

BENUE STATE UNIVERSITY MAKURDI

RESEARCH POLICY

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PREFACE

The University is about teaching, research and community service. Research is therefore, one of the tripod on which the University stands. Even the third leg of the tripod i.e, community service is essentially driven by research outputs which provide solutions to local, national and even global challenges. This underscores the importance of research in the life of a University. However, research and publication culture in a tertiary education institution can only be cultivated and its growth nurtured where there is a sound research policy in place to drive it.

Benue State University has come of age – 30 years of existence as a citadel of learning is not a mean feat. During this period of the existence of BSU, several research activities have taken place, but regrettably, without a research policy in place to guide the conduct of those research activities. It is in an effort to fill this lacuna that this document has been given birth to. It is therefore my belief that this document will rekindle research and publication culture amongst the academic staff of the University, thereby repositioning Benue State University as a world class research institution and ultimately improving its global ranking.

The Research Policy is divided into Chapters for easy reference. There are altogether 10 (ten) Chapters. Chapter One which is on Preliminary Issues deals with issues such as Benue State University vision, mission, core values and mandate. Others are: aim of the policy; objectives of the policy; abbreviations and definitions. Chapter Two deals with University research priority areas while Chapter Three provides the guiding principles for research. Chapter Four deals with research agreements and Intellectual Property Policy (IPP) while Chapter Five deals with research integrity, ethics and misconduct. Chapter Six provides for funding for research and the University Research Fund (URF), while Chapter Seven deals with research equipment and relocation of principal investigator.

Chapter Eight deals with submission of research proposal as well as enhancing research and publication culture and policy implementation. Chapter Ten deals with policy review and date of commencement of the policy.

Several persons and various levels of bodies in the University made significant contributions toward the realization of this policy document. I acknowledge the contributions of Prof. Terver Ubwa (Deputy Vice Chancellor, Academic) toward the realization of this policy document. I equally acknowledge the immense contributions of Prof. Emmanuel Ayangarumun Kenen (Director, Centre for Research Management) in conceiving and nurturing this policy document to its logical conclusion. My appreciation also goes to all members of the Research Management Board under my leadership, for painstakingly considering this document, making necessary corrections and suggestions. I thank the members of the University Senate for going through the document and making useful contributions. Above all, let me express my deep sense of appreciation to the University Governing Council under the Chairmanship of Chief Sebastian Tar Hon, SAN, for approving the policy, thereby permitting the policy to come into force on the 30th day of March, 2023.

This policy document, being the first edition, is certainly error-prone. The errors that may be identified are unintended and highly regrettable. It is hoped that subsequent editions and reviews will address the errors and shortcomings in this first edition.

Finally, all staff (particularly, academic staff) of the University are hereby urged to read, digest, and assimilate the provisions of this policy with a view to enhancing the conduct of their research activities in the University.

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Vice Chancellor,
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CHAPTER ONE: PRELIMINARY ISSUES

1.1. Introduction

Research Development and Innovation policy supports the overall ambition of the university, providing both depth and breadth to the articulation of university goals as a research-led university, and setting out key strategic approaches to be undertaken to enable the achievement of these goals. The Research Development and Innovation policy cannot be implemented in isolation from other aspects of the institutional policies such as the strategic plan, quality assurance policy, gender policy, ICT policy and policy for central services and administration. This policy document addresses internal and external stakeholders' needs either as research collaborators, funding agencies or research clientele and provides a framework to address the main obstacles to outstanding research performance.

Research Development and Innovation (RD&I) today absorbs considerable resources. RD&I activities have great influence on the policies and growth of institutions, both in private and public sectors. Research Development and Innovation must therefore be rooted in the interaction between these activities and economic, social, political, and institutional processes. A policy in this direction must respond to problems posed by RD&I, science and technology, and related activities concerned with the acquisition of knowledge (learning) and its exploitation. The ultimate benefit of research lies not only in the generation of new knowledge but in the translation of knowledge into technologies, interventions and strategies effectively and appropriately delivered to the society. To reach this objective, it is imperative that the entire research process be pursued within the context of contemporary knowledge, good ethics, effective policy, adequate resources, and international cooperation. Within the context of Benue State University, research development and innovation necessitate multi-level and multidisciplinary approaches that support the exploration of new ways of using these disciplinary perspectives and methodologies.

The Research Development and Innovation policy therefore seeks a two-pronged approach: encouraging and providing more opportunities for team/multidisciplinary research and innovation on the one hand and rationalizing these efforts in a broader

university framework of research development and innovations. The policy puts emphasis on provision of research opportunities, quality and ethics in research and innovation, efficiency and effectiveness in coordination and management of research and innovation at Benue State University. Once implemented, this should propel Benue State University forward as one of the leading research-led Universities in Nigeria, Africa, and the world at large.

In achieving the aim of this policy, the university is committed to working closely with national and international organizations that support and monitor research activities. The Research Development and Innovation Policy has been developed under the overarching framework of the university vision, mission, and core values.

1.2. Benue State University Vision, Mission, Core Values and Mandate

Vision

The vision of Benue State University is to be a University of First Choice in Nigeria and Africa and among the top 200 in the world.

Mission

The mission of Benue State University is to be a centre of excellence in creating knowledge and developing a complete person capable of not only responding to the cultural, socio-political, and economic environment but also setting the agenda for change.

Core Values

- ✓ Excellence in Research and Publication
- ✓ Placing the latest knowledge at the disposal of students via Teaching and Skills Development.
- ✓ Building Character of Students
- ✓ Effective engagement with relevant communities.
- ✓ Using education as a tool for people's liberation: the university strives to hold itself up as the lamp of the world by upholding moral rectitude, integrity and accountability in all its transactions with its stakeholders.

Mandate

- ✓ To provide the highest standard of learning and equal opportunities within the constraint of available resources
- ✓ Place before the people of the region, the nation and mankind, skills
- ✓ Develop via learning and research

- ✓ To develop requisite manpower for the State and the nation within the limits permitted by available resources
- ✓ To promote, preserve and propagate the socio-cultural heritage of the diverse peoples of the State and country
- ✓ To engage in any activities capable of promoting the standard of living of mn within the constraint of available resources.

1.3. Aim of the policy

The overall aim is to reinforce vigorously the university's status as a major international university that sustains and adds value to the Nigerian culture, to the natural environment and to the economy and society of Nigeria and the wider world. The university, therefore, shall put in place a research agenda with priorities that address local, national and global challenges. In addition, it will strengthen research capacity and output, and increase the contribution of Benue State University to the world of knowledge and innovation

1.4. Objectives of the policy

This research policy will be geared toward achieving the following objectives:

- (a) Creating an enabling, harmonious, transparent, and efficient environment for research, creativity and innovations.
- (b) Strengthening research management and coordination.
- (c) Improving research and publications culture.
- (d) Improving funding for research and innovations.
- (e) Improving gender responsiveness of the University through research, creativity and innovations

1.5. Abbreviations

BSU: Benue State University

CRM: Centre for Research Management

ERRB: Ethical Research Review Board

ERRC: Ethical Research Review Committee

R&ID: Research and Innovation Development

URF: University Research Fund

WMA: World Medical Association

1.6. Definitions:

Academic freedom – the recognition of the right to academic freedom at the University entails the complete protection of freedom of investigation, thought, expression, publication of results and peaceful gathering. It promotes a wide spectrum of meanings, free of institutional intolerance and of internal or external coercion. Association with the Benue State University may not encroach upon the constitutional rights of the individual.

Academic misconduct – this concept should be seen specifically within the framework of the definition of misconduct in the Statutes of the University. In the research environment this entails any practice that constitutes a serious deviation from what is generally accepted within the scientific community in the submission, performance and reporting of research.

Animal experiments – any procedure which includes the use of live animals with the aim of testing a hypothesis, collecting information, promoting, transferring or demonstrating knowledge, testing or collecting a product, or registering the effect of a certain procedure on animals.

Autonomous / accountable person – this is an individual who is capable of reflecting on his/her personal interests and of acting on the grounds of these considerations.

Business – Includes any autonomous individual, sole right, corporation, partnership, firm, undertaking, association, organization, holding company, joint equity company, trust or any juristic person through which a business is exercised for gain.

Compensation – all compensation or anything else of value that is received for services rendered. This can consist of salaries or another form of remuneration, such as goods, shares or other items of significant financial value.

Conflict of interests – this arises when the individual's private or personal interests and professional obligations are divergent to such an extent that an independent observer

may have doubt as to whether or not the individual's professional actions are influenced by personal considerations, financial or otherwise.

Consultant – this is a member of staff of the University who renders advice in his/her professional field to an outside individual, group or organisation against payment.

Contract research – all research projects performed for outside organisations and that are regarded as part of the researcher's service dispensation in terms of the provisions of the Rules for Contract Work of the University.

Copyright – the ownership and control of intellectual property in original works subject to the Copyright Act of 2004 Laws of Nigeria. This consists in original copyright works captured as a tangible form of expression from which it can be viewed, reproduced, or otherwise communicated, whether directly or by means of a machine or device.

Copyrightable materials – all lecture and instructional materials and written textbooks and book chapters.

Creations – include written books, written plays, dramas, poems and/or music, recorded music, performed music (piano, organ or chorale), crafts (painting, sculptures, weaving and prints) as well as all forms of recordings (including those intended for teaching).

Creator – a staff who has created something.

Disclosure – a reporting of an invention or creation.

Experimental animals – any living non-human vertebrate, non-human foetus of a vertebrate, or any other species which, in the opinion of the Ethics Committee concerned, has a nervous system that is so sophisticated that it can experience pain in the same way as a vertebrate.

External activities – all professional activities performed by a member of staff acting as a consultant (see definition above) and including outside work and limited private practice as is defined in the University's rules in question. Contract work is excluded from this definition since it forms part of the researcher's service dispensation.

Family – this includes any person who is a spouse or in a customary relationship with the employee or who is a parent, child, foster-parent, foster-child, mother-in-law or father-in-

law, son-in-law or daughter-in-law, grandparent or grandchild of an employee or a member of an employee's extended family.

Funders of research – these are Institutions or individuals who financially support research in part or in full.

Gift – anything of value which is received, and which can be regarded as more than fair compensation for services rendered.

Human participants in research – a person on whom the researcher is conducting research by (a) collecting data by intervention or interaction with the individual, or (b) obtaining identifiable private information. "Intervention" includes physical procedures by means of which information is gathered, as well as manipulation of the participant or the participant's environment for research purposes. "Interaction" includes communication or interpersonal contact between the researcher and the participant. "Private information" includes information concerning behaviour taking place in the context within which an individual can reasonably expect no observation or recording to take place, and information furnished by an individual for specific purposes and in respect of which the individual can reasonably expect that it will not be made public. Private information should be individually identifiable (i.e. the identity of the participant is ascertainable or can readily be determined by the researcher or can be associated with the information) in order to obtain information that can be regarded as research on human participants.

Inquiry – an inquiry consists of preliminary information-gathering and preliminary fact-finding to determine whether an allegation or an apparent instance of misconduct has substance. The outcome of an inquiry is a determination as to whether or not an investigation is to be conducted.

Instructional materials – include all forms of lecture materials, e.g. videos, audios, models, etc.

Integrity – this is the consistent maintenance of ethical values in all words and behaviour.

Inventions – include scientific discoveries, including medical procedures, formulated products, computer programs, codes and/or software, methods, fabricated equipment or a combination of all of these as well as architectural designs.

Inventor – a staff who has invented something.

Investigation – an investigation is a formal examination and evaluation of relevant facts to determine whether misconduct has taken place.

Limited private practice – rendering a professional service by a professionally registered member of staff in his or her own name in accordance with the provisions of the Rules for Limited Private Practice of the University.

Member of staff – any person in full-time (permanent full-time or temporary full-time) or part-time appointment at the University and who is entitled to benefits and/or a salary or wage for his/her defined responsibilities. This may include undergraduate and postgraduate students appointed to perform work as part of a grant or contract and who are fully or partially responsible for reporting on research.

Minimum risk – when the risk of harm expected in the proposed research does not exceed, given probability and extent, the risk that would be encountered normally in daily life or during the performance of routine physical and psychological examinations or tests.

Net royalties – refer to gross royalties and fees, less the costs of patenting, protecting, and preserving patent and related property rights, maintaining patents, the licensing of patent and related property rights, and such other costs, taxes or reimbursements as may be necessary or required by law.

Open academic environment – this is an academic environment which allows the researcher the freedom to pursue knowledge and to share information and results with others. This ensures that, as far as possible and considering ethical guidelines and the rights of everybody involved, students are given unlimited exposure to ideas and data, and as far as possible be given unlimited opportunities to become involved in research and to publish results.

Outside work – this is the Work performed by members of staff with or without remuneration outside their university work and in addition to the work week, which does not form part of the course and extent of their service to the University and for which they have obtained permission in terms of the Rules for Outside Work of the University.

Originator – an inventor and/or a creator.

Plagiarism – when you use another person's sentences, ideas, or opinions without indicating that they are from that other person, you commit plagiarism in written work, whether knowingly or unintentionally.

Patent – a document that gives its owners the exclusive legal right to produce, manufacture or use and sell an invention for a given period.

Research / Research activities – any systematic examination aimed at the development of, or contribution to, knowledge that can be generalized. Activities complying with these requirements are regarded as research, regardless of whether they are normally described as "development", "demonstration" or "tuition" or by another term.

Research Misconduct – fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

(i) Fabrication means making up data or results and recording or reporting them.

(ii) Falsification means manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.

(iii) Plagiarism means the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

Research misconduct does not include honest error or honest differences in interpretations or judgments of data.

A finding of research misconduct requires that:

(i) there is a significant departure from accepted practices of the relevant research community

(ii) the misconduct is committed intentionally, or knowingly, or recklessly

(iii) the allegation is proven by a preponderance of the evidence. (BSU's disciplinary procedures may establish a different standard of proof for disciplinary actions.)

This policy addresses only research misconduct. Therefore findings of serious academic deficiencies in proposing, conducting or reporting research, not constituting research misconduct are to be addressed by initiating the relevant disciplinary process as appropriate. Allegations

or suspicions of misconduct outside the scope of this policy should be referred for investigation to the relevant University's disciplinary committee.

Researcher – in the context of this Code, this includes any full-time or part-time member of staff or undergraduate or postgraduate student of the Benue State University taking part in any research activity.

Staff – a part-time or a full-time academic or technician, employed by the University.

Tangible research goods – tangible or material items produced during research projects supported by the Benue State University or by external sponsorships. This includes items such as biological materials, engineering drawings, computer software, integrated circuit chips,

computer databases, prototype devices and circuit diagrams. It differs from immaterial items or intellectual property such as inventions, patents, work subject to copyright and trade-marks subject to other policy guidelines. Individual items qualifying as tangible research goods may be associated with one or more immaterial items or intellectual property such as copyright works and patents.

University – this is taken to mean the Benue State University, unless otherwise stated.

University resources – include, but are not limited to, all facilities, staff, equipments, materials, expertise, information, and confidential information of the University.

CHAPTER TWO: THE UNIVERSITY RESEARCH PRIORITY AREAS

2.1. Introduction

These research thrusts are quite broad, and this is intended to promote multi-disciplinarity in addressing research problems and also build research capacity in the identified areas. The University's resources both internally generated and those sourced from funding agencies and development partners will be directed towards these priority areas of focus. However, researchers are free to source funding to address their research interests that are outside of the university priority areas. The BSU research priority areas are:

2.2. Agriculture and food Sciences

Agricultural and food Science research is important to the University. Emphasis will be on research that adds value to food crops and to fortified food products. Research on techniques that will reduce post-harvest food losses will be given priority in this area as the University is a

centre of excellence for control of Postharvest losses. Food fortification is also an important aspect as there is emerging need for instant food product that will offer balanced diet for children and instances of displaced people.

2.3. Arts, Culture and Gender

Arts, Culture and Gender cover social relations, poetry, performing arts, literature responsible religious and cultural ideals, and gender perceptions, treatment of people in the context of gender relations, ideologies and challenges. Responsible religious and cultural ideals refer to certain religious and cultural virtues and moral excellence which promote tolerance and wellbeing in the context of a pluralistic society. These ideals may include but not limited to respect for human life and dignity, selflessness, altruism, transparency, and accountability, justice and equity etc. The University will accord priority to Research that attends to these aspects of societal needs.

2.4. Communication and information systems

The University will give Priority to Media research; print, electronic and social media. Research can focus on Public relation, directing, and various tools as these relate to most relevant areas. Communication and information-based researches to improve on inquisitiveness will be encouraged.

2.5. Crisis management

The University will support research aimed at developing techniques and evolving ways that will help shape society by understanding behaviour and behavioural patterns thereby reducing human acrimony that results in crises. Understanding human behaviour across a range of contexts is fundamental to building sustainable and resilient societies. Decision making informs every aspect of human existence from fundamental examination of behaviours through to its application by societies for purposes of helping policy makers make informed responses to future challenges.

2.6. Education and Education Systems

As a Tertiary institution, the University will focus and support research in Education and Education systems; particularly how the research translates to character formation, development of skills for employment opportunities, poverty reduction, good governance and proper human and material resource management among others.

2.7. Environmental Resources Management, Disaster Management and Climate Change

Natural resource management in the context of climate change looks at two key areas: land-based climate change mitigation activities; and the effective use of natural resources for development purposes. Environmental resources, including land, forests, water, energy and research on how these can aid in the growth and poverty reduction in the most inclusive and sustainable way. Climate change has had a high toll on this as to how it can adapt to changing conditions, by increasing interest in using natural resources and their management to achieve climate change mitigation goals. The University will support research that take cognisance of these areas.

2.8. Governance, Security and Sustainable Development

Governance and Sustainable Development include issues of ethics, integrity, professionalism, democracy, economic development, empowerment and poverty reduction etc. The University will support research that fulfils specific political, economic, health needs and the importance of promoting human resource and physical development in general. These aspects should receive attention in the research programmes of researchers at the University. Researchers should be aware of the priorities concerned as identified by the government of the day and should try to

contribute to the national well-being and wealth creation. However, they will not be forced to confine their activities only to the immediate priorities of the government of the day.

2.9. Health and Health Systems

The university will encourage research that will strengthen the health system in Nigeria and the African sub region that will enable citizens to access affordable, integrated and high-value healthcare. Collaboration between health care, public health, social services and homemade /indigenous systems to address the many factors which affect health will also be encouraged.

2.10. Knowledge Economy and Human Resources Development

The basis is to develop, nurture, harness and produce research which stimulates commercial and social innovation. In particular, the aim is to provide trained human resource for essential areas of social development and above all produce graduates with novel ideas thereby creating innovations for the growth and development of industries and government business for wealth creation. The University shall aim to generate small and macro scale entrepreneurs among their students, and provide adults with a range of high level skills which are increasingly in demand in Nigeria or international comparison in knowledge generation and adaptation through research and innovation.

2.11. Law

At its core, the University will support research in law which focuses on modern challenges to legal and regulatory matters in its changing social contexts and global dimensions; particularly, focusing on human rights, environmental issues, intellectual property, civil and people's rights, criminal justice, social and economic justice, minority rights and all forms of equality and discriminations as well as conflicts and dispute resolution mechanism. The priority value is that, rights and justice are vital to achieving sustainable society and communicative rights.

2.12. Science and Technology

The University will support Science, Engineering and Technology based research that contributes to the development of the society. This may include aspect of Biological, Chemical, Physical, the Earth/space sciences and related fields. New dimensions in science and technology that bother on renewable energy as well as applied areas of communication, manufacturing, learning, data science and transportation.

CHAPTER THREE: GUIDING PRINCIPLES

3.1. Research environment

The policy recognizes that a positive harmonious, transparent and efficient environment is essential to foster research and innovation in the university. Within the portfolio of university activities, research (basic and applied), teaching and outreach should be appropriately balanced to ensure efficient creation of knowledge and its transfer. Such an environment will be created through the following strategies:

3.1.1 Creating Centres of Excellence

The University needs to create centres of excellence adequately equipped and maintained for use by all interested parties in the University in a sustainable manner. The University shall, therefore:

- (i) Develop and update guidelines for setting up centres of excellence
- (ii) Encourage and support the establishment of state-of-the-art laboratories with user guidelines for researchers
- (iii) Encourage the formation of multidisciplinary research teams/groups at centres of excellence
- (iv) Ensure that capacity to maintain the state of the art equipment is developed e.g. through enhanced training of technical staff and users
- (v) Require research equipment and other resources acquired during the life of any research project to revert to the University at termination of the project
- (vi) Guidelines for use of equipment (including bench fees) and disposal of such resources shall be developed by the centre.

3.1.2 Provision of Research support services

Provide research support services including ICT and internet access, management of information systems and library resources that facilitate access to international literature and data bases. The University shall, therefore:

- i. Provide internet and other ICT facilities at every academic/research unit for purposes of knowledge creation and dissemination.

- ii. Provide access to the e-resources and other ICT related common services/software for the purpose of data management and analysis
- iii. Continue to subscribe to relevant data bases that provide information to researchers
- iv. Create and maintain its own research and innovations data base accessible to the university community and the public
- v. Support staff to continually update their skills in research management. This shall be achieved through:
 - a) Conducting regular training workshops/seminars at both unit and centre level in grant proposal writing, financial management, scholarly writing and dissemination, etc
 - b) Developing and updating research management tools such as hand books and guidelines
- vi. Support to staff to attend skills enhancement courses locally and internationally
- vii. Provide regulations for sourcing services related to research
- viii. Develop guidelines for engaging persons employed from research funds (research assistants, data managers, etc)

In addition, Benue State University shall support researchers to attend and present papers/posters at national and international conferences. This shall be achieved through the following:

- (i) Provision for travel support in the units' budgets to facilitate staff attendance at conferences
- (ii) Inclusion of a budget line for attendance at conferences in the research projects
- (iii) A requirement for staff to be supported to have obtained invitations to present papers/posters or to chair sessions at these meetings
- (iv) Support shall be in part or total depending on availability of funds

3.1.3 Periodic generation of Research agenda

- (i) Faculties/institutes and colleges shall formulate research priorities that will feed into the university research agenda.
- (ii) The priorities identified shall reflect national research objectives, priorities and relevant international trends.
- (iii) Research agenda shall promote both basic and applied research
- (iv) The review of the research agenda shall be pegged to the review of the University Strategic Plan.

3.1.4 External collaborations

The University will facilitate national, regional, and international collaboration, and global networking. To this end, the university shall

- (i) Enter into MoU with leading research and higher education institutions
- (ii) Operationalise and nurture existing MoUs at Benue State University

3.1.5 Research management and coordination

Research management and coordination shall be strengthened. The policy recognizes that research activities carried out through various academic and research units in the university have to be managed and coordinated properly for the benefit of the entire university in a fair and transparent manner. This will be achieved through the following strategies:

- (i) The university shall develop a governance structure for research and coordination.
 - a) There shall be Research Development and Innovation committees at departmental and Faculty levels.
 - b) Administrative responsibilities regarding research management at unit levels shall be specified by the Centre for Research Management.
- (ii) Provide tools for internal procedures for approval, control, monitoring and coordination of research and innovations

3.1.6 Mentoring and apprenticeship

The University shall promote a mentoring and apprenticeship culture/approach in research. This will be strengthened through the following strategies:

- (i) Mentorship will be made an eligibility criterion for research support to senior members of staff so that they can work with junior members of staff and graduate students on research projects for mentoring and supervision
- (ii) Support senior members of the academic community to work with junior members of staff to produce joint publications
- (iii) Mainstream gender and actively involve women in research activities.
- (iv) Encourage academic units to establish Professorial Research Chairs

3.1.7 Research Supervision guide

Provide guidelines for supervisors and supervisees during the research process to ensure harmony, quality and timely completion. To this end, the University shall:

- i) Develop, operationalise and review periodically guidelines for supervision of graduate students (qualification, appointment, remuneration, conduct etc)
- ii) Disseminate widely the rules and regulations for graduate study

3.1.8 Research Board of Governors

There shall be the BSU Research Management Board. Its membership and functions shall be as specified by the Statute of the Centre for Research Management.

3.1.9 The University publication policy

The university shall:

- (i) Create platforms for staff and students to disseminate research outputs such as public lectures, seminars and locally hosted journals, newsletters and bulletins (both hardcopy and electronic)
- (ii) Support units to organize regular conferences
- (iii) Support regular public presentations and debates on topical areas of national or international concern

(iv) Require doctoral students to publish their findings in any of the following forms:

a) theses/dissertations as either monograph

b) theses/dissertations with chapters as stand-alone papers

c) theses/dissertations as a compilation of papers either already published or accepted for publication

(v) Create a database of reputable local and international publishers for research articles and books, book chapters and technical reports to guide authors against predatory publishers. Publications should be made with publishers with secured websites with name of editors and reviewers of the publishers well captured.

CHAPTER FOUR: RESEARCH AGREEMENTS AND INTELLECTUAL PROPERTY POLICY (IPP)

4.1. Research Agreements

The University shall honour all its research agreements and contracts. The University, through the Centre for Research Management shall develop a non-disclosure agreement for every research funded by the institution and its partners.

4.2. Intellectual Property Policy (IPP)

The University hereby operates an Intellectual Property Policy (IPP) which will be used along with the University Research Development and Innovation (RD&I) policy. Staff, students, visiting scholars as well as contract employees shall abide by the Intellectual Property Policy. They shall as well acknowledge the contribution of the University to the product of their research activities in all publications and research outputs.

- All inventions and innovations emanating from BSU funded research must be reported to the University.
- The innovation or invention shall be kept confidential for as long as necessary.
- The University shall assist in the process of patenting provided it has been informed of the possibility of a patentable object/innovation.

4.2.1 Benue State University policy on patents and copyrights

The objectives of The Benue State University policy on patents and copyrights are to:

- i) promote the progress of science, technology, and art and
- ii) enable the University and staff to benefit from inventions and creations originating from the University in a more profitable way.

To achieve these objectives, the University holds that it will:

- i) help staff commercialize their inventions and creations,
- ii) make inventions and creations arising from staff available to the relevant industries and the public in an effective and nondiscriminatory basis and

- iii) obtain revenues from the inventions and creations for the originators and the University for the furtherance of research, teaching and general development of the University.

4.2.2. Policy statement

A. Funds and Facilities

Funds (cash, cheques, and donated equipment) and facilities provided by the University, government, commercial, industrial, profit and non-profit organizations, public or private organizations through the University shall be considered as funds and facilities provided by the University. However, funds and facilities outside this description shall be considered as individual funds and facilities.

B. Inventions and Creations

- i) Sponsored work – Rights to inventions or creations which are subject to the terms of a sponsored research or other agreement between the University and a third party are subject to the terms of the applicable agreement. In the absence of such terms, the rights to the inventions or creations shall be assigned to the University pursuant to a revenue sharing plan for originator(s).
- ii) Work from University funds and facilities – Rights to inventions or creations involving the use of university funds and facilities, but without any University obligations to a third party, are to be assigned to the University pursuant to a revenue sharing plan for the originator(s).
- iii) Work not from university funds and facilities – The University will not assert any rights to inventions and creations not involving the use of university funds and/or facilities. However, the inventor(s) or creator(s) can assign the rights to the University pursuant to a revenue sharing plan.

C. Copyrightable materials

- i) Sponsored work – Rights to copyrightable materials, including software, theses, and dissertations, which are subject to the terms of a sponsored research or other agreement between the University and a third party are subject to the terms of the applicable agreement. However, in the absence of such terms and agreement, the

rights to the copyrightable material shall be assigned to the University pursuant to a revenue sharing plan for the creator(s).

- ii) Work created from university funds and/or facilities – Rights to copyrightable materials, including software and lecture materials, written plays and dramas created from university funds and/or facilities, but without any University obligations to third parties, are to be assigned to the University pursuant to a revenue sharing plan for the creator(s).
- iii) Work not created from university funds and/or facilities – The rights to textbooks, book chapters, monographs, scholarly and literary publications, arts, and crafts remain with the creator(s). However, such rights can be transferred to the University pursuant to a revenue sharing plan if the creator(s) decide(s).

D. Disclosure of inventions and creations

Any invention(s) and/or creation(s) of potential commercial value shall be disclosed by the

originator(s) to the University *via* The Centre for Research Management. The originator(s) shall

work closely with officials of the University and/or any organizations to whom the University

assigns rights to such inventions and/or creations in pursuing applications for patents or registering of copyrights as well as in the pursuit of licensing.

E. Sharing plan

Following assignment of rights to inventions, creations, patents, and copyrightable materials; the University shall pay annually to the named inventor(s) and/or creator(s) or to their heirs, successors or assigns 35% of the net royalties and fees per invention received by the University. An additional 15% of net royalties and fees per invention or creation received shall be allocated for research-based purposes on the inventor's or creator's laboratory or workshop. When there are two or more inventors and/or creators, each shall share equally in the inventor's share of royalties, unless all inventors previously have agreed in writing to a different distribution of such share.

4.2.3. Authorship

The University authorship guideline is as follows:

- i. That the University name and address must be used in all publications authored by staff of the university.
- ii. Where a staff of the University is listed as an author on any publication resulting from performance of consulting services, a disclosure should be included stating that, “Dr/Professor (Name)’s contribution was a paid consultant and was not part of his or her University duties or responsibilities”
- iii. Researchers should acknowledge the identities and roles of others who made substantial contributions to the research but did not meet authorship standards in their publications, such as writers, funders, sponsors, and others.

CHAPTER FIVE: RESEARCH INTEGRITY, ETHICS AND MISCONDUCT

5.1. Research Integrity

Researchers are expected to be honest in their own actions and in their responses to actions of other researchers. This applies to the whole range of research activities, including experimental design, generating and analyzing data, applying for funding, publishing results, and acknowledging the direct and indirect contribution of colleagues, student researchers, collaborators and other stakeholders.

Research Integrity and Professionalism at Benue State University aims to foster an atmosphere of honesty, trust and collaboration between and among researchers. This kind of atmosphere is expected to improve the quality and quantity of research and to avoid jeopardizing the reputation of the University and possibly damaging the researchers' careers. Towards this noble objective, the University is committed to the highest ethical standards in the conduct of its research and innovation activities hence the University shall establish and operate an Ethical Research Review Board (ERRB), which shall report to University Senate through the Vice-Chancellor

5.2. Rights of researchers

5.2.1 Right to academic freedom

Researchers have the right to academic freedom when conducting research. Within the framework of the University's policy and the regulations of departments and faculties, researchers are free to choose the subject of their studies and to seek support for their research from any appropriate source. Researchers have the right to information required for their research, in so far as there is no legal or moral limitation on furnishing such information. They are free to develop their own theories and to arrive at their own conclusions. They have the right to disseminate the results of their research, without supervision or alterations by external funders, unless this has been stipulated in advance by assigned contract Subject to the guidelines and conditions as set out in the University's Rules for Outside Work and for Limited Private Practice, as well as in other applicable regulations, they have the right to perform outside work and in some cases to run a limited private practice.

5.2.2 Right to conducive research environment

The University has the responsibility to create an environment that promotes research and fosters good researches. The Management of the University, therefore, has to create an

environment in which research can flourish, by, among other things, visionary policy, innovative programmes, sound support services, appropriate incentives, effective financial management and the mobilisation of funding. At the same time, researchers should be allowed sufficient time and opportunity to become involved in research activities.

5.2.3 Right to facility services and other University resources

The University has the responsibility, in so far as it is feasible, to make facilities, equipment and services available to researchers for use in research and tuition, with a view to the creation of an environment which is conducive to research. Where the University does not have sufficient resources to give effect to this right, it should endeavour to obtain resources from other sources and to allocate them to researchers, based on fairness and on the academic, educational and ethical merits of the research. Speculation on the political or social acceptability of the research or the research results may not play a part in this regard. Where, as a result of limited resources, the University cannot accede to all demands in this regard, it should allow researchers to negotiate facilities, funds and/or other resources from elsewhere for research programmes, as long as no conflict with the University's interests and principles is caused.

5.3. Ethical and regulatory issues

Researchers should be guided by a profound conviction of the value and dignity of the promotion of knowledge, and should recognize the particular responsibilities imposed on them in this way. Their primary responsibility is to pursue and present truth as they see it. For this reason, they should among other things, dedicate their energy to the development and improvement of their academic competence. They should also exercise critical self-discipline and judgement in their decisions regarding the use, expansion and dissemination of knowledge. Researchers may not abuse their position as researchers for personal gain. Although they may consider their own secondary interests, these interests may never hamper or compromise their freedom of

investigation. Research should always be conducted in a particularly academic and responsible manner. Researchers should accept responsibility for –:

- the design, methodology and execution of their research;
- the planning of research in such a way that the findings will be credible and valid;
- reporting their findings, and the limitations thereof, so that such findings can be subjected to peer evaluation and be made available to the public; and
- pointing out alternative interpretations where this may be applicable.

When making known their results and findings, researchers should subscribe to the principles of honesty, completeness, intelligibility, clarity, accountability and exposure to public testing. Where applicable, the authority of professional codes in specific disciplines should also be recognised and respected. Researchers should respect the right of fellow researchers to choose from a variety of paradigms, methods and techniques. The University has the right to submit to audit procedures the quality of research, the ethical acceptability of research procedures as well as the financial aspects of the research. Researchers should be prepared to submit themselves to procedures in this regard established by the University or by clients of the University, as well as to peer evaluation to ensure the excellence of their research.

5.4. Research Misconduct

The responsibility to create and nurture an environment which promotes intellectual honesty and integrity and which does not tolerate misconduct in any aspect of research or scholarly pursuit should be the concern of each member of the University community. If and when research misconduct occurs, it is very destructive of the standards and academic culture the University attempts to instill in society.

Academic misconduct should be considered within the framework of the definition of misconduct in the Statutes of the University. Misconduct within the research environment should be avoided at all costs. If a researcher is found guilty of academic misconduct, suitable action against the person concerned will be taken as set out in the Benue State University's conditions of service and disciplinary code. The following actions considered to be research misconducts should be avoided:

- i. Failure to give proper acknowledgement to the inputs of collaborators.
- ii. Fraudulent inclusion or reporting and manipulation of factual information.

- iii. Plagiarism as the appropriating of literary work, or portions of such work, by someone else, and the presentation thereof as if it were the guilty person's own work.
- iv. The unauthorised use of confidential research results (research theft) where this is not in accordance with acceptable academic or collegial behaviour.
- v. The unacceptable acquisition, allocation and abuse of funds allocated for research purposes.
- vi. Retribution of any nature against a person who has acted in good faith in reporting suspected or alleged academic misconduct or in giving information in this regard.
- vii. Unlawful and unauthorised use of University property and equipment.
- viii. Violation of copyrights or any other form of intellectual property right.
- ix. Abuse of research by postgraduate students for their own purposes.
- x. Failure to comply with research tasks forming part of work duties.
- xi. Undermining other individuals' fundamental rights in the execution of research.
- xii. As contained in the Chapter on Definitions.

5.4.1 Plagiarism

Researchers in the academia build on the ideas of others. This is a respectable and well-recognized method of conducting research. Plagiarism is when you use someone else's ideas or words as if they were your own. As a result, it is a sort of academic fraud, theft, or dishonesty. Those suspected of plagiarism shall be submitted to the appropriate University committee for possible investigation and action in accordance with the disciplinary jurisdiction and processes regulations, where found guilty, such culprits are recommended for appropriate sanctions. Although not all plagiarism is intentional, even unintentional plagiarism will be severely penalized. As a result, it is the researcher's (staff or student's) obligation to understand what constitutes plagiarism and how to avoid it.

Forms of Plagiarism

Plagiarism can include intentional academic dishonesty to unintentional academic negligence, and it can also range from major and apparent types of plagiarism to less visible cases of plagiarism. It can occur in any of the following ways.

- i. Copying a sentence or paragraph word for word without due acknowledgement
- ii. When a researcher (s) cites sources that they did not use in their works.
- iii. Duplicating a research paper published by another author
- iv. Contracting the services of another person to write a dissertation, project, thesis, or research paper
- v. Cutting and pasting large text from the internet or other sources without using quotation marks (or a clear indentation for block quotes) or citing the source.
- vi. A document - or major chunks of writing - authored in another language is directly translated into English.
- vii. Using substantial excerpts from your previous work without attribution
- viii. Taking credit for someone else's ideas or findings without giving them due credit
- ix. Failure to provide a suitable reference
- x. Not acknowledging that fundamental data analysis in a thesis/dissertation is outsourced if it was.

BSU policy on referencing conventions and declaration on plagiarism

- i. For each course taught, scholars must teach the key academic literacy skills to students when setting assignments and shall prescribe a referencing convention or allow students choose from a set of referencing conventions prescribed by the scholar.
- ii. All students shall make and include a declaration each time they submit written work (assignments, Seminars, dissertations, and thesis) for assessment. This declaration must be signed by their respective supervisor(s).

Similarity index for postgraduate dissertations and thesis

Each research project submitted for examination at Benue State university shall be subjected to a plagiarism check by the University approved software as appropriate. A maximum similarity index of 20% shall be the threshold for acceptance (except where a published article/paper showing high similarity with the student's dissertation/thesis forms part of the work). The report of the similarity index of the student must be submitted alongside the work of the students before presenting such a candidate for external examination.

5.5. Ethical Research Review Board

The University shall set up an Ethical Research Review Board (ERRB) which shall coordinate all matters pertaining to research integrity and ethics relating to the use of various subjects for research and innovation purposes.

5.5.1 Structure of ERRB

The ERRB shall comprise the following committees

- i Arts & Law Ethical Review Committee (ALERC).
- ii Social Science & Environmental Ethical Review Committee (SSEERC)
- iii Management Science & Education Ethical Review Committee (MSEERC).
- iv The Science, Medical Sciences and Pharmaceutical Ethical Review Committee (SMSPERC)

5.5.2 Functions of the ERRB

The principal functions of the ERRB are as follows:

- i. coordinating and regulating all matters pertaining to research ethics and integrity at the Benue State University, Makurdi
- ii. overseeing the activities of Ethical Research Review Committees
- iii. preparing and submitting annual reports to Senate through the Vice- Chancellor

5.5.3 Composition of ERRB

The Membership of the ERRB shall be as follows:

- i. Vice Chancellor - Chair,
- ii. Deputy Vice-Chancellor (Academic)
- iii. Chairs and Secretaries of the four Ethical Review Committees
- iv. Director, Centre for Research Management (CRM)
- v. Director, Academic Planning and Quality Assurance
- vi. Director, Information and Communication Technology
- vii. Director, Centre for Peace and Development Studies
- viii. Dean, Postgraduate School

- ix. Director, Gender Studies
- x. Clergyman or a Community Leader
- viii. Head of the Legal Unit
- ix. Secretary, CRM – Secretary

5.6. The Ethical Research Review Committees (ERRC)

5.6.1 Composition of ERRC

Membership of each of the four Ethical Research Review Committees shall be as follows i. The Two Deans shall alternate as Chairman and Deputy Chairman every two years.

- ii. A representative of the Vice- Chancellor
- iii. Representative of the Director, CRM
- iv. One Legal Officer, nominated by the University Registrar
- v. One academic staff member from each of the composing Departments who must not be below the rank of a Senior Lecturer
- vi. Secretary appointed who should be the Faculty officer of the chairman.

5.6.2 Functions of ERRC

The functions and composition of each of the Ethical Research Review Committees shall be as follows:

- i. Reviewing all associated ethical and scientific issues, and making recommendations to the ERRB
- ii. Reviewing cases of plagiarism in line with BSU plagiarism policy
- iii. Ensuring the protection of the safety, dignity, rights and well- being of potential and actual research participants
- iv. Monitoring the implementation of approved research to ensure that it is carried out ethically
- v. Preparing and submitting annual reports to the ERRB

5.6.3 Procedure for ERRC's Review

The affected ERRC's review of an allegation of research misconduct and, if called for, the inquiry and investigation may be carried out personally or through such standing or ad hoc arrangements as each Ethical Research Review Committee deems best.

The processes described below should be carried out in a manner that is thorough, competent, objective, fair and appropriately protective of the confidentiality and reputations of all participants. Such assessments, inquiries and investigations should be coordinated with the office of the Director, Centre for Research Management to assure that they are carried out in conformity with applicable regulations (if any) in cases where the research is funded by a government or other agency.

Preliminary Assessment

Upon receipt of an allegation, the faculty dean should assess the information presented to determine whether it constitutes alleged research misconduct as defined by this policy and whether the allegation is sufficiently credible and specific so that potential evidence of research misconduct may be identified. If both of these criteria are met, the faculty dean shall immediately begin an inquiry and shall so inform the Director of Research, identifying any outside funding source(s) for the research that is the subject of the allegation.

Inquiry

An inquiry is to determine whether a formal investigation is warranted and will be guided by the following:

(i) Those conducting such inquiries or investigations are promptly to take all reasonable and practical steps to obtain custody of the research records and/or evidence needed to conduct the misconduct proceeding, inventory of the records and evidence and sequester them in an appropriate manner.

(ii) At the time of, or before the beginning of an inquiry, the accused individual (hereafter "the respondent") shall be informed of the allegations and be invited to comment on them. The respondent shall also be provided with a copy of the draft report of the inquiry and be given an opportunity to comment on the findings for the consideration of those conducting the inquiry. In so doing, best efforts shall be made (where feasible) to protect

the confidence of the individual(s) who brought forward the complaint (hereafter “the complainant(s)”).

(iii) Other relevant individuals, including the complainant(s), if known, should be interviewed. The final report, including a recommendation as to whether or not a full investigation is warranted, is to be submitted by the faculty dean to the Director of Research within 60 days of receipt of the allegation. (If this time frame is not possible in a particular case, the reasons are to be documented and the Director of Research so informed.) The final report shall include any comments provided by the respondent in response to the draft report.

(iv) The documentation should include sufficient detail to permit a later assessment of the determination of whether or not a full investigation was warranted. It should describe the information reviewed, include a summary of the interviews conducted, state conclusions reached and indicate whether or not the faculty dean believes an investigation is warranted.

(v) The final report of the inquiry and a copy of the documentation are to be transmitted to the Director, Centre for Research Management for onward transmission to the ERRB.

(vi) Unless the Director of CRM has further concerns, a recommendation from a ERRC that an investigation is not warranted will be final.

Investigation Procedure (by ERRB)

If the inquiry leads to the conclusion that an investigation is warranted, it will be guided by the following considerations:

(i) The formal investigation should begin within 30 days of the completion of the inquiry and after written notice to the respondent. The investigation is to be completed and the final report sent to the Director of Research within 90 days (from the start of an investigation). If an investigation cannot be completed within this time frame, the Director of Research should be notified as soon as possible. In such cases, it may be necessary for the Director of Research to request an extension of time from the funding agencies.

(ii) An investigation should normally include an examination of the relevant documentation, including but not limited to relevant research data and proposals, publications, correspondences, and memoranda of telephone calls.

(iii) Complainants, respondents, and witnesses who may have information related to the matter should be interviewed. Complete written summaries of each interview should be provided to the individual being questioned and any comments should be appended to the summary or reflected in a revised summary if the interviewer agrees. The summaries must be retained by the faculty dean.

(iv) All significant issues should be pursued until the investigator is reasonably certain that he or she has amassed all necessary and appropriate information. (v) A draft written report of findings shall be made available to the respondent with the opportunity to provide comments for the consideration of those conducting the investigation. Where identified and appropriate, complainants should also receive the portions of the draft report which concern the role or opinions they had in the investigation. Any comments on the draft from the respondent (and from the complainants, if applicable) shall be appended to the final report.

Note: If there is more than one respondent and their involvements are found not to be identical, separate draft reports should be prepared if practical, to preserve confidentiality.

(vi) In addition to the interview summaries and comments by the respondent and complainant(s) (if applicable) on the draft report, the final written report should include:

(a) a description of the policies and procedures, (b) how and from whom relevant information was obtained & (c) the findings and basis for them.

(vii) If the Director of Research considers that sanctions may be warranted, the Director of Research shall refer the final report to the University's appropriate body who makes that determination. The report should be sufficient for the appropriate University body to determine whether disciplinary action is called for. If any sanctions result, the Director of Research shall be informed, and he or she should append that information to the final report.

5.7. Disciplinary Procedure for Research Misconduct

i. All researchers must refrain from fraud, misappropriation of funds, plagiarism, deception, fabrication of results, and other forms of research misconduct.

ii. Researchers are expected to report cases of suspected misconduct and to do so in a responsible and appropriate manner.

- iii. University disciplinary procedures and/or the relevant laws of Nigeria shall apply when the researcher violates ethical standards as to seriously harm the reputation of the University or compromise the ability of the researcher to function effectively in the work place.
- iv. In cases where the Principal Investigator and collaborators violate acceptable research ethics they shall be barred from benefiting from BSU funds for at least five (5) years.
- v. A researcher who contravenes or commits any other financial impropriety, shall personally and severally be liable for losses accruing from the contravention.
- vi. All allegations of research misconduct shall be investigated by the ERRB.
- vii. The ERRB shall give the respondent an opportunity to respond to the allegations. If misconduct is found, the ERRB, shall recommend an appropriate penalty for the Senate to consider.
- viii. If it is determined that there is misconduct in research, the Chairman of the Senate shall inform the sponsoring entity.
- ix. All documents related to misconduct in research shall become permanent institutional records and shall be maintained in strict confidence.
- xi. Researchers shall identify, declare and manage any real or potential conflict of interest, whether legal, ethical, moral, financial, personal, or of any other nature, so that it does not become a complicated or actionable case.

CHAPTER SIX: FUNDING FOR RESEARCH AND THE UNIVERSITY RESEARCH FUND (URF)

6.1. Funding for Research

The policy realizes the importance of securing sufficient funds for staff members to conduct meaningful research, to attend national and international conferences/meetings of professional bodies, and to contribute to the research income of the university. It is envisaged that the strategies highlighted hereunder will improve funding for research and innovations. To this end, the University shall:

- (i) Commit at least 1% of the internally generated funds to research and innovations annually.
- (ii) Post-Graduate and Undergraduates shall be required to contribute ~~N~~2,000.00 (Two thousand naira) only and ~~N~~500.00 (Five hundred naira) only respectively towards the cost of research.
- (iii) Build in administrative cost to Research Grant won by staff of the university.
- (iv) Continue to solicit research funds from national and international organizations, both public and private. Solicitation of funding shall be encouraged and facilitated at individual, departmental, faculty or institute, and college levels
- (v) Engage the private sector to contribute towards research and innovations through:
 - Endowment of research chairs.
 - Joint ventures, licensing, patents and trademarks.
- (vi) Provide general information including databases on possible sources and modes of research funding on a regular basis
- (vii) Subscribe to databases that provide information on funding opportunities

6.2. The University Research Fund (URF)

The University shall establish and operate a University Research fund (URF) to be managed by CRM. The principal function of the URF shall be to;

- i) Develop capacity in grantsmanship
- ii) Continuously up-grade University research and development infrastructure

iii) Support the coordination of University mentoring and training

scheme. The URF shall derive its funding principally from:

i) A line item in the University budget

ii) One percent (1%) of the University Internally Generated Revenue (IGR)

iii) Undergraduate and Postgraduate Research Levies

iv) Tertiary Education Trust Fund (TETFund)

v) Research Dinner/ Endowment of research Chairs

vi) Joint Ventures, Patents and Trademarks etc

vii) Any other credible source (Donations, individual and Government Grants, etc)

CHAPTER SEVEN: RESEARCH EQUIPMENT AND RELOCATION OF PRINCIPAL INVESTIGATOR

7.1. Research Equipment

Ownership of, and title to equipment acquired by means of sponsored research grants shall be vested in the University. Such equipment shall not be sold, transferred, or otherwise disposed of without approval of the University.

7.2 Relocation of Principal Investigator and Grant

The procedure for transferring an existing grant to another institution shall be as follows:

Principal Investigator/Project Director

The PI and PD shall take the following actions:

- i) Obtain approval from the Vice-Chancellor through appropriate channels to transfer the grant
- ii) Disclose and confirm the status of any cost sharing or matching commitment by the University
- iii) Conform with the sponsors conditions to transfer
- iv) Discuss any Intellectual Property (IP) issue with the Centre for Research Management
- v) Complete all processes and necessary paper works required by the University and the sponsor

The Role to be played by Centre for Research Management on relocation of Principal Investigator/ Project Director

- i) ascertain the exact amount of unexpended or uncommitted funds
- ii) review any cost sharing or matching commitments
- iii) ascertaining which have been met and which will be transferred
- iv) review agreement for sub-grants if any, ascertaining which ones have been completed and which have not
- v) review agreements for equipment purchased and capital equipment purchased on the existing grant that may move with the Principal /Project Director

vi) review commitments to personnel, including graduate students; advise the Vice-Chancellor on the appropriate course of action in each circumstance

CHAPTER EIGHT: SUBMISSION OF RESEARCH PROPOSALS, ENHANCING RESEARCH AND PUBLICATION CULTURE

8.1. Submission of Research Proposals

The University shall through the CRM set guidelines for each funding window. The guidelines will include all important deadlines for opening and closing of all submissions. Submissions shall be made in Microsoft word, Times New Roman on 12pts size. In general all calls should be open for at least one month.

8.2. Enhancing Research and Publication Culture

In order for the university to attain and maintain a leading position in research output, the policy recognizes that research and publication culture must be enhanced. This shall be realized through measures described hereunder:

Time Spent on Research and Dissemination

Staff shall spend at least 20% of their time on research and dissemination. To this end, the

University shall:

- a) Ensure maintenance of satisfactory staff to student ratios in line with university establishment policy/National Universities Commission (NUC) policy
- b) Require staff at levels of lecturer II and above (or equivalent) to publish at least one paper in a peer reviewed journal yearly
- c) Require doctoral students in the course of their studies to publish at least one paper in a peer reviewed journal before they graduate
- d) Develop, operationalise and update periodically a system for tracking of staff research and outputs
- e) Require staff to publish research findings in form of policy briefs for use by policy makers

CHAPTER NINE: INSTITUTIONAL MEMORY AND POLICY IMPLEMENTATION

9.1. Institutional Memory

The University Library shall maintain a database of the University's past and current research activities in the University's repository. The database shall be accessible to all authorized staff and students.

9.2. Policy Implementation

- (i) This policy shall be implemented by the Centre for Research Management.
- (ii) This Policy shall be implemented or supplemented in any way consistent with its terms and those of other University policies.
- (iii) In the event circumstances require any exception to the terms of this, such exceptions shall require the consent of the Vice Chancellor. The Vice Chancellor shall, when practicable, seek the advice of the University Council prior to approving any exception to the terms of this Policy. When prior consultation is impracticable, the Vice Chancellor shall promptly notify the University Council of any exceptions to the terms of this Policy.
- (iv) This Policy shall not apply to on-going research projects and written agreements between the University and/or any external organization or individual, entered into prior to the date on which this Policy is adopted by the University Council.
- (v) If an existing written agreement is renewed, revised, or amended after the date on which this Policy is adopted by the University Council, reasonable attempts shall be made to conform such agreement with the requirements of this Policy as of the date on which it is renewed, revised, or amended.
- (vi) After adoption of this policy, the Centre for Research Management shall on behalf of the University Senate, be responsible for drawing out implementation guidelines or procedures from time to time.
- (vii) The University Centre for Research Management shall be at the forefront of the implementation of this research Policy alongside: Academic units, Faculties/Colleges, Institutes, Post graduate School, Departments and Centres, Academic Support Units and the University Library.

CHAPTER TEN: POLICY REVIEW AND DATE OF COMMENCEMENT

10.1. Policy Review

This policy shall be reviewed periodically by Research Management Board for approval by the University Governing Council.

The Research Policy shall be monitored, evaluated, and reviewed from time-to-time to accommodate the changing research environment. This policy shall be reviewed in the first instance after the first year of its implementation and afterwards, periodically as the need arises.

10.2. Date of Commencement:

The policy shall take effect from the 30th day of March, 2023 as approved by the University Governing Council.

APPENDIX

WMA Ethical Principles for Medical Research Involving Human Subjects

Adopted by the 18th WMA General Assembly, Helsinki, Finland, June 1964 and amended by the:

29th WMA General Assembly, Tokyo, Japan, October 1975

35th WMA General Assembly, Venice, Italy, October 1983

41st WMA General Assembly, Hong Kong, September 1989

48th WMA General Assembly, Somerset West, Republic of South Africa, October 1996

52nd WMA General Assembly, Edinburgh, Scotland, October 2000

53rd WMA General Assembly, Washington DC, USA, October 2002 (Note of Clarification added)

55th WMA General Assembly, Tokyo, Japan, October 2004 (Note of Clarification added)

59th WMA General Assembly, Seoul, Republic of Korea, October 2008

64th WMA General Assembly, Fortaleza, Brazil, October 2013

Preamble

1. The World Medical Association (WMA) has developed the Declaration of Helsinki as a statement of ethical principles for medical research involving human subjects, including research on identifiable human material and data.

The Declaration is intended to be read as a whole and each of its constituent paragraphs should be applied with consideration of all other relevant paragraphs.

2. Consistent with the mandate of the WMA, the Declaration is addressed primarily to physicians. The WMA encourages others who are involved in medical research involving human subjects to adopt these principles.

General Principles

3. The Declaration of Geneva of the WMA binds the physician with the words, "The health of my patient will be my first consideration," and the International Code of Medical Ethics declares that, "A physician shall act in the patient's best interest when providing medical care."

4. It is the duty of the physician to promote and safeguard the health, well-being and rights of patients, including those who are involved in medical research. The physician's knowledge and conscience are dedicated to the fulfillment of this duty.

5. Medical progress is based on research that ultimately must include studies involving human subjects.

6. The primary purpose of medical research involving human subjects is to understand the causes, development and effects of diseases and improve preventive, diagnostic and therapeutic interventions (methods, procedures and treatments). Even the best proven interventions must be evaluated continually through research for their safety, effectiveness, efficiency, accessibility and quality.

7. Medical research is subject to ethical standards that promote and ensure respect for all human subjects and protect their health and rights.

8. While the primary purpose of medical research is to generate new knowledge, this goal can never take precedence over the rights and interests of individual research subjects.

9. It is the duty of physicians who are involved in medical research to protect the life, health, dignity, integrity, right to self-determination, privacy, and confidentiality of personal information of research subjects. The responsibility for the protection of research subjects must always rest with the physician or other health care professionals and never with the research subjects, even though they have given consent.

10. Physicians must consider the ethical, legal and regulatory norms and standards for research involving human subjects in their own countries as well as applicable international norms and standards. No national or international ethical, legal or regulatory requirement should reduce or eliminate any of the protections for research subjects set forth in this Declaration.

11. Medical research should be conducted in a manner that minimises possible harm to the environment.

12. Medical research involving human subjects must be conducted only by individuals with the appropriate ethics and scientific education, training and qualifications. Research

on patients or healthy volunteers requires the supervision of a competent and appropriately qualified physician or other health care professional.

13. Groups that are underrepresented in medical research should be provided appropriate access to participation in research.

14. Physicians who combine medical research with medical care should involve their patients in research only to the extent that this is justified by its potential preventive, diagnostic or therapeutic value and if the physician has good reason to believe that participation in the research study will not adversely affect the health of the patients who serve as research subjects.

15. Appropriate compensation and treatment for subjects who are harmed as a result of participating in research must be ensured.

Risks, Burdens and Benefits

16. In medical practice and in medical research, most interventions involve risks and burdens. Medical research involving human subjects may only be conducted if the importance of the objective outweighs the risks and burdens to the research subjects.

17. All medical research involving human subjects must be preceded by careful assessment of predictable risks and burdens to the individuals and groups involved in the research in comparison with foreseeable benefits to them and to other individuals or groups affected by the condition under investigation. Measures to minimise the risks must be implemented. The risks must be continuously monitored, assessed and documented by the researcher.

18. Physicians may not be involved in a research study involving human subjects unless they are confident that the risks have been adequately assessed and can be satisfactorily managed. When the risks are found to outweigh the potential benefits or when there is conclusive proof of definitive outcomes, physicians must assess whether to continue, modify or immediately stop the study.

Vulnerable Groups and Individuals

19. Some groups and individuals are particularly vulnerable and may have an increased likelihood of being wronged or of incurring additional harm. All vulnerable groups and individuals should receive specifically considered protection.

20. Medical research with a vulnerable group is only justified if the research is responsive to the health needs or priorities of this group and the research cannot be carried out in a nonvulnerable group. In addition, this group should stand to benefit from the knowledge, practices or interventions that result from the research.

Scientific Requirements and Research Protocols

21. Medical research involving human subjects must conform to generally accepted scientific principles, be based on a thorough knowledge of the scientific literature, other relevant sources of information, and adequate laboratory and, as appropriate, animal experimentation. The welfare of animals used for research must be respected.

22. The design and performance of each research study involving human subjects must be clearly described and justified in a research protocol.

The protocol should contain a statement of the ethical considerations involved and should indicate how the principles in this Declaration have been addressed. The protocol should include information regarding funding, sponsors, institutional affiliations, potential conflicts of interest, incentives for subjects and information regarding provisions for treating and/or compensating subjects who are harmed as a consequence of participation in the research study.

In clinical trials, the protocol must also describe appropriate arrangements for post-trial provisions.

Research Ethics Committees

23. The research protocol must be submitted for consideration, comment, guidance and approval to the concerned research ethics committee before the study begins. This committee must be transparent in its functioning, must be independent of the researcher, the sponsor and any other undue influence and must be duly qualified. It must take into consideration the laws and regulations of the country or countries in which the research is to be performed as well as applicable 38 international norms and

standards but these must not be allowed to reduce or eliminate any of the protections for research subjects set forth in this Declaration.

The committee must have the right to monitor ongoing studies. The researcher must provide monitoring information to the committee, especially information about any serious adverse events. No amendment to the protocol may be made without consideration and approval by the committee. After the end of the study, the researchers must submit a final report to the committee containing a summary of the study's findings and conclusions.

Privacy and Confidentiality

24. Every precaution must be taken to protect the privacy of research subjects and the confidentiality of their personal information.

Informed Consent

25. Participation by individuals capable of giving informed consent as subjects in medical research must be voluntary. Although it may be appropriate to consult family members or community leaders, no individual capable of giving informed consent may be enrolled in a research study unless he or she freely agrees.

26. In medical research involving human subjects capable of giving informed consent, each potential subject must be adequately informed of the aims, methods, sources of funding, any possible conflicts of interest, institutional affiliations of the researcher, the anticipated benefits and potential risks of the study and the discomfort it may entail, post-study provisions and any other relevant aspects of the study. The potential subject must be informed of the right to refuse to participate in the study or to withdraw consent to participate at any time without reprisal. Special attention should be given to the specific information needs of individual potential subjects as well as to the methods used to deliver the information.

After ensuring that the potential subject has understood the information, the physician or another appropriately qualified individual must then seek the potential subject's freely-given informed consent, preferably in writing. If the consent cannot be expressed in writing, the nonwritten consent must be formally documented and witnessed.

All medical research subjects should be given the option of being informed about the general outcome and results of the study.

27. When seeking informed consent for participation in a research study the physician must be particularly cautious if the potential subject is in a dependent relationship with the physician or may consent under duress. In such situations the informed consent must be sought by an appropriately qualified individual who is completely independent of this relationship.

28. For a potential research subject who is incapable of giving informed consent, the physician must seek informed consent from the legally authorised representative. These individuals must not be included in a research study that has no likelihood of benefit for them unless it is intended to promote the health of the group represented by the potential subject, the research cannot instead be performed with persons capable of providing informed consent, and the research entails only minimal risk and minimal burden.

29. When a potential research subject who is deemed incapable of giving informed consent is able to give assent to decisions about participation in research, the physician must seek that assent in addition to the consent of the legally authorised representative. The potential subject's dissent should be respected.

30. Research involving subjects who are physically or mentally incapable of giving consent, for example, unconscious patients, may be done only if the physical or mental condition that prevents giving informed consent is a necessary characteristic of the research group. In such circumstances the physician must seek informed consent from the legally authorised representative. If no such representative is available and if the research cannot be delayed, the study may proceed without informed consent provided that the specific reasons for involving subjects with a condition that renders them unable to give informed consent have been stated in the research protocol and the study has been approved by a research ethics committee. Consent to remain in the research must be obtained as soon as possible from the subject or a legally authorised representative.

31. The physician must fully inform the patient which aspects of their care are related to the research. The refusal of a patient to participate in a study or the patient's decision to withdraw from the study must never adversely affect the patient-physician relationship.

32. For medical research using identifiable human material or data, such as research on material or data contained in bio banks or similar repositories, physicians must seek informed consent for its collection, storage and/or reuse. There may be exceptional situations where consent would be impossible or impracticable to obtain for such research. In such situations the research may be done only after consideration and approval of a research ethics committee.

Use of Placebo

33. The benefits, risks, burdens and effectiveness of a new intervention must be tested against those of the best proven intervention(s), except in the following circumstances:

Where no proven intervention exists, the use of placebo, or no intervention, is acceptable;

Or

Where for compelling and scientifically sound methodological reasons the use of any intervention less effective than the best proven one, the use of placebo, or no intervention is necessary to determine the efficacy or safety of an intervention and the patients who receive any intervention less effective than the best proven one, placebo, or no intervention will not be subject to additional risks of serious or irreversible harm as a result of not receiving the best proven intervention.

Extreme care must be taken to avoid abuse of this option.

Post-Trial Provisions

34. In advance of a clinical trial, sponsors, researchers and host country governments should make provisions for post-trial access for all participants who still need an intervention identified as beneficial in the trial. This information must also be disclosed to participants during the informed consent process.

Research Registrations and Publication and Dissemination of Results

35. Every research study involving human subjects must be registered in a publicly accessible database before recruitment of the first subject.

36. Researchers, authors, sponsors, editors and publishers all have ethical obligations with regard to the publication and dissemination of the results of research. Researchers have a duty to make publicly available the results of their research on human subjects

and are accountable for the completeness and accuracy of their reports. All parties should adhere to accepted guidelines for ethical reporting. Negative and inconclusive as well as positive results must be published or otherwise made publicly available. Sources of funding, institutional affiliations and conflicts of interest must be declared in the publication. Reports of research not in accordance with the principles of this Declaration should not be accepted for publication.

Unproven Interventions in Clinical Practice

37. In the treatment of an individual patient, where proven interventions do not exist or other known interventions have been ineffective, the physician, after seeking expert advice, with informed consent from the patient or a legally authorised representative, may use an unproven intervention if in the physician's judgment it offers hope of saving life, re-establishing health or alleviating suffering. This intervention should subsequently be made the object of research, designed to evaluate its safety and efficacy. In all cases, new information must be recorded and, where appropriate, made publicly available.