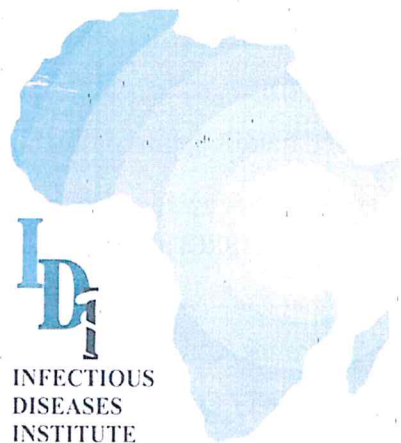




# Infectious Diseases Institute RESEARCH POLICY



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**ABBREVIATIONS**

IDI	Infectious Diseases Institute
MTA	Material Transfer Agreement
SOPs	Standard Operating Procedures
SSA	Sub Saharan Africa
SRC	Scientific Review Committee
UNCST	Uganda National Council for Science and Technology
NDA	National Drug Authority
REC	Research Ethics Committee
IRB	Institutional Review Board
RAIS	Regulatory Affairs Information System
ICEA	Integrated Clinic Enterprise Application
ICH-GCP	International Conference on Harmonization-Good Clinical Practice

## 1. BACKGROUND

The Research Policy is aligned with the IDI vision, mission and core values.

**Our Vision:**

A healthy Africa, free from the burden of infectious diseases.

**Our Mission:**

To strengthen health systems in Africa, with a strong emphasis on infectious diseases, through research and capacity development.

**Our Core Values:**

Caring, Integrity, Excellence, Innovation, Teamwork, Accountability.

This Research Policy is meant to guarantee the achievement of the Research Department Goal, which is: *To consistently produce outstanding, internationally-recognized scholarship in infectious diseases that influences global policy and practice, with emphasis on Africa.*

The brief intends to promote research, to create systems easy to navigate and in support of scientists, to build sustainable capacity building, and to avoid inconsistencies with and duplications of other local or international guidelines. Therefore, this policy is designed to strengthen links with;

1. Other Institutional Policies and SOPs.
2. Relevant Government Policy and National Codes of relevant Research Regulatory Agencies, particularly the Uganda National Science for Science and Technology.

IDI, as part of Makerere University, shall also adhere to Makerere University Research Policy, the College of Health Science Research Policy.

## 2. SCOPE OF THE POLICY

This policy applies to:

1. All departments of IDI, and all projects conducted by an IDI program.
2. Research conducted in collaboration with other entities (academic, public or private).
3. All staff employed by IDI.
4. All individuals, including part time employees, visitors, professors in resident, scholars, who are conducting research under the name of IDI.
5. All students (from Makerere or other Universities, both local, or international) of any degree conducting research at IDI or using data collected at IDI.

## 2.1. OBJECTIVES

To create a conducive environment for conducting high quality research and to generate relevant outputs which contribute to national and international knowledge and policy.

### Specific objectives

- 1) To ensure transparent research processes accountable to research participants, IDI staff, IDI partners and research funders.
- 2) To build research capacity by enhancing the abilities of individuals, departments and systems to undertake and disseminate high quality research.
- 3) To secure income, and to share and maximize the use of resources in order to improve sustainability of the research program.
- 4) To create a research promoting culture, which increases and encourages IDI staff to participate in research activities.
- 5) To create a research framework in order to harmonize systems for submission, implementation and execution of research projects.

## 3. POLICIES AND GUIDELINES

This section defines the scope and prioritization of research implemented at IDI. Research shall be guided by ethical principles for research involving human participants set forth in ICH-GCP guidelines, relevant international and national regulations and guidelines. Prioritization will be given to project aligned with the IDI Research Department Vision.

### 3.1. RESEARCH AT IDI

#### 3.1.1. Roles in Research

- 1) IDI shall encourage all type of research from all disciplines that support the organizations' vision, mission and values.
- 2) IDI researchers shall include, but not be limited to, IDI staff, affiliates, collaborators and partners. IDI encourages all staff to conduct research, regardless of the department they are employed in.
- 3) Resource mobilization shall be the primary responsibility of scientists, namely the Principal Investigators, and where applicable IDI staff may provide guidance and mentorship.
- 4) IDI shall provide infrastructure, administrative and management support.
- 5) All proposals formulated by researchers for research grants, fellowships and projects intending to utilize IDI resources including grants management, shall be reviewed and approved by the Head of Research prior to submission. Proposals must be submitted in

accordance with the detailed procedures laid out in the IDI Grants Submission Procedure SOP.

- 6) The Research department shall be responsible for;
  - a) Oversight and implementation of the research governance framework.
  - b) Quality Assurance (QA) and Regulatory Affairs oversight and implementation.
  - c) Capacity building at institutional, national and international levels.
- 7) The Principal Investigator shall bear primary responsibility for research oversight and management, including but not limited to; day-to-day resource management, study operations on site, participants' enrolment, study procedures and ethical conduct of research.
- 8) IDI shall support the formation of internal groups to build internal capacity in line with the capacity building goal.
- 9) IDI shall support the formation of research consortia to build internal and external capacity in line with the capacity-building goal.
- 10) Researchers shall facilitate training opportunities for IDI staff and university students in research to facilitate development of the next generation of scientists.
- 11) Principal Investigator shall proactively identify opportunities for research capacity building in any level of the Capacity Building Pyramid (structure/systems, staff infrastructure, skills, and tools).
- 12) All new awards given to IDI shall be jointly managed by the Research Office and Grants team, in collaboration with the Principal Investigators. This will ensure that implementation of research grants, fellowships and projects is approved by the Scientific Review Committee (SRC), IRB/REC, UNCST and NDA (if applicable).
- 13) All researchers shall comply with institutional and international policies and guidelines including but not limited to those governing:
  - a) Protection of human participants in research
  - b) Utilization of institutional resources and facilities
  - c) Human resource management
  - d) Research Integrity
  - e) Misconduct in research
  - f) Conflict of interest
  - g) Intellectual property rights
  - h) Authorship, publication and dissemination of research results
  - i) Data management
  - j) Data sharing
  - k) Confidentiality
  - l) Professional indemnity
  - m) Research participant liability/insurance

### 3.1.2. Prioritization

IDI's research priorities are informed by the needs of local, national and international communities. The priorities are documented in the organizational strategic plan which is reviewed and approved by the Board of Directors. The process of defining priorities for IDI involves:

- 1) Participation in stakeholder meetings for drafting and reviewing national research priorities
- 2) Compilation of national and international priorities
- 3) Regular review of the research priorities stipulated in the strategic plan

### **3.1.3. Establishment of Research Entities**

Researchers' seniority is demonstrated through development and leadership of research entities such as Networks, Research Units, Career Interest Groups and Peer Mentorship groups. IDI encourages this evolution in the research career pathway and this policy provides guidance for their establishment.

- 1) The role of research entities shall involve;
  - a) Advancing excellence and impact of research
  - b) Building capacity for research activities in entities' thematic areas
  - c) Facilitating resource acquisition for and external profile of IDI research activities
- 2) Entities shall be established by the Head of Department, Head of Units, and Researchers, provided they are funded.
- 3) IDI shall set minimum terms and conditions which entities must fulfil to be operationalized.

## **3.2. ORGANIZATION OF RESEARCH**

IDI's Research Governance and Management Framework is outlined in this section, summarizing the staff positions and responsibilities.

- 1) At institutional level, strategic and policy direction shall be provided by the Board of Directors, through the Executive Director.
- 2) At departmental level, the Head of Department, Research Office and Senior Scientists shall be responsible for implementation of the governance framework, oversight of research management, quality assurance and regulatory affairs, and developing departmental policies and strategies.
- 3) The Investigators shall be responsible for conducting the research studies as per GCP guidelines that includes among others; obtaining Ethical approval, study/trial oversight and implementation.
- 4) The Research office shall provide research management and support, and is also mandated to periodically review the system and ensure system strengthening. The Research Office shall report to the Head of Department, Research and also work closely with the grant and finance department.

### 3.3. FUNCTIONS OF THE RESEARCH SUPPORT OFFICE

Infectious Diseases Institute (IDI) recognizes the critical importance of providing comprehensive support to researchers in order to a) strengthen Health systems in Africa, with a strong emphasis on Infectious Diseases through Research and Capacity Development b) transform and maintain a Research Intensive Institution.

The critical mission of the research support office is to:

- 1) Provide overall leadership and coordination in the development of strategies, systems, guidelines and procedures; development of research administration and management capacity and, set the standards for the administration support and management for research across all departments with IDI.
- 2) Represent the Interest of Infectious Diseases Institute in its contractual relationships, such as drafting of Material Transfer Agreement (MTA), Memorandum of Understanding (MoU), etc. with external sponsors.
- 3) Provide regular updates on new policies or national/ international guideline changes.
- 4) Develop and continuously improve guidelines and processes for review of research proposals submitted to the Scientific Review Board (SRC).
- 5) Develop guidelines for ensuring compliance with all applicable sponsors' regulations, National Research regulations and the Institutes' policies as defined in the Research policy.
- 6) Notify and update the IDI community about potential funding & scholarship opportunities, and various sponsor policies and procedures.
- 7) Develop a system to ensure implementation of Good Research Practice guidelines in the conduct of Research in IDI.
- 8) Develop and implement a monitoring and evaluation (M&E) system for research to ensure availability of updated research databases such as (Regulatory Affairs Information System (RAIS), effective coordination and compliance of research with sponsor terms and conditions, IDI policies and standards.
- 9) Initiate, facilitate and maintain liaison with Industry, government agencies (NDA, UNCST etc.) and other stakeholders such as the Ministry of Health.
- 10) Develop relevant research databases (like ICEA, RAIS etc.), and monitor implementation of research projects through quarterly and annual project reports.

The Institute is committed to the strengthening of the Research support office through provision of adequate facilities, and human and financial resources in line with the agreed organizational structure of the office.

#### 3.3.1. Grants Management Services

The Research Support Office (RSO) shall develop and implement a grant management policy, system and procedure to provide comprehensive pre-and post-award services that adequately meet the requirements of IDI and funding agencies.

Pre-award services shall include (but are not limited to):

- 1) Identification of research related opportunities for staff and students (funding, training, conferences, workshops and collaborations).
- 2) Support in proposal development, institutional approval, and submission to funding agencies.
- 3) Negotiation of grants awards and contracts.

Post-award services shall include (but are not limited to):

- 1) Project management
- 2) Financial management
- 3) Compliance with funding agencies, Institutional and ethical requirements.

### **3.3.2. Research skills development (professional Development for Research)**

The Research Support Office (RSO) under the guidance of the Head – Capacity Building Unit (CBU), shall develop and support a research skills (professional) development program such as post-doctoral fellows, PhDs, or Masters. This may include a short training course as necessary to enhance research skills of and responsible conduct of research by staff and students.

### **3.3.3. Research Information services**

The Infectious Diseases Institute (IDI) recognizes that the availability of relevant research information for both researchers and users of research is a critical component of the research and development process. The Research Support Office (RSO) shall therefore be required to develop effective research information communication strategies to continuously provide information to the IDI community, policy makers and communities. The Information service shall include (but will not be limited to);

- 1) Development of relevant Research Databases.
- 2) Dissemination of funding, training, conferences and other relevant opportunities for research.
- 3) Organization of relevant forums for sharing of research information.
- 4) Publishing of departmental research updates and research achievements through peer reviewed publications (abstracts at Conferences and manuscripts in Journals) and electronic media (website, email and other e-communication platforms). Also includes showcasing successful research findings at local and international forums.
- 5) Development and updating of websites, research notice board and other electronic resources to provide research information and platforms for communication and discussion by researchers.
- 6) Facilitation of knowledge translation through engagement of policy makers, practitioners and communities.
- 7) Providing data management services for researchers to enhance quality of data.

### **3.3.4. Individualized Research Support Service**

Research Department shall provide research capacity building support to individualized staff and students including but not limited to:

- 1) Biostatistics support – data management and analysis
- 2) Epidemiological support – training in study design, sampling and sample size.
- 3) Mentorship program – In house mentors are assigned to master students who are under the department's scholarship program.
- 4) PhDs, Post docs and Fellows – are supported through regular assessments and running of soft skills trainings.

This will improve quality of proposals, successful submissions, data analysis and report writing skills.

### **3.3.5. Compliance Services.**

The Research Support Office shall provide support for grants management compliance, ethical, and institutional requirements for research. RSO shall develop and implement a monitoring and regulatory system framework for research to ensure availability of updated research databases, effective coordination and compliance of research with sponsor terms and conditions, IDI policies and standards.

## **3.4. RESPONSIBLE CONDUCT OF RESEARCH**

The IDI values excellence in research and scholarship. The institution is therefore committed to the highest standards of responsible conduct in research. The institute endorses the principles of research as articulated by the relevant national research regulatory authorities (UNCST and NDA) and relevant international codes of practice (e.g. ICH-GCP, Declaration of Helsinki). All local and collaborating investigators, research coordinators, national and international scholars, project managers and members of the research office are expected to be familiar with and to conduct their research and related tasks in accordance with these provisions and all other relevant legal, regulatory and policy requirements.

### **3.4.1. Acts of misconduct**

The Infectious Diseases Institute considers the irresponsible conduct of research to be a serious issue. The purpose of this policy is to articulate the institute's commitment and approach to the responsible conduct of research (RCR).

The Institute considers the following practices as the acts of misconduct:

- 1) Fabrication of data
- 2) Falsification of research
- 3) Plagiarism
- 4) Failure to acknowledge contributors to research
- 5) Abuse of confidentiality
- 6) Dishonesty in publication
- 7) Misappropriation and misuse of funds

- 8) Breach of human research subjects through negligence
- 9) Failure to report known incidents of serious research misconduct
- 10) Covering up or otherwise failing to report major offenses or misconduct of research known to oneself
- 11) Punitive action against informants of misconduct

### **3.4.2. Research roles and culture at IDI**

The IDI shall embrace the principles of a strong research culture where individuals:

- 1) Conduct and manage research with honesty and integrity
- 2) Conduct research with the highest ethical and safety standards
- 3) Respect human subject participants and the environment
- 4) Demonstrate good stewardship of public resources used to conduct research
- 5) Appropriately acknowledge the role of others in research
- 6) Communicate research results responsibly
- 7) Train, mentor, support and appropriately attribute research trainees

The IDI, through Research Staff Organogram, shall develop and implement a compliance oversight and management system to ensure adherence to the relevant codes of practice for research, and prompt remedial action when research misconduct is reported.

The IDI recognizes that research misconduct does not include honest error or honest differences in interpretation or assessment of data. The institution shall therefore strive to accurately distinguish between serious misconduct and honest error/differences in interpretation.

### **3.4.3. Procedures for reporting and handling misconduct**

Procedures for handling misconduct can be found in the *"SOPs to handle misconduct at IDI"*, however, in summary the procedure consist of 2 phases:

- 1) An inquiry - a preliminary review of the complaint and other information to determine if there is sufficient basis for an investigation of alleged misconduct. This does not yield a judgment on the question of guilt, although it can determine that an allegation lacks merit.
- 2) An investigation - a formal examination and evaluation of relevant information to determine whether misconduct has occurred. Such investigation will be conducted using a standing committee or an ad hoc panel of experts, depending on the case. The committee/panel shall produce a report that includes findings, and possibly recommendations, that form the basis for an adjudicatory decision by a responsible institutional official.

## **3.5. RESEARCH SCIENCE AND ETHICS**

This policy aims to ensure that the research conducted at the IDI is of the highest scientific and ethical standard. The institute is committed to protecting the rights, dignity, health, safety and privacy of the community and research participants, the integrity of the environment in which research is conducted in, and promoting access to the benefits of research through making research data

accessible in such a way that it can be utilized by members of the research community, policy makers, practitioners and other interested stakeholders.

Detailed information is provided in the *“IDI Regulatory Framework” document*

### **3.5.1. The Scientific Review Committee (SRC) at IDI**

The SRC at IDI reviews all research that is 1) conducted at IDI, 2) conducted by any IDI staff, 3) conducted by any IDI associated scholar.

Guiding principles used by the SRC members to evaluate the research proposal are 1) scientific soundness, 2) ethical aspects, 3) contribution to research capacity building and 4) aligning with IDI and Research Department strategic plan.

### **3.5.2. Regulation of Research**

The institute shall require that all research involving human participants be reviewed and approved by an Accredited Research Ethics Committee (RECs) and Regulatory Bodies (UNCST and NDA).

### **3.5.3. Monitoring and Quality Assurance/Quality Control of Research**

Activities related to monitoring studies at the IDI aim to:

- 1) Facilitate review and establish internal study specific systems for identifying gaps in study implementation.
- 2) Obtain solid data, achieve international acceptance and ensure patient rights, safety and wellbeing.
- 3) Ensure that the study is conducted as per the approved protocol(s).

Monitoring activities will include:

- 1) Reviewing the investigator file and ensuring all essential documents are updated.
- 2) Ensuring valid informed consent is sought from all participants prior to study activities.
- 3) Assessing overall capabilities - study personnel, facilities, and equipment.
- 4) Assessing investigational product and device accountability.
- 5) Ensuring that each study staff involved in research activities has a valid Good Clinical Practice Certificate, and Human Protection National Institute of Health Certificate where required, as well as current Practicing License where applicable.

Structure and schedule of monitoring visits at IDI

- 1) Every study involving human participants shall be internally monitored following the IDI monitoring plan and study specific monitoring schedules.
- 2) The types of visits will include site assessment (qualification), initiation/training visits, periodic monitoring visits, closeout visits and cause to monitor visits.
- 3) The visits will facilitate continual improvement in study conduct, where findings are evaluated to determine additional trainings.

- 4) The visits will facilitate review of quality control reports of high risk studies using a risk based monitoring approach.
- 5) The visits will facilitate training of study staff on utilizing the resources.
- 6) The visits will support external monitoring visits – IRB/REC, UNCST, NDA and Auditing and Inspection.

### **3.6. ACADEMIC CONFLICT OF INTEREST/ COMMITMENT**

This policy defines Conflict of Interest and Conflict of Commitment as any activity that may compromise an entity, collaborators, or staff affiliated with entities of the Institute.

#### **3.6.1. Conflict of Commitment**

All members of staff owe their professional allegiance to the institute, and time and intellectual effort should be committed to their primary functions of education, research and scholarship as defined in the relevant institutional regulations and employment conditions.

All members of staff, both full and part-time, are required to disclose any potential conflict of commitment.

#### **3.6.2. Conflict of Interest**

A conflict of interest occurs when there is a divergence between individual's private interests and his or her professional obligations to the institute such that an independent observer might reasonably question whether the individual's professional actions or decisions are determined by considerations of personal financial or other gain. Conflicts of interest are common and range from accepting rewards for extramural research activities, consulting fees, honoraria and sharing in royalties resulting from the commercialization of their work. While researchers should be rewarded for their efforts, it is improper for researchers' actions or decisions made in the course of their research activities to be determined by considerations of personal financial gain; hence, the institution should be sensitive even to the appearance of that possibility. Members should conduct their affairs so as to avoid or minimize conflict of interest, and must respond appropriately when conflicts of interest arise.

- 1) The institute requires that all staff declare any perceived or potential conflict of interest, including those of spouses and children, and seek the advice of the Research Office on how to proceed.
- 2) The research office shall educate the researchers about situations that generate conflicts of interest, to provide means for the institution to manage conflicts of interest.
- 3) The institute shall require staff not to use institutional resources including facilities, staff, students/other trainees, equipment or confidential information as part of their outside consulting or business activities or for any other purposes that are unrelated to the institute's business.

- 4) The Research office shall establish procedures for timely review of the researchers' disclosure of potential or apparent conflicts of interest and for management of such conflicts.

## 4. RESOURCE MOBILIZATION

### Resources Mobilization.

Sustainable research and its management require adequate and sustainable funding. The Infectious Diseases Institute, as far as possible, is committed to prioritizing provision and facilitating acquisition of funding for research and research training.

IDI, through its various research governance and management structures shall:

- 1) Develop and/or strengthen a resource mobilization strategy to guide efforts to engage various stakeholders and funding agencies.
- 2) Lobby the Government of Uganda to increase its allocation for research to the Institute.
- 3) Engage local and international funding agencies to mobilize funding for priority research areas.
- 4) Encourage Public-Private Partnership to promote research and development.
- 5) Develop robust strategies, systems and procedures for recovery of indirect cost associated with research.
- 6) Encourage knowledge translation that leads to patents or generates income.

Scientists and collaborators who intend to submit a grant through IDI (both as prime or sub-grantee) shall:

- 1) Approach the IDI Research Department Office in a timely manner
- 2) Follow the *"SOPs for grants submission at IDI"*
- 3) Build budgets following the IDI *"Budget guidelines"*

## 5. OVERHEAD COST

### Overhead Costs (Facilities and Administrative Costs)

The Infectious Diseases Institute (IDI) is committed to supporting research aided by different funding streams including the national government, international funding agencies, and internally generated resources. IDI shall, to the greatest possible extent, strive to provide the appropriate environment, infrastructure and equipment for research. Regardless of the source of funding, all research inherently carries indirect costs to the Institute.

Indirect costs reflect the institutional services, that are utilized in support of research, at rates provided by the Institutes' policy.

- 1) IDI shall therefore charge an overhead payment of a minimum of 10% on all externally funded research projects. Exemptions to this policy may only be approved by the IDI Senior Management Team (SMT) or negotiated if the sponsor has pre-existing policy on overhead rates.
- 2) The IDI SMT, through the RSO, and guided by relevant Institute policies, shall ensure the collection, management, sharing and utilization of overhead payments with the primary purpose of supporting research.

## 6. DISSEMINATION OF RESEARCH OUPTPUT

### Dissemination of Research Output

IDI Research aims to complement academia, and contribute to health, social and economic development of the country. IDI is thus accountable not only to the funders of the research, but to the community and the nation. It is the Institute policy that research is not complete until it is disseminated to the appropriate audience or end users.

IDI therefore encourages and is committed to supporting dissemination of research findings. Recognized outputs include but are not limited to the following:

- 1) IDI Research Forum. This is the preferred means of dissemination within the IDI and Makerere community. Scientists and scholars are expected to present their projects at the planning, ongoing, and end of the projects stages.
- 2) Local and international peer review journals.
- 3) Monographs, books, chapters in books and published conference proceedings.
- 4) Oral and poster presentation of research work at national and international conferences, seminars and workshops.
- 5) Policy briefs.
- 6) Community feedback on research findings.
- 7) Technical reports, professional society publications.

To facilitate dissemination of research output, IDI, through its relevant structures, shall create dissemination platforms at the institutional level and beyond as specified in the dissemination strategy.

IDI recognizes that freedom to publish or disseminate results is a major criterion of any research project. A contract or grant is unacceptable if it limits this freedom. Sponsors may limit this freedom in various ways such as:

- 1) Assigning ownership of results to the sponsor.
- 2) Giving the sponsor the final decision as to what may be published.
- 3) Placing an unreasonably long or unlimited delay period on the publication or dissemination of the information resulting from the work in a project.

IDI may make or recommend exceptions to this policy on agreed conditions with the sponsor, including considerations regarding national interest.

## 7. PUBLICATIONS

IDI encourages the dissemination of research findings to the Institute community as well as the regional and international communities.

- 1) Scientists at IDI must take all responsible steps to ensure that their findings are accurate and properly reported.
- 2) Scientists at IDI must ensure that they cite their work appropriately when disseminating research findings to avoid plagiarism.
- 3) Specifically, for conference abstracts: IDI scientist must follow the **SOPs for abstract submission** which include sending the proposed abstracts to the research office in order to avoid duplication and run the antiplagiarism software. Failure to do so will result in denial of any monetary support from the department, or withdrawal of the abstract, depending on the circumstances. All conferences material (abstract, poster, power point presentations) must display the IDI name and/or logo as an affiliation.
- 4) IDI scientists shall follow the **International Guidelines for the role of authors and contributors** - <http://www.icmje.org/recommendations/browse/roles-and-responsibilities/defining-the-role-of-authors-and-contributors.html>
- 5) Researchers must recognize that it is not acceptable to include the same research findings in several publications (duplication), unless it is stipulated. Researchers must take all responsible steps to obtain permission from the original publisher before republishing their findings.
- 6) Researchers shall be guided by the appropriate institution policies on publication and copyright protection (procedures for handling publication on copyright issues).

## 8. SCIENTISTS POLICY

The overall context for the scientist policy is the creation of an enabling environment for the achievement of the IDI research program goal (high-quality scholarship that influences policy and practice in the field of infectious diseases) while concurrently meeting the business objective of ensuring a sustainable research enterprise

### Research Scientist Appointments:

- 1) Shall be made in accordance with IDI HR policies and practices, and appointments shall be for a period agreed between the scientist and the appointing authority.

- 2) Will be linked to grants held at the IDI Grants and Contracts unit and for which he/she is the Principal Investigator or Co-Principal Investigator<sup>1</sup>. IDI shall reserve the right to terminate the contract of a Research Scientist based on availability of funds and/or non-satisfactory performance (documentation of which shall be consistent with the IDI HR policies.)

**The categories of scientists will include:**

**Post-Doctoral Scientist/Fellow:** Shall be an individual with a Ph.D. or an equivalent degree with less than 2 years of formal post-doctoral experience, or an individual working in a capacity which ordinarily requires a Ph.D. or a Medical Doctor<sup>2</sup> with less than 5 years' experience in mentored<sup>3</sup> research.

**Research Scientist/Associate:** Shall be an individual with a Ph.D. or an equivalent degree with at least 2 years of formal post-doctoral experience, or a Medical Doctor<sup>2</sup> with more than 5 years of experience in mentored research and grantsmanship.

**Senior Research Scientist/Associate:** Shall be an individual whose accomplishments reflect professional achievements and recognition (as demonstrated by the number of grants the scientist holds/has held,) and is a trainer of research scientists and post-doctoral scholars.

**Consultation at an Individual Level:** This is private remunerative work which is explicitly undertaken in a private capacity in the form of a personal contract or agreement.

- 1) Members of staff undertaking work in a private capacity are required to accept full responsibility for the due performance of the contract and any other relevant matters such as taxes.
- 2) Private remunerative work that utilizes IDI facilities should only be undertaken with the formal approval of the Head of Department. IDI shall charge 10% levy and require full compensation for any direct costs incurred doing the private work.

## 9. CAPACITY BUILDING

Research Capacity Building is a core mandate and activity of the Research Department at IDI. IDI inspires to foster a mentorship culture.

Although IDI maintains a dedicated Research Capacity Building Unit, it is expected that:

- 1) All research projects have a Capacity Building component.
- 2) All staff, particularly staff in management and middle management positions, offer mentorship to junior staff under their management.

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<sup>1</sup> Other roles including Co-Investigator will be considered, but precedence will be given to the PI and equally contributing Co-PI roles.

<sup>2</sup> A Medical Doctor with a postgraduate academic or clinical qualification or currently enrolled in a PhD program.

<sup>3</sup> The scientist/fellow should demonstrate that the periods of research are under the mentorship of a senior researcher(s)

- 3) Non-IDI investigators offer mentorship to junior staff under their projects and beyond when applicable.
- 4) Scientists and senior scientists offer mentorship to scholars when requested.
- 5) Peers form peer mentorship groups.

Research Capacity Building support applies to:

- 1) Students and Scholars (masters, PhD and post doctorate) conducting research at IDI - This applies to Makerere University, other national universities or international students. They are supported through the Capacity Building Unit via a combination of mentorship, protected time, stipends skills and infrastructure that will provide the foundation for excellence in their early career. The Research department therefore is committed to providing mentorship followed by economic and infrastructural support that will ensure skilled scholars, publications and future academic careers of independent local researchers.
- 2) All Research staff - The IDI Research department shall support individual staff careers through mentorship and promotion of career development. This shall include opportunities for supervision and mentorship, access to equipment, essential software training, development of soft skills, basic additional training in leadership, and manuscripts and grants writing. IDI shall offer individual protected time arrangements for staff when feasible.

## **10. STAFF MOTIVATION, INCENTIVES AND RESEARCH CULTURE**

The IDI Research Department will promote a research culture throughout the Institution and the research department will recognize and motivate staff engaged in research. Means of motivation will be (but will not be limited to):

- 1) IDI organized trainings, where IDI research and non-research staff, if qualifications are met, will be prioritized for research related IDI training.
- 2) Other training supported by the IDI training funds, where within the allocated budget, the Research Department will identify staff who would benefit from training and prioritize staff whose training will in turn benefit IDI.
- 3) The IDI Research Department will encourage and facilitate the formation of peer groups or groups of interest in order to promote sustainable capacity building
- 4) Mentorship through senior staff in the Research Department, who will be encouraged to mentor and supervise more junior staff and to contribute to the internal research capacity building strategy.
- 5) Independent research that research staff and other staff at IDI will be encouraged to generate. This will range from the use of already collected data (provided that SOPs are followed) to submission of career grant.
- 6) In line with the IDI general HR policy, internal staff who meet the required specifications may qualify for a promotion if the opportunities are available.

## **11. ESTABLISHING AND MAINTENANCE OF RESEARCH COLLABORATIONS**

The IDI Research Department promotes collaboration, with special attention given to the College of Health Sciences, Makerere University, and their members.

Other potential collaborators are other Makerere University faculties, and national and Columbia University international partners.

The scope of collaborations is to enhance research capacity building, increase opportunities for funding and contribute to generating excellence.

- 1) IDI Research Department will promote and allow access and utilization of resources and research expertise to the staff of the College, provided that this support will not obstruct or harm the Research Program activities or Agenda.
- 2) The IDI Research Department shall continue strengthening ongoing collaborations by looking for new opportunities for grant submissions.
- 3) The IDI Research Department will actively work to attract and strategize collaboration with new partners who can bring additional and complementary expertise and resources
- 4) The IDI Research Department will work with the Grants Department and the Office of the Executive Director in negotiating, registering and monitoring such collaborations, including drafting Memoranda of Understanding.

## **12. INTELLECTUAL PROPERTY RIGHTS AND PROTECTION**

Scientific research and innovation are critical in addressing current health, socio-cultural, economic, and other challenges, through translation of research evidence to policy and practice. IDI recognizes the importance of innovation and affirms its commitment to protect the intellectual property and assets of researchers and the institute for the benefit of IDI, researchers and society.

In principle, all rights of intellectual property devised, made or created by an employee of the Institute in the normal course of his or her employment shall automatically belong to the Institute.

IDI has a specific Intellectual Property Policy which speaks to the ownership, protection and commercial exploitation of Intellectual Property created by IDI personnel and third parties in the course of their duties/activities at the Institute.

## **13. OWNERSHIP AND SHARING OF RESEARCH RESOURCES**

- 1) Infrastructure, human resource, equipment and data generated during research shall be owned and managed by IDI for the benefit of the institution and collaborators.
- 2) IDI authorship policy shall apply in addressing authorship and publication issues according to International Guidelines.
- 3) Laboratories (Core lab, Translational lab) shall establish and maintain inventories of all biological samples obtained from research projects.
- 4) Data management shall comply with IDI data management policies, national regulations and sponsor/funders guidelines.
- 5) Data sharing shall comply with the *IDI Data Sharing policy*.
- 6) Samples collected during research conducted at IDI belong to the Institute. Sharing samples with national and international collaborators must be approved by regulatory authorities and be compliant with national and international regulations.
- 7) Investigators, sponsors and collaborators shall clarify ownership of equipment at project inception and closure. The Research and Finance departments shall monitor implementation of the ownership arrangements.
- 8) Scientists are encouraged to share equipment to the maximum extent possible, without contravening sponsor regulations, terms and conditions, or work on the project for which it was procured.

#### **14. PROJECT CLOSE OUT**

- 1) Projects should have a close-out strategy in compliance with the *Study Close-out SOPs* (SOPs SC1,2,3&4)
- 2) Researchers shall submit reports which show that they have implemented the close-out strategy including ownership of project resources.

#### **15. MONITORING AND EVALUATION OF RESEARCH**

The Research Office and Grants provide post-award services and monitor implementation of research to ensure compliance with IDI policies, sponsor and funding agency terms and conditions, and national and international regulations by:

- 1) Providing project management support to all research projects
- 2) Developing and implementing M&E systems
- 3) Educating and training researchers on the role and use of M&E systems.

**16. REFERENCES AND ACKNOWLEDGMENTS**

Uganda National Council for Science and Technology

Human Subject Protection Guidelines

IDI Human Resource Manual

IDI Clinical Trials Standard Operating Procedures

IDI Abstracts and Manuscript Clearance and Submission Guidelines

IDI Strategic Plan 2018-2023

Makerere University and University of Zimbabwe Innovative and Research Policy Documents

**Approved by;**

Signature:..........

Date:.....*22nd January 2020*.....

Name : Dr Andrew Kambugu

Title : Executive Director