research proposal and carry out field or library/desk research. Some faculties may require students to do a research project while others may have the option of offering an extended essay or library research as part of the degree award requirements. Departments/faculties shall clearly indicate the research requirements and options available to students at Diploma, undergraduate and graduate level in their information packages.

#### **2.2 Teaching Research Methods and Statistics**

Lecturers who teach courses in research methods and statistics shall be fully qualified and competent for the level of teaching and supervision they undertake. Diploma teaching personnel shall preferably hold a Bachelors degree or above



while undergraduate lecturers and supervisors shall hold a Masters degree with research methods and or statistics and at least a B grade, or 70%, in Undergraduate research methods and or statistics. The required qualifications for teaching and supervision of student research shall inform the recruitment of personnel to teach at diploma, undergraduate and graduate level.

### **2.3 Supervision of Undergraduate Research**

The ratio of staff- to-student supervision should be between 15-20 new students, groups, or projects per staff for supervision per academic year depending on experience and workload. The ratio is intended to ensure effective supervision and high-quality work as well as balancing supervision with teaching, research and any other community service a lecturer shall be involved in. Allocation of new students for supervision shall take into account the number of continuing supervisees a lecturer already has. Departments/faculties shall do all they can to help students complete research in the stipulated time. There will be penalties/costs attached to failure to finish research within the time for completion of the diploma/degree.

#### **2.3.1 Monitoring progress of undergraduate student research**

The student is responsible for conducting and completing research in the stipulated time for the diploma/degree. The research supervisor is responsible for guiding the student and monitoring progress. The supervisor and student shall conduct the supervision process in a professional manner. An official supervision format shall be used for all supervision and monitoring of student research. It shall indicate date of initial and subsequent supervision meetings. The date when work is received by the supervisor and the date of the supervision meeting shall be shown.

The time allowed for the supervisor to mark the work and call a supervision meeting shall not exceed one month from the date of submission of the work by the student for supervision. Receipt of work for supervision should be dated and signed by the student's supervisor or secretary of the relevant Department/Faculty, who receives the student's work on behalf of the supervisor. Subsequent re-submission of corrections made by the students shall not exceed two months from the last date of supervision feed-back from the supervisor to the student. Supervision shall take place at the University during normal working hours, as much as possible, or in a public place as opposed to private home, residence or other personal or non-academic settings. Ethical considerations shall guide all aspects of supervision, especially the conduct, safety, and security of the student's work.

All students shall submit research work for examination on or before the stipulated deadline for submission of such work.

### **2.3.2 Submission of undergraduate research reports**

The deadline for submitting undergraduate research reports is 30th May of every calendar year. Late submission of research reports by students shall cause a financial penalty and must be before 30th June every year. The University, through Senate, shall determine the amount of financial penalty for late submission of research reports from time to time. The deadlines for submission of research reports shall be in line with the Academic Registrar's guidelines for receiving marks for research reports/dissertations/thesis and all other examination results for preparation of the graduation list for October of every year.

## **2.4 Graduate Research**

Students who offer Masters and or PhD degrees shall have advanced research methods and statistics, background or do remedial courses, at their expense, to make up for lack of the

required background. Departments, faculties, schools shall allow students to choose to be on an academic or professional programme. The academic programme shall require a full process of field research, including data collection and analysis, interpretation and writing a dissertation. Students on an academic programme shall be encouraged to publish at least one article in a peer-reviewed journal. Students on a professional degree programme shall do library research and write an extended essay for their dissertation. They shall be encouraged to publish at least one article in a peer reviewed journal.

#### **2.4.1 Teaching and supervision of Graduate Research**

Lecturers who teach and supervise graduate research shall preferably hold a PhD degree and have post graduate research experience of at least one year. Graduate lecturers and research supervisors with a Masters degree should have a strong Research Methods and Statistics background and a dissertation with grade B score at Masters level with an equally strong undergraduate level Research Methods and Statistics grade (B/70%); and proven track record of research and publication since graduation.

#### **2.4.2 Mentoring new graduates to supervise student-research**

A new Masters graduate, without student research supervision experience, shall be mentored for supervision (i.e co-supervise a graduate student with a senior scholar who has a five years old Masters or a two years old PhD), for at least, three graduate student dissertations. During that period the mentor shall monitor and report on the progress in the supervision skills of the mentee and finally make a recommendation when the mentee is ready to supervise alone having acquired the required capacity and competency to supervise independently. A format and form for the mentor to indicate progress of the mentee shall be used to record progress and

submit reports to the department head, faculty dean or school director and it shall be adhered to strictly by both the mentor and mentee.

## **2.5 Procedures and steps during graduate research**

There will be tiers of training, guidance and supervision for every student within the Department, Faculty and the Graduate School (GS).

### **2.5.1 The role of the Department and Faculty.**

The Department Head or Dean of Faculty shall be responsible for ensuring the quality and standard of the subject matter of the dissertation. The Graduate School shall be responsible for the quality and standards of research methodology and overall quality of the dissertation or thesis. The student shall be responsible for doing the research, preparing, presenting and defending the dissertation or thesis at a viva voce panel. The supervisor shall be responsible for giving professional guidance to the student to ensure that the research and dissertation or thesis is done and completed successfully.

The final responsibility for the quality and timeliness of the dissertation or thesis shall rest with the student. The student shall be responsible for meeting all requirements for clearing the research and compliance with all stipulated ethical standards and the Guidelines of the National Council of Science and Technology of Uganda (NCST). Ndejje University shall establish an Internal Review Board (IRB) to vet research proposals in fulfilment of the requirements of the NCST.

The Department or Faculty shall guide and ensure that all registered students choose researchable topics within the Ndejje University and national research agenda and that there is a member of staff who is qualified and competent enough to supervise the students to the completion of the research.

There will be committees to monitor and evaluate the qual-

ity of research at different levels. Departments, Faculties, Schools shall establish Department, Faculty, School Higher Degrees Committee (DHDC/FHDC/SHDC) and Higher Degrees Research Coordinator (HDRCo) to ensure informed selection of research topics, and competent student research at the Department and Faculty level.

All research proposals and reports, dissertations, or theses shall conform to the Ndejje University Graduate School Research Guidelines for the format and presentation of the final research report, dissertation, or thesis. The guidelines are entitled: Ndejje University School of Postgraduate Studies Guideline: From the Proposal to the Graduation List.

November 2010. (This document shall be up-dated from time to time). Research proposal, reports, dissertations and theses that do not conform to the format of the Guidelines shall not be accepted for examination.

#### **2.5.2 Monitoring of progress, and adherence to deadlines**

The ratio of staff- to-student supervision for graduate research shall not exceed 1- 5 new Masters students, groups, or projects per and not more than 3 PhD students per supervisor per academic year, depending on experience and workload. Departments/Faculties shall be free to seek competent academic supervisors from certified universities to assist where there is need to do so. External supervisors shall be vetted and cleared by the Department/Faculty/School Higher Degrees Committee before they commence supervision of Ndejje University students. Allocation of new students for supervision shall take into account the number of continuing supervisees a lecturer already has. Departments/faculties shall do all they can to help students complete research in the stipulated time. There will be penalties/costs attached to failure to finish research within the time for completion of the

degree.

The student is responsible for conducting and completing research in the stipulated time for the diploma/degree. The research supervisor is responsible for guiding the student and monitoring progress. The supervisor and student shall conduct the supervision process in a professional manner.

A Supervision format and form shall be used for all supervision. It shall indicate date of initial and consequent supervision meetings. The date when work is received by the supervisor and the date of the supervision meeting shall be shown. The time allowed for the supervisor to mark the work and call a supervision meeting shall not exceed one month from the date of submission of the work by the student for supervision. Receipt of work for supervision should be dated and signed by the supervisor or secretary of the relevant Department/Faculty. Subsequent re-submission of corrections made by the students shall not exceed two months from the last date of supervision feed-back from the supervisor to the student. Supervision shall take place at the University during normal working hours, as much as possible, and in a public place as opposed to personal home, residence or other private or non-academic settings. Ethical considerations shall guide all aspects of supervision, especially the conduct, safety, and security of the student's work.

### **2.5.3 Adherence to stipulated deadlines for submission of dissertations or theses.**

The deadline for submitting the dissertation/thesis for examination is 30th May of every calendar year. Late submission shall be on or before 30th June, and in line with the Academic Registrar's deadlines. There will be a financial penalty for late submission of dissertations or theses. The University, through Senate, shall determine and publish the amount of financial penalty for late submission, from time to time.



The deadlines for submission shall be in line with the Academic Registrar's deadline for receiving marks for research reports/dissertations/thesis and all other examination results for preparation of the graduation list for October of every year.

## **2.6 Rules and regulations against plagiarism**

Plagiarism shall disqualify the work submitted for the award of diploma or degree at Ndejje University and shall be punished accordingly. Plagiarism includes but is not limited to, copying other students, scholars, people's work, from other institutions or NDU and presenting it as one's own work.

Failure to acknowledge source of information or ideas, and wilful deceit by using other peoples' academic work in presenting assignments, research reports, dissertations, thesis or other academic work is plagiarism and shall not be tolerated.

Ndejje University shall maintain zero tolerance for plagiarism.

## **2.7 Accepted academic writing style.**

The University shall accept standard academic writing styles for the academic disciplines offered at Ndejje University. For example, the American Psychological Association (APA) writing style, shall be the style for writing in the Social Sciences. Basic Sciences can use either APA or Chicago style but must inform Graduate School of the chosen style and be consistent for all students in the given faculty. Engineering shall use the Institute of Electrical and Electronic Engineers Referencing Style (IEEE). These are the acceptable styles for all research reports, dissertation and thesis submitted for the award of Ndejje University degrees. The list of accepted academic writing styles shall be updated as departments/faculties submit and adopt other academic styles for their respective disciplines.

## **2.8 Co-authorship of supervised research output:**

Students and supervisors shall be free to co-author and publish research findings. Co-authorship and co-publication shall be governed by this policy as follows:

a). The principal author in student and supervisor publication

A principal author is the owner of the research idea or initiator of the research. The student, is the principal author of the first article of supervised research for the award of a degree.

The supervisor is the co-author. Claim for co-authorship will not extend to subsequent articles unless there is substantial contribution that merits the claim. The PI shall be the principal author for joint/team research by staff, faculty and students. Further publications authorship shall be determined by the terms governing the joint research project.

b). The co-author: Co-authorship shall be based on substantial contribution to the conceptualisation and design of the research, acquisition analysis and interpretation of data, drafting or revision of the article/report/dissertation/thesis for important contribution to content and final approval for the version to be published. Authorship includes contribution by writing or reviewing one or more sections of the research paper/report/dissertation/thesis etc.

The University encourages co-authorship and publication. At the end of every academic year, undergraduate and graduate research work that is grade B+ and above (75% and above) will qualify for publication in the Ndejje University Journal. The normal process for quality and format of the journal articles and acceptance for publication shall apply. Ndejje University researchers shall be free to publish in other reputable peer-reviewed journals in Uganda, the region and internationally.

## **2.9 Internship and Research Outside the University by students.**



Ndejje University departments or programs shall establish formal internship programs to expose their students to the work of outside entities. During these internships students may work either on campus or at the site of the outside entity. Alternatively, students may undertake a research project or other activity in collaboration with an outside entity, in some cases do research at the outside entity's site; where this is allowed as part of the student's academic program (for example, research for a PhD. dissertation or an undergraduate Honors project); a faculty advisor shall approve and oversee the student's project and be responsible for the student's grade and the certification of the appropriateness of the research or project report, dissertation or thesis. The work or research at an outside site shall only be approved if there are no secrecy conditions or where secrecy does not interfere with University supervision, access and dissemination to enable assessment and grading for the award of University credentials, diploma, degree or any other academic award.

Students shall ensure access to their work by their faculty advisors, and for presentation of their work that shall be required as a component of an internship program, and to summarize their work in oral reports, term papers, honors, theses, and dissertations. In cases where the research is primarily performed on-site at an outside entity, that entity may keep certain information confidential (as happens in many research interactions between academic researchers and outside entities). The outside entity may also request the right to delay for up to 90 days publication of any work pending review of the intellectual property. However, this delay shall not be allowed to hinder the student's completion of required academic work, such as oral presentation of term papers, or defense of theses, or dissertations.

## **CHAPTER THREE.**

### **POLICY GOVERNING FUNDED RESEARCH**

Research that is funded through Ndejje University resources shall be referred to as internally funded research. Research funded through resources obtained from donors and funders from other sources shall be referred to as externally funded research.

#### **3.1 Internally Funded Research.**

The University shall have a research vote for staff and faculty. Access to the funds in the vote shall be open and competitive. The research vote shall be managed in a transparent, fair and meritocratic manner at all levels. Open competition shall be used to identify and select worthy research projects. The rules, procedures and principles outlined in the Ndejje University Staff Research Competition Guidelines shall govern access and utilisation of internally funded research at the University. Failure to adhere to stipulated policy, rules and regulations shall attract appropriate disciplinary action.

#### **3.2 Externally Funded Research.**

Ndejje University encourages and has trained staff and faculty to seek and win external research funding. The policy to govern external funding for research at Ndejje University shall be as follows:

The roles, responsibilities and obligations of participants in externally funded research shall be spelt out clearly in the individual funding arrangements. This policy shall supplement such arrangements to ensure efficient and effective oversight responsibility-role by the University.

### **3.2.1 Responsibilities and obligations of Principal and other Investigators.**

The principal investigator, co-investigators and other researcher and support in a research team shall adhere to the rules, procedures and requirements stipulated in this policy, the contracts and other agreements reached with the sponsor/funder of the research and all the rules and standards set by Ndejje University and the Uganda National Council for Science and Technology.

This indicates the characteristics of individuals who qualify to conduct research. They include:

### **3.3 Eligibility, responsibilities and obligations of the Principal Investigator.**

Eligibility to act as a Principal Investigator (PI) or Co-Principal Investigator (Co-PI) on externally-funded projects is a privilege limited to faculty members. Permission to have scholars, researchers from other institutions, organizations as PI or Co-PI or other research team members shall be required before such researchers are involved in research by the University. Principal investigators are responsible for determining the intellectual direction of the research and scholarship, for the training of graduate students, and for compliance with all institutional, national and sponsors laws and regulations.

#### **3.3.1 Establishment of project teams**

Establishment of project teams shall be the Principal Investigator's responsibility. In this regard, the PI will consider such factors as project requirements, sponsor guidelines related to key project personnel, and the qualifications and contributions of participating researchers, among other factors. The University considers Co-PI to be equivalent to principal investigators in all regards. Eligibility for co-principal investigator's status is therefore the same as for principal investigator status, as defined in this policy

### **3.3.2 Non-Faculty or Non-Staff Principal Investigators**

Non-faculty or non-staff members may qualify to be PI under some exceptional circumstances. The policy governing qualification of non-faculty or non-staff shall be as follows:

a). A non-faculty member with relevant qualifications for research project PI may be eligible as a PI as long as the relevant qualifications are the same or better than those that shall be required by a faculty principal investigator, or the individual works in collaboration with faculty as investigators, and is ready to comply with University policies and regulations and designate the Faculty Dean or Department Head in the capacity of co-investigator. This arrangement shall be subject to approval by the Director of Research. The Head/Dean shall apply for permission to engage non-faculty/non-staff PI and Co-PI. Written approval for shall be obtained from the Director of Research.

b). In the case of student-initiated research, other than research for the award of a degree, the academic supervisor or mentor shall be the PI and the student shall be the co-investigator.

c). Exceptions to the Principal Investigator eligibility shall apply in those situations in which exceptions may be granted by the Department Head or Dean if all of the prescribed conditions are in place. This will be on a case-by-case basis, taking into consideration the nature of the research proposal, and subject to approval by the Director of Research. Applications for such exemptions shall be in writing and shall be accompanied by minutes of a Department/Faculty meeting where the exemption was approved. Every proposal shall be approved on its merit and the duration of the research and the approval shall be specific. Such exceptions may include conferences, exhibits, workshops or public events.

i). Conferences, Exhibits, Workshops, or Public Events:

Researchers who are not members of NDU Academic staff or faculty may be approved by the Head/Dean to serve as PIs on externally-sponsored projects whose sole purpose is to fund short conferences, exhibits, workshops, or other public events of a character appropriate to the University's mandate under the guidelines for exception to PI eligibility specified in (c).

ii). Specific Projects which are part of large interdisciplinary programs can be exempted. Researchers who are not members of the faculty may be approved, as specified in (c), to serve as PIs on projects within the scope of a large interdisciplinary program. For this purpose a "large interdisciplinary program" is defined as a research program which is directed by a member of the faculty, has an expected duration beyond the involvement of any individual faculty participant, has more than one faculty member involved, and requires expertise in more than one discipline or technical area.

Exception shall be permitted as long as:

- 1). The proposed project is a demonstrably important component of the success of the overall interdisciplinary program.
- 2). There is no member of the faculty associated with the large interdisciplinary project who is qualified to take responsibility for the scientific direction of the prospective research project;
- 3). No extra space or other resources will be required for the project;
- 4). For each graduate student participating on the project, a qualified faculty member shall be identified to assure that the student's research program and the education derived from it are consistent with the degree for which the student is a candidate;
- 5). Exceptions approved under this provision shall be reported to the Director of Research on an annual basis.

### **3.3.3 Rare Exceptions for Principal Investigator**

It is possible that from time to time there will be some rare cases of a PI who should be authorized to undertake research under the category of “Rare exception for PI. The rare category shall apply to proposals submitted by visiting faculty members and other senior visitors who come to the University for a limited period of time; or proposals submitted by a faculty candidate selected by a department but not yet approved by the Appointment Committee; administrators who submit proposals in support of a project in their area of operation; special cases of sponsored instruction; and situations where a faculty investigator ceases to be available and it is necessary for the proposed principal investigator to oversee an orderly phase out of a project.

Requests for exception for a rare PI shall be made, by a member of the faculty, on behalf of the proposed principal investigator. Such requests shall be subject to the approval of the cognizant department head, faculty dean, school director and the Director of Research.

In all cases, the following six criteria shall be fulfilled as a requirement for approval of a Rare Exception PI to manage the research project. They include the requirement that:

a). The proposed research must meet a programmatic need of the University. Meeting a programmatic need means addressing an area of investigation that is not currently covered at the University and is endorsed by a sponsoring faculty member as directly relevant to and supportive of the research or teaching programs of the faculty. Research that may be important in its own right and for which outside funding is available shall be judged as meeting the programmatic need criterion on case-by-case basis, as long as it facilitates the ongoing objectives of the University in an identifiable and direct way.



b). The proposed research cannot be funded and/or conducted effectively at the University unless the proposed individual is the principal investigator. Among other things, this generally will mean that there is no member of the faculty available to take the responsibility for the scientific direction of the project.

c). The proposed principal investigator's qualifications to direct the project provide assurance that the research will be conducted in accordance with the standards of excellence of the University, national and international guidelines.

d). No extra costs to provide space for the research project will be required.

e). For each graduate student participating in the project, a qualified faculty member shall be identified to assure that the student's research program and the education derived from it are consistent with the degree for which the student is a candidate.

f). The research must be designed and conducted in such a way that work can be discontinued when programmatic need ends or if the sponsoring faculty member ceases to be available.

g). A written copy of any requests for exemptions to PI eligibility shall be made available by the faculty requesting for the rare exception PI to the Director of Research together with the justification and approvals of the sponsoring faculty member, and the Head/Dean. A copy of the research project proposal for which the rare case PI is requested must also be attached.

### **3.4 Project Designations other than Principal Investigator**

Other project designations are at the discretion of the Principal Investigator, and may include the following:

a). Associate investigators

The PI shall designate associate investigators (AIs) in circumstances where this designation would be consistent with sponsor guidelines. The PI shall select AIs from the faculty, staff and students who qualify to undertake research. These shall include members of the academic teaching-staff, academic research-staff, postdoctoral scholars, instructors or other researchers.

b). Co-Investigators

The PI shall designate senior members of the academic, administrative or library faculty as Co-Investigators(Co-Is) on research projects in areas or disciplines where such senior faculty and staff members carry substantial project leadership roles. This designation shall normally not be used for Post-doctoral Scholars, Instructors or other researchers. However, such designation may be used in cases where the researcher is performing in such a role and the designation is allowed by the sponsor.

c). Consultants and other research personnel

The PI shall designate qualified personnel with roles of consultants, research assistants, data analysts, evaluation specialists, administrators, project coordinators as the PI deems such roles to be necessary.

### **3.5 Responsibilities under research projects.**

Researcher under this policy shall mean students, staff and faculty assigned research roles on a research project or projects. Members of other universities or institutions who are assigned research roles on Ndejje University research projects shall all be designated as researchers and this policy shall apply to them too. Under this policy student means registered students pursuing approved university courses and degrees awarded by Ndejje University. Staff means administrative, technical and other professional members of the University.



Faculty means academic staff.

There are various levels and areas of responsibility for the researcher, including:

#### **3.5.1 Responsibility of the University to the researchers.**

The University shall be committed to demonstrating support and appreciation for the researchers by providing a regulated and conducive environment for research activities. Faculty members shall be facilitated and encouraged to build capacity for research and to create professional mentoring mechanisms within the research projects.

#### **3.5.2 Responsibility of faculty researchers to staff and students**

Faculty members must be aware of their obligations to staff and students working as part of the research team. It is particularly important that, at least annually, each faculty member should review intellectual and tangible property rights and responsibilities (for management of data in all media, for proper authorship attribution, and all intellectual property rights, with all members of the group under his or her direction, including staff, students, post-doctorate, and visiting scholars. Each member has the right to know who is sponsoring the research and supporting his or her salary or stipend. On an individual level, the best interests of each staff member and student should be of particular concern.

#### **3.5.3 Responsibility of the students as researchers**

In the case where students establish research arrangements with outside entities, it shall be the responsibility of the student to ensure that issues of openness of access to research data and findings, ownership of intellectual property, conflict of commitment and interest are properly taken care of. This policy establishes guidelines for the conduct of that responsibility such that the student's outside activities are conducted in a manner that allows openness in research, appropriate

ownership of any resulting intellectual property, and protection against potential conflict of commitment and interest. This policy provision applies to all students, including undergraduate and graduate students and postdoctoral scholars.

#### **3.5.4 Responsibility during preparation of the Research Project.**

The PI and researchers shall know, observe and adhere to all the requirements of the roles and activities assigned to them in the research project. These shall include, among others:

a). Costing preparation of the research proposal

The PI shall make sure that the cost of proposal preparation activities in support of new directions in research are not charged to sponsored projects. Department heads and faculty/school deans must ensure that non-sponsored project funds are available to offset the portion of the investigator's and his or her staff's salaries from sponsored projects for effort spent preparing proposals to support new directions in research.

The cost of proposal preparation efforts for continuing research is appropriately charged to current projects.

b). Obtaining permission and approval for research protocols and instruments

The Principal Investigator shall ensure that all the relevant permissions and approvals from institutional, national and international laws and regulations pertaining to the research are obtained prior to initiation of the research. There are academic obligations and regulations that may be unwritten, but are just as important. These include but are not limited to integrity in allocation of time for research versus other obligations and commitments, use of research funds and facilities, giving due credit to junior and support staff and so on. The University and granting organizations shall provide guidelines for such responsibilities and obligations. Nevertheless, all researchers have a responsibility and obligation

to maintain high levels of integrity in research. The PI shall arrange for any necessary training on researcher obligations and responsibilities before initiation of the research project. Principal Investigators is/are also responsible to assure the periodic inspection of lab facilities, and to cooperate in any inspections by university personnel or by external agencies. Faculty researchers shall ensure that approved research protocols for the use of human and animal subjects in research are obtained and followed in research by students and staff.

### **3.5.5 Responsibility during conducting of research**

The following shall be considered:

a). Health and safety during the research enterprise.

While all faculties have a responsibility to train students in research ethics and principles; researchers in leadership roles on a research project shall ensure that all members of the research team have training in appropriate ethical requirements and research methods. The training shall ensure the integrity of research health and safety procedures for that particular research area, and for management of those procedures in the laboratory or other workplace.

b). Responsibility when a researcher combines consultancy and research work.

Members of the academic staff may be permitted to engage in outside consultancy activities under specified conditions. These shall be discussed among staff, faculty and Ndejje University administration. University guidelines on the responsibilities and obligations of engaging in consultancy work while working on a research project shall govern the conduct of such consultancy work.

c). Responsibility and fiscal obligations

Although the legal agreement funding a sponsored project is between the sponsor and the University Council, the overall responsibility for management of a sponsored project, within

funding limitations, shall rest with the PI. Funds must be expended within the restrictions of the contract or grant, and if any overdraft should occur, it is the responsibility of the PI to clear the overdraft by transferring charges to an appropriate account.

d). Responsibility for equipment control

The control of both university and sponsor-owned equipment is mandatory under the University's externally sponsored contracts and grants policy as well as under university research policy. Principal Investigators shall be responsible for securing necessary approvals for the purchase of the equipment, and for proper tagging, inventory, and disposal of equipment, according to the national laws and regulations related to procurement, maintenance or disposal of such equipment and according to the University regulations for the same.

e). Responsibility to certify salaries charged to Sponsored Projects

The University shall be required by the government to document effort charged to sponsored projects. It is the responsibility of each department head and dean to see that a system is in place to ensure that the PIs on various research projects fulfill the requirement for review and certification of salaries, and to assure that salaries charged to sponsored projects correspond to effort expended on those projects, within the appropriate limitation for their department/faculty/school as well as Ndejje University Guidelines for Managing Grants and Sponsored Research Projects.

f). Responsibility for Technical and Progress reports

A researcher shall be obliged to submit sponsor-required reports through the PI and the Department/Faculty to the Director of Research, on a timely basis. If the Department/Faculty has a Research Projects Manager, the reports shall be

submitted to the PI and through the Manager to Director for Research. Researchers and the Director of Research shall ensure that all contract and grant files are complete at all times. The Directorate for Research shall have the custodial responsibility for all information related to any research enterprise or project at Ndejje University. Information about degree award research shall be stored at the relevant Department/Faculty, but a list of the research reports/dissertations/theses shall be submitted to the Directorate on an annual basis. The Directorate for Research shall keep a complete record of all research done at Ndejje University starting with research undertaken when this policy comes into force.

### **3.6 Conflict of Commitment and Interest**

Conflict of commitment occurs when (a) the demands on the time and effort of the researcher are incompatible. The time committed for research shall not be compromised by taking other commitments that take time away from research commitment. b). Conflict of interest occurs when there is overlap between an individual's private interests and his or her professional obligations to the University such that an independent observer might reasonably question whether the individual's actions or decisions are determined by considerations of personal gain, financial or otherwise.

The University policy pertaining to conflict of interest shall require truth and integrity of the individual researcher to disclose any situation that could lead to real or apparent conflict of commitment and or interest. The University policy shall require an annual certification of compliance and disclosure of potentially conflicting relationships. In addition, researchers shall be required to make prompt ad hoc disclosure of any situations which arise during the year in which outside obligations have the potential for conflict with the faculty member's allegiance and responsibility to the University and

the research project.

### **3.6.1 Conflict of commitment or interest arising from research or consultancy work**

As part of their education, students, including postdoctoral scholars, may establish relationships with outside entities, such as government agencies, private companies or non-profit organizations. These relationships may range from student internships that are part of a formal educational program established by the student's department or program to the actual conduct of a student's research or scholarship project at the outside entity. Students may also have opportunity to serve as consultants to outside entities, independent of their academic programs. Such relationships may have considerable educational value for the student, however, the establishment of these relationships raises issues concerning the open vs. proprietary nature of the work, the ownership of any intellectual property that may lead to conflicts of commitment and interest.

This policy establishes guidelines for the conduct of these relationships in a manner that allows openness in research, appropriate ownership of any resulting intellectual property, and protection against potential conflicts of commitment and interest. These policy statements apply to all students, including undergraduate and graduate students, and postdoctoral scholars.

### **3.6.2 Conflict of commitment**

Despite the expectation that students' primary obligation is to fulfilling their degree requirements and that they will generally be full-time, the University shall not prohibit students from outside work, whether for pay or not. Students have a wide variety of outside interests and activities that take time away



from their academic pursuit, including involvement with outside non-profit or for profit entities, some of which may be related to the students' academic interests and future careers. It would be both difficult and inappropriate for the University to decide which of these activities are allowable. It is, however, appropriate for students' academic advisers to monitor their academic performance, and if inadequate, to investigate about the students' outside activities and to recommend that students reduce or terminate their outside commitments. Students should not make more than incidental use of university resources in the course of pursuing activities with outside entities.

### **3.6.3 Conflict of interest**

Conflict of interest is likely to occur in situations where students, staff and faculty are involved in the transfer of technology gained through their research to the private sector to benefit society, an important function of the modern university. This may lead to relationships such as the following between students and an outside entity: licenses for technologies invented at the university; consulting, directorship, or founder positions; and research or stipend support. Situations such as these raise the potential for conflict of interest. A conflict of interest occurs where there is overlap between "an individual's private interests and his or her professional obligations to the University such that an independent observer might reasonably question whether the individual's professional actions or decisions are determined by considerations of personal gain, financial or otherwise. A conflict of interest depends on the situation, and not on the character or actions of the individual. It is wrong for an individual's actions or decisions made in the course of his or her University activities to be determined by considerations of personal gain, financial or otherwise.

The following are additional guidelines shall be applicable to situations where researchers have relationships with outside entities related to their academic activities:

- a). Students shall support and foster an atmosphere of academic freedom by promoting the open and timely exchange of results of scholarly activities, by ensuring that their scholarship is not influenced by consideration of personal or commercial interests, and by informing their faculty advisor or teacher of outside obligations that might influence the free exchange of scholarly information between them and others in their research group or class.
- b). Researchers shall not use University resources, including facilities, personnel, equipment, or confidential information as part of their outside consulting activities or for any purposes that are unrelated to the education, research, scholarship, and public service missions of the University.
- c). Researchers shall disclose the creation or discovery of all potentially patentable inventions created or discovered in the course of research on University research projects, while using University facilities or materials or any other University resource including the University logo or other identity or status. Ownership of such inventions must be assigned to the University regardless of the source of funding. The student as inventor shall have an appropriate share in royalties earned from the patented invention.
- d). Researchers shall disclose to the University whether they, or members of their immediate family, have consulting arrangements, significant financial interests, or employment in an outside entity before the University will approve either technology licensing arrangements or procurements between such entities and the University in situations which involve the student.



In such cases, formal University approval will be required prior to entering into each such proposed arrangement.

e). Researchers disclosures of outside relationships shall be made to the student's faculty research advisor or cognizant faculty member/ instructor. The faculty member shall call unusual situations to the attention of the department head or faculty/school dean or any other member of faculty in charge of the unit where the student is affiliated.

f). In case of a situations where the principle of objective scientific research could be reasonably questioned, the student and research advisor shall discuss with the Head/Dean how the conflict of interest shall be managed.

g). The researcher may appeal any decision made by the Department Head to the Faculty/ School Dean. In the case of an appeal of the FacultyDean's or School Director's decision, the researcher shall appeal to the University Research Board through the Director of Research. The decision of the Research Board shall be final.

### **3.7 Grievances Related to Research at the University.**

The grievance procedures are designed to assure that decisions by faculty members and University research administrators comply with the standards of academic freedom. These procedures are internal to the University and are aimed at preserving confidentiality and academic integrity while protecting the rights of individual researchers. The procedures also outline what may constitute grounds for grievances, the process of raising the grievances, the process and procedures for handling such grievances as well as the administrative remedies for the grievances. The process includes arbitration, as well as procedures for litigation, in compliance with national laws and regulations.

Faculty researchers shall channel their grievances through the PI to the Head/Dean, unless the grievance is brought against

the PI; in which case, the grievance shall be channeled through the unit/department/faculty/school research coordinator.

The following policy shall apply to redressing research-related grievances:

1. The rights herein conferred shall be enforceable only by a person who is directly aggrieved and who holds a faculty position on a full-time or contractual basis.
2. Faculty members shall present their own grievances but shall not have a right to present grievances on behalf of their parties, particularly non-faculty members.
3. If any faculty member feels aggrieved by a decision that he or she believes to be in violation of academic freedom related to research, he or she may file a grievance in accordance with procedures and attendant standing rules as stipulated in the Human Resource Manual, Relevant Senate Rules and Regulations that govern research, Ndejje University Research Policy and any other University governing rules and regulations.
4. For grievances brought in whole or in part for alleged violation of academic freedom, the rules and procedures shall be modified accordingly to address the nature of the appeal.
5. To the extent that a research grievance or appeal does not involve a violation of academic freedom, the Research Board may refer the grievance or appeal to the relevant organ of the University as it deems appropriate, which organ or committee shall consider the matter and make appropriate recommendations for action.

### **3.8 Procedures to ensure responsible conducting of research**

Researchers shall be expected to carry out research with integrity and respect for the rights of colleagues, subjects and

respondents as well as the communities where research is conducted. The University shall have the primary responsibility for the prevention and detection of misconduct, and for the conduct of inquiries and investigations. Sponsor or other funding agencies shall have the right to initiate their own investigations where there is justification for carrying out such investigation or where the University asks them to do so. The University shall make available reasonable facilities for sponsors and funding agencies to enable them to conduct the necessary investigation. The policy to govern failure to adhere to responsible research conduct shall be as follows: The University definition of research misconduct, and procedures for investigating and reporting allegations of misconduct, conform to the definitions and regulations of the Uganda National Council of Science and Technology Act (1990).

#### **3.8.1 What constitutes research misconduct**

a). Research misconduct” is defined as “fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results”. Fabrication means making up data or results, and recording or reporting them. Falsification means manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record. Plagiarism means the appropriation of another person’s ideas, processes, results or words without giving appropriate credit.

ii). Research misconduct shall not include honest error or honest differences in interpretations or judgments of data. A finding of research misconduct requires that there is a significant departure from accepted practices of the relevant research community; the misconduct is committed intentionally, or knowingly, or recklessly; and the allegation is proven by a preponderance of the evidence.

iii). This policy addresses only research misconduct, and does not govern such misdeeds as reckless disregard for accuracy, failure to supervise adequately, and other lapses from professional conduct or neglect of academic duties. Investigations related other misconduct such as serious academic deficiencies in proposing, conducting or reporting research, but not constituting research misconduct, shall be dealt with through relevant disciplinary measures of the University

### **3.8.2 Applicability for responsible conduct of research**

These conditions and definitions of responsible research conduct shall apply to:

- a). Research proposed, conducted or reported at the University by university-related individuals, i.e. those with an appointment or official affiliation with the University, including faculty, academic staff, students, postdoctoral scholars, visiting scholars and any others who make significant use of university research resources, including participation in any sponsored project awarded to the University, and those with any other University teaching and/or research titles such as adjunct clinical or consulting appointments.
- b). Research proposed, conducted or reported elsewhere by such university-related individuals as part of their University-related duties or activities. Such University-related individuals shall be determined by the University on the merit of the nature of research activity.
- c). Research proposed, conducted or reported with a claim, citation or implication by the researcher or research team that the research was done at Ndejje University, or where a university appointment or official affiliation is claimed, cited or implied in connection with the research.

### **3.8.3 Procedure for investigating research misconduct**

The policy governing investigation of research misconduct shall be as follows:

a) Preliminary inquiry into misconduct in research

An inquiry shall consist of preliminary information-gathering and preliminary fact-finding to determine whether an allegation or an apparent instance of misconduct has substance.

The outcome of an inquiry shall determine whether or not an investigation shall be conducted.

b) Investigation of misconduct in research

An investigation shall consist of formal examination and evaluation of the facts of the allegation and any other relevant facts to determine whether or not misconduct in research has taken place.

c) Process and time-frame for School/Faculty Dean's review of misconduct in research

The following describe the process and time frame for dealing with research misconduct.

i). Individual reporting responsibility.

Any individual who believes an act of research misconduct has occurred or is occurring should notify the Head/Dean of the concerned Department faculty or school except in the case where the Head/Dean is the subject of investigation. In such a case the individual(s) who believe the Head/Dean is involved in research misconduct shall notify the Director for Research. Reporting such concerns in good faith is a service to the University and to the larger academic community, and shall not jeopardize anyone's employment.

**3.8.3.1 Preliminary inquiry into allegation**

The Head or Dean shall immediately carry out preliminary assessment and determine whether or not there is adequate reasons and or grounds to proceed. In case of sufficient reason, and or ground to proceed with investigation, the Head/Dean shall immediately inform the Director of Research of the need to investigate research misconduct immediately.

The Dean's review of an allegation of research misconduct

and, if called for, the inquiry and investigation, shall be carried out personally or through such standing or ad hoc committee or other disciplinary arrangements as each Dean deems best. The inquiry and investigation shall be carried out in a manner that is thorough, competent, objective, fair and appropriately protective of the confidentiality and reputations of all participants. Such assessments, inquiries and investigations shall be coordinated with the office of the Director of Research to ensure that they are carried out in conformity with applicable regulations of the University, government and funding agency, as the case may be.

b). Preliminary assessment of allegation of research misconduct

Upon receipt of an allegation of research misconduct the Head/Dean shall assess the information presented to determine whether it constitutes alleged research misconduct as defined by this policy, and whether the allegation is sufficiently credible and specific enough to yield sufficient evidence of actual or potential research misconduct. If there is sufficient credible and specific evidence, the Head/Dean shall immediately begin an inquiry and shall inform the Director of Research that an inquiry is underway. The Head/Dean shall provide the details of the research project and the source of funding for the research under investigation for research misconduct. The provisions of the contract between the researcher, Ndejje University and the funding agency regarding research misconduct shall be adhered to.

c). The Head or Dean's Inquiry of research misconduct

An inquiry is to determine whether a formal investigation of the research misconduct is warranted. If the preliminary assessment shows grounds to conduct an inquiry, the Head, Dean shall be guided by the following:

i). The Head or Dean shall identify any outside funding



- source(s) for the research that is the subject of the inquiry.
- ii). Those conducting the inquiry shall take all reasonable and practical steps to obtain custody of the research records and/or evidence needed to conduct the misconduct proceeding, inventory the records and evidence, and arrange them in an orderly and appropriate manner.
  - iii). At the time of, or before the beginning of an inquiry, the accused individual (hereafter referred to as “the respondent”) shall be informed of the allegations, and be invited to comment on them. The respondent shall also be provided with a copy of the draft report of the inquiry, and be given an opportunity to comment on the findings for the consideration of those conducting the inquiry. In so doing, best efforts shall be made (where feasible) to protect the identity of the individual(s) who brought forward the complaint (hereafter referred to as “the complainant(s)”).
  - iv). The parties involved shall have the right to present their view on the allegation, in person.
  - v). Other relevant individuals, including the complainant(s) shall be interviewed. The final report, including a recommendation as to whether or not a full investigation is warranted, shall be submitted by the Head or Dean to the Director of Research. The time between the allegation and carrying out an inquiry shall be 60 days. The final report shall include any comments provided by the respondent in response to the draft report.
  - vi). The documentation on research misconduct inquiry shall include sufficient detail to permit a later assessment of the determination of whether or not a full investigation was warranted. It should describe the information reviewed, include a summary of the interviews conducted, state conclusions reached, and indicate whether or not the Head/Dean believes an investigation is warranted.



vii). The final report of the inquiry and a copy of the documentation are to be transmitted to the Director of Research. A copy of the report and all documentation shall be kept in the Department Head/Faculty Dean's office for seven years. Unless the Director of Research has further concerns, a Dean's recommendation that an investigation is not warranted shall be final.

viii). In a case where the Head/Dean is the subject of the inquiry, the Research Board shall set up a committee of inquiry under the Director for Research. The procedure for the investigation of the Head/Dean shall be the same as outlined in c. I to vii); namely, The Head or Dean's Inquiry of research misconduct. If the inquiry leads to the conclusion that an investigation is warranted, it will be guided by the following considerations:

i). The formal investigation shall begin within 30 days of the completion of the inquiry and after written notice to the respondent. The investigation shall be completed and the final report sent to the Director of Research within 90 days from the first day of the investigation.

If an investigation cannot be completed within this time frame, the Director of Research shall be notified as soon as possible. In such cases, it shall be necessary for the Director of Research to request an extension of time from the funding agencies.

ii). An investigation shall include an examination of the relevant documentation, including but not limited to relevant research data and proposals, publications, correspondence, and memoranda of telephone calls and all other relevant communication by any means (faxes, e-mail...).

iii). Complainants, respondents, and witnesses who may have information related to the matter should be interviewed. Complete written summaries of each interview shall be pro-

vided to the individual being questioned, and any comments shall be appended to the summary, or reflected in a revised summary if the interviewer agrees. The summaries shall be retained by the department/faculty, school Head, Dean or Director for seven years.

iv). All significant issues shall be pursued until the investigator is reasonably certain that he or she has amassed all necessary and appropriate information.

v). A draft written report of findings shall be made available to the respondent with the opportunity to provide comments for the consideration of those conducting the investigation. Where identified and appropriate, complainants should also receive the portions of the draft report which concern the role or opinions they had in the investigation. Any comments on the draft from the respondent (and from the complainants, if applicable) shall be appended to the final report.

vi). If there is more than one respondent, and their involvements are found not to be identical, separate draft reports should be prepared if practical, in order to preserve confidentiality.

In addition to the interview summaries and comments by the respondent and complainant(s) (if applicable) on the draft report, the final written report should include:

i). A description of the policies and procedures followed

ii) How and from whom relevant information was obtained

iii). The findings and basis for them

vi). If either the faculty, school Dean or the Director of Research considers that sanctions may be warranted, the Director of Research shall refer the final report to the University disciplinary committee. The report should be sufficient for the appropriate University Disciplinary Committee to determine whether disciplinary action is called for. If any sanctions result, the Director of Research shall be informed, and he or she

should append that information to the final report.

### **3.8.3.2 Internal coordination and reports to the Director of Research**

In order to assure compliance with external notification requirements, Faculty/ School Deans must report the following circumstances to the Director of Research in a timely manner:

- i). Commencement of an inquiry
- ii). Conclusion of an inquiry
- iii). Commencement of an investigation
- iv). Consultation if an investigation will take more than 90 days to complete
- v). Conclusion of an investigation.
- vi). If termination of an inquiry or investigation before its completion is contemplated for any reason, this should be reported and discussed with the Director of Research.

In addition, the Director of Research is to be advised at once if any of the following circumstances are discovered:

- i). An immediate health hazard, including human or animal research subjects
- ii). An immediate need to protect Government or University funds or equipment
- iii). An immediate need to protect the integrity of the research and/or the research misconduct proceeding
- iv). An immediate need to protect the interests of those involved in the research misconduct proceeding
- v). Likelihood that an alleged incident will be reported publicly
- vi). A reasonable indication of a possible criminal violation.

In emergency situations, Deans are authorized to take all appropriate actions, including notifying external agencies directly, if conference with the Director of Research is not possible in a timely manner.

#### **3.8.3.4 Responsibility for interim action.**

The Director of Research is also authorized to take all appropriate actions.

- i). The Dean shall also take interim action as necessary to protect funds. The Faculty Dean, School Director shall inform the Director of Research of such actions.
- ii). If during an investigation, facts come to light that could affect current or potential funding of the people under investigation, or that may, in the Dean's judgment, need to be disclosed in order to ensure proper use of research funds or protection of the public interest, these facts should be reported to the Director of Research as they are discovered
- iii). The University will comply with the applicable requirements and regulations of its funding agencies, and will cooperate with those agencies in the agencies' own procedures in regard to research misconduct. In any particular situation, school Deans are advised to review current regulations and requirements, and to consult with the Director of Research.
- iv). Under specific circumstances, the University Senate shall make the decision whether information about the charges and their disposition will be disclosed publicly or to specific parties, including the research sponsor. This decision will normally be made upon the conclusion of the final report. However, if required by urgent circumstances, such a disclosure may be made at any time.
- v). Obligations to Sponsors  
Sponsors shall be notified of the outcome of an inquiry involving funds if that outcome includes the recommendation to conduct a full investigation.

#### **3.8.3.5 Commencement of an Investigation**

Written notification will be provided to sponsors upon determination that an investigation will be conducted. This notice is to be provided on or before the commencement of the

investigation. The notice shall include at least the following: name(s) and position(s) of the respondent(s); general nature of the allegation(s); the agency support including any proposal or award numbers; the basis for the recommendation of an investigation; any comments by the respondent. This information will be held in confidence to the extent permitted by law.

a). Written request for a time extension: Although regulations generally permit 120 days for completion of the investigation and submission of the final report, the University requires deans to consult with the Director of Research if it appears that the final report will take more than 90 days to complete. This allows 30 days for the disciplinary process, if it is decided to pursue one. The final report to the funding agency must include a statement about the sanction (if any) imposed by the institution.

b). Interim reports: The sponsor shall be apprised during an investigation of facts that may affect current or potential funding of the individual(s) under investigation, or that may need to be disclosed in order to ensure proper use of national funds or protection of the public interest.

c). Early termination: The sponsor shall be notified of any decision to terminate an inquiry or investigation prior to the completion of all relevant requirements. This notice must include the reasons for such action. However, some agencies retain the right to investigate the matter further on their own.

d). Final Outcome: Funding agencies will be notified of the final outcome of an investigation involving their funded project(s), and provided with a complete copy of the final report.

e). Special emergency notifications: In addition, funding agencies will be informed at any stage of an inquiry or investigation if any of the following is discovered:

- i). An immediate health hazard, including an immediate need to protect human or animal subjects;
- ii). An immediate need to protect University funds or equipment,
- iii) An immediate need to protect the integrity of the research and/or the research misconduct proceedings.
- iv). An immediate need to protect the interests of those involved in the research misconduct proceedings.
- v). A likelihood that an alleged incident is going to be reported publicly
- vi). A reasonable indication of possible criminal activity.

#### **3.8.3.6 Determination of disciplinary action**

The determination as to whether disciplinary action to be imposed shall be governed by existing University policies. In cases involving faculty, disciplinary sanctions may only be imposed through the faculty disciplinary process. Cases involving staff members will be referred to the appropriate committee. As noted above, serious academic deficiencies not constituting research misconduct are to be addressed by the relevant faculty/school Dean, or by initiating the relevant disciplinary process as appropriate. In addition, in cases where research misconduct is found, the Faculty dean, School director and/or the Director of Research may take all other appropriate actions (including the correction of the public record) as deemed necessary and advisable to address the consequences of the research misconduct.

##### **a). Caution and assistance**

The gathering and assessing of information in cases of alleged research misconduct can be extremely difficult. It is essential to protect the professional reputations of those involved, as well as the interests of the public and of any who might be harmed by the alleged misconduct.



In the course of conducting inquiries or investigations, the following provisions are applicable:

- i). expert assistance should be sought as necessary to conduct a thorough and authoritative evaluation of all evidence.
- ii). precautions should be taken to avoid unresolved personal, professional or financial conflicts of interest on the part of those involved in the inquiry or investigation.
- iii). the anonymity of respondents and, if they wish it, the confidentiality of complainants shall be protected (where feasible), and care shall be taken to protect the positions and reputations of those involved in the research (including research subjects) and in the research misconduct proceedings from harm (including retaliation). Except as required in the reporting provisions above, only those directly involved in an inquiry or investigation or with a need to know should be aware that the process is being conducted or have any access to information obtained during its course. Where appropriate, efforts will be made to restore the reputations of the respondent(s) when allegations are not confirmed.

### **3.9 Data Ownership, Access, Retention and Sharing**

The provision for ownership, access, retention and sharing establishes University policy to assure that research data is appropriately recorded, archived for a reasonable period of time, and available for review under appropriate circumstances

Accurate and appropriate research records are an essential component of any research project. Both the University and the Principal Investigator (PI) have responsibilities and rights concerning access to, use of, and maintenance of original research data. Except where precluded by the specific terms of sponsorship or other agreements; tangible research property, including the scientific data and other records of research are the property of the University. The PI is responsible for the



maintenance and retention of research data in accordance with this policy. Questions on the interpretation of this policy may be directed to the Director of Research.

### **3.9.1 Applicability of ownership, access, retention and sharing policy**

This policy shall apply to all University faculty, staff, students and any other persons involved in the design, conduct or reporting of research, and it shall apply to all research projects on which those individuals work, regardless of the source of funding for the project. Research data include laboratory notebooks, as well as any other records that are necessary for the reconstruction and evaluation of reported results of research and the events and processes leading to those results, regardless of the form or the media on which they may be recorded. Ndejje University shall retain research data in sufficient detail and for an adequate period of time to enable appropriate responses to questions about accuracy, authenticity, primacy and compliance with laws and regulations governing the conduct of the research. It is the responsibility of the Principal Investigator to determine what needs to be retained under this policy.

Where research is funded by a contract with the University that includes specific provision(s) regarding ownership, retention of and access to technical data, the provision(s) of that agreement shall be negotiated with the University.

The research policy emphasizes openness in research; defines and prohibits secrecy, including limitations on publication of results or undue restrictions on sharing of research outputs.

The principle of openness in research, i.e. the principle of freedom of access by all interested persons to the underlying data, to the processes, and to the final results of research; is one of over-riding importance. This principle shall be implemented to the fullest extent practicable, and that no program

of research shall exhibit undue secrecy. The University might identify areas where exceptions shall apply:

The terms “Laboratory,” “Institute,” or “Centre” may be used informally to designate research efforts or programs within single departments. Alternatively, they may be more formally structured between several departments within one school, or as separate organizational units reporting to a faculty/school Dean. As used in this policy, the term “Independent Laboratory, Institute and Centre” designates those formally-organized research or scholarly programs which involve faculty members from more than one faculty/school, and which report to the Director of Research. These entities have the following characteristics:

- a). They must be directed by permanent or fully contracted faculty.
- b). They may not offer courses for student credit that are not cross-listed with regular academic departments.
- c). They do not admit students nor confer degrees.
- d). Typically, they do not have faculty lodging which exist outside regular academic departments.

#### **3.9.1.1 Inter-disciplinary Research**

The term inter-disciplinary research describes research collaboration across at least two disciplines of study. The purpose of inter-disciplinary research is to break down the barriers between traditional areas of study in order to solve complex problems at the intersection of various disciplines. Such inter-disciplinary collaborations are essential in the search for solutions to significant global and societal problems.

The university’s ability to promote inter-disciplinary scholarship and research is enhanced by the existence of Independent Laboratories, Institutes and Centers, which exist outside of organized faculty, schools and departments.

These units facilitate faculty research into new areas while offering students and others a unique opportunity to explore interdisciplinary studies that extend beyond the boundaries of traditional programs, departments and schools. However, because these entities represent exceptions to the principle of organizing our research programs within regular academic channels, they may create unique challenges that must be addressed in order for them to succeed.

#### 3.9.1.2 Provisions for secrecy

That a research program shall be regarded as requiring secrecy:

- a) If any part of the sponsoring or granting documents that establish the project is not freely publishable, or
- b) If there is a reasonable basis for expectation that any documents to be generated in the course of the research project will be subjected by an outside sponsor to restrictions on publication for a period in excess of that reasonably required (i.e., more than 90 days) for the sponsor to ascertain whether information he or she is entitled to have treated as confidential would be disclosed by publication
- c) If access will be required in the course of the project to confidential data so centrally related to the research that a member of the research group who was not privy to the confidential data would be unable to participate fully in all of the intellectually significant portions of the project.

In exclusions of the above exceptions:

- i) No research on a thesis or dissertation should be undertaken if, at the time the topic is set, there is any substantial possibility that it will lead to a secret thesis or dissertation.
- ii) No secret thesis or dissertation should be accepted as the basis for a degree unless, in the judgment of the Graduate School Board (GS), the imposition of secrecy could not reasonably have been foreseen until the work was so far

advanced that modification of the thesis topic would have resulted in substantial inequity to the student.

iii) Scholarly activities not accessible for scrutiny by the entire GS Board should not be considered in connection with appointments, reappointments or promotions.

iv) The University should enter no contract and accept no grant to carry out research if the grant or contract restrains the freedom of the University to disclose the existence of the contract or grant, the general nature of the inquiry to be conducted, the identity of the outside contracting or granting entity, the research results.

#### **3.9.1.3 Protection of anonymity and secrecy where necessary**

The University shall protect anonymity and allow secrecy in research in special or exceptional cases as follows:

Sponsors or funders who wish to give anonymous gifts or grants shall remain anonymous. In such circumstances, research grants or contracts from individuals or non-governmental entities may request anonymity out of a justifiable motivation to protect individual privacy.

A program of research, appropriate to the University on other grounds, shall not be regarded as unacceptable by reason of secrecy merely because one or more of the following circumstances exists:

a). In a program of research involving the examination, through interview techniques or otherwise, of a living human being reasonable provision may be made to protect the rights of that individual to privacy.

b). In a program of research, the purposes of which would be significantly advanced by access to information generated elsewhere which had been subjected to security classification, provision shall be made for security clearance and for access to that information on the part of one or several of the

participating investigators. Permission shall be granted if the classified information is peripheral to the research program such that the following sense that the relationship between the classified data and the overall research endeavor is sufficiently remote to allow that:

- c). A member of the research group who did not hold a security clearance would nevertheless be able to participate fully in all of the intellectually significant portions of the project;
- d). There is no substantial basis for an expectation that any part of the final results of the research will be subject to restriction on publication

In a program of sponsored research, provision shall be made in the contractual agreement between Ndejje University and the sponsor for a delay in the publication of research results, in the following circumstances:

- a). Where a delay does not exceed 90 days, provided the delay is required for patenting purposes or for sponsor review of and comment on manuscripts, provided no basis exists at the beginning of the project to expect that the sponsor would attempt either to suppress publication or to impose substantive changes in the manuscripts.
- g). In the case of multi-site clinical research, a longer delay, not exceeding 24 months shall be allowed from the completion of research at all sites and where a publication committee must receive data from participating sites before making decisions about joint publications. Such delays are permitted only if the Ndejje University investigator is assured of the freedom to publish without restrictions after the specified delay in the initial publication of the multi-site research data.
- h). When it is in the best interests of the research, the Director of Research may approve contractual arrangements that could lead to longer publication delays. Requests for the Dean to approve such contractual arrangements should

include:

:the rationale for the request

: a description of who will have authority over publication decisions, and

: a statement of the provisions that will allow the investigator to publish within a defined period of time, regardless of other considerations.

i). Under no circumstances should a faculty member engage a student or trainee in a project governed by an extended publication delay agreement or contractual arrangement that could present a barrier to the timely submission of the student's report, project, thesis or dissertation or to the publication of a trainee's work.

j). If, in a program of research, an outside person or entity has made available to the investigator confidential information, provision may be made to preserve confidentiality and/or a short delay in the publication of research results during which time the information source may examine the proposed publication in order to assure that the investigator has not disclosed, intentionally or unintentionally, any portion of the confidential information supplied, provided that any such provision for delay must contain assurance from the information source that the required review shall be expeditiously done and that not attempt to thwart publication shall be made and that the delay is solely to protect confidential information previously supplied. The person or entity shall specifically indicate the sentence or sentences which constitute disclosure of confidential information.

k). If, in a program of research, private papers, documents, diaries or analogous materials have been provided to the investigator, provision may be made to preserve the confidentiality of those materials for the purpose of protecting the individual privacy of the author, or of the addressee, or of the



immediate family of either the author or the addressee.

#### 3.9.1.4 **Ownership and responsibility for research**

The University responsibilities in this regard include, but are not limited to:

- a). Complying with the terms of sponsored project agreements;
- b). Ensuring the appropriate use of animals, human subjects, recombinant DNA, etiological agents, radioactive materials, and the like;
- c). Protecting the rights of students, post doctoral scholars, faculty and staff, including, but not limited to, their rights to access to data from research in which they participated;
- d). Securing intellectual property rights;
- e). Facilitating the investigation of charges, such as scientific misconduct or conflict of interest.

#### 3.9.1.4 **Collection and retention**

The PI is responsible for the collection, management and retention of research data. PIs should adopt an orderly system of data organization and should communicate the chosen system to all members of a research group and to the appropriate administrative personnel, where applicable. Particularly for long-term research projects, PIs should establish and maintain procedures for the protection of essential records in the event of a natural disaster or other emergency.

Original research data shall be archived for a minimum of seven years after the final project close-out. In addition, any of the following circumstances may justify longer periods of retention:

- a). Data shall be kept for as long as may be necessary to protect any intellectual property resulting from the work;
- b). If any charges regarding the research arise, such as allegations of scientific misconduct or conflict of interest, data must be retained until such charges are fully resolved; and;



- c). If a student is involved, data must be retained at least until the degree is awarded or it is clear that the student has abandoned the work
- d). Beyond the period of retention specified here, the destruction of the research record is at the discretion of the PI and the concerned department, faculty or school.

### **3.9.2 Access to research data**

In cases where it is necessary to assure accessibility to research data the University shall have the option to take custody of the data in a manner specified by an appropriate University Management mechanism. The Director for Research shall request the University Vice Chancellor to take custody on behalf of the University.

#### **3.9.2.1 Transfer of data when a researcher leaves the University**

When individuals involved in research projects at Ndejje University leave the University, they may take copies of research data for projects on which they have worked. Original data, however, must be retained at the University by the Principal Investigator or the Head, Dean or Director for Research depending on the nature of data in question or as the case may dictate.

If a Principal Investigator leaves the university, and a project is to be moved to another institution, ownership of the data may be transferred with the approval of the Director of Research, and with written agreement from the PI's new institution, that guarantees:

- 1) its acceptance of custodial responsibilities for the data, and
- 2) Ndejje University's access to the data, should that become necessary.

### 3.10 **Openness in Research**

Ndejje University departments and programmes shall be free to establish formal internship programmes to expose students to the work of outside entities. During these internships students may work either on campus or at a site of an outside entity. Students may undertake a research project or other activity in collaboration with an outside entity, in some cases the work may even be performed at the outside entity's site. When this is allowed as part of the student's academic programme, e.g. research for a PhD, dissertation or undergraduate project, a faculty supervisor must approve and oversee the student's project and be responsible for the student's grade and certification of the appropriateness of the dissertation, thesis or project report.

When a student's relationship with an outside entity is part of the University academic programme, it is inappropriate for the student's entire project/work at the outside entity to be secret or proprietary to the extent that the student cannot discuss the work, at least in general terms, with teachers, advisors, or fellow students. Students must be able to discuss their work with their faculty advisor, to present their work at seminars that may be a component of their internship programme, and to summarise their work in oral reports, term papers, dissertations and theses. In cases where the research is primarily performed on-site at an outside entity, that entity may keep certain information confidential. The outside entity may also request the right to delay for up to 90 days, publication of any work pending review of the intellectual property. However, this delay shall not be allowed to hinder the student's completion of required academic work such as oral presentation of term papers, or defense of dissertation or thesis. If a student establishes a consulting relationship with an outside entity that is independent of an academic programme,

the work may be governed by the confidentiality policies of the outside entity.

### **3.11 Dissemination of Research Outcomes**

Researchers shall be required to share the findings from research from time to time. Dissemination of research outcomes shall include, among others, presentations and discussions within the University as well as dissemination through other channels such as seminars, workshops, conferences, publications and so on. Individual and group dissemination of research outcomes by students, staff and faculty of Ndejje University shall always indicate the researcher's details of affiliation, namely the degree to which the research is in partial fulfilment of the requirements thereof, the position held at the University or the type of affiliation or partnership with the University.

### **3.12 Dissemination of multi-investigator research teams**

This section presents guidelines for manuscripts produced by multi-investigator research teams, addressing coherence, review, co-authorship and maintenance of data. Multi-investigator research teams differ significantly from the individual faculty/graduate student research. In particular, the former often consist of colleagues from different disciplines who perform different, specialized functions. It is possible for participants to have little knowledge or understanding of parts of the work performed by their colleagues. Sometimes, there is no single person who understands all the research.

The policy shall apply to all multi-investigation dissemination. The policy to govern multi-investigator research dissemination is as follows:

- a). Principal investigators and senior scholars shall have special responsibilities to assure the overall cohesiveness and validity of the publications on which they appear as co-authors.

- b). Early in the research or project, the PI and group researchers shall define appropriate practices for the maintenance of data during the research and after its completion.
- c). All authors in a group effort shall have a shared responsibility for the published result and should have the opportunity to review all sample preparation procedures and data, as well as all data acquisition and analysis procedures.
- d). Each author in a group effort shall have access to the manuscript prior to its being submitted for publication, and should agree to his or her inclusion as a co-author. All the participants in the program should know that the paper is being prepared for publication.

### **3.13 Establishing Affiliate Research Laboratories, Institutes and Centres.**

Creation and consumption of new knowledge in the post-scientific era transcends the traditional discipline or faculty or even funding boundaries and dictates multi-disciplinary affiliation and collaboration as the most efficient way to create and further knowledge through research. There are many reasons and advantages for establishing affiliate laboratories, institutes and centers as part a university. These entities extend the University's research to areas that go beyond the boundaries of traditional academic disciplines. They require mutual effort by faculty from different disciplines. In addition, such research units create a programmatic focus to multidisciplinary research that helps to attract new faculty and external funding. These new enterprises also create demands for incremental University resources in the form of funding, space, and/or administration. These entities directly and indirectly influence the interactions, program directions, and priorities of faculty and graduate students and their relationships to their academic departments. Therefore, the impact of proposed Independent Laboratories, Institutes, or Centers

must be carefully assessed before they are approved because of the following reasons. The University and faculties must address these key questions and concerns while assessing the need and justification for affiliate laboratory, institute or centre. They are:

- i). What advantages shall be realized if the program(s) are conducted and managed outside of existing organizational units?
- ii). What is the likelihood of long-term and active participation by faculty and graduate students?
- iii). What impact (positive or negative) will the Laboratory, Institute or Center have on the participating faculties' home academic department?
- iv). What resources will be required to support the unit, and how will those resources be obtained and managed?
- v). To what extent will establishment of the new entity help to attract external support?
- vi). Does the University have the expertise and resources for the new program to become one of the top centers in the country in its field?

The envisaged costs and sacrifices must be out-weighed by the advantages and benefits to a large extent.

### **3.13.1 Procedures for Establishing New Affiliate Laboratories, Institutes and Centers**

Faculties interested in establishing a new affiliate Laboratory, Institute or Center shall first discuss their proposal within their department, faculty or school and then follow the University procedure as outlined in this policy. Heads, or Deans of the relevant departments or faculties shall submit a written proposal to the Director of Research clearly outlining all the requirements stipulated by this policy. The following information shall be provided by the Head or Dean to the Director for Research, for discussion and approval by the University

Research Board.

a). Proposal to set up the Affiliate Unit

The written proposal for an affiliate entity shall contain the following:

- a). Description of the proposed affiliate unit specifying whether it is a laboratory, institute, or centre.
- b). Details of the role the Department, Faculty or School shall have in the governance of the proposed affiliate entity.
- c). Draft Charter of the governance of the affiliate entity.
- d). Plan of Governance structure and processes
- e). Anticipated Funding Sources
- f). Other resource requirements and how they shall be acquired and maintained.
- g). The proposals shall specifically address the impact of the creation of the new unit on the University general funds.
- h). A clear set of alternatives to achieve the goals of affiliation shall be laid out in the event proposed external funds, either gift or sponsored, are not raised.
- i). As a research unit, all regulatory requirements related to the conduct of research, including those dealing with environmental health and safety, protection of human or animal subjects, and fiscal management are applicable to affiliate Laboratories, Institutes and Centers.
- j). Inasmuch as these units do not report to any particular faculty/school, the organizations responsible for providing guidance and monitoring in areas concerning research compliance should be clearly defined.
- k). Faculty members or teams who are responsible for preparing such proposals shall work closely with the Director of Research office and Top Management to ensure the sustainability of the affiliate.

### **3.13.2 Ongoing Evaluation of the Unit**



Research programs, including interdisciplinary efforts, evolve over time. The affiliate units shall not be assumed to be permanent entities, but rather should be established with a clear understanding of their goals and potential life cycle. These enterprises depend upon continued oversight by and participation of permanent or contract faculty to provide the intellectual leadership, including assuming responsibility for directorship of the Laboratory, Institute or Center, in future.

### **3.13.3 Review of the Affiliate Units**

Each Laboratory, Institute or Center should be reviewed periodically to determine whether the circumstances that led to its creation still exist and whether the entity continues to meet its goals. Such reviews need to evaluate the continued intellectual vitality of the unit, the commitment of the permanent or contract faculty to its program, the involvement of students and visiting scholars, and the availability of funding and other resources.

### **3.13.3 Outcomes and Termination Provisions**

In order for the Independent Laboratory, Institute and Center to continue, the Vice Chancellor and Director of Research must affirm the continuation of the research program. Other possible outcomes of such reviews include discontinuation of the unit; revision of the charter to reflect changes in program direction, priorities and/or participants; restructuring of the unit into a new academic department within a faculty or school renewal of the unit without change.

If assimilation into a faculty or school or department is deemed desirable, the decision should require transfer of budget responsibility to a school dean unless there is an explicit reason for exception. In any of these cases, it is crucial to articulate the financial basis on which the Independent Laboratory, Institute or Center would be continued or would be phased out.



### 3.14 **Ownership of Intellectual Property**

There is always need to protect intellectual property. Ndejje University shall protect intellectual property through patent, copyright and database access rights as follows:

a). Any intellectual property created by any researcher whether full or part-time staff, faculty or student, during the course of work or training, or arising out of employment at Ndejje University, shall belong to Ndejje University. Ndejje University shall, however, be committed to sharing with the creator or inventor concerned, the rewards from successful commercial exploitation of the intellectual property that shall have been generated. The Research Manual that accompanies the Ndejje University Research Policy shall spell out the process and procedures in line with Uganda legal provisions for the protection of intellectual property.

The policy to govern copyright, student internship, research projects and consultation with outside entities, patent, invention and licensing shall be as follows:

#### 1). **Copyright policy**

As has been traditional in academia, the University may not claim ownership to pedagogical, scholarly, or artistic works, including “those of students created in the course of their education, such as dissertations, papers, and articles”. Under the provisions of the Copyright Policy, copyright ownership in original works by students shall remain with the creator, in this case, the student, unless the work is a work-for-hire, is supported by a direct allocation of funds through the University for the pursuit of a specific project, is commissioned by the University, makes significant use of University resources or personnel, or is otherwise subject to contractual obligations.” Such work shall be copyrighted to the University and the creator shall share in the royalties thereof.

Example 1: Students who are hired to write software and are

paid by or through Ndejje University shall be considered to be covered by “work-for-hire” provisions.

Example 2: While a graduate student owns the copyright to her dissertation, a video tape developed as part of her dissertation research that presents some of the observations or results reported in the dissertation would be owned by the University if it were produced with support from a sponsored project, significant assistance from university personnel and the like.

a). Student internships and research projects with outside entities

In the case of internship, inventions developed during internship or projects performed as part of placement with an outside entity ownership of resulting intellectual property shall be determined according to the provisions spelled out in the internship or project arrangement. Ownership of any resulting intellectual property from creative works developed in the course of the student’s education remains with the student but shall reflect the relative roles and contributions of the student, the outside entity and the University to the creation of the work or the development of the invention. All contributors shall have proportionate share in the royalties.

b). Research projects with outside entities

If a student research project is funded by a sponsored project, ownership of intellectual property resulting from the student’s work is specified by university policy and by the terms of the particular funding agreement. If a student is the sole inventor of an invention resulting from the use of resources of both the University and the outside entity, the university may agree to co-assignment of the intellectual property. If an invention is co-invented by a student, and involves both a co-inventor from an outside entity and more than incidental use of university resources, the technology will be jointly owned

by the university and the outside entity, pursuant to patent law. Depending on their contributions, the faculty advisor and perhaps other faculty, students, or staff may be co-creators or co-inventors.

c). Student consulting with outside entities

The university shall not claim ownership of intellectual property resulting from students' consulting outside their academic programs at the university, assuming that there was not more than incidental use (for inventions) or significant use (for creative works) of University resources. All potentially patentable inventions conceived or first reduced to practice in whole or in part by members of the faculty or staff (including student employees) of the University in the course of their University responsibilities or with more than incidental use of University resources, shall be disclosed on a timely basis to the University. Title to such inventions shall be assigned to the University, regardless of the source of funding, if any. The University shall share royalties from inventions assigned to the University with the inventor.

i). The inventors, acting collectively where there is more than one, are free to place their inventions in the public domain if they believe that, that would be in the best interest of technology transfer and if doing so is not in violation of the terms of any agreements that supported or related to the work.

ii). If the University cannot, or decides not to, proceed in a timely manner to patent and/or license an invention, it may reassign ownership to the inventors upon request to the extent possible under the terms of any agreements that supported or related to the work.

iii). Waivers of the provisions of this policy may be granted by the Chancellor or the Chancellor's designate on a case-by-case basis, giving consideration among other things to University obligations to sponsors, whether the waiver would be

in the best interest of technology transfer, whether the waiver would be in the best interest of the University and whether the waiver would result in a conflict of interest. In addition, the Chancellor may expand upon these provisions and shall adopt rules, based on the same factors as well as appropriateness to the University's relationship with inventors, for the ownership of potentially patentable inventions created or discovered with more than incidental use of University resources by students when not working as employees of the University, by visiting scholars and by others not in the University's employ.

## **2. Patents' Policy**

The patents policy shall govern research that is undertaken to invent products in industry and co-existence between scientific research and industrial inventions that result

All participating researchers in industrial research, including post-doctorate students, and visiting scholars, shall sign a patent and copyright agreement with the relevant industry before the commencement of any industrial research activities.

Description of what constitutes a new invention:

An invention is a novel and useful idea relating to processes, machines, manufactures, and compositions of matter. It may cover such things as new or improved devices, systems, circuits, chemical compounds, mixtures, etc. It is probable that an invention has been made when something new and useful has been conceived or developed, or when unusual, unexpected, or non-obvious results have been obtained and can be exploited. An invention can be made solely or jointly with others as co-inventors. To be recognized legally, a co-inventor must have conceived of an essential element of an invention or contributed substantially to the general.

An invention disclosure is a document which provides infor-

mation about inventor(s), what was invented, circumstances leading to the invention, and facts concerning subsequent activities. It provides the basis for a determination of patentability and the technical information for drafting a patent application. An invention disclosure is also used to report technology that may not be patented but is protected by other means such as copyrights. Inventors must prepare and submit on a timely basis an invention disclosure for each potentially patentable invention conceived or first actually reduced to practice in whole or in part in the course of their University responsibilities or with more than incidental use of University resources. The inventor, or inventors acting collectively when there are more than one, is free to place inventions in the public domain if that would be in the best interest of technology transfer and if doing so is not in violation of the terms of any agreements that supported or governed the work. The University will not assert intellectual property rights when inventors have placed their inventions in the public domain.

## **2. Inventions, Patents and Licensing Policy**

The policy to govern inventions, patents and licensing policy shall be as follows:

Graduate students, postdoctoral scholars, and all others participating in research projects (including undergraduates working on research projects, either for pay or for academic credit) are covered by the University policy on Inventions, Patents and Licensing. This policy states that these individuals must disclose “all potentially patentable inventions conceived or first reduced to practice in whole or in part, in the course of their University responsibilities or with more than incidental use of University resources.

The title to such inventions shall be assigned to the University.”

The University shall negotiate with the inventors the sharing

of the royalties from inventions assigned to the University.

### **3. Licensing policy**

The University shall encourage the development for public use and by industry, the benefit of inventions and technology resulting from University research. It recognizes that protection of proprietary rights in the form of a patent or copyright are often necessary - particularly with inventions derived from basic research - to encourage a company to risk the investment of its personnel and financial resources to develop the invention. In some cases an exclusive license may be necessary to provide an incentive for a company to undertake commercial development and production. Non-exclusive licenses allow several companies to exploit an invention. In all such cases, the research and teaching missions of the University shall always take precedence over patent considerations. While the University recognizes the benefits of patent development, it is most important that the direction of University research shall not be established or unduly influenced by patent considerations or personal financial interests.

#### **3.15 General Responsibility**

This section outlines the general responsibilities for the University intended to create suitable infrastructure for research at the University. Ndejje University shall provide suitable atmosphere and infrastructure for research and innovation. The structure and responsibility system for the Directorate for Research appears in annex 1. The structure is established within the office of the Academic Registrar and reports to Senate through the Academic Registrar.

##### **3.15.1 The Ndejje University Research Board**

Ndejje University shall establish a Research Board, as a standing Board of Senate. It shall be responsible for formulating research policy and overseeing the work of the Directorate for Research.



### **3.15.2 Composition and Functions of the Research Board.**

The Research Board shall consist of, the Director for Research, the Director GS, one member of the University Council appointed by the Council, two academic staff members appointed by Senate, the Deans of Faculties, Heads of Departments that are not at Faculty-level, and two graduate students one of whom shall be female. Top Management representatives shall be ex-officio members. Other members may be added on the recommendation of the Board. The Board shall have power to co-opt members to address specific concerns and requirements of this policy. The Academic Registrar (AR) or a representative of the AR shall chair the Research Board. The Directorate for Research shall be the secretariat for the Research Board.

The Research Board shall:

- a. Develop policies ,research agenda, and procedures and make recommendations to the appropriate bodies on such matters as:
  - i. Contracts for research originating from external agencies;
  - ii. Procedures for approval of applications for research grants
  - iii. Policy and procedures with regard to patents, copyrights,
  - iv. Policy and procedures for the co-ordination of research.
- b. Regularly review the total research program of the University and make recommendations agenda and to Senate regarding organization for research and areas requiring special institutional attention;
- c. Make recommendations to Top Management in regard to the distribution of block grants and generally uncommitted research funds within the University.

- d). Periodically review and report to Senate on research agenda, programs and policies of the University noting any significant changes and outlining plans for enhancement of research throughout the University.
- e). Report to Senate, and other bodies as appropriate, on the rights and responsibilities of the University and its individual members involved in research.
- f). Make recommendations to Senate on matters related to the formulation of new research policy and agenda the development of new University research programs, and for the review of the existing research policies and programs of the University.

Subject only to subsequent report to Senate, the Board is empowered to:

- a. Establish the standing committees required under the various research policies.
- b. Establish such ad hoc committees with duties and authority as the Board deems necessary.
- c. Recommend to the Vice Chancellor, or to the University Council, through the Vice Chancellor, proposals for new or revisions in existing non-academic policies affecting research.
- d. Advise the Director of Research on matters affecting research.

### **3.15.3. Standing Committees of the Research Board:**

The Board shall have power to establish standing committees as need arises.

- a) Standing committees shall be named by the Research Board to carry out the functions as required under this research policy.

Membership in Senate is not a requirement for membership on standing committee. The Academic Registrar or a representative of the AR shall chair the standing committees

of the Research Board. The Directorate for Research shall be the Secretariat of the Research Board and all its standing committees.

b) Each standing committee shall report to the Research Board annually on committee activities related to the policy and shall report to the Board on proposals for modifications to the policy.

The following standing committees shall be established, each being advisory to the Board and having specific duties as indicated:

**3.15.3.1. The Human Subjects Research Committee.**

The Human Subjects Research Committee shall be responsible for the following:

- a). Review experimental protocols for research and class projects in order to ensure that such projects, in their use of human subjects, meet the ethical standards adopted by the University;
- b). Clarify and interpret the policies, procedures and standards guidelines related to the use of human subjects in University research programs;
- c). Work with the Institutional Review Board to vet and clear research proposals for actual research.
- d). Carry out any other responsibilities assigned to it by the Research Board.

**3.15.3.2 The Animal Care Research Committee**

The Animal Care Research Committee shall be responsible for the following:

- a). Co-ordinate and review activities and procedures relating to the care of animals used for research;
- b). Ensure adherence to the standards of care and facilities for animals used for research;
- c). Monitor the training and qualifications of personnel that are engaged in the care of animals;

- d). Review and ensure adherence to procedures for the prevention of unnecessary pain to research animals;
- e). Ensure adherence to procedures for prevention of unnecessary pain to animals in the process of research involving animals.
- f). Ensure observation and maintenance of ethical standards and procedures in research involving animals.
- g). Liaise with the Institutional Review Board to clear research proposals for actual research.
- h). Carry out any other responsibilities assigned to it by the Research Board.

#### **3.15.3.3 The Research Grants Committee**

The Research Grants Committee shall be responsible for the following:

- a). Review grant applications and recommend awards from the funds administered by the Research Board
- b). Formulate the University grant policy
- c). Monitor for adherence and compliance with grant policy for internal grants
- d). Monitor for adherence and compliance with external grant requirements
- e). Liaise with the Institutional Review Board to clear research proposals for actual research.
- e). Carry out any other responsibilities assigned to it by the Research Board.

#### **3.15.3.4 The Drugs Research Committee**

The Committee shall be responsible for:

- a). Establishing a system to monitor research on drugs and substance use, innovations in drugs and drug use
- b). Ensure adherence to ethical standards in research on drugs and innovations in drugs and drug use
- c). Carry out any other responsibilities assigned to it by the Research Board.

### **3.16 The Director of Research**

The Director for Research shall:

- a). Administer and manage the Ndejje University Directorate for Research.
- b). Liaise with researchers, to co-ordinate all research activities at the University
- c). Liaise with Heads, Deans, Directors and unit research coordinators to formulate and monitor Ndejje University Research and Innovation policy and agenda.
- d). Prepare and disseminate the Research Manual and Guidelines for undergraduate, graduate, staff and faculty research and research grants.
- e). Administer and monitor internally and externally funded research procedures and processes.
- f). Liaise with Departments, faculties, schools and institutes to organise dissemination of research outcomes.
- g). Liaise with relevant units of the University to implement the Research and Innovation Policy of Ndejje University
- h). Administer the research policies and procedures recommended by the Research Board and approved by the University.
- i). Carry out other responsibilities related to research at Ndejje University.

The Director of Research shall report to the Ndejje University Research Board.

#### **3.16.1 The Research and Grants Office**

The Research and Grant Office is the implementation arm of the Research Board and Directorate for Research.

- a) General Responsibilities:
  - i) The Office of Research and Grants shall provide services to assist in furthering the research capability of the University.

ii) The Office shall be responsible for assisting in locating support for research, both in the form of grants and contracts.

iii) It shall administer and liaise with other services to individuals or research groups as requested, for the purpose of providing appropriate services to governments, industry and other agencies sponsoring research in the University.

3. The Office shall ensure that approved University research policies and procedures are followed for all University research.

4. It shall co-ordinate and administer research and services for research at Ndejje University.

vii) The Office shall keep students, staff and faculty informed of research policies and research objectives of governments and other sponsors and keep possible sponsors informed of the research capabilities of the University in their particular areas of interest.

viii) The Office is responsible for the protection and commercial exploitation of significant innovations arising out of University research and other activities in a manner consistent with both the public interest and the role and image of the University.

b). Specific Responsibilities:

The office shall specifically do the following:

i) Develop and disseminate information on sources of external research funds; research project grants and contracts; travel, equipment, conference and publication grants; research fellowships; and other research-related support to students, staff, faculty, research fellows and scholars employed or affiliated to the University;

ii). Make contact with research sponsors to develop new opportunities for University researchers and inform faculty of new opportunities that arise;

iii). Assist in developing increased links between research,



innovations and industry for the purpose of research and innovation.

iv). Maintain current knowledge of the changing priorities and policies of government and inform faculty so they can take prompt action in response to the new approaches to research, innovations and available funding by government;

v). Distribute information on internal research funds administered by the University and create and manage records and accounts of internally funded research.

The office shall do the following in relation to management of research and innovation grants:

i). Maintain a file on each research sponsor with current information on the programs of the sponsor;

ii). Provide application forms and other information on sponsors to researchers at the University;

iii). Interpret and clarify conditions of award and procedures to University applicants and awardees of research and innovation grants;

iv). Assist University researchers in the preparation of grant applications;

v). Receive grant applications and assure conformity to the conditions of the sponsor and the policies of the University and to approve on behalf of the University for forwarding to the sponsor;

vi). Arrange site visits, whenever possible, and consult with sponsors as appropriate

vii). Assign Research Trust Account numbers to new grants; The office will work with researchers to enhance administration of grants by:

i). Providing information to researchers on the nature and conduct of contract research and information on possible sponsors;

ii). Assisting faculty in the preparation of contract proposals

especially in the format for the proposal and in the structure of the budget

- iii). Receive contract proposals to review for conformity to University policies and arrange approval on behalf of the University for forwarding to the sponsor;
  - iv). Undertake negotiations of research contracts between the University and the sponsor, on behalf of the University, and arrange for the execution of the contracts.
  - v). Ensure that in contract research, effective liaison is maintained with the sponsor and that commitments are being met; and arrange meetings and exchange of information with sponsors during the life of the contract as appropriate.
- c) Administration of University Research Policies:  
The Research and Grants office shall also be responsible for distributing information on the University Research and Innovation Policy and administering the University patent and licensing program.
- e). Other Responsibilities of the office:
- i). Maintain records of research funds received;
  - ii). Maintain records of funded research projects;
  - iii). Assist faculty in the formation of research groups;
  - iv). Provide a clearing house for requests from government or industry to identify specific expertise in order to arrange effective utilisation of research and grants opportunities.
- The Research and Grants officers shall report to the Director for Research.

### **3.17 Amendment and Revision of the Research and Innovations Policy**

The Ndejje University Research and Innovations Policy shall be revised and amended as need arises. Academic members and technical staff of the University shall recommend amendments and revisions through their departments, faculties, schools relevant committees. The Head, Dean or Director

shall present the amendment or revision to the Deans Forum for discussion and approval. The Director of Research shall present the approved amendment or revision to the Research Board for discussion and approval to present to Senate for discussion and adoption. Senate will present the amendment or revision to Council for adoption as policy.

#### **3.17.1 Process for amending the Policy**

This policy shall be reviewed at three- year intervals. A call for submission of revisions and amendments shall be publicly announced to the departments, faculties, schools and all other relevant units of Ndejje University three months before the date of the meeting of the University Research Board to review the policy. The different units shall hold their policy review committees to review, revise, amend the Research and Innovations Policy and minute the agreed revisions to the Research Board through the Director for Research. The University Research Board shall hold a meeting to review the submissions and agree on the revisions and amendments to be forwarded to Senate for adoption. Senate will present the approved amendments to the University Council for adoption. The Revised Ndejje University Research and Innovations Policy shall come into force on adoption by Council.

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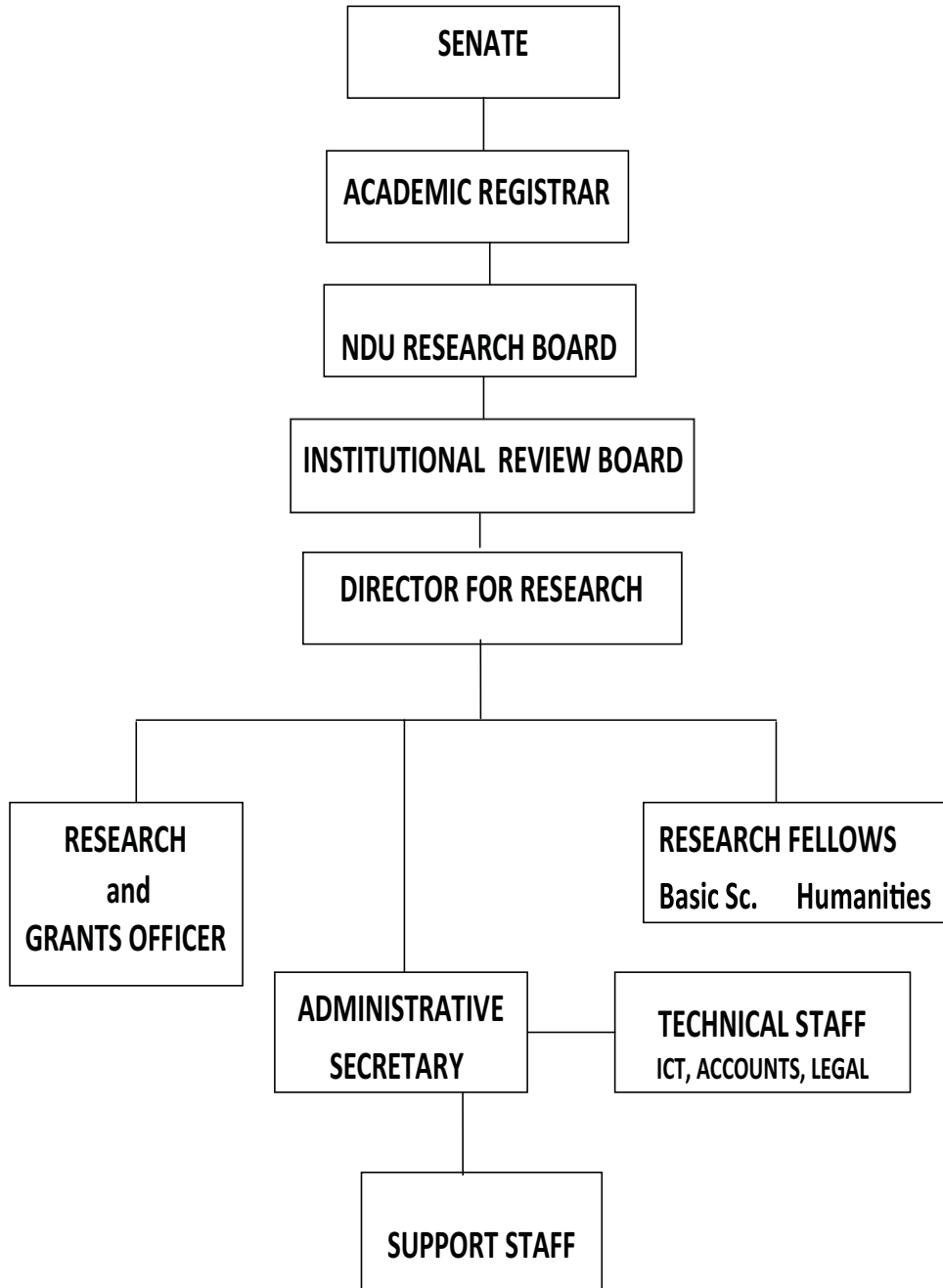
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**ANNEX 1; DIRECTORATE FOR RESEARCH  
ORGANISATIONAL STRUCTURE**



**NOTES:**

IRB: Institutional Review Board

The Director reports to the Board

The Board reports to Senate through the Academic Registrar



