Research Policy **2022**



CLARKE INTERNATIONAL UNIVERSITY RESEARCH POLICY DOCUMENT

CIU 2022

VERSION, 2022

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LIST OF ABBREVIATIONS AND ACRONYMS

CIU	:	Clarke International University
CIUREC	:	Clarke International University Research and Ethics Committee
CURO	:	Central University Research Office
DVC	:	Deputy Vice Chancellor
FT	:	Full Time
ICT	:	Information and Communication Technologies
IP	:	Intellectual Property
PI	:	Principal Investigator
PT	:	Part Time
QA	:	Quality Assurance
SAO	:	Senior Administrative Officer
SGSRI	:	School of Graduate Studies, Research and Innovation
SMT		Senior Management Team
SOP	:	Standard Operating Procedure
SRC	:	Scientific Review Committee
UNSCT	:	Uganda National Council of Science and Technology
VC	:	Vice Chancellor

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EXECUTIVE SUMMARY OF THE AMENDMENTS TO THE RESEARCH POLICY

A stakeholder's policy review meeting was held on the 20th May 2022 to raise awareness about the research process and to discuss research policy amendments. After the meeting, the research policy was shared with members of Faculty for review as guided by the meeting action points. Below is the summary of the changes that were made as proposed at the stakeholder's policy review meeting.

Issues discussed and action taken/to be taken concerning the research policy:

Action 1: Add statement/clause to avoid conflicts and intimidations between supervisors and students.

Response 1: The research policy has been revised, under section 8.0 of the research supervision policy; page 25-28 to include a well elaborated approach to management of the different forms of research misconduct.

Action 2: Streamline and delineate roles for the different committees (SRC, REC) and operationalize them.

Response 2: The roles of SRCs and REC have been well elaborated under section 6.0, page 20-21 of the research supervision policy and under section 5.0, page 37-38 of the Human research ethics policy, respectively.

Action 3: In text, use "responsible person" instead of DVC

Response 3: The office of the DVC is well defined in the University structure. The structure mandates the office of the VC to handle all research related aspects in absence of the DVC.

Action 4: Highlight the roles of the Deans in research

Response 4: The roles of Deans in research have been well elaborated. These have a participatory role rather than being "aware". This is revised under section 4.2; page 36 of the Human research ethics policy.

Action 5: Guidelines on grading to be included.

Response 5: The guidelines for research report, submission and grading have been well described under section 7.0, page 21-24 of the research supervision policy.

Action 6: Faculties should submit their research guidelines for inclusion into the research policy

Response 5: Members of the different Faculties have participated in the review of the research policy. All recommendations have been included. Additionally, guidelines for supervision of Diploma research have been included (Refer to page 11).

Date of amendments:

Prof. Rose C. Nanyonga
Vice Chancellor

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POLICY DETAILS

Responsible Office	CIU Central University Research Office
Policy Version	RS/CIU/**2.0**/2022
Name of Policy	Research Policy – 01
Approved by	Senate
Signature & Date	
Endorsed by	Type text here N/A
Date of Re-Approval	April 29th 2022
Policy commencement date	April 29th 2022
Date of amendment	May 9th 2022

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RESEARCH POLICY

1.0 Introduction and Background

Clarke International University (CIU) formerly International Health Sciences University, is a private higher institution of learning that was established in 2008. It is largely a health-focused institution of learning offering a rich and conducive environment for research, innovations, and creativity. Through the University's various faculties, we offer a range of programs coupled with research. The University seeks to fundamentally contribute to new knowledge through critical inquiry and innovations that can lead to improved health outcomes of populations within the East African region and beyond. As an institution, we recognize the complex and multi-dimensional nature of societal health challenges and this is the key driver to our undertaking a multi-disciplinary approach to research as evidenced by our academic programs and faculty research activities.

Our vision, mission and core values guide all the institutional activities and are the basis upon which this research policy is written.

Our vision:
A values-based university that inspires leadership, critical thinking, innovation, and outstanding academic training that transforms communities.

Our mission:
To prepare students for global leadership and to be catalysts for transformation.

Our core values:
Values-based leadership, whole person development, innovation, quality and collaboration

We strive to strengthen both local and international research partnerships and collaborations with other Universities and Institutions as well as industry as a strategy for remaining relevant, building capacity and sustaining our research visibility.

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Currently, research is carried out at the faculty level by both staff and students. The research output from all levels is relevant in developing local content and informing teaching as a way of ensuring evidence-based practice. As an institutional policy, there has been an establishment of the Research Ethics Committee through which most of the research proposals are ethically reviewed and approved.

The research policy is intended to guide the institutional goal of conducting research that promotes equity, influences policy and empowers populations.

2.0 Scope of the policy

This policy applies to all faculties, schools and institutes of CIU and projects conducted under CIU, research conducted in collaboration with other entities (academic, private or public), all university staff and other personnel, including part-time employees, visiting faculty and scholars who are affiliated or conducting research and education activities under CIU's identity, all students of CIU and other universities; both local and international, of any degree carrying out research at CIU or using data collected at CIU.

3.0 Objectives of the Research Policy

The research policy and operational procedures are a reflection of CIU's commitment to having a clear research process at all levels, setting research priorities and the evaluation of the research effectiveness.

The following are the objectives of this research policy;

- To ensure that the University achieves its core function of generating new knowledge for advancement of institutional, national and international priorities.
- To create an environment of coordinated research activities for purposes of efficiency and effectiveness.
- Ensure quality in all processes of research at all levels.
- Encourage research partnerships and collaboration from both local and international organisations and scholars.
- Enhance CIU's capacity for strategic and technical planning and budgeting for research.

4.0 CIU's Strategic Research Agenda Approach

The University has the potential to become a regional leading research institution which is critical to national and regional social and economic development. Much as funding for research remains a major bottleneck, the University has drawn a strategic direction to research as follows:

- Getting involved in shaping national and regional development plans through collaborative and multi-disciplinary research.
- Lobbying for a share in government research funding for higher institutions of learning.
- Use of a phased approach to create and transform CIU institutes and departments into centres of excellence,
- Ensuring an appropriate research agenda for faculties, schools and institutes that cater for national and institutional priorities and considering the quality of human resources for research available.
- Improve and strengthen the delivery and content of the research related course units for both undergraduates and postgraduates.
- Build research capacity for all academic staff through regular national and international trainings.
- Ensure access to relevant scholarly materials in the form of journals, reports, scientific magazines and books.
- Improve the quality of the existing science laboratories through installation of modern equipment and use of highly technologized facilities.
- Always participate in national and international forums for the implementation of the research agenda.

5.0 Policies and guidelines

The research policy outlines guidelines and procedures for research implementation and a number of related research policies have been described. CIU expects all researchers to comply with the institutional, national and international policies and guidelines for research including but not limited to those governing;

a) Protection of human participants in research
b) Utilization of institutional resources and facilities

c) Research integrity
d) Misconduct in research
e) Conflict of interest
f) Intellectual property rights
g) Authorship, publication and dissemination of research results
h) Data management
i) Data sharing
j) Confidentiality
k) Partnerships and collaborations
l) Student code of conduct and,
m) Human resource policy

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RESEARCH SUPERVISION POLICY

POLICY DETAILS

Responsible Office	CIU Central University Research Office
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Approved by	Senate
Signature & Date	
Endorsed by	
Date of Re-Approval	
Policy commencement date	

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SUPERVISION OF STUDENTS' RESEARCH POLICY

1.0 Policy Statement and Purpose

This policy is intended to provide a positive and proactive approach to research, which will be a means to motivate students and staff to be part of an intellectually rigorous and stimulating environment. Furthermore, the policy aims at creating an enabling and supportive environment for students to produce the highest quality of research at both national and international standards. Therefore, the policy will provide a mechanism that will enhance foundational guidance, mentorship, development and leadership for students and supervisors at all levels.

2.0 Scope of the Policy

This policy applies to all University staff, affiliates, and students (Diploma, Undergraduate and Postgraduate), and any supervision program provided to students as a Doctorate or Master's by research.

3.0 Definitions as used in this Policy

Affiliate:	This will mean any person/s who is officially appointed by the University to perform duties on its behalf. Such members may include; members on committees, councils, boards, consultants, contractors and holders of office as recognized by CIU.
Auxiliary supervisor:	This will be any staff as appointed by the faculty dean or head of department to assist in research supervision of a student together with a primary research supervisor.
Coordinating supervisor:	This is a supervisor in a supervisory team who has designated academic delegations and responsibility for administrative requirements.
Co-supervisor:	This is a supervisor who is also appointed to have a supervisory role of a research student alongside one or more than two other supervisors.
CURO:	This will refer to the Central University Research Office

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External supervisor:	This will be any member who is not an academic staff of CIU but with vast experience in a specified subject matter and research expertise who will be invited to take part in teaching, research supervision, assessment and examination of students on their programs of study.
Fabrication:	This means making up data or results and recording or reporting them.
Falsification:	This will refer to manipulation of research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
Higher research degree:	In this policy, this will mean a Master of Philosophy (MPhil) and PhD or any post-doctoral research program involving a unique supervised research project.
Plagiarism:	This is an illegal practice of presenting someone else's work as your own by copying and reproducing without acknowledging the owner and source.
Research Student:	This is a student who has been admitted to the University in a postgraduate research award course.
Research supervisor:	An academic staff approved and appointed to supervise a student undertaking a research degree or undertaking research as part of their fulfilment of their degree or higher degree.
Supervision:	This will mean a process where a supervisor to a student undertaking a research project is involved in proposal and protocol design, data collection and analysis, preparation of manuscript for submission and publication, reading comprehensively all drafts of chapters and providing timely and constructive feedback. The feedback should be both verbal and written in a manner comprehendible by a student.
Supervisor register:	This will mean a CIU approved register of persons authorised and approved by the University to supervise students' research at various levels of programs of study. It will state the academic qualifications of the person, their areas of expertise, and level of student supervision.
Supervisory team:	Under this policy, this will refer to a group of supervisors appointed to supervise a particular student undertaking a higher research degree.

4.0 Supervision of research

The University is committed to ensuring the highest standard of research quality from both its staff and students at various levels of education which may include undergraduate, masters, and doctoral

levels among others. This will necessitate a high standard of supervision through highly professional academic staff to undertake supervisory roles. Supervision of research at CIU will be categorised at the following levels;

- Higher research degree level (MPhil & PhD - external or internal). This will be in accordance with the higher research degrees policy,
- Diploma and Undergraduate level,
- Master's degree level.

4.1 Development and use of a Supervisor Register

For purposes of ensuring a high standard and quality of research supervision, the Central University Research Office (CURO) shall develop and maintain a supervisors' register. The register will be developed in consultation with all the relevant faculties and departments. The register will ONLY become functional and a document of reference after endorsement by the deputy vice chancellor (DVC). This will contain all the details about the supervisors such as;

- Academic qualifications,
- Fields or areas of research interest.
- Experience related to research.
- Approved and authorized level of supervision to be undertaken.
- Number of publications with students supervised over the contract period with CIU.

a) Approvals and authorization of the registered supervisors will be done by the faculty deans, heads of departments, together with the research office. It will be acceptable for an individual to be approved by multiple faculties to undertake supervisory roles.
b) **A** list of **external supervisors**, identified by the faculty Deans, Heads of departments and approved by DVC will also be included in the register. These will be requested to apply for a supervision role as external personnel, clearly indicating their expectations. Approval of the applicants will be done by the senate.

External supervisors will apply to all levels of supervision but with differing academic requirements and experience which will be determined by the University based on the prevailing circumstances.

Conflict of interest in the identification of the external supervisors should be avoided or declared in accordance with the conflict-of-interest policy.

c) **Any** changes in the supervisory levels or inclusion of new supervisors by the dean shall have to be officially communicated to the research office. The changes may include;
   - Registration of new approved staff for supervisory roles under a particular faculty.
   - Change from one level of supervision to another. For example, change from being an auxiliary supervisor to a research supervisor for higher research degrees, or from an undergraduate supervisor to master's level.
   - Termination from supervisory role due to unprofessional conduct.

The register will be periodically updated to cater for any changes in relation to supervision roles.

d) In the event that the person suggested for the supervisory role has a record of misconduct, abuse of office and dishonesty as proven by any member of the University, the decision by the senate to cancel the application will be made.

4.2 Eligibility for supervising higher research degrees

All registered and approved supervisors for research will be those contracted as academic employees or affiliates of the University. Supervisors will take the following categories;

a) Research supervisors (Primary supervisors for higher research degrees)

b) Auxiliary supervisors

In regard to higher research degrees, ONLY PhD holders will be appointed as Primary research supervisors and Coordinating supervisors approved by the DVC.

Auxiliary supervisors will be those who have any of the following;

a) External person from a university or research institute considered to be an expert on the subject matter,

b) A person considered to have vast experience in research supervision,

c) Having appropriate knowledge required for the part of the student's research project.

Auxiliary supervisors will come from any faculty or department of the university or an

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external research institution considered to be of good repute;

a) The supervision of higher research degrees will be done by only eligible people as stipulated in the higher degrees research policy. This will be done by a team of supervisors herein referred to as a supervisory team of which one of the members will be nominated by the head of department or dean and approved by the DVC as the primary research supervisor for the student and another as the secondary,
b) The primary supervisor will assume the role of the coordinating supervisor throughout the student's research project and will coordinate all administrative requirements and provide updates about the student's progress to the Dean or Head of Department,
c) All members on the team must have relevant expertise in the student's area of research,
d) Each individual member of the supervisory team must be eligible for supervision of higher research degrees and must be conversant with the University policies guidelines, regulations, resources and faculty requirements,
e) The Dean of the faculty or Head of Department under which the student has enrolled in consultation with the DVC will organise and plan for the proper arrangements for the student in terms of required skills, experience, and workload of the supervisor. However, these arrangements may be revised time and again.

4.3 Approaches to supervision of higher research degrees

i. Co-supervision

Under this approach, the two supervisors will be appointed by the Dean or Head of Department and approved by the DVC to supervise a student. Both will have equal supervisory powers and roles. However, the primary supervisor will automatically become the coordinating supervisor. The workload will be determined by the appointing authority as approved by the DVC.

ii. One research supervisor and auxiliary supervisor

This approach will see a student having a primary research supervisor and an assisting supervisor (auxiliary). The primary supervisor will be the coordinating supervisor in charge of administrative

requirements.

4.4 Supervising Diploma, Undergraduate and Master's degrees

The University requires that all students at Diploma, Undergraduate and Master's level undertake a research project as part of their fulfilment of the award and that this project must be supervised.

4.4.1 Inclusion/exclusion criteria for supervising Undergraduate and Master's degrees

a) Supervision of Master's students will only be done by persons with a minimum of a master's degree, known research experience and a record of publications.
b) No junior lecturer will be allowed to supervise until after completion of a full academic year of teaching at the University while working closely with experienced research supervisors who in this case will be the mentors. This will give the lecturer time to acquaint her or himself with the University research standards, guidelines and regulations for both staff and students.
c) Before being authorised and registered to supervise, the junior lecturer will name who his/her research mentors have been and write a brief about the experience and expertise gained. This will be submitted to the Dean of the appropriate Faculty or Head of the Department and copied to the CURO.
d) Any individual with a poor record of supervision or where there is a heavy backlog (50% failure) or his/her students regularly fail to complete will be stopped from further supervision and be provided with the necessary support by the Faculty Dean and CURO. This action will be taken after two rounds of supervision.
e) The CURO will identify this supervisor through its e-dissertation tracking system and the head of department will write to the staff member with a copy to the faculty dean informing them of the stopping of the staff from supervision.

4.4.2. Inclusion/exclusion criteria for supervising Diploma students.

a) Supervision of diploma students will only be done by persons with a minimum of a Bachelor's degree, known research experience and a record of publications.
b) All other criteria under section 4.4.1 apply for diploma students as for undergraduate and master's students.

4.5 Approaches to supervision of students' research

- Every student undertaking research as part of the requirements of their course (including diploma, undergraduate and master's level) will have one supervisor at a time. The supervisor will be free to consult another lecturer for guidance in case he/she is not well conversant with the research subject matter of the student.
- In cases where a student's research combines several subjects that cannot be handled solely by the assigned supervisor, then an auxiliary supervisor will be assigned to the same student. This will imply that all the incentives attached to supervision will be equally shared between the two supervisors or in proportions agreed to by the participating parties.

4.6 Allocation of dissertation supervisors

- The allocation of supervisors to research students will be done by the faculty Deans and the research office based on the records provided in the supervisors' register. An operational modality will be developed by the central university research office and distributed to all faculties and departments.
- Most of the time, allocation of the supervisor will depend on their expertise and interest in the student's research subject matter.
- In cases where the student's research subject matter may not be a supervisor's area of expertise but when a supervisor is able to take on the role due to the related working experience and ability to read deeply about it, they will be allocated a student. However, in this case the supervisor is advised to work in consultation with experts in that research area among his/her fellow staff members.
- After confirmation of the supervisors by the Deans and the University central research office, faculty lists will be produced and pinned on the notice boards and detailed information entered into the **CIU e-dissertation tracking system** and notifications will be sent to both staff and students using appropriate means of communication.
- The number of students to be supervised by each registered and authorised staff member will be dependent on the staff workload, quality of supervision in terms of completion rates and publications and experience in research supervision. This decision will be made by the faculty dean and the CURO.

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- Acceptance to supervise the assigned student will be done both electronically and by hard copies. The generated list of supervisors and students will then be forwarded to the dean, faculty secretary and the CURO.
- Any rejection of a student assigned to a staff for supervision (or rejection of assigned supervisor by the student or Dean or any faculty) must be accompanied by a reason considered valid by the CURO. No rejection based on age, sex, tribe, religion, modality of learning (FT, PT, distance, and weekend), nationality and assumed low level of intellect will be accepted.

4.7 Conflicts of interest

4.7.1 Supervision by immediate relatives

Any cases of kinship whether by blood or marriage between a student and a proposed or current supervisor must be declared prior to research undertaking. A research student will not be supervised solely by an immediate relative. If departments consider it appropriate to have an immediate relative as a main supervisor, there must be an appointed co-supervisor with no kinship connection to the student. If departments consider it appropriate for a relative or someone with kinship connection to be involved in supervision as a co-supervisor, there must be an appointed main supervisor with no kinship connection to the student.

4.7.2 Romantic or sexual involvements

It is considered inappropriate for romantic or sexual involvements to develop between supervisors and their students. If such relationships develop, the supervision arrangements must be reviewed immediately. The student and supervisor shall be subjected to the student code of conduct and the human resource policy respectively.

4.8 Responsibilities during research supervision

4.8.1 Responsibilities of the supervisors during the dissertation process

- Endeavour to possess and maintain knowledge of the student's research area to be able to provide adequate supervision.
- Develop a work plan in collaboration with the student to ensure smooth progress with

the research project.

- Provide the student with timely and constructive feedback about their research work within agreed time preferably within two weeks from the date of submission.
- Continue to develop appropriate research skills to facilitate the production of high-quality research work by the student.
- Ensure regular contact with the research student is sufficient enough to fulfil the individual student's research needs.
- Ensure where applicable that ethical approvals and data collection approval have been obtained.
- Act as a guide to university facilities for research.
- Instil in students a high sense of ethical conduct of research to avoid fabrication of research results and plagiarism.
- Advise the student on the submission deadlines of proposals, final reports and manuscripts where applicable and also following the institutional guidelines in their research work.
- Maintain accurate records of the supervisory meetings and what was discussed and agreed upon.
- Obtain an agreement and consent of the student to get his/her dissertation or thesis work published where they appear as co-authors.
- Endeavour to equip students with knowledge and skills in research development, manuscript writing and research dissemination.
- Endeavour to consult with colleagues where necessary regarding the students' work towards improvement of quality of research outputs.
- Communicate to students effectively about any available opportunities for research funding and dissemination and where possible support them with these processes.
- Actively participate in continuous professional development training organised by the University to build research capacity.

4.8.2 Responsibilities of students during the dissertation process.

a) Act as a responsible member of the academic community.

b) The researcher will have the ultimate responsibility for completion of the research

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project within the specified period of time as stipulated in the University guidelines or as required by the program of study.

c) Adhere to the University guidelines for research and supervision.
d) At all times exhibit an acceptable level of progress with the program of research and continuously engage and communicate with their supervisor about their progress.
e) Bring to the attention of the supervisor and the research office any problems or difficulties that may hinder the progress of the research project or that may necessitate discussion to forge a way forward.
f) Throughout the research process, abide by the ethical conduct of research guidelines provided for by the University and in accordance with the Uganda National Council of Science and Technology.
g) Make appropriate use of the University resources available to enhance the quality of your research project. Such resources may include but are not limited to Library materials, ICT facilities, software and human resources for research.
h) Collaborate with your supervisor/s by taking the lead of the direction of your research, timetable or work plan formulation for the progress of your research project.
i) A student must ensure that all the research dues are paid before completion of the research project.
j) Make an effort to submit the final dissertation and thesis (where applicable) within the stipulated period of time after proper consideration of all the feedback provided by the supervisor/s.
k) Actively participate in research capacity building training organised by the University aimed at facilitating their learning and the research process.
l) Seek guidance from the supervisor/s about personal and professional development goals.

4.9 Student planning and record keeping during the research project

a) During the research project, a student will be required to work out an agreed plan with the supervisor for the regular supervisory meetings.
b) Discuss with the supervisor the appropriate time for meetings, appropriate mode of communication and the extent of guidance needed.

c) Ensure timely submission of the written sections of the proposal or dissertation or thesis to the supervisor/s for review and comments at agreed times.
d) Maintain a clear, accurate and detailed record of all relevant work and feedback. Where the university provides templates for feedback or any communication during the research project, make use of them.
e) Maintain a clear communication channel with the supervisor and inform them with adequate explanation where there is a failure to honour the scheduled appointment with them.
f) In the event that a student is required to prepare a periodical report to the supervisor or funding agency or university, he/she will prepare them according to the guidelines provided for by each party.

4.10 Academic expectations and requirements during and after the research project

Research students will be required to put into consideration the following aspects during and after their research project;

a) Design a comprehensive plan with the supervisor on the dissemination of the research findings (most especially Master's and doctoral students) and endeavour to publish their research in a peer reviewed journal.
b) Acknowledge and recognize the contribution of other people to your work and avoid plagiarism.
c) Agree with the supervisor/s on the co-authorship from the work undertaken from your dissertation or thesis. The student may consult the research office on the process of co-authorship.
d) Ensure that the Intellectual property (IP) from the research work is protected in accordance with the IP University policy. The student may seek guidance from the Central University Research Office.

4.11 Supervisor-student relationship during research supervision

a) Both the student and supervisor are expected to treat each other professionally and with respect as a norm for the academic community.
b) There will be a need for the supervisor and student to maintain a friendly, professional and

clear channel of communication which enables constructive discussions in case of any divergent views or clarification on any matters arising.

c) Where possible, supervisors should try to be responsive to students' changing needs at the different stages of the research project.

d) There is a need for supervisors and students to recognize that the supervisor-student relationships are unique and will require flexibility, paying attention to particular needs and work styles of all parties involved.

e) The supervisors and students should all work to create an environment of learning and unlearning. This will be important in providing constructive feedback to the student and creating a mechanism of acceptance of the feedback. This will be important in ensuring high quality research proposals, dissertations and thesis.

f) Both supervisors and students should not engage in compromising intimate relationships, or tolerate harassment and discrimination during the supervision of the research project. The behaviour and conduct of students and staff should be in accordance with the University code of conduct for staff and students' policy.

g) Intimidation, cruel language and unnecessary delays in feedback by the supervisor to the student (or from student to the supervisor or from one supervisor to another supervisor) will attract disciplinary action in the event that either party notifies authorities.

h) Professional discretion by both supervisor and student will be expected in the sense that confidentiality will be maintained as appropriate.

i) Throughout the research process, both parties should ensure that the university intellectual property policy is followed to protect the research work.

j) Misunderstandings or disagreements by either party will be raised to the faculty heads and/or the research office.

4.12 Process of changing a supervisor

A student will be allowed to change a supervisor under the following circumstances;

- If there is evidence of sexual harassment, intimidation, discrimination or any form of abuse. Though sexual harassment may be at times hard to prove in most cases, supervisors are warned not to put themselves in compromising situations as the University will do anything possible to protect the student.

- Continuous untimely delivery of feedback to the student.
- If a student goes on any form of approved leave.
- If a supervisor untimely passes on.
- If there is evidence that the supervisor does not understand the subject matter which is the student's research area.

I. In case of any of the above incidents, the student will have to formally write to the faculty dean informing them of their situation clearly justifying why they should change a supervisor. This should be copied to the CURO.

II. The dean will then formally arrange a meeting with the supervisor in question together with any member from the CURO, who will then discuss the matter with the supervisor in an amicable and professional manner.

III. The decision of this team will be final but in the event that the dean and CURO have not agreed, the DVC will be notified of the case and his/her decision after proper investigation will be final. He/she will then communicate to the supervisor officially letting them know of the outcome.

IV. The dean will communicate to the student whether there is a need to change or maintain the supervisor under the conditions that will have been set.

V. At no one point may the supervisor confront the student for having taken such a decision to inform the dean.

4.13 Request and implications of extended time for research

Under this policy, a student may request to defer or take an extended period of time out of the stipulated one to complete their research. In this case, the students will be required to take the following steps;

- The student will write officially to the dean of that particular faculty stating the reasons for failure to complete in time and the expected date of completion. This should be copied to the supervisor (if earlier assigned), academic registrar and the CURO.
- The faculty deans will be expected to provide a report to the senior management team (SMT) of all the students who will have not completed and the accompanying reasons.
- If the period of extension is beyond one year, then the student will be required to present a new topic and a new supervisor may be assigned.

5.0 Online research supervision

Traditionally, students have studied on campus in close proximity with their supervisors, enabling physical interactions between supervisors and their students throughout the supervision process. However, in recent years, there has been a rapid increase in the number of students undertaking their studies off- campus, at a considerable distance from the institution. CIU recognises the need of adapting an online approach to research supervision to facilitate interactions between students and their supervisors under circumstances that may not favour supervisor-student physical interaction. This development has been made possible due to advances in information and communication technologies (ICT), which have enabled students to communicate with their supervisors.

Online supervision comes with setbacks that may not be experienced with face-face supervision. Supervisors are often faced with challenges of supervision of students who have not previously conducted research and might not have access to resources or the necessary skills to search for resources available to on-campus students. The student and supervisor should be prepared to intervene, where necessary and overcome these challenges.

This policy is intended to provide guidance to research supervision under circumstances that students engage in research at a geographical distance from the institution or pursue programs that involve online components.

a) Supervisors should assess whether their students possess the basic research and ICT skills, and where appropriate support them to acquire them.
b) Supervisors may provide scaffolds/structures in the early stages to help students conceptualise their projects.
c) For effective communication, students and supervisors may take advantage of video conferencing software that enables screen sharing (e.g Skype, zoom etc) for discussions pertaining to the research.
d) Where appropriate, supervisors should refer students to institutional resources of support of academic writing.
e) Supervisors should discuss with their students about the provision and reception of feedback and enable students to act on the feedback.

6.0 Research protocol approval

The University has designed a comprehensive system at different levels to ensure quality and ethical review of all research involving human participants. The system comprises of the following committees which are designed in accordance with the Uganda national Council of Science and Technology provisions. These include;

a) Faculty-based Scientific Review Committees (SRCs)
b) An accredited University Research and Ethics Committee (CIUREC)

I. Structure of SRCs

Scientific Review Committees are established to provide an internal review mechanism for research proposals. SRCs will be comprised of at least three experts, appointed under the leadership of Deans and approved by the DVC. In case a particular faculty is under privileged in terms of research experienced personnel to review student protocols, they can always use the expertise from other faculties or departments.

II. Roles and responsibilities of SRCs

- The primary function of a SRC is to review and evaluate all scientific aspects of research projects with emphasis on suitability, relevance and feasibility of the study. SRCs will examine specific aspects of research that include, but are not necessarily restricted to: study design, objectives of the study, methodology, appropriate controls, statistical methods, and feasibility of the study.
- SRCs should approve research protocols prior to submission to the REC.
- SRCs will act as liaison between the students, supervisors, deans/heads of department, CIUREC and the University Central Research Office (CURO) to ensure smooth implementation of research guidelines and adherence to research processes.
- Under the leadership of the Dean or Head of Department, SRCs will recommend allocation of supervisors to students based on their expertise.
- They will ensure timely submission of proposals, dissertations and publications
- SRCs will ensure timely update of research progress as agreed by the supervisor

- SRCs will listen and where need arbitrate between the supervisor and the supervisee.
- They should have standard operating procedures (SOPs) to guide their functions. The SOPs should specify, at least, the following:
    a) Format of research protocol to be submitted for review;
    b) How often SRC meetings will be held
    c) Time allowance for members to read research protocols before the meeting date
    d) Number of research protocols that can be reviewed each time
    e) How decisions will be arrived at (by consensus or vote)
    f) Records of meetings (minutes) and distribution requirements; g. Procedure for resubmission of research protocols after revision
    g) Ways of communicating decisions (with reasons for every decision made clearly stated in writing).
- Members of the SRC shall provide peer mentorship in grant writing and publications
- Members of SRCs shall protect confidentiality of all information given to them in the course of their work.
- They shall not use information supplied in research proposals under their consideration for their own research projects or personal gain.

6.1 Guidelines for submission and seeking research protocol approval

a) Research proposals shall be reviewed by the faculty-based SRCs prior to submission to CIUREC. All research that requires ethical review and approval will be reviewed and approved by the CIUREC before the research is conducted. Students will be required to submit research protocols to the CIUREC after clearance by the faculty- based SRCs. The ethical approval process will be conducted in accordance with the CIUREC Policy and the guidelines provided by the Uganda National Council of Science and Technology.

b) In the event that a student or supervisor has any concerns regarding exemptions from research ethical approval of their research, they will seek guidance from the CIUREC prior to undertaking research.

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7.0 Research reporting, submission and examination

a) Reporting of research findings will follow standard guidelines provided by the available research report writing guide developed by the University.

b) The following procedure for dissertation submission and examination will be followed;

- Once the dissertation is ready for submission, the student should submit three copies with the approval of the supervisor (s) direct to the respective faculty administrative offices.
- Spiral bound dissertations are allowed for examination purposes to enable the student to make corrections easily after the examination.
- Submission should not be delayed, once the notice for submission has been given.
- Once the student has submitted the dissertation/thesis, selection of both internal and external examiners will be done by the faculty deans and heads of department in consultation with the CURO.
- A list of examiners identified by the faculty Deans and Heads of department will be submitted for approval by the senate.
    i. External examiners will be approved based on academic requirements, subject expertise and experience which will be determined by the University based on the prevailing circumstances.
    ii. Conflict of interest in the identification of the external examiners should be avoided or declared in accordance with the conflict-of-interest policy.
- Examination reports from the examiner should be received, within a month from the date the dissertation/thesis was submitted and received by the examiner. These reports will be submitted to the dean/faculty where the student belongs.

7.1 Grading of Diploma and Undergraduate research

- Examination for Diploma and Undergraduate research will be done by at least two internal examiners appointed by the Deans and Heads of department, in line with the examination guidelines.
- When reports are in and are both favourable, with only minor corrections required, an average score will be obtained and the student will be cleared for research.
- Where there is a major divergence in the examiners reports that goes beyond 15%, a third examiner will be assigned to re-assess the dissertation. Grading will be done by

considering the average of scores found to be in close agreement.

- All academic programs requiring viva voce examination will have the exam conducted without delay as soon as the two reports from the examiners are found to be favourable. In this case, the Dean for the school/faculty where the student belongs will give notice to the candidate regarding the viva voce examination. The examination panel will be constituted from at least four members that are identified by the faculty deans and heads of department. These will include the dean (or his/her representative), the supervisor and two internal examiners.
- Where the examiners reports are unfavourable and the dissertation requires major revisions, the deans will recommend either a) revision of dissertation before viva voce examination b) fail and re-submission of the dissertation for examination or c) fail and research report cancellation.

7.2 Grading of Master's and higher degrees research

For Master's research and higher degrees research (MPhil & PhD);

- Examination will be done by at least three examiners including two internal examiners and one external examiner. Examination will follow the available standard examination guidelines.
- When all reports are in and at least two of them are both favourable including that of the external examiner, and only minor corrections required, the viva voce examination will be conducted without delay. The dean for the school/faculty where the student belongs will give notice to the candidate regarding the viva voce examination.
- Where the examiners reports are unfavourable and the dissertation requires major revisions, the deans will recommend either a) revision of dissertation/thesis before viva voce examination b) fail and re-submission of the dissertation/thesis for examination or c) fail and research report cancellation.
- Where there is a major divergence in the examiners reports beyond 15%, the director of research and deans should discuss the fate of the student/dissertation with the supervisor(s) and the student before a recommendation of the appropriate action is made.

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7.3 Viva voce examination

- All candidates registered for Masters or higher degree research training must be subjected to a viva voce examination to assess the candidate's in-depth knowledge of his/her research work and attach ownership of the dissertation/thesis.
- A 2-4 week notice before viva voce examination should be given to the candidate by the dean of the respective school/faculty, to allow for preparation and for members of the panel to read the thesis that is sent to them by the dean.
- The viva voce panel will comprise of at least six members. These will include a chairman (who is normally the dean of the school/faculty or his/her representative), the list of internal and external examiners, the main supervisor and /co-supervisor that have been confirmed depending on their availability and competence in the area of research.
- At least four members including the chairman should form quorum for decision making. The supervisors can be present, but not allowed to vote.
- The candidate should be given adequate time (30-45 minutes) to present, this will be followed by discussions that may last up to hours as the panel may determine.
- The viva voce examination may be opened to a public audience, but the examination is only conducted by the appointed panel.
- After the viva voce examination, the panel will convene in a closed session to assess the candidate based on a laid down criteria, that may include but not limited to the quality of the presentation, the dissertation/thesis and response to the questions. The panel will take the decision and give an appropriate recommendation.
- The report of the viva voce examination should include membership, the recommendation given by the panellists and should be signed by all the panellists that attended the session.
- Assessment of the viva voce exam will be done independent of the verdict made on the thesis. The candidate may be given an opportunity to re-do the exam as may be recommended to the dean by the viva-voce panel.

7.4 Printing and binding of the dissertation/thesis

- After receipt of examination reports for both the dissertation/thesis and /or viva voce examination, the student will be required to make corrections indicated by the examination

committee.

- The examination panel will appoint a supervisor or internal examiner who will oversee completion of the corrections in the dissertation or thesis.
- When the corrections have been made to the satisfaction of the appointed supervisor or internal examiner, the student will print dissertation/thesis and bind for final submission.

7.5 Quality Assurance

To ensure quality assurance;

- All students are expected to follow the general rules of academic honesty. Assignments and research papers should reflect originality. Any form of dishonesty, cheating or plagiarism is a serious violation of the norms of academic honesty at CIU. The Quality Assurance (QA) unit obligation is to check for duplication or plagiarism in students' research papers using standard software and advise them accordingly. Currently, the QA office is utilizing internet based URKUND software to check the students work including all research proposals prior to REC submission and all research reports before submission for examination. The acceptable similarity index is 15% and below.
- Graduate students are encouraged to participate in seminars and scientific conferences through which students can develop their presentation skills and also benefit from their peer's feedback.
- Students are called upon to participate in appropriate research training activities, including workshops and relevant short courses organised within and outside the institution.

8.0 Research Misconduct

CIU requires that all research conducted or supported by the institution displays research integrity and adheres to the highest standards of conduct. Research misconduct involves the fabrication, falsification and plagiarising research. In this policy, research misconduct will apply to research fabrication of data, falsification of research, plagiarism, misrepresentation, data mis-management, abusive supervision, intrusion of supervision values, false authorship, intimidation during the research process, abuse of confidentiality, misappropriation and/or misuse of funds, breach of human rights protection through negligence and other unacceptable research behaviour as provided in the Uganda National Council of Science and Technology (UNCST) guidelines.

Misconduct is a serious problem that undermines the integrity of research; may have adverse impacts on the University's internal and external professional image and can potentially jeopardize its relations with faculty, students and stakeholders. CIU will as such take all reported allegations of research misconduct very seriously. Any such acts of reported research misconduct will be investigated thoroughly and appropriate actions will be undertaken in line with the research misconduct policy.

8.1 Reporting and management of allegations of research misconduct

All CIU staff, affiliates and students are required to report any act of observed, suspected or apparent research misconduct to the faculty deans and the director, School of graduate studies, research and innovation (SGSRI). All acts of alleged misconduct will be handled by the deans in consultation with the director, SGSRI.

a) Research misconduct by students will be handled by the faculty deans.
b) All allegations of research misconduct involving faculty staff members will be handled by the faculty deans in consultation with the director, SGSRI.
c) If an individual is unsure whether a suspected incident constitutes misconduct, they should discuss it with the deans informally.
d) Any allegation that cannot be handled by the dean (for example, where the dean may be the subject of allegation or for some other reason may not be perceived to be impartial) will be referred to the director, SGSRI.
e) The decision of this team will be final but in the event that the dean and director, SGSRI have not agreed, the DVC will be notified of the case and his/her decision after proper investigation will be final. He/she will then communicate to the respondent about the outcome of the investigation.

8.2 Procedure of reporting and management of alleged research misconduct

I. The individual making an allegation of research misconduct, here in referred to as the "complainant" will make a formal written submission about the alleged misconduct to the faculty dean and copy to the director, SGSRI.
II. After confirmation of receipt of the communication from the complainant, the dean and / director, SGSRI will first determine whether the nature of allegation is deemed to be

research misconduct.

III. A formal communication will be issued to the 'respondent', detailing the nature of allegation and the respondent will be invited to respond within five working days.

IV. If the dean with consultation from the director, SGSRI is satisfied with the respondent's response or determines that the allegations were mistaken or malicious, he/she will dismiss the allegations.

- The complainant and respondent will be informed in writing about the decision.
- The complainant should in this case be given an opportunity to respond should they feel that the evidence provided was overlooked.

V. If allegations are determined to be valid, a formal investigation will be carried out. The deans with support by the director, SGSRI will appoint an investigation committee comprising of three individuals who have not been previously involved in any form of research misconduct, have no conflict of interest and are of the required expertise. The deans will present the preliminary screening report to the investigation committee defining the nature of investigation.

VI. The investigation process will be undertaken by the investigation committee within a period of 20 working days. The investigation will involve examination of the evidence provided by the complainant. This will involve examination of all documentation including the preliminary screening report, relevant research data, proposals, publications, correspondence, telephone call and E-mail exchanges; cross-examinations of the complainants' allegations and interview of the respondent and witnesses.

VII. The investigation committee will write the final report and recommendations to the dean, director, SGSRI, the respondent and complainant regarding the outcome of the investigation. Penalties for research misconduct will be determined depending on the nature of misconduct and recommendations by the investigation committee and may include; cancellation of research, final written warning, suspension from supervisory roles/duty, requirements to undertake specific training, withdrawal from a funded project, termination of employment, decline to promotion.

VIII. The respondent has the right to appeal, if they decline to the decision given. In such circumstances, the DVC will be notified of the case and his/her decision after proper investigation will be final. He/she will then communicate to the respondent about the outcome of the investigation.

IX. In case the reported allegations are found to be malicious, disciplinary action will be taken

against any individual responsible for such allegations. The dean and /or director, SGSRI will in addition take appropriate action to ensure publicity and safe guarding of the respondent's reputation.

X. All those involved in the investigation process are required to maintain strict confidentiality.

XI. Individuals are expected to co-operate during the process of review and conduct of investigations of alleged misconduct, by providing relevant evidence to the deans and director, SGSRI.

XII. CIU will take disciplinary action against any individual found to be attempting to influence, peddle, victimise or intimidate the individual making the allegation of research misconduct.

9.0 Dissemination and publication of research findings

CIU's aims at generating research that contributes to the country's health, social and economic development. The institution therefore recognises the need of having research information appropriately disseminated to the right audience or end users. CIU is therefore committed to supporting structures for research dissemination, that include but not limited to,

- Research forums
- Local and international peer reviewed journals
- Policy briefs
- Conference and workshop oral abstract presentations
- Books, book chapters and monographs
- Community feedback on research findings
- Technical reports and professional society publications

10.0 Research support

CIU recognises the critical need of providing comprehensive support to all researchers at all levels by a) enabling research and capacity building and b) transforming and maintaining a research-intensive institution.

10.1 Role of the CURO in building research supervision capacity

The CURO will;

a) Provide overall leadership and coordination in the development of strategies, systems, guidelines and procedures for research administration and set standards for administrative support and management of all research in all departments.

b) Ensure that all University staff involved and to be involved in research supervision roles undertake training in the following aspects but not limited to; research design, ethical practices in research, data and materials management, records keeping, and data analysis.

c) Organise periodical research training based on the needs assessment from the various faculties or departments, to prepare staff for their supervision role which should be in line with the university strategic research direction.

d) Devise strategies in collaboration with faculty deans and heads of departments aimed at mentoring young and less experienced researchers as a means of building research capacity.

e) Create an environment that encourages skills development in research by all the research staff and mutual cooperation between junior and senior academic research staff.

f) Encourage all research staff to become members of repute professional research associations or bodies within the country and externally to encourage learning from experienced researchers.

g) Communicate effectively to all staff about any new research developments that can improve or enhance the quality of research conducted and research supervision.

h) Provide regular updates on new policies or national/international guideline changes.

i) Develop relevant research databases and monitor implementation of research projects through periodical research project reports.

j) Initiate, facilitate and maintain liaison with government bodies, industry, academic institutions and other research entities.

k) Represent the interests of CIU in its contractual relationships with external sponsors, including drafting of Memorandum of Understanding (MoU), Material Transfer Agreement (MTA) and others.

l) Create and/ or communicate opportunities for dissemination of research findings,

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including online journals, journal clubs and research conferences.

10.2 Support services for research

The University is committed to providing an environment that is supportive of research activities for both staff and students through the following ways;

- Provision of a well-equipped library with both online and hard copy materials for research purposes.
- Internet access with reasonable speed.
- Appropriate laboratories for clinical-based research.
- In-house research seminars and research colloquiums.
- Encourage formation of journal clubs at faculty level.
- Provision of accessible photocopying and binding services at terms and conditions as specified by the University authority.
- Provision of ample reading space.

10.3 Grants management services

The CURO shall develop and implement a grants management policy, system and procedure for provision of services that will meet the requirements of CIU and the funding agencies. The support provided will include;

- Identification of research related opportunities for staff and students including funding, training opportunities, conferences, workshops and collaborations.
- Support in proposal development, institutional approval, and submission to funding agencies.
- Negotiation of grant awards and contracts
- Project management
- Financial management
- Compliance with funding agencies, institutional and ethical requirements.

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11.0 Research leadership at Faculty level

I. All faculty heads should endeavour to promote a research environment free of discrimination based on gender, age, and ethnicity, religion, to both staff and students. This should be in reference to the University policy on equality.

II. Senior academic and research staff should create a working environment that encourages learning and unlearning, exchange of ideas, development of research skills and mentorship of junior staff.

III. Each faculty shall constitute a faculty -based scientific review committee whose mandate is to review research proposals before submission to the CIUREC for ethical approval.

Policy amendments: The Policy may be amended every 3 years of implementation.

References and acknowledgements

- Essential Resources for Postgraduate Research, 2011
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- Research Studies handbook, Code of Practice for Research Study, 2014. Ulster University.
- Uganda National Council of Science and Technology (2010).
- Supervision of Higher Degrees by Research, (2013) University of Sydney
- Infectious Diseases Institute & Imperial Research Policy documents, 2018
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- Kumar,S., Kumar,V., & Taylor,S.(2020). A Guide to Online Supervision. UK Council for Graduate Education.

Appendices

Student Supervision Research Record Template.

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STUDENT RESEARCH SUPERVISION RECORD
UNDERGRADUATE AND MASTERS

(You are required to fill in this form at each and every meeting with your supervisor)

Date: …… Venue of meeting: ……

Issues raised in the meeting:

Brief summary of the discussion:

Agreed actions and timelines:

Next meeting date: ……

Name of Supervisor: …… Name of student: ……

This should be presented to the supervisor (electronic or hard copy) before commencement of the next meeting.

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HUMAN RESEARCH ETHICS POLICY

POLICY DETAILS

Responsible Office	CIU Central University Research Office
Policy Version	HRE/CIU/2.0/2022
Name of Policy	Human Research Ethics Policy - 01
Approved by	Senate
Signature & Date	
Endorsed by	
Date of Approval	
Policy commencement date	

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1.0 Policy Statement and Purpose

Research is a cornerstone of continued creation of knowledge in a university to advance student and staff learning through scholarly activities. Research can only flourish in a climate of academic freedom such as the freedom of inquiry, freedom of conducting research, the right to disseminate results and freedom from restriction or suppression by the university among many others. At the heart of this is the key principle that governs all research involving human participants, personal data and human specimens/tissues, for the respect of the participants' welfare and rights.

The purpose of this policy, therefore, is to promote and facilitate the conduct of research involving human subjects as research participants in a manner consistent with the highest scholarly and ethical standards, and in line with the guidelines of Uganda National Council of Science and Technology (UNCST).

2.0 Scope of the Policy

This policy applies to all CIU students, academic staff and research affiliates described in the administrative structures and procedures for the ethical review of research involving human participants at CIU. All such research, therefore, must be in compliance with the CIU policies and procedures, as well as the established UNCST guidelines.

3.0 Definitions used in the Policy

For purposes of this policy, unless otherwise stated, the following definitions and abbreviations shall apply:

Academic Staff	**:**	This includes all staff that have a contractual obligation to teach and supervise students' research at Clarke International University (CIU).
CURO	**:**	This will be referred to as the Central University Research Office

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Human biological materials :	This will mean tissues, organs, blood, plasma, serum, DNA, RNA, proteins, cells, skin, hair, nail clippings, urine, saliva, and other body fluids. Materials related to human reproduction include embryos, foetuses, foetal tissues, and human reproductive materials.
Human reproductive materials :	This will include materials related to human reproduction such as a sperm, ovum or other human cell, or a human gene, as well as a part of any of them.
Human participants:	This will mean those individuals whose data, or responses to interventions, stimuli, or questions by the researcher, are relevant to answering the research question.
Principal Investigator:	This will mean the Researcher who is so identified to an Agency or Activity. In the absence of such identification, the Researcher who has primary responsibility for the design, conduct and supervision of Research.
UNCST :	This will be referred to as the Uganda National Council of Science and Technology.

4.0 The objectives of the Research Ethics Policy

The CIU Research Ethics Policy is intended to achieve the following;

- To protect the dignity, rights, safety and wellbeing of human participants Statutory instruments of Uganda.
- To organise and arrange the University's position on research ethics for research involving human participants, personal data and human tissues or specimens.
- To demonstrate a commitment to high quality, transparent and accountable research ethics throughout CIU (students, staff and affiliates) to potentiate decision making.
- To permit/warrant and inform the operation of the University's Ethics Review Procedure within departments and funding agencies both local and international.
- To provide guidance on research ethics for all staff and students.

- To encourage an organisational research culture based upon defensible standards of research practice at both proposal and reporting level of the dissertations and protocols.
- To enhance the University's reputation with the general public and wider society, within the academic professions, and with funding bodies and external auditors.

4.1 The rights of the research participants

Participants have a right;

- To confidentiality i.e. personal information or identifiable data should not be disclosed without participants' consent.
- To consent to participate, withdraw from, or refuse to take part in research projects;
- To security i.e. data and samples collected should be kept secure and anonymised where appropriate.
- To safety i.e. participants should not be exposed to unnecessary or disproportionate levels of risk.

4.2 Responsibilities of the CIU Administration in conducting research

The Vice-Chancellor's office (through the DVC-Research) bears the responsibility of implementing the CIU policies on research involving humans as research participants.

- To provide for the appropriate administrative oversight and the necessary resources to ensure that the University's adopted practices and procedures are being adhered to and are in compliance with all applicable ethical requirements.
- To enter into any agreements with other institutions such as the CIU affiliated health related institutions for ethical approval of their research.
- The Deans and their administrators have a responsibility to guide ongoing research in their departments and have a duty to create a climate for ethical practice in research.
- The Deans and their administrators have a responsibility of promoting widespread general awareness and knowledge of this policy and the need for ethics review.

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4.3 Responsibilities/ obligations of Researchers'

Both CIU staff and student researchers have an obligation to ensure that their research is conducted in an ethical manner, hence have the responsibility to;

- Ensure minimal possible risk to participants and to themselves.
- Ensure that there is adequate lead time available for enabling ethical review in relation to other deadlines.
- The researcher/Principal Investigator upholds the highest level of morality and honesty throughout the research process in protecting the rights of the research participants.
- The researcher will define the measures for meeting confidentiality obligations and explain any reasonably foreseeable disclosure requirements.
- The Principal Investigator must be culturally sensitive to the study population.
- The researcher/Principal Investigator will also hold a high level of integrity throughout the research process in protecting the rights of the participants.
- The researcher shall protect the rights and welfare of the research participants.
- The researcher shall obtain ethical approval as described in this policy for any project involving human subjects as research participants before starting the research
- The researcher/Principal Investigator is responsible for ensuring that the members of the research team comply with the provisions of this policy.
- Informed consent –The researcher/Principal Investigator should, where possible, inform potential participants in advance of any features of the research that might reasonably be expected to influence their willingness to take part in the study.
- The researcher/Principal Investigator must ensure that all individuals under their supervision have the training and competence needed to carry out their responsibilities in an ethical manner.

5.0 Research Governance at CIU

The University has designed a comprehensive system at different levels to ensure quality and ethical review of all research involving human participants. The system comprises of the following committees which are designed in accordance with the Uganda national Council of Science and Technology provisions;

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a) Faculty-based Scientific Review Committees

Faculty-level based scientific review committees, under the leadership of the Deans and are responsible for reviewing students' research protocols. In case a particular faculty is under privileged in terms of research experienced personnel to review student protocols, they can always use the expertise from other faculties or departments.

b) An accredited University Research and Ethics Committee (CIUREC)

This is a 13-member multidisciplinary committee of the University, accredited by the Uganda National Council of Science and Technology. The daily operations of the CIUREC are managed by an Administrator and the committee is mandated:

- To review both local and international protocols for scientific validity and ethical considerations for human and animal research.
- To oversee the activities of the faculty-based filter research committees and also receive reports from them when applicable.
- To recommend appropriate research training for both staff and students on behalf of the Uganda National Council of Science and Technology.
- To provide professional research guidance to Principal Investigators where necessary.

6.0 Human Participants Research Categories and Appropriate Review Committees

Research conducted at CIU has been put into categories to enable easy identification of ethical considerations and matching review committees. The categories are;

- **Category 1:** Under this category, staff and students are involved in minimal risk investigations that do not focus on clinical trials and testing of other forms of medicinal products or new technologies, treatment interventions and also certain vulnerable populations.
- **Category 2:** Investigations by staff and students involving human volunteers, including studies that are testing new research methodologies, vulnerable populations, treatment interventions and any other research with significant risk to the volunteers. This category does not include clinical trials of medicinal products.
- **Category 3:** Research conducted by both staff and students involving patients as participants and patient records but not focused on clinical trials or medicinal

investigations.

- **Category 4:** Research involving human tissue or human biological materials and human reproductive products and laboratory investigations only.

- **Category 5:** Research conducted by staff and students limited to clinical trials and investigation of new medicinal products in either healthy volunteers or patients.

NB: Category 1 can be reviewed by the faculty-based research committees; Categories 2 – 5 are reviewed by the CIU Research and Ethics Committee.

- All studies that involve drug trials will have to follow the statutory regulations which require the Principal Investigator to submit a copy of the protocol to the National Drug Authority of Uganda. Some of these studies may require Presidential approval.

6.1 Research involving vulnerable population

All populations considered to be vulnerable should be classified according to the guidelines provided by the National Council of Science and Technology and in other cases these are defined according to the nature and context of research. The following groups of population are internationally recognized as vulnerable populations;

- Pregnant women,
- HIV infected people,
- Children,
- Prisoners,
- The elderly,
- Physically and mentally challenged people,
- People with learning disabilities and,
- Those considered to be in subordinate positions to the researcher.

Researchers should be in position to justify the use of vulnerable positions rather than non-vulnerable in their investigations.

During research with vulnerable populations, appropriate supervision should be available to ensure the safety of the participant. No vulnerable participant should be left alone with the researcher unless explicit permission and vetting has been done.

CIU 2022



INTELLECTUAL PROPERTY POLICY

POLICY DETAILS

Responsible Office	CIU Central University Research Office
Policy Version	IP/CIU/2.0/2022
Name of Policy	Intellectual Property Policy - 01
Approved by	Senate
Signature & Date	
Endorsed by	
Date of Approval	
Policy commencement date	

CIU 2022

INTELLECTUAL PROPERTY POLICY

1.0 Policy statement and purpose

Clarke International University owns 100% of the Intellectual Property (IP) created or developed by its staff, students or any other individuals during the performance of the contracted duties. This is in accordance with the Uganda Copyrights and Neighbouring Act, 2006 which provides for the protection of literacy, scientific and artistic intellectual rights and other related matters. CIU staff and students should refer to this policy in accordance with the terms and conditions of their employee contracts and agreements and student handbook respectively

2.0 Scope of this policy

This policy applies to all members of the University community including faculty, staff and students

3.0 Definitions used in this policy

Under this policy the following terms will mean;

Staff: All Full and Part-time employees contracted by the University and its subsidiary companies to perform duties as stipulated by the Human Resources Department.

Students: Any full or part-time or remote learning student who may be enrolled on a research or non-research program of study, whether funded by the University or not.

Intellectual Property (IP): This will mean rights to inventions, trade-marks, trade names, computer software, database rights, right to goodwill, rights in designs, copyrights and any other intellectual property rights.

Intellectual Property Rights: These refer to the legal rights which protect the abuse and misuse of people's IP without permission. They take the form of Trademarks Rights, Patents, Copyrights and Design Rights. These four sub-categories will be defined as follows;

Copyrights: Protect any original scholarly works like research, scientific publications, reports (and any other University publication) AND drama and musical works, artistic

impressions and architectural works.

Patent: Patentability applies to any subject matter considered to be new, with inventive procedures and capable of being used in Industry. Patent protects any new inventive products and devices. Exclusions from Patentability should be in accordance with the Uganda Patent Act, 1991.

Trade Mark Rights: Protects University names, logos, slogans. The Trade Marks are capable of being graphically represented and can be registered indefinitely.

Design rights: These generally protect the appearance of CIU products resulting from features such as colour, contours, lines, shape and texture of materials or its orientation. The designs must be original and new and NOT copied.

4.0 Ownership of Intellectual Property

Clarke International University, unless otherwise agreed and documented, will own 100% of the Intellectual Property.

4.1 Staff

In accordance with the employees' terms and conditions of their contract and the University regulations, IP created by the CIU staff in the course of their duties as assigned by the Human Resources Department shall remain the IP of the University.

4.2 Scholarly works

In the event of an CIU staff member bringing into existence any work regarded as scholarly and produced with a purpose of furtherance of their professional career, the copyrights will belong to the staff. In this case scholarly work will include;

- Books and Book chapters
- Scientific articles
- Conference presentations.

However, research reports and materials related to contract research will remain the copyright of the University or the funding body depending on the materials terms of contract. The University will not claim ownership in the event of scholarly works written by a staff and rights transferred

to the publisher.

The University may use the scholarly works for non-commercial purposes like teaching, research and general use in consideration of the moral rights of the staff member as in accordance with the Uganda Copyrights and Neighbouring Act, 2006.

4.3 Course material

All course materials and teaching aids produced by a staff member for purposes of a curriculum pertaining to a course offered by CIU during their course of employment and with university resources, shall remain the copyright of the University.

4.4 Research students' works

As a term and precondition of registration for their academic studies with CIU, students will be required to sign an agreement which will oblige them to assign their rights in any IP arising from their studies to CIU. Upon signing the agreement, all IP developed by research students in relation to their studies will be owned by CIU with the exclusion of cases where partial rights may be owned by the sponsor in case of sponsored research or any academic works. However, this will depend on the agreement between the sponsor and CIU.

The copyright of the student's dissertation or thesis shall be held by the University but returnable to the research student at the end of their studies. However, in the event that copyright in the dissertation or thesis relate to any potentially exploitable IP, disclosure will be made to the research student, his or her supervisor and the research office, a student declaration of confidentiality will be applied to the dissertation or thesis for a period considered appropriate to implement the IP protection measures.

The research student will always retain copyright as an author for any publications arising out of their dissertations or thesis of which copyrights are transferred to publishers when papers are submitted for publication.

CIU reserves the right to retain a student's copy of the dissertation in both hard and soft copy formats in the custodianship of the University Library. The materials can be used for teaching and learning purposes though in consideration of the moral rights of the author.

4.5 Non-research students' work

If students develop any IP under the University project or academic work, they will have the opportunity to assign their IP to CIU for purposes of assisting them develop and commercialise the IP if the research Office deems it appropriate and necessary.

5.0 Partners/Collaborators/Affiliates

In case of creation of an IP out of a partnership or collaboration or from an Affiliate of CIU, an IP agreement must be signed before commencement of such a project. The research office is responsible for negotiating the IP term and conditions on behalf of the parties.

5.1 CIU self-sponsored work

In the event that the University has provided the funds to sponsor a particular project, the University will own the IP arising from the sponsored activity.

5.2 Non-CIU sponsored work

In the event that CIU is intending to conduct an externally funded project, an agreement detailing the ownership and use of any IP arising out of the project should be clearly documented and signed by key parties. The Research Office will negotiate on behalf of the University and not the parties involved or any staff member or student.

6.0 Financial and Administrative materials

All information and records in both hard and soft copy formats which pertain to the Finance and Administration of CIU which are created by the staff during the course of the employment will at all times remain the property of CIU and all the copyrights will belong to CIU.

7.0 Responsibilities of Staff and students with regard to Intellectual Property;

a) The CIU staff and the students have the responsibility to inform the Research Office about any IP that may be created through their work as employees and researchers as students or through any academic related work. The disclosure by both staff and students of any potentially exploitable IP should be done through the completion of the IP DISCLOSURE FORM obtained from the Research Office.

b) In the event of applying for a grant or research funding by both the student and the staff, the Research Office recommends that you consult it about the potentially exploitable IP

before submission. This will then be included in the agreements that may be made later or stated within the applications.

c) The staff and students making the IP disclosure have the responsibility of providing detailed information about the invention or creative work which may include but not limited to abstracts, manuscripts, software codes, prototypes. These must be evidenced by accurate and traceable records.

d) The staff and students must be able to identify the inventor or creator of the new idea. In this case the inventor will be anyone;

i. Who initially conceived the idea that led to the innovation?

ii. Proper documentation of the materials, processes and products that form the basis of the Patent application.

iii. Offer evidence of any commercial interest from commercial organisations in cases where the IP has been regarded by the research office as being potential for commercialisation.

e) It is important and necessary that the staff and students maintain confidentiality of any exploitable IP that may arise from their works and also prevent any public disclosure of inventions and creations out of their work until guided by the Research Office to do so.

f) Both staff and students should abide by the confidentiality agreements made with external partners.

8.0 The role of the Research Office in the IP procedures

- Provide advice on the protection and commercialization of University IP as and when assessed to be the case.
- Be able to generate income for the University through licence, new or existing businesses.
- Must ensure that the invention or creative work is presented to a patent attorney for an initial patent opinion.
- The research office is responsible for filing the patent applications or other forms of IP registration as and when need arises.

9.0. Resolution of disputes

The policy constitutes an understanding between the University and staff and students. Any

dispute arising from the ownership of IP under this policy shall be settled following the procedures below;

a) The complainant must submit a letter stating their grievances to the Deputy Vice Chancellor who oversees the activities of the research department.
b) On receiving the letter, the DVC will convene a meeting to resolve the dispute with the aggrieved parties, heads of departments concerned, the deans and an IP lawyer.

10.0 Distribution of proceeds

- With the successful licensing of IP, CIU will be able to generate revenue and this should be shared at 50% to 30% to 20% for the inventor/creator, Research Centre and Research Office respectively.
- In a case where the inventor/creator is leaving the University permanently, they will continue to receive the revenue share.
- In the event that the inventor/creator dies, the revenue share shall be payable to the deceased's estate. In case the revenue is unclaimed for a period of 5 years, then the revenue shall revert to the University.

References

- The Uganda Copyright and Neighbouring rights ACT, 2006.
- Uganda Patent Act 1991.
- Kamarulzaman et al, 2012. Intellectual property valuation decision support system for university research output: A conceptual model. Faculty of Management, Multimedia University, Cyberjaya., Malaysia.
- Intellectual Property Policy and Procedures (2011), University of Ulster.

CIU 2022



CONFLICT OF INTEREST POLICY

POLICY DETAILS

Responsible Office	CIU Central University Research Office
Policy Version	CI/CIU/2.0/2022
Name of Policy	Conflict of Interest Policy - 01
Approved by	Senate
Signature & Date	
Endorsed by	
Date of Approval	
Policy commencement date	

CIU 2022

CONFLICT OF INTEREST POLICY

1.0 Policy statement

CIU encourages its staff to engage in a number of activities that enhance the profile of the University at different levels. Many of these activities may include serving on different community boards, providing expert advice to both local and international organisations, collaboration on international projects, serving on government boards or projects and all this may occur through consultancy or research and development. Though these are activities that the University is likely to benefit from inclusive of the public, under some circumstances, they may create situations or give rise to conflict of interest. Much as the conflict of interest may be perceived or actual, staff members are encouraged to disclose this conflict of interest so that it's properly managed. This will be important in ensuring that activities continue to be conducted normally while upholding the staff's obligations to the University, meeting the regulatory and other external requirements while protecting the integrity of CIU and its members.

2.0 Purpose of policy

This policy is intended to promote impartiality by all staff members and students when conducting research and other University activities as a means of ensuring the highest standards of ethics and integrity.

3.0 Scope of the policy

This policy applies to all staff, faculty members, students, members of council and all those people who may have retired from CIU but still conduct research with the University. It is the responsibility of each member to recognize situations under which they may have conflict of interest and disclose to the appropriate personnel or office.

4.0 Definitions as used in the policy

4.1 Conflict of interest: This is a situation under which there is divergence between an individual's professional commitment and obligations to the University and their personal interests which compromises their decision making in a particular activity. The conflict of interest may be both monetary and non-monetary and it

hinders a staff from being impartial when carrying out their duties.

4.2 Financial conflict of interest: For purposes of this policy, financial conflict of interest will mean any opportunity that a person may appear to have personal monetary gains which may compromise their actions. This may include but not limited to having financial interest in the intellectual property (IP) of the University or payment of and for services.

4.3 Non-monetary conflict of interest: These are non-financial interests that may conflict with a person's obligations and commitments to the CIU to include any direct or indirect benefit or advantage to self or gain to family members.

5.0 Forms of conflict of interest

Under this policy conflict of interest will take these forms but not limited to the following;

a) Staff-Student and teaching

CIU promotes an environment of learning and teaching which is characterised by friendship and professionalism. However, it is the responsibility of the staff members to maintain a professional and ethical code of conduct when working with students in accordance with the University regulations on professional conduct, to avoid relationships that would compromise their quality of work. Conflict of interest may arise from staff-student relationship in the following ways;

- When a staff member who may have a familial or close relationship with a student is involved in decisions about a student's supervision or academic progress.
- A staff member takes part in the negotiation of a contract between CIU and an organisation in which the staff has a financial gain.
- Staff being a lead consultant with the company hired by the University to audit its operations.

b) Research-related conflict of interest

- A staff or student researcher holds a key position in an organisation that may want to restrict the reporting of serious adverse effects arising from the research findings.
- A researcher (staff or student) is engaged in an organisation's research for which the researcher is likely to influence the outcome based on the relevance of this research to

the organisation.

- Situations in which a research student is receiving financial support from an organisation that his/her supervisor has financial interest.
- A student's supervisor has a business venture with the student they are supervising of which they have built a close and personal relationship.
- A CIU staff member is a Principal Investigator (PI) for a study funded by an agency that has set disclosure requirements related to financial interest. In which case the financial interests of the PI are likely to affect the study outcomes.
- When a staff has a financial interest in the proposed license of university intellectual property.
- An academic who is a senior editor with a commercial journal and at the same time he or she sits on the library committee that recommends journal subscriptions.

6.0 Disclosure of conflict of interest

Any staff or student, who anticipates, perceives and knows that he/she may have a conflict of interest in a particular University project or academic work will disclose to the relevant authority or office such as the research office, project lead, head of institute or school, the Vice-chancellor or to the Chairperson of the conflict-of-interest committee in case it exists.

6.1 Procedure for disclosure and managing conflict of interest

- The disclosure by the staff member shall be made in writing to the Head of the research department or to the relevant authority, at the time the conflict of interest arises or when it's anticipated or perceived.
- On receipt of the written disclosure, the departmental head shall discuss the matter with the university higher authority (VC, DVC, Academic registrar) who will then call for a meeting with the staff member to advise accordingly.
- In case the conflict of interest is declared by a senior authority of the University, reference will be made to the University Council's Standing Orders on how to manage conflict of interest at that level.
- In case of a student, actual or potential conflict of interest should be discussed with the supervisor or Senior Tutor and can only be forwarded to the Head of research department for advice. However, in the event that conflict of interest arises between the interests of

the supervisor and the student, this will necessitate a student to discuss the matter with the Dean or head of the research department.

- In most cases, all disclosure of conflict of interest will necessitate agreeing and finding ways to manage it and keeping records on file, however failure to disclose any conflict of interest may lead to disciplinary action. Some of the strategies that may be employed to manage conflict of interest will include but not limited to the following;
  - Not getting involved in a particular project that has given rise to conflict of interest
  - Agreeing not to act as student's supervisor
  - Disclosing the conflict of interest to parties concerned, in this case, these may be funders or project heads
  - Standing aside from taking decisions on a particular matter or refrain from discussing certain issues that may give rise to conflict of interest.
- It will be the responsibility of those disclosing and being affected by the conflict of interest to comply with the agreed plan or course of action to manage the situation.

References

- Curzer .J,H., Santillanes G., 2012. Managing conflict of interest in research: Some suggestions for Investigators. Taylors & Francis, USA.
- Elliot K.C., 2008. Scientific judgment and the limits of conflict-of-interest policies. Department of Philosophy, University of South Carolina, Columbia, SC, USA. Taylor & Francis.
- Little. M., 2006. Conflict of interests, vested interests and health research. Centre for values, ethics and the law in Medicine, Department of Surgery, University of Sydney, Australia.
- External Interests Policy, 2010, University of Sydney.

CU 2022



RESEARCH PARTNERSHIPS AND COLLABORATIONS POLICY

POLICY DETAILS

Responsible Office	CIU Central University Research Office
Policy Version	PC/CIU/2.0/2022
Name of Policy	Partnerships and Collaborations Policy – 01
Approved by	Senate
Signature & Date	
Endorsed by	
Date of Approval	
Policy commencement date	

CIU 2022

RESEARCH PARTNERSHIPS AND COLLABORATIONS POLICY

1.0 Objectives of the policy

The objective of the research partnerships and collaboration policy is to develop a framework to support all research related activities of Clarke International University (CIU) conducted with other external institutions and or individuals.

2.0 Purpose of the Policy

i. To set out principles underpinning CIU approach to research collaboration and partnership agreements.
ii. To provide for the protection of CIU interests as a teaching and research institution that operates with integrity in the promotion of knowledge and innovation.
iii. To mitigate any situation that would stifle knowledge, dissemination of research findings and innovation as a result of research partnership and collaboration that CIU may engage in.
iv. To provide for certainty and efficiency in research partnerships and collaborations for the interest of the public and stimulation of policy debates.

3.0 Scope of the policy

All staff, students, scholars, visiting fellows and other members of the community hold distinguished titles of the University and are conducting research in partnership or collaboration with CIU.

4.0 Definitions as used in the policy

Under this policy the following terms will mean;

Research Partnership: This will mean any innovation-based relationship or cooperative arrangement engaging Universities, scholars, fellows, public entities/agencies and laboratories with an aim of pooling resources together in pursuit of a shared research & development objective.

Research Collaboration: This will mean working with and pooling together expertise of

researchers for purposes of implementing a research project or activity of common interest among the parties involved.

Research agreements: These will mean agreements which CIU will undertake with other internal or external parties with an aim of generating new knowledge. The research agreements will involve pooling knowledge, expertise or capability to achieve a specified outcome as stipulated and signed in the binding document of the parties involved.

5.0 Areas of partnership or collaboration

The University is committed to developing and building local and international partnerships and collaborations that are aimed at enhancing teaching, learning and research. The following have been identified as some of the major areas of collaboration and partnerships;

- Knowledge transfer and capacity building
- Mentoring and Coaching
- Infrastructure development
- Research
- Community-related project implementation
- Technology advancement and exchange programs

6.0 Policy provisions

In instances where CIU is involved or intending to get involved in any partnership and or collaborative research related activities, the following arrangements must be put into consideration before commencement;

- Financial management
- Authorship
- Intellectual property
- Ethical approval processes
- Ownership of both research data and
- Ownership of research equipment and materials.

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The partnership and collaborative work undertaken by CIU and other parties can take different forms like the use of legal contracts, research management plans, formal exchange of letters and all these should be signed by all parties involved or their representatives.

In collaborative research agreement is legally required where the project being undertaken involves the transfer of funds, the transfer or use of intellectual property and all this should be done in accordance with the funding body requirements.

Research partnerships and collaboration agreements must be in writing, clearly detailing the financial management aspects of the project, confidentiality, copyright issues, ethical and project clearance issues and appropriate reporting to various National agencies like the Uganda National Council of Science and Technology.

All the research activities involved in the implementation of the project under a partnership and/or a collaboration should comply with all the written policies and guidelines governing that specific research project but in accordance with the implementing country research guidelines.

6.1 Management and use of research data

The management and use of research data between the research partners and collaborating institutions must be clearly negotiated before the commencement of the project and this should be included in the signed agreement between CIU and the participating parties.

The institutions in partnership and or a collaboration must each identify a person who is responsible for the primary data and secondary accordingly and all data related materials used in the project and how the data will be stored, archived and retrieved within the lifespan of the project and after the closure of the project.

The management and use of research data must be in accordance with the Research Data Management Policy of CIU.

6.2 Authorship

The research partners and collaborating institutions must clearly state and agree on the terms

of authorship before the commencement of the project and these can be revisited periodically as agreed by the partners. The authorship terms should be included in the research agreement between the parties and signed beforehand. In case of any agreed amendments, an addendum should be included in the initial research agreement.

6.3 Intellectual Property

The protection of the partners and collaborating institutions Intellectual Property rights must be observed in accordance with the agreed terms as per individual project but in compliance with CIU policy on Intellectual Property.

6.4 Ethical approval and safety standards

Before the commencement of the research project, ethical approval must be obtained from the National Council of Science and Technology, the Research and Ethics Committee and in consultation with the relevant CIU policy. If CIU is the primary collaborating researcher on a study involving human participants, ethical approval from the National Council of Science and Technology and or an accredited Research Ethics Committee in Uganda must be obtained.

In instances where the primary collaborating researcher is from another country or University, then an approval from that country's science and technology committee must be obtained and presented to Clarke International University.

6.5 Confidentiality

Both collaborators and /or partners on a specific research project must at all times observe the required level of confidentiality as stipulated in the National guidelines of Science and Technology or according to the research ethics requirements as stipulated by the approving body.

The ethical considerations must be clearly stated in the research agreement as agreed upon by the participating parties and must be signed by both parties and or their representatives before the commencement of the research project.

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6.6 Conflict of Interest

Under this policy a conflict of interest will be said to occur where either of the researchers in collaboration and or partnership exhibit divergent interests from their expected professional obligations to the institutions or Universities participating in the specified research project.

Researchers in collaborative research or partnership on any research project must disclose and manage any conflict of interest which may compromise the outcome of the research project in any way. The disclosure of the conflict of interest must be in accordance with "Conflicts of interest Policy." In this case, the researchers are expected to carry out their research activities impartially.

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FORMATION OF RESEARCH CENTRES AND INSTITUTES POLICY

POLICY DETAILS

Responsible Office	CIU Central University Research Office
Policy Version	FRC/CIU/2.0/2022
Name of Policy	Formation of Research Centers and Institutes Policy - 01
Approved by	Senate
Signature & Date	
Endorsed by	
Date of Approval	
Policy commencement date	

CIU 2022

POLICY ON FORMATION OF RESEARCH CENTRES AND INSTITUTES

1.0 Introduction

The Clarke International University (CIU) encourages the establishment of centres to enhance the academic interests of CIU in pursuit of quality research, teaching and scholarly works, as a means of meeting the needs of the larger community and motivating policy debates. The University recognizes that the creation of centres and institutes shows the extent of vitality, creativeness and inventiveness of the CIU academic community.

Though CIU may choose to fund the initial stages of any research centre, the centres and institutes are expected to attract external funding as a major source of their funding. In this case, any proposal to initiate a centre or institute for research must clearly show how it will attract external funding that supersedes the ability of CIU for purposes of ensuring sustainability.

1.1 Objective of policy

The policy is intended to provide a comprehensive framework of principles and guidelines for the formation, management, monitoring and review of research centres or institutes.

1.2 Purpose of the Policy

To encourage the establishment of entrepreneurial research centres and institutes aimed at coordination of research activities, services, training and educational services that supplement the existing instruction, research and service at CIU.

1.3 Scope of the policy

The policy will only be limited to the establishment of CIU centres or institutes in areas of research or educational and scholarly advancement, deemed of key interest to the University and in line with its strategic plan.

1.4 Definitions as used in the policy

Under this policy the following terms will mean;

Centre: This is a smaller and specific research unit within an institute primarily composed of academic staff and created to provide specialised capabilities to advance research and instruction. Though it is limited in scope, its operations must be within the strategic plans of the University.

Institute: This is an organised research unit within the University established with a broad and primary aim of coordinating and promoting research interests of faculties centred on a broad area. The formation of an institute must be evidenced by a strong case for it to provide long-term service in line with the CIU strategic goal.

1.5 Implementers of the policy

The policy will be implemented by the Vice-Chancellor, DVC, Deans and Senior Administrative Officer (Provost)

2.0 Formation and Implementation of Centres and Institutes

Clarke International University Vice Chancellor is mandated to approve and authorise the development and implementation of centres and institutes.

2.1 Purpose of Policy

To provide a systematic framework and guidelines on the formation and implementation of CIU research centres and institutes

2.2 Proposal for initiating a research centre or institute

The proposal for initiating a new research centre and or institute will necessitate the applicants to put into consideration the following aspects;

The applicants will be required to fill in a **RESEARCH CENTRE AND INSTITUTE INITIATION FORM (see Appendix 1)** which should include;

- The name of the centre or institute, the proposed name and the type of the institute, and management team. The management team **must be gender-balanced**.
- There is a need to provide a comprehensive list of people that were consulted prior to the proposed centre.

- Documented evidence that the object and scope of activities of the centre or institute add value to the University in line with its strategic direction and there is a relationship with academic and administrative units.
- A comprehensive documentation of the available infrastructure and material resources · The name of the title and Director of the proposed centre or institute, his or her experience and qualifications.
- A well-documented administrative plan which should clearly state the centre or institute's mission**, vision, objectives and outcomes, performance targets and methods of measurements for the targets, assessment of results and how these results will improve the program.**
- The proposal should be clearly signed and dated by the Dean and all other appropriate persons.
- The application should also include the **FINANCIAL DECLARATION FORM which should clearly state;**
- An estimated sum of funds to be expended by the centre and or institute in the next five years of operation by funding source.
- A well-articulated organogram of the centre and or institute and source of funding for the salaries, allowances for the staff.

On completion of filling in the required form, the application form should be sent to the Vice Chancellor's office for vetting.

3.0 Recruitment of human resource for the centre

Employees of the centre/school/institute will be recruited in accordance with the CIU Human Resource Policy

4.0 Management of the centre

4.1 The centre will have a director appointed by the Senior Administrative Officer on recommendation of the Dean. This will be a university staff member with considerable personal and academic repute. The Director of the centre will serve a fixed term of ONLY 3 years and this

may only be renewed on the recommendation of the Senior Administrative Officer with substantial reasons.

4.2 The centre will be required to have a management committee at least comprising of but not limited to the following personnel;

a) The Director and his or her Deputy
b) The University Officer (centres)
c) At least three faculty members or staff from schools associated with the centre d) And any other staff considered relevant

4.2.1 The Director of the centre will be responsible for the following key activities;

I. Funds and control system.
II. Prepare a budget in relation to the centre's work plan.
III. Ensure that the centre is self-sustaining and is able to meet all its operational costs without any assistance from the University.
IV. Provide an annual report which must among others which must clearly indicate; statement of financial performance, any in-kind contributions, achievements against the set targets, record of scientific publications, research projects (ongoing and completed).
V. Provide a record of meetings.

4.0 Review of the Centre

a) All centres will be required to undergo a regular review at intervals of two years for new centres and every after 5 years.
b) Each faculty must clearly have an explicit program for review of the centre which must be copied to the Senior Administrative staff who oversees activities of the centres.
c) During the review process, self-evaluation must be conducted and includes but not
d) Limited to; the objectives, achievements, targets and recommendations and the five-year plan which should be documented and provided to senior members.
e) The Chairperson of the review panel will be appointed by the Senior Administrative staff (Provost) of CIU. The panel should not have any members of the centre to avoid conflict of interest. Members of the panel will be from other faculties or administrative units and

approved by the Senior Administrative Officer (SAO) of the University.

f) The tools to be used during the review process should be approved by the SAO.

g) The Chairperson of the panel will have the right to interview the director and the centre staff members during the review process on any matters deemed relevant for the process.

h) Based on the report after the review by the panel, the University Officer may suggest to the provost for a further period of five years or wind up the activities of the centre.

i) The University Officer should provide a template to follow during the reviews and it should be provided to the Chairperson before the review.

j) The Senior Administrative Officer may decide to review the financial viability of the centre when he/she deems it necessary.

5.0 Closure of centres

A decision to close the Centre may be made by the Senior Administrative Officer in charge of Centres under the following circumstances;

a) The centre is no longer financially viable and as such cannot meet its objectives in accordance with the University's strategic plan

b) Breach of University policies

c) Failure to function adequately

In the event of closure, the Director should provide a documented closure plan to the Senior Administrative Office

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Appendix 1

RESEARCH CENTRE, SCHOOL AND INSTITUTE INITIATION FORM

Summary Information

Title of School/Centre/Institute
Location
Lead Coordinator
Telephone
Email

Description of Initiative

Objectives

Justification

Detailed description of how the activities of the proposed initiative contribute to the strategic direction of CIU

Infrastructure & Material resources available

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Preliminary Funding and Cost Information (attach a breakdown of this)

Source 1	Source 2	Source 3	Source 4		Source 6

Funding sources

Indicate the amount expected from each source and for what period

Please attach:

a. A detailed administrative plan
b. CV of the proposed Director, his experience and qualifications

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