National Council for Higher Education

Ensuring Quality for Excellence

REPORT ON THE VALIDATION WORKSHOP ON THE RESEARCH AND INNOVATION QUALITY ASSURANCE FRAMEWORK HELD AT NCHE ON WEDNESDAY 6TH DECEMBER 2023

December 2023

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Table of Contents

Table of Contents 2
1.0 Introduction 3
2.0 Objective 3
3.0 Methodology 3
4.0 Participants 3
5.0 Remarks 3
6.0 Presentations 5
Appendices 11
Appendix I: List of Participants 11
Appendix II: Presentation of the Research Quality Assurance Framework 11
Appendix III: Presentation of Research Standards and Guidelines 11

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1.0 Introduction

The Universities and Other Tertiary Institutions Act (UOTIA) 2001 as amended, Section 123 (1) states that the National Council shall by regulation set; Institution Standards governing the performance, operations and general conduct of Universities and Tertiary Institutions.

In light of the above mandate, National Council for Higher Education (NCHE) developed Minimum Standards on Research and Innovation Quality Assurance Framework and Research Standards and Guidelines for Universities and Other Degree Awarding Institutions (ODAI's) in Uganda. On 6th December 2023, NCHE organised a Stakeholder's Validation Workshop to discuss the draft reviewed Minimum Standards on Research and Innovation Quality Assurance Framework and Research Standards and Guidelines in Uganda.

The workshop started at 8:30am with a word of prayer by Ms. Jane Nabwire, Senior Higher Education Officer, NCHE.

2.0 Objective

The objective of the workshop was to discuss and validate the reviewed draft Minimum Standards on Research and Innovation Quality Assurance Framework.

3.0 Methodology

The methodology adopted included:

a) Welcome Remarks by the Director ICT Research and Innovation (IRI)
b) Official Opening Remarks by Deputy Executive Director
c) Presentation of the Research Quality Assurance Framework
d) Presentation of Research Standards and Guidelines
e) Discussions
f) Way forward
g) Closure

4.0 Participants

The physical validation workshop on Research and Innovation Quality Assurance Framework was held at NCHE Secretariat on 6th December 2023. Participants were drawn from various stakeholders that include; Uganda National Council of Science and Technology (UNCST), Universities, Professionals, and NCHE staff **(List of participants is attached in Appendix I).**

5.0 Remarks

5.1 Welcome Remarks by the Dr. Nora Mulira (Director ICT Research and Innovation)

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a) Welcomed all participants to the Research and Innovation Quality Assurance Framework Validation Workshop.
b) Noted that the validation workshop was important in the Higher Education (HE) Sub-sector.
c) Stated that, HE is mandated to conduct research. However, NCHE notes low research output from Universities in terms of volume and quality.
d) Noted the need for NCHE to partner with UNCST, and Universities to develop quality research in Universities.
e) Reported that the Auditor General had queried the value for money allocated to institutions on the management of research grants in public university. Thus, the Quality Assurance and Research Framework was timely as it was to help on how to harmonize research in institutions and help universities to give proper accountability of the research funds.
f) Noted that some institutions have developed institutional research agendas, policies, and regulations, but these efforts are fragmented and do not utilize synergies that derive from harmonization.
g) Observed that, there is need to encourage Universities to engage in research and compete with Makerere University takes the lions share in research outputs.
h) Informed participants that the workshop on validation workshop followed the validated research and innovation standards and guidelines that took place in July, and that they formed a core component of the current framework to be validated. Thus, the workshop was set to harmonize the previous effort.
i) Informed participants that the purpose of the workshop was for them to look at the Framework, discuss, refine, input and validate the draft minimum standards to ensure quality in research conducted by institutions.
j) Wished participants a productive engagement.

5.2 Official Opening Remarks by Rev. Canon Dr. Alex. M. Kagume (Deputy Executive Director)

a) Thanked the Director ICT, Research and Innovation (IRI) for organizing the workshop.
b) Welcomed the participants and thanked them for sparing time to attend the validation workshop.
c) Noted that in line with the NCHE Strategic Plan 2020/21-2024, objective three, Advancement of Research and Innovation in Higher Education Institutions, NCHE developed a Research and Innovation Quality Assurance Framework to streamline the research management and processes in HEIs, which was preceded by standards on research management and community engagement in Degree-Awarding institutions in Uganda.
d) Remarked that, the Framework presented was not just a set of guidelines; but represented NCHE commitment to excellence, integrity, and innovation in research.
e) Indicated that, the Framework was to act as a guide to promote quality research in universities.

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f) Reported that the NCHE, through its State of Higher Education Annual Data collections and reports over the last ten years, reported low research outputs in higher learning institutions. This could have been due to lack of clear policies and regulations on research and innovation, which NCHE intends to harmonize.

g) Informed participants that, recognizing the paramount importance of research and innovations in HE and strengthening the research and innovation outputs, NCHE has made strategic partnerships/collaborations with key stakeholders such as the UNCST and Research and Education Network for Uganda (RENU). NCHE was also conducting a survey on sustainable research in Ugandan universities and Other Degree-Awarding Institutions (ODAIs) to determine the research terrain in these institutions.

h) Noted that the purpose of the workshop was to present the Research and Innovation Quality Assurance Framework which had been crafted and to seek for participants' valuable insights and feedback to improve the Framework.

i) Stated that the framework serves as a roadmap, to guide institutions, researchers, administrators, and regulators in upholding the highest standards of academic integrity. It also establishes benchmarks for the design, conduct, and dissemination of research, emphasizing transparency, ethical considerations, and the responsible use of resources. By adhering to this framework, we aim to elevate the quality and impact of research across the Institutions.

j) Called upon participants to approach to have an open mind, a spirit of collaboration, and a shared commitment to advancing the quality of research in the academic landscape.

k) He again thanked participants and wished them a fruitful discussion and that will provide guidance to the future where research and innovation are rigorous and transformative.

l) He declared the Stakeholders' Consultative Workshop on Minimum Standards for the programnmes of study officially open.

6.0 Presentations

6.1 Presentation of the Research Quality Assurance Framework (Cosmas Muhumuza-Higher Education Officer)

Highlights of the presentation included:

a) Noted that the rationale for the framework was to respond to the Auditor General's query on value for money audit on the management of research grants in Public University.

b) NCHE has developed a standard Legal Framework for management of research in Public and Private Universities.

c) Noted that, Institutions need to constitute a policy to streamline their research policies in Institution.

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d) The Quality Assurance 2014 touches on research but many issues are left out like; roles and responsibility of stake holders, standardization of research practice, policies and regulations.

e) Thus the proposed framework would cover:

i. Roles and responsibility of stake holders, institutions and NCHE validating research through annual reports.
ii. Standards on governance structure
iii. Facilities and infrastructure
iv. Research funding
v. Research human capacity
vi. Research involving human participants and animals
vii. Research misconduct
viii. Research supervision
ix. On-line supervision of research
x. Intellectual property and innovation
xi. Monitoring and Evaluation

Comments Raised

Participants raised various comments on this presentation:

a) The participants appreciated that the document was well structured.

b) It was observed that the research landscape in HE has been difficult due to challenges of human resources, infrastructure, and funding among others. It was thus noted that, the Framework developed would help bring Universities to a common platform to prioritize research.

c) Participants noted that, there is a need for institutions to develop institutional research agenda, and also a need to have a national research agenda. It was proposed that the, UNCST who should derive the national research agenda and push for common consensus of stakeholders on how the institutional research agenda should look like.

d) Participants appreciated that, the research ethics was well reflected to help Universities to mainstream ethics and science.

e) Participants observed that, institutions have a challenge with facilities and this poses a question, how research ready, are universities? Besides, research equipment is poorly managed as there are of lack technicians to operate and maintain the equipments in Institutions. Thus, participants proposed that, there is a need for the Framework to cater for embedding technicians in universities structures to manage equipment.

f) Participants observed that, the Framework should be explicit on funding. The 10% research fund proposed in the framework was appreciated.

g) Participants noted that there was a challenge of digitalizing repositories to have publicity platform for research. On this, there was a suggestion to have national repositories to derive knowledge management, minimise duplication of research and encourage shared resources.

h) Participants observed that UNCT do research after four years. Thus, they asked NCHE to define what they meant by research and innovation in the context of this framework

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and also to define research internationally for Universities to know the exact data to put.

i) Annual research reports would be a flagship for NCHE. However, NCHE was asked to benchmark and guide on the kind of research and innovation reports Universities have to produce.

j) Participants expressed that, the Framework should address international collaborations and internally guide institutions on how to enter collaborations. It was noted that the details of international collaborations are captured under minimum standards.

k) It was observed that among the stakeholders indicated under the section on roles and responsibilities, UNCST should be included. UNCST would give details of what should be contained in this section on their roles and responsibilities.

l) On research facilities and equipment, participants suggested that, there is a need to put in place policies to guide access by community, to suggest common laboratories either at NCST OR NCHE where institutions can access with less huddles. They suggested to establish IRB which should be suited with in the institution other than NCHE or NCST.

m) On Research Agenda's, Institutions should be encouraged to develop their own research agendas. NCST and NCHE to engage further and have a deeper discussion on what to include in the MOU's.

n) Participants appealed to NCHE to have more stakeholders' engagement to discuss further issues raised during the workshop.

o) It was proposed that the document should be comprehensive and include research involving plants and animals, humans, genetic modification, data protection management among others.

p) Participants noted that there is a need to give more details on Section 2.16 on Capacity Indicators to guide institutions on what is exactly required. It was responded to that the minimum standards and guidelines on research has all the details.

q) Participants suggested to have a data protection policy. For example, how long should data be stored.

r) Standard facilities to be put in place to avoid students work bouncing back.

s) Participants proposed that, policies and guidelines be instituted on how: communities engage in research, students engage in HE research, and how students engage in research to benefit communities to change the perspective of community engagement.

t) Participants suggested that, he Policy for intellectual authorship should be captured in the Framework, and that URSB and UNCST should move forward to dialogue and guide Universities how to do it.

u) On the issue of supervision of graduate research, it was proposed that, there is a need to define protocols on how to use emerging technology in research, for example Artificial Intelligence. It was observed that many supervisors are not ready to guide students on how to use.

v) Participant inquired whether there is a possibility of having a grant where Public and Private Universities both compete.

a) A participant inquired where researchers in humanities have to register their research. It was noted that UNCST supervises and registers all research. Participants observed

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that ethical clearance process is tedious and challenging and requested UNCST to address this challenge by looking for appropriate solutions.

w) Participants noted the current research requires institutions to have open science, open system, open data, open access.

x) It was also noted that the Framework should provide for Institutions to include Gender mainstreaming in their committees.

y) Innovations regulated by NCST, NBS should be catered for as well in the Framework.

Copy of Presentation slides attached as appendix II.

6.2 Presentation of Research Standards and Guidelines (Rev.Dr. Cyrus S. Ssebugenyi & Professor Christopher Byalusaago Mugimu)

a) Observed that the 1992 White Paper emphasis the university's role to teach, do research and community engagement

b) NCHE mandated under Section 123 to do research but this has a loose mandate.

c) Research management frameworks are required at all phases of the research process.

d) NCHE developed standards and guidelines on research management for Universities and ODAIs and these standards cover among others the following aspects:

i. Governance and Management Structures
ii. Infrastructure
iii. Capacity strengthening for research
iv. Policy framework for institutional research activities
v. Authorship, publication and dissemination of findings
vi. Research funding and financial management
vii. Management of research grants
viii. Research collaboration and partnership

Copy of Presentation Slides attached as appendix III.

Comments Raised

b) Standards help to understand what it means to transform in a research institution.

c) The Framework touches on titles, therefore, there is a need to harmonize on titles in Universities and ODAIs. It was responded to that, the Ranks and Titles of staff was addressed in the workshop for the Revised Standards for Ranks and Titles of staff in universities and ODAIs. It was noted that every rank proposed has an element of research and community engagement.

d) Participants inquired about the extent to which the ISO standards were benchmarked in developing the Research Standards and Guidelines document. For example, on laboratories at national level and how the developed standards speak to the global society. It was responded to that; ISO standards are not much pronounced in education. There is a certification on research management standard under ISO but document was

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not accessible due to lack of access right. However, the standards developed reflect the US, UK and Regional standards.

e) It was observed that, UNCST and National Research Integrated Management System (IMS) has a system which registers research. Participants inquired how institutions could be guided to benchmark with National Research IMS and UNCST to develop their own systems. It was observed again that institutions could be guided to also benchmark with Tanzania IMS which produces real time data.

f) Participants noted that, there is need to have an Innovation Technology Transfer Policy and office. The Policy should spell out who can use the products, have IP lawyers to protect innovation. It was responded to that Section 2.3 on essential infrastructure, human and other resources has catered for technology and transfer policy and office. However, it was observed that, instead of institutions being overwhelmed by policies and infrastructure, there should be one embracing policy instead of an office. Institutions can have an innovation technology transfer functionality.

g) Participants noted that, there is a need to fit the developed standards in the Quality Assurance Framework benchmarks to give authenticity to the work. There is also a need to give a preamble to indicate where standards were benchmarked.

h) It was observed that standards should spell out clearly how NCHE will monitor uptake of research and innovation such that the Institutional annual reporting and monitoring is guided by the standards spelt by NCHE. The Institutional annual report should have clear procedures and guidelines of how institutions should report. Thus, the capacity indicators should clearly guide on what is to be monitored. It was noted that the instrument would contain all the details to guide institutions.

i) A participant asked for guidance on how NCHE would accredit research centers in Universities. It was responded that, NCHE does not accredit research centers. participants were informed that UNCST was working on a policy to register research institutions, and UNCST was asked to do so for research centers too.

j) It was noted that there is a need to develop a research integrity policy and establish an office. It was responded to that a Research Integrity Policy was addressed as Research Ethics in the document. However, it was proposed that policy on research ethics should be rephrased to read as Research Integrity Policy.

k) It was proposed that developed document on minimum standards should start with important definitions for the readers to understand exactly what the standard are for.

l) Participants suggested that, Section 2.5 on Policy Framework for Institutional Research activities should be rephrased and not only provide for practices and procedures for the management of research, but also include how grants are managed and value for money audit. It was respondent to that; the section had addressed this concern.

m) Section 2.9 on Collaborations, it was observed that most times, the period of a Memorandum of Understanding (MoU) with institutions expires. Therefore, MoU should be part of the annual requirement under monitoring and evaluation of Institutions.

n) Participants observed that, the requirement of having two publications for staff per two years is low, we should have two per year.

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o) The participants asked for clarification on the capacity indicator of the number of staff holding higher degrees (Doctorates) to be 60%. Clarity was needed whether this is to be at Departmental, Faculty, School or Institutional level?
p) Section 2.8 on management of research grants should include a policy on research management.
q) On the Ethics committee, participants suggested that UNCST should be involved, and work together with NCHE to harmonize the Framework.

7.0 Way Forward (Mr. George Ebine- Senior Higher Education Officer)

a) Informed members that the draft document will be circulated to all the stakeholders for their input and their views would be reconciled and harmonised after two weeks.
b) A refined minimum standards document incorporating views of all stakeholders would be compiled and sent to Top Management and Council of NCHE for approval.
c) Then a final document would be produced and shared.

8.0 Closing Remarks (Mr. A. Muguzi-Director FPA)

In his remarks, he highlighted the following; -

a) Appreciated participants from UNCST, Makerere University, Makerere University Business School and NCHE staff for participation in the workshop.
b) Called upon participants to reflect on how they could make research relevant to their communities.
c) Noted that, the need to provide and regulate research was a timely venture.
d) He observed that research should inform National Development Agenda and be in line with International Agenda and Sustainable Development Goals (SDGs).
e) Informed participants that, there is a need for NCHE, UNCST, and other stakeholders to work in collaboration to promote quality and the volume of research in Institutions.
f) He finally declared the validation workshop on Research and Innovation Quality Assurance Framework officially closed.

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Signed by Rapporteurs:

1. Dr. Olive Lunyolo .....
2. Dr. Ovia Kyatuha Mwisaka .....

Appendices

Appendix I: List of Participants

Appendix II: Presentation of the Research Quality Assurance Framework

Appendix III: Presentation of Research Standards and Guidelines

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RESEARCH AND INNOVATION QUALITY ASSURANCE FRAMEWORK FOR UGANDAN UNIVERSITIES AND OTHER DEGREE-AWARDING INSTITUTIONS

Presentation by Cosmas Muhumuza
6th December, 2023
cmuhumuza@uncheor.ug

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Content

1. Background
2. Rationale
3. Roles and Responsibilities
4. Research Governance
5. Research Infrastructure
6. Research Policies and Planning
7. Research Funding
8. Research Misconduct
9. Research Supervision
10. Intellectual Property and Innovations
11. Monitoring and Evaluation
12. Research Capacity Indicators

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Rationale

- Auditor General's report: management of research grants in public Universities.
- Objective : To assess the adequacy of management of research in achieving grant management objectives.
- Recommendation:
  - ✓ NCHE to introduce a standard legal framework for evaluation of management of research activities at all universities including private universities.
  - ✓ The universities should then take the responsibility for mainstreaming the instituted framework into their management systems.
  - ✓ NCHE to undertake a comprehensive review of the research section of the Quality Assurance Framework to institutionalise mandatory research standards including;

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Mandatory standards on;

- Roles and responsibilities of the players and committees, i.e., staff, students, etc.
- Standardization of research processes, such as
  - ✓ Organization and resourcing of research
  - ✓ Research grants mobilization
  - ✓ Implementation of grant activities
  - ✓ Reporting
  - ✓ Monitoring and Evaluation
  - ✓ Grant closeout

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Mandatory standards cont...

- Policies and guidelines for proper coordination of research.
  - ✓ Research and innovation policy
  - ✓ Grants management policy/manual
  - ✓ Research ethics code to institute research ethical procedures
  - ✓ Research data management policy
  - ✓ Intellectual property and commercialization policy
  - ✓ Research communication policy

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Current Research component in the Q/A framework

- The percentage of the University budget is devoted to research publications and other forms of support, whether at policy levels, committees, staff development, or monitoring.
- The number of articles published in local and international journals of repute
- The number of research projects won and completed and funds earned from research projects by the institution and its staff.
- The number of books with an ISBN published by staff and.
- The number of patents registered by staff or the institution.

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Roles and Responsibilities

Institutions

- The universities shall be responsible for mainstreaming the instituted framework into their management systems.
- HEIs shall be centers of research and innovation, academic excellence, scholarship, knowledge generation, and publication.
- All Universities and Other Degree Awarding Institutions shall submit **annual Research and Innovation Reports** describing the research status of the institution
- The research report shall always be submitted in **October, November, and December** of the following financial year.

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- NCHE, as the regulator, shall be responsible for validating and auditing the effectiveness of the institutional research and innovation quality assurance standards.
- NCHE shall annually publish a report on the status of research and innovation in higher education in Uganda.

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Standards on Research Governance

- The institution shall possess a robust and formally constituted research governing body/directorate comprising independent members.
- The institution shall establish research governance structures.
- The institution shall take steps to develop and maintain an institutional environment that fosters research and innovation
- The institutions shall have an ethical research committee approved by UNCST.
- The institution shall have in place the following key documents such as Strategic Plan and Research and Innovation Agenda

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Facilities and Infrastructure

- Facilities, including facilities for educational and research purposes
- Secure access to electronic information and adequate electronic communication services
- The learning environment, whether physical, virtual, or blended, and associated learning activities support research conduction.
- Institutional Research Repository
- A well-equipped laboratory
- Computer labs

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21

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Research Funding

- Poor research funding and motivation for researchers impede the growth of research capabilities within Uganda.
- Allocating a portion of their annual budget from internally generated funds to support research activities of 10%.
- Institutions should mobilize financial resources through different avenues
- Have a research and Innovation fund.
- Have put in place a robust framework, including an enabling policy for the mobilization and management of research grants
- An institution shall put in place a grant management and implementation policy
- An institutional policy to manage research collaborations and partnerships.

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Research Human Capacity

- Qualified staff with the capacity to manage the research equipment, supervise, support, and mentor researchers, and participate in research conduction and publication.
- able to receive regular training, especially when they interface with new technologies for the first time.
- adequately supervised and regularly appraised.

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Research Involving Human Participants or Animals

- Institutions shall have a research ethical committee approved by UNCST
- Every research undertaking involving human participants, human material, or personal data shall be approved by a relevant research ethics committee, and the researchers shall abide by the conditions of approval as may be set by the Committee.
- Any research involving human participants, human material, or personal data shall comply with all legal and ethical requirements and the UNCST National Guidelines for Research involving Humans as Research Participants.
- Any animal research shall comply with all legal and ethical requirements, including UNCST National Guidelines for Use of Animals in Research and Teaching.
- Institutions and researchers shall ensure confidentiality and security of:
  - i) Personal data relating to human participants in research; and
  - Ii) Human material involved in research projects.

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Research Misconduct

- Institutions must ensure that research misconduct is seriously dealt with. These may include but are not limited to fabrication, plagiarism, falsification, and misrepresentation of data.
- The institutional initiatives put in place to investigate allegations of misconduct in research and the corrective/disciplinary measures for convicts of research misconduct.
- Institutional written mechanisms and a standard operating procedure for reporting complaints regarding research misconduct.
- Institutional developed guidelines that protect the rights of 'whistleblowers' during investigations by existing whistleblower regulations, policies, and guidelines.

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Student Grievances and Complaints

- Students have access to mechanisms capable of resolving grievances about any aspect of their research experience.
- Some policies and processes deliver timely resolution of formal complaints and appeals against academic and administrative decisions without charge or at reasonable cost to students, and these are applied consistently, fairly, and without reprisal.
- Institutional complaints handling and appeals processes for formal complaints include confidentiality, independent professional advice, advocacy, and other support for the complainant or appellant, and provision for review by an appropriate independent third party if internal processes fail to resolve a grievance.
- Decisions about formal complaints and appeals are recorded, and the student concerned is informed in writing of the outcome, the reasons, and of further avenues of appeal where they exist and where the student could benefit.

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Research Supervision

- Have a Supervision Policy.
- There is a shared understanding of the nature, roles, and goals of research such that the research undertaken is relevant and responsive to the needs for academic advancement and community development expectations.
- There is adequate academic integrity through establishing and using appropriate research committees and boards to ensure academic integrity.
- Supporting researchers, encouraging international publications, and facilitating research partnerships and inter/multi-disciplinary research projects.

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Online Supervision of Research

- Every institution intending to supervise research students online shall make readily available and easy-to-access electronic library resources, including databases, journals, and electronic books, for research students in their respective research areas.
- Every institution intending to engage in online supervision of research students shall implement an enabling policy for online supervision.
- There shall be an online portal for all institutional policies, guidelines, and other necessary resources relating to research. Students shall be guided appropriately on how to relocate such resources.
- Institutions shall have an electronic supervision system

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Intellectual Property and Innovations

- Every institution shall develop and implement clear policies on how intellectual property rights and copyrights
- Every institution shall establish an intellectual property and knowledge/technology transfer center/ or officer(s) to facilitate and guide on all matters relating to intellectual property rights.
- Any contracts or agreements relating to research outputs shall include equitable and fair provisions for the management of their use, ownership, and/or protection under intellectual property rights.
- Guidelines for universities and other research institutions to improve their links with industry Mechanism for engaging in partnerships with universities to allow private partners to leverage government funding and reduce the cost of their research and development (R&D).

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Monitoring and Evaluation

- The institutions should have proper mechanisms to monitor and evaluate the following internal processes effectively.
- tracks the actual performance or situation against what was planned or expected according to pre-determined targets,
- highlights the strengths and weaknesses in project implementation, enabling managers to deal with the problems, find solutions, and adapt to changing circumstances to improve the project performance,
- Provides an "early warning system," which allows for timely and appropriate intervention if a project is not in line with the initial plan, ensures adequate risk assessment, and establishes timely prevention and/or mitigation measures.
- The institution shall have a monitoring and evaluation framework.

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END

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NCHE Minimum Standards For Management of Research

By Rev. Dr. Cyrus S. Ssebugenyi-PhD
Head, Standards, Recognition and Equation of Qualifications

6th December, 2023

Goals of a University

- The 1992 WP defines goals of the university as
  - teaching and learning
  - research and
  - community engagement.
- UOTIA defines "University" as any Institution, School, Institute or centre of Higher Education, other than a Tertiary Institution, one of the objects of which is the provision of post-secondary education offering courses of study leading to the award of certificates, diplomas and degrees and conducting research and publish.

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NCHE's Legal Mandate

- "The National Council shall, by regulations set institutional standards governing the performance, operations and general conduct of Universities and Tertiary Institutions." Sec. 123
- The National Council may set any provision it considers necessary for setting a good standard in the Universities or Tertiary Institutions,

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Research Management Frameworks

- Research management and administration require a higher education institution to put in place frameworks through which research is conducted in order to optimize research outputs that are meaningful to societal needs.
- Appropriate and adequate research management mechanisms are needed throughout all phases of the research process including planning a research project, writing the research proposal, conducting the research, monitoring, evaluation, writing the final report and/or publication, soliciting funding and grants as well as prudent and meticulous use of financial, physical and intellectual resources.

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Research Standards

- The National Council for Higher Education has developed standards and guidelines on Research Management in universities and other degree awarding institutions. These standards cover the following aspects

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Research Standards

1. Governance and management structures to oversee institutional research activities.
2. Essential infrastructure, human and other resources for implementation of research activities.
3. Strategic planning for research
4. Policy framework for institutional research activities
5. Authorship, Publication, and Dissemination of Research Findings
6. Online supervision of research
7. Funding mechanisms for research
8. Management of research grants
9. Management of Research Materials
10. Research collaborations and partnerships
11. Involving human participants or animals in research
12. Health and Safety Issues in Research

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Research Standards

1. Research misconduct
2. Research information management systems
3. Research Training, Supervision and Mentorship
4. Management of Research Materials
5. Managing Conflicts of Interest in Research Management
6. Research Data Management
7. Intellectual Property Rights
8. Multidisciplinary Research
9. Undergraduate Research
10. Management of Scholarly Journals
11. Management of Research Institutes/Centres
12. Gender-Equity Considerations for Research
13. Monitoring and Evaluation Framework for Research

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Checklist for Research Management

S/N	ASPECT	EXPECTATION/IDEAL
1	Governance and management structures of research	Available and operational
2	Infrastructure: research innovation office, grants office, research office, research labs, resource centres	Available, functional and adequately resourced
3	Research strategy	Available and followed
4	Research policies including research funding mobilisation policy	Available and functional
5	Ethical review committees with clear mandates	-do-
6	Research committees at various levels	Available and functional
7	Availability of institutional research fund	10% of institutional annual budget research activities
8	Publications made by staff annually	One publication per PhD

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Checklist for Research Management

S/N	ASPECT	EXPECTATION/IDEAL
9	Number of grants won by institution	One grant per faculty per year
10	Number of staff holding higher degrees (doctorates)	At least 60%
11	Number of research programmes run by the institution	At least one Masters and one PhD programme per institution
12	Staff development capacity for esearch higher degrees	Staff develoment policy in place
13	Number of Research partnerships and collaborations	At least one per department/faculty per year
14	Availability in functional research centres	Available and functional
15	Monitoring and evaluation framework	-do-
16	Existance of code of practice for research	-do-

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M&E Framework for Research

- Monitoring and Evaluation (M&E) are integral and inherent processes that are needed to measure any intervention.
- M&E ensures the effective and efficient implementation of planned interventions.
- Institutions should put in place robust M&E frameworks in order to monitor, evaluate and guide research undertaking at any degree awarding institution.

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END





THANK YOU

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VALIDATION WORKSHOP ON THE RESEARCH AND INNOVATION QUALITY ASSURANCE FRAMEWORK

VENUE: NCHE CONFERENCE ROOM **DATE: 06TH DECEMBER 2023**

ATTENDANCE LIST

S/NO.	NAME	INSTITUTION	CONTACT	EMAIL	SIGNATUR
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VALIDATION WORKSHOP ON THE RESEARCH AND INNOVATION QUALITY ASSURANCE FRAMEWORK

VENUE: NCHE CONFERENCE ROOM **DATE: 06TH DECEMBER 2023**

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