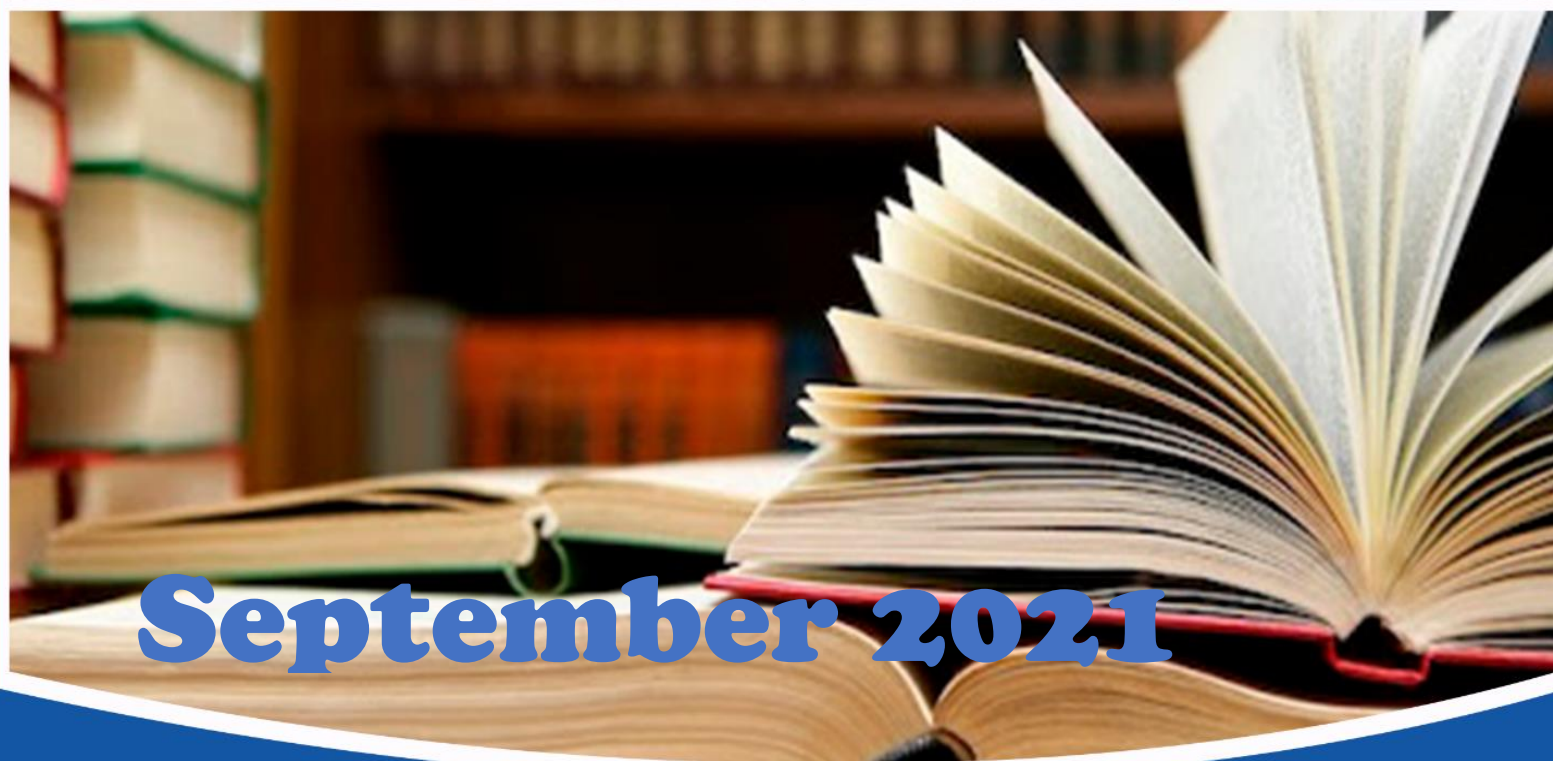




# **RESEARCH AND INNOVATIONS STRATEGIC PLAN 2020/21 - 2024/25**

## **Directorate of Research and Publications**



**September 2021**



### FOREWORD

Kabale University (KAB) is a young public University in Uganda and is committed to becoming a leading centre for research. The university will achieve this aspiration by building a resilient and sustainable research and innovation culture by promoting multidisciplinary research and innovation (RISP) that addresses and solves national and global challenges. The Research and Innovations Strategic Plan (RISP) 2020/21-2024/25 outlines KAB's direction for achieving the University's strategic objectives 4 and 5 that aim *to produce Knowledgeable and skilled graduates with a strong emphasis on STEM/STEI; and to strengthen research, innovation, and publications capacity of KAB*. The goal of the RISP is "To increase the Number and Impact of RISP at KAB as a means of demonstrating its relevance to society". This goal is consistent with the theme of the University's Strategic Plan 2020/21-2024/25 of "Building on the Successes and Addressing the Weaknesses to Grow a Robust Public University in Uganda".

The RISP will focus on addressing the challenges KAB faces in conducting impactful research and innovation over the next five years to become a world-class centre for RISP. The plan shall focus on three core areas:

- a) Commitment to develop a resilient and sustainable research culture at KAB by building and supporting academics and students in conducting high quality, impactful and transformative RISP. In doing so the RISP will promote research training and mentorship of staff and graduate students, promote building research capacity in academic units, and promote research partnerships and collaborations. This will inevitably increase the quantity and quality of RISP output of the University.
- b) Implementing successful and sustainable RISP activities requires a lot of financial resources. As indicated in the situation analysis, inadequate financial resources play a key role in the low RISP output at KAB. In the 2021-2025 strategic plan period, resource mobilization for RISP is a top priority of the RISP. In this regard, the RISP will build capacity for and promote resource mobilization through grant writing.
- c) Building a sustainable RISP capacity requires a strong linkage with end-users of RISP products. The users are government agencies, non-governmental organizations (NGOs), community based organizations (CBOs), industry, and businesses. The RISP, through faculties, will promote the establishment of RISP, and promote partnerships and collaborations. Additionally, the RISP will



facilitate RISP partnerships and collaborations with other universities and research organizations in Uganda and abroad to increase the visibility of RISP activities at KAB.

Over the next five years, Research and Publications at Kabale University will focus on implementing the University's research agenda. Through the research agenda, Kabale University will aim to contribute to local, national as well as international development agendas to demonstrate the relevance of the University to society. The plan has six strategic objectives:

- Strengthen and streamline the governance of research and innovations at KAB;
- Build and retain a highly effective research workforce and culture;
- Identify and mobilize funds for research and innovation activities;
- Increase the quantity and impact of research and innovation;
- Build resilient, sustainable, and productive research collaborations;
- Create an enabling environment for research and innovations.

Prof. Natal Ayiga

Director Research and Publications





## **ABBREVIATIONS**

AU	African Union
BBP	Biotechnology Biosafety Policy
DGT	Directorate of Graduate Training
DRP	Directorate of Research and Publications
DRPC	Departmental Research Publication Committee
DVCAA	Deputy Vice Chancellor Academic Affairs
EAC	East African Community
ESSP	Education Sector Strategic Plan
FANR	Faculty of Agriculture and Natural Resources
FASS	Faculty of Arts and Social Sciences
FEMS	Faculty of Education and Management Sciences
FETAFA	Faculty of Engineering Technology Applied Design and Fine Art
FOE	Faculty of Education
FOS	Faculty of Science
FRPC	Faculty Research Publication Committee
HEI	Higher Education Institutions
ICT	Information Computer Technology
ILS	Institute of Language Studies
KAB	Kabale University
KABDIR	Kabale University Digital Institutional Repository
KABREC	Kabale University Research Ethics Committee
KABRISP	Kabale University Research and Innovations Strategic Plan
KABSOM	Kabale University School of Medicine
M&E	Monitoring and Evaluation
NARO	National Agricultural Research Organization
NCHE	National Council of Higher Education
NDP	National Development Plan
NTC	National Teachers College
RD	Research and Development
REC	Research Ethics Committee



RI	Research and Innovation
RPAB	Research Publication Advisory Board
RISP	Research Publication Strategic Plan
RP	Research and Publications
RRCPG	Research Registration Clearance Policy and Guidelines
SDG	Sustainable Development Goal
SME	Small and Medium Enterprise
SO	Strategic Objective
STEM	Science Technology Engineering Mathematics
SWOT	Strength Weaknesses Opportunity Threat
UGX	Uganda Shillings
UOTIA	Universities and Other Tertiary Institutions Act
USA	United States of America
USD	United States Dollars





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## CHAPTER ONE: INTRODUCTION

### 1.1. Background

Research and Innovation (RISP) contribute to the quality of higher education and the relevance of Higher Education Institutions (HEIs) to society by creating and disseminating knowledge and innovations. RISP contributes to the creation of knowledge needed for effective and up-to-date teaching and learning; contributes to national and international development by sharing research information and expertise of academics in solving societal problems; and, contributes in a substantial way to the ranking of HEIs, which enhances their academic standing. Therefore, strengthening the RISP capacity of Kabale University (KAB) is critical for the growth and competitiveness of the University nationally, regionally, and globally.



KAB has developed a Research Agenda that addresses national, regional, and global development issues to provide a roadmap for RISP activities for the 2021-2025 KAB strategic plan period. The broad thematic areas of the research agenda are:

- a. Crop and livestock production, diversification, post-harvest management, value addition for sustainable and profitable agriculture sector;
- b. Natural resources management and mitigation of environmental degradation, climate change, and their impacts;



- c. Community social transformation, social protection, governance, land administration, and human rights;
- d. Indigenous Knowledge Systems (IKS), management, and preservation;
- e. Innovation in ICT products and information systems, applications, and penetration;
- f. Private Sector Development (PSD) with a focus on Small and Medium Enterprises (SMEs);
- g. Tourism development and sustainability;
- h. Access, inclusion, equality, quality, and relevance of education;
- i. Energy and environment, transformative digital technologies, materials development, and creative design and fine art;
- j. Translation and creative writing and publishing in African and Foreign languages;
- k. Literary theory, linguistic theory and its application to African and Foreign languages;
- l. Population health with a focus on the prevention of communicable and zoonotic diseases, Non-Communicable Diseases (NCDs), degenerative diseases, Maternal and Child Health (MCH), and Sexual and Reproductive Health (SRH);
- m. Biological Science Research (BSR) with a focus on the utilization and conservation of natural resources through research directed to health, environment, food, and industrialization;
- n. Physical Sciences Research (PSR) with a focus on modelling physical, biological, and economic processes with applications to agriculture, space science, medicine, and the transport industry.

The research agenda will be operationalized through RISP activities, sharing research findings through community engagement activities and publications. Through these activities, KAB can contribute towards achieving Uganda's national development agenda as espoused in Vision 2040, the East African Community (EAC) vision 2050, the African Union (AU) vision 2063 and the Sustainable Development Goals (SDGs) 2030.

The aim of the KAB Research and Publication Strategic Plan (RISP) is to provide a framework for achieving the KAB strategic objectives for the 2021-2025 period effectively and efficiently. Two of the KAB strategic objectives directly linked to RISP are: i) to produce knowledgeable and skilled graduates with a strong emphasis on STEM/STEI; and ii) to strengthen the research, innovation, and publications capacity of KAB. Additionally, the RISP will guide the implementation of the University research agenda. To achieve the KAB strategic objectives and the research agenda, the KAB RISP shall:



- a. Strengthen and Streamline the Governance of Research, Innovation, and Publication Activities and Outputs.
- b. Develop a Highly Efficient and Effective Research Workforce and Culture.
- c. Increase Funding and Identify and Mobilize Funds for Research and Innovation Activities.
- d. Increase the Quantity and Impact of Research by KAB Staff.
- e. Establish and Strengthen Collaborative Engagement in Research at National and International Levels.
- f. Advocate for the Provision of World-class Research Infrastructure and Facilities.

### 1.2. Mandate of the Directorate of Research and Publications

The DRP is governed by the Research and Publication Policy (RPP). The policy has outlined the mandate and the governance of the DRP. The Head of the DRP is a Director. In the administration of the DRP, the Director is assisted by the Research and Publications Advisory Board (RPAB). The RPAB is a committee of the University Senate, and its function is to assist and advise the Director of DRP and KAB Senate on the development, implementation, and review of the RPP and the RISP. To ensure efficiency in the administration and management of research activities at KAB, the DRP works with the Faculty Research and Publication Committee (FRPC) and the Departmental Research and Publication Committees (DRPC). The organogram in Figure 1 illustrates the governing structure of the DRP.



*Figure 1: Governance structure of the Directorate of Research and Publication*



### 1.3. Legal and Institutional Framework for Research

#### 1.3.1 National

In developing the strategic plan, the DRP was guided by national, regional, and international legal and policy frameworks. Key national legal and policy frameworks include Uganda Vision 2040 and NDP III; the Universities and Other Tertiary Institutions Act (UoTIA), 2001 as amended; the Education and Sports Sector Strategic Plan; the Research Registration and Clearance Policy and Guidelines; the National Guidelines for Research involving Humans as Research Participants; the National Biotechnology and Biosafety Policy; and the Equal Opportunities Policy.

Uganda Vision 2040 aims to have “A transformed Ugandan society from a peasant to a modern and prosperous country within 30 years”. The transformation involves changing Uganda from a predominantly low income to a competitive upper middle-income country within 30 years. The plan is for Uganda to graduate to the middle-income status by 2025 and reach a per capita of USD 9,500 by 2040. Achieving the goal of Vision 2040 is now being implemented through the National Development Plan III (NDP III).



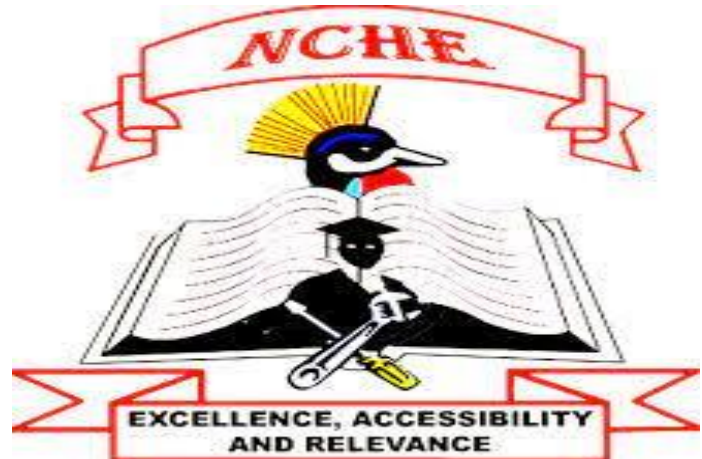
The NDP III is a programme-based development framework with the overall theme of *Sustainable Industrialization for inclusive growth, employment, and sustainable wealth creation*. The goal of NDP III is to “increase household incomes and improve the quality of life of Ugandans”. Research at higher education levels falls under programme 12 that focuses on Human Capital Development (HCD). The goal of the HCD programme is to improve the productivity of labour for increased competitiveness and better quality of life for all. The higher education objective of HCD is “to produce appropriate, knowledgeable, skilled, and ethical labour force (with a strong emphasis on science and technology, TVET and sports).<sup>1</sup> The KAB RISIP will contribute to the attainment of NDPIII programme 12 through the effective and efficient implementation of the KAB research agenda.

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<sup>1</sup> The Parliament of Uganda. (2001). The Universities and other Tertiary Institutions Act (UoTIA), 2001 Amended. Kampala: Parliamentary Commission.



The Universities and Other Tertiary Institutions Act (UOTIA) is the legal framework for the governance of universities in Uganda. The Act regulates the establishment, governance, and management of Universities and Tertiary Institutions in Uganda.<sup>2</sup> Under the UOTIA, the National Council for Higher Education (NCHE) is the regulator of HEIs. Research is one of the three functions of universities that fall under the governance and management structures established under the Act.



The Research Registration and Clearance Policy and Guidelines (RRCPG) is the overarching policy for RISP activities in Uganda. The overall objective of the RRCPG is to document R&D activities in all sectors to enable research coordination and oversight, research priority setting, the protection of intellectual property, and the use of research results to guide public policy. The policy applies to all research activities undertaken in



health, agriculture and environmental sciences, physical and biological sciences, humanities and social sciences, industrial and engineering sciences, and information sciences. It also applies to all individuals researching in Uganda, and research and academic institutions, government ministries, departments and agencies, private companies/enterprises, non-governmental and intergovernmental organizations, international agencies, and community-based organizations.

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<sup>2</sup>The Parliament of Uganda. (2001). The Universities and other Tertiary Institutions Act (UoTIA), 2001 as Amended. Kampala: Parliamentary Commission.

National Guidelines for Research involving Humans as Research Participants (NGRHRP) aimed to establish a coherent regulatory framework for research involving humans without compromising their rights and welfare. The guidelines provide mechanisms for protecting the rights and wellbeing of research participants, ethical standards and procedures for research involving humans as research participants, and that researchers recognize the social and cultural values of participating communities. The scope of the guidelines includes all research involving humans as research participants in Uganda, including research in humanities and social sciences, biomedical science, and traditional and complementary medicine; research conducted in or by public, private, inter-governmental, and non-governmental organizations, and by individuals or groups; research in a foreign country on human materials collected from Uganda.<sup>3</sup>



The National Biotechnology and Biosafety Policy aims to contribute to the national goals of poverty eradication, improved healthcare, food security, industrialization, and the protection of the environment through the safe application of biotechnology.<sup>4</sup> The specific objectives of the policy are to build and strengthen national capacity in biotechnology research, development, and application; to promote the utilization of biotechnology products and processes as tools for national development;



<sup>3</sup> Uganda National Council for Science and Technology. (2014). National Guidelines for Research involving Humans as Research Participants. Kampala: Ministry of Science Technology and Innovation.

<sup>4</sup>Ibid



to provide a regulatory and institutional framework for safe and sustainable biotechnology development and applications, and to promote ethical standards in biotechnology research and development.

Equal opportunities deal with issues and concerns of marginalization, discrimination, injustice, exclusion, unfairness, and inequality in access to resources, services, and benefits. These individuals and groups are protected under the Equal Opportunity Act. In the KAB research agenda, individuals and groups considered by the Act constitute part of cross-cutting concerns. The goal of the Equal Opportunity Act is to provide avenues for individuals and group potentials to be put to maximum use through equal opportunities and affirmative action.<sup>5</sup> Research at Kabale University shall promote the involvement of persons considered for protection under the Act. These individuals and groups shall include the elderly, persons with disabilities, women, and marginalized ethnic and other population groups.

### 1.3.2 *International frameworks*

Three international development frameworks used in the RISP are the EAC Vision 2050, the AU vision 2063, and the SDGs 2030. The Vision of the EAC is to attain a prosperous, competitive, secure, and politically united East Africa. The broad objective of the vision in Article 5 (1) is to develop policies and programmes aimed at widening and deepening cooperation among the Partner States in political, social, and cultural fields; research and technology; defense; security; and legal and judicial affairs. Article 5(3) of the Treaty stipulates that the Community shall ensure the



attainment of sustainable growth and development of the Partner States; strengthening and consolidation of cooperation in agreed fields; promotion of sustainable utilization of natural resource base in the region; strengthening and consolidation of the long-standing political, economic, social, cultural and traditional

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<sup>5</sup> Ministry of Labour, Gender and Social Development. (2006). Equal Opportunity Policy. Kampala: Ministry of Labour, Gender and Social Development.



ties; promotion of people-centred mutual development; promotion of peace, security and stability; and enhancement and strengthening of partnerships with the private sector and civil society, and mainstreaming of gender in all its endeavours<sup>6</sup>, among others.

The Vision of the African Union (AU) is building an integrated, prosperous, and peaceful Africa, an Africa driven and managed by its citizens and representing a dynamic force in the international arena. Based on this vision, a set of aspirations emerged as to what Africans desire to be on the centenary of the Organization of African Union (OAU), the predecessor of AU. These aspirations are a prosperous Africa based on inclusive growth and sustainable development; an integrated Continent,



politically united, based on the ideals of Pan Africanism; an Africa of good governance, respect for human rights, justice, and the Rule of Law; a peaceful and secure Africa; an Africa with a strong cultural identity, values, and ethics; an Africa whose development is people-driven, relying on the potentials offered by its women and youth; and Africa as a strong, resilient and influential global player.<sup>7</sup>

The goal of the SDGs is a better and more sustainable future for all of the world's citizens. RISPP is at the core of the 17 interdependent SDGs that address the global challenges of humanity, including those related to poverty, inequality, promote wellbeing for all, and achieve quality education, gender equality, climate change, environmental degradation, and peace and justice. Specifically, the SDGs are focused on: ending poverty in all its forms everywhere; eradicating hunger; ensuring healthy lives and wellbeing for all at all ages; achieving the quality of education; achieving gender equality and empowerment; having access to clean water and sanitation; having access to affordable and clean energy; creating decent work and achieving economic growth; investing in industry, innovation, and infrastructure; reducing inequality and

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<sup>6</sup>East African Community Secretariat. (2015). East African Community vision 2050: Regional Vision for Socio-economic Transformation and Development. Arusha: East African Community Secretariat.

<sup>7</sup> African Union Commission. (2014). African Union Vision 2063: The Africa We Want. Addis-Ababa: African Union Commission.



living in sustainable cities and communities; promoting responsible consumption and production; combating climate change and its impacts; conserving and sustainably using the oceans, seas and marine resources; sustainably managing forests, combating desertification, halting and reversing land degradation and biodiversity loss; improving life on land, promoting peace, justice and strong institutions; and achieving global partnerships for development.<sup>8</sup>

### 1.4 Linkage of the Research and Innovation Strategic Plan with University Strategic Plan



Research and teaching are integral and mutually reinforcing components of the mandate of HEIs. Through the dissemination of knowledge generated through research, research activities contribute significantly to enhancing teaching and learning. In this regard, the strategic plan responds to the KAB Strategic Plan by contributing to achieving strategic objectives 4 and 5. The aim of strategic objective 4 is to produce Knowledgeable and skilled graduates with a strong emphasis on STEM/STEI; and strategic objective 5 aims to strengthen the research, innovation, and publications capacity of KAB.

#### 1.4.1 Kabale University Philosophy

Kabale University was established in 2002 as a private Community University. On 29 September 2014, the University was granted a Charter by the National Council for Higher Education (NCHE). The Charter was assented to by His Excellency the President of the Republic of Uganda on 25 October 2015. On 16 July 2016, KAB became a Public University in Uganda under Statutory instrument no. 36. The University is governed by the Universities and Other Tertiary Institutions Act 2001 (as amended). At its adoption as a public University, the mandate of KAB was to be a STEM/STEI-led University. This mandate calls for more emphasis on Science, Technology, Engineering, and Mathematics (STEM) research and

<sup>8</sup> United Nations. (2017). The Sustainable Development Goals. New York: United Nations Development Programme.





development (RD). However, because the Humanities and Social Sciences (HSS) programmes are complementary to STEM/STEI research, the University will continue to encourage and support research in these fields. The philosophy of KAB is articulated through the vision, mission and core values of the University as outlined below:

### *Vision*

A sustainable vibrant University of academic excellence in the Great Lakes Region and beyond

### *Mission*

To be an efficient and effective University that excels in teaching, learning, research, innovation and community engagement

### *Goal*

Produce marketable and quality graduates that provide relevant professional services to the society

### *Motto*

The motto of the University is 'Knowledge is the future'.

### *Core values*

The core values that define KAB are:

- a) Excellence: Excellence commits us to challenge ourselves to utilize our God-given gifts: intellectual, social, physical, spiritual and ethical.
- b) Integrity: The University is committed to ethical and responsible behaviour in our own actions and to developing the same commitment in our students, thus fostering individuals who will have the skills, knowledge, and ability to engage positively with a diverse and changing world.
- c) Diversity: The University is dedicated to attracting and supporting a diverse student, faculty and staff population and enhanced multicultural learning opportunities.
- d) Lifelong learning: We are driven by a need for continuous need and believe for being a learning organization where our students and staff cherish lifelong learning.
- e) Academic freedom: The University believes that students and faculties should engage in professional development and scholarly endeavours that promote the creation and application of knowledge in all disciplines.



- f) Collegiality: The University believes in processes of shared decision making based on productive synergistic interactions among our students, faculty, and staff, and disciplines in the pursuit of institutional goals.
- g) Community support: The University values and respects as the greatest asset the people who make up our community.

## CHAPTER TWO: SITUATION ANALYSIS



### 2.0 Introduction

The theme of Uganda's NDP III is *Sustainable Industrialization for inclusive growth, employment, and sustainable wealth creation*. The goal is *to increase household incomes and improve the quality of life of Ugandans* by eradicating poverty. To achieve this goal, in the past, Uganda implemented a number of programmes to increase household incomes and create wealth in a sustainable way. These programmes included Entandikwa, NAADs, Bonabagagawale and Emyoga. In the NDP III, the Parish Model has been adopted as the strategy for poverty eradication. KAB is one of the many institutions in Uganda whose mandate is to conduct research that will inform the implementation of the 18 programmes of the plan. The University also recognizes the importance of research in its development as well as that of Uganda and is committed to enhancing the quantity and quality of research to achieve these aspirations.

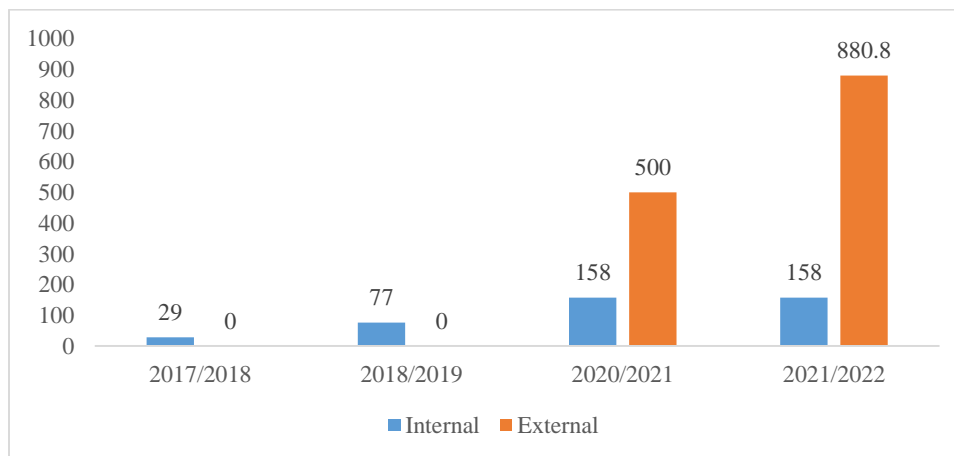
KAB's contribution in eradicating poverty lies in implementing programme 12 of the NDP III through teaching, research, and community engagement for poverty eradication. Since becoming a public University in 2016, KAB has made progress in fulfilling its mandate to the nation but has also faced challenges. The theme of the KAB 2021-2025 strategic plan is *Building on the Successes and addressing the Weaknesses to grow a robust Public University in Uganda*. To provide a context for the RISP 2020-2021, some of the successes made and the challenges encountered are discussed. The lessons learned in the previous years on RISP shall inform the direction of the University in RISP activities in the next five years.

### 2.1 Research funding

Until 2020, the research budget at KAB depended on the internal grants of the University. Trends in the research budget presented in Figure 2 show that the budget increased from 29 million in the 2017/2018



academic year to 77 million in 2018/2019 and 158 million in 2019/2020. Internal resource allocation for research for 2020/2021 and 2021/2022 has not increased from the 2019/2020 level. The small budget impeded the implementation of some of the RISP activities. The activities affected were faculty-based research capacity building training and funding of high-impact research projects. However, starting in the 2019-2020 financial year, academics at KAB started receiving external grants that will reshape the RISP landscape at KAB.



*Figure 2: Trends in research funds in UGX 'millions'*

## 2.2 Number of research projects funded by internal grants

Although KAB rolled out the internal research funding scheme in 2017, the University has not enhanced the budgetary allocation for Research and Innovations (RISP) substantially. The low resource envelope has hampered the rate of growth in RISP activities at KAB. Figure 3 presents the trend in the number of research projects funded from internal grants. The figure shows that the number of research projects funded by the University was 7 in 2017/2018, 6 in 2018/2019, 12 in 2019/2020, and 10 in 2020/2021. Figure 3 presents the distribution of the number of research projects supported by the University over the 2016-2020 period.

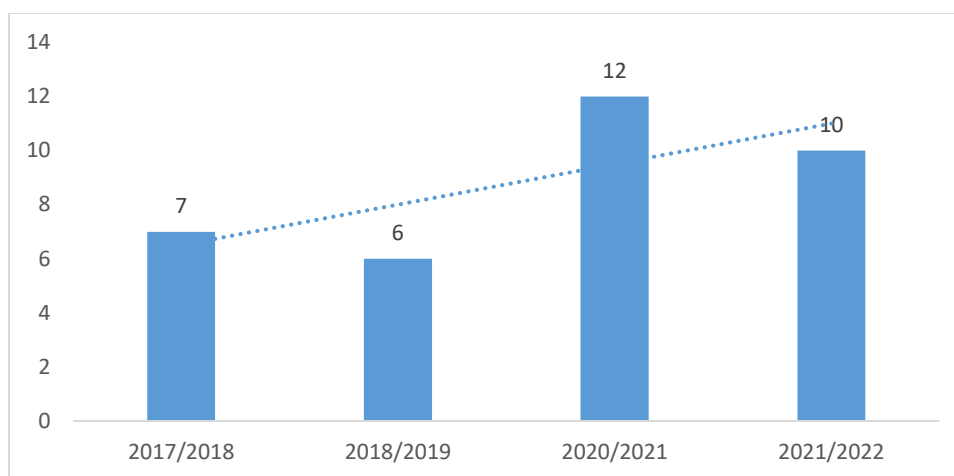


Figure 3: Trend in the number of internally funded research projects

### 2.3 Number of research projects funded by external grants

The performance of KAB in attracting research grants is still low. As a result, the academics at KAB cannot conduct cutting-edge research in the usually expensive STEM fields. However, since 2019, the number of applications for research and project grants has increased. Table 1 presents the number of grants received by academics at KAB. This achievement demonstrates that the staff at Kabale University can win competitive grants. In the five years of this plan, emphasis will be on building the capacity of staff at the University to attract research and project grants.

SN	Title of project	Amount USD/Euro/CAN- dollar	Grant maker	Project leader
1	Improving the Knowledge and Understanding of Youths in 4 districts of Kigezi region	USD 30,000.00	African Union Secretariat	Mr. Sanni Adebayo
2	Accountability Mechanisms, Practices and Challenges for RMNCAH Services in Uganda's Health Sector	USD 98,000.00	World Bank/Ministry of Health	Dr. Nathan Nshakira
3	Multi-nutrition Digital Assistant Project	USD 35,000.00	Ministry of Science Technology & Innovation	Dr. Businge Phelix Mbabazi



4	Create Center of Competence in Digital Education	Euro 45,000.00	Ecole Polytechnique Federale De Lausanne	Prof. Benon Basheka
5	A blended Solution to Advance Gender Equality in Education in Uganda.	Canad 172,000.00	Fund for Innovation and Transformation, Canada	Dr. Francis Adyanaga Akena

*Table 1: External research grants awarded to staff at Kabale University*

## 2.4 Research outputs

Research output in the form of peer-reviewed publications, participation in local and international exhibitions and conferences, and graduate research dissertations/theses are indicators of research and innovations in University. Overall, the output of research and innovations at KAB in all the above forms is low.

### 2.4.1 Peer-reviewed Publications

Table 2 presents the trend in peer-reviewed publications in journals and book chapters. The Table shows an upward trend in the number of published articles. However, despite the positive trend, the annual number of publications is still low. The disaggregated data shows that FEMS and KABSOM are the leaders in the publication output at KAB while the FETADFA and ILS have trailed behind other academic units. In the 2021-2025 strategic plan period, emphasis will be on building the capacity of academic staff at all levels to increase their publication outputs. By 2025, every academic staff shall publish two articles annually.





**Table 2: Trend in the number of publications by faculty**

Faculty/Institute/School	2017/2018	2018/2019	2019/2020	2020/2021	Total
Agriculture and Environmental Science	-	-	0	7	7
Arts & Social Sciences	5	21	2	5	33
Economics & Management Sciences	-	-	18	18	36
Engineering Technology Applied Design Fine Art	0	0	2	2	4
Computer & Library Sciences	2	6	1	2	11
Education	0	8	11	7	26
Language Studies	0	0	1	4	5
Science	1	9	1	7	18
School of Medicine	1	11	10	17	39
Total	9	55	44	69	177

## 2.4.2 Exhibitions

Annually, KAB organizes an Open Day at the University. The purpose of the Open Day is to showcase to the public and other stakeholders the role of the University and its relevance to the community. During the Open Day, students and staff in all faculties exhibit their innovations and programmes to the public. The students and staff at the FETADFA have participated in national exhibitions annually. These included exhibitions organized by the NCHE and the Inter-University Council of East Africa (IUCEA). Mr. Godfrey Sejabi of FETADFA exhibited his fine art pieces at an international exhibition in Beijing, China, in 2019.



### **2.4.3 Conference Activities**

Participation in conferences is an area of concern at KAB. This is mainly because there have been no funds to support most staff whose articles were accepted for presentation in national and international conferences. In the 2019/2020 period, six staff members were supported by the University to attend international conferences. At least another 10 staff members attended local and international conferences, on a self-sponsorship basis.



The university organized one international conference in the 2019/2020 academic year. The Conference was scheduled to take place at Kabale University Main Campus at Kikungiri Hill. The conference theme was “Leadership, Governance and Social Economic Transformation: Advancing Knowledge for Social Transformation in a Dynamic Global World”. A total number of 127 abstracts and 50 papers were received and reviewed. Additionally, 59 individuals registered on the conference website to attend the conference. However, due to the outbreak of Covid-19, the conference did not take place. The DRP, in collaboration with academic units and University management, shall strive to support staff to attend local and international conferences.

### **2.4.4 Graduate Student Research and Publications**

Graduate students make a significant contribution to the research output of universities through research dissertations/theses and publications. In the strategic period under review, 198 graduate students completed their programmes and graduated with Master’s degrees in various disciplines. However, the number of graduate students publishing their research output is low. Under this strategic plan, emphasis



will be on improving the quality of postgraduate students' research and their publications. Table 3 presents the trend in completed postgraduate research dissertations for 2016-2021.



**Table 3: Trend in the number of publications by faculty**

Faculty/Institute/School	2017/2018	2018/2019	2019/2020	2020/2021	Total
Arts & Social Sciences	59	27	15	21	134
Economics & Management Sciences	-	-	-	15	15
Education	15	3	11	14	43
School of Medicine	-	-	2	4	06
Total	74	30	28	50	198

### 2.4.5 Kabale University Research Ethics Committee

The Research Ethics Committee (REC) is an independent research body administered by guidelines provided by the Uganda National Council of Science and Technology (UNCST). It is the UNCST that approves and accredits all RECs in Uganda. Having an accredited REC is important as it enhances the credibility of research processes at universities.





The initial application for the accreditation of the Kabale University Research Ethics Committee (KABREC) was submitted to the Uganda National Council of Science and Technology (UNCST) in February 2021. The UNCST responded to the application in May 2021 and provided further guidance on improving the SOPs, addition of new SOPs, and obtaining the record of previous research projects at KAB and the RECs that approved them. Addressing the comments and recommendations and developing new the new SOPs has been done. The application for the accreditation of KABREC will be re-submitted for consideration by UNCST in November 2021.

## 2.4.6Resources for Research and Innovation Development

A vital component for world-class research is the availability and quality of research staff and infrastructure. Addressing complex research problems requires a resilient research culture; motivated, highly trained, and experienced human resources; adequate infrastructure, the right set of facilities and equipment; and a fully functional research management system.

### 2.4.6.1 Research Culture

Research is a core business of a university. KAB's overall research output has been affected by the lack of a resilient and motivating research culture. Although the research and publication outputs at the university have improved since becoming a public university, the research environment at the university has not changed much. In this regard, under this strategic plan, emphasis shall be on the distribution of workload, promoting research performance. The university may provide facilities for conducting cutting



#### 2.4.6.2 Human Resources for Research

Research productivity depends on the productivity of the academic staff. In this regard, the recruitment and development of the capacity of academics for RISP are critical. KAB continues to register

improvements in the level of training of academic staff. The proportion of academic staff at KAB having PhDs is now at 30%. The number of postgraduate programmes where research is a significant component is now 10. However, the challenge KAB faces is the retention of the highly qualified and productive



academics it has. Attracting and retaining quality academic staff is one of the objectives of the University's Strategic Plan 2021-2025.

#### **2.4.6.3 Funding of Research projects**

Research activities are expensive. Researchers and administrators need money to conduct cutting-edge and quality research, publish in peer-reviewed journals, and attend conferences locally and internationally to disseminate their research results. Participating in research conferences is one of the main ways of building collaborations with peers. However, financial constraint at Kabale has



impeded the attendance of research conferences. The inadequacy of financial resources has reduced the number and quality of research conducted at KAB. Inadequate finance has also negatively affected the availability of infrastructure, equipment, and up-to-date research software, especially for research in

STEM disciplines. In the proposed 2021-2025 research strategic plan, one of the strategic objectives is resource mobilization for RISP.

#### **2.4.6.4 Research Infrastructure**

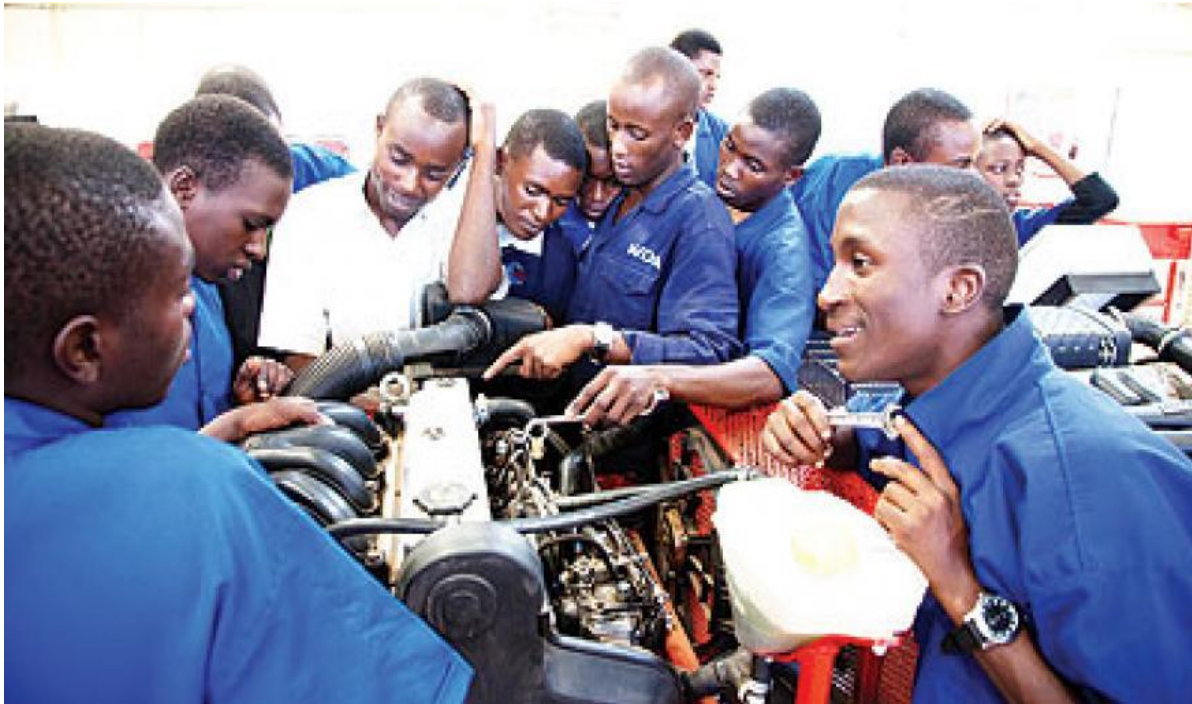
Research infrastructure is often thought of as assets such as laboratories and equipment. However, this is an understatement of research infrastructure; and the following e-resources, ICT resources, chemicals and reagents, and different types of computer software -- should all be considered as vital components of research infrastructure. The assessment of the situation of research infrastructure at Kabale University over the review period suggests that the infrastructure is very inadequate and is characterized by: insufficient space for staff; lack of computing facilities which are essential for research; where computing facilities are provided by individuals, they lack the requisite software needed for their research; inadequate laboratories and lack of equipment and reagents for analysis of specimens; and, inadequate, inefficient and inconsistent supply of ICT services. In the 2020/2025 research strategic period, the above infrastructure challenges need to be addressed in order to move research and publication activities at Kabale University to new heights.



#### **2.4.6.5 Collaboration for Research and Innovation**

Kabale University has established a few collaborations with other universities and research institutions. These include: Upstate University in USA, University of Johannesburg-South Africa, Mzumbe University-Tanzania, Ngozi Institute of Leadership-Burundi, National Agricultural Research Organization (NARO), NTC Kabale and Kabale Regional Referral Hospital.





Research collaboration between universities and other institutions is an integral part of effective research. Outstanding research innovation often occurs where disciplines or research groups meet or overlap. Research collaboration can also provide flow-on benefits to teaching, and contribute positively to the profile of a university and its staff. To be effective, policy must foster collaboration and provide an overall framework that reflects the diversity of disciplines across the university and the diversity of collaboration options that exist. Within this framework, a level of responsibility for developing collaborations rests with academic staff, but with relevant opportunities supported by the university. To harness the benefits that result from research collaborations, in the 2020/2025 research strategic plan period, Kabale University aims to build viable collaborations both vertically and horizontally.

### **2.3 SWOT Analysis for Research and Publications**

The SWOT analysis presents the strengths and weaknesses at Kabale University, and the opportunities and threats from outside the university that may affect the implementation of the 2020/2025 research strategic plan. The strengths and weaknesses presented are the variables that the university has control over and can manipulate to achieve the goal of the strategic plan, while the opportunities are variables the University can take advantage of in the process of implementing the strategic plan.



*Table 2: SWOT analysis for RID at Kabale University*

Dimension	Strengths	Weaknesses
Strategy	<ul style="list-style-type: none"><li>• A good potential for partnerships and collaborations</li><li>• Location in a rural population underserved by research systems</li></ul>	<ul style="list-style-type: none"><li>• Rural location of Kabale University limiting research collaboration</li><li>• Competing priorities for the limited institutional resources</li><li>• Weak coordination of research activities</li><li>• Limited institutional funds for research</li><li>• Weak graduate training programmes that do not drive research publication</li></ul>
Structures	<ul style="list-style-type: none"><li>• The Public entity of Kabale University</li><li>• A legally constituted and sustainable governance structure</li><li>• Supportive University Council</li></ul>	<ul style="list-style-type: none"><li>• Inadequate research infrastructure</li></ul>
Systems	<ul style="list-style-type: none"><li>• A strong and reliable financial management system</li></ul>	<ul style="list-style-type: none"><li>• Inadequate and weak implementation of relevant policies</li></ul>
Style	<ul style="list-style-type: none"><li>• Participatory, accommodative and inclusive management that supports research</li></ul>	<ul style="list-style-type: none"><li>• Lack of motivation for research</li></ul>
Staffing	<ul style="list-style-type: none"><li>• Professional, competent and competitive staff</li><li>• A young, permanently employed and regularly remunerated staff</li></ul>	<ul style="list-style-type: none"><li>• Poor staff commitment and high levels of staff absenteeism</li><li>• High teaching load</li></ul>
Skills	<ul style="list-style-type: none"><li>• Available qualified staff</li></ul>	<ul style="list-style-type: none"><li>• Low staff capacity to attract external funds</li></ul>
Shared Values	<ul style="list-style-type: none"><li>• Community support</li><li>• Positive changing image by the public</li></ul>	



**Opportunities and Threats (challenges) represent the implication of the situation analysis.**

Opportunities	Threats
<ul style="list-style-type: none"><li>• Low competition for research activities in Kigezi region</li><li>• Strong national commitment to research development</li><li>• Availability of competitive research grants</li><li>• Availability of regional and national-level research institutions for collaboration</li><li>• Availability of external training opportunities for research</li></ul>	<ul style="list-style-type: none"><li>• High competition for external grants for research</li><li>• Competitive demand for staff with good research profiles by other institutions</li><li>• Low demand for research services in communities served by the University</li><li>• Lack of effective linkages of the University with industry and community</li><li>• Low national capacity for science-based research</li><li>• Lack of private sector funding for research in Uganda</li></ul>

## CHAPTER THREE: THE STRATEGIC DIRECTION OF RESEARCH AND PUBLICATION



### 3.0 Vision, Mission, Goal and Core Values of DRP

Through RISP activities, the DRP aims to position Kabale University as an internationally distinct, vibrant, and people-centred institution that responds to national, regional and international development challenges. In this regard, RISP at KAB are guided by the following Vision, Mission and Values:

#### *Vision*

A Centre of Vibrant, Stellar and Impactful Research and Innovation in the Great Lakes Region and Beyond

#### *Mission*

To contribute to the generation of impactful knowledge and innovation for national, regional and continental socio-economic transformation

#### *Goal*

To produce relevant and impactful knowledge and innovations that contribute to enhancing the wellbeing of society

#### *Core values*

The core values of the DRP are:

- a) Objectivity
- b) Honesty
- c) Openness
- d) Accountability
- e) Stewardship
- f) Relevance



### 3.1 Strategic Focus of Research Activities



The strategic focus of RISP at KAB is to promote research activities that respond to the current national, regional and global development goals. These goals are outlined in the KAB research agenda. Accordingly, all research projects, regardless of funding sources, shall be encouraged to comply with the research thematic areas outlined in the KAB research agenda. The current focus of research activities is consistent with the Uganda National Development objective of transforming Uganda's society and economy to achieve the National Vision 2040 and the SDGs. KAB is a young public University in Uganda and, therefore, its RISP processes and products need to mature. Over the next five years (2020/21-2024/25), the strategic focus of the novel strategic plan shall focus on three key areas:

- a) Strengthening the research, innovation, and publication capacity of KAB: The DRP commits to developing a resilient and sustainable research culture at KAB by building and supporting academic staff in conducting high quality, impactful and transformative RISP. In doing so, the DRP will: promote research training and mentorship of staff and graduate students; build research capacity in academic units; and, promote research partnerships and collaborations. This will inevitably increase the quantity and quality of RISP outputs of the University.
- b) Increasing the RISP resources to facilitate the production of high-quality RISP products: Implementing successful and sustainable RISP activities requires a lot of financial resources. As indicated in the situation analysis, inadequate financial resources play a key role in the low delivery of RISP outputs at KAB. In the 2021-2025 strategic plan period, resource mobilization for RISP will be a top priority of the DRP. In this regard, the DRP will build capacity for and promote resource mobilization through grant writing.
- c) Building a reliable network of RISP collaborations with leading research institutions nationally and internationally: Building sustainable RISP capacity requires strong linkage with end-users of RISP products. The users are government agencies, non-governmental organizations (NGOs),



community-based groups (CBOs), industry, and businesses. The DRP, through faculties, will promote the establishment of RISP; and, promote partnerships and collaborations. In addition, the DRP will facilitate RISP partnerships and collaborations with other universities and research organizations in Uganda and abroad to increase the visibility of RISP activities at KAB.

### **3.2 Strategic Objectives and Activities**



The DRP's main function is to oversee and provide support for RISP at KAB. Some of the key elements of its functions are coordination, capacity development of researchers, resource mobilization, and strengthening collaborations. The DRP's efforts in these areas will directly lead to the achievement of a major goal of universities and that is: conducting high-quality and transformative research. In this regard, the Strategic Plan shall focus on the following strategic objectives:

**Strategic Objective 1:        Strengthen and streamline the governance of research, innovation and publication activities and outputs**

#### ***Outcomes:***

Strengthened, efficient and effective research governance and implementation processes;

Efficient and effective reporting of research, innovation and publication activities

#### ***Strategies:***

Develop and implement research and publication policies and frameworks;

Develop and implement University research agenda;

Strengthen postgraduate and academic research, publication and dissemination; and

Strengthen administrative and management capacity of the DRP for effective coordination of Research and Innovation activities.





**Strategic objective 2:            Develop high-quality and effective research workforce and culture**

***Outcomes:***

Increased number of academic staff engaging in research, innovations and publications;  
Increased research that underpins programme and curricula design and learning approaches

***Strategies:***

Train and mentor staff in the various aspects of research processes and management;  
Support the establishment of research focus areas to operationalize the University research agenda;  
Foster the development of multi-disciplinary research groups that cut across faculties;  
Recognize and reward high-performing researchers; and  
Build research leadership and culture among all staff.

**Strategic objective 3: Identify and mobilize funds for research and innovation activities**

***Outcomes:***

Increased and sustainable funding for research and innovations activities;  
Increased research and publication output

***Strategies:***

Establish and strengthen the grants management unit;  
Build the capacity of staff for effective and competitive grant proposal writing;  
Reward staff attracting research grants to the University;  
Identify research grant opportunities and give timely notice on upcoming research grant and consultancy services;  
Support staff throughout the grant cycle by encouraging grant proposal writing and grant management processes; and  
Identify and collaborate with national and international centres of excellence and leading research institutions.

**Strategic Objective 4: Increase the quantity and impact of research and innovations**

***Outcomes:***

Increased number and impacts of research publications and innovations;  
Improved ranking of Kabale University

***Strategies:***



Sensitize staff and students on the intellectual property policies and laws;  
Provide support for high quality and impactful multidisciplinary research and innovation projects;  
Institute a mechanism and motivation for mentorship of staff;  
Increase the number of publications from postgraduate dissertations; and  
Increase support for successful completion and publication of graduate students' research.

**Strategic Objective 5:        Establish and strengthen collaborative engagements in research and innovation at national and international levels**

***Outcomes:***

Increased number of research institutions and researchers collaborating with KAB;  
Increased research grants and other resources available for high-quality and cutting-edge research;  
Strengthened relationships with industry and communities

***Strategies:***

Strengthen partnerships and collaborations by signing MoUs with universities, other research institutions, industry and communities;  
Increase support for participation at national and international research and innovation events;  
Attract visiting scholars and provide support for staff exchange programmes;  
Support academics to engage with industry, communities and other stakeholders and research end-users;  
and  
Increase visibility of researchers, research and innovation outputs through KAB digital repository and website.

**Strategic Objective 6:        Advocate for the provision of world-class research infrastructure and facilities**

***Outcomes:***

Increased research activities and outcomes in basic science, clinical and agricultural research;



Increased research publication outputs and uptake of research findings

### *Strategies:*

Establish and maintain access agreements with other research institutions;

Participate in national initiatives such as RENU that provide services that enhance and support researchers;

Provide appropriate equipment and software that facilitate cutting-edge research; and

Develop appropriate research infrastructure such as laboratories for student and staff research.



## CHAPTER FOUR: FINANCING FRAMEWORK AND STRATEGIES

### 4.0 Introduction

The Research and Innovation Strategic Plan will use resources efficiently and effectively. In this regard, an efficient financial management and control system is needed. The DRP will use the KAB Finance Management Manual (FMM) in all matters relating to revenues, procurement, and accountability processes.

### 4.1 Costing of Interventions

The activities under DRP are funded from the domestic financial resources of the University. The financial framework proposed in this plan is expected to increase the revenue base for RISP activities by attracting external grants by staff to fund most of the RISP activities at KAB. In this regard, the cost of the main areas of spending by the DRP will be higher than the domestic revenue. Accordingly, Table 3 presents the projected costing plan for the 2020/21-2024/25 period.

**Table 3: The 2020/21-2024/25 costing plan for the activities of the DRP**

Plan area of costing	Costing plan per year in millions of UGX				
	2020/21	2021/22	2022/23	2023/24	2024/25
Administration	0.30	0.100	0.150	0.200	0.200
Capacity building	0.40	0.60	0.50	0.50	0.50
Infrastructure/equipment	0.50	0.70	0.70	0.80	0.80
Research projects	0.360	0.550	0.740	0.760	0.900
Dissemination of research	0.20	0.20	0.20	0.60	0.70
Total	0.500	0.800	1.05	1.15	1.30

### 4.2 Summary of Funding Sources

To successfully fund the activities in Table 3, the university will need revenue. Revenue will be obtained from domestic and external sources. In this section, the sources of revenues for RISP activities are described.



### **4.2.1 Domestic Financial Support**

The University is the main source of funds for RISP activities at KAB. Over the past three years, the fund for RISP supported 25 research projects. The small number of funded projects was due to the small RISP fund.

### **4.2.2 External Grants**

External grants are a competitive and often discipline-specific funding model. Beneficiaries are required to present competitive proposals to get awards. Due to its nature, individual staff members or teams take the responsibility to develop competitive project proposals. The role of the DRP is to provide support in mainly two ways: i) technical support through internal capacity development; and ii) financial support to researchers to source external technical support in developing competitive proposals. A few members of staff at Kabale University have benefitted from external grants in two forms. The first are grants awarded to staff who presented competitive proposals in their fields of expertise. The second form involves staff who benefitted from grants through collaboration with staff of other universities. However, grants received through collaboration with other researchers elsewhere have not trickled to Kabale University.

## **4.5 Resource Mobilization Strategy**

The resource mobilization strategy will take three main forms including: funds from Government of Uganda; increased grant proposal writing for competitive awards; and, consultancy projects.

### **4.5.1 Government Research Grants**

Government grants remain the most sustainable source of funding for RISP activities at Kabale University mainly because it is a young university that has to build its research reputation. In this regard, the DRP shall continue to request the University Management to continue lobbying for research support grants from the Government of Uganda.

### **4.5.2 Domestic Resources**

The DRP will continue advocating for increased allocation of the University operational funds to RISP activities. The DRP will lobby University Management to allocate 5% of the KAB budget to RISP over the plan period.



### **4.5.3 External Research Grants**

External grants are a key source of funds for RISP activities for universities globally. In this regard, Kabale University, through its staff, shall continue to apply for external grants for its RISP initiatives. To ensure a higher rate of success, DRP will do the following:

1. Build staff capacity in developing competitive grant proposals;
2. Build research networks with other universities and research institutions both vertically and horizontally; and
3. Develop linkages and collaborations with industry.

### **4.5.4 Consultancy Research**

Consultancies are works done by university staff for industry or other organizations that rely primarily on the use of the expertise of the academic staff. It is one of the main ways of transferring knowledge and services to the public, contributes to economic growth, and solves other societal problems. Consultancy falls under the mandate of the community engagement role of academic staff at universities. Consultancy services could include: offering expert information on which clients such as industry, government, and social sector organizations can make decisions and render services to the public or provide solutions to challenges faced in the industry. Consultancies demonstrate the relevance of the University to industry and society, contribute revenue for universities, directly put money in the pockets of university staff, and contribute to teaching and learning through skilling opportunities. In this regard, during this plan, consulting opportunities will be sought and shared.

## **4.6 Projected Funding Profile over the Next Five Years**

Based on the sources and strategies for resource mobilization for RISP outlined above, KAB expects to increase its funding for RISP activities to UGX 5 billion in 2025. The projected profile of funds for research is presented in Figure 7.



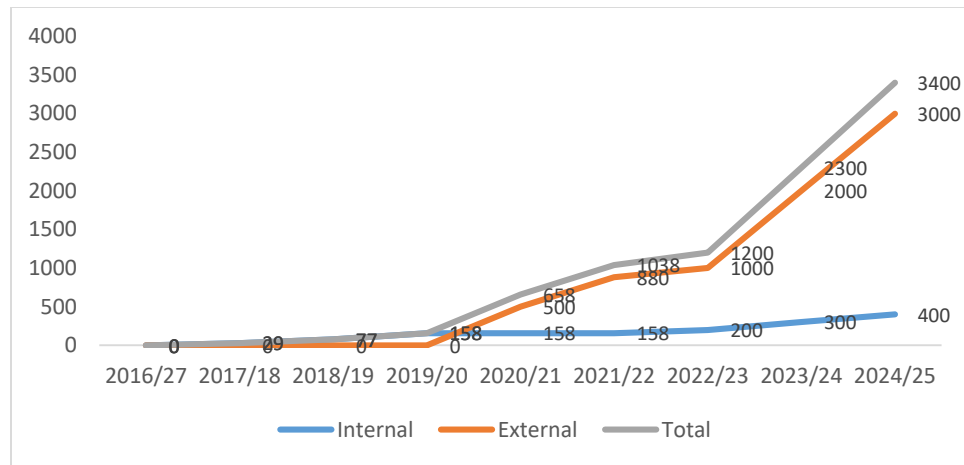


Figure 4: Projected growth in revenue for RISIP, millions of UGX



## CHAPTER FIVE: INSTITUTIONAL ARRANGEMENTS FOR IMPLEMENTATION OF THE STRATEGIC PLAN

### 5.0 Introduction

The attainment of plan objectives depends on the smooth and orderly functioning of stakeholders involved in the implementation of activities and how effectively and openly each stakeholder is involved in the communication and feedback mechanisms of the plan. The institutional arrangement is the structural organization of implementation units with varying levels of authority, mandates, responsibility, and accountability. Partnerships and collaborations are other sources of RISP funds. Collaborators can be national or international in nature.

### 5.1 Institutional Arrangement

The stakeholders responsible for implementing the RISP are the RPAB, the DRP, FRPC, DRPC, University staff in the various faculties, the Quality Assurance office, and the RMC.

#### *a) The Directorate of Research and Publications*

The DRP is headed by a Director. The mandate of the Directorate is to harmonize, coordinate and support research and publication activities at the university. It is also the responsibility of the Directorate to implement the RPP.

#### *b) Research and Publication Advisory Board*

The RPAB is a committee of the Senate. The role of the RPAB is to support and advise the DRP in implementing all research and publication activities at Kabale University as outlined in the Research and Publication Policy. The Board reports to the University Senate on all matters relating to research and publications.

#### *c) The Faculty Research and Publication Committees*

The faculties are the research engines of the University. It is at the faculty that all research activities are undertaken by staff. The FRPC reports to the DRP. The role of the FRPCs is to coordinate all RISP activities at the faculty level. In carrying out their mandate, the FRPCs shall assist the DRP in implementing the Research Policy; implement the Research Agenda; provide guidance in developing research projects and appraise staff research projects; and, support DRPC in the administration of research and publication activities at the departmental level.



### *d) The Departmental Research and Publication Committees*

By the virtue of being under faculties, the DRPCs perform similar roles to those of the FRPCs. However, the DRPCs report to FRPCs. The DPRC shall consist of at least three senior members of a department.

### *e) The University Staff*

RISP are mandatory for the academic staff who constitute the University research workforce. In this regard, the academic staff shall be responsible for initiating, developing, and implementing RISP activities.

### *f) The Resource Mobilization Committee*

The RMC is a committee set by the University management to support the resource mobilization functions of the University. In this regard, the committee will support raising resources for RISP.

### *g) Collaborating Organizations*

Research at any University does not take place in a vacuum, but rather with and for other stakeholders outside the University. These stakeholders include: government ministries departments and agencies (GMDAs), NGOs, CSO, Industry and Communities. These organizations shall be responsible for research activities in the following forms: donors, partners, clients, and research subjects and beneficiaries.

The strategic plan will be implemented by the DRP as the coordinator of research and publications activities. The DRP is the frontline University administrative unit that is responsible for the day-to-day management of research and publications. The centrality of the DRP in the research and publication processes is illustrated clearly in Figure 8.

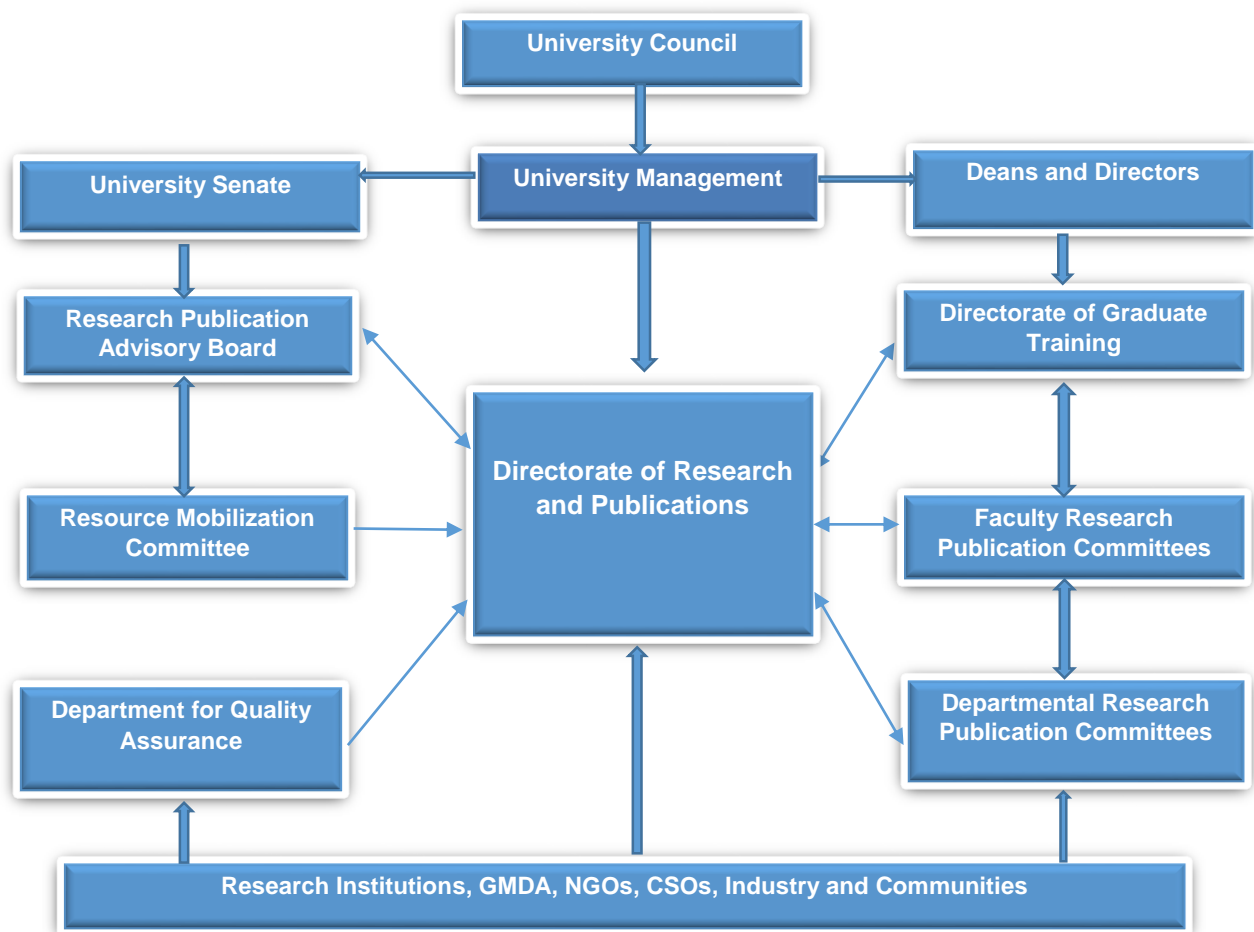


Figure 5: Organizational arrangement for implementation of the Research and Publications Directorate (DRP)

## 5.2 Enabling Factors for Successful Implementation of the Plan

Kabale University is a young institution and is currently afflicted by numerous challenges. Some of these factors directly impact negatively on the university's efforts to build a resilient and impactful research profile. The following areas are critical in the successful implementation of the plan:

- Strengthening the DRP:*** The DRP will need significant strengthening by filling the human resource gaps of the directorate to coordinate research activities more effectively.
- Competent Staff:*** Recruitment and retention of highly qualified, competent and motivated academic staff to drive the university's research agenda.
- The commitment of staff:*** The commitment of academic staff to research is a critical factor in the successful implementation of the plan. This will require the motivation of staff to enlist their participation.

- d) *Increased funding for research:* The University will need to increase the domestic resource envelope for research and publication. Additionally, there is a need to attract external resources to complement the small domestic resources for research.
- e) *Research capacity building:* The capacity of the majority of staff in research grant writing will need enhancement through research grant writing and management training.
- f) *Infrastructure:* The current research infrastructure at the University is not enabling. There is, therefore, a need to develop research infrastructure including space, equipment, software, data basis, and ICT for research.
- g) *Strengthening graduate training:* Graduate training provides a significant resource for expanding research activities at universities. The DGT programmes and capacity will be strengthened to realize this potential.
- h) *Building collaboration:* In the 21st century, success in research is realized through building both vertical and horizontal collaborations. This is because collaborations lead to sharing of expertise, building capacity, and attracting resources. The success of the plan will require collaboration with other universities, research institutions, industry, and communities.

### 5.3 Communication and Feedback



As an activity that operationalizes the linkages between institutional stakeholders, communication and feedback is a learning for improvement activity. Effective communication is therefore an important cornerstone for the efficient and effective implementation of this strategic plan. Communication on plan activities hinges on openness, honesty and follows a hierarchical procedure to ensure that no one is left behind in the information sharing chain. This is essentially so because implementation activities and results should be able to feed back through an effective mechanism for effective diagnosis of the plan's decision making, performance, correction and above all, improvement. Due to the large number of



internal and external stakeholders in the research and publication arena, the DRP shall support and encourage an open and timely communication and feedback strategy. The organogram provided in Figure 8 describes the key stakeholders who must be reached in the processes of communication and feedback. The process and channels of communication and feedback aim to operationalize and strengthen the existing channels of communication and feedback on research and publication issues in the University.

Some of the key stakeholders that will be involved in the communication and feedback mechanisms for RISIP are summarized as follows:

- a) Internal stakeholders: these include DRP, DGT, DRPC, FRPC, RPAB and University Management Team.
- b) Community members: these are both the subjects and beneficiaries of research and publication activities.
- c) External stakeholders including GMDA, NGOs, CBOs and Industry who are either clients or partners or beneficiaries of research and publication activities.
- d) Donors that fund research activities.
- e) Other universities and research institutions that may partner, collaborate or even rival in research and publication activities.

To ensure open and effective communication and feedback, the following strategies will be used:

- a) Regular communication of events and information on the DRP website.
- b) Provision of policies, SOPs and guidelines in hard copy for all internal stakeholders.
- c) Promotion of the use of the internet as a fast means of communication and feedback.
- d) Provision of all reports resulting from research and publication activities on the internet.
- e) Uploading of all publications and students' research dissertations on the Kabale University Digital Institutional Repository (KABDIR).
- f) Asking stakeholders to give feedback clearly and timely.





## CHAPTER SIX: RISK MANAGEMENT PLAN

### 6.0 Introduction

All strategic plans are susceptible to risks. This requires that a risk management plan indicating organizational risks expectation and management is provided. The goal of the RISP is to increase the number and impact of research publications. In this regard, the plan has assessed and identified risks that may compromise the achievement of the RISP. In this chapter, the anticipated risks and how they may be managed during plan implementation are outlined.

### 6.1 Risk expectation

The following risks which are likely to occur anytime in the lifetime of the strategic plan have been identified:

- a) *Governance risk*: The mandate of the DRP is to harmonize and coordinate research and publication activities. This requires a strong governance structure and cooperation among the different actors in the plan. However, this may not always be the case and could affect the performance of the plan.
- b) *Funding risks*: As outlined in the financing framework and strategy in chapter four, the plan envisages financing research and publication activities using domestic and external grants. However, the plan may fail to achieve the projected financial targets.
- c) *Costing risks*: The implementation of the plan assumes that cost of implementation shall remain stable over the plan period. However, this may change due to changes in the external economic environment.
- d) *Operational risks*: These are risks that emanate from internal errors by staff of the university in playing their role in implementing the plan effectively; failure to follow internal procedures and processes; inadequate capacity for implementing the plan; and external factors that may affect the implementation of the plan at the operational level such as violation of research ethics, policies and regulations.
- e) *Performance risk*: This refers to the risk that the project will fail to produce results consistent with project specifications. This is likely to arise from failure of staff in meeting the mandatory research output ceiling commensurate with positions.



### 6.3 Risk Management Plan

For the RISIP to achieve its goal, a risk management plan is required. These are some of the activities that will be used to mitigate the effects of the identified risks so that the impacts of the risk on planned results can be avoided or reduced. In this regard, the risks can be mitigated by using two approaches, namely: risk avoidance and risk reduction approaches. The risk mitigation plan for the two approaches is presented in a matrix in Table 4.



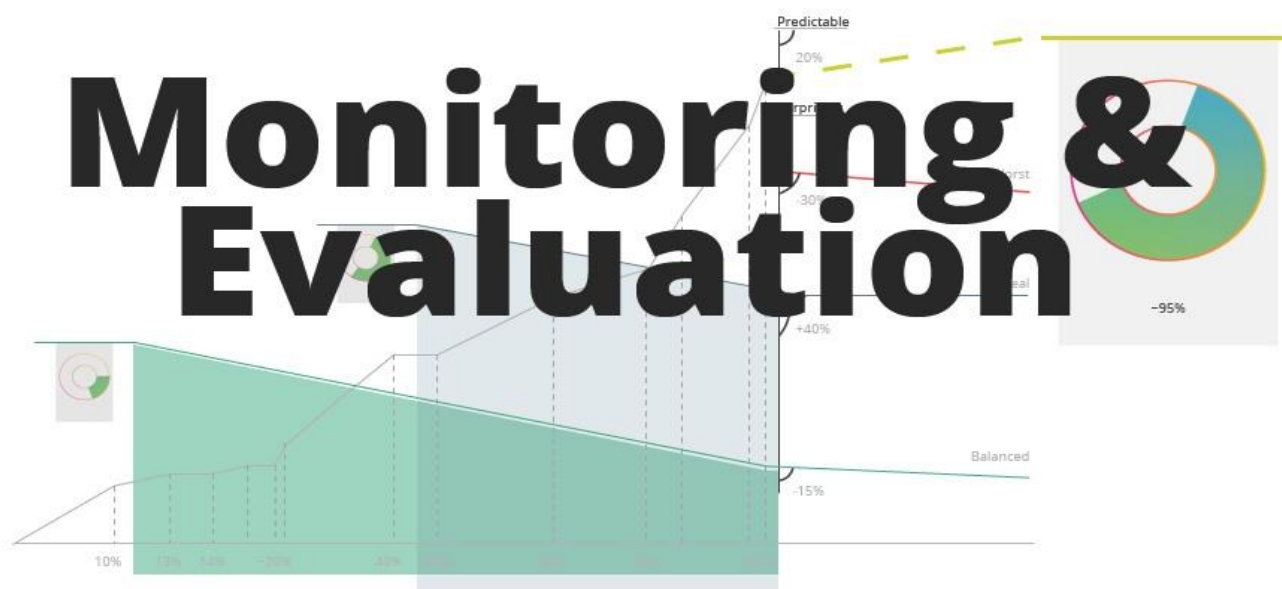
Table 4: Risk Assessment and Management

Type of risk	Likelihood of risk	Causes of risk	Impact of risk	Risk Management Activities
Governance	Medium	<ul style="list-style-type: none"><li>i. Failure to comply with the governance structure</li><li>ii. Failure to follow procedures and processes of administration and management of research and publication activities</li><li>iii. Failure to submit reports and other information along the governance hierarchy</li></ul>	<ul style="list-style-type: none"><li>i. Delay of research and publication processes.</li></ul>	<ul style="list-style-type: none"><li>i. Train DRPC and FRPC on governance and procedures on research and publications at Kabale University</li><li>ii. Quality assurance in research processes</li><li>iii. Enforce the research and publications policy</li></ul>
Funding	High	<ul style="list-style-type: none"><li>i. Low domestic financial support for research</li><li>ii. Failure to attract grants for research</li><li>iii. Lack of effective collaboration with other universities/research institutions</li></ul>	<ul style="list-style-type: none"><li>i. Low research activity</li><li>ii. Low Publication output</li><li>iii. Low attendance of conferences</li><li>iv. Low ranking of Kabale University</li></ul>	<ul style="list-style-type: none"><li>i. Increase domestic funding of research and publications</li><li>ii. Train staff in competitive and fundable research grants</li><li>iii. Build vertical and horizontal collaborations with other universities and industry</li></ul>
Operational	High	<ul style="list-style-type: none"><li>i. Weak ICT system</li><li>ii. Slow and often unreliable internet services</li></ul>	<ul style="list-style-type: none"><li>i. Low research output</li></ul>	<ul style="list-style-type: none"><li>i. Strengthening the Directorate of ICT</li></ul>



		<ul style="list-style-type: none"><li>iii. Low capacity of staff</li><li>iv. Inadequate equipment</li><li>v. Failure to follow procedures by staff</li></ul>	<ul style="list-style-type: none"><li>ii. Low ranking of Kabale University</li><li>iii. Failure to achieve academic growth by staff</li></ul>	<ul style="list-style-type: none"><li>ii. Skilling staff in research and publication through training and mentoring</li><li>iii. Providing basic equipment for research</li><li>iv. Enforcing procedures</li></ul>
Performance	High	<ul style="list-style-type: none"><li>i. Lack of commitment of staff to research and publication</li><li>ii. Lack of motivation for research and publications</li><li>iii. Inadequate research infrastructure</li></ul>	<ul style="list-style-type: none"><li>i. Low research and publication output</li></ul>	<ul style="list-style-type: none"><li>i. Motivating staff for research and publication</li><li>ii. Enforcement of compulsory research output for academic staff</li></ul>

## CHAPTER SEVEN: MONITORING AND EVALUATION FRAMEWORK



### 7.0 Introduction

This chapter presents the monitoring and evaluation (M&E) framework for RISP. A monitoring and evaluation framework is an important tool that assists programme/project implementers:

- Develop sound monitoring and evaluation plans
- Develop a clear linkage between goals, objectives and activities
- Identify a set of measurable indicators for assessing project success
- Define relationships among inputs, activities, outputs, outcomes and impacts
- Clarify the relationship between programme activities and external factors
- Demonstrate how activities will lead to desired outcomes and impacts

The overall objective of the M&E framework is to support the DRP in harmonizing and coordinating research and publication activities at KAB during the 2020/21-2024/25 implementation period. Using the M&E framework, the DRP will be able to obtain data and information for: i) assessing the implementation of this plan; ii) tracking implementation of research and publication activities at the faculty level; iii) identifying challenges and constraints that may impede the implementation of the plan; iv) making evidence-based decision and planning; v) accountability to stakeholders; and vi) assessing research and

publication outputs and outcomes. A detailed M&E framework is presented in Annex 1. The monitoring and evaluation exercise shall be based on the following M&E measurements and activities:

## **7.1 Progress Reports**

Regular progress reports provide a detailed account of the strategic plan life course, which shall inform on decision making regarding the implementation of the RISP. The progress reports will be presented on an annual basis. The reports shall describe and explain in detail the status of implementation of the 2020/21-2024/25 RISP. In this regard, the reports shall be prepared annually as Research and Publications Annual Performance Reports (RPAPR) and will outline:

- i. An overview of research at KAB;
- ii. Research activities at the faculty;
- iii. Research grant writing activities;
- iv. Research conferences and workshops/trainings activities;
- v. Graduate student research and publications;
- vi. Academic research and publications;
- vii. Challenges in research at faculty and lessons learned; and
- viii. Recommendations for improvement of research and publications.



The RPAPR shall be shared with key stakeholders including, among others: the RPAB, FRPC, University Management, University Senate and the University Council. The reports shall also be displayed on the University website for the consumption of the general public.

## **7.2 Mid-Term Evaluation**

The mid-term evaluation of the plan will take place in July 2022. The purpose of the mid-term evaluation is to provide lessons learned, assessing compliance to the RPAB strategic planning outputs and identifying challenges faced in the implementation of the plan to enable setting of realistic RPAB targets. In addition, the aim of the evaluation will be to review the efficiency and effectiveness of the plan implementation in respect of the objectives, outputs and outcomes of the plan. The lessons learned and the challenges identified will be used to formulate appropriate recommendations and strategies for corrective action and



improvement of implementation of the strategic plan in the remaining two and a half years of the plan. The main stakeholders and users of the mid-term evaluation reports will include: University Management, University Senate, University Council, FRPC, DRPC and University staff.

The scope of the mid-term evaluation shall include the implementation period starting in July 2020 to July 2022. The evaluation will use the results of the frameworks presented in Annex 1 to track all key activities and outputs as described in the strategic plan and compared with results of the implementation as of July 2022 to determine the extent to which the objectives and targets of the plan would have been achieved.

### **7.3 End-of-Plan Evaluation**

The end of strategic plan evaluation shall be conducted in July 2025. The purpose of the evaluation will be to account to key stakeholders in the University and Government of Uganda and the general public for support given to Kabale University Research and Publication activities for the period 2020/21-2024/25 and to document key beneficiary capacity to roll on RPAB activities beyond the strategic plan implementation period. The focus of the end-term evaluation will be to:

- i. assess the extent to which the objectives of the strategic plan were achieved;
- ii. assess the extent to which the key outputs of the plan were achieved;
- iii. assess the extent to which the key outcomes of the plan were achieved;
- iv. Identify the main challenges and constraints to the plan implementation; and
- v. Recommend corrective actions for incorporation in the 2025/26-2029/2030 strategic plan.





## 7.4 Strategic Plan Implementation Matrix

**Goal:** The main Goal of the DRP for the 2020-2025 strategic plan is “To increase the production of relevant and impactful new knowledge through research and innovations that can contribute positively to enhancing the wellbeing of society”. The research and publications implementation matrix presents the objectives, outputs, impacts and strategies needed to achieve the goal of the strategic plan. It also presents the indicators and means of verification of the indicators and the responsible University units that will implement the activities.

<b>Objective 1: Strengthen and streamline the governance of research, innovation and publication activities and outputs</b>				
<b>Strategies/activities</b>	<b>Indicators</b>	<b>Means of Verification</b>	<b>Main implementing units</b>	<b>Other implementing Units</b>
Develop, review and implement research innovation and publication policies and framework	Research, innovation and publication Policy developed	Research, innovation and publication Policy	DRP	<ul style="list-style-type: none"> <li>- University Senate (RPAB)</li> <li>- FRPCs</li> </ul>
Develop and implement the KAB research agenda	Research agenda developed	Research agenda	DRP	<ul style="list-style-type: none"> <li>- University Senate</li> <li>- FRPCs</li> </ul>
Strengthen the capacity of the DRP for effective coordination of Research and Innovation Development	Number of staff at DRP	Annual research performance reports	University management	<ul style="list-style-type: none"> <li>- University Senate (RPAB)</li> <li>- University Appointment Board</li> <li>- FRCs</li> </ul>
	Equipment and software for research activities	Annual ICT reports	Office of ICT	<ul style="list-style-type: none"> <li>- Directorate of RP</li> <li>- University management</li> </ul>
Establish and operationalize the Kabale Research Ethics Committee (KABREC)	KBREC Established	Annual REC performance reports	KABREC secretariat	<ul style="list-style-type: none"> <li>- DRP</li> <li>- UNCST</li> </ul>
	Number of REC decisions	Annual REC reports		



Strengthen postgraduate and academic research, publication and dissemination	Annual number of research projects by students and staff	Annual research performance reports	Directorate of RP FRCs	<ul style="list-style-type: none"><li>- RPAB</li><li>- FRCs</li><li>- University management</li></ul>
	Annual number of publications by postgraduate students			
	Annual number of publications by academic staff			
	Annual number of research dissemination workshops			



Objective 2: Develop a highly quality and effective research workforce and culture				
Strategies/activities	Indicators	Means of Verification	Main implementing unit	Other implementing Units
Train and mentor staff and students in the various aspects of research processes and management	Number of staff trained in research activities	- Annual recruitment and promotions report	FRPCs Faculty Boards	DRP DGT University Management
	Number of staff conducting research and publishing	- Annual performance report of the DRPRP	FRPCs Faculty Boards	DRP
	Number of university staff grant holders			
Support and establish research focus areas to operationalize the University research agenda	Number of research focus areas established	Quarterly RP reports Quarterly FRPC reports Annual RP reports	FRPCs	DRP Collaborating Institutions
	Number of staff leading research projects			
	Number of collaborative research projects implemented under research focus areas			
Foster the development of multi-disciplinary research groups that cut across faculties	Number of multidisciplinary research groups	Quarterly RP reports Quarterly FRPC reports Annual RP reports	FRPC Faculty Boards	DRP Collaborating Institutions
	Number of staff participating in multidisciplinary research			



	Number of active multidisciplinary research projects			
Recognize and reward high-performing researchers	Number of staff actively involved in research and publication	Annual RP performance report	DRP FRCs	University Management
	Number of staff rewarded for high performance	Annual performance reports of FRCs		
	Number of International Collaborative institutions	Forms of rewards		
	Number of staff engaged in collaborative research activities by faculty			
Build the research leadership and culture among all staff	Number of staff leading research projects	Quarterly DRP reports Quarterly FRPCs	FRPCs	DRP
	Number of staff providing research mentorship	Reports		
	Number of staff fully compliant with research processes and regulations			



Objective 3: Identify and mobilize funds for research, innovation and publication activities				
Strategies/activities	Indicators	Means of Verification	Main implementing unit	Other implementing Units
Populate and strengthen the research grants management office at DRP	DRP grants management officer recruited	Annual RP Performance reports	University Human Resources Office	<ul style="list-style-type: none"><li>- DRP</li><li>- University Management</li></ul>
Build the capacity of staff for effective competitive grant writing	Number of grant writing capacity building workshops	Annual RP Performance reports	DRP	<ul style="list-style-type: none"><li>- FRCs</li><li>- University RMC</li><li>- University Management</li></ul>
	Number of staff attending grants writing capacity building workshops			
Identify research grant opportunities and give timely notices on upcoming research grant and consultancy opportunities	Number of research grant opportunities circulated	Quarterly RP performance reports	DRP Grants Management Office FRPCs	<ul style="list-style-type: none"><li>- DRP</li><li>- University RMC</li></ul>
	Number of research grants submitted	Annual RP performance reports		
	Number of Research grants awarded	Annual University RMC reports		
Support staff in the grant writing cycle through grant writing and management support	Number of grant writing support provided	Annual RP performance reports	Grant Management office of DRP	<ul style="list-style-type: none"><li>- DRP</li><li>- University RMC</li></ul>
	Number of grant management support provided			





Identify and collaborate with national and international centers of excellence and leading research institutions	Number of national collaborative institutions	Annual RP performance reports	DRP	<ul style="list-style-type: none"><li>- FRPCs</li><li>- University RMC</li><li>- Collaborating Institutions</li></ul>
	Number of International Collaborative institutions			
	Number of staff engaged in collaborative research activities by faculty			



Objective 4: Increase the quantity and impact of research and innovations at KAB through adoption of research outputs and citations of publications				
Strategies/activities	Indicators	Means of Verification	Main implementing unit	Other implementing Units
Sensitize staff and students on intellectual property laws and guidelines	Number of sensitization activities	Annual RP performance reports	DRP	<ul style="list-style-type: none"><li>- Individual staff/student</li><li>- FRPCs</li><li>- University Management</li></ul>
	Number of staff and students sensitized			
	Number patents/copyrights registered			
Provide support for high-quality and impactful multidisciplinary research and innovation projects	Number of multi-disciplinary research and innovation projects supported	University annual performance reports  Annual RP performance	RPAB/DRP	<ul style="list-style-type: none"><li>- University RMC</li><li>- Collaborating Research Institutions</li></ul>
Provide a mechanism and motivation for mentorship of junior staff	Number of junior staff mentored	Annual RP performance	DRP FRPCs	<ul style="list-style-type: none"><li>- Faculty Boards</li><li>- University Management</li></ul>
	Number of senior staff involved in mentorship activities	Annual FRPCs reports		
	Number of collaborative projects involving junior and senior staff			
Increase the number of publications in high-impact journals	Number of published articles by faculty per year	University annual performance reports Annual RP performance	DRP	<ul style="list-style-type: none"><li>- FRPCs</li><li>- Faculty Boards</li><li>- Human Resources Office</li></ul>
	Annual number of staff participating in national and international conferences	Research H-Indices and Citation by staff		
	Number of articles cited and number of citations per year			
Increase support for successful completion and publication of graduate students’ research	Number of students research published	Annual RP performance	DRP	<ul style="list-style-type: none"><li>- DGT</li><li>- FRPCs</li></ul>
	Number of successful grants by staff and students by faculty	<ul style="list-style-type: none"><li>- University annual performance reports</li></ul>	<ul style="list-style-type: none"><li>- University annual performance reports</li></ul>	<ul style="list-style-type: none"><li>- University Management</li><li>- Directorate of RP</li></ul>



			- Annual research performance report	
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<b>Objective 5: Establish and strengthen collaborative engagement in research and innovation at national and international levels</b>				
<b>Strategies/activities</b>	<b>Indicators</b>	<b>Means of Verification</b>	<b>Main implementing unit</b>	<b>Other implementing Units</b>
Strengthen research partnerships and collaborations by signing MOUs with universities, other research institutions, industry and communities	Number of MOUs signed	Annual RP performance reports	DRP/FRPCs University RMC	DRP University management
	Number of collaborative research activities			
Increase support for staff to participate in national and international research events	Number of staff supported to participate at national and international conferences	Annual RP performance reports	University management	DRP Faculty Boards
	Number of national and international conferences hosted at KAB		FRPCs	DRP University Management
Attract visiting scholars and provide support for staff exchange programmes	Number of visiting scholars	Annual RP performance reports FRPC reports	Faculty Boards	DRP University Management
	Number of collaborations resulting from visiting scholars			
Increase visibility of researchers, research and innovation outputs through	Number of research outputs uploaded on KABDIR by type	Quarterly KABDIR reports	Kabale University Library	DRP DGT



repository of publications, exhibitions, podcasts and other research outputs				
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<b>Objective 6: Advocate for the provision of world-class research infrastructure and facilities for cutting-edge research</b>				
Strategies/activities	Indicators	Means of Verification	Main implementing unit	Other implementing Units
Establish and maintain access agreements/MoUs with other research institutions	Number of access agreements/MoUs established	Annual faculty performance reports	FRCs	DRP University management Collaborating Institutions
	Number of researchers benefiting from access agreements/MoUs			
Participate in national initiatives such as RENU which provide services that enhance and support research	Number and type of initiatives received/participated in	Annual ICT performance reports	ICT Department	DRP University management RENU
Provide appropriate equipment and software that can facilitate implementation of cutting-edge research	Number of equipment by type: Computers Printers	Annual ICT performance reports	ICT Department University Secretary	University Management
	Types of software procured			
Develop appropriate physical infrastructure for students and staff	Number of offices	Inventory of University infrastructure and facilities	University Estates	Ministry of Education Development partners
	Appropriately equipped laboratories	Annual faculty performance reports	University Estates	University management
	Types of virtual e-resources	Annual University Library resource status reports	University Library	University management
	Number of researchers accessing virtual e-resources for research	Virtual e-resources user statistics	University Library	University management
	Reliable internet services	Annual ICT performance reports	ICT Department	University management

