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Chairman’s Spiel

Research is one of the core functions of a University. Without a vibrant University-wide research environment that is infused in both our teaching/learning and in the production and dissemination of new knowledge, a University would be but a glorified secondary school. In 2012, Islamic University in Uganda (IUIU) established the Directorate of Research, Publications and Innovation to guide this core function and we are pleased that this policy document is ready.

I would like to thank the former Vice-Rector, Academic Affairs; the Director of Research, Publications and Innovation and their team who have worked tirelessly to produce this well-thought out policy document with clear guidelines and procedures to support our research agenda.

I strongly appeal to our academic staff to dedicate themselves to research activities that include creation and production of new knowledge, as well as dissemination of that knowledge through presentations at local, national, regional, and international conferences and publications in peer-reviewed journals. Every full-time staff must endeavor to publish at least one article per year.

I also appeal to the academic staff to integrate research in the teaching and learning activities of our classrooms. The 21st century technologies present unprecedented opportunities for today’s University classroom. Let us demand more from our students; let us demand that they read new articles on a weekly basis; let us demand that they collaborate on research activities as part of their core assignments; let us orient our post-graduate students to publish articles before they graduate. This change in the way we teach is long overdue and my office will be working with the Deans, HoDs and the academic staff to implement it.

Last, I appeal to our esteemed students to embrace this information age by being inquisitive 21st century learners. Don’t be content with just your classroom notes. Read outside your classroom assignments. If you read one new article per week for the three years you are at IUIU, I guarantee you will be a better person and someone who can compete in this highly globalized world.

I see the launching of this important research policy document as a beginning not an end. Let us as IUIU now put our mark in the research world through our own research articles, research projects and research presentations.

Ismail Simbwa Gyagenda, Ph.D
Vice Rector (Academic Affairs)
Chair, Research Coordination Committee
Director’s Spiel

The purpose of research in any university is to generate or contribute to knowledge that could benefit present and future generations. IUIU as an institution of higher learning has a critical role to play in reinforcing a research culture at the University and particularly among the academic staff to gain competencies in writing scientific papers with integrity and veracity. The Directorate of Research, Publications and Innovation (RPI) is committed to educating academic staff and students on how to properly conduct research and produce unique and original work through research policy.

The overall objective of this policy is to document research activities in various departments, faculties and campuses of IUIU so as to enable research coordination and oversight, research priority and use of research outputs/outcomes to impact positively on the lives of people in rural communities and urban settings in Uganda and around the World.

This policy applies to all research activities undertaken in Science, Islam, Humanities, Education, Agriculture, Environment, Engineering, Law and Management by individuals, group of academics, community based organizations, government ministries, departments and agencies, private companies/enterprises, non-governmental and inter-governmental organizations and international agencies.

It is my hope that this policy shall be useful by individuals, students, academics and organizations in their research activities for the betterment of IUIU, Uganda and beyond.

I wish to draw the attention of any individual who detects errors of omission or commission to hint the Director of Research, Publications and Innovation at the Islamic University In Uganda, P. O. Box 2555, Mbale. E-mail: rpidirector@iuiu.ac.ug or lanafiu@iuiu.ac.ug.

Nafiulukman Abiodun, Ph.D
Director of Research, Publications and Innovation
Secretary, Research Coordination Committee
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Directorate of Research, Publications and Innovation, IUIU is highly grateful for all the contributions made in preparing this research policy. Special thanks are to local and international contributors as well as policy write-ups from universities around the World. These universities include University of Melbourne, Australia; University of Toronto, Canada; University of Newcastle, Australia; University of Reading, United Kingdom and Association of Commonwealth Universities’ Website. The hard work and relentless efforts by the former Vice-Rector (Academic Affairs) – Dr. Mouhamad Mpezamihigo and the former Director of Research, Publications and Innovation – Dr. Wardah M. Rajab-Gyagenda, in this write up is very much appreciated. Finally, RPI is thankful to all stakeholders for their inputs which greatly influenced and enriched the structure of the IUIU Research Policy.
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1.0 Introduction

The research policy provides a concise overview of research-related guides and procedures for use at the Islamic University in Uganda (IUIU). The Islamic University in Uganda will continue to focus on research, learning, publication, teaching and an expanded focus on knowledge transfer. The university envisages excellence in knowledge-based education and strives to be ranked among the best 20 universities in Africa in the next 10 years (from 2012). Research, being a core value of the University, shall take a center-stage in the realization of this goal.

1.1 Administrative and Academic Research Plans

Campuses, Faculties, Schools and Centers may develop their own strategic and operational plans for research and research training within the context of the university’s strategic plan towards the realization of the University’s vision\(^1\), mission\(^2\) and core values\(^3\).

2.0 Research Management at IUIU

a. The IUIU administration

To encourage further research activities at the University, the IUIU administration has added more research infrastructure, recruited more staff, effected administrative and financial systems, and supported collaboration with other stakeholders in higher education of learning.

b. Revitalized Strategy

The University has established a research committee whose mandate is to streamline, stimulate, and coordinate the research agenda\(^4\). The research committee is the custodian of all research related activities in the university. The committee is composed of faculty and center representatives

c. Research Committee Activities

The research committee activities include policy formulation, publications, research skills enhancement, promote funding opportunities, standardize and approve graduate and undergraduate research guidelines.

2.1 Research Coordination Committee (RCC)

At the university level, the responsibility for the coordination of all research related activities lies with the Research Coordination Committee (RCC), which is under the Chairmanship of the Vice Rector (Academic Affairs). The RCC is responsible for coordinating the development and implementation of research policies, improving support mechanisms for research, establishing inter-institutional linkages, and promoting research and innovation in line with the ultimate

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\(^1\) See Appendix A, Section - A  
\(^2\) See Appendix A, Section - B  
\(^3\) See Appendix A, Section - B  
\(^4\) See Appendix B
mission of IUIU to advance truth and knowledge as well as the expected outcomes of
government, industry and all other IUIU stakeholders.

2.2 RCC Membership

The RCC membership shall comprise the following:

   a. Chairman – Vice Rector (Academic Affairs)
   b. Secretary – Director of Research, Publications and Innovation (RPI), and
   c. Faculty/campus/school/center representatives.

2.3 Functions of the RCC

   a. The RCC shall advise on all matters related to research and research training including
      the development of the University Research strategy and business Plans.
   b. The RCC shall consider strategic responses to major government and industry initiatives
      in research policy and funding and their budget implications.
   c. The RCC shall be the principal source of policy advice to the Executive Board and
      University Management on academic standards, quality assurance in research and
      postgraduate research education and training.
   d. The RCC shall guide faculties and other units in defining their expectations as well as
      their individual or faculty research agendas and strategies.
   e. The RCC shall undertake any other functions as may be determined by the executive
      board or the management committee.

2.4 Faculty/Campus/School/Center Research Leadership

2.4.1 Faculties, Campuses, Schools and Centers shall be required to recommend for appointment
senior academics\textsuperscript{5} to coordinate research on terms and conditions\textsuperscript{6} that may be deemed
appropriate by the RCC and the university administration. Appointment of senior academics is
subject to availability of resources.

2.4.2 The appointed senior academics shall be members of the faculty / campus / school research
committees.

2.4.3 The chairpersons of faculty and campus research committees shall be members of the RCC
and are expected to attend all RCC meetings.

2.4.4 Faculty Deans and Campus Directors shall provide supervision and leadership in research
and research training specific to the needs of their faculty/campus/center.

\textsuperscript{5} The level of seniority and related qualifications will be determined by the RCC and approved by either
management or the Executive Board.
\textsuperscript{6} The terms and conditions will be determined by the RCC and approved by either management or the Executive
Board.
2.5 Participation of Academic Staff in Research Activities

a. The IUIU Academic staff shall be evaluated annually during the staff review exercise as being either active or passive depending on their involvement or participation in research and publication.
b. An academic member of staff shall be required to publish at least one (peer reviewed) journal article per annum and at least a book within three years of his/her tenure in teaching at the university level and preferably at IUIU7.
c. Any member of staff who does not fulfill the requirement listed in (b) above shall be considered as research inactive and may be considered for further administrative action through the appropriate mechanisms of the university8.
d. An academic member of staff shall be deemed as research inactive after three consecutive years without any evidence of research activity and/or publication.
e. Research performance in terms of publication, presentations, and other scholarly criteria shall be used for staff tenure and promotion purposes as described in the staff terms of services, promotion guidelines and the minimum standards by the NCHE.

3.0 The Principle Investigator

The Principle Investigator (PI) is a term applied to any senior university staff who provides the intellectual, administrative, financial and ethical leadership to substantially design, execute, and manage a reproducible research project or program.

3.1 The responsibilities of the PI shall include, but are not limited, to:

a. Overall management of the research project.
b. Providing technical expertise to the project.
c. Ensure expenditure and accountability compliance.
d. Meeting ethics and safety requirements.
e. Reporting and submission compliance.
f. Compliance with codes of good practice in research.

3.2 Research Team Leader (RTL)9

The Research Team Leader (RTL) is a term applied to any university staff who provides the intellectual, administrative, financial and ethical leadership to a research project or program.

3.3 The responsibilities of the RTL shall include, but are not limited, to:

a. Act as the administrative contact person for the specific research project
b. Ensure that all research colleagues are fully informed of university policy and administrative requirements associated with the project

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7 The IUIU regulations and guidelines on promotion pages 53 – 57 shall be used to determine academic levels and publication requirements for promotion.
8 The IUIU regulations and guidelines on promotion shall guide this process.
9 The PI may sometimes act as the RTL as dictated by the terms and conditions of a research project.
c. Effectively manage intellectual property rights and guard against any form of unethical behavior of members of the research team (as guided by the university rules and regulations and other national and international standards).

d. Obtain required ethical and professional clearances and related approvals

e. Ensure that the research project is carried out in accordance with approved protocols

f. Effectively manage risk assessment, including environmental health and safety.

g. Comply with codes of good practice in research and publication.

h. Ensure that expenditures are in accordance with the conditions of award as stipulated by the funder’s policy.

i. Ensure that invoices are raised where external partners have agreed to contribute funds to the project.

3.4 Responsibilities in Relation to Student Intellectual Property

In the event that a student is being supervised and is undertaking research on a project that is governed by a third party agreement, it is the responsibility of the PI/RTL to inform the RCC. Examples of such agreements include research contracts and funding agreements.

4.0 The Directorate of Research, Publications and Innovation (RPI)

There shall be an office of the Directorate of Research, Publications, and Innovation10.

4.1 General

a. The terms and conditions of staff of the RPI shall be determined under the terms of employment and service of the university11.

b. In certain circumstances, RPI staff may be paid from specific project funds that are additional to the regular benefits and payments.

c. RPI shall be responsible to the RCC.

d. Under the leadership of the Vice Rector (Academic Affairs), the RPI shall provide services to support innovation and technology transfer and enhance the management, development and promotion of University research and training.

4.2 The responsibilities of the RPI Directorate

The primary responsibilities of the RPI Directorate shall include, but not limited to:

a. Assisting academic staff to identify relevant external funding sources, and prepare high quality applications through various channels such as research bulletins, grant guides, online databases etc.

b. Coordinating pre and post award administration of research grants12.

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10 See Appendix C, about RPI’s Vision, Mission and Objectives
11 The terms and conditions of RPI will be determined by the RCC and approved by either management or the Executive Board.
12 This shall happen only if grants are won by the University or using the University’s name.
c. Negotiating research and research related agreements in ways that facilitate investment, collaboration and mutual benefit.

d. Promoting a greater awareness among researchers, Research Higher Degree Committees and providing advice on, effective intellectual property protection, management and exploitation.

e. Promoting compliance with the policies and procedures established by the University human research ethics, animal experimentation ethics and biohazards committees through high quality information, education and advice to committee members, staff and research students, and effective program administration

f. Providing high quality data and reports on research performance to academic leaders to assist internal planning, benchmarking and academic management

g. Coordinating external reporting on research performance, and preparing data for the Research and Research Training Management Reports

h. Supporting the continuous improvement of research-related policy and procedures

4.2 Other Administrative Service Providers

a. University Secretary’s Office
   i. Assists with selection and recruitment of research personnel
   ii. Advises on the terms and conditions of employment, and employee relations
   iii. Manages research contracts\(^{13}\)
   iv. Acts as one of the incorporated signatories
   v. Is responsible for the research legal officer

b. University Bursar’s Office
   i. Maintains the staff payroll
   ii. Provides Financial management and accounting services for research funds
   iii. Fulfills the University's financial reporting obligations to government and funding bodies
   iv. Ensures transparency and good funds governance
   v. Ensures timely remittances of all project funds\(^{14}\)

c. Internal Auditor’s Office
   i. Examines, evaluates, and reports on effective use of research funds.
   ii. Conducts project fund reconciliation and verifications.
   iii. Ensures compliance of financial regulations and accountability procedures of research funds.
   iv. Responsible for external audit activities on management of research funds.
   v. Verifies invoices and all forms of payments to research teams, except in circumstances that warrant cash payment.

\(^{13}\) Guidelines on the management of research contracts will be determined by the RCC and approved by, management or the Executive Board.

\(^{14}\) Guidelines on the release and utilization of research funds will be determined by the University Bursar and approved by either management or the Executive Board.
5.0 Integrity and Responsible Conduct of Research

The Islamic University in Uganda is committed to the highest standard of integrity and ethics in research.

5.1 Code of Conduct for Research

All persons (academic staff, students, technical and other support staff) engaged in research (‘research workers’) shall follow the guiding principles including but not limited to:

a. Demonstrate integrity and professionalism
b. Observe fairness and equity
c. Demonstrate intellectual honesty
d. Effectively and transparently manage conflicts of interest or potential conflicts of interest. Conflicts of interest include any circumstances where a member of staff, a student or any other person engaged in university research has a real, perceived or potential opportunity to advance their own interests, or those of any other person or organization, to the interests of the university
e. Ensure the safety and well-being of those associated with the research
f. Ensure that all referenced research is adequately acknowledged
g. Assure that research methods and results shall be open to scrutiny and test and subject to correct scientific procedures
h. Ascertain that units and departments establish formally documented procedures for retention of data.
i. Research workers (staff and students) must comply with the retention procedures mentioned above (h).
j. Research work shall be original work of individuals and/or groups without plagiarizing works or other researcher. Any act of plagiarism shall call for punitive action by the RCC.

5.2 Records and Data management

The minimum requirement is that research data and records are:

a. Accurate, complete, authentic and reliable
b. Identifiable, retrievable and available when needed
c. May be accessed by research funding bodies, legislation, regulatory authorities and patent agencies through the university set procedures of access.
d. Retained for a minimum period of five years after publication and/or public release of the research work, or
e. Secured and retained for as long as they add value to knowledge and society

6.0 Ethical Review and Approval

Research activities at the Islamic University in Uganda are subject to ethical review and approval processes.
6.1 Approval Required Before Work Commences

University policy requires that approval from the RCC for all research proposals must be sought and obtained (bearing in mind the Islamic ethics throughout the research process) before research commences. All research, to be conducted, will conform to the core values of the university\(^\text{15}\).

6.2 Research Involving Human Participants

6.2.1 The University is committed to ensuring that all human participants in research are treated with respect and have the right to make informed choices about their participation in research.

6.2.2 Research by university staff and students must be conducted in accordance with existing national and international regulations guiding human participation in research.

6.2.3 Before approving a research proposal, the RCC will consider in addition to Islamic ethical codes, the following ethical concerns of human participants:

   a. Protection from harm (risk-benefit ratio must be in favor of participants)
   b. Informed consent of participants
   c. Confidentiality and privacy of participants and/or data
   d. Coercion
   e. Shared benefits
   f. Debriefing (whether participants are entitled to research results)

6.3 Animal protection

6.3.1 The University is committed to ensuring that all animals participating in research are treated humanely.

6.3.2 Research by university staff and students must be conducted in accordance with existing national and international regulations guiding animal participation in research.

6.3.4 Before approving a research proposal, the RCC will consider in addition to Islamic ethical codes and in accordance with national and international regulations, the following ethical concerns regarding animals participating in research:

   a. Humane treatment
   b. Safe and hygienic conditions of habitation
   c. Protection from harm (risk-benefit ratio must be acceptable to RCC)
   d. Access to veterinary care during the research endeavor

\(^{15}\) See Appendix A, Section - C
6.4 Gene Technology and Bio-safety

Research work involving genetically manipulated organisms is shall be in accordance with national and international regulations and conventions.

6.5 Licenses, Permits and Permissions

The PI/RTL is responsible for ensuring that any necessary licenses, permits or permission are obtained prior to research commencing, e.g. import approvals for materials, licenses to access certain areas, licenses to use certain materials, or permissions from government agencies or communities.

7.0 Conflict of Interest

University policy requires researchers to conform to the conflict of interest provisions. Staff members interested in conducting research are obliged to declare their conflicts (if any) annually. The RCC, with the approval of the Executive Board shall design a form to certify staff compliance with conflict of interest and any applicable research guidelines as stipulated in the policy.

8.0 Funding for Research

8.1 Types of Research Arrangements

a. Research Grants

A research grant is a form of research agreement in which a sponsor provides funds to support the direct costs of a research project or program. Typically, grants involve generic terms and conditions pertaining to all awards, and do not specify a precise research deliverable or outcome other than a report. Intellectual property arising from the research would typically be vested in the university or jointly with the grantor.

b. Research Contracts

Research contracts are individually negotiated agreements to provide research services under specific terms and conditions. The research sponsor/client would typically claim some contractual rights over the outcomes of the research and, unless agreed by the university, meets full direct and indirect costs.

c. Research Consultancies

Consultancies typically involve the provision of expert advice or assistance on a commercial basis to a private or public sector organization, often with a written report completed on a confidential basis. The consultant would normally have neither the rights to any new intellectual property that is created, nor to publication of the outcomes of the consultancy.
Consultancies that involve the advancement of knowledge, risk, innovation, and where the findings may be disseminated widely by publication (after, perhaps, an initial period of confidential disclosure) and contribute to the research and professional literature, may normally be termed research consultancies, and as such would be treated in the same way as any research contract.

8.2 Identifying Potential Sponsors

a. Advertised Grants

Competing vigorously and successfully for external research grants and fellowships is critical for the Directorate of research, publications and Innovation services at IUIU.

The RCC shall actively seek and disseminate information on publicly advertised grant or contract opportunities. In addition to research project grants and research infrastructure grants, the RCC shall also:

i. Advertise schemes which support university staff to undertake research or advanced research training at IUIU and other institutions
ii. Advertise schemes that would support visitors to conduct research at IUIU
iii. Advertise postdoctoral and other research fellowships tenable at IUIU
iv. Identify research themes that are not contradictory to the university core values

b. Internal University Grants

The University shall as far as possible provide funds through the Research Vote for a small number of internally competitive projects, administered by RCC. At some point, especially after faculty capacity has been attained (as determined by management) the RCC may decentralize to faculties, schools, and such competitions, which may offer specialized research grants.

9.0 Budgeting, Costing and Pricing

9.1 General

Bids for grant or contract research funding must be prepared in accordance with university financial policy guidelines on Costing, Pricing and Accountability of Research grants.

9.2 Budgeting for a Research Project

A budget shall be based on a comprehensive analysis of the costs of a given research project. A grant application or contract proposal should aim at getting the sponsor to pay for as much of those costs as possible. The researcher should ensure that both the sponsoring agency and university guidelines are followed. In some cases for example, granting bodies will not allow certain items (e.g. investigator salaries, large equipment items etc). Further, some granting
bodies will not meet indirect/overhead/infrastructure costs or only meet those costs at a certain level.

9.3 Costing a Research Project

In order to conduct any form of research, money and the researcher’s time are required. In most cases, it involves other resources as well: research assistants, equipment, supplies, services, space, travel, etc. A budget should indicate all the costs of a given proposed research project\(^\text{16}\). Research budgets shall comprise both direct and indirect costs. Budgeting guidelines including direct and indirect costs are typically outlined in the sponsor’s call for proposals\(^\text{17}\) or may be provided by the university in case of internally funded research projects.

9.3.1 Direct Costs

Direct costs are those costs that are directly attributable to the project such as:

a. Project salaries and on-costs of project staff (including technical, clerical and secretarial assistance)
b. Stipends for student research assistants and postdoctoral fellows
c. Computing costs
d. Materials and supplies
e. Equipment and components
f. Brokerage and freight
g. Communications (long-distance telephone, fax, courier, postage)
h. Services such as photocopying, report production, photography
i. External consulting services
j. Workshop and other scientific services
k. Special facility use charges
l. Travel and living expenses (conferences and field work)
m. Space rental, etc

a) Research Personnel

Salaries for individuals who will be employed to work on the project should be within the range of the appropriate University personnel classification and be consistent with sponsoring agency regulations. Provision should be made for annual salary merit increases in accordance with University policies. Additionally, an amount to cover salary on-costs must be budgeted.

\(^{16}\) To account for excesses and insufficiencies, the budget should incorporate line items that cater for contingencies and excesses.

\(^{17}\) At IUIU the direct and indirect cost procedures will be determined, from time to time, by the university administration with guidance from the RPI/RCC.
b) Travel

Travel and subsistence costs should follow the rates allowed by the sponsor, or in their absence, University financial guidelines.

9.3.2 Indirect costs

Indirect costs represent the cost to the University of providing the infrastructure necessary to support the research activity undertaken. This includes faculty and departmental administration, physical equipment; instrument operation; and maintenance, central administration, building use, equipment depreciation, and academic services such as the library and University ICT facilities.

Research facilities and administrative services and support costs must be included in all contract and grant proposals as delineated by the sponsoring agency or university guidelines.

9.4 Pricing a Research Project

The price to be charged must be decided on the basis of existing costs and the nature of the project.

10.0 Governance and Business Arrangements in Major Initiatives

Researchers involved in small, medium and large proposals should discuss with the RCC, from the outset, the University’s position in regard to governance and related business structure issues.18

11.0 Submitting a Research Grant Application

11.1 Research Project Lodgment Process

The Directorate of RPI is the only unit within the University authorized to prepare and submit projects on behalf of the University. The project shall include, among others, expressions of interest, preliminary proposals and full grant applications prepared by University researchers.

a. The RPI Directorate shall set an internal closing date for all internally and externally advertised grants.
b. Closing dates shall be two to four weeks before submission is due to the funding body, to allow time for checking, recording, and contact with the RTL.
c. Any incomplete application shall be returned to the originator of the same for corrections to be made.
d. The Vice Rector (Academic Affairs) and/or Chairman of RCC or in the absence of the two, where appropriate, the director RPI shall endorse the project proposal documents on behalf of the university.

18 The RCC will, from time to time, advise on what constitutes a small, medium and large project.
11.2 Procedure for submission of project proposal

a. Applicant submits one application draft copy to the RPI by the internal submission deadline.
b. The RPI reviews the application draft copy.
c. The RPI provides feedback to the applicant(s)
d. The RPI invites applicant(s) to submit a final version (both hard and soft) of their application.
e. The RPI submits the application to the granting body after approval by the Vice Rector (Academic Affairs) or the delegated officer.

Applicant(s) shall ensure that they provide the correct number of copies of the final application as required by the funding body, plus one extra copy for University records.

11.3 Signatures

Most research project applications require the signature of Head of the Institution/Organization.

a. At IUIU, the Rector, the Vice Rector (Academic Affairs), or the delegated officer will be a signatory
b. The Dean and respective Head of Department of the faculty submitting the research project may be a signatory to the application
c. If the applicant is a student:
   i. The supervisor shall sign the application
   ii. Followed by the Head of Department through the Dean of Faculty, and
   iii. Finally by the Vice Rector (Academic Affairs)

12.0 Accepting a Research Grant

12.1 Authority to Accept a Grant Offer

a. Although an offer will normally refer to the PI/RTL and to a specific research project, all research funds awarded shall be considered to be university funds but under a specific member of staff undertaking the research. Researchers are not permitted to sign grant acceptances on behalf of the University but for some funders, the PI/RTL may also be a signatory.
b. The RPI will facilitate the process for acceptance or not of the research grants or fellowships. Grant acceptance will be subjected to the terms and conditions of the award as bound by the research and university policies. Approval process will be done in consultation with the RCC where necessary.
c. Where an application is successful, the RPI will arrange for an Acceptance of Offer to be signed as suggested in this policy.
d. Signing the acceptance form obligates the PI/RTL to comply with the conditions of the award, including all financial and reporting provisions, and to conduct the sponsored research project diligently, and to the best of their ability.
e. The Head of Department (or Dean in the case where the PI/RTL is Head of Department) signs as supervisor and agrees to accept the grant into the department and provide the necessary infrastructure necessary to support the project.

12.2 Review of Proposed Funding Contract/Conditions of Award

The RPI shall review any proposed contract for the award of a grant to ensure that the conditions are acceptable. If necessary, the office will also negotiate any conditions on behalf of the grant recipient. A contract review shall be undertaken in conjunction with the PI/RTL and team, who shall be kept informed of all developments pertaining to the contract.

12.3 Documentation/Correspondence Regarding the Research Grant

A University Records file shall be created for each grant. The purpose of this file is to maintain a formal record for the grant, including any queries or correspondence. It is therefore requested that grant recipients direct any correspondence to the granting body through the RPI so that this file can be kept current.

13.0 Research Agreements

13.1 Review and Negotiation of Research Agreements

The RCC through the RPI, in consultation with the University Secretary and the PI/RTL and his/her research team, shall be responsible for the development of research project contracts.

The contract review process shall include:

a. Approval by the Head of Department, Faculty Dean and Director(s)
b. Receipt of work request by the RPI
c. Review of information provided by researcher/department
d. Review of agreement
e. Allocation of work request to the University Secretary for legal advise
f. Negotiation with the research sponsor
g. Final advice to the researcher
h. Execution of the agreement by the RPI, research team and research sponsor
i. Post-execution administration

13.2 Authority to Enter Into and Sign Research Agreements

The University Secretary on the request of the RCC shall advise on the legal entity of research agreements involving the university. The Vice Rector (Academic Affairs) shall sign all such agreements after approval by the RCC and witnessed by the University Secretary.

The RPI will recommend:

19 The RCC shall advise legally on research agreements involving faculties, departments and individuals.
a. The amounts of research grant\textsuperscript{20} for each category and shall also arrange execution of research agreements.
b. Teamwork instead of individual research, in most circumstances, unless where necessary. This shall avoid stalling of research work in the absence of a team member.
c. The type of researcher remuneration (salary, allowance, and/or honorarium) based on grant terms and agreements and/or as stipulated by the University’s remuneration guidelines/scale.
d. When and how the university shall benefit from the returns (financially or otherwise) of the research projects.

14.0 Administering Research Funds

IUIU’s Directorate of Research, Publications and Innovation (RPI) and the Research Coordination Committee (RCC) will form the core team that will administer research awards and vetting.

The RPI’s office in conjunction with the IUIU’s accounts department will administer the disbursement of research funds, monitor the proper use of allocated research funds, and ensure that all the relevant parties adhere to the proposed budgets.

14.1 Opening a Research Account

14.1.1 The Bursary Department of the university shall open an account or accounts (as agreed by funders) for research funds on the advice of the RPI subject to a recommendation of the RCC and final approval by the Rector.

14.1.2 A single account may be used for handling different project funds. Such an account shall be subject to audit from time to time to ensure good use of the research project funds.

14.2 Managing Research Expenditure

14.2.1 Having received a research grant or contract and an account number, expenditures can proceed using the normal university financial procedures and regulations.

14.2.2 Departments, Faculties, Schools and Campuses may establish their own systems for monitoring research expenditures.

14.2.3 PIs/RTLs must take prime responsibility for ensuring that research funds are expended in accordance with the Conditions of the Award (COA). Funds should only be spent on eligible items as approved in the specific research projects.

14.2.4 Where a grant is awarded with a one-line budget, the PI/RTL may normally vary expenditure from the specific items listed in the original application provided that expenditure is

\textsuperscript{20} Amounts of research grant shall be recommended based on budget and availability of funds.
required for that specific project; on eligible items and consistent with the originally stated aims and objectives of the project, and will facilitate the timely completion of the project.

14.3 Employing Staff

14.3.1 Where a research project requires the employment of staff, this should be done on the recommendation of the PI/RTL in accordance with the university recruitment Policy and Procedures.

14.3.2 Payment of such staff must be stipulated in the terms and conditions of the project funding.

14.4 Equipment

Unless otherwise specified by the sponsor, ownership of all equipment purchased with research funds shall remain the property of IUIU. Accordingly, university policies with respect to fixed assets shall also apply.

14.5 Invoicing External Parties

Collaborative projects can involve a commitment from an external party to provide funds to the University. Academic departments through the Bursary Department are responsible for invoicing of external partners who have agreed to contribute funds to the project. Such activities shall be subject to the audit procedures of the university.

14.6 Transfer to/from Other Institutions

Upon knowledge of transferring a grant or contract to the university (even if the transfer will take place in the far future), investigators should notify the RPI within a period not exceeding 60 days in advance. This will minimize unnecessary delays.

14.7 PI/RTL No Longer Working on the Project

If at any time during the term for which a grant or contract has been awarded, a named PI/RTL on an externally or internally funded project ceases to be a member of the university (should they, for example, resign or take extended leave or is dismissed from university service), immediate notification should be given to the RPI by the affected department. The RPI will assist in notifying the project sponsor and agreeing on the way forward.

The affected department may suggest a replacement with a colleague with the adequate competencies to carry on with the project.
15.0 Donations

A donation is a gift, usually from an individual or a corporate entity, with no terms and conditions attached. Some donors may designate a general use for the gift, such as research. A contribution can generally be considered a donation, by taxation authorities for example, when no rights, privileges or material benefits accrue to the donor or the donor's representative.

The RPI Directorate shall be responsible for receiving research donations on behalf of the university administration.

16.0 Access by Collaborating Partners or Third Parties to University Resources, including Space Allocations, for Research Purposes

Staff, requiring access for external parties engaged in research-related activities to university facilities, shall follow the following procedures.

a. Proposals for collaborative research and related intellectual property and facilities use shall be clearly spelled out by the concerned parties and coordinated by the RPI.

b. Where there is a need for collaborating partners or third parties to use university facilities and equipment for research activities, the proposed contract arrangements and agreements shall be referred to the University Secretary for Legal advice before a decision is made.

c. Where collaborating partners or third parties seek to lease university space and facilities for research, the request shall be referred to the Estates and Works Department and approved by University Management on the recommendation of the RCC.

d. Where there is a requirement for a lease or an arrangement for use of University facilities, equipment or space for research activities by collaborating partners or third parties, Faculties and Departments shall first seek approval from the Vice-Rector (Academic Affairs) on the recommendation of the RCC that the proposed lease/arrangement will be of benefit to the University.

i. A short-term lease or arrangement is defined as less than 12 months.

ii. A mid-term lease or arrangement is defined as between 12 - 16 months.

iii. A long-term lease or arrangement is defined as from 16 months and above.

e. Faculties and Departments are responsible for ensuring that all compliance, standards and regulations are met in relation to their research activities or those carried out by collaborating partners or third parties using university facilities within their jurisdiction.
17.0 Safety, Insurance and Risk Management

17.1 Assessing and Managing Risk

The university shall undertake a broad and varied scope of research activities, both on and off of its premises. Such activities involve risks that could affect researchers, students, staff and the university itself. Some of these risks will be covered by insurance as may be determined by the RCC, executive board, or the university management committee\textsuperscript{21}.

17.2 Responsibilities of Principle Investigators

The PI/RTL is accountable for ensuring the health and safety in the workplace for all personnel (staff and students) working on his/her project\textsuperscript{22}. This includes laboratory safety, the safety of personnel on fieldwork, completing relevant university documentation and being aware of relevant insurance coverage.

17.3 Biological Materials and Quarantine

The university shall from time to time determine policies and guidelines to regulate and control the purchase of imported biological compounds, products and materials, and their sale or repurchase.

18.0 Intellectual Property Rights

18.1 Rights of Academic Staff and Students

\begin{enumerate}
\item Members of academic staff own the intellectual property they create, subject to the terms of a specified agreement with a third party where the ownership, licensing or commercial exploitation of intellectual property is governed by that agreement. Examples of such agreements include research contracts, consultancy agreements and grant agreements with funding bodies. The provisions in these agreements relating to ownership of intellectual property shall be determined by the RCC as approved by the Executive Board.
\item The University name shall appear as part of the intellectual property developed by students, honorary staff and visiting academics in the normal course of their studies or research unless its ownership is governed in some way by a third party agreement of the type described in (a) above. This applies regardless of whether the research project is externally funded (i.e. any project subject to a third party agreement).
\item The university shall assign different categories of IP rights relating to students, staff and other parties involved in specific projects that lead to innovation.
\end{enumerate}

\textsuperscript{21} The RCC and RPI Directorate shall, from time to time, discuss how, what, who will be insured and who will pay for the insurance with respect to a specific research activity.

\textsuperscript{22} The University Secretary, with the advice of the RCC and RPI, shall design a workplace health and safety form/template that will be used by PIs and RTLs for compliance by their team members.
d. In the case of student-faculty publications collaborations, whereas faculty members shall provide guidance in the research and manuscript processes, students shall be accorded intellectual rights, based on their research outputs, as first authors on any publications emanating from such collaborations.

18.2 Obligations of Academic Staff who exploit their Intellectual Property

Academic staffs are obliged to take a number of actions in relation to their intellectual property. These include:

- Providing written notice to the University if the intellectual property is to be assigned to a third party,
- Providing written notice to the University if the property is to be commercialized,
- Providing written notice to the University of any application to secure registered protection for the intellectual property.
- In addition, staffs are required to ensure that all users of the intellectual property carry appropriate insurances.

18.3 Rights to Intellectual Property owned by IUIU Staff, Honorary Staff and Students

- The University shall have a non-exclusive, royalty-free, worldwide and irrevocable license to use intellectual property owned by staff, which is created during the normal course of their employment, for non-commercial purposes including internal research and education.
- The University also has the right to receive a share of revenues arising from commercial exploitation of such intellectual property by academic staff.
- The University also has the right to use intellectual property owned by students and honorary staff, which is created during the normal course of their studies and/or research, for internal research and educational purposes.

18.4 Invention Disclosure

The University shall encourage researchers to disclose inventions using a form that shall be designed and recommended by the RCC.

18.5 Distribution of Revenues arising from University Intellectual Property

- In the event that the University receives revenue from the commercial exploitation of its intellectual property, the inventors are entitled to a share of those revenues after account has been taken of the direct costs to the University associated with the development, commercialization and protection of the intellectual property.
- Revenue streams, in the form of royalties, are generally distributed as follows, subject to the approval of the University’s Intellectual Property Officer or his/her equivalent and on the recommendation of the RCC:
i. Creators: 50%
ii. Department: 30%
iii. University: 20%

c. If a student or honorary staff member is deemed to have made a contribution to the development of intellectual property that is vested in the university, then the student or the honorary staff member will be treated in the same way as a member of staff in terms of receiving a share of any royalties that the university might receive as a result of commercial exploitation of the intellectual property.

18.6 Protection of University Intellectual Property

Staff wishing to protect intellectual property that is vested in the University may apply for a Provisional Patent Support Grant, the terms of which shall be determined by the RCC from time to time.

19.0 Reporting on Research Activity and Outcomes

19.1 Statutory Reporting Responsibilities

The University is responsible for providing various reports on research and research-related matters required by legislative authority through the RCC.

19.2 Reports Required by Research Sponsors

The University, as the legal party to all research grants and contracts, ultimately has the responsibility to ensure that all academic, financial progress and final reports are provided to sponsors in accordance with grant and contract conditions.

It is the responsibility of the PI/RTLs to ensure that all academic and technical reports are provided.

19.3 Reporting to the RCC for Purposes of Resource Allocation

Research performance report shall be availed to the RCC in order to enable the University budget for resource allocations, including the allocation of performance-based funding for research and training.

In order to achieve an equitable distribution of funding,

a. Where research grants have PIs/RTLs from more than one department, research income will be credited to the departments where the funds are located.
b. Authorship of research publications will be credited to the departments in which the authors are located.
c. Research higher degree load will be credited to departments contributing to research load and counts on the promotion criteria of individuals involved.
d. Research higher degree completions will be credited to the departments in which the supervisors are located.

20.0 Amending the Research Policy

The University Executive Board may cause the amendment of this policy through the Research Coordination Committee, from time to time, as may be deemed necessary.
APPENDIX – A

UNIVERSITY VISSION, MISSION, CORE VALUES AND OBJECTIVES

A - The vision

The vision of the Islamic University in Uganda is to be a leading international centre of educational excellence for social development.

B - The Mission

The Islamic University in Uganda aspires to serve as an academic institution, based on Islamic values, that creates knowledge and trains learners to fulfil societies’ needs.

C - The core values of the University

The University's Vision and Mission are supported by five core values:
   a. Faith
   b. Integrity
   c. Excellence
   d. Diversity
   e. Creativity

D - The Objectives of the University

The Objectives of the University flow from its Vision and Mission as above

These are to:
   a. Function as an academic and cultural institution within the Organization of the Islamic conference and sub-Sahara Africa in accordance with its statute.
   b. Enable African countries to assimilate Science and technology, acquire scientific and technological know-how and to use it in the best interest of African people.
   c. Train adequate human resource and secure the necessary scientific research and advance studies in the various fields of knowledge.
   d. Promote cultural, sports, social and scientific activities within the University and to award its own degrees, diploma certificates and other academic awards.
   e. Eventually be economically self-reliant and sustainable through possession of endowments (awqaf), involvement in money generating activities, fees and;
   f. Be accountable and transparent to the public in the management of the institution.

E - Enhancing the quality and relevancy of education delivered

In order to enhance the quality and relevancy of the education delivered, the University will:
   a. Broaden the curriculum to include both arts and sciences for the graduates.
   b. Make all students computer literate before graduation.
   c. Introduce life skills education to all students
   d. Recruit and retain brilliant and committed staff.
e. Link what is taught with the labor market.
f. Develop a mechanism for self-criticism, learning and developments through debates and retreats.
g. Endeavour to create a University community by increasing staff and students' accommodation on campus.
h. Research and publication funds to be increased annually.

F - Attract and train brilliant staff.
The quality of the University/Institution is determined by the quality of its academic staff. To this end, the University will endeavor not only to recruit from the best of its students and train them to supplement those recruited from outside the University but also create for them the environment to excel by exposing them to best higher education delivery practice.
APPENDIX – B

UNIVERSITY RESEARCH AGENDA AND DESCRIPTION OF RESEARCH THEMES

Goal: The goal for the IUIU research agenda is two-fold:
   a. To enhance the quality of and increase, research output at IUIU.
   b. To enable the university to purposely intensify its ability to deliver its research mission.

The RCC identified, in conjunction with faculty heads, sixteen (16) interdisciplinary research themes that shall improve on, the quality of and increase, research output at IUIU. These themes will enable IUIU to establish its identity at the national and international levels. The themes are expected to change as the IUIU’s directorate of research, publications and innovation expands. The rationale behind such interdisciplinary themes is to postulate a platform that shall nurture collaborative research as well as strengthen staff academic growth as together they confront multifaceted research tasks. The identified themes are listed below along with their broad meanings.

1. Islam and Development
The theme on Islam and Development seeks to bring together researchers to work together on various issues including the vast history of Islam and its peoples, the socio-economic development of the Muslim populations, Muslim education, Islamic law, Islamic Financing and Banking, etc.

2. Development and Environment
The theme on Development and Environment seeks to highlight the harmony between the two seemingly conflicting subjects. Protecting the environment and sustainable development are highly recognized today because of the inter-relationship that these two concepts convey on the subject of environmentally and ecologically sustainable development. Researchers at IUIU will have the opportunity to illustrate how development and the environment should not be in opposition but rather should complement one another.

3. Climate Change
IUIU’s location in Eastern Uganda and the current landslides in the region position the university near a contemporary challenge. The Climate Change theme seeks to enhance researcher enquiry about weather and climatic changes, how these influence and/or are influenced by human activities and what evidence based solutions can be advanced to minimize their negative impact on human development.

4. Biodiversity
The Biodiversity theme seeks to galvanize the efforts of researchers on this important global issue. In line with the Development and Environment theme well as the Climate Change themes, researchers will focus on the biological diversity of planet earth including plant and animal species, microorganisms, and diversity of genes in these species, the deserts, rainforests and the tropical forests. Researchers’ focus will be in the areas of seeking alternative strategies to preserve, conserve, and sustain this diversity.
5. **Waste Management**  
While there is need to preserve, conserve, and sustain diversity on earth, researchers need to also focus on the collection, transportation, disposal, managing and monitoring waste materials from diverse co-existence. This theme seeks to address the health problems in the developing countries that emanate from waste and its resultant effects on the environment and aesthetics.

6. **Pollution Control**  
The Pollution Control theme seeks to bring researcher’s attention to other forms of effects of waste and to seek alternative cost-effective ways to control pollution of air, water, and land.

7. **Food and Agriculture**  
The Food and Agriculture theme seeks to direct researcher’s attention toward the challenges of poverty that is particular driven by hunger and lack of sustainable agricultural activities and production. Investments in creative modern Agricultural techniques as a means of sustainable development and poverty eradication are critical.

8. **Value Addition to Agriculture**  
This theme seeks to challenge researchers not just to investigate ways for sustainable agriculture but rather take African agriculture to manufacturing processes that would increase the value of primary agricultural commodities. Ugandan small-scale agricultural practices will benefit from research that continuously targets rural development strategy.

9. **Risk Management**  
The Risk Management theme seeks to direct research attention towards the identification, assessment, and prioritization of risks. The need to minimize losses and to maximize opportunities has never been underestimated. We live in a world full of risks and uncertainties. The desire to predict and minimize such risks is central to this research this theme.

10. **Science and Information Technology**  
This theme seeks to bring the attention of IUIU’s researchers to the complex world of Science and Information Technology. The need for efficient production and delivery of services through the use of gears that effectively stores, retrieves, transmits and manipulates data is important to the development of any organization including Higher Institutions of Learning.

11. **Educational Research**  
The Educational Research theme seeks to enable researchers to exploit scientifically based research methods that would address the community’s most pressing education needs. Topics in this area (among others) include curriculum development; effective school management; vocational education to address the massive youth unemployment in the region; effective pedagogical strategies to enhance student achievement; quality assurance in primary, secondary and tertiary institutions; educational technology; distance learning; educational measurement and evaluation; and Muslim education.
12. Community Participation
The Community Participation theme seeks to direct the attention of researchers to pursuing alternative ways to empower the community. IUIU values the connection that higher education institutions must establish with the communities. Researchers will be encouraged to collaborate with communities on research projects that are focused on solving community needs such as health prevention and care, literacy improvement, efficient energy sources, micro-financing that is Islamic and non-predatory, family empowerment, and marriage counseling.

13. Business and Management Science
The challenge of poverty and unemployment is on the increase in all our societies including the immediate societies around the University. This Research theme seeks to make inquiries on how best business organizations both private and public can be managed to maximize wealth and create jobs. It also seeks to find solutions to the existing challenges of the communities failing to create its own jobs and find employment for its people even when it has graduates from Colleges and Universities.

14. Humanities and Social Sciences
The field of Humanities and Social Sciences has recognised a set of themes across a range of disciplines around which to concentrate research activities. By supporting collaborative, interdisciplinary communities of researchers with shared interests, researchers continue to produce world-class, valuable researches that have real impact locally, nationally, and internationally. Researchers study the literary and cultural responses to modern war, from the eighteenth century to the present day, in national and transnational frames, and often with national and international collaborators. Special interests are on remembrance, reconciliation and identity, the book history of modern war, the history of censorship, the role of journalism in modern conflict, as well as the cultural work of distinct genres such as the military memoir, the war novel and travel writing. Carrying out studies on a cluster of researches from different disciplines and with intersecting expertise in these fields, offers a congenial environment in which to investigate the cultural mediation of war, from a range of perspectives and approaches, and with unrivalled library resources.

15. Health Sciences
The field of Health Sciences has cluster of research activities in different areas of excellence which cross the boundaries of disciplines and settings. Chronic, non-communicable diseases are a leading cause of diseases burden in Africa and international community, and addressing the risks and determinants of these are core to research in health sciences. Programs of research are aimed at improving effectiveness, safety and quality across a range of health and human services and disciplinary practices. Areas of practice and service improvement research include, but are not limited to, the prevention, identification and management of mental illness, hospital acquired and disease specific wounds, clinical aggression, chronic diseases, medication errors and domestic violence; and, enhancing the experiences of individuals and families as they traverse the complex web of primary, secondary and tertiary health and human services.

16. Gender and Equality
Today, gender and equality research consist of a broad field of different theoretical and thematic approaches such as women’s studies, equality studies and men’s studies, as well as queer and
sexuality studies. This research field has been motivated by a theoretical interest in developing gender research as a distinct domain of knowledge, along with a political ambition to address democratic change and gender equality. The linking of analytical and political motivations ensures the continuous involvement of the gender research field in a lively and critical dialogue with both the academic world and society at large.
APPENDIX – C

THE DIRECTORATE OF RESEARCH, PUBLICATIONS AND INNOVATION (RPI)

The Islamic University in Uganda engages in teaching, learning, research, publications and knowledge transfer. The university envisages excellence in knowledge-based education and strives to be among the best universities in Africa. Research, being a core value of the University, takes a center-stage in the realization of this goal. As part of its implementation strategy and to realize the stated goal, the Islamic University in Uganda (IUIU) proposed to establish the Directorate of Research, Publications and Innovation (RPI). The University’s Vice Rector in charge of Academic Affairs supervises the RPI directorate.

The Vision
The vision of the Directorate of Research, Publications and Innovation is to be the best in sub-Saharan Africa while serving as a catalyst for innovation and technology transfer that are focused on development, empowering communities and solving their needs.

The Mission
The Directorate of Research, Publications and Innovation aspire to provide unsurpassed services to support management, development and promotion of research and capacity development within the University, the country, the region and the world as a whole.

Objectives
The primary objectives of the RPI Directorate include to:

a. Assist academic staff to identify relevant external funding sources, and prepare high quality applications through various channels such as research bulletins, grant guides, and online databases.

b. Coordinate pre and post award administration of research grants.

c. Negotiate research and research related agreements in ways that facilitate investment, collaboration and mutual benefit.

d. Promote a greater awareness among researchers, Research Higher Degree Committees and providing advice on effective intellectual property protection, management, and exploitation.

e. Promote compliance with the policies and procedures established by the University human research ethics, animal experimentation ethics and biohazards committees through high quality information, education and advice to committee members, staff and research students, and effective program administration.

f. Provide high quality data and reports on research performance to academic leaders to assist internal planning, benchmarking and academic management.

g. Coordinate external reporting on research performance, and preparing data for the Research and Research Training Management Reports.

h. Support the continuous improvement of research-related policy and procedures.

The RPI Directorate coordinates and manages research, scholarly, and community projects. It promotes and engages in collaborative research at the local, regional and international levels.