UGANDA CHRISTIAN UNIVERSITY

A Centre of Excellence in the Heart of Africa

RESEARCH POLICY

Schedule

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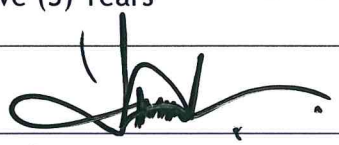
Vice Chancellor's Signature	

RESEARCH POLICY

Preamble:-

Uganda Christian University (UCU) is a private, not-for-profit University, established by the Anglican Church of Uganda in 1997. In 2004, the University was chartered as the first private University in the country. UCU operates 3 campuses (Mukono, Arua and Kampala) and 2 constituent colleges in Mbale and Kabale. The Christian Identity of Uganda Christian University is espoused in the Instruments of Identity, and the House of Bishops is corporately and exclusively custodian of the Instruments of Identity.

Staff and Students are required to respect the Instruments of Identity and to observe the laid down rules and the Code of Conduct BOTH at the University and while away on official or authorized events.

MOTTO: *"Alpha and Omega: God the Beginning and the End"*

VISION: *"A Centre of Excellence in the Heart of Africa"*

MISSION: *"To Equip students for productive, holistic lives of Christian faith and service"*

CORE VALUES: *Christ-Centredness, Diligence, Integrity, Servanthood, Stewardship*

THEME: *"A Complete Education for A Complete Person"*

UCU's Niche: *Professionalism and Character*

In its Strategic Plan (2012-2018), UCU aims at achieving the following objectives:

Identity: UCU's identity as an authentic Christian institution.

Governance and leadership: Accountable leadership.

Teaching and learning: A high quality education with a diverse yet integrated curriculum.

Targeted research: Rigorous, relevant, focused and innovative research.

Service to the community: Assisting communities to achieve holistic development.

Student recruitment and development: A diverse array of students.

Staffing: Attracts, recruits, and retains a staff noted for excellence in teaching, research, and praxis.

Great campuses: The physical infrastructure that meets the education, ICT, and administrative needs and standards while preserving campus history and beauty.

UCU's Niche

Professionalism and Character

The Vision of Uganda Christian University (UCU) states as follows: ***"A Centre of Excellence in the Heart of Africa"***. Her Mission is: ***"To Equip Students for Productive, Holistic Lives of Christian Faith and Service"***. And UCU's Theme is: ***"A Compete Education for A Complete Person"***. These core statements, and others that UCU has, espouse a sense of purpose and a quest for the highest goal attainable, especially among our students.

For this reason, it is proposed that UCU's Niche as a University shall be, **"Professionalism & Character"**. The following is the rationale to this Niche.

Professionalism:

That UCU can draw from her Christian ethos to inculcate exemplary professionalism among her products. The graduate from UCU, as well as UCU's Services, shall be expected to exhibit distinguished methods of work, standing, and practices that are ahead and above the ordinary, putting to best use the training received, as well as always aiming at excellence in everything. A professional is well equipped for his/her vocation, puts service to the customer first, and aims to work beyond the call of duty. The Professional presents oneself with dignity and appropriate decorum. Professionalism will mean we walk and work the extra mile.

Professionalism in Uganda declined over the years of political misrule and has degenerated further amidst the current ambivalence about what it really is. Self-interest, partisanship and social discrimination replaced equity. Unfortunately, it is easier to pull down the values and virtues of society, quite another to rebuild it. The rebuilding itself may take a different route contemporaneous with the new context, presenting an opportunity for a UCU graduate.

Character:

Character is a function of virtue, integrity, mores, moral and ethical quality in an individual. It is assumed that people learn character, especially from *Culture* and from *Religion*. UCU is able within the scope of her resources to give both. The University purposes to create a community bound together by our common Core Values: ***Christ-Centredness, Diligence, Integrity, Servanthood and Stewardship, which are, in themselves, demonstrate character***; each of them is a character quality.

UCU's graduates have distinguished themselves for their virtue and dependability at work, and for other character qualities of positive influence. This is without a doubt the legacy of UCU's Christian Identity. The Gospel of Jesus Christ undergirds the influence and formation of character in UCU students. It has been said, *"People are hired for their skills; they are fired for their character."* The former wins one a job, the latter makes one indispensable in the job.

There is nothing more exciting employability and vocationalisation than a worker who exhibits **Professionalism with Character**.

PREFACE

This document is a result of a series of consultations that Uganda Christian University School of Research and Postgraduate Studies made within and outside the University. Certain areas of the Research Policy outlined herein ought to be read as evolving in relation to policy formulation in other committees of the University.

The University Senate shall provide general oversight of the implementation of this policy. It is envisioned that Research, Innovations, Publications and Consultancy will develop to a Division under the Dean, School of Research and Postgraduate Studies.

The Policy document has greatly benefited from the Daystar University Research Policy, Makerere University Draft Policy Document (2007), Kenyatta University Research Policy and Joint Clinical Research Centre Research Policy.

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Acronyms and abbreviations

IRB	Institutional Review Board
UGO	University Grants Office
UCURF	Uganda Christian University Research Fund
URMC	University Research Management Committee
R&D	Research and Development

1.0 INTRODUCTION AND BACKGROUND

1.1 Uganda Christian University Vision

A Centre of Excellence in the Heart of Africa

1.2 Uganda Christian University mission

"To Equip Students for Productive, Holistic Lives of Christian Faith and Service"

1.4 Uganda Christian University Research Mandate

The Uganda Christian University Charter (2007, revised in 2019) specifies that one of the major functions of the University is to provide resources for University education, training and research. Additionally, the University should conduct research and encourage the conduct of research which enlarges the domain of human knowledge in general and increases the effectiveness of the Church in particular. Community engagement by way of consultative services shall be provided by the believer scholars of Uganda Christian University.

In order to achieve its mandate in research and extension, Uganda Christian University through this Research Policy will enable its staff and students to make full use of all its resources to create a "research culture" consistent with National development plans and policies.

1.5 The need for a university research policy.

1.5.1 Research activities shall aim at nurturing creativity, inventiveness and innovativeness among Ugandans for the purposes of human, industrial and socioeconomic growth and development. An interpretation of these expectations requires detailed policies and procedures, now contained in this University Research Policy document.

1.5.2 Despite the importance of research in solving societal problems, research has traditionally been inadequately funded both at the national and the University level. Currently less than 1% of the total University income is allocated to research. This has resulted in limited scholarship by students and staff by way of research

activities, publications in peer reviewed journals, discussion or working papers, policy briefs and conference proceedings.

1.5.3 The need for a dynamic University Research Policy arises from a number of other factors: the evaluation from the National Council for Higher Education (NCHE) regarding the University's Research output, significant changes in the policies of major funding agencies both in government and the private sector, need for staff seeking guidance on research funds and lack of a clear-cut policy on research and consultancy. Together, these factors have retarded the overall research productivity at the University and, therefore, the need to have a consistent policy with the desire to motivate staff, sustain and improve research productivity and competitiveness at national and international levels.

The policy will achieve this through entrenching a research culture at the University by:

a) Ensuring sufficient annual allocation of funds to the University Research Budget
b) Recommending deliberate moves to motivate researchers at the University to seek additional external funding
c) Outlining deliberate efforts to attract substantial external funds from funding agencies (public and private sectors, and funding agencies) to the University.
d) Promoting a conducive environment for collaboration in research for both national and international research partnerships.
e) Providing guidance on individual or joint publications.

1.6 Research and Teaching

The University shall emphasize a strong relationship between research and teaching and shall enhance the role of research in the development of teaching programs and materials. It shall encourage research based implementation of programmes as well as demand research based monitoring and evaluation activities. Uganda Christian University shall seek to provide leadership in the transformation of private universities from purely teaching into research led universities, where teaching is informed by research.

2.0 RESEARCH AND PUBLICATION POLICY

2.1 General principles

The goal of the research policy is to facilitate the creation of a research culture at Uganda Christian University. The outcome is expected to be a conversion of research outputs into publications, innovation and inventions so as to provide teaching that is informed by the growing body of knowledge that responds to the needs of society. Research and publications should address issues which are national y, culturally, and spiritually relevant, that respond to human need.

The policy will support efforts that meet scientific objectives in terms of knowledge growth. It will also support efforts aimed at addressing emergent problems and topical issues. The policy will ensure that staff are fully aware of the national research agenda and participate in the process of drawing up a research agenda in their disciplines. Writing, consultancy, and publication efforts shall be supported when they demonstrate clear orientation to the growth of the Kingdom of God, science, policy or practice.

2.2 Provision and dissemination of knowledge through mentoring and apprenticeship

Production and dissemination of research products are professional processes which are best mastered through experience. The policy will therefore encourage, prioritise and support all senior members of the academic community who are prepared to work with junior members of staff or their colleagues to produce joint publications.

2.3 Guarantee quality through using conventional channels of publication.

There are conventional channels of publications that every academic member should aspire to. These channels are found among publishers that have inbuilt quality control. The policy shall support all academics to aim first for these channels. For this purpose, all research output shall be subjected to peer-review before being

disseminated at international, regional and local levels. In addition, authors shall be expected to identify potential international or regional publishers and write final manuscripts following editorial guidelines provided.

This policy shall encourage authors to publish their research products in internationally recognized publishing houses and outlets. This will promote the outsiders' understanding of our problems from the local perspective. Quite often our perspectives are ignored because they are inaccessible or unavailable at conventional outlets.

2.4 Generate knowledge to put across perspectives that influence national and regional policy and practice

The policy shall encourage authors to publish their research products about national issues and in such a form that is usable for policy making and implementation.

The policy shall encourage authors to publish their research products about regional concerns such as ecumenism, COMESA, EAC, and AU and in such a form that is usable by relevant communities and regional bodies.

2.5 Publication of Supervised Work

The policy shall encourage publishing undergraduate, Masters and PhD research by the student or jointly with their supervisors. Every MA and PhD shall be required to co-publish at least one paper with the supervisor within one year of their graduation.

2.6 Jointly generated work shall be proportionately owned

The policy shall encourage joint writing and publication effort. The ownership of such effort shall be proportionately shared based on agreed formula by research teams. In joint work, the originator of the research idea shall be considered as the first author unless otherwise agreed upon among the parties.

3.0 RESEARCH AND PROFESSIONAL DEVELOPMENT

3.1 Emphasis on publication and dissemination of knowledge

There is a tendency for academics to consider a research report as a terminal output. The policy shall encourage authors to complete the process of knowledge creation and dissemination by publishing their work. For that purpose academic departments shall ensure that Faculties allocate adequate time for the dissemination and publication of their research effort.

3.2 Create a research supportive environment in the University

This policy shall contribute to increased academic output by:

- Encouraging and facilitating regional and international collaboration - global networking.
- Providing research support services including continuous modern management information systems that facilitate access to international literature and data bases.
- Creating a stable, internal, conducive research environment. This shall include the provision of research management support and maintenance of equipment
- Providing basic financial management support training to research coordinators as well as personnel in key research administrative units.
- Providing free access to the Internet for purpose of knowledge creation and dissemination at every academic research unit or team meeting.
- Supporting institutional capacity to disseminate research findings through internally and externally accessible databases and websites.

3.3 Awards for Publishing

Published books and journal articles will be assessed and rewarded appropriately. The SRPGS will make annual reports to the Senate. Awards will go to authors who succeed in publishing their research output with the more competitive international and regional publishers.

3.4 Academic staff account for their contribution to knowledge development every three years.

There is an emerging tendency for academic staff to spend disproportionately more time in teaching and student assessment to the detriment of knowledge creation and dissemination. This has deprived Uganda Christian University of research based teaching and quality supervision. The policy requires every academic member of staff to produce at least two research publications or scholarly innovation every contract period. After the expiry of a scholar's contract, they should show cause why they have not published or been involved in research activities.

3.5 Research Agenda

Uganda Christian University shall generate a research agenda on a periodic basis based on priorities of academic departments and Faculties.

3.6 Occasional Papers

a) The policy requires the University, Faculties and Institutes to formulate research priorities leading to a university research agenda.
b) The priorities shall reflect national research objectives, church priorities and relevant international trends. The research agenda will be reviewed within a period of five years.
c) To energize the academic community and to keep Uganda Christian University community on top of current topics of national concern, the policy proposes commissioning of annual competitive occasional papers to respond to urgent knowledge needs by Uganda Christian University.

4.0 CO-ORDINATION OF RESEARCH

a) Where necessary research proposals seeking external or internal grants will be channelled through the School of Research and Postgraduate Studies (SRPGS) in accordance with the UCU policy on academic and research collaboration and the UCU guidelines on submission of externally funded projects.

b) Where applications are forwarded to donors via website, or on-line, the researchers are encouraged to notify the SRPGS who may follow up the progress of such applications on behalf of the applicants.

c) All research projects within the University should be recorded in the University database which will be updated regularly.

4.1 School of Research and Postgraduate Studies Activities

The University will source funds for the development, maintenance and for the day to day running of the University Research, Publications and Consultancy Centre. The SRPGS will offer the following services and products among others:

Research

- Generation of knowledge for teaching purposes through conference presentations, consultancy and publications
- Provision of academic support to faculty and postgraduate students in all phases of their research: proposal writing, data collection, data analysis and report writing.
- Provision of specialized equipment for field research: audio and video recorders and transcribing machines
- Strengthening of local and international research networks.

Publication

- Edit and publish academic publications
- Host regional and international journals
- Plan and implement academic conferences and publish proceedings
- Disseminate research findings
- Facilitate publications of monographs

Consultancy

- Coordinate research projects for local churches, Christian organizations and other community-based organizations or industry.
- Facilitate short courses in proposal writing and research and consultancy
- Host and facilitate local and international visiting researchers in conducting their research projects

In addition to the services above the SRPGS will:

- Avail common equipment, conference facilities and other facilities to the University research community.
- Provide for modality of research coordination at Uganda Christian University.
- Host a research centre where researchers can have access to computers, software and Internet for use as they carry out their research.
- Establish a media unit of the Centre to work with the relevant organs of the University in terms of communication and publicity. It will be responsible for storing the research findings in video recordings, books, CD-ROM's, publications, and audiotapes or in any other retrievable forms. The unit will also post the research findings in the Uganda Christian University Research Centre webpage. Copies of relevant documents will be archived in the Library.
- Assist staff on drawing up contracts.
- Support the development of fundable research project proposals.

4.2 Office of the Dean, School of Research and Postgraduate Studies

Among other functions, the Dean, School of Research and Postgraduate Studies will:

a) Provide information on possible sources of funding to the Uganda Christian University community on a regular basis and especially alert researchers on international funding opportunities such as those arising from bilateral and

multinational agreements. Scrutinize national, government and provincial tender bulletins - for research contracts and inform researchers accordingly.

b) Strengthen institutional capacity for strategic technical training and operational planning, and administration of research at the University including information management systems, budgeting, and control for research.
c) Provide support in approaching funding agencies.
d) Encourage regional and international collaboration - global university / research networking. Establish international funding opportunities.
e) To identify newsworthy research items and to produce regular copies for distribution to the media and potential funders.
f) Encourage and facilitate solicitation of funding at individual, departmental, faculty (school) or Institute levels.
g) Equip a core office responsible for the overall research coordination at the University level. This shall mean strengthening and equipping the department with skilled personnel in proposal writing, data analysis and manuscript editing.
h) Ensure that staff are fully involved in the research planning process and maintain a good balance between teaching, research and consultancy.
i) Ensure that staff are fully aware of the national research agenda and participate in the process of defining the research agenda for their areas of research.
j) Create mechanism for management of funds of research and publications.
k) Make suggestions on who will comprise the editorial board to the SRPGS who forward the names to Senate for appointment.
l) Sign all research contracts between the University and the researcher. Also keep copies of all research contracts irrespective of the source and level of funding.

4.3 Research Committees

For research policy and promotion purposes, there shall be a university research committee of Senate and for coordination purposes there shall be a Research Management Committee and Faculty Research Committees.

4.3.1 The University Research Committee

a) Comprising of UCU and non UCU members, the committee will have the following terms of reference:

1. Receive Quarterly Reports on ongoing research in the University.
2. Develop, monitor, and review university policies concerned with research activities, such as research and research training, research collaboration and international reputation.
3. Help identify and cultivate how the University can take advantage of the available research opportunities, with the aim of increasing and maximising income generated from research activities.
4. Generate strategies to enable the University to meet its research objectives as articulated in its Strategy.
5. Provide guidance, monitoring and review of the SRPGS research sub-committees (i.e., the Research Management Committee, The Doctoral Committee, The Research Ethics Committee, Research Forum, Research Monitoring Committee and Faculty Research Committees).
6. Guide the development of the University's strategic research priorities and objectives and monitor research performance within the framework of the University's Strategic Planning process.
7. Conduct a triennial review of submissions for formation and/or continuation of University Research priorities and advise on funding allocations to, SRPGS-funded research groups.
8. Give oversight to research funding proposals to ensure growth of the research function in each Faculty/School.
9. Receive reports on accountability for both internal and external Research Funds.

10. Offer leadership and advice on mechanisms for improving how the university research performance can be monitored and reported on.
11. Advise UCU scholars on how to effectively publish, disseminate and communicate their research, within and outside the university.
12. Do all other supervisory functions in the University that are congruent to research promotion in the University.

b) The composition of the Committee

1. Deputy Vice Chancellor- Academic Affairs
2. Dean SRPGS
3. 2 Members of Council
4. Faculty Research Cordinators
5. Four other members nominated by the Vice Chancellor

4.3.2 The University Research Management Committee

a) This committee shall comprise the Dean, School of Research and Postgraduate Studies, all Deans of Faculties, the University Librarian and any other Faculty representative (s) appointed from among the teaching staff.
    - The Vice Chancellor will be the chairperson to this committee.
    - The Grants Officer will be in attendance.

b) The Committee will be co-chaired by the Dean, School of Research and Postgraduate Studies. The Chairperson will appoint the Secretary of the Committee from among the members.

c) The Faculty representatives will serve for two years. They will however be eligible for re-appointment.

d) The Research Management Committee will have jurisdiction over research matters. Its functions will be to:
    (i) Approve funds under Uganda Christian University Research Fund (UCURF).

(ii) Set guidelines on ethics in research and publications and establish misconduct criteria in research and determine the penalty

(iii) Encourage continuous policy review.

(iv) Oversee consultancy and contracts related to research and research product development.

(v) Oversee protection of intellectual property rights.

(vi) Create, develop and sustain a conducive environment for research.

(vii) Create a mechanism for dialogue with the government, in cooperation with other stakeholders, for an increased share of research funding.

(viii) Encourage and facilitate the establishment of professional research chairs in Faculties and Institutes and create formal linkages with these research units.

(ix) Monitor and evaluate research activities

(x) Profile centres of excellence.

(xi) Give financial approvals for:

- Inaugural lecture preparation.
- Post-doctoral research.

4.3.3 The Faculty Research Committee

a) This shall comprise of appointed representatives from the departments in the Faculty, appointed representatives from the Faculty Board and shall be run under the Dean of Faculty.

b) The Faculty Research Committee's functions will be to:-

i) Evaluate applications for project funding, purchase of capital equipment, publication awards and conference attendance before forwarding to the SRPGS.

ii) Encourage research opportunities between departments and across disciplines.

iii) Establish discipline specific guidelines and ensure adherence to that.

iv) Take initiative for external funding.

v) Investigate misconduct in research and determining whether the allegations form a basis for investigation.

vi) Assist researchers in responding to tenders from government and the private sector.

vii) Assist researchers in drawing up specific proposals.

viii) Liaise with the SRPGS to send regular briefings to potential funders.

4.3.4 The Research Ethics Committee

It is important to have in place a system that promotes beneficial research and guards against unethical research. Oversight of research involving humans as research participants in Uganda is done first at the organizational level by Research Ethics Committees (RECs) and second at the national level by UNCST in collaboration with Uganda National Health Research Organization (UNHRO) for research in health. Uganda Christian University (UCU), shall have a Research Ethics Committee (REC) accredited by The Uganda National Council for Science and Technology (UNCST) to review and oversee all research activities involving human subjects in her catchment area. The committee membership will be set up following the guidelines of the Uganda National Council for Science and Technology.

4.4 Administration of Research Grants

a) For all the internal grants, the Dean, School of Research and Postgraduate Studies shall, on behalf of the University, sign a contract with the Principal Investigator for the purposes of accountability and management of the funds.

b) For all externally funded projects, the Principal Investigator and Vice Chancellor or his or her representative on behalf of University shall sign a contract with the funding agency and a copy of the contract will be kept in the Dean, School of Research and Postgraduate Studies office for purposes of management of funds and project activities.

c) Upon signing of a contract, the University shall be entitled to receive a minimum of 10% of the total grant awarded to the Principal Investigator (PI), being payment for administration costs. This will happen except in those cases where

the funding agency requests to waive this 10% or wants to pay administrative costs more than 10% of the total grant.

d) The University Research Management Committee (RMC) shall be entitled to award all internal grants to staff and make a report to Senate accordingly.

e) The PI shall submit semi-annual financial and technical reports to the Dean, SRPGS as follows:-

   i) Three copies of technical report detailing the work accomplished, project results and any recommendations for further research

   ii) A complete financial statement, covering all funds expended on the project, in the same form and including the detail of the budget and certified as true copy by the PI.

4.5 Declaration by the Researcher

The University Research community shall be required to be committed to the values and regulations established by the Uganda Christian University Research Policy and shall be required to sign a declaration form. (See Appendix 1)

5.0 UGANDA CHRISTIAN UNIVERSITY RESEARCH FUND (UCURF)

The Council, as it approves the annual budget, will ensure that sufficient amounts of funds are set aside annually for various research activities. These activities form part of core business activities of the University that complements teaching and gives the University national and international recognition.

5.1 Broad Principles of the Uganda Christian University Research Fund

For purposes of disbursement of funds under UCURF, the following principles will apply:

a) The need to support original, strategic, basic, applied and productive research.

b) The provision of an internal research budget in terms of its potential to leverage external funding for university research.

c) The development of strategic research foci and centres of excellence.

d) The need to support and develop postgraduate students and academic staff at the beginning of their research careers.

e) Multi-disciplinarity in problem solving through research partnerships internally between faculties and departments or with external partners. The UCU collaboration policy should be applied when working with external partners.

f) Rewarding publication and demonstrated research excellence to motivate staff.

g) Capacity building for the University

5.2 Sources, Allocation and Distribution of Research Funds from UCURF

(i) The University shall aim at setting aside a minimum of 3 % from tuition funds or the minimum required by NCHE; being its annual allocation, to research and publication activities to be distributed as shown below:

(a) 60% to be given out as Annual Research Grant.

(b) 20% to be spent on publications.

(c) 10% to be spent on conferences to disseminate research findings.

(d) 10% to be spent on normal running of other activities at the SRPGS.

* This is a guideline depending on the need of the SRPGS at the time.

5.3 Apportionment of Annual Research Grant (ARG)

The ARG shall be used for:

(a) Training of researchers to be able to participate in competitive research.

(b) Funding competitive research or project proposals.

(c) Awards and recognitions.

(d) Uganda Christian University Annual Research Conference.

5.4 Training of Researchers to be able to participate in competitive research

Researchers will be exposed to research techniques and methodologies through attendance of workshops and seminars organized at the University. SRPGS will scan

the research environment and academic visitors in the country and invite specialists from within and without the University to train participants on current research methodologies. This opportunity will prepare the researchers to participate in bidding for competitive project proposals.

5.5 Funding Competitive Research and/or Project Proposals

Research proposals will be received and considered every six months. Projects designed to run for more than one year will be considered provided there is satisfactory progress, which must be demonstrated annually.

Thereafter, annual applications must be made by the appropriate closing date.
Allocations will depend on the merits of proposals set by the University Research Committee and on the publication and general research record of the applicants. In assessing proposals, evaluators will be guided by some or all of the following principles, depending on the discipline and the nature of the project:

i) Originality and potential to contribute to the generation of new knowledge;
ii) Transferability of knowledge to enable enhanced classroom Course instruction.
iii) The involvement of several staff and/or postgraduate students working on a common theme;
iv) The development of new research foci which have the potential to develop academic and research excellence;
v) Multi-disciplinarity as an approach to problem-solving;
vi) Preference to applicants who have attracted funding for the project from outside sources;
vii) Focus towards fulfilling the Uganda Christian University vision and mission.
viii) Impact on the community/society.

Initial screening of applications will be done by the Faculty Research Committee with recommendations being made for final approval based on advice from the Committee. Where necessary, the University Research Management Committee will

refine the criteria for evaluation of proposals in keeping with the broad principles outlined above.

6.0 INTERNALLY AND EXTERNALLY FUNDED RESEARCH

6.1 General framework guiding the preparations and approval of research procedures.

The framework addresses the following issues or processes:

i. Initiation of a research project;
ii. Formats of research proposals. A sample format is included in Appendix III;
iii. Scrutiny and approval process for research proposals shall focus on *relevance, need, soundness and resources requirements* (including financial resources). This will clearly spell out the roles and powers of different units within the relevant University administrative hierarchy. An example of a research proposal evaluation form is included in Appendix IV.
iv. Planning and budgeting guidelines, including applicable rates for cost estimates. An example of the budgeting format is included in Appendix V;
v. Financial regulations governing financing of research; procurement of equipment and consumables. These have to be within relevant University procurement policies and procedures and in principle all equipment is the property of Uganda Christian University;
vi. Registration of research equipment - whether from internal or external sources;
vii. Standard contracts between the funding agency, the University and the researcher (s). An example of a research contract is included in Appendix VI;
viii. Regulations regarding employment within research projects. These have to be within approved Human Resource Management (HRM) policies;
ix. Progress reporting requirements, control and monitoring. (See Appendix VII)
x. Ensure that all research proposals which are funded through Uganda Christian University are subjected to research process. See Appendix VIII for the format of the research report.

xi. Enter into a research contract with the researcher when the project has been approved. (Contract form is suggested in Appendix VI). Where there is an interest of joint ownership of research results or output, the contract shall be between the researcher as one party and joint financiers as the other party.

6.2 Attraction of External Funds.

The University shall recognize in an appropriate way the efforts in generating research grants from external funding sources (private sector or funding agencies) by taking this effort into consideration while undertaking the annual performance reviews.

i. Ensure that the research overhead contribution is shared amongst the research administrative units at the various administrative levels. Sharing of the administrative overheads shall ensure that priority is given to where the research activity is taking place. In this respect, the distributions shall be as follows:
   a) a minimum of 3% of the overhead shall be contributed to Research, Grants management and Publications Unit of the SRPGS,
   b) 4 % of the overhead to the PI
   c) 2% of the overhead to the respective Department of the PI and
   d) 1% of the overhead to the University.

6.3 Sharing of research resources.

Uganda Christian University shall:

6.2.1 Require that Faculties and departments have transparent and objective criteria of making research opportunities known to members of staff and for allocating such opportunities.

6.2.2 Encourage sharing of research project resources in order to utilize fully the available research resources.

6.2.3 Encourage and coordinate sharing of information and information sources of academic value. Such source shall include books, journals, electronic information (e.g. CD-ROM) and sources of such electronic information through the Internet.

6.2.4 Facilitate by setting up procedures for utilizing project research facilities for other tasks or research projects. This may be necessary where research project resources are underutilized e.g. project vehicles, computers, photocopiers etc.

6.2.5 Encourage and facilitate common services such as word processing, data summary and analysis services.

6.2.6 Permit a researcher to retain priority access to equipment for confirmed academic growth and publication of research.

6.2.7 Where facilities are shared the running costs should be met by the participating units.

6.4 Staff Remuneration

a) Staff will be remunerated for research activity to make research financially attractive as compensation for opportunity cost. This shall be implemented within the context of the "evidence based on professional services" advanced in the Uganda Christian University mission statement. Honorarium shall be paid to staff who work outside normal working hours at the rate written in the proposal budget and approved by the Research Management Committee or the funders. The approval shall be on a case by case basis.

b) Where applicable, staff may apply for a reduced teaching workload to enable them participate and complete a major externally funded research project.

c) The taxation requirement for monetary compensation shall be applied consistently to all members of the research teams.

6.5 Internal Procedures for Approval, Control and Monitoring of research Projects.

6.4.1 Priority will be given priority to projects within the main research agenda when approving research funding. Research proposals must demonstrate that they are within the stated agenda.

6.4.2 To ensure relevancy, collaborative and interdisciplinary research projects shall be promoted.

6.4.3 Ensure that the output for publication conforms to international or regional publishers editorial guidelines. See example of a format for a research report included in Appendix VII.

6.4.4 Research proposals submitted to the SRPGS will be funded subject to the following conditions:

a) **Relevance of the Topic**- The topic should fit within the mission, vision and research agenda of the University.

b) **Availability of Funds**- Those projects whose budget can be fully met by the SRPGS will be given priority. This is to ensure that we do not start projects we cannot finish.

c) **Completion Time**-The research should not last more than one year. This is to ensure that we are able to complete all projects within each financial year. Any extension shall need approval from the Research Monitoring Committee. Ph.D. candidates may only apply in their last year of study. By then, they should have crystallised their ideas and that neither their academic work nor the research project will be affected negatively if awarded a research grant with our conditions.

d) **Measurable Time Lag**-The project proposal should clearly indicate a measurable phase that can and will be evaluated before further funding is approved. In other words, while a project will be approved in whole, funds will be released in phases and the researcher will have to satisfy the committee that the project is on target. The aim of this provision is to make sure that projects that are non-functional, in spite of the proposals having been brilliant, are discontinued and that therefore no project will be fully funded unless it will deliver results.

e) **Length of Proposal**-The proposal submission should not be more than 15 pages.

f) **Competence of Researcher**- The researcher should demonstrate competence in doing the research proposed.

g) **Publication Potential**-The research must end up as a publication. The applicant should therefore demonstrate the publication potential of the anticipated findings.

h) **New members of staff & faculty** - Funding may be applied for after the first year of appointment.

6.6 Research Contract and Funding.

An approved research proposal shall only be funded once the researcher(s) has signed a contract with appropriate offices. In any case, the contracts signed at the SRPGS level shall be deemed to be contracts with the University. Format for research contracts is included in Appendix VI. Original copies of research contracts shall be signed by the Dean, SRPGS irrespective of the source and level of funding.

6.7 Interim Progress Reports.

At the end of each phase, the researchers shall be required to produce interim progress reports giving the up-to-date research findings through the SRPGS. A format for such progress reports is given as Appendix VII of these guidelines.

If, because of the progress report, there is need to modify the contract (or schedule of payments), this request should be formally made through and recommended to the Dean, SRPGS.

In some cases, the SRPGS might wish to send the interim report(s) to an independent reviewer before approving the next phase. Such cases will involve research projects handling massive data that is not easy to interpret or research projects involved in very technological developments not well established in the department concerned. However, in any case, the funds for the next phase can only be released after the approval of the progress report by Research Management Committee.

6.8 Final Research Report.

At the conclusion of the research, a final research report shall be submitted in the format of standalone chapters to facilitate the progress from research to publication.

This shall include chapters organized as academic journal manuscripts. A sample of the contents of the Report appears at Appendix VIII.

6.8 Research seminars and Lectures.

The researchers shall be required to give a seminar or conference at the conclusion of their research work and shall also be encouraged to give periodic seminars during the research work. The seminar and or conference presentation will in principle be the last item to be handled by the researcher(s) after completion of the exercise of reviewing the final draft report. This shall be a pre-condition for the release of the final payment to the researcher(s).

UCU shall also scan the national and international academic environment and invite prominent persons to present at the annual UCU public lectures and other regular public lectures as may be deemed necessary by the university.

Visiting academic visiting professors shall be expected to present a lecture towards the end of their visiting tenure.

7.0 AWARDS AND RECOGNITION

7.1 Publications, Inventions and Innovations

The University shall reward the best publication arising from its staff as per the SRPGS' recommendation. The University shall also reward innovators who have achieved excellent transfer of technology or knowledge and are not necessarily academic publications. There shall be the Chancellor's award, Vice Chancellor's award and Dean's award during the Uganda Christian University's Research Conference.

7.2 Uganda Christian University Annual Research Conference

Uganda Christian University shall organize an annual research conference for the purpose of disseminating research findings.

7.2.1 University Refereed Journals

Uganda Christian University shall support journals to publish and disseminate research findings resulting from research in and outside the university. Leading scholars in the respective fields shall be sought to referee the journals. The University shall establish an internationally recognised interdisciplinary major publication to provide an avenue for her staff and that of other Ugandan researchers to disseminate their research findings.

7.2.2 Other University Publications

Manuscripts for publication shall be reviewed by selected professionals in the field who shall be compensated for the work done.

7.2.3 Expensive Capital Equipment

The University shall strive to obtain equipment for research for all Departments. Any Expensive Capital Equipment (ECE) funds shall be considered in the light of the policy on developing research foci and "centres of excellence" (see 7.2.7) where there are more people capable of using the expensive equipment. When internal funds are not available, researchers shall be encouraged to collaborate with other universities or industry when ECE is required.

7.2.4 Research Extension Funds

10% of the Uganda Christian University Research Fund (UCURF) shall be allocated for research and extension. Such funds will be used for research in community development projects, innovation, partnerships with industry and other stakeholders and the development of networks and leverage skills amongst staff.

7.2.6 Matching Funds/Grants

Where University contribution will be required as a condition for funding, RMC shall consider such applications.

7.2.7 Developing Centres of Research Excellence.

The University shall optimize its resources by identifying the research foci and developing these as clusters or "centres" of academic research excellence. An appropriate process of profiling such centres will take into account existing research strengths as well as regional and national needs. The SRPGS shall identify such centres of excellence within the University, including the Regional Colleges.

The defining features of research foci and centres will be:

a) The existence of (or the potential for) maintaining sustained research programs, which are characterised by excellence in publication and in training of graduate students.
b) Collaboration and multidisciplinarity between a number of researchers within and without the University such that a distinct "research density" is clearly present. This would be achieved by sharing of resources and specialized equipment not normally available for each school.
c) The number of patents (or potential patents) achieved and leading to commercial products.
d) Productive researchers whose work may not necessarily be associated with the centres will continue to be supported through project funding and publication awards of URF.

Preferential investments in expensive capital equipment will be made to such nodes of research excellence.

8.0 RESEARCH FINDINGS AND INTELLECTUAL PROPERTY RIGHTS

This section should be read together with the Uganda Christian University Intellectual Property Policy (UCUIP).

8.1 Records of Research Findings

The research findings may be stored as video recordings, books, CD-ROM's, publications, and audiotapes or in any other retrievable forms in the UCU Hamu Mukasa Library.

8.2 Retention of Documents

The University shall retain a database within the Research and Publications Centre of all research findings. The Principal investigators have the obligation to ensure that sufficient records are kept to document the experimental methods and accuracy of data interpretation and to provide a basis of further research. Copies of research findings and abstracts shall be submitted to open databases such as those maintained by Association of African Universities (AAU) for dissemination among local and regional Universities.

Documents shall be forwarded by the Departments and Faculties to the School of Research and Postgraduate Studies and copies given out to the University Library, for archiving for a period not less than 5 years or as long as the University requires to protect any patent resulting from the research.

8.3 Access and Use of Research Findings

The research materials shall be available for reference within the Research Centre and Library unless any material is protected by client who owns the copyright. It shall be available for copying electronically or by photocopying. The person asking for it will meet the cost of copying.

All research findings and publications in hard copies, electronic copies, audio typing or video tapes shall be available for use by members of the University for purposes of research and teaching with permission from the author or University.

8.4 Intellectual Property Rights

For any research findings or innovations that are patentable, the University shall pursue patent rights and the University policy on patent rights will apply thereafter.

9.0 ETHICAL CONSIDERATIONS

The Research Management Committee of Senate is committed to promoting research that conforms to internationally recognized ethical principles. In pursuit of this ideal,

all research proposals presented for possible funding through the University Research Fund shall have undergone ethical review and approval by a duly constituted and competent body. All proposals on research involving human subjects shall be reviewed by the UCU Research Ethics Committee (REC) and any relevant government authorities as required.

10.0 UNIVERSITY / PRIVATE SECTOR FUNDING RESEARCH

The establishment and maintenance of research relationships with private sector or industry will be facilitated if both parties recognize the mission of the University and the policies and principles that guide its actions. The research undertaken jointly by the University and the private sector should aim at creating new knowledge and solutions while maintaining integrity and independence of both parties. More details are in the Uganda Christian University IPR Policy.

10.1 Acceptance of a Research Project

The University will accept a research project if it is considered to be in the University's best interest to do the research.

10.2 Limits on the Sponsors' Power

The research sponsors may reasonably define broadly the project they wish to support while the University Principal Investigator will have the discretion in designing, controlling and modifying their sponsored research.

10.3 Publications

Since the purpose of research is to generate new knowledge, and communicate the findings through publications, the freedom to publish must be vigorously guarded. The findings of the researches carried out by the University should be published in the shortest time possible. The funding organization may review the results and materials resulting from the research. Such reviews should not delay publication for more than 180 days from the date they are asked to review for publication. Where

the research findings may lead to patentable rights, the University and the private sector funding the research will pursue the patents and the University policy on patent rights will apply thereafter.

Agreements to treat as confidential information generated by research done at the University will be unacceptable unless consistent with University's missions, rules, or policies and will be granted with approval of Vice-Chancellor.

10.4 Graduate Student Involvement in Private Sector Research

When research involves confidentiality, the students may be constrained from publishing their results freely because the results may involve handling of proprietary information. Students shall participate in projects that are funded by the private sector under supervision by Uganda Christian University faculty.

10.5 Conflict of Interest

Conflict of interest occurs when a member of the University community has a research relationship that requires a commitment of time, effort or resources to non-University activities such that the individual cannot meet the usual obligations to the University, OR when the Researcher has a personal vested interest in the subject or objects of the research.

If any such relationship exists it should be declared at the beginning of the engagement. Therefore, Members of Uganda Christian University undertaking research shall immediately declare any conflict of interest and sign a Form to that effect. All effort must be taken to avoid relationships which constitute a conflict of interest or a conflict of commitment.

10.6 Ownership of Inventions

For the purpose of encouraging scientific research,

a) Inventions resulting from research or other work where some University resources or time have been involved will be considered joint researcher and University property. Ownership will be shared depending on the percentage of resources committed by individual.

b) Inventions resulting from research or other work commissioned by the University will be considered University property.

c) An employee may apply for rights of the innovations and the Vice-Chancellor in consultation with the University Research Committee will decide whether to grant such rights.

d) Where research was funded by a private sector or industry, innovations will be owned jointly by the funding organization and the University, and this shall be stipulated in the agreements governing the partnership.

10.7 Sharing Income from Innovations and Inventions

Income resulting from innovation and or inventions will be shared following the University policy on Patent Rights.

10.8 Equipment Purchased Using External Research Funds

10.8.1 *Purchasing of Equipment*

All research equipment unless supplied by the donor, shall be purchased following the normal University procedure on purchase of equipment. The University nonetheless shall assure quality on donated equipment.

10.8.2 *Ownership of Equipment*

All equipment purchased through research grants shall become University property and designated to the department of the applicant at the completion of the project unless otherwise specified in the project proposal. Vehicles bought through project funds shall become University property on purchase but exclusively used on the project, or thereafter designated to the researcher's Department/Faculty.

10.8.3 *Repairs*

All repairs on equipment shall be undertaken by the project until the end of the project, and thereafter revert to the University. Where the cost of repairing equipment exceeds the budgeted allocation, the University will supplement for repairs through university votes.

11.0 MISCONDUCT IN RESEARCH

Uganda Christian University aims at fostering an atmosphere of honesty, trust and collaboration between researchers and the highest ethical standards in all research work. This will improve the quality and quantity of research and avoid jeopardizing the reputation of the University and possibly damaging the researcher's career.

Misconduct in research is defined as fabrication, falsification, stealing, plagiarism or any other form of irregularity that is against the Uganda Christian University Code of Conduct. Misconduct practices as defined above result in mistrust about the research undertaken. Where misconduct in research is noted, the researcher may be called to appear before disciplinary proceedings and if found guilty, disciplinary action shall be taken. Misconduct will not include honest error, honest differences in interpretation or judgment of data.

11.1 Establishing Misconduct

Where misconduct is reported, the University Research Management Committee will form an inquiry into the allegations to determine if the issues which form the basis of the allegations are appropriate for consideration as misconduct.

The report of the findings will be forwarded to the University Research Committee.

The University Research Committee shall give the respondent an opportunity to respond to the allegations and determine if any misconduct has been committed. Both shall report on allegations and the findings of their investigations to the university staff tribunal.

11.2 Penalty

If misconduct in research is found, the Staff tribunal shall determine appropriate penalty, and recommend the same to Senate for consideration and necessary action.

11.3 Notification to Funding Organization

On the basis of the determination that there is misconduct in research, the Chairperson of Senate shall inform the sponsoring entity or funding agency in writing, and if possible, another researcher appointed to replace the researcher who is found guilty.

11.4 Records on Misconduct

All documents related to misconduct in research will become permanent institutional records and will be maintained according to the policy of the University.

12.0 FORCE MAJEURE/ACT OF GOD

Non-performance of a research that has been undertaken by a member of staff and or student under any given contract shall be excused to the extent that such performance is prevented by circumstances beyond the reasonable control of Uganda Christian University or the funding agency. The circumstances may include strike, fire, flood, lighting, windstorm, explosion, earthquake, catastrophic climatic conditions, act of nature or public enemy, war, insurrection, revolution, governmental regulation, order of decree, uncontrollable delay in transport, inability to obtain necessary materials, failure or destruction, in whole or in part, of machinery or equipment, labor shortage, collision, grave illness, death, discontinuity in supply of power, epidemic or pandemic or any other cause, beyond the reasonable control of the parties.

APPENDICES

APPENDIX 1: DECLARATION BY THE RESEARCHER:

I ..... ID No. .....

Declare that I have read the Uganda Christian University Research Policy and understood its content and meaning, and I undertake to abide by it.

Signed by Researcher .....Date .....

Department or Faculty .....

Witness: Head of Department or Dean of Faculty .....

Dean, SRPGS: .....

APPENDIX II: APPLICATION FOR UNIVERSITY RESEARCH FUNDS

"SAMPLE"

Official Use Only	Ref. No.	Date Received
1. Research Title		
2. Theme of Application (Tick one)	• Communication /Media • Religion /Christianity • Health & Nutrition • Environmental Issues • Community Development • Language /Arts	

	• Education / Christian Education • Human Resource Development • Socio-Cultural Issues • Entrepreneurship / Business • Psychology / Counselling • ICT • Others (specify)
3. Personal details of the Principal Researcher	Name: Department: Highest qualification: Office Tel: Fax: Cell phone: E-mail:

4. a) Funds requested (Ush.) *(maximum 1 year)*	b) Expected date of commencement

Equipment and facilities	Consumables	Travel	Personnel and other costs

5. **Collaborating Researcher(s)**

Name	Position & Institution	Research Area	Relevant research experience

6. a) Research Objectives (clearly give the specific objectives of this research)

b) Research hypotheses/Questions (*as applicable)*

7. Significance and justification *(maximum 150 words).*

8. Research Design *(itemize how the research objectives will be achieved and indicators of research impact-logical matrix)(maximum 1 page may be attached)*

9. Ethical Considerations (Max. 150 words)

10. Workplan	Activity	Time	Input	Facilities	By whom	Outcome

11. Details of Expenditure i) *Equipment and Facilities*			
Item	Quantity	Unit Price	Total (UGX.)
Other Expenses			
ii) Consumables			
Item	Qty	Unit price	Total (UGX.)
• Travel & Subsistence (Destination, No. of persons and days and cost)			Total (UGX.)
• Personnel and other costs			Total (UGX.)
12. Expected Outputs			
13. Socio- Economic Impact of Proposed Research (*if applicable*)			
14. Dissemination of research findings *(include the mechanisms to be used)*			
15. List of Relevant Publications by Researchers for the past five (5) years and not more than five (5) papers per researcher *(Author(s), (Year) Title, Publisher, Volume, Pages*			

DECLARATION

Submitted by the Principal Researcher _____

Signature & Date _____

Head of Department _____

Signature Date _____

Dean of Faculty _____

Signature & Date _____

***Attach 1 page abstract**

APPENDIX III: FORMAT FOR RESEARCH PROPOSALS

1.0 Title of the Project.

The title should be scientifically valid and sufficiently descriptive to reflect the nature of the proposed work. The title of the project once approved cannot be changed or modified without consent of the University Research Management Committee.

2.0 Summary of the Project

A summary of the proposed project should be submitted taking into account the objectives, methodologies and the budget. Considerable attention should be given to the preparation of this item. It is suggested that you write this item last.

3.0 Objectives of the project

A clear statement of the general problem(s) or issue(s) at hand should be given Strategic goal(s) to which the solution of the stated problem(s) will contribute should be explicitly stated. Specific objectives and targets must be clearly stated in order to facilitate monitoring and evaluation of the project.

4.0 Literature Review and Contribution of Project

The research applicant must show the interrelationship of what has been done by others in the field and what he or she intends to do. It should reflect a thorough survey of the existing state of knowledge and how in which way the intended work is going to contribute to the advancement of knowledge in the context of the problem to be solved or bring about socio-economic development.

5.0 Methodology

The researcher should clearly and thoroughly spell out the research plan for the project. The plans should identify and describe the different phases of the project. It should also indicate that the proposed methods and analytical techniques are feasible. This section should also show the relationship of his or her project to other

on-going projects in as far as sharing of physical facilities, equipment and data is concerned.

6.0 Project Duration

The anticipated duration of the project must be given to enable the appropriate Uganda Christian University organs to set aside the funds approved for the duration. It will also assist in drawing up monitoring schedules. A Gantt chart showing the major phases of the project could be helpful but not required.

7.0 Organizational and Management Plan.

The details and rationale for human resource needs, budget requested, work schedules and organizational structure of the project should be given here. Ghant charts and key decision points should be used to illustrate the research plan, including contingency plans.

8.0 Anticipated Output and Utilization Plan

Specific solutions to the specific problem(s) or issue(s) that were addressed in the research projects constitute the anticipated output of the project. These outputs must tally with the objectives spelt out. In this section discussions on the steps already taken or planned to be taken to utilize the research results must be given. It should clearly list direct and indirect beneficiaries of the research output.

9.0 Education and Training Components

Specific educational and training requirements and programs geared at improving the professional capability of the staff involved in the project should be discussed in this section.

10.0 Facilities and Funding

The applicant should show the breakdown of all funds requested under the following: equipment (type of equipment and costs); travel (fares and places to be visited); others (specify). Where the applicant has applied for funds from some other sources

he or she should specify the name of the organization, the date of application, the amount requested and its planned use.

11.0 Justification or Rationale

This section should clearly show the importance of the project by stating that the anticipated benefits of the project exceed the expected expenditure. The proposal should also show how the results of the research would be able to reach the end users and bring about socio-economic development. The researcher should discuss the following issues as they relate to his/her project:-

- Technical feasibility
- Research costs
- Relevance
- Researchability
- Contribution to long-term capability building
- Probability of research success
- Availability of outside scientific inputs.

12.0 Publication

Indicate where and in which form the results of the work may be disseminated or published.

13.0 Work Plan

The proposal should indicate the roles of the key researchers and timing of their involvement. The plan should clearly show the role of the principal investigator.

14.0 Budget

The estimated budget for the research proposal should be itemized and presented in a clear format as shown in Appendix V.

15.0 Curriculum Vitae

Where deemed necessary, CVs of the key researchers shall be attached to the proposal.

APPENDIX IV: FORMAT FOR EVALUATION OF RESEARCH PROPOSALS

1. SUMMARY YES [ ] NO [ ] is clear and concise

Comments: _____

2. LITERATURE REVIEW [ ] [ ] Comprehensive, relevant and up to date

Comments: _____

3. GOALS & OBJECTIVES [ ] [ ] Clearly stated, priority clear and objectives achievable

Comments: _____

4. STATEMENT OF THE PROBLEM AND RATIONALE [ ] [ ] Clearly stated and proposal is well reasoned out.

Comments: _____

5. METHODOLOGY [ ] [ ] Proper, well designed and related to all objectives stated

Comments: _____

6. PERSONNEL (CVs) [ ] [ ] The applicant is scientifically and technically capable.

Comments: _____

7. BUDGET AND JUSTIFICATION) [ ] [ ] Realistic

Comments: _____

8. CONCLUSION: Do you recommend approval of this proposal

[ ] Yes as presented

[ ] Yes, subject to minor revisions shown under, "Comments"

[ ] No, see detailed comments under item 9

[ ] No, do not recommend it.

9. ANY OTHER COMMENTS

Comments: (Use a separate paper for detailed comments).

Note: **You may use a separate sheet of paper for detailed comments on each of the above sections.**

APPENDIX V: STANDARD RESEARCH BUDGET FORMAT.

1. Cost Estimate

i. Equipment, books, tools, costs (if any).
ii. Payments to supporting staff.
iii. Labour costs
iv. Consumables or materials
v. Travel and accommodation costs
vi. Communication
vii. Report writing costs
viii. Honoraria; mention names of recipients, applicable rates and duration
ix. Dissemination Costs
x. Contingencies, usually 10% should be allowed for

The cost estimates should conform to approval rates.

- Indicate which cadre of supporting staff, for how long and state the basis of payment i.e. either a fixed rate per hour or lump-sum payment(s).

- For consumables and materials, indicate the local/ foreign cost component.

- Here state the applicable per diem or the estimated ticket cost, duration of stay, accommodation charges per night, food cost allowance, if travelling by road in a University or personal vehicle indicate the total distance to be travelled and applicable rates allow the driver's expenses.

2. Budget Format and Payment Schedule (shown below)

UGANDA CHRISTIAN UNIVERSITY

SUMMARY OF RESEARCH PROJECT BUDGET

Date	Project Title	Name of Researcher	Total Funds	10% Admin Fee	5% Publish Fee	1st Install	2nd Install	Faculty

APPENDIX VI: RESEARCH CONTRACT FORMAT FOR RESEARCHERS

UGANDA CHRISTIAN UNIVERSITY

Research, Publications and Consultancy Centre

Contract for Research

1. Name of Researcher (s)
2. I, the Principal Researcher mentioned above, undertake to carry out the research project, entitled.....
   Code no: .....
3. The duration of doing the research will be.....months
4. Uganda Christian University undertakes to provide funding for the proposal project for the total amount of Uganda shillings.....subject to the availability of funds.
5. The payment will be in accordance with the approval schedule that is attached to this contract.
6. All supporting staff, e.g., secretarial, technical and auxiliary, will be, outsourced following the Uganda Christian University Contract guidelines and paid from the awarded Research budget.
7. Uganda Christian University reserves the right to withhold payment partially or fully, if it is not satisfied with the progress of the project.
8. The researcher(s) shall be required to refund the Uganda Christian University payments received fully or in part in case of non-performance.
9. Uganda Christian University will have joint copyrights on the research.

_____ _____

Principal Researcher Witness

_____ _____

Dean, School of Research and Postgraduate Studies Date

APPENDIX VII: RESEARCH PROGRESS REPORT FORMAT

1.0 Project Description

Section A: Summary of Administrative Information

Project Number & Title _____

Principal Researcher

Name: _____ Department _____

Period (month / year) covered by previous progress report:

From _____ to _____

Starting date of project: _____

Estimate duration of project _____

Date of estimated completion _____

Initial: _____

Latest: _____

Estimated cost of project in (UGX) _____

Funds allocated to project in UGX _____

Phase 1	Phase 2	Phase 3	Phase 4	Total
_____	_____	_____	_____	_____

2.0 Project Objectives

Briefly state the project objectives, indicate which (if any) are changed or new, and give the reason for any revision (1) since the start of the project, and (2) since the latest progress report.

3.0 Progress since last report

A. Scientific Progress

Include sufficiently detailed summaries of work carried out and results obtained to permit an informed critical scientific assessment of the work by the respective committees and peer-reviewers. If possible, results should be presented in tabular or graphic form. Summaries should be complete in themselves and as brief as possible, consistent with clarity (a maximum of two pages is required).

Section B: Progress towards Achieving Project Objectives

Describe advances or problems encountered towards the completion of the plan of work for this reporting period. Interpret new findings (both positive and negative) in terms of the objectives of the project and state if they are expected to increase (or decrease) the duration, total cost, or additional lines of research. Indicate such with sufficient explanatory information to ensure understanding by reviewers.

4.0 Financial Statement of Income and Expenditure during the period covered by the Report.

Period Covered (Date) _____ To _____					
		Amount[1] brought forward	Fund[2] Received	Funds[3] expended	Balance[4]
1.	Direct Expenditure				
2.	Travel and Transport				
3.	Per Diem				
4.	Honoraria				
Grand Total					

1. Amount should be shown in Uganda Shillings (UGX).
2. The breakdown should be as shown in the budget approved for the reporting period.
3. Include as funds expended those for which commitments have been made.
4. This amount is the sum of amounts in the first two columns, less the amount in the third. The balance should be reconciled with the approved budget.

APPENDIX VIII: FORMAT FOR THE FINAL RESEARCH REPORT

1.0 Research Report Content

A research report should include the following headings:

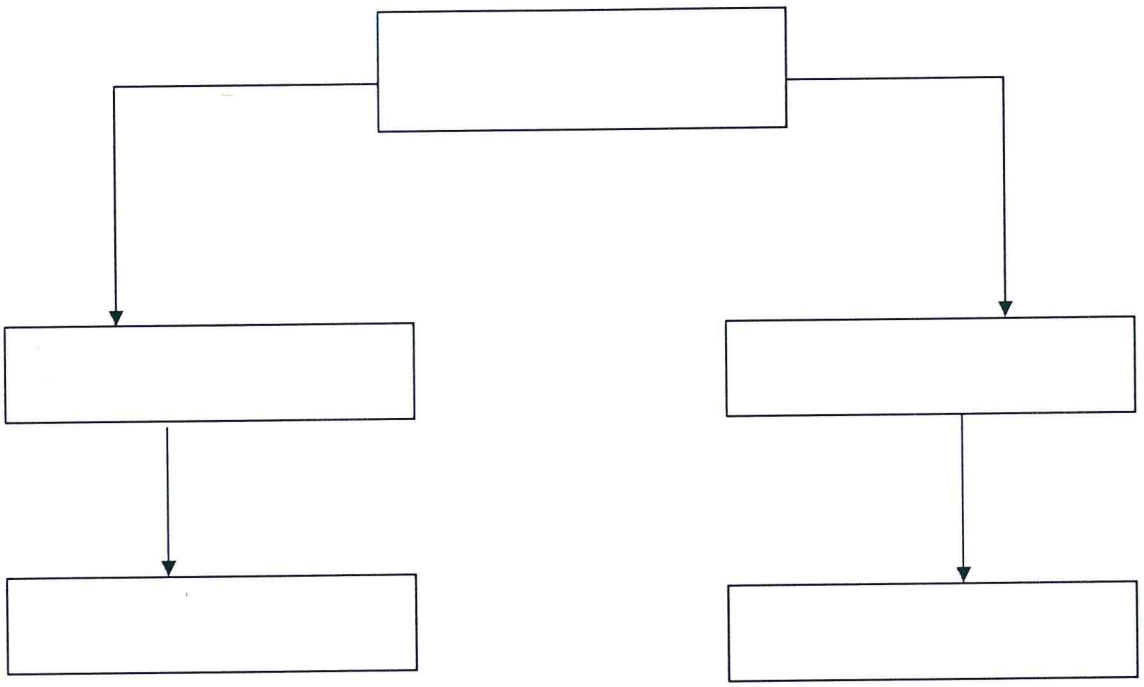
- Abstract
- Acknowledgements
- Table of contents
- List of figures
- List of symbols
- Introduction
- Objectives
- Literature review
- Methodology
- Experimental details
- Results
- Analysis and discussion of the results
- Conclusions and recommendations
- References or Bibliography
- Tables
- Appendices

2.0 Report Format

- All headings should be left justified.
- Line spacing should be 1.5 and fonts should be 12cpi.
- Left margin should be 1.5in and 1in on all other sides.
- Typing should be on one side of the A4 page.
- Format for quoting reference numbers in the text and reference should be standard. APA format is recommended. Any other standard that is recommended for certain professions could also be used.
- Report cover shall be as shown as in the attached format

APPENDIX IX: SCHOOL OF RESEARCH AND POSTGRADUATE STUDIES ORGANOGRAM

The Research, Publications and Consultancy Centre will achieve its goals and objectives through activities that will launch each individual function. It is therefore important to structure the Centre and designate key functions to persons who are able to catch the vision.



Appendix X - Guidelines for Accounting for Externally Funded Research

1. Independent grants accounts officer be appointed to handle accounting matters related to grants, such as copies of contract, budgets, feedback on expenditure and surrenders.
2. Uganda Christian University charges 10% administrative fees for university overheads.
3. The procurement of major items (above UGX 300,000) has to follow procurement procedures of the university. Items below the limit should be procured by lead researcher and proper documentation kept. Such documents are pre-printed letterhead, rubber stamped receipts where possible.
4. "Per diem" payments are graduated depending on rank of officers; however, whatever the grant writer negotiated with the funder is upheld regardless of prevailing university rates. This amount is not subject to taxation. The researcher is surcharged if he or she exceeds the amounts in the budget. Meals and airtime for the research personnel should be reported but on a non-accountable basis given the leeway provided by the donor. Transport funds can be expended through mileage claim when university vehicles are used. Use of personal cars is permitted where expenses are charged to the transport budget. Similar charges are made for use of other transportation means e.g. taxis, bodabodas, buses and aircrafts.
5. The cash advancing mechanism for projects is administered through a project petty cash float system. Each project be authorized to have a petty cash float whose amount could be determined on the basis of its estimated cash requirements. The float would be replenished on submission of accounting documentation to support amounts utilized for the previous period. Partial accounting be allowed of the petty cash float e.g. when the float has been utilized up to a pre-set level. This procedure would help avoid a situation where project runs short of necessary funds as the staff wait for full accounting of the float or delays in release of funds once a request for reimbursement has been lodged with finance department.
6. A vote book is opened by the grants officer/grants coordinator for every funded project. Updated records are kept indicating amounts requisitioned for, date, by whom etc. Separate statements should be kept differentiating normal per diem requisitions (in the course University duties) and project requisitions.

7. The principal investigators can and are expected to inspect this record regularly. Advance forms (not imprest forms) are filled in triplicate. A detailed breakdown of the activities to be carried out are out lined. The project petty cash floats should also be subjected to periodic surprise independent audits in order to avoid situations where University funds are diverted for personal use without detection of management.
8. Monies released from the individual votes are accounted for 60 days after conclusion of scheduled activities. Items in the surrender should conform to the budgeted activities and expected outcome by funder. The funds accounted for by the PI or researcher should not be channelled to / through the Employee's account nor should the payments thereof.
9. Honoraria paid to the Uganda Christian University researchers and consultancy staff are subject to taxation through the pay roll. The rates of payment are graduated depending on rank and role in the research projects. Proposal writing and other research related activities are assumed to be done while the officer is performing their other assigned duties. Non Uganda Christian University staff should report their income and taxes to URA.
10. Each grant is treated differently (depending on terms by funding agent) but treatment is within the broad grants guidelines. There should be no deviation from the grant budget, unless through writing from both parties that is lead researcher and funder. A letter or certificate of completion of grant should be issued by the grants officer upon completion of project.

Appendix XI-Guidelines for Accounting for Internally* Funded Research

1. Independent accounts officer be appointed to handle accounting matters related to internally funded research, such as copies of contract, budgets, feedback on expenditure and surrenders.
2. The procurement of major items (above UGS 300,000) has to follow procurement procedures of the university. Items below the limit should be procured by lead researcher and proper documentation of official receipts kept. Such documents may include pre-printed letterhead, rubber stamped receipts.
3. "Per diem" payments are graduated depending on rank of officers according to existing University policy; This amount is not subject to taxation. The researcher is surcharged if he or she exceeds the amounts in the budget. Airtime should be accounted for by way of receipts and should be within the budget. Transport funds can be expended through mileage claim when university vehicles are used. Use of personal cars is permitted where expenses are charged to the transport budget. Similar charges are made for use of other transportation means e.g. taxis, bodabodas, buses and aircrafts.
4. A float of UGX. 1,500,000 will be maintained by the Director SRPGS to cover incidentals related to research projects. The project petty cash floats should also be subjected to periodic surprise independent audits in order to avoid situations where University funds are diverted for personal use without detection of management.
5. A vote book is opened by the accounts officer for every funded project. Updated records are kept indicating amounts requisitioned for, date, by whom etc. Separate statements should be kept differentiating normal per diem requisitions (in the course University duties) and research project requisitions. 6. The Lead Researcher can and is expected to inspect this record regularly. Advance forms (not imprest forms) are filled in triplicate. A detailed breakdown of the activities to be carried out is out lined.

7. Monies released from the individual votes are accounted for within 60 days and not later than 30 days after conclusion of scheduled activities. Items in the surrender should conform to the budgeted activities and expected outcome according to objectives of the proposal approved by the Research Management Committee.
8. Payments to researchers and facilitators shall be done through Finance Department and subject to tax as per tax regulations. The non-Uganda Christian University staff whose payments are below the tax bracket shall be paid directly by the researcher. Finance Department shall advice SRPGS of the prevailing tax rates on yearly basis.
9. Each proposal is treated differently (depending on the specifications of each proposal) but treatment is within the broad guidelines as provided for by the SRPGS. There should be no deviation from the budget, unless through writing from both parties that is lead researcher and Dean, SRPGS. Statement of accounts will be provided to the Dean, SRPGS on monthly basis. Further, a letter of completion of the research project should be issued to the researcher by the Dean, SRPGS.

** Internally funded research refers to research funded by Uganda Christian University as opposed to research that is funded by institutions/organizations other than Uganda Christian University*