

Interpretation of Terminology

URDB: University Research & Development
Board

EBSU: Ebonyi State University Abakaliki

DRIC: Directorate of Research, Innovation &
Commercialization

RPL: Research Programme Leader

R&D: Research and Development

RTL: Research Team Leader

PI: Principal Investigator

REP: Research Expert Panel

UREC: University Research & Ethics Committee

FREC: Faculty Research & Ethics Committee

1.0 EBONYI STATE UNIVERSITY RESEARCH & DEVELOPMENT AGENDA

1.1 Preamble

Research and Development (R&D) involves a systematic search and investigation for increasing the sum of knowledge and the application of this knowledge for development of new and improved products, services and industrial processes. Development comes as a result of series of scientific and technological revolutions and should be consciously and intellectually nurtured, principally by universities through their triple mandate of producing requisite high skilled manpower, knowledge and related services.

R & D is the most enduring and effective means of boosting sustainable economic development and reinforcing competitiveness in face of rapid growth taking place between industries, countries and peoples in the world. The main criteria for ranking the “world class universities” is dependent on research output measured by **breakthrough findings** published in first class and medal winning journals and books. Ebonyi State University seeks to position herself for need-driven, development oriented researches as a means of boosting sustainable economic development of the young State, producing highly skilled manpower and the

accumulation of knowledge in relevant areas for which the State has comparative advantage.

1.2 Vision

To become a world class university where excellent, functional, need-driven and sustainable researches in the area Agriculture, Applied and Natural Sciences, Health, Law, Arts and Humanities, Management and Social Sciences are pursued vigorously to facilitate national and international development.

1.3 Mission

To maximally exploit and use available human and material resources for the generation of new ideas, knowledge and techniques in identified focus areas for the overall benefit and interest of the human race

1.4 Scope and Rationale

In Ebonyi State University, the need for a clear research and development policy is very imperative. Such a policy will provide the conceptual framework that will ensure proper organisation and management of research on a sustainable basis. The research policy will also provide mechanisms for prioritizing and tailoring research efforts towards solving the need of the Ebonyi citizen, Nigeria and the world at large for sustainable development.

The priority for the University shall be mainly on those disciplines that she offers and has comparative advantage on particularly Agriculture, Applied and Natural Sciences, Medicine, Law, Arts and Humanities, Management and Social Sciences. Serious effort will be made to ensure that research projects are environmentally friendly and addresses global and national issues/priorities as well as the needs of the immediate communities.

Consequently, EBSU shall strive to enthrone a sustainable, development-oriented and excellence-driven research culture. This would be achieved by the establishment of institutional framework which would guarantee a conducive research environment in terms of physical infrastructure, facilities and financial resources for the promotion, organization, co-ordination and execution of high quality research geared towards problem solving or inventions.

EBSU shall ensure that a competitive process is used for award of matching funds. This is important because donor agencies are more likely to participate in and support programs that ensures a peer review system that is acceptable worldwide. She will encourage and reward individual, multi-disciplinary and multi-institutional collaboration and will sustain programs over the long haul.

2.0 ADMINISTRATION OF RESEARCH

2.1 Organogram

To ensure proper organization and management of research on a sustainable basis, appropriate administrative machinery shall be put in place.

Administrative Organogram

Vice-Chancellor/Chairman of Senate

V

**University Research and Development
Board (URDB)**

V

**EBSU Directorate of Research, Innovation
and Commercialization (EBSU-DRIC)**

V

Research Programmes

V

Research Teams

2.2 University Research and Development Board (URDB)

There shall be a University Research and Development Board (URDB) under the chairmanship of the Vice-Chancellor. The URDB is expected to have quarterly meetings. The body shall be a Board of the Senate. Its functions shall be:

- i. Articulate the policy for research for the University.
- ii. Determine research priorities in line with the research focus and strategic plan of the University.
- iii. Determine the minimum and maximum of grant for each research proposal from year to year
- iv. Manage the University's Research Trust Fund (RTF)
- v. Approve research grant applications.
- vi. Review the research thrust. Focus and content of research objectives of the University in a dynamic society.

The Composition of the Board shall be as follows:

- i. Vice –Chancellor**
Chairman
- ii. Deputy Vice-Chancellor**
Member
- iii. Registrar**
Member
- iv. Bursar**
Member
- v. University Librarian**
Member
- vi. Director, Directorate of Research,
Innovation & Commercialization (DRIC)**
Member
- vii. Deans of Faculties**
Member
- viii. Directors of Academic Units.**
Member
- ix. Director of Consultancy Services**
Member
- x. Dean Postgraduate School**
Member
- xi. Director Academic Planning**
Member
- xii. Deputy Registrar (Senate)**
Secretary

2.3 Ebonyi State University Directorate of Research, Innovation and Commercialization (EBSU-DRIC)

There shall be a Ebonyi State University Directorate of Research, Innovation and Commercialization (EBSU-DRIC) under the Office of the Vice-Chancellor. A senior academic, preferably a Professor, who is committed to excellence in research and has demonstrated capacity for research administration and promotion shall head the Directorate.

The Vice-Chancellor shall appoint the Director. He /She shall have tenure of three years (for Professor) and two years (for other senior academics). This may be renewed for another period of three years and two years, for Professor and other senior academics, respectively. The Director shall liaise with Research Programme Leaders in carrying out the function of the Directorate as they relate to the programme. In essence, the Director shall have periodic meetings (at least quarterly) with Research Programme Leaders.

It shall be the duty of the Directorate to:

- i. receive and process research grant applications and programs reports for consideration by the URDB;
- ii. monitor the utilization of research grants disbursed by the URDB;
- iii. maintain and constantly update a University –wide inventory of equipment

- and other facilities for research and liaise with researchers to identify their needs to be met from funds for capital development,
- iv. facilitate the sharing of facilities by researchers and research teams for optimal, cost-effective utilization and to promote an atmosphere for co-operation and collaboration in research;
 - v. Maintain an active co-operation with the Postgraduate School in order to ensure that research themes pursued by postgraduate students are consistent with the University research plan;
 - vi. Facilitate, through strategic support, the prospecting for external support for research by researchers from door agencies;
 - vii. Prospect for donors to the University's Research Trust Fund, which shall form a long-term source of support for strategic research;
 - viii. Facilitate the forging of linkages between researchers in the University and external bodies.
 - ix. Serve as a liaison between researchers and potential end-users of the results in and outside the University;
 - x. Facilitate the obtainment of patents and intellectual property rights for research results, discoveries, designs, etc generated through research in the University.

- xi. Organize research conferences, seminars and workshops on behalf of the University, in collaboration with the relevant Colleges/Schools and Departments;
- xii. Ensure the implementation of the provisions of the University Research Policy & Framework; and
- xiii. Undertake other functions as may be assigned in by Senate and/or the University Research Board.

2.4 Programmes

Basic and Applied Research Programmes shall be identified in all the Faculties in the University. A Research Programme Leader (RPL) will head each Programme. The RPL shall be a senior academic, who is committed to excellence in research and shall be a specialist in that Programme.

The Academic Board of the Faculty in which the Programme is housed shall select the RPL. In the case of a Programme that cuts across Faculties, these shall be a meeting of the Deans of those Faculties to select a Programme Leader. She/he shall have an initial tenure of two years, renewable for another term of two years only.

Members of staff who indicate interest in any Programme shall become members of that Programme. An individual can belong to more than one Programme.

All Research Programmes must be registered at the EBSU-DRIC. It is the responsibility of the RPL to apply for approval and registration of the programme to the URDB through the Faculty Dean and through EBSU-DRIC. The activities of each Programme will be monitored by EBSU-DRIC and yearly evaluation/assessment report of each Programme must be submitted to EBSU-DRIC in December each year. It shall be the duty of each Programme to raise research teams on any aspects of the Programme, receive and review proposals of its members and forward approved ones to the EBSU-DRIC for further processing.

The following are the current Research Programmes in the University:

1. Plant Breeding and Crop improvement
2. Climate Change and Farming Systems
3. Agriculture Economics and Resources Management
4. Agriculture Extension, Education and Gender Issues
5. Biotechnology and Genetic Engineering
6. Soils, Agro-climatology and Environmental Management
7. Food Science, Nutrition and Home Management
8. Renewable Resources and Wildlife Management
9. Information Technology
10. Biological and Physical Sciences.
11. Building Materials program

12. Alternative Protein Sources for Fish and Live Stock
13. Governance and Development
14. Primary Health Care Development
15. Infectious Disease Control
16. Microeconomics, Economic Growth and Development

2.5 Research Teams

Ebonyi State University Abakaliki encourages academic staff who desire to develop focused, collaborative, research initiatives through the establishment of a Research Team. EBSU-DRIC guidelines must however be followed in the establishment and registration of research teams in EBSU as indicated below.

2.5.1 Guidelines for the establishment and registration of research teams in EBSU

(1). The proposed Research Team must have at least four members from either the same or different departments in EBSU (membership from different departments is encouraged). The proposed Team can also have members from other Universities or recognized institutions/organizations, but at least 60% of the membership must come from EBSU.

(2). The proposed Team must have a Research Team Leader (RTL) who should be preferably a senior academic from the rank of a senior lecturer. In exceptional cases a Team leader may have a lower rank but adequate justification must be provided

such as (i). the individual winning a research grant; (ii) the team composing of academics below the rank of a senior lecturer, with at least one senior academic as a mentor. Teams are encouraged to include postgraduate students in the membership.

(4). The RTL shall be selected by the Team. The composition of each Team shall be such that reflects the multi-disciplinary approach to the research Team. An individual can be member of different Research Teams and membership of Research Teams can cut across Programmes, provided the individual belongs to those Programmes.

(3). The proposed Research Team must submit a formal application for registration to the URDB through EBSU-DRIC requesting approval for the establishment and registration of the Research Team.

(4). Application for registration must be accompanied by the following: (a). The proposed name of the Research Team; (b). A mission statement, the Teams objectives and research focus; (c). The detailed CV of all members of the Team; (d). Team's leadership structure; (e). Description of Team's research plan.

(5). EBSU-DRIC will communicate to the Team the approval or otherwise of the URB for the Team's establishment and registration. The registration status must be renewed once every year.

(6). Each registered Research Team's activities will be monitored by EBSU-DRIC. Every registered Team must submit a yearly assessment/evaluation report on/or before second week of December each year as part of the requirement for renewal of its registration status.

(7). No unapproved/unregistered research team will be expected to operate in EBSU or benefit from internal research grants and other research incentives from the University. Such Teams could be considered to be illegal and appropriate sanctions may be applied.

2.6 Research Support

a. There shall be Departmental, Faculty and University Research Committees.

b. The office of the Deputy Vice-Chancellor (Academic), Central Office of Research, Directorate of Linkages and Sponsored Research. The University Research Committee, Faculty and Departmental Research Committees and any other offices designed with research functions shall actively support research within and outside the University.

2.6.1. The University Research Committee

The University Research Committee shall emphasize the promotion of a research culture in the University by recommending regularly to senate research procedures, regulations and awards, etc. that will apply to staff and students.

2.6.2 Faculty/Departmental Research Committees

- a. The Faculty and Departmental Research Committees are expected to contribute significantly to the preliminary assessment of research plans.
 - i. The Departmental Committee shall carry out detailed assessment of research proposals and make appropriate recommendation to the Faculty Research Committee.
 - ii. The Faculty Research Committee shall carry out detailed assessment of research proposals and make appropriate recommendations to the University Research Committee.
 - iii. Researchers shall make periodic reports to the EBSU-DRIC through the Faculty Research Committee.

2.7 RESEARCH FOCUS

- a. The University Research and Development BOARD (URDB) through EBSU-DRIC shall from time to time, identify , priority areas of national and international interests for research within the University. These shall be consistent with EBSU strategic plan and will mostly concern issues and problems of national and international dimension. These would be areas into which research could

have major impact on the society, leading to practical change.

b. The University recognizes the freedom of its staff, students and persons working under its umbrella to initiate and pursue research consistent with the University's philosophy and mission.

c. The University also recognizes the importance of its contributions to society in the form of making its expertise and facilities for contact research and development work. Therefore, the University, through appropriate organs, shall advertise its expertise to the nation's private and public sector with a view to building up relationships with companies and other bodies operating within the Nigerian economy.

2.7.1 Principles Guiding Research

Individual scholars are free to select the subject matter of their research, seek support from any source for their work, and draw their conclusions based on their own research findings. However, information on such sources must be made openly available to and within the University.

Research techniques should comply with established professional ethics pertaining to the health, and fundamental human rights or to the infliction of injury or pain on animals. Individual researchers must ensure that the sources of funding for research and its perceived applications, are in harmony with universal ethical principles and consistent with individual judgment and conscience.

Individual researchers must adhere strictly to the financial regulations of the University.

2.8 Appraisal of Research Projects

Proposals to the URDB will be subjected to expert assessment at the Departmental, Faculty and University levels through procedures determined by the EBSU-DRIC from time to time. The appropriate Departmental Research Committee must consider all proposals before the Faculty Research Committee can consider them. In addition to the above, applications to the URDB will be evaluated on the basis of the following general criteria.

- i. Research Focus type of research – priority will be given to theme research addressing major national or international issues and are within areas of priority of the nations, and are problem-solving. This could be fundamental, basic or applied research.
- ii. Multidisciplinary research and those at disciplinary interface will be given priority.
- iii. The soundness of the research methodology and plan;
- iv. The feasibility of the research plan within the time frame, the financial estimates as well as the available material and human resources.

- v. Whether the aims of the project lend themselves to realistic interventions, which could lead to improvement in quality of life and/or learning conditions.
- vi. The potential for the training and involvement of postgraduate student(s) and junior researchers;
- vii. The ethical standards and compliance with ethical provisions.
- viii. Expected outcomes and/or anticipated benefits
- ix. Dissemination plan.

2.8.2 Principal Investigatorship

- a. There shall be a Principal Investigator for every research project.
- b. All Principal Investigators must seek and understand the University policies relating to the conduct of research.
- c. The Principal Investigator shall be responsible for coordinating the research, ensuring that it meets the stated objectives and that it is carried out as laid out in the approved proposal, giving due cognizance to financial accountability.

- d. Responsibility for the management of a sponsored project within the funding limitations rests with the Principal Investigator (PI).
- e. The responsibilities of Principal Investigators (PIs) at EBSU include the direction of research and scholarship and the education and training of students.
- f. Principal Investigators must ensure that project reports are submitted to the EBSU-DRIC and/or any approved University Research Committee and other appropriate bodies on a timely basis.

The principle of freedom of access by all interested persons shall apply in respect of all research findings and the methodologies on which they were derived.

2.8.2 Multi-Authored Research Papers

The following guidelines shall be applicable to all scholarly collaborations in which multiple authorship is anticipated.

- a. Principal investigators and senior academic members of staff have special responsibilities to ensure the overall accuracy and validity of the publications on which they appear as co-authors.
- b. All authors share responsibilities for the published result and should have the opportunity to review all

sample preparation procedures, data collection and analysis.

c. Each author should participate in the manuscript preparation process prior to the submission for publication, and should agree to his inclusion as a co-author.

d. All those involved in a research project should know that any particular paper is being prepared for publication from the research.

2.8.3 Academic Authorship

a. While the University imposes no formal mechanisms for determining authorship, it is the responsibilities of researchers to ensure authorship rights of students and staff.

b. The URDB through EBSU-DRIC shall be the final arbiter in cases of problems concerning matters of academic authorship, attribution, and acknowledgement.

c. Copies of all publications emanating from research approved and sponsored by the URDB must be submitted to the URDB through EBSU-DRIC.

d. The URDB through EBSU DRIC shall publish an annual document of all research publications emanating from members of the University community.

e. The URDB shall set aside 2.5% of its annual grants for the acquisition of non-URDB sponsored research publications by members of staff.

2.9 Departmental/Faculty Research Seminars

The URDB recognizes the importance of Departmental/Faculty Research Seminars in providing the environment for the conceptualization of research ideas, updating knowledge, identifying areas requiring further research, and presentation of preliminary research proposal and outcomes for criticism. The URDB shall, through EBSU-DRIC therefore, support requests from Faculties aimed at improving the regularity of Research Seminars.

2.10 Retention Of and Access to Research Data

a. Both the University and the Principal Investigator (PI) have responsibilities and rights concerning access to, use of, and maintenance of original research data.

b. The PI is responsible for the collection, management and retention of research data.

c. To ensure needed and appropriate access, the University shall take custody of all research data through the University Research Committee.

d. When individuals involved in research projects at EBSU leave the University, they may go with copies of research data on which they have worked.

However, the Principal Investigator must retain electronic copy of the original data at EBSU-DRIC depository.

- e. If a Principal Investigator leaves EBSU, and a project is to be moved to another institution, ownership of the data may be transferred with the approval of the URDB, the sponsoring agency's authority and with written approval from the PI's new institution that guarantees:
 - i. its acceptance of custodian responsibilities for the data, and
 - ii. EBSU access to the data, should that become necessary.

2.11 Confidentiality

After careful consideration of a request from a researcher for confidentiality on behalf of herself/himself or for the student(s) he supervises or any person working under the umbrella of the University, a moratorium of up to three years may be granted by the URDB under the following conditions:

- a. Lodging of such dissertations on the University library shelving.
- b. Formal publication or presentation at conferences.

3.0 RESEARCH GRANTS AND APPLICATION

3.1 Research Grants

3.1.1 University Research Grants

Ebonyi State University Research Grants (also to be known as research seed grants) would be allocated on the basis of merit and are designed to kick-start new research projects (especially basic/fundamental and experimental research). The major aim of the research seed grant is to provide support on a competitive basis for high quality research and pilot research projects of modest cost conducted by researchers of proven excellence. A secondary objective is to support new researchers showing clear evidence of high research capacity. Such research may not continue to rely upon university seed grants as their principal sources of funding particularly those exceeding two years. Instead, such research once established, are expected to access grants from other non-university sources, including international funding organizations, government, corporate or private grant sources. These grants would be mainly for the support of primary data collection, such as survey and research travelling expenses, research consumables, experimental material supplies, remuneration for research assistants, specialized software, hardware

maintenance, rentals and etc. The value of the grants would be determined from time to time by the University Research and Development Board. The research funded by the University is expected to comply with the approved research protocol/proposal and with all accountability elements.

3.1.2 External Research Grants

Ebonyi State University actively encourages researchers to access external research grants, whether from official government sources, commercial/corporate funding, research trusts, multinational funding bodies, united nations funding agencies, or from other academic institutions in the form of individual or joint institutional research projects. Such external grants reflect external recognition of research competence and enhance both the researcher's reputation and the University's research standing. To enhance the chances of securing such grants, EBSU researchers are encouraged to establish or join national and international research networks, and to collaborate with their local and international counterparts. All external research grant awards must not contain provisions that are incompatible with the university's policies on external research grants and the award must be consistent with government regulations for universities.

3.2 Research Grant Application Process

3.2.1 Eligibility

Persons eligible to submit proposals and act as principal investigators (PIs) include full time academic staff from the rank of Assistant Lecturer to Professor. All academic staff are required to undertake research. In turn, the University is committed to support all research with appropriate resources where necessary e.g. research assistants, laboratory assistants, science officers, equipment, supplies, time, infrastructure, funds, and etc.

3.2.2 Proposal preparation & submission

All eligible EBSU staff, research teams/groups, department or faculty may apply for the University Research Grants following calls for proposal by the University Research and Development Board. All proposals must contain the following components:

- Project Title
- Executive Summary
- Introduction/Background information
- Relevance/Project justification
- Aims/Objectives
- Methodology/Project design
- Project plan/execution
- Anticipated outputs
- Dissemination plan

- Budget/justification
- conclusion
- Project team & qualifications

All proposals originating from a department of the University must be endorsed by the Head of Department and must be approved by the Faculty Research and Ethics Committee before submission to the University Research and Development Board for consideration. For external grants, proposals may be submitted directly to the funding agency but it must conform to the guidelines of EBSU research policy.

3.3 Selection of Research Proposals for funding

3.3.1 Pre-selection procedure

All submitted proposals would be assessed by the Ebonyi State University Directorate of Research, Innovation & Commercialization (EBSU-DRIC) and the grants awarded to the best and most promising proposals. The selection criteria would be determined by EBSU-DRIC. However each Faculty Research & Ethics Committee is tasked with providing peer scrutiny of all research proposals developed by Faculty members. Before research proposals are forwarded to EBSU-DRIC for grant support, the Faculty Research & Ethics Committee is responsible for ensuring that all research proposals from their domain meet the following criteria:

- (i). falls within the specific niche area(s) of the faculty;

- (ii). makes noteworthy contribution to knowledge in the niche area(s);
- (iii). is realistic in terms of its scope, timeframe and schedules, with adequate human and financial resources to complete the project;
- (iv). is theoretically and methodologically coherent;
- (v). strengthens overall research efforts and expertise within the faculty/institute;
- (vi). is relevant to the needs of society;

3.3.2 Reviewing & Selection of proposals

The University through EBSU-DRIC shall establish three Research Expert Panels (REP) (or Review Committees), to undertake the review and recommendation of proposals for funding. These include the Social Science/Arts REP, the Applied Sciences REP, and the Medical Sciences REP. These REPs are working committees of EBSU-DRIC. They are primarily tasked with providing external peer review of all research proposals submitted from Faculties to the University for Research Grant Support. They will ensure that they reflect the research focus areas of the University. They also shall act as an expert external peer review panel to ensure that research proposals submitted meet internationally recognized quality standards. In situations where the proposals being evaluated fall outside the expertise of the Panel, an expert (in the area of the proposed research) shall be invited to assist in its evaluation. In cases where proposals require further clarification, the REP Chairperson shall invite the proposal proponent(s) to a discussion

with the REP. The Chairperson or a representative of the REP shall communicate in writing any shortcomings of research proposals requiring revisions or improvements to the proposal proponents through EBSU-DRIC. The Director, EBSU-DRIC shall provide a written summary of research proposals reviewed and Panel's decisions to the University Research and Development Board for endorsement.

3.3.2.1 EBSU Institutional Signature

Some funding agencies require that the institution where the research is to be carried out endorse (sign or stamp) the proposal application form before submission. Since the proposal document is submitted and the award is made to the University, not to the Principal Investigator (PI), the university has responsibility to ensure that all regulations and policies are met. This process is designed to protect both the individuals and the institutions involved over the long term. This authorization is granted following a satisfactory proposal check by the Director of EBSU-DRIC. All applicants should apply and submit proposal for endorsement at least five working days before submission deadline.

3.4 Academic Freedom & Openness in Research

EBSU fully recognizes the freedom of staff to engage in research activity provided that the research

for and behalf of the university or using the university's resources does not, in any way, create or have the potential to create a conflict of interest or compromise the integrity of staff, or the university. Notwithstanding this, the university reserves the right to identify priority areas and foci to which resources will be targeted. These priorities will change from time to time in accordance with national and global imperatives. Given the different disciplines in which research occurs in the University, researchers are encouraged to pursue different styles and approaches to research. No one model of research enterprise is valued more than others given the varying cultures, traditions and infrastructural requirements of the different disciplines. Instead, the value of a research approach is only determined by its intellectual, social, cultural and economic outcomes. All research must however conform to the established ethical standard and in accordance with the guidelines of EBSU research policy. If any proposed research violates the EBSU Research Policy guidelines even if a grant is awarded the following may occur:

- (i). The University reserves the right to withdraw the proposal;
- (ii). The University has the right not to accept the award if funded;

(iii). The University has the right to renegotiate the terms and conditions, budget, resources etc., before accepting the award.

4.0 RESEARCH FINANCING AND WORK PLAN

4.1 Award of research Grants

When a proposal is selected for award of research grant the PI is required to complete the following procedures:

1. In the case of University Research Grants, inform the HOD, Dean/Provost of the award. The letter should be accompanied with the award notice, abridged version of the proposal, approved budget and any special guidelines and other relevant information concerning the award.

2. In writing in the case of an external research grant award, inform the Vice-Chancellor and the the University Research and Development Board through EBSU-DRIC and identify any special implications that the award may have on the University. The letter should be accompanied with the award notice, abridged version of the proposal, approved budget and any special guidelines and other relevant information concerning the award.

In the event of securing external research grant by staff of the university, the grant would be transferred into a designated EBSU account to be provided by the university bursar, a formal written agreement (i.e., a grant, contract, or cooperative agreement) would be entered by EBSU and by the sponsor and

generally contains the following financial accountability elements:

- (i). an agreement that binds the university to a detailed statement of work and commitment to a specified project plan with “start” and “stop” dates;
- (ii). a project schedule and a line-item budget, both of which are essential to financial accountability;
- (iii). a requirement to return any unexpended funds at the end of the project funding period or as described in the binding agreement;
- (iv). regular financial reporting and audit;
- (v). the university’s full negotiated Facilities and Administrative (F & A) indirect cost rate, unless a waiver of those costs have been approved; and
- (vi). terms and conditions for the disposition of tangible properties (e.g., equipment, records, specified technical reports, theses or dissertations or intangible properties (e.g., rights in data, copyrights, inventions).

4.2 Research Budgeting & Financing

Research budgeting and financing are very crucial to every funded project in EBSU be it from the University Research Grants or External Research Grants, consequently, every expenditure must be properly accounted for. EBSU may decide to proceed with a contract if it can be demonstrated that the work fits the research, education, and public service mission of the university, and if the work will

advance the research, creative, or scholarly activities of the faculty, staff and students who will undertake it. If it proceeds, then the university must fully recover its costs (direct costs plus indirect costs) in performing the services, and it can neither set out to generate a profit nor be in a deficit when the project ends. For audit purposes, the university PI must document all expenditures to show they comply with the terms and conditions of the award, ensure that all costs are fully expensed to the sponsor, provide evidence that all personnel costs reflect actual effort, and carefully handle any residual funds. In proposing budgets for External Research Grants, the PI must ensure that EBSU and the potential sponsor of the project are represented as accurately as possible with regard to all financial matters. The following are important policy issues that must be considered:

- (i). **Commitment of University Resources:** Sponsored awards are made to the university. To accept awards, the university must legally commit itself to the conditions of the award document and the provision of resources necessary to fulfill the award. The Vice Chancellor or Chairman of the University Research and Development Board is the official authorized to approve grants documents, contracts and intergovernmental agreements.
- (ii). **Allowability:** Proposals should not include expenses which the sponsor has identified as unallowable. Similarly, expenses which are to be

considered as indirect expenses (e.g., certain types of office supplies and clerical salaries) may not be proposed and budgeted as direct expenses.

(iii). **Commitment to Effort:** Proposals should accurately represent the amount of time that key personnel are committing to the project. In preparing proposals, PIs must be cautious to not over commit themselves or others. Effort to the project must take into account the time required for teaching and other academic and administrative duties of staff.

(iv). **Cost Sharing:** Cost sharing is the contribution made by the university to the total sponsored project cost. Two types of cost sharing may occur in a grant:

- (a). Mandatory cost sharing required by the sponsor as a condition to obtaining an award; and
- (b). Committed cost sharing, which is an agreement by the university to use some of its own resources for related research, but not required by the sponsoring agency.

4.3 Fiscal Responsibilities of Principal Investigators

The Principal Investigator (PI) has financial signing authority for the research award and, accordingly, has overall responsibility for fiscal/financial management of the research grant awarded to the university. The research grants awarded to any research project whether it is from the University or

from external sources will be delivered to the PI for the execution of the project. The grant meant for research is not to be diverted for any other purpose by the University or the PI and the expenditure must be in accordance with the approved project budget. The responsibilities of the PI include but not limited to the following:

- (i). Manage the research project in accordance with the approved research protocol. In any case of need for a significant change to the protocol, a prior written approval of the funding agency is required.
- (ii). Execute and supervise grant expenditures as stipulated in accordance with the terms, condition and limitations of the funding agency.
- (iii). Ensure cost sharing requirements are properly documented by the award and seek appropriate approvals for cost sharing and other actions before committing the university's finances or resources.
- (iv). Ensure the university and potential sponsors that project finances are represented as accurately and reasonably as possible;
- (v). Complete effort certifications and timesheets as required for the project on a timely basis.
- (vi). Certify the appropriateness of direct charges, salary, annual and sick leave each month during the project period.
- (vii). Seek no-cost extension, rebudgeting requests, and modification in the scope of the project of the award.

- (viii). Follow intellectual research property policies.
- (ix). Complete all reports (financial and technical) as required by the award.
- (x). Be accountable for deficits or disallowances that occur under the grant or contract.

4.4 Release of Research Fund to Researchers

Following the award of research grant by the University to individual researchers or teams/groups, the release of the fund would be done in two or more instalments depending on the nature, the duration and scope of the research. The number and the amount of each instalment are to be determined for each project by the Ebonyi State University Directorate of research, Innovation & Commercialization (EBSU-DRIC).

The first instalment would be released after the following conditions have been fulfilled:

- (i). Principal Investigator (PI) has submitted the full research proposal including the detailed budget/financial management outline to enable the project to be remotely monitored by the EBSU-DRIC,;
- (ii). The PI has endorsed all the financial management related documents including an undertaking to be committed to the judicious use of the research fund and for the purpose of the research project only as approved by the EBSU-DRIC and submitted same to the EBSU-DRIC.

Thereafter the second grant instalments would be released following the fulfilment of the following conditions:

- (a). Submission of progress/interim research project report to the EBSU-DRIC which would be reviewed to ensure compliance with proposal specifications.
- (b). Submission of interim financial report (i.e., retirement) of the initial grant instalment previously released.

The final grant instalment would be released following the successful completion of the project and submission of final project report and financial report to the EBSU-DRIC.

Note: The EBSU-DRIC will not hesitate to recommend to the University the cancellation and full recovery of the released grant and even stiffer sanctions in the event of violation of the grant contract terms.

5.0 RESEARCH EXECUTION AND MONITORING

5.1. Executing Research Projects

5.1.1 Duties of Researchers

Researchers are obliged to complete all assigned, and agreed upon research, and to publish findings of such research as widely as possible. In particular, with regards to research supported by funds from EBSU, the University expects a return from the recipients of the funding. As such, researchers are obliged to generate output from the research conducted. The University on its part is obliged to support/assist researchers in meeting all their research obligations. As far as possible, publication of research should be current and of high quality. Ideally, there should be a minimum amount of delay between the end of any research and the publication of its findings. Any delay in publication of research findings should not, normally, exceed a period of 12 months.

5.1.2 Sharing of Research Resources

All infrastructure and logistical resources presently dispersed throughout the University in the various faculties/institutes/centres are, in principle, available on a shared basis to all researchers subject to their

obtaining the required consent for use from the respective heads of department.

5.1.3 Limit on Number of Research Grants/Projects

To ensure that research is completed on schedule, all researchers who are also full-time lecturers can lead up to four research grants/projects at any one time, provided each project is undertaken by an established research team, with the PI not exceeding 65% of level of effort on each project. In addition, these researchers can participate in a maximum of two further projects as a member of the research teams provided they do not exceed 15% of level of effort in the additional projects.

5.1.4 Research Collaboration and Memoranda of Understanding

The university actively encourages industrial collaboration and other forms of research collaboration with other institutions. However, the university will not condone a situation where several groups within the university will be involved in writing unilateral articles of collaboration with institutes and industrial groups in a fragmented manner because of its legal and ethical implications. The following must be put into consideration in issues of research collaboration:

- (i). When it becomes clear that a research collaboration will be arranged with an institution, the Directorate of Research & Development must be contacted in order to find out whether there is an existing agreement or whether other groups within the university have approached the same body (so as to avoid duplication).
- (ii). A draft memorandum or agreement should be drawn by the Legal department of the Institution and EBSU and shown to all parties for review and comments-indicating areas of co-operation, benefits, costs and budgetary implications, intellectual property rights and training components.
- (iii). Thereafter the Vice-Chancellor or Chairman of the University Research and Development Board will sign the final document on behalf of the university and the Chief Executive Officer of the collaborating institute will also append his/her signature.
- (iv). Copies of research, research reports and financial statements emanating from the memorandum of understanding should be lodged at the Directorate of Research & Development

5.1.5 Responsibilities of the Principal Investigator

Principal Investigators (PIs) are responsible for the intellectual direction of research and scholarship and for the education and training of students attached to the project. In carrying out these critical tasks, PIs are also responsible for compliance with and understanding of the underpinnings of laws and regulations that touch on all applicable aspects of the research enterprise, including:

- (i). Review and submission of proposals, pre-award activity, and post award activity
- (ii). General research and policies and procedures
- (iii). General and fiscal administration and management
- (iv). Research property, including: inventions, patents, copyrights, licensing, and authorship
- (v). Environmental health and safety
- (vi). Human subjects
- (vii). Laboratory animals where necessary
- (viii). Disclosures and conflict of interest and
- (ix). Adherence to appropriate research conduct and reporting of misconduct

5.2 Project Monitoring

For a PI to manage sponsored funds and ensure that expenditures and revenues are within appropriate limits and guidelines, reconciling accounts should be conducted on a regular basis. A project monitoring

mechanism is to be instituted by EBSU-DRIC for every funded research project for the following purposes:

- (i). ascertain that revenues have been received.
- (ii). confirm the availability of project funds as needed.
- (iii). ensure that costs are consistent with the project schedule and incurred between the start and stop dates of the project.
- (iv). discover any errors in your budget (for more information on budgeting and budget reporting,
- (v). avoid overspending, which may cause a deficit and limit further spending.
- (vi). give the PI a high degree of confidence that the project is in compliance with the sponsor's spending terms and conditions.
- (vii). ensure any committed cost sharing has been fulfilled
- (viii). maintain a clear audit trail for the future.

6.0 RESEARCH ETHICS

6.1 EBSU position on Ethics in Research

The broad principles that guide research have long been established, and they are regarded as vital to Ebonyi State University. Central to these are the maintenance of high ethical standards, and validity and accuracy in the collection and reporting of research findings. Communication between collaborators, maintenance of, and reference to, research records, presentation and discussion of work at meetings of experts, publication of results including the important element of peer review, and the possibility that investigations will be replicated or extended by other researchers, all contribute to the intrinsically self-correcting and ethical nature of research. The University expects those engaged in research to act in accordance with the highest standards of integrity whether they are employees, researchers, or students of the University, and irrespective of the source from which their posts or research is funded, whether this is internal or external to the University. These standards are also expected of those engaged in the setting of research priorities, and in the assessment of research.

6.2 Research & Ethics Committee

6.2.1 Establishment of Research & Ethics Committee

A number of developments have brought the subject of ethic in research to the front line of concerns of the society at large. These include a major expansion in research involving humans, the significant public investment in research, the increasing need for experimentation on human subjects, publicized cases of ethical violation, internalization of research, and the expanding role of private industry. With the increasing acceptance and appreciation of individual human rights, and the need to respect and protect them, it is not acceptable that the welfare and the respect of the individuals be compromised in the pursuit of benefits that may accrue to science and society. Ethics are principles of right conduct. Therefore the University will have a University Research & Ethics Committee (UREC) and each Faculty of Ebonyi State University will also have a Faculty Research & Ethics Committee (FREC). The UREC will consist of selected representatives of all the FREC and other members that may be appointed by the URDB. The Chairman of the UREC will be appointed by the URDB and will have tenure of two years. The Chairman of the FREC will be appointed by the Dean of the Faculty and will have tenure of two years. The FREC of all faculties

will report directly to the UREC. The UREC in conjunction with EBSU-DRIC will coordinate the activities of all FREC. The UREC and all FREC will work closely with the EBSU-DRIC. The committees will undertake the review and approval of scientific research being conducted in order to ensure that the international ethical standards are maintained in the research works that are conducted in the University. Each faculty committee would be called by the name of the faculty eg., Faculty of Clinical Medicine Research & Ethics Committee.

6.2.2 Purpose of the Research & Ethics Committee

The purpose of the ethics committee would be to promote, not prevent, research and teaching. In so doing, it would seek to ensure that all researchers and teachers are aware of the ethical issues of research or teaching activities involving human subjects. The committee would recognize that individual researchers and teachers, working in and familiar with their own disciplines, are generally in the best position to assess their proposed activity. Nevertheless, to ensure consistency and impartiality in considering the interests of potential subjects, as well as to provide a degree of protection for the researcher or teacher, it is important that certain categories of research and teaching activities be

approved in accordance with the Human Ethics Policy and these Guidelines before being conducted. Each Faculty Research & Ethics Committee (FREC) in conjunction with UREC is required to:

- (i). draw up guidelines for the ethical conduct of all research undertaken under the auspices of the faculty, appropriate to the academic disciplines within the faculty and in accordance with recommendations made by relevant outside bodies.
- (ii). ensure that staff and students in the faculty have adequate training in the ethical conduct of research
- (iii). ensure that staff and students are aware of health and safety issues and insurance implications
- (iv). establish procedures for handling ethics issues of all research in the faculty ethics committees or, where appropriate, through other ethics committees outside the University
- (v). report annually to the University Research & Ethics Committee (UREC) and EBSU-DRIC on research ethics activities and outcomes, and on procedures within the Faculties and their operations.
- (vi). the UREC will refer cases to the University Research and Development Board where necessary through the EBSU-DRIC.

6.2.3 Types of research to be assessed

Virtually all research will have ethical implications, however there are some areas of research where the ethical implications will be particularly important. The following is not an exhaustive list, however some examples of such areas of research are: where it involves human subjects (particularly children and vulnerable adults); where it uses human data or human material; where there are serious health and safety implications; where animal experiments are involved; where there is a risk of damage to the environment; where the impact of the research may be emotionally damaging; where the research is politically or socially sensitive; where the source of funding for the research has the potential to compromise the University's position.

6.2.4 The Guiding Principles of the Research & Ethics Committee

The purpose of these guiding principles on research is to identify good, desirable and acceptable conduct, to protect the welfare and rights of research participants, and to reflect the basic ethical values of beneficence, justice and respect for persons. Researchers must conform to the ethical principles and values outlined, which must underscore all research activities in Ebonyi State University Abakaliki.

6.2.4.1 Respects and Dignity

Respect for the dignity, safety and well-being of participants should be the primary concern in health research involving human participants to be approved. Culture, language, beliefs, perceptions, and customs must all be considered.

6.2.4.2 Relevance

Researchers must have ethical responsibility to ensure that their research is relevant both to the broad health and development needs of Ebonyi State and the country at large and to the individual needs of study population in the case of studies involving humans and animals. The findings of the research must be translatable into mechanisms for improving the health and socioeconomic status of Ebonyi State and Nigeria.

6.2.4.3 Scientific Integrity

In addition to fulfilling a need and being of value, the research proposed must demonstrate sound methodology and a high probability of providing answers to the research questions posed. The research protocol must show knowledge of relevant literature, derived from a systematic review of that literature and, where appropriate, from laboratory and animal studies. Moreover, research methods and results must be open to peer review and scrutiny.

6.2.4.4 Investigator Competence

A suitably qualified investigator should conduct the study. The investigator's competence is assessed mainly by technical competence, which includes research competence, and is itself assessed in terms of education, knowledge, certification and experience. Compassion and empathy are among the characteristics required of a technically competent researcher.

6.2.4.5 Informed Consent

Informed consent must be obtained from research participants before the research can begin. Both written and verbal informed consent must be obtained, unless there are good reasons to the contrary, such a situation of coma, emergency, or mental incapacity. Prior approval of the ethics committee must be obtained in all situations in which it is justifiable to initiate research without the informed consent of the participant. Verbal consent, where the participant is illiterate, should be obtained in the presence of a literate witness who should verify in writing, duly signed, that informed verbal consent was obtained. Informed consent means that a participant has been informed about the risks and benefits of the research, understands such risks and

benefits and is able to give consent to participation, without coercion, undue influence or inappropriate incentives.

6.2.4.6 Privacy and Confidentiality

In its simplest form privacy is concerned with access to personal records, while confidentiality refers to the use of personal information once it has been disclosed. A participant's right to both privacy and confidentiality must be protected. The researcher must ensure that 'where personal information about research participants or a community is collected, stored, used or destroyed, this is done in ways that respect the privacy or confidentiality of the participants or the community and any agreements made with the participants or community'.

6.2.4.7 Inclusion and Exclusion Criteria

The selection, recruitment, exclusion and inclusion of research participants must be just and fair, based on sound scientific and ethical principles. No person may be inappropriately or unjustly excluded on the basis of race, age, sex, sexual orientation, disability, education, religious beliefs, pregnancy, marital status, ethnic or social origin, conscience, belief or language.

6.2.4.8. Risk and Benefits

A risk/benefit analysis of the study should precede the research itself. Risk/benefit analysis should take

full notice of benefits and harms beyond the duration of the research, particularly in the case of chronic life-threatening conditions. Alternative ways of providing benefits to the participants might be available. The principal investigator has the ethical duty to exclude participants who might be placed at undue risk.

6.2.4.9. Publication of Results

Investigators have an obligation to disseminate research results, whether positive or negative, in a timely and competent manner. This is particularly important in clinical trials, where investigators are duty bound to ensure that findings are made public for all outcomes assessed. It is, however, important that the release of research findings be done in an ethical manner, to ensure that false expectations are not raised in a vulnerable population. Research results should not be prematurely released or published, or unreasonably delayed. It is advisable that the main results should be disseminated, using appropriate communication formats, to the participants and other interested members of the communities in which the study was conducted. Research ethics committees should be satisfied that there is no interference with the right to publish results.

6.3.5 Conflict of Interest

A researcher must disclose the sources and extent of funding to the research participants, the ethics committee and, where appropriate, to the regulatory authority. Commercial affiliations or financial interests at the time of proposing and reporting the research must also be disclosed.

6.3.6. Safety Monitoring

Safety monitoring of research activities is imperative, particularly in a clinical trial. This involves the prompt reporting of serious adverse events, including post-study events. It is the researcher's responsibility to ensure that adequate provisions are made to deal with any adverse event. The processes for this should be outlined in the research protocol.

6.4 The Functions of the Research and Ethics Committee

The functions of the Ethics Committee are as follows:

- (a) To foster awareness of ethical principles in the teaching and research activities.
- (b) To provide guidance to researchers and teachers with regard to ethical standards.
- (c) To protect the rights of individuals and groups who are the subject of research, experiments

set up for teaching purposes, and other similar activities under the auspices of the faculty.

- (d) To consider and, where the Committee considers it proper to do so, to approve and monitor any proposals, protocols, or pilot projects, including contracts, submitted to the Committee, where the proposal, protocol, pilot project or contract relates to research.
- (e) To review and, where it considers it proper to do so, to approve and monitor any proposal relating to research which involves people (whether student members of the class, University staff, or others) as the subject of experiments.
- (f) To ensure that all research conducted by members of the faculty conforms to ethical principles and to known safety procedures.
- (g) To ensure that teaching groups which regularly carry on teaching and research of the kind referred to above operate ethical review procedures which are acceptable to the Committee.
- (h) To delegate authority to sub-committees to approve research proposals
- (i). To authorize research to proceed
- (j). Require clarification or modification of parts of a research submission
- (k). To authorize significant deviations from any approved research proposal

- (l). To defer consideration of a proposal
- (m) To reject a research proposal as a whole or in part
- (n). To revoke approval of research if dissatisfied with the conduct of the research
- (o). To refer students or staff under the University's research misconduct or disciplinary procedures
- (p). To report annually to the University Research and Development Board
- (q). To maintain records on all activities and decisions of the Committee.

The committee would give reasons for its decisions and might call for reports on the conduct of research during the project and on completion. The committee would also review significant deviations from an approved project proposal. Faculties should ensure that any applicants for project approval by an ethics committee, and in the case of students, their supervisors, should not take part in decisions on their applications. Where research is being conducted by members of staff or students in more than one faculty in the University, the research need undergo ethics review in only one faculty. Any decision should be communicated by the researcher to all faculties involved. Where research is being conducted by members of staff or students in more than one institution, the research should gain formal ethics approval in one of them. The decision on

which is the most appropriate should take into account the location of principal investigator and the formal ethics review structures in place in each institution. However if ethics approval is given by another institution, this does not remove the responsibility of researchers to comply with the University's ethics policies and to provide their faculty with the outcome of the approval, and the research proposal should receive sufficient scrutiny by the faculty ethics committee to ensure that this is the case.

6.4.1 Membership of the Research and Ethics Committee

Each faculty research & ethics committee would consist of members who, collectively, have the qualifications and experience to review and evaluate the science, health/socioeconomic aspects and ethics of the proposed research. Membership would consist of Heads of Departments (or their representatives) and the Professors of the faculty, and the Dean of the Faculty. The Dean of the faculty would be the chairman and 60% of the members shall constitute a quorum. The research ethics committee shall ensure that it is adequately informed on all aspects of a research protocol, including its scientific and statistical validity, that are relevant to deciding whether the protocol is both

acceptable on ethical grounds and conforms to the principles of this document.

6.4.2 Working Procedures of the Committee

The research ethics committees shall establish and record working procedures concerning:

1. Frequency of meetings;
2. Preparation of agenda and minutes;
3. Distribution of papers prior to meetings;
4. Presentation of research protocols;
5. Presentation of all documents and other materials used to inform potential research participants;
6. Quorum and methods of decision-making;
7. Requirements for submission of research projects for ethical approval;
8. Registration of applications;
9. Timely review and notification of decisions;
10. Written notification of decisions to researchers;
11. The recording in writing of decisions made by the Committee and reasons for decisions;
12. Confidentiality of the content of the protocols and of a committee's proceedings
13. Reporting of adverse events;
14. Reporting of amendments to protocols;
15. Access to documents;
16. Regular monitoring;
17. Complaints procedures;
18. Fees charged, if any;

19. Procedures for easy and adequate access to members of ethics committees;

The ethics committee may approve, require amendment to, or reject a research proposal on ethical grounds. The ethics committee shall record decisions in writing and should include reasons for rejection. In considering a research protocol, the research ethics committee may seek assistance from experts, but the committee must be satisfied that such experts have no conflicts of interest in relation to the research project under consideration. The research ethics committee shall ensure that no member of the committee adjudicates on research in which that member has any conflict of interest in relation to the research project under consideration. A researcher must disclose to the research ethics committee the amount and sources, or potential sources, of funding for the research and must declare any affiliation or financial interest when proposing and when reporting the research. A research proposal must include a statement of the ethical considerations involved in the proposed research. The ethics committee must be satisfied that the research protocol gives adequate consideration to participants' welfare, rights, beliefs, perceptions, customs and cultural heritage. The Research ethics committee shall ensure that members receive initial and continued education in research ethics and

science, and are kept aware of current issues and developments in the broad area of ethics and science

6.4.3 Recording of Decisions

The research ethics committee shall maintain a record of all research protocols received and reviewed including the following:

1. Name of responsible institution or organization;
2. Project identification number;
3. Principal investigator;
4. Title of the project;
5. Date of ethical approval or non-approval;
6. Approval or non-approval of changes to the protocol;
7. Approval or non-approval of changes to the information sheets and informed-consent forms;
8. Approval or non-approval of changes to advertising materials, letters and notices;
9. Complaints from researchers whose protocols were not approved;
10. The terms and conditions of approval of any protocol;
11. Whether approval was by expedited review;
12. Whether the opinion of another ethics committee was considered;
13. Action taken by the ethics committee to monitor the conduct of the research.

6.4.4 Suspension or Discontinuation of Research

Where the research ethics committee is satisfied that such circumstances have arisen that a research project is not being conducted in accordance with the approved protocol and that, as a result, the welfare and rights of participants are not or will not be protected, the research ethics committee may withdraw approval. The research ethics committee shall also inform the researcher and the institution or organization of its action, and shall recommend that the research project be discontinued or suspended, or that other appropriate steps be taken. Where ethical approval has been withdrawn, a researcher must discontinue the research and comply with any special conditions required by the ethics committee.

6.5 Evaluation of the Research Ethics Committee

The Research Ethics Committee would be subject to evaluation to assess the performance of the committee in the discharge of its duties. The evaluation may be either formal or informal. Formal evaluations may take the form of questionnaires, oral interviews and direct observation by outsiders; informal evaluations typically would involve members' unstructured discussions.

7.0 RESEARCH MISCONDUCT

7.1 Definition of Research Misconduct

A fabrication, falsification, or plagiarism in proposing, conducting, reporting or reviewing sponsored or unsponsored research would be regarded as research misconduct. The misconduct must have been committed intentionally, knowingly or recklessly. Research misconduct is further defined to include gross carelessness in conducting research amounting to wanton disregard of truth or objectivity, or failure to comply or at least attempt to comply with material and relevant aspects of valid statutory or regulatory requirements governing the research in question. Research misconduct is more than a simple instance of an error in judgment, a misinterpretation of experimental results, an oversight in attribution, a disagreement with recognized authorities, a failure in either inductive or deductive reasoning, an error in planning or carrying out experiments, or a calculation mistake.

7.2 Addressing Research Misconduct

- (i). Research misconduct cannot be tolerated and will be firmly dealt with when found to exist.

- (ii). Charges of research misconduct shall be promptly reviewed and a copy of this policy shall be made available to the complainant. Allegations must be made in writing, and signed and dated by the complainant. If health or safety is involved, prompt remedial action shall be taken.
- (iii). Every effort shall be made to protect the rights and the reputations of everyone involved, including the individual who in good faith alleges perceived misconduct as well as the alleged violator(s). A good faith allegation is made with the honest belief that research misconduct may have occurred. Persons making a good faith allegation shall be protected against retaliation. However, persons making allegations in bad faith will be subject to disciplinary action, up to and including termination or expulsion. An allegation is made in bad faith if the complainant knows that it is false or makes the allegation with reckless disregard for or willful ignorance of facts that would disprove it.
- (iv). All members of the university community are expected to cooperate with committees conducting inquiries or investigations.
- (v). Care will be exercised at all times to ensure confidentiality to the maximum extent possible and to protect the privacy of persons involved in the research under inquiry or investigation. The

privacy of those who report misconduct in good faith will also be protected to the maximum extent possible. Files involved in an inquiry or investigation shall be kept secure and applicable state and federal law shall be followed regarding confidentiality of personnel records.

- (vi). All cases of research misconduct shall be referred first to the Faculty Research & Ethics Committee. The Committee shall investigate the allegations and make recommendations to the University Research and Development Board for appropriate action.

8.0 RESEARCH TERMINATION & DISSEMINATION

8.1 Completion of Research Projects

The University maintains that every research project that has commenced in EBSU whether funded or not must be completed within the stipulated time for the research. The University will not tolerate the abandonment of research project especially funded projects. The Principal Investigator of all projects must ensure that this directive is complied with. If for any reason a project faces the challenges of possible abandonment apart from ethical issues, the Principal Investigator must inform the University Research & Development Board through the EBSU-DRIC. The Board is then expected to take appropriate action.

8.2 Dissemination of Research Findings

Researchers are expected to publish/exhibit the findings of their research with full responsibility and with an awareness of the consequences of any such dissemination in the public realm. The University works to ensure that research sponsors understand that researchers must have academic freedom and that sponsors should not discourage publication or dissemination of research and research findings. Every effort must be made to inform sponsors ahead of any potential publication or dissemination

of the research findings. This will allow sponsors adequate time and accurate information to protect any arising intellectual property or to plan their own public relations together with the University, especially since media publicity is increasingly important to industry, civil society organizations and the University itself. Researchers should make every effort to ensure that their research or research findings are peer reviewed before it is published, publicized or disseminated. If research is placed in the public realm before any peer review has been undertaken, this must be made clear by the researcher. Researchers should acknowledge all fellow research collaborators and all sources of funding openly in any publication or publicity.

9.0 RESEARCH ASSESSMENT EXERCISE

9.1 Research Assessment and Research Quality

The University through EBSU-DRIC will endeavour to monitor research output and research quality through

- (i). The potential viability and importance;
- (ii). The output and impact of research evaluations
- (iii). Evaluating the number of research active staff and by research performance indicators such as the number of postgraduate degree students in a programme, degree completion rates and by bibliometrics (number of publications, impact factors and citation indices)
- (iv). Other measures such as number of research grants received, patents and industrial collaborations etc)
- (v). Self-assessment reports from faculties and schools and the meeting of milestones and targets according to faculty research plans.

9.2 Research Output

12.1 The University recognizes the following as concrete evidence of quality research output:

- (i). Externally refereed publications as articles or scientific papers in national and internationally

- journals of scholarly repute, or in refereed open-access web-based academic journals;
- (ii). Monographs, books, chapters in books and published conference proceedings;
 - (iii). Presentation of research work at external conferences, seminars and workshops (national and preferably international);
 - (iv). In-house research working papers, technical reports, professional society publications;
 - (v). Research-based creative works/exhibitions and artistic performances;
 - (vi). Success in attracting further substantial research funding; and
 - (vii). Supervision of research students to completion of their degree.

10.0 COPYRIGHT AND INTELLECTUAL PROPERTY

10.1 Works Eligible for Patent and Copyright

Any or all of the following works produced or invented in Ebonyi State University, Abakaliki shall be eligible for copyright.

- a) Academic researches
- b) Journal publications
- c) Literary works
- d) Artistic works
- e) Inventions
- f) Cinematography
- g) Musical works, sound recordings and broadcasts.

Provided always that sufficient effort has been expended on making the work to give it an original character.

Copyright shall be conferred on every eligible work, publication or invention of which the author/inventor or, in case of joint authorship, who at the time of production is a governed by the laws of EBSU and by extension the Laws of the Federal Republic of Nigeria.

10.2 General Nature of the Copyright Over All Intellectual Properties

Subject to the exceptions specified in the second schedule of the copyright Act I.F.N 2004, copyright in a work shall be the exclusive right to control the doing of any of the following, that is to do and authorize the doing of any of the following.

- a) Reproduce the work or invention in any material form
- b) Publish the work.
- c) Perform the work in public
- d) Produce, reproduce, perform or publish any translation of the work
- e) Make any cinematograph film or a record in respect of the work
- f) Distribute to the public for commercial purposes, copies of the work by way of rental, lease, hire, loan or similar arrangement
- g) Broadcast or communicate the work to the public by loud speaker or any similar device.
- h) Make any adaptation of the work or invention.

10.3 Dealing with and Creation of Patents

The provisions of the Copyright Act 1988 Cap C28 Laws of the Federation of Nigeria 2004 shall apply to inventions, patents and licensing of all original works of scholars and academics of Ebonyi State University Abakaliki. More specifically:

- a) Researchers, students and visiting scholars- /adjunct and part time are to sign the EBSU Patent and Copyright Agreement as contained in schedules 1 and 2 of this instrument before engaging in any research which is intended to be covered and protected by the intellectual property rights of this research policy.
- b) Researchers involved or undertaking project works- be they academics or students, must disclose all potentially patentable Inventions conceived or first reduced to practice in whole or in part, in the course of university responsibilities or more than incidental use of university responsibilities or more than incidental use of university resources.
- c) Head of departments or units are responsible for knowing who is working in research facilities under their control, and for ensuring that all such researchers have signed the patent and copyright agreement of the university.
- d) Title to such invention or work commissioned by the university shall be assigned to the university, while royalties shall be shared with the inventors in an approved manner of 60/40 respectively.

10.4 Ownership of Intellectual Property

- a) Ownership of pedagogical, scholarly, or artistic works including that of students, created in the course of their study or education, such as dissertations, papers and articles shall remain with the creator. However, if the work was commissioned and funded by the university for pursuit of a special project, or makes significant use of university resources and, or personnel, or is a work-for-hire, or is otherwise subject to contractual obligation, the copyright shall be vested in the university, as hereinabove stated in 4(d) of this present.

- b) Videotapes, CD-ROMS and related ICT materials developed under the university sponsorship are properties of the university. Courses taught and developed for teaching at EBSU are properties of Ebonyi State University and may not be further distributed without the permission from appropriate unit of the university.

- c) Ownership of a creation or invention developed during an internship or research project performed as part of a relationship/linkage with an outside entity should reflect the relative roles and contributions of the students, the outside entity and Ebonyi State University to the

creation of the work or the development of the invention.

- d) Scholars and visitors who make more than incidental use of EBSU’S research facilities and equipment shall disclose inventions created here in EBSU, and EBSU shall share ownership of such inventions with the visitor or his commissioner, or otherwise manage the intellectual property in a mutually agreed manner.

- e) Copyrightable works that are subject to sponsored research agreements or other contractual obligations of the university shall be owned by the university, so that the university may satisfy its contractual obligation.

10.5 Sensitive Research and Conflict of Commitment

The university reserves the right to know about all research activities undertaken by students and persons working under its aegis.

The onus is on those carrying out the research at, or under the umbrella of the university, to draw the attention of the university’s research committee to every case of potential conflict with the university’s philosophy. Where in the opinion of the chairman it

may be inappropriate for the proposed research undertaken, clarification should be sought and obtained from the university Research and Development Board.

10.6 Copyright Notices and Trade Marks

a) The following notice should be placed on university owned materials in order to protect the copyright.

Copyright@ [year] Ebonyi State University, Abakaliki, Nigeria. All Rights Reserved.

The name and address if the relevant unit, department or faculty where the Work was done may be listed below the copyright seal just for enquiry purposes.

b) Trade or service marks relating to goods or service distributed by the University shall be owned by the university.

c) Proprietary information arising out of university work (e.g. actual and proposed terms of research agreements, financial arrangement or confidential business information) shall be owned by the university.

10.7 Re-Conveyance of Copyright.

The copyright assigned to the University as a result of any provision of this policy may on application by the creator be reconvened. The creator of the intellectual property may make an application to the Vice chancellor through the University Research committee that ownership be reconvened back to him. The application can be granted if it receives the support of the university Research committee; provided always that:

- a) it does not violate any legal obligation
- b) it does not stop the University from using the material while in need if granted
- c) it does not create a real or potential conflict with university vision, mission and philosophy.
- d) it will not be un reasonable to recovery to a creator who had immensely contributed in creating the intellectual property.

10.8.1. Appendix 1

Patent and Copyright Agreement of Ebonyi State University

Pursuant to the Research Policy of Ebonyi State University, applicable laws and regulations of Ebonyi State University and general terms of my employment/hire, I understand that all intellectual properties made in the university are governed by the Ebonyi State University Research Policy; and I pledge to abide by the terms of the policy, or as may be periodically amended.

In view of the foregoing, and in consideration of the receipt remuneration from Ebonyi State university participation in projects administered by Ebonyi State University, access to, or use of facilities provided by Ebonyi State University and/or other valuable considerations, I hereby agree as follows:

- 1) I will disclose to Ebonyi State University all potential patentable inventions conceived or first reduced to practice in whole or in part in the course of my University responsibilities or with more than Incidental use of University resources.

- 2) I further agree to assign to Ebonyi State University all my right, title and interests in such patentable inventions and to execute and deliver all

documents and do any and all things necessary and proper on my part to effect such assignment.

3) I am free to place my inventions in the public domain as long as in so doing neither Ebonyi State University nor I violate the terms of any agreements that governed the work done.

4) Ebonyi State University Policy states that all rights in copyright shall remain with the creator unless the work is:

a) A work-for-hire, which case copyright vests in the University under Copyright Law.

b) Supported by direct funding by or through the University for the pursuit or execution of a specific project(s).

c) Commissioned by the University for the benefit of University or mankind.

d) Made with significant use of University or her personnel, or otherwise subject to contractual obligations binding the researcher/inventor with University.

5) I am now under no consulting or other obligations to any third party or organization in respect to rights in invention or copyrightable materials which are, or could be reasonably construed to be in conflict with this agreement.

6) Subject to professional rights which are conferrable by researcher's professional body. I will not enter into any agreement creating copyright or patent obligation in conflict with this agreement.

7) This agreement takes effect from 1st of January 2010 or any such date that of hire, enrolment or participation in projects or research administered by the University.

Signed thisday of
.....20.....

Name

EBSU ID No

Signature:Department

Date.....

*Agreement to be in triplicates: original to be with University Research Committee while party to this agreement retains one, and the last copy for the non-EBSU employer

10.8.2. Appendix 11

Patent and Copyright Agreement for staff of Ebonyi State University with conflicting intellectual property agreement With another employer.

Pursuant to the Research Policy of Ebonyi State University, applicable laws and regulations of Ebonyi State University and general terms of my engagement or/hire, I understand that all intellectual properties made in the University are governed by the Ebonyi State University Research Policy; and I pledge in the course of my activities, to abide by the terms of the policy, or as may be periodically amended.

In view of the forgoing, and in consideration of my participation in projects Administered by Ebonyi State University, access to, or use of facilities Provided by Ebonyi State University and/or other valuable considerations. I Hereby agree as follows:

1. I will disclose to Ebonyi State University all potential patentable Inventions conceived or first reduced to practice in whole or in part in the Course of my University responsibilities or with more than incidental use of University recourses.

2. I further agree to assign to Ebonyi State University all my right, title and interests in such patentable inventions and to execute and deliver all documents and do any and all things necessary and proper on my part to effect such assignment.

3. I will not use any information defined as confidential or proprietary by my non-EBSU employer in the course of my EBSU responsibilities and I will not do consulting or any work for my non-EBSU employer while at or using the facility owned or leased by EBSU.

4. I am free to place my inventions in the public domain as long as in so doing neither Ebonyi State University nor I violate the terms of any agreements that governed the work done or by my agreement with my non- EBSU employer.

5. Ebonyi State University policy states that all rights in copyright shall remain with the creator unless the work is:

- a. a work-for-hire, in which case copyright vests in the University under copyright Law.
- b. supported by direct funding by or through the University for the pursuit or execution of a specific projects).
- c. commissioned by the University for the benefit of University or mankind.

- d. made with significant use of University or her personnel, or otherwise subject to contractual obligations binding the researcher/inventor with University.
- e. I will assign and confirm in writing to EBSU all my right, title and interest, including copyright, in and to copyrightable materials falling under items (a) to (e) above.

6. I am now under no consulting or other obligations to any third party or organization in respect to rights in invention or copyrightable materials which are, or could be reasonably construed to be in conflict with this agreement.

7. Subject to professional right which is conferrable by researcher's professional body, I will not enter into any agreement creating copyright or patent obligation in conflict with this agreement.

8. This agreement takes effect from 1st of January 2010 or any such date that of hire, enrolment or participation in projects or research administered by the University.

Signed this
day of 20

Name

.....

EBSU ID No

Signature..... Department:

Date:.....

Non-EBSU employer:

Signed

this:.....

day of20.....

Name:.....

Signature:.....

Institution/Organization:

Date:.....

*Agreement to be in triplicates: original to be with EBSU Directorate of Research, Innovation and Commercialization while party to the agreement retains one and the last copy for the non-EBSU employer.

11.0 INTERPRETATION OF POLICY AND REVIEWS

The nature of research and innovation systems of a University is such that these are various stakeholders. Hence various viewpoints might emerge, necessitating a procedure for interpretation of aspects of the University Research and Development Board should have the responsibility of interpreting the research policy and framework provisions. It is hoped that in carrying out this responsibility, the URADB would expose itself to best practice and be fair and judicious in its interpretation of this policy document.

To ensure that the Research Policy and framework is progressive, modern and relevant, the document and its provisions should be reviewed from time to time.

A major review should be expected every five years.

It carrying out the review, the URADB should endeavour to consult the various stakeholders including students, researchers, staff, University management and others.

12.0 OTHER APPENDICES

12.1 Appendix III

Format and Proposal Form for Application for Research Grants

1. Project Title
2. Full Name, title, qualifications and current position of the principal investigator
3. List and roles of investigators and their departments/units
4. A brief description of the department/units involved.
5. Types of research capacity to be developed through the project
6. Estimated annual budget for the duration of the project present the budget by year i.e. year 1, year 2, and year 3 and list specific items and their estimated cost.
7. List other available support/financial assistance
8. Scientific objectives and Rationale
9. Study design and methods

10. Expected results and milestones towards their achievement.
11. Attach a one page CV with a list of 5 most recent and relevant scientific publications by the Principal Investigators

**12.2 Appendix IV:
Format for Monitoring Research Project**

1. Project title:

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2. Principal Investigator:.....

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3. Research Team Membership:

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4. Hosting Unit:

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5. Locations of Project:
6. Date of Commencement of Project:
7. Date of Monitoring Review:
8. Likely Date of Completion of Project:
9. Project Performance
 - a) Reviews and Reports by Principal Investigator received

Reference Numbers and Dates.....

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12.3 Appendix V

Guidelines for Scoring Research Proposals

S/N	Item Description	Score	
		Maximum	Actual
1.	Appropriateness of title of project	2	
2.	Detailed and lucidity of executive summary	2	
3.	Technical sound and well stated objectives	5	
4.	Adequate literature review	10	
5.	Scientifically adequate and currency of methodology	40	
6.	Scientific merit of proposal	3	
7.	Novelty of concept	5	
8.	Feasibility and likelihood of success	3	
9.	Detailed and well articulated work plan	10	
10.	Proper budgeting – detailed and realistic	10	
11.	Development and application of end results potentials	5	
12.	Research team expertise	5	
	Total	100	

12.4 Appendix VI

THE FRAME WORK

UNIVERSITY

Set out broad outlines of Research and Development Policy.

Ensure training and Regulate: mentoring Assessment motivation of all Staff

Provide adequate: environment, funding; collation and publicity of University Research and Development

Set standards and bench marks for all staff positions

STAFF

Read, understand and practice university Research and Development Policy.

Ensure appropriate training Licensing, and Certification of self

Strive to obtain funds for research from appropriate sources; Engage in productive Research and Development

Be accountable for adequate progress in Research and Development, Learning and Teaching.

Meet University Research

Development standard and Benchments.

Strive to set up EBSU as a networked research, learning and teaching university by buying into ICT networks e.g.” HINARI, AGORA” and other e library platforms.

✚ Become proficient in networking and use of ICT for this and various other platforms.

Encourage flexible working and teaching periods (for) so that academic staff can have adequate time for research.

✚ Utilize research leave adequately; utilize flexible work and teaching periods properly in order to set out time for research activities.

Members of EBSU AD-HOC Committee on Formulation of Research Policy

Prof Clarence O. Diribe	Chairman
Prof Ogbonnaya Ogbu	Member
Prof A. U. Osisioogu	Member
Dr Happiness Oselebe	Member
Dr Johnny O. Ogunji	Member
Dr P. N. Opara	Member
Rev Dr Ulu Ogbonnaya	Member
Dr Jesse Uneke	Member
Dr Nwachukwu Orji	Member
Dr Philip Omoke	Member
Barrister C. Omaka	Member
Dr C. O. Edeogu	Member
Dr Emezue	Member
Engr Arnold S. Ekwe	Member
Dr Emeka Ezenwa	Member
Mr Emeka G. Ani	Secretary

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