UNIVERSITY OF EASTERN AFRICA, BARATON

Research and Innovation Procedures

QUALITY MANAGEMENT SYSTEM DOCUMENTATION BASED ON ISO 9001:2015

University of Eastern Africa, Baraton

Quality Management System based on ISO 9001:2015

Research, Innovation and Publications

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UNIVERSITY OF EASTERN AFRICA, BARATON

QUALITY MANAGEMENT SYSTEM

Approved by: **Sign:** **Name:** Prof. Msafiri Mmamba Jackson **Vice Chancellor** **Date:** 2nd April, 2025	**Issued by:** **Sign:** **Name** Prof. Moses M. Kibirango **Director, Quality Assurance** **Date:** 2nd April, 2025

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1.0 GENERAL

1.1 Purpose

To ensure consistency, efficiency, and timeliness in conducting research and innovation and publishing.

1.2 Scope

This procedure applies to conducting research and innovation and publishing in University of Eastern Africa, Baraton.

1.3 References

Document Category	Document Title
Policy	Research and Professional Growth Policy

1.4 Terms and Definitions

Abbreviation/Term	Description
IREC	Institutional Research Ethics Committee
BIIRC	Baraton International Inter-disciplinary Research Conference

1.5 Principal Responsibility

The Director – Graduate Studies and Research shall ensure this procedure is adhered to.

1.6 Input

The need to conduct research

1.7 Resources

a) Staff
b) Computers, printers, photocopiers, projectors, and stationery
c) Research Funds
d) Innovation Hubs/Centers
e) Laboratories

2.0 PROCESS DESCRIPTION

2.1 Predecessor Processes

2.1.1 Development and Evaluation of Internally Funded Research Proposals

Step	Activity	Record	Responsibility
2.1.1.1	This shall start with the Director, Graduate Studies and Research, in July every year, forwarding Research Proposals and a Faculty Research Grant Proposal Application Form to Faculty Members with an invitation to submit research proposals.	Evidence of communication	Director, Graduate Studies and Research
2.1.1.2	On receipt of the communication, the interested Faculty Members shall develop Research Proposals within 30 working days.	Draft Research Proposals	Academic HoDs
2.1.1.3	The Director of Graduate Studies and Research shall receive research proposals from a Faculty Member(s) for review.	Evidence of communication	Director, Graduate Studies and Research
2.1.1.4	Within 2 weeks of receipt of the Proposals, the Director of Graduate Studies and Research shall through the University Research Committee appoint a Peer Review Panel.	Appointment letters	Director, Graduate Studies and Research
2.1.1.5	Upon appointment, the Panel shall within two weeks, review the proposals based on alignment with the components	Minutes of meetings Evidence of Communication	Chair – Peer Review Panel

Step	Activity	Record	Responsibility
	of the Research and Professional Growth Policy and give feedback to the Director.		
2.1.1.6	In the event there are minor deviations from the Policy, the Director shall make comments to the Researcher for amendment and re-submission.	Evidence of Communication	Director, Graduate Studies and Research
2.1.1.7	In the event there are major deviations from the Policy, the proposal shall be rejected and the Director shall notify the Researcher.	Evidence of Communication	Director, Graduate Studies and Research
2.1.1.8	After review, the Panel shall prioritize the proposals and recommend funding. Specific comments explaining the funding decision are provided for each application.	Minutes of meetings Evidence of Communication	Chair – Peer Review Panel
2.1.1.9	The Director shall, within a week of receiving feedback from the panel, give a recommendation to the DVC Academics for approval of the Research Proposals.	Evidence of Communication	Director, Graduate Studies and Research
2.1.1.10	On receipt, the DVC Academics shall, within a week, recommend the proposals for approval by the Administrative Board.	Minutes of meetings	DVC Academics
2.1.1.11	Upon approval, DVC Academics shall notify the Applicants of the approval.	Evidence of Communication	DVC Academics

Step	Activity	Record	Responsibility
Note 1	Projects involving the use of human subjects and/or animals in research must also be approved by appropriate committees (e.g. Research Ethics Committee) before funding is made available.		
2.1.1.12	The Applicant shall requisition for the research funds as per Section II (6) of the Research and Professional Growth Policy.		Applicant

2.1.2 Funding Procedure

Step	Activity	Record	Responsibility
2.1.2.1	This shall be undertaken as per Section II (6) of the Research and Professional Growth Policy.		Director, Graduate Studies and Research

2.1.3 External Research Funding

Step	Activity	Record	Responsibility
Note 1	This shall be undertaken as per Section II (10) of the Research and Professional Growth Policy.		Director, Graduate Studies and Research
Note 2	The University Research Grants Committee shall assist in the facilitation of external research grant applications of faculty and staff.	Evidence of communication	Chair - University Research Grants Committee
2.1.3.1	Before submission of the proposal to the external funding	Evidence of communication	Director, Graduate

Step	Activity	Record	Responsibility
	body, the Researcher shall notify the Director through the Research Grants Coordinator who shall keep a record of external funding applications.		Studies and Research

2.1.4 Monitoring the Implementation of Research Proposals

Step	Activity	Record	Responsibility
Note 1	Implementation of all approved proposals shall be monitored through the Project Reports		Director, Graduate Studies and Research
Note 2	The Director shall through the Research Grants Coordinator issue the Researchers with Report Templates (Technical and Financial).	Evidence of communication Report Templates	Director, Graduate Studies and Research
2.1.4.1	This shall start with the Researcher submitting quarterly Project Reports to the Director through the Research Grants Coordinator for review.	Evidence of communication Quarterly Project Reports	Director, Graduate Studies and Research
2.1.4.2	In reviewing the reports, the Director shall consider the following: a) project activities implemented b) achievement of objectives c) any challenges faced and deviations from the original plan	Quarterly Project Reports	Director, Graduate Studies and Research

Step	Activity	Record	Responsibility
	d) adherence to ethical standards e) compliance with the sponsors' requirements		
2.1.4.3	In the event of any non-compliance, the Director shall advise the respective Researcher.	Evidence of communication	Director, Graduate Studies and Research

2.1.5 Dissemination of Research Findings

Step	Activity	Record	Responsibility
2.1.5.1	During the project lifespan, the Researcher shall: a) select appropriate journals or conferences that align with the research topic and target audience b) prepare the research findings in the specified format, adhering to the guidelines for writing research papers c) communicate research findings to the relevant stakeholders including industry, community, and policymakers	Evidence of communication	Researcher

2.2 Process Output

a) Approved Research Proposals

b) Reports

c) Research Findings/Publications

2.3 Subsequent Processes

No subsequent process

3.0 PROCESS PERFORMANCE INDICATORS

Key Performance Indicator	Monitoring and Measurement
Success rate of securing funding	Percentage of research proposals that secured funding

University of Eastern Africa, Baraton

Quality Management System based on ISO 9001:2015

Ethical Approval of Research Proposals

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UNIVERSITY OF EASTERN AFRICA, BARATON

QUALITY MANAGEMENT SYSTEM

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1.0 GENERAL

1.1 Purpose

To ensure consistency and timeliness in ethical approval of Research Proposals.

1.2 Scope

This procedure applies to ethical approval of Research Proposals by the Institutional Research Ethics Committee.

1.3 References

Document Category	Document Title
Guidelines	Nacosti Guidelines, 2019
Policy	UEAB Research Ethics Policy

1.4 Terms and Definitions

Abbreviation/Term	Description
IREC	Institutional Research Ethics Committee
BIIRC	Baraton International Inter-disciplinary Research Conference

1.5 Principal Responsibility

The Chairperson – IREC shall ensure this procedure is adhered to.

1.6 Inputs

A request from a researcher for ethical clearance

1.7 Resources

a) Staff

b) Computers, printers, photocopiers, projectors, and stationery

c) Venue

2.0 PROCESS DESCRIPTION

2.1 Predecessor Processes

Supervision and Examination of Postgraduate Students (PR-FACULTY-011).

2.2 Process Steps

Step	Activity	Record	Responsibility
2.2.1	This procedure shall start with the Chairperson – IREC receiving a filled Ethical Review Form and supporting documents from a Researcher seeking ethical approval of a Research Proposal (s).	Filled Ethical Review Form and supporting documents	Chairperson – IREC
2.2.2	On receipt of the request for ethical approval, the Chairperson – IREC shall acknowledge receipt of the Form and supporting documents	Evidence of acknowledgement	Chairperson – IREC
2.2.3	The Chairperson – IREC shall on a fortnight basis, convene the IREC.	Minutes of the IREC meeting	Chairperson – IREC
2.2.4	During the meeting, the Committee shall undertake the following: a) Review the Topic of the Proposal b) Identify Reviewers for the Proposals c) Assign Reviewers to the respective proposals	Minutes of the IREC meeting	Chairperson – IREC
2.2.5	A fortnight after the initial IREC meeting, the Chairperson shall convene another meeting to: a) receive and deliberate on the Reviewers' Report	Minutes of the IREC meeting	Chairperson – IREC

Step	Activity	Record	Responsibility
	b) make recommendations to Researchers, if any c) approve the proposals which meet the IREC standards		
2.2.6	Within a week after the meeting the Chairperson – IERC shall issue the Researcher with a letter of ethical clearance if there.	Letter of ethical clearance	Chairperson – IERC

2.3 Process Output

Approval for research proposal ethical clearance

2.4 Subsequent Processes

No subsequent process

3.0 PROCESS PERFORMANCE INDICATORS

Key Performance Indicator	Monitoring and Measurement
Turnaround time in approving requests	Percentage of ethical approvals for research proposals done for ethical clearance within 5 weeks after receiving the request

University of Eastern Africa, Baraton

Quality Management System based on ISO 9001:2015

Planning and Conducting Research Conferences

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1.0 GENERAL

1.1 Purpose

To ensure effective planning, conducting and managing of the BIIRC.

1.2 Scope

This procedure applies how to effectively plan, conduct and manage the BIIRC.

1.3 References

Document Category	Document Title
Policy	Employee Handbook 2018 (Sec 2.3.9.13)

1.4 Terms and Definitions

Abbreviation/Term	Description
BIRJ	Baraton Inter-disciplinary Research Journal
BIIRC	Baraton International Inter-disciplinary Research Conference

1.5 Principal Responsibility

The Director – Graduate Studies and Research shall ensure this procedure is adhered to.

1.6 Inputs

Minutes of the research committee

1.7 Resources

a) Directorate of Research
b) Research Committee members
c) Computers, printers, photocopiers, projectors, and stationery
d) Conference rooms
e) Research conference papers
f) Participants

2.0 PROCESS DESCRIPTION

2.1 Predecessor Processes

No Predecessor process.

2.2 Process steps

Step	Activity	Record	Responsibility
2.2.1	This procedure shall start with the Chair – Research Conference Steering Committee convening a meeting, within the first month of the first semester, to plan for the annual research conference.	Minutes of the Research and Conference Committee	Chair – Research Conference Steering Committee
2.2.2	In planning for the conference, the committee shall: a) develop the theme and sub-themes b) set dates for the conference c) prepare a budget d) set registration fees, and e) identify the venue	Minutes of the Research steering Committee	Chair of the Research Steering Committee
2.2.3	Within the second month of the first semester, the Chair of the Research Steering Committee shall convene another meeting to constitute the sub-committees and assign them tasks pertaining to the conference which shall include but not limited to: a) fund raising b) identifying key note speakers abstract review, and c) promotion of the conference. **Note 1**: The Chair shall forward the budget to the VC for approval	Minutes of the Research steering Committee Approved Budget	Chair of the Research Steering Committee

Step	Activity	Record	Responsibility
	prior to commencement of activities by the sub-committees		
2.2.4	The Chair of the Research Steering Committee shall on weekly basis convene a meeting to evaluate the progress of the sub-committees in planning for the conference.	Minutes of the Meeting	Chair of the Research Steering Committee
2.2.5	For Abstracts, the Sub-Committee shall: a) receive them from the Director Graduate Studies and Research on receipt from the prospective participants b) review of abstracts by the Abstract c) present the accepted Abstracts to the steering committee during the weekly meetings	List of accepted abstracts.	Chair – Sub-committee (Abstracts)
2.2.6	The Chair of the Research Steering Committee shall forward the accepted Abstracts to the Director Graduate Studies and Research.	Evidence of communication	Chair of the Research Steering Committee
2.2.7	The Director Graduate Studies and Research shall notify the presenters on the accepted abstracts and call for submission of full paper and presentation of the papers.	Evidence of communication List of accepted abstracts.	Director Graduate Studies and Research

Step	Activity	Record	Responsibility
2.2.8	The Secretary of the steering committee shall receive an acknowledgement and confirmation of BIIRC attendance.	Evidence of communication	Secretary of the steering committee
2.2.9	The Chair of the steering committee shall ensure the BIIRC presentations are done by the Presenters using the approved Abstracts.	Conference report	Chair of the steering committee
2.2.10	At least 2 weeks after the Conference the Chair of the Research and Conference Committee shall forward the BIIRC report to the VC for information.	Report	Chair of the steering committee

2.3 Process Output

Book of abstracts

2.4 Subsequent Processes

No predecessor process

3.0 PROCESS PERFORMANCE INDICATORS

Key Performance Indicator	Monitoring and Measurement
Acceptable conference papers for publication.	Percentage of conference papers acceptable for publication