KABALE UNIVERSITY

RESEARCH AND PUBLICATIONS POLICY

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Table of Contents

EXECUTIVE SUMMARY

This document is a policy statement that describes the Research and Publications Policy of Kabale University. It contains guidelines on decision making, setting research goals and strategies. It also provides a framework for developing consistency, research quality assurance, accountability and a mechanism for regulating and monitoring research related activities in the form of operational guidelines.

Section One provides the meaning of terms and expressions as used in this document. It also specifies the scope of this policy as well as the underlying factors that inform the Research Policy described here*.*

Section Two outlines the objectives of the policy.

Section Three is the core of the Research and Publications Policy. It describes the main provisions of the policy together with proposals as to how the University intends to promote and manage its research activities.

Section Four gives details of how the policy will be implemented including providing for the creation of a framework containing the relevant policy implementing agencies including a Directorate of Research and Publications headed by a Director; a Research and Publications Advisory Board and Research and Publications Committees at Faculty and Departmental levels. This Section also provides guidelines on the management of research at the University including the identification and management of research resources, research quality management, the creation of research databanks and the dissemination of research results.

Section Five provides a framework for operational guidelines for purposes of standardizing, harmonizing and monitoring the research process at the University. They include guidelines on: writing and presenting research proposals, approving research proposals, appraising research proposals, preparing and presenting research budgets, the research contract format, writing and presenting research progress reports, writing and presenting financial accountability reports, writing and presenting final research reports, and presenting peer-review research reports.

SECTION 1 PRELIMINARY MATTERS

1.1 Background

Research and teaching are integral and mutually reinforcing components of the activities of academic members of staff in a university. This may partly explain why Graduate Schools have traditionally combined postgraduate student training with academic staff research and publications. Indeed, prior to 2012, all activities related to postgraduate student training and staff research and publications at the University were administered by the then Graduate Unit. Because this arrangement was perceived to be unsatisfactory, Senate conducted a review exercise to identify the status and role of the research and Publications component within the Graduate Unit. The results of the review exercise revealed that administering postgraduate student training and staff research and publications under the umbrella of the Graduate Unit was fraught with inefficiency and ineffectiveness for two reasons. First this arrangement ignores the fact that postgraduate student training and academic staff research and publications perform different roles and responsibilities. Secondly, the arrangement tends to relegate academic staff research and publications to the needs of postgraduate student training. And yet academic staff research and publications output plays a crucial role in strengthening content and quality of knowledge professed and imparted apart from promoting the image of the university in terms of its performance rating.

In view of these observations both Senate and Council approved a proposal to separate the administration of postgraduate student research from that of academic staff research and publications. Accordingly, the administration of postgraduate student training (including graduate research training) and that of academic staff research and publications would be conducted separately. Senate felt that, in this way, academic research and publications would gain the attention and support it deserves. In order to achieve this, a Directorate of Research and Publications was set up with a clearly defined mission and vision together with an equally learly defined mandate to perform specified roles and responsibilities. Henceforth, research and publications would be operated as a separate unit rather than as a component of the traditional Graduate School.

The Directorate of Research and Publications was expected to harmonize and coordinate all activities related to academic staff research and publications at the University. In order to achieve this, Council directed that Senate should develop a policy outlining general provisions and specific procedures designed to serve as guidelines in the conduct of academic staff research at Kabale University. This policy document is a response to the relevant Council directive.

1.2 Operational definitions

The terms listed below are used in this document with the specific meanings assigned to them as follow

(1)Research

Broadly defined here to include the following activities

- *(a) Basic research* whether experimental or theoretical whose aim is to generate new knowledge including alternative theories, analyses or interpretations
- *(b) Strategic research* which is potentially applied research but is in an area where its potential or actual applications may not be clearly defined at the material time
- *(c) Applied research* involving work geared towards acquiring new knowledge which is directly aimed at achieving practical and applicable objectives
- *(d) Market research* involving innovative work whose aim is to generate a specific product or even an idea for the commercial market
- *(e) Creative work* in the arts such as novels, plays, poems, and paintings and sculptures

(f) **Pedagogic** research including innovative research into teaching methodology and curriculum development

(g) **Action research**

(2)Research agenda:
a declaration of planned research activities during a specified period of time
*(3)The University***:**
In all its occurrences here, The University means Kabale University
*(4)The Directorate of Research and Publications (DRP)***:**
The Unit responsible for coordinating the implementation of Kabale University Research and Publications Policy
*(5)The Director***:**
The Director of the Directorate of Research and Publications
(6)The Research and Publications Advisory Board:
The board responsible for assisting and advising the Director and Senate on the development, implementation and review of the Research Policy
*(7)Faculty Research and Publications Committee***:** A body responsible for assisting the DRP generally and the Faculty/Institute specifically in implementing the research Policy, by developing Faculty/Institute Research Agendas and assessing staff research projects
(8)Departmental Research and Publications Committee:
A body whose role is similar to that of the Faculty Research Committee but at the level of an academic department.
(9)Overheads costs
Charges included in an externally funded research project budget or income generated from consultancy work to cover some or all non-direct operating costs of the project such as

1.2.0 Application
This policy applies to Kabale University staff members employed on a full-time basis excluding persons employed on a temporary basis.

1.3.0 Guiding factors
The formulation of Kabale University Research Policy is guided by the following factors:

1.3.1 Research a pre-requisite for academic growth and development
Academic staff progression, promotion and professional development are indicated by the quality and quantity of research done by a member of staff whether for the attainment of a higher degree or for achieving enhanced academic and professional competencies and skills. This means that research is a pre-requisite for the academic growth and professional development of the University members of staff

1.3.2 Academic staff engagement in research and publications not an option

Academic growth and development of staff members crucially depend on their active engagement in research and publications activities. Therefore staff engagement in and University support for research activities is not an option but an obligation

1.3.3 Developing and nurturing a vibrant University research culture an imperative

A vibrant and sustainable research culture builds and strengthens the research practices and research capacity of the University. Therefore it is imperative to institutionalize a sustainable research culture that will propel Kabale University to the level of a centre of excellence in research

1.3. 4 Research funding a key factor promoting research at the University

Over the years, the University has been aware that the single most critical bottleneck in research performance at Kabale University is inadequate funding. Lack of adequate funding has had a negative impact on the efforts of members of staff to fully engage in research activities. This calls for a need for the University to double its efforts to source for research funding beyond what Government can offer so that members of staff can be motivated to do research by rewarding research performance at the University

1.3.5   Rewarding research performance a crucial motivating factor

There is a tendency among academics to relegate research activities to consultancy work because the latter is more financially rewarding. But consultancy work by academics tends to reinforce individualism and its financial rewards are of short-term value. There is, therefore, a need to counteract this tendency by putting in place mechanisms by which members of staff are rewarded for the frequency and quality of their research output.

1.3.6 Research operational guidelines an integral component of the research policy

In order to effectively and efficiently operationalize the Research Policy, it is necessary to standardize and harmonize the research process. There is, therefore, a need for a set of operational guidelines that can serve as an integral component of the Research Policy implementation process

1.4 Review of the Research policy

This policy shall be reviewed every three years

SECTION 2: OBJECTIVES OF THE RESEARCH POLICY

2.1 Fundamental objective

A university is composed of a multiplicity of academic disciplines that engage in academic research among other things. This situation calls for a policy that spells out standardized procedures and operations governing research opportunities, processes, inputs and outputs. The fundamental objective of the Research Policy is to put in place a framework for streamlining, harmonizing and monitoring and evaluating research related activities at Kabale University.

2.2 Specific objectives

The research policy of the University aims at achieving the following specific objectives

(1) To set up a Directorate of Research and Publications whose role is to guide the planning and management of research by coordinating and harmonizing all research and related activities at the University

(2) To develop and institutionalize a sustainable research culture that will propel Kabale University to the level of a centre of excellence in research

(3) To develop and broaden the research capacity of the University across all disciplines

(4) To encourage and empower the University staff to conduct research as defined in this policy statement

(5) To eliminate or at least minimize obstacles that hinder or discourage staff from doing research

(6) To establish procedures for efficient management and equitable use of research resources

(7) To provide a mechanism for monitoring research done by staff at the University;

(8) To provide a mechanism for ensuring the quality of research done at the University

(9) To ensure adequate funding for research

(10) To ensure dissemination of research output through participation in internal and external fora

(11) To ensure the publication of research results through the University's own Publishing Unit

(12) To safeguard the intellectual property rights of researchers at the University

(13) To facilitate the commercialization of the research output of Kabale University researchers

(14) To set up a mechanism for creating a desirable mix of academic activities, i.e. research, teaching and consultancy work so as to meet the expectations of the University Mission

(15) To enhance the research skills of staff through research training programmes

(16) To encourage collaborative and interdisciplinary research within and outside the University

(17) To facilitate research workshops whose output shall be proceedings containing research plans, completed and ongoing research projects together with dissemination plans including publications for the year

SECFTION 3   RESEARCH AND PUBLICATIONS POLICY PROVISIONS

3.1 The role of research at the University

The University recognizes the role of research as a tool for:

(1) Promoting an academic/intellectual culture within the university

(2) Contributing to the promotion of staff academic growth and development

(3) Achieving the goals of generating and disseminating knowledge

(4) Enhancing the reputation of the University

(5) Attracting staff of high caliber

In view of this:

(1) The University shall encourage the pursuit of excellence by supporting research   projects which demonstrate clear potential for excellence.

(2) Research projects shall be geared towards the achievement of the University Vision, Mission and Values.

(3) All academic units shall be accorded the opportunity to engage in research within the framework of the University Research Agenda.

3.2 The University research priorities

The University shall specify research priority areas in accordance with its strategic plans and national goals and priorities. In view of this, the University shall:

a)   Define research agendas for the various faculties and institutes in consultation   with   staff at departmental level
b)   Require each research agenda to be approved by the Research and Publications Advisory Board
c)   Ensure that each department defines its research priorities in the development of the University Research Agenda
d)   Support an Annual Research Workshop to receive and review progress made by each academic unit in the implementation of their respective research agendas
  e)   Make provision for staff to participate in relevant national and international fora as part   of the implementation of the research policy
f)   Regularly review the research priorities to ensure their currency and relevance
g)   Ensure that staff members are fully involved in the planning and implementation of the Research Agenda in order to utilize its human resource potential to the maximum; to this end, staff shall be required and facilitated to engage in research individually or jointly within or across disciplines

3.3 Sourcing of research funding

The single most critical bottleneck in research performance is inadequate funding.
 To address this problem the University, shall:

(1)   Endeavour to solicit research funds from international and local sources both public and private ; solicitation of funds shall also be encouraged at departmental faculty   and individual levels
(2)   Mandate the Director of Research and Publications to solicit for research funds on behalf of the University
(3)   Ensure that basic and innovative research is encouraged and allocated an appropriate share of research funding
(4)   Ensure that externally funded research projects will be submitted to the Research and Publications Advisory Board for advice prior to submission, and monitored for progress thereafter.
(5)   Provide research services to external funding bodies and require them to pay an overhead fee of five percent (5%) of the overall project budget. The overhead income received from externally funded projects shall be used to support the University research activities.
(6)   Ensure that staff shall be responsible for the effective use and custody of resources allocated to them for research purposes.
(7)   Encourage individual members of staff to solicit funding for their research projects
(8)   Encourage individual members of staff to solicit research funding on behalf of the   University. The individual concerned will be paid a commission determined by Council when the funds are rfeceid by the University
(9) Discipline a member of staff who fails to declare an externally funded research project.

3.4 Promoting research at the University

The University recognizes that effective and efficient research activities can only be performed within a clear framework of specified responsibilities. The University further recognizes that an effective coordination of research activities is possible only if there are clear plans for infrastructure and capacity building. In view of this, the University shall:

(1)   Create and equip a core office, namely, the Directorate of Research and Publications (DRP) responsible for the overall coordination of research activities at the University.

(2)   Facilitate the establishment of a research administrative infrastructure linking the DRP with Faculties and Institutes. The administrative infrastructure shall aim at facilitating the research process and creating transparency, and thus minimize or even anticipate potential factors that may act as bottlenecks in the research process

(3)   Ensure that staff are actively engaged in research while maintaining a reasonable balance between teaching and research on the one hand and between research and consultancy work on the other

(4)   Enhance the capacity of research planning at Faculty, Institute and Departmental levels

(5)   Encourage members of staff to do research by recognizing and rewarding its outstanding researchers

(6)   Ensure that a staff member's research output contributes to the promotion of his/her academic growth and development

(7)   Commit resources, if and when available, to new research areas after identifying   its existing research strengths in strategic areas

(8   Identify and reform any policies and practices that hinder or discourage staff from engaging in research

(9) Encourage collaborative research with other institutions and communities within and   outside the country

3.5 Approving, controlling and monitoring of research activities

Through the Research and Publications Advisory Board, the University will put in place an operational mechanism that will ensure consistency and uniformity in the research process in all the academic units of the University. Accordingly, the University shall:

(1)   Ensure that all academic units follow one general framework guiding the preparation and approval of all research projects except where certain disciplines have their own established traditions. The relevant framework will address the following processes and related issues:

       (a)   Initiating a Research Project
       (b)   Preparation of a Research Proposal following the University approved format
       (c)   Evaluation of a Research Proposal on the basis   of quality, relevance, significance, soundness and resource requirements
       (d)   Planning and budgeting guidelines
       (e)   Registration of research projects
       (f)   Control and monitoring of research projects through research progress reports
       (g)   Guidelines on presenting research reports
       (h)   Guidelines on the format of the University research contracts
       (i)   Guidelines on the format for Peer-review Reports

 (2)   Ensure that Research Projects within the approved agenda are given priority

(3) Ensure that all research proposals are subjected to the approval procedures of the University before being accepted for funding

(4) Sign a contract with the researcher(s) when the project has been approved irrespective of the source of funding. In cases of joint ownership of the research output, the contract shall be between the researcher(s) as one party and the joint sponsors as the other party

(5) Scrutinize the relevant contractual requirements for each project. Accordingly, all funds obtained through staff's own initiative shall be declared to the University.

 (6) Cause to be opened a project account specifically for the funds from an externally-funded project. The project account shall be closed as soon as the project has come to an end and satisfactory accountability has been provided

3.6 Sharing information on research funding opportunities and resources
   The University shall:
   (1) Ensure that research opportunities are made known to all members of staff and that such opportunities are allocated in a transparent manner
   (2) Encourage sharing of research resources in order to fully utilize whatever research resources are available
   (3) Coordinate the sharing of sources of information of academic value including books, journals, electronic information (including sources of such information like the Internet)
   (4) Set up a mechanism for accessing and sharing university-wide research resources by faculties and departments
   (5) Ensure that specific project-generated research resources, other than financial ones, will be shared upon negotiation with the department that owns the project. The holders of such resources shall exercise flexibility in the sharing of such resources with other departments.

3.7 Research training
The University recognizes the fact that training represents a significant area of national investment in research and development. In this regard, training shall target staff and research student needs. In view of this, the University shall:
   (1)   Strengthen and emphasise, through the DRP and the DGT, research training at both the postgraduate and undergraduate levels by ensuring that there is a relevant and quality research training component in the curricula
   (2)   Ensure that research proposals with a research training component shall be given priority
   (3)   Ensure that staff are helped and facilitated in preparing fundable research proposals
   (4)   Devise a mechanism for allocating research training scholarships to different academic units on the basis of demand and performance
   (5)   Require the Human Resource Unit of Staff Development puts in place a detailed research training plan for members of staff

3.8 Collaborative research
In recognition of the role of collaborative research, the University shall:
   (1)   Recognize two forms of research collaboration, namely: external collaboration involving a Kabale academic unit and an entity or entities outside the University and, internal collaboration involving two or more units within the University
   (2)   Encourage and promote collaborative research with demonstrable potential benefits to the University
   (3)   Require that a fulltime member of the University staff serve as the Principal Investigator or the co-Investigator in collaborative Research Project initiated by the University
   (4)   Encourage internal collaborative research projects of a multidisciplinary nature
   (5)   Ensure that multidisciplinary research projects are hosted in the academic department where the Principal Investigator belongs
   (6)   Require that the components of the multidisciplinary research project be approved by the relevant departments
   (7)   Require that the majority of the research activities of a multidisciplinary project be conducted in the host department

(8)   Insist that members of staff participating in any multidisciplinary collaborative research project should report progress to their own departments with copies to the hosting department and to the Directorate of Research and Publications

(9)   Ensure that collaborating parties agree on the sharing of administrative costs

3.9 Quality assurance in research

Research Management requires that research activities are systematically planned in order to ensure that the research output satisfies specified requirements for quality. In this regard, the University shall:

(1)   Develop and publish Research Quality Assurance guidelines

(2)   Ensure that all applications to do research adhere to the quality Assurance guidelines

(3)   Ensure that approval of research proposals takes into account the University research quality checklist

(4)   Through the Directorate of Research and Publications, the University shall monitor the quality and number of publications resulting from research done by the University academic staff

(5)   Through the Directorate of Research and Publications, the University shall conduct regular surveys to provide feedback on the quality and value of the output of research done by the University academic staff

(6)   Through the Directorate of Research and Publications, conduct peer review of research projects carried out by staff at the University

(7)   Through the Directorate of Research and Publications, the University shall conduct a review of research performed at the University at intervals that coincide with the review of the Research Agenda

(8)   Encourage and support internal workshops, seminars and conferences as part of quality assurance

3.10 Rewarding research performance and excellence

(1) The University shall:

   (a)   Put in place indicators to measure research excellence

   (b)   Annually assess the research performance of individual staff members, academic departments and multidisciplinary teams

   (c)   Annually reward individual academic staff, departments and multidisciplinary teams in order to encourage improved research performance

   (d)   Put in place a transparent remuneration scheme designed to   motivate staff by making research activity financially attractive.

(2) The implementation of the research staff remuneration scheme shall be part of the Research and publications Policy.

   (3) The staff research remuneration scheme shall be reviewed regularly at the time when the University Research Agenda is being reviewed

3.11 Intellectual property and copyright issues

The University shall develop an Intellectual Property and copyright Management Policy that will specify the provisions to govern the ownership of research output and related issues.

3.12 Dissemination of research output

Subject to the relevant provisions of the Intellectual Property Policy, the University shall:

(i)   Encourage and support the dissemination of research results through Faculty/Departmental Seminars, Workshops and Conferences

(ii)   Require, for purposes of Clause 3.13(i), that all research proposals include a component of organising seminars, workshops, conferences or symposia

(iii)   Require each Faculty/Institute conduct an annual workshop to review their Research Agenda, progress and output. Annual Research Workshops shall also include presentations of academic papers. Key stakeholders shall also be invited to these workshops

(iv)   Encourage and support dissemination of research results through local and international fora including peer-reviewed departmental or external journals

(v)   Encourage and support the establishment of Faculty/Department Journals through which to publish articles arising from research done by University staff

(vi)   Set up a Publishing Unit for the publishing needs of the University of which research publications are paramount

3.13 Ethical issues

Acceptable research practices constitute an important element of the research process. In recognition of this fact:

a)   The University shall develop and enforce a Research Ethics Policy.

b)   The University shall take corrective measures against non-compliance of the provisions of the Research Ethics Policy.

3.14 Research culture at the University

The University recognizes that quality of research together with the way such research enhances the University academic programmes, provides significant indicators of the excellence of the institution. In recognition of this fact, the University is committed to developing a vibrant and sustainable research culture which builds and strengthens its research capacity, generates knowledge that enhances teaching and outreach activities, generates resources, rewards excellence in research and propels the University towards realizing its Vision and Mission. In order to develop and sustain a vibrant research culture, the University shall:

a)   Educate its staff on the Research Policy in general and on the University Guidelines on research operational procedures in particular

b)   Promote and encourage research teamwork and networking

c)   Instill a research culture into its students and staff through training undergraduates and graduates in research.

d)   In view of Clause 3.14c, the University shall:

        (i)   require postgraduate students to present their research proposals at staff- student seminars before such proposals are formally defended

        (ii) encourage postgraduate students to publish individually or with their supervisors, at least one article based on their research before they are allowed to graduate

3.15 Commercialization of research output

Subject to the provisions of the Intellectual Property Management Policy (to be developed), the University shall work with a researcher to commercialize the latter's research output on the basis of whether such commercialization will benefit the University and the country at large.

3.16 Consultancy work

(1)   The University shall put in place a Consultancy Policy to govern consultancy work done by members of staff. The policy shall apply to both private and institutional consultancies

(2) Where appropriate, the University consultancy policy on private consultancy will apply to external consultancy contracts.

(3) While private consultancies are encouraged, institutional consultancies will be given preferential support.

(4) The University will put in place a quality management system for monitoring the quality of all institutional consultancies.

3.17 Disposal / relocation of research project resources

a) Unless otherwise clearly provided for, all equipment purchased for the purposes of a research project shall remain the property of the University.

b) University regulations and procedures governing the disposal of any property shall be applied providing that they do not infringe upon the national laws.

c) After completion of the Research Project, the researcher or academic unit which had the relevant resource shall be given priority in its redeployment.

SECTION 4 IMPLEMENTATION OF THE RESEARCH POLICY

4.1 Research Policy Implementing Agencies

Implementation of the University Research Policy shall be carried out through the following agencies:

(1) Directorate of Research and Publications (DRP).

(2) Research and Publications Advisory Board (RPAB).

(3) Faculty and Departmental Research and Publications Committees.

4.1.1 The directorate of research and publications

There shall be a Directorate of Research and Publications with the overall responsibility of coordinating all academic research activities and ensuring that all aspects of the Research Policy are implemented effectively and efficiently.

4.1.2 The Director

(1) There shall be a Director of the Directorate of Research and Publications who shall report to the DVC responsible for research and research related activities at the University

(2) The Director of Research and Publications shall be responsible for:

(i) The custody of the Research and Publications Policy that will guide the research activities at the University

(ii) Developing a dynamic policy on the sourcing and effective administration of research funds

(iii) Promoting a sustainable research and publications culture within the University

(iv) Establishing and maintaining a consultative relationship with the Directorate of Postgraduate training in order to advance the mutual interests of both Directorates

(v) Initiating policy guidelines in other research related areas

(vi) Advising Senate on policy matters in areas of funding staff research and publications activities

(vii) Ensuring that University research priorities are implemented effectively and efficiently through a tracking mechanism to ensure compliance with operational guidelines

(viii) Coordinating faculty and departmental efforts in generating a University Research Agenda

(ix) Safeguarding the Intellectual Property rights of Kabale University researchers

(x) Facilitating research cooperation within and outside the University

4.1.3 The Deputy Director

There shall be a Deputy Director of Research and Publications who shall report to the Director

(a) The Deputy Director shall be responsible for the day-to-day running of the Directorate of Research and Publications by overseeing the various dockets that fall within the jurisdiction of this portfolio such as managing staff research records including research abstracts, research reports, books and other publications.

(b) In the absence of the Director, The Deputy Director will perform the functions of the   Director in the capacity of Acting Director.

4.1.4 The Research and Publications Advisory Board

(1) There shall be Senate Committee to be known as the Research and Publications Advisory Board

(2)   The Research and Publications Board shall be responsible for advising Senate on all matters related to Research and publications at the University and generally assisting the Director of Research and Publications in the implementation of the Research Policy. In this role, the Research and Publications Advisory Board shall:

    (i)   Promote, coordinate and monitor all staff research and publications activities including allocation of research resources

    (ii)   Promote quality research publications and dissemination of knowledge relevant to the socioeconomic development needs

    (iii)   Oversee the preparation of the University Research Agenda through consultations with the University Faculties and Institutes and other stakeholders

    (iv) Facilitate staff to:

        (a)   Carry out viable research projects individually and/or jointly with fellow staff, with other partners outside the University and/ or with Kabale University students

        (b)   Attend and/or present papers at academic conferences, symposia, seminars and   workshops

    (v)   To facilitate the publication of:

        (a)   Staff research outputs in the form of books, articles in journals, monographs, occasional papers, etc…

        (b)   Research Bulletins on completed or ongoing research

        (c)   Annual Research Reports from various sectors of the University

        (d)   Tailor-made textbooks, teaching manuals and subject reference books

        (e)   Graduate thesis/dissertation abstracts, articles based on theses/dissertations or even whole theses/dissertations after appropriate revisions and editing

(3) The Research and Publications Board shall be composed of the following membership:

    (a) The Director, chairperson

    (b)   The DVC (AA)

    (c)   The Deputy Director

    (d)   Faculty/Institute representatives

    (e)   A representative of the Directorate of Graduate Training

    (f)   The Academic Registrar

    (g)   The University Librarian

    (h)   The University Bursar

(i) A co-opted member including a senior academic from each Faculty/Institute who is not a Dean or Head of Department but who has demonstrable research and publications track record

4.1.5 Faculty/Institute and Departmental Research committees
There shall be Faculty/Institute Committees with the following roles:
(1)	Faculty Research and Publications Committee shall assist the DRP in general and the Faculty/Institute in particular in implementing the Research Policy, by developing Faculty/Institute Research Agendas and providing initial appraisal of staff research projects submitted for funding.
(2)	A Faculty/Institute Research and Publications Committee shall consist of Heads of Department chaired by the Dean/Director
(3)	Two senior academics from the Faculty/Institute may be co-opted to the Faculty/Institute Research and Publications Committee
(4)	Departmental Research and Publications Committee: shall perform a role is similar to that of the Faculty Research Committee but at the level of an academic department
(5)	A Departmental Research and Publications Committee shall consist of at least three members chaired by the Head of Department

4.2 Research Operational Strategies

 As the overall implementing organ of the Research Policy, the Directorate of Research and Publications shall:
(a)	Coordinate internal and external linkages on all matters related to research
(b)	Coordinate the process of implementing the policy by setting up links with relevant administrative officers of the University and researchers at Faculty and Departmental levels

4.2.1 Interaction with relevant University administrative officers
The Director shall:
(1)	Work closely with the relevant University officers to implement the University Strategic Plan aspects related to research
(2)	Coordinate the identification and rewarding of excellence guided by the Human Resource Management Policy of the University
(3)	Do the utmost possible to influence proactive University policies to ensure that research interests are promoted and safeguarded

4.2.2 Interaction with researchers
The Director shall:
(1)	Facilitate securing research funding from all possible internal and external sources, both public and private
(2)	Standardize internal research administrative mechanisms
(3)	Ensure participation of researchers and potential researchers in generating the University Research Agenda
(4)	Facilitate dialogue between researchers and donors of research funds
(5)	Establish the publication of regular Research Bulletins, Annual Research Reports and Newsletters indicating the current status of research activities at the University

4.3 Research management

This shall be assigned to a unit under the DRP, and effective research management will focus on the following issues:

4.3.1 Identification and management of research resources:

(1)   Identification of potential sources of research resources, both internally and externally
(2)   Identification of strategies for mobilizing and accessing research resources
(3)   Circulating relevant information relating to specific research opportunities to all concerned
(4)   Regularly publicizing information on potential sources of research funds and how to access them
(5)   Organising regular research resource workshops at which existing and new opportunities for research funding shall be presented and discussed
(6)   Compiling the University Annual Research Report summarizing annual activities performed under all research grants

4.3.2 Research databanks and dissemination of research results

The Directorate of Research and Publications shall:

(1)   Set up, maintain and update a research database where relevant information shall be regularly published on the University Research Website
(2)   Set up and maintain an accessible databases containing abstracts of the University research effort and other related documents
(3)   Annually compile and print a hard copy of a Bulletin of Research Abstracts
(4)   Regularly search and furnish information related to research funding for the   benefit of all academic units of the University
(5)   Produce a brochure for the purposes of marketing the University research services
(6)   Establish collaboration with local, national, and international databases

4.3.3 Research Performance indicators

(1) The Directorate of Research and Publications shall develop and put in place a mechanism for regularly monitoring and reporting on the following research performance indicators at the University:

>   **(a)**   Research Agenda
>   **(b)**   Research Training
>   **(c)**   Research Projects completion rates
>   **(d)**   Staff research publications
>   **(e)**   Facilities and access to information on research
>   **(f)**   Proportion of staff engaged in research
>   **(g)**   Proportion of staff with published research output in the last year of the 3-year   Research Policy cycle
>   **(h)**   Establishment of research networks involving collaboration with external universities and other academic and research institutions

(2)   For each of the above indicators, the Director will consult with the Research and Publications Advisory Board on what the benchmarks should be.
(3)   Reporting on the indicators shall be bi-annual.

SECTION 5 RESEARCH OPERATIONAL GUIDELINES

5.0 Introduction

In order to effectively and efficiently operationalize the Research Policy, it is necessary to standardize and harmonize the research process. To achieve this, there shall be a set of operational guidelines to serve as an integral component of the Research Policy implementation process The relevant guidelines are summarised in the following Table

O/CODE	IDENTIFICATION	LOCATION
ROP1	Structure and content of research proposals	Annex 1
ROP2	Appraising and approving research proposals	Annex 2
ROP3	Recording research proposal appraisal and approval proceedings	Annex 3
ROP4	Guidelines on preparing and presenting research budgets	Annex 4
ROP5	Research contract format	Annex 5
ROP6	Writing and presenting Research Progress Reports	Annex 6
ROP7	Writing and presenting Final Research Reports	Annex 7
ROP8	Writing and presenting Peer-review Research Reports	Annex 8
ROP9	Registration of research projects	Annex 9

5,1 **Guidelines on the structure and content of research proposals**

Research proposals submitted for funding by the University shall conform to the following checklist of guidelines specified in ROP1 located in Annex 1

(1)   Title of the Proposed Research Project

 (2)   Background to the Research Problem.

(3)   The Research Problem

(4)   Objectives

(5)   Literature Review

 (6)   Research Methodology

(7)   Project Work plan

 (8)   Organizational and Management Plan

 (9)   Anticipated outputs and Utilization Plan

 (10)   Training component

(11)   Research Budget

 (12)   Significance

 (13)   Publication/ Dissemination of Results

5.2 Guidelines on appraising and approving research proposals

Departments and Faculties/Institutes shall strictly follow the guidelines provided in appraising and   approving research proposal submitted for funding by the University. The relevant guidelines are summarized below. Details of these guidelines are described in ROP2 located in Annex 2

 (1)   Initiating a Research Project

 (2)   Action by the Departmental Research Committee

(3)   Action by the Faculty Research and Publications Committee

 (4)   Action by the Research and Publications Advisory Board

5.3 Guidelines on recording research proposal appraisal and approval proceedings

Research proposal appraisal and approval proceedings shall be recorded in an approved format. It shall be used to record a summary of the deliberations of appraising agencies including departmental and faculty research and publication committees as well as the Research and Publications Advisory Board. Details of the guidelines are specified in ROP3 located in Annex 3

5.4 Guidelines on the research contract format
All recipients of University research funding shall sign a contract with the University specifying terms and conditions of the use of the research grant. A sample of the contract is specified in ROP4 located in Annex 4

5.5 Guidelines on writing and presenting Research Progress Reports
Research progress reports shall be written and presented in an approved format specifying the key aspects listed below.
 (1)   Description of the Research Project
            A summary of the research project shall be provided
 (2)   Project objectives
           Provide a brief statement of the project objectives indicating any revisions in the objectives and the reasons
           for the revision
 (3)   Progress since Last Report
             A summary of the work done and results obtained hall be provided. The summary should be sufficiently
            informative to form the basis for an informed critical review of the work by the DRPC (Max. 2 pages)
 (4)   Progress toward achieving Project objectives
 (5)   Financial statement of income and expenditure during the period covered by the Report
             A recipient of the University research funds shall provide an interim financial accountability report in
            accordance with the guidelines specified in ROP5 located in Annex 5
            A sample and details of the relevant guidelines are found in ROP5 located in Annex 5

5.6   Guidelines on writing and presenting Final Research Reports
          Final research reports shall be written and presented in an approved format a sample of which is specified
          in   ROP6 located in Annex 6

5.7   Guidelines on writing and presenting Peer-review Research Reports
          Peer-review research reports shall be written and presented in an approved format a sample of which is
          presented in ROP7 located in Annex 7

5.8   Registration of funded Research projects
          All funded research projects shall be registered with the Directorate of Research and Publications. A
          Research Project shall be numbered serially preceded by the Relevant Faculty/Institute and followed by
          the Department and Year codes in accordance with the guidelines specified in ROP8 located in Annex 8

ANNEXES

ANNEX 1
ROP1 Guidelines on the structure and content of research proposals
Research proposals submitted for funding by the University shall conform to the following checklist of guidelines :

(1) **Title of the Proposed Research Project**
   a) The title should be sufficiently informative in order to reflect the nature of the proposed study.
   b) Once approved, the title of the project cannot be changed in any way without the written consent of the RPAB through the relevant FRPC.

(2) **Background to the Research Problem**
   The applicant for University research funding must provide a clear and detailed description of the phenomenon which provides justification that there is a problem which requires investigating.

(3) **The Research Problem**
   a) A clear and concise statement of the research problem or issues to be investigated is required.
   b) This statement must have a clear relation to the information described in the background section.

(4) **Objectives**
   An explicit statement of the strategic objectives of the study should be provided. Specific objectives and targets must be clearly stated in order to facilitate evaluation and monitoring of the research project.

(5) **Literature Review**
   The applicant must show how previous research is related to what is being proposed. The literature review should constitute a summarised survey and critique of what is currently known on the subject and in which way the proposed study will contribute to the advancement of in order for the knowledge with reference to the problem to be investigated.

(6) **Research Methodology**
   The applicant should provide a comprehensive research plan by identifying and describing the various phases of the proposed project together with the proposed research methods, and data-collection and analytical tools. This section should also describe the facilities and equipment to be used.

(7) **Organizational and Management Plan**
   a) The applicant should provide a clear indication of the duration and phases of the project DRP to set aside the funds approved for the project.

   b) Details of human resource requirements, work plan schedules and organizational structure of the Research Project should be provided in this section in order to draw up monitoring schedules. The research plan, including implementation timelines for major activities should be graphically illustrated by means of bar charts and key decision points.

(8) **Anticipated outputs and Utilization Plan**
   Research findings related to the research problem constitute the anticipated outputs of the project. These outputs must tally with the objectives specified in Section 3 of the proposal. This section must also provide a description of the planned steps to be taken to utilize the research results.

(9) **Training component**

This section should specify the staff training component aimed at improving the professional research capability of staff engaged in the research project.

(10) Research Budget

The estimated budget for the Research Proposal should be itemised and presented in a clear format under the following headings:

(i)Direct Costs

    (a)   Equipment (tools, books, etc) if any

    (b)   Fees to supporting staff/research assistants

    (c)   Manual labour costs

    (d)   Consumables/materials

    (e)   Report writing and production costs

    (f)   Communication facilities (telephone/airtime, internet/e-mail, etc)

    (g)   Dissemination (workshop/seminar/conference)

(ii)Travel and Local Transport

    (a) To/from the work station

    (b) Local transport in the research area

(iii)   Special requirements

(iv)   Subsistence Allowances

    (a)   Local Assignments per diem

    (b)   Daily subsistence Allowance (DSA)

    (c)   External Assignments per diem

    (d)   Other expenses

(v) Honorarium

(vi) Research overheads

(vii) Subtotal

(vii) Contingencies: an approved percentage of subtotal

(ix)Grand total

(11)   Significance of the proposed research

This section should clearly describe the importance of the proposed research to justify the proposed expenditure. The applicant should indicate how the research output will reach the end-users. Other points to consider should include contribution of the research project to the University's capacity building in research, teaching, and the socioeconomic development of the community, and any other relevant points including probability of success of the proposed study

(12)   Publication/ Dissemination of Results

The applicant should indicate where and in what form the research results will be published/disseminated

ANNEX 2

ROP2 Guidelines on the process of appraising and approving research proposals

Departments and Faculties/Institutes shall strictly follow the guidelines provided in appraising and and approving research proposal submitted for funding by the University. Details of these guidelines are described in Annex 2

5.2.1 Initiating a Research Project

(1)   An applicant for the University research funding shall prepare an acceptable research proposal in accordance with the specifications of the approved format (see Section 5.1 above). The proposal should be submitted to the RPAB with the applicant's CV through the appropriate Departmental and Faculty/Institute Research and Publications Committees

(2)   In order to minimise administrative problems and to ensure maximum efficiency, no researcher should undertake more than one research project at the same time unless determined otherwise by the Research and Publications Advisory Board

5.2.2 Action by the Departmental Research Committee

(1)   The DRPC will receive the Research Proposal and consider its merits in terms of its compliance with the Guidelines provided, its relevance, quality and budgetary estimates.

(2)   Previous satisfactory research performance of the applicant shall also be taken into account.

(3)   In general, joint research projects with a training component shall be be given preference to individual ones. Since the University encourages international collaborative research projects, special preference will also be given to such projects.

(4)   After considering the merits of the research proposal in the terms specified above, the DRPC may take any of the following alternative courses of action:

    (a)   Accept and forward the Research Proposal to the FRPC with the appropriate recommendations

    (b)   Return the proposal to the applicant for revision and subsequent resubmission

    (c)   Interview the applicant after which the DRPC may accept the proposal in its revised form and forward it to the FRPC, or accept the proposal subject to minor revisions

    (d)   Reject the proposal outright if it is of sub-standard quality both in content and presentation

(5)   a)   Where a research proposal is rejected and the applicant is not satisfied with the decision,   appeal may be made to the Research and Publications Committee (DRPC) of the relevant Department for review.

    b)   The DRPC may endorse or reverse an earlier decision to reject the research proposal

    c)   If the proposal is rejected by the DRPC for the second time, no further appeals will be   allowed.

5.2.3   Action by the Faculty Research and Publications Committee

(1)   The FRPC will receive and scrutinize the research proposal to ensure that it is in line with the Faculty Research Agenda.

(2)   The FRPC shall particularly scrutinize the research problem, objectives, research methodology, time schedules, etc, and make specific recommendations on the area of coverage and resources required.

(3)   If the FRPC is satisfied with the merits of the research proposal, it will forward it to the RPAB with appropriate recommendations.

(4)   a)   Where a research proposal is rejected and the applicant is not satisfied with the decision,   appeal may be made to the Faculty Research and Publications Committee (FRPC) of the relevant Faculty for review.

    b)   The FRPC may endorse or reverse an earlier decision to reject the research proposal

    c)   If the proposal is rejected by the FRPC for the second time, no further appeals will be   allowed.

5.2.4Action by the Research and Publications Advisory Board (RPAB)

(1) After considering the merits of the research proposal and the recommendations of the FRPC, the RPAB shall take any of the following alternative forms of action:

- (a) Approve the research proposal for funding
- (b) Approve the proposal subject to minor revisions to be made by the applicant
- (c) Return the proposal to the FRPC for review and subsequent resubmission if the guidelines and procedures have not been followed.

Faculty/Institute_____

Department_____

DRPC/FRPC/RPAB _____

[please specify appraising agency]

Name(s) of the applicant(s):_____

ResearchTitle:

- (d) Reject the proposal outright if the Board is sufficiently satisfied that the proposal is sub-standard in terms of content and presentation

(2) In case a research proposal is rejected by the RPAB and the applicant is not satisfied with the decision, appeal may be made to the Vice Chancellor who will either endorse the rejection or return the proposal to the RPAB with appropriate recommendations

ANNEX 3

ROP3 Guidelines on recording research proposal appraisal and approval proceedings

Research proposal appraisal and approval proceedings shall be recorded in an approved format. It shall be used to record a summary of the deliberations of appraising agencies including departmental and faculty research and publication committees as well as the Research and Publications Advisory Board. Details of the guidelines are specified below:

(1) Background Section

    Clear and concise: [Yes]   [No]

    Please, justify a NO response _____

(2)Research Problem:

    Clearly stated and is derived from the Background Section [Yes]   [No]

    Please, justify a NO response_____

(3)Objectives

    Clearly stated and related to the research problem   :[Yes]   [No]

    Achievable: [Yes]   [No]

    Please, justify a NO response_____

(4)Literature Review

    Comprehensive   [Yes]   [No]

    Relevant: [Yes]   [No]

    Up-to-date   [Yes}   [No]

Please, justify a NO response_____

(5) Research Methodology

Appropriate:	[Yes]	[No]
Well-designed:	[Yes]	[No]
Related to research objectives	[Yes]	[No]

Please, justify a NO response _____

(6) Applicant's Research Capability

Has adequate research competence: [Yes]   [No]

Please, justify a NO response _____

(7) Budget

Realistic:	[Yes]	[No]
Justifiable	[Yes]	[No]

Please, justify a NO response _____

(8) Recommendation

Do you recommend approval of the research proposal?

[Yes]   (As presented)

[Yes]   (Subject to minor revisions as indicated under comments)

[No]   (As explained in Section 9 below)

(9) Reasons for Rejection of the Proposal:

_____

5.4 Guidelines on preparing and presenting a research budget

All applicants for University research funding must populate their research budgets in accordance with the approved budget format details of which are found in Annex 4

Faculty/Institute_____

Department_____

ResearchTitle_____

Principal Researcher_____

Co-researchers

SUMMARY OF RESEARCH BUDGET

EXPENSE CODES	TOTAL	Instal.	2ndInstal.	3rdInstal.	Final
1.DIRECT EXPENSES					
1.1 Equipment					
1.2 Literature					
1.3 Supporting staff					
1.4 Labour costs					
1.5 Consumables					
1.6 Report writing costs					
1.7 Dissemination:					
2.TRAVEL & LOCAL TRANSPORT					
2. 1From/To Kabale					
2.2 Local transport in research area					
2.3 Special requirements					
3.SUBSISTENCE ALLOWANCES					
3.1 Local Assignments per diem					
3.2 Daily subsistence allowance					
3.3External Assignments per diem					
3.4 other expenses					
4. HONORARIUM					
5.TOTAL					
6.contingencies(approved% of total)					
7. Research overheads (approved % of total)					
8 GRAND TOTAL					

NOTES

1. Expense estimates should be given under various headings as indicated in the Budget Format

2. Expense estimates should conform to the University approved rates

    a) Indicate the relevant cadre of supporting staff (if any), for how long and mode of payment, i.e. whether fixed rate per hour or lump sum payments.

    b) For consumables/materials and travel, indicate whether a foreign cost component is involved.

    c) State the applicable per diem/subsistence allowance, duration of stay, accommodation charges per night, food costs, etc.

    d) State travel costs from and to Kabale together with local transport costs in the area of research. If travel is by road indicate verifiable distances to be covered.

    e) If travelling by University or personal vehicle indicate the total distance to be covered and the applicable rates. Allow for driver's expenses.

3.Where applicable explanatory notes must be provided

ANNEX 4
ROP4 Guidelines on the research contract format
KABALE UNIVERSITY DIRECTORATE OF RESEARCH AND PUBLICATIONS
RESEARCH CONTRACT

This contract is between the Researcher(s) herein and Kabale University   .

1.   Name(s) of the Researcher(s):
   a)   _____(Principal Researcher)
   b)   _____
2.   I,_____the Principal Researcher undertakes, on behalf of my co-researchers, to carry out the Research Project entitled _____and code-named_____
3.   The research will last_____
4.   The University undertakes to provide funding for the proposed research project for a total amount of UGX_____ (amount in words) subject to the availability of funds.
5.   Payment will be in accordance with the approved budget and in accordance with the disbursement schedule specified in the budget attached to this contract.
6.   All supporting staff including secretarial, technical and auxiliary staff will be from Kabale University community. Permission to employ supporting staff from outside the University must be obtained from the Director, DRP.
7.   The University reserves the right to withhold payment if it is not satisfied with the progress of the research project.
8.   the researcher agrees to submit research progress reports to the DRP and financial accountability reports to the university bursar at intervals specified in the research proposal
9.   The researcher(s) shall be required to fully or partially refund to the University payments received in case of non-performance or under-performance as reflected in the progress reports.
10.   Kabale University and the author shall have a five-year joint copyright on the research output. At the end of the five-year joint tenure, the copyright shall go to the author.
11.   **Signed:**
   (1)_____   Date _____
   Principal Researcher
    (2)_____   Date_____
   The University Secretary on behalf of the University

   Cc:
   Director, Reswearch and Publications
   Dean/Director, Faculty/Institute of _____
   Head, Department of_____
  Vice-Chancellor
  DVC (AA)
  The University Bursar

5.6 Guidelines on writing and presenting Research Progress Reports
Research progress reports shall be written and presented in an approved format a sample of which is found in Annex 6

1. **Description of the Research Project**
   - a.   Title of the Project_____
   - b.   Principal Researcher _____Dept_____
   - c.   Starting date of the Project_____
   - d.   Estimated date of completion of the Project : Initial_____ Latest_____
   - e.   Period covered by this report: From _____ to _____
   - f.   Period covered by previous report: From_____to_____
   - g.   Estimated cost of the Project: UGX_____
   - h.   Funds allocated to the project for:

Phase 1   Phase 2   Phase 3   Phase 4

UGX_____   **UGX_____UGX_____ UGX _____ TOTAL: UGX_____**

2.0 Project objectives
Provide a brief statement of the project objectives indicating any revisions in the objectives and the reasons for the revision

3.0 Progress since Last Report
Provide a summary of the work done and results obtained. The summary should be sufficiently informative to form the basis for an informed critical review of the work by the DRPC (Max. 2 pages)

1.0   Progress toward achieving Project objectives
Describe the progress made so far and any problems encountered in the course of this phase of your project. State the findings (both positive and negative) in so far as they relate to the objective of the research project. In case you encountered any problems, indicate whether such problems are likely to affect the duration, original total cost and the likelihood of the success of the project

2.0   Financial statement of income and expenditure during the period covered by the Report
PERIOD COVERED:::From:_____To:_____

COST CODE	AMOUNT/BF	AMOUNT/RCD	AMOUNT/EXP	BALANCE
Direct expenditures				-
Travel and local transport				
Subsistence			¤	
Honorarium				
TOTAL				

ANNEX 6

ROP6 Guidelines on writing and presenting Final Research Reports

Final research reports shall be written and presented in an approved format a sample of which is specified in Annex 6

    A. Report Cover Page

              KABALE UNIVERSITY

              (Name of Faculty/Institute)

              [University Logo]

              FINAL RESEARCH REPORTON

(Title of Research Project)
Research Report No._____
Author(s):
1._____
2._____
   [Date: month, year]

B. Research Report Content

The research report should include the following sections:

Abstract

Acknowledgements

Table of Contents

List of Figures (if relevant)

List of symbols used

Objectives

Literature Review

Methodology

Experimental details (where applicable)

Results

Discussion of results

Conclusions and recommendations

References/bibliography

Tables

Plates

Appendices

C. Report Writing Format

a)   Headings and sub-heading should be left-justified

b)   Use single line spacing with font size 12

c)   Left margin should be 1.5 inches; all other margins 1 inch

d)   Type on both sides of A4 page

e)   Use consistently your chosen style of referencing and citations

f)   Tables, Plates and Figures should either be included in the text in the appropriate locations or they should be placed after the references as appendices

D. Electronic Report

All research reports will be included in the University Electronic database; for this purpose, a hardcopy of the Research Report shall be accompanied by a soft copy.

ANNEX 7
ROP7 Guidelines on writing and presenting Peer-review Research Reports

Peer-review research reports shall be written and presented in an approved format a sample of which is presented in Annex 7

A. title and author(s) of the work to be peer-reviewed
a) Title:_____
b) Author(s):_____

B. General Evaluation
a) Comment on the editorial quality:_____
b) Comment on the presentation/layout: _____
c) Comment on the length of Research Report:_____
d) Comment on the quality of references and the citation style: _____
e) Comment on adherence to Approved Report Writing Format

C. Substantive Evaluation

a) **Abstract**: Adequately summarises the report: [Yes]   [No]
   Please, justify a NO response _____

b) **Introduction: Sufficiently detailed and informative:**   [Yes]   [No]
   Please, justify a NO response _____

c) **Objectives**

Clear and reflect what has been achieved in the research   [Yes]   [No]

   Please, justify a NO response _____

d) **Literature Review**
   The literature review is:

   i.   Relevant: [Yes]   [No]
   ii. Sufficient: [Yes]   [No]
   iii. Up-to-date   [Yes]   [No]
   Please justify a NO response in each case_____

   Experimental Details (where applicable)

   i.   Well described: [Yes]   [No]
   ii. Can be replicated: [Yes]   [No]
        Please justify a NO response_____

Results

   iii. Are they the expected ones?   [Yes]   [No]
   iv. Are they accurate?   [Yes]   [No]
   v.   Are they well presented?   [Yes]   [No]
        Please justify a NO response_____

   Discussion of the Results
   i.   Accurate?   [Yes]   [No
   ii. Exhaustive?   [Yes]   [No
   vi. Accurate?   [Yes]   [No]
   vii. Exhaustive?   [Yes]   [No]
        Please justify a NO response in each case_____

Other comments:_____

Conclusions and Recommendations:

    (1)Relevant and consistent with the analysis   [Yes]   [No

    (2)Consistent with the research objectives   [Yes]   [No]

          Please justify a NO response: _____

We/I recommend that the Report be published:

    (1)Without changes

    (2)With minor changes

    (3)With major revisions for the following reasons:

        _____

We/I do not recommend that this report be published because it is of poor quality for the reasons reflected in the comments of my/our report.

Reviewers' Names and Academic status:

(1)_____

Signature_____   Date_____

(2)_____

Signature_____   Date_____

ANNEX 8

ROP8 Guidelines on the registration of funded Research projects

All funded research projects shall be registered with the Directorate of Research and Publications. A Research Project shall be numbered serially preceded by the Relevant Faculty/Institute and followed by the Department and Year codes as illustrated below:

[01/2017/KS/ILS]

KEY:

01   Project No: 01

17   Year of Registration

KS   Department of Kiswahili

ILS   Institute of Language Studies