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# **GUIDELINES AND PROCEDURES FOR RESEARCH UNIT**

***Office of Senior Director of Research, Community-  
Based Education and Student-Based Research***

**Guidelines and Procedures for Research Unit of  
Nugaal University**

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## Preface

Public Universities like Nugaal University are established with the mandate to address core academic activities such as teaching, research and delivering services to the community. Nugaal University aspires to be a leading higher education institution in these three mandate areas. The university is now exerting efforts towards improving the research capacity and contribution to solving societal problems. For this end, the university has set out policy direction that will guide it to integrate the fragmented research activities and foster research in solving societal problems. These guidelines and procedures are developed by the office of the Senior Director of Research Education and Community-and-student-based Research. The guidelines and procedures for the research emanated from the policy document on Research, CBE and SBR which was endorsed by the senate of the university in January 2014. This research guidelines and procedures are formulated to guide Nugaal University researchers and other collaborators in proposing research projects, implementing and reporting of the research findings. We believe that the policy-makers, researchers, students and funding agencies will find this information valuable and use it as a reference material whenever one wants to engage and support research activities at Nugaal University. Colleges /Institutes, and the concerned office have to play their responsibility in implementing research activities according to these guidelines and procedures. We believe that the guidelines and procedures are dynamic in nature which should be ready to accommodate emerging and contemporary issues. The colleges/institutes have to take record of the difficulties they may face, while implementing these procedures and guidelines, so that in the future they can be incorporated when the guidelines and procedures are revised. The Senior Directorate of Research Education and Community-and-student-based Research of Nugaal University acknowledges the productive inputs of Research and Ethical Review Board of the Colleges/Institutes and the senate at large during the preparation of the draft document and individuals who in one way or another contributed to the production of the final document. Their efforts are highly appreciated and we look forward to their continued and tireless support.

## **Background**

The guidelines for research undertakings at NU emanate from the policy document prepared to manage research, community-based education (CBE) and Student-based research (SBRs). The guidelines constituted a set of procedures that will define methods or course of action selected to guide and determine present and future decisions for the university in relation to research, CBE and SBR. The guidelines have been divided into a series of related sub-sections, avoiding redundancy, ambiguity and contradiction. The sub-sections address guidelines for: research priority setting, the research process, duties and responsibilities of each research functional unit, staff engagement in research, reward and remuneration mechanism, administration and management of research funding; as well as resources sharing, institutionalising research and involving SBR in research, research centres establishment, research misconduct, research innovative fund (RIF) for young researchers and women researchers to foster research culture at Nugaal University for human development.

### **1.1 Guidelines in Prioritizing Research Agenda**

**Background:** NU intends to improve the capacity of its Colleges/institutes by arranging training in a prioritized rating of collage research agendas. Individual research agendas need to be categorized into thematic area. The ranking of themes is also a requisite that could help in prioritizing funding, research project evaluation and approval. The research priority is required to serve in short, medium and long-term time frames. Funding of NU is strictly based on thematic and prioritized areas for research. The priority setting of research shall abide by the following guiding principles:

- 1.1.1 Contribution to national and regional development objectives and goals as judged from development policies and strategies of the country in solving national and regional problems.
- 1.1.2 Past research performance of the colleges/institutes/university and guided by constraint analyses showing gaps and severity of the real problems and where opportunities are there for improvement to bridge the gap through research.

- 1.1.3 Capability and feasibility in implementation of research projects in the context of NU's objectives in terms of availability of trained workforce, materials, physical and financial capacities.
- 1.1.4 Anticipated research impacts in terms of its contribution to the achievement of: the goals of the university, enhancement of the teaching-learning process, production, and adoption, expansion of new, appropriate and essential information, knowledge and technology, and improvement of the quality of our collective social life for the sake of knowledge supported by research.
- 1.1.5 The research priority shall be in line with the strategic planning of NU- to transform research at NU. The priority and thematic areas for the Colleges/institutes shall feed into NU goals and objectives for development.
- 1.1.6 Each college/institute thereby shall formulate a thematic and priority research agenda for the short term of (1-5 years), medium (6-10 years) and long term (>10 years).

## **1.2 Planning the Research Process**

**Background:** The research process includes activities that pass through a series of steps in order to receive permission and funding to go ahead with a proposed research project. This process includes pre-award, post-award and termination phases. NU research administrators feel that researchers only want to conduct their research with little consideration of liquidation, reporting and abiding by the financial regulations. These expressed challenges have provoked the outlining of procedures and guidelines within which the responsibility of each functional unit in the research process, in relation to span of time required, in each unit is clearly set and defined.

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*Guidelines and Procedures for Research*

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### **1.2.1 Conditions of Initiating a Research Project**

The following issues shall be considered, while developing/initiating a research project proposal:

- 1.2.1.1 Research initiation shall be set based on the thematic and priority area for the colleges/institutes and university (as stated in the **Annexe 1**).
- 1.2.1.2 All research grants and applications shall be made following the format for application of the research grant (**Annexe 2**).
- 1.2.1.3 The guideline for preparing proposal assisted by external sources shall be in line with the formats of the funding agency if available. If the funding agency does not provide guideline or format, the NU's format for proposal writing shall be used.

### **1.2.2 Research Proposal Submission, Review and Declaration for Funding**

Guidelines to submit any new project proposal for review and declaration of fund are:

- 1.2.2.1. There shall be calls for funding research on a competitive base from the months of NUly to September every year. The submission of research proposals shall be due three months after the call is posted.
- 1.2.2.2. Research proposals shall be submitted both in soft copy and in hard copy to the chairman of the Research and Ethical Review Board of the specific colleges/institutes. Failures to do so, researchers are accountable to the delay and will be dealt with according to the rules and regulations of NU.
- 1.2.2.3. The Research and Ethical Review Board of the respective colleges/institutes shall not consider a research grant application from a person who is already a receipt of a grant from the same board of NU, unless the time that the board of NU has accepted it with a satisfactory final report for completed projects on the previous grant or accepted progress report for the ongoing projects.
- 1.2.2.4. The Research and Ethical Review Board of the respective colleges/institutes shall not accept research proposals presented by a single researcher. The proposals should be prepared and submitted by two or more researchers to compete for funding of their underway research project.



1.2.2.5. The research project shall be evaluated based on the guidelines for



- 1.2.2.7. The researchers shall present their proposal in open defense and the comments from the open defense shall be used as input in the decision to approve or reject the research proposal. No proposal is approved without research open defense for treasury funded projects.
- 1.2.2.8. The Research and Ethical Review Board will review all proposals presented in an open defense. In the case of a proposal being beyond the profession of a review board, expert(s) in the field shall be invited to join the team in ad-hoc bases for the specific project.
- 1.2.2.9. If ethical clearance is required to approve and run a project, the proposal could be administered based on the guidelines as stated in **Annexe 4**. The feedback from research and ethical board shall be completed in one month's time from the final date of submission.
- 1.2.2.10. The Research and Ethical Review Boards shall be named by the individual Colleges/institutes. Duties and responsibilities of the colleges/institutes  
  
The Research and Ethical Review Board are presented in Part 3.4 of this report. The Research and Ethical Review Board shall complete the review process in consideration of Ethical and Technical matters of the proposal.
- 1.2.2.11. Colleges/institutes Research and Ethical Review Board shall give its findings in writing directly to the researchers. The findings could be one of two responses: modification or rejection of the proposal.
  - a) If it needs **modification** the researchers shall submit the amended research proposal within 10 days time, from the date on which comment was delivered. The complete proposal including adNUsted modifications will be submitted to the colleges/institutes research and student's individual research.
  - b) If the research proposal is **rejected**, and the researchers are not satisfied with the decision, they can appeal to the respective Dean of the College or to the Senior Director of Research, CBE and SBR. The Dean/senior director, upon review of the proposal will return to the Research and Ethical Review Board Committee with the recommendations or endorsement of the rejection. This is the sole method of appeal for rejected proposals.



1.2.2.12. The Research and Ethical Review Board shall check whether comments have been properly included. The board shall provide a certificate for incorporating the comments and recommend for registration of the research project.

### **Research Proposal Registration and Publicity**

1.2.3.1 There shall be entry workshops to inform and publicise the initiation of the research project (treasury and externally funded projects) or the projects that have been approved shall be made public to the university and colleges/institutes community.

1.2.3.2 There shall be a signing of project contract between the researchers and Colleges/institutes/university using appropriate format (**Annexe 5**)

1.2.3.3 The research projects (external or internal funded) shall be registered both at NU and respective colleges/institutes and given a serial number indicating colleges/institutes code, department code, registration year and project number (**Annexe 7**).

1.2.3.4 The Senior Director of Research, CBE and SBR or colleges/institutes research coordinator shall notify the approval of the project to the finance office and facilitate the implementation of the project with all the concerned units.

1.2.3.5 All financial matters shall operate according to the budget indicated on the project document unless specific operational exceptions are authorised by the office of the senior director of Research, CBE and SBR or the office of the coordinator of Research and SBR of the respective Colleges/institutes.

The research proposals are not funded if staffs are on study leave for training (for their dissertation research.) The staffs on study leave are not funded if they initiate other research projects or projects which are part of their dissertation research, except in exceptional cases decided by the President.

## **1.2.4 Research Funding and Follow up**

- 1.2.4.1 Research funding shall be in two phases. The researcher shall be given half of the research funds allocated for the running and expendable costs in the first phase to operate the SET (survey, experiment and trial). The remaining fund shall be released based on the proper conduct of the SET half way between the duration of the project, as indicated in the proposal, when the progress report is approved by the office of the Senior Director of Research.
- 1.2.4.2 Research and Ethical Review Board shall arrange periodical monitoring and evaluations (M&E) of the project to know that the research is properly handled as planned in the research protocol. These M&Es are also an opportunity for the review boards to provide appropriate technical assistance to the project if needed (**Annexe 8**).
- 1.2.4.3 The office of the Senior Director of Research, Colleges/institutes shall carry out an interim, post-evaluation or a monitoring mission. The researchers shall provide any document or information, including access to research protocol, to assist with the evaluation or monitoring mission and evaluation.
- 1.2.4.4 The M&E shall be done in a form of field visits, quarterly progress and terminal reports to ensure proper research conduct, as per the research protocol of Nugaal University.
- 1.2.4.5 Once a research project is approved by the Research and Ethical Review Board and budget is secured, the researcher cannot change the place of work, work plan, methodology or objective of the study unless he/she informs the Research and Ethical Review Board in writing and the change is approved in writing from the board.

Senior Director of Research shall hold Annual or bi-Annual scientific conferences where results of research activities in all departments will be presented. Funds for such conferences will be budgeted and approved through the Research and Ethical Review Board of Colleges/institutes.

## **1.2.5 Reporting of Research Progress**

- 1.2.5.1 These reports shall be submitted to and reviewed by the NU or Colleges/institutes Ethical Review Board.
- 1.2.5.2 The progress report shall be reviewed and evaluated by the research in the senior director based on the guidelines for reviewing (**Annexe10**).
- 1.2.5.3 The terminal report (including technical and financial information) shall be reported for evaluation and documentation using the appropriate format (**Annexe 11**).
- 1.2.5.4 The terminal report shall be reviewed and evaluated by the Research and Ethical Review Board or invited reviewers based on the guidelines for reviewing (**Annexe 12**).
- 1.2.5.5 Recommendations for continued funding of projects or the acceptance of the terminal report depends on previous satisfactory receipts of progress and quarterly reports as NUdged by colleges/institutes research and ethical review board or Senior Director of Research, CBE and SBR. The externally funded projects which are accepted by the funding agency could be accepted for a continued funding.
- 1.2.5.6. The terminal report shall be registered and information shall be made public to staff, students and stakeholders.
- 1.2.5.7. In order to keep track and records of research activities at NU, projects funded by other funding agencies will also be required to submit terminal and progress reports to the Senior Director of Research, CBE and SBR.
- 1.2.5.8. The research projects shall have a period to accomplish the project. The researchers that have gone beyond the research period without NUstifiable reason will not have this work recognized as part of their research load. No extra funding or load extensions shall be given for a research project that has been extended without NUstifiable cause.
- 1.2.5.9. A project extension is allowed when there is NUstifiable reason and it is approved by the Ethical Review Board or Senior Director of Research, CBE and SBR. The researcher should apply one month prior to the requested extension to allow time for processing and approval.

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## 1.2.6 Exit Mechanism of Projects

- 1.2.6.1 The vehicles, equipment, chemicals and documents born from the research project shall be transferred to the department/colleges/institutes/NU at the completion of the project to ensure the sustainability and support of research, the teaching and learning efforts of the colleges/institutes and the university.
- 1.2.6.2 The Vehicles which are not bought in the name of Nugaal University shall be decided by the pre-agreement made between the funder and NU as stimulated in the project documents, according to the agreements signed.
- 1.2.6.3 The findings of the research projects upon project completion shall be presented to the appropriate research venue or to the annual research conference.
- 1.2.6.4 Any publications from the research project shall be registered, displayed and deposited in the respective colleges/institutes library. The publications that may arise from the research project shall be submitted to the senior director or and deposited in the University main library for the benefits of research.
- 1.2.6.5 The experience from the research project shall be documented and passed to the appropriate academic unit and serve as a learning ground.

## 1.3 Administration and Management of Research Funding

**Background:** The management of the project within the funding limit, adherence to reporting requirement, and assurance of the demands of sponsor. NU financial regulations will be notified when significant changes have been made to the project. The research fund shall be used effectively and efficiently and adhere to the following procedures:

- 1.3.1 Grants solicited by the researchers, departments or colleges/institutes and non-treasury grant sources will be charged a flat rate of 15% of the total grant to meet overhead costs (expenses not immediately associated to goods and services) when it is appropriate for the underway research project.
- 1.3.1. The overheads (costs) will be used to cover administrative costs, to provide incentives for the researchers, and to promote research capacity of the university.



- 1.3.2. Expendable items and compulsory expenses that happen in the field shall be available within two months of request to the researchers or the researchers shall be provided with cash to buy the expendable and compulsory expenses subject to liquidation in two phases.
- 1.3.3. The Research Coordination Office shall allocate purchasers dedicated to providing supplies to make sure the research inputs are timely availed
- 1.3.4. Non-expendable items shall be purchased by university property management and be available to the research work within two months since request has been presented to the colleges/institutes/NU.
- 1.3.5. NU shall make available some expendable items (equipment, chemicals reagents, drugs, and stationery materials) which can be deducted from the project's budget to ensure that the researchers have access to the items they need for their research on time for progress.
- 1.3.6. NU shall also outsource some expendable items and laboratory equipment to ensure the availability of the required items on time.
- 1.3.7. The researcher shall strictly adhere to the cost breakdown indicated in the approved project documents. The transfer of money from one budget heading to another is not allowed unless the project gets permission from the colleges/institutes Research and Ethical Review Board or the funding agency to honour the agreement signed.
- 1.3.8. In cases when budget shortage may arises which hinders the progression of the activities, the investigator shall apply to the colleges/institutes Research and Ethical Review Board with concrete evidences and the board may allow for a maximum of 10% of a project budget heading to be transferred to the requested budget heading.
- 1.3.9. Revenues generated from research activities, such as sales of research produce, shall be the revenue of the university and they will be used solely to enhance scientific and artistic research for the advancement of knowledge.
- 1.3.10. Nugaal University shall commit 10% of the research budget, such as treasury and internal revenue, to be distributed as annual research grants, training to improve research competitiveness and dissemination of research input and output for the betterment of the university's academic achievements.
- 1.3.11. If, for any reason, a research project is discontinued and if the work is not properly carried out within the planned time table, the researcher is required to

return all fixed assets purchased to run the project and the unutilised money to the university.

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- 1.3.12. All equipment purchased through research grants shall be the property of NU and must be returned to the university upon completion or termination of the research projects conducted.
- 1.3.11. Equipments bought through university research grants or external sources (vehicles, equipment and any supplies) are the property of NU and shall therefore be entered in to the appropriate university record/ledger book.
- 1.3.12. Mega projects that have involved two or more Colleges/institutes shall have a project coordinator and an interdepartmental project implementation team. This coordinator and team will be supervised by the office of the Senior Director of Research. Similarly, mega projects that involve two or more departments in colleges/institutes will have a project coordinator which will be supervised by colleges/institutes research coordinator.

Projects shall be funded with no budget ceiling provided that the project has been properly planned and the research project activities are relevant to be funded. The researchers shall produce current price quotations for each of the project budget items allocated to the research activities.

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## **1.4 Engagement of Staff in Research, Reward and Remuneration Mechanism**

**Background:** A primary mandate of NU is to encourage the staffs and students to conduct research by ensuring that staffs and students involved in research are rewarded materially and morally within the context of ‘scientific professionalism’. Placing a rewarding mechanism shall improve the quality of research and raise research culture, contributing to the overall promotion of NU as a renowned research university. To do this, NU should adopt and mainstream different modalities including making research parameters part and parcel of various human resource development policies, setting and implementing enabling regulations and guidelines and providing rewards and recognition for outstanding, innovative, young and women researchers. This shall be addressed through adopting the following procedures:

### **1.4.1 Engagement of Staff in Research**

- 1.4.1.1 All research staffs should devote 75% and 25% of their work load in research and academics respectively, as stipulated in senate legislation of Nugaal University.
  - 1.4.1.2 All academic staffs should devote 25 % of their work time towards research and 75% of their work time towards teaching, as stated in senate legislation.
  - 1.4.1.3 Switching a teaching staff to a research staff should be based on the number of research projects run by the staff. A teaching staff that has two or more research projects as PI and 3 research projects as co-investigator is eligible to switch from teaching staff to research staff for the sake of scientific research development.
  - 1.4.1.4 The Dean of the colleges/institutes shall ensure that all staffs of the colleges/institutes are fully involved in the research and maintain a good balance between teaching, researching and community services for collective interest.
  - 1.4.1.5 Warning will be sent through the colleges/institutes Dean in consultation with colleges/institutes coordinator for research. The respective Dean, with the approval of the Academic Affairs, Research and Students Affairs can terminate the contract of any staff not abiding by the rules set after two official warnings.
  - 1.4.1.6 The recruitment of expatriate staff shall also consider the research experience, merit and capacity of candidates for research to realise the research objective of the university.
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## **1.4.2 Research Allowance and Load**

- 1.4.2.1 Payment of subsistence allowance/per-diem to researchers shall be in line with the budget specified in the research grant and/or as agreed upon by the funding agency and NU.
- 1.4.2.2 Salary and per diem for research supportive staff shall be based on the pay list specified in the approved proposal by funding agency and NU.
- 1.4.2.3 The salary , per-diem and other payments shall be based on the financial regulation of the government for research projects funded by the treasury
- 1.4.2.4 The members of NU staff conducting research are not paid salaries from their research grants. However, there shall be summer payment from the research budget approved by the funding agency when a researcher is engaged on research work during their summer vacation period.
- 1.4.2.5 Researchers' credit load evaluation shall be made by considering the role of the academic staff in the respective project as well as the nature and time requirements of the research project. The workload for research will be implemented in consideration with **Annexe 13**.

## **1.4.3 Reward, Remuneration and Recognition Mechanism**

- 1.4.3.1. Staffs and students in a team or individual bases involved in research with outstanding research performance and merit will be awarded during the annual research symposium day or other venue as determined by the Senior Director of Research, CBE and SBR.
- 1.4.3.2. The reward scheme shall, highlight four aspects of the NU research community: one best researcher in the colleges/institutes, one best female researcher in the colleges/institutes, one best department in running research in a colleges/institutes and one best SBR student that has completed research in a colleges/institutes
- 1.4.3.3. The application and nomination procedure for awards is indicated in a guideline (**Annexe 14**).
- 1.4.3.4. The research reward shall be based on the relevance of research projects and the quality of research outputs (**Annexe 15**).
- 1.4.3.5. The academic/research staff with outstanding research merit shall also be sponsored to attend national conferences or sponsored to participate on local research related training (**Annexe 16**).

- 1.4.3.6. The university shall also consider an extra-ordinary academic promotion to any of the academic ranks having successfully published in reputable journals (**Annexe17**).
- 1.4.3.7. The award shall consider research outputs recorded in the previous budget year.
- 1.4.3.8. Researchers involved in the critical reviewing of research proposals and reports (progress and terminal) shall be offered incentives. The incentive modalities are detailed in **Annexe 18**.

### **1.4.3 Reward, Remuneration and Recognition Mechanism**

- 1.4.3.1 Staff and students in a team or individual bases involved in research with outstanding research performance and merit will be awarded during the annual research symposium day.

The reward scheme shall, highlight four aspects of the NU research community: one best researcher in the colleges/institutes, one best female researcher in the colleges/institutes, one best department in running research in a colleges/institutes and one best research based student that has completed research in a colleges/institutes.

- 1.4.3.3 The application and nomination procedure for awards is indicated in a guideline (**Annexe 14**).
- 1.4.3.4 The research reward shall be based on the relevance of research projects and the quality of research outputs (**Annexe 15**).
- 1.4.3.5 The colleges/institutes Research and Ethical Review Board shall evaluate and select the outstanding researchers at colleges/institutes level to be rewarded during annual research conference and the best nominees in each category will be presented to the colleges/institutes Dean for final approval.
- 1.4.3.6 The awards shall be recognition certificates for the researcher. They will also provide material and financial rewards to enhance research culture (**Annexe16**).
- 1.4.3.7 The academic/research staff with outstanding research merit shall also be sponsored to attend national conferences or sponsored to participate on local research related training (**Annexe 16**).
- 1.4.3.8 The university shall also consider an extra-ordinary academic promotion to any of the academic ranks having successfully published in reputable journals (**Annexe17**).

1.4.3.9 The award shall consider research outputs recorded in the previous budget year.

1.4.3.10 Researchers involved in the critical reviewing of research proposals and reports (progress and terminal) shall be offered incentives. The incentive modalities are detailed in **Annexe 18**.

## **1.5 Research Innovative Fund**

**Background:** Supported by the treasury fund there will be the Research Innovative Fund (RIF). The president of the university shall announce the fixed budget kept for RIF. This fund will be made available to stimulate young and women staff as well as staff who are proposing extraordinary and innovative research projects successfully. RIF is designed to initiate the creation of new products, services, technology or processes. Its aim is to advance the NU research community's capacity to develop innovations that can be commercialised and provide economic stimulus with the community. Turning our research results into viable commercial opportunities can be one of the most motivating and rewarding aspects of innovation. The fund shall be given to best proposals on a competitive basis within each category of funding.

### **1.5.1 Awards for Young Researchers and for Women Researchers**

1.5.1.1 The applicant shall be a young staff member below lecturer in an academic position or a woman in any academic position at Nugaal University.

1.5.1.2 The research project should be in line with the research theme and priority areas of NU as stated in **Annexe 1**.

1.5.1.3 The applicant shall follow the standard formats for proposal development (**Annexe 2**).

1.5.1.4 The application time for this award shall be from July to September and submitted to the Senior Director of Research, CBE and research based students.

1.5.1.5 The review, monitoring, evaluation, exit strategy, financial administration and reporting procedures are as stated in section **1.2**.

1.5.1.6 The grant shall be administered under the office of Senior Director of Research, CBE and SBR. The colleges/institutes research and ethical reviewer board shall be assigned to review the research proposal by the same office based on the discipline of the research project or an ad hoc review board shall be named by Senior Director of Research, CBE and multi-disciplinary projects that will involve different Colleges/institutes.

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- 1.5.1.7 The review process shall follow the same procedure stated in section **1.2**.
- 1.5.1.8 The candidate that has won the award shall be notified a month after submitting an application.
- 1.5.1.9 The president of NU shall announce the winner of the research fund within the second quarter of the budget year.

### **1.5.2 Funding of Research Innovative Fund Projects**

- 5.2.1. The researchers can apply for RIFs when their proposals are original and thought to bring about paradigm shifts in the generation of technology, information and knowledge (**Annexe 19**).
- 5.2.2. The applicant shall follow the standards formats for proposal development (**Annexe 2**).
- 5.2.3. The research project should be in line with the research theme and priority areas of NU as stated in **Annexe 1**.
- 5.2.4. The application time for such award shall be from July to September and submitted to NU Senior Director of Research, CBE and SBR. The review, monitoring, evaluation, exit strategy, financial administration and reporting procedures are as stated in section **1.2**.
- 5.2.5. The Senior Director of Research, CBE and SBR office shall administer the grant and reviewers shall be assigned by the same office in accordance with the discipline of the research project. The review process shall follow the same procedure stated in section **1.2**.
- 5.2.6. The president of NU shall announce the winner of the research fund during the time of awarding best students of the year in each academic year or during Annual Research Conferences or any convenient time of the years determined by the office of senior directors for research, CBE and student based research

### **1.5.3 Resource sharing in research**

**Background:** Resources in the context of research could include laboratory space and facilities, field research centres/sites, land for crop and animal trials, data and cars to undertake research. Resource sharing procedure is aimed at creating transparency in the allocation and utilisation of research resources and hastens resource sharing



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among researchers, departments, schools and Colleges/institutes. The resource sharing potential is addressed under the following premises:

- 1.5.3.1 The research facilities obtained from the treasury and non-treasury belongs to the university and is subject to sharing if it is necessary and not jeopardising the intended project and unit.
- 1.5.3.2 Resource sharing ensures all research facilities are utilised fully and to their maximum potential.
- 1.5.3.3 As a resource sharing exercise, a data centre shall be in place and procedure in accessing the data by researchers and the general public shall be developed.
- 1.5.3.4 There shall be a central laboratory that will be equipped with state of the art lab equipment and the policy and procedures to get access of the lab equipment and facility shall be developed.
- 1.5.3.5 There shall be a common service provider unit which will be shared among researchers that will include transport services, equipment maintenance workshops, word-processing, and data summary and analysis services.
- 1.5.3.6 The transport budget of research projects shall be transferred to the university on condition that the university is able to provide the transportation services required for the research activity. If this is not possible, the researchers' can be allowed to hire an external transport service as long as there is a tagged budget for the transport in the research project.
- 1.5.3.7 The vehicles allocated for undertaking research shall be in a pool system and the guidelines to use the cars are based on the principles stated in **Annexe 20**.
- 1.5.3.8 The research outputs shall be shared among Colleges/institutes to ensure the dissemination of knowledge and information.
- 1.5.3.9 Revenues generated from research activities such as sales of research produce shall be the property of the Colleges/institutes or university and be used to improve future research undertakings.
- 1.5.3.10 The budget allocation to Colleges/institutes shall be made every budget year based on the priority and thematic areas for research.

## **1.6 Criteria to Establish Research Institute**

**Background:** Research institute is a unit devoted to advance research which is not covered by academic unit (department, school, and college/institute) which can also spell out clearly the research thematic areas. The establishment of the research institute should contribute to NU vision and mission. The following points should be considered when contemplating a research institute in NU.

- 1.6.1. The primary academic and research activities of the university are conducted by departments, schools, and Colleges/institutes. Research institute should be created only when there is a strong case to be made for why the academic mission of the university cannot be achieved within existing structures.
- 1.6.2. The establishment of research institute should ensure cost efficiency and effectiveness on the premise that once a research institute is approved it requires office, budget and other resources. It should be a means that attracts resources rather than depletion of resources.
- 1.6.3. Research institute should be designed to boost centre of excellence, which makes the institute unique in doing things differently and created to further the wealth of experiences acquired from past experiences.
- 1.6.4. The staff of research institute should devote their time for research (75%) and for teaching and learning (25%). If the above facts are met a proposal that will consider the following points shall be developed.
  - 1.6.4.1. The background that NU strives to get the benefits and showing the means in filling the gap by creating research institute.
  - 1.6.4.2. The proposal should include the objectives and expected output by creating the research institute.
  - 1.6.4.3. Organisational structure should be properly spelled out and demonstrated that the new structure is in line with the university structure and avoiding overlapping.
- 1.6.5. Proposal in establishing research institution should be prepared and which should include:



- 1.6.4.2. The offices and the duties, responsibilities and term of office, should be demonstrated in the research proposal.
- 1.6.4.3. Thematic areas of the research institute based on gap analyses and the national policies and relevant international trends should be demonstrated. The thematic areas of the research institute should feed into the university or colleges/institutes thematic areas.
- 1.6.4.4. The proposal should spell out the disciplines involved in running the thematic areas.
- 1.6.7. Thematic areas should be identified based on gap analyses and the themes should be superimposed with department, school and colleges/institutes thematic areas and identify if there is overlap. The creation of research institute is allowed if there is no overlap or redundancy of duty and responsibility of the existing academic unit and anticipated research institute.
- 1.6.8. The research institute should demonstrate a multidisciplinary team to run the project. The proposal should indicate the academic units involved in the activities of the research institute
- 1.6.9. No intake and graduation of students is expected, rather supports students from other disciplines and research student recruiting mechanism shall be worked out. The institute is expected to excel in advancing research competence.
- 1.6.10. Research institute could be initiated from the department or school or colleges/institutes or top management and supported with a clear proposal that NU satisfies the establishment of the research institute. The proposal to initiate research institute can be presented to the Academic Affairs, Research and Students Affairs if the anticipated institute involves two or more Colleges/institutes or to the colleges/institutes Dean/director and then to the academic affairs, Research and Students Affairs if the anticipated research institute involves two or more departments in a college/institute.

- 1.6.11. The proposal shall be evaluated by the Research and Ethical Review Board of the colleges/institutes and approved by the Academic Commission or the Research and Publication Committee of the university against the above checklists depending on the mix of disciplines.
- 1.6.12. The team evaluating the proposal shall present the findings and recommendations to the University Senate which shall decide on the fate of the research institute.
- 1.6.13. If the senate has decided positively in the establishment of the institute, the president shall declare the approval of the creation of the research institute with relevant resources and appointment of the officials to run the research institute.
- 1.6.14. The research institute can be combined or dissolved if deemed necessary by the senate/ executive committee of the university, depending on the performance.

## **1.7 Research and Publication Misconduct**

**Background:** Research misconduct refers to fabrication, falsification, plagiarism, faulty order of authorship or other practices that seriously deviate from the accepted scientific practices for proposing, conducting and reporting research. A commitment to truth, objectivity, and honesty should guide everyone engaged in research at NU. This does not include, however, honest errors or honest differences in interpretation and/or NU's judgment of data. Allegations of misconduct occurring outside the research setting are excluded from this policy as are allegations of conduct in the context of research that would not affect the integrity of research (for example, misallocation of funds, sexual harassment, illegal discrimination, or academic misconduct that is not research misconduct). All NU staff have a responsibility to foster intellectual honesty and

integrality and do not tolerate research misconduct. The research misconduct policy applies to all research activities, internally or externally funded, taking place under the auspices of NU. This policy applies to any individual paid by or holding an appointment from, or affiliated with NU such as staff members, post-doctoral fellows, trainees, technicians and other staff members, guest researchers, graduate students and undergraduate students. The consequences of failing to abide by these shall be addressed in the NU discipline policy outlined as follows:

### **1.7.1 Processes of Inquiry, Investigation and Time Frame**

#### **1) Inquiry**

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

- a Every NU staff involved in any aspect of research at NU must encourage integrity in research, appropriately assign credit and responsibility for research, maintain careful research records, and establish and follow well-defined research protocols.
- b Any individual or academic unit who believes an act of misconduct has occurred or is occurring should notify the act to the Dean of the colleges/institutes or Academic Affairs and research of NU. Reporting such concern in good faith shall serve the colleges/institutes and university and shall not jeopardise the reporting individual's employment status.
- c After making an allegation of research misconduct, a complainant shall have no further role in connection with any research misconduct proceedings that may follow, except as a witness when appropriate.
- d The academic affairs, Research and Students Affairs or the Dean of the colleges/institutes can form a committee/ the Research and Ethical Review Board that have the required expertise to initiate enquiries and



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inform for Academic Affairs, Research and Students Affairs or the Dean on the proceedings.

- e The accused individual shall be informed of the allegations against him or her and invited to comment on them. The accused individual shall be provided with the draft inquiry report and given a chance to comment on the findings.
- f The individuals who brought the complaint shall be protected. NU staff shall not be retaliated in any way when lodging complainants, acting as witnesses, or serving on inquiry committees.
- g The inquiry and/or investigation committee (Research and Ethical Review Board) shall interview any individuals identified as relevant to the case, including individuals who raised the concern.
- h NU staff shall, upon request, provide evidence and information relevant to an allegation of research misconduct to the authorities, an inquiry committee, an investigation committee, or other NU officials involved in the research misconduct proceeding.
- i Neither the complainant nor the respondent, nor any NU staff shall disclose or make public the identity of complainants, respondents, or members of any inquiry or investigation committee. No records or evidence from which research subjects might be identified shall be released during the proceedings.
- j No finding of research misconduct shall be made unless supported by a preponderance of evidence gathered and evaluated under the framework of this policy.
- k The final report, including a recommendation as to whether or not a full investigation is warranted, must be submitted to the Academic Affairs, Research and Students Affairs or Dean of the colleges/institutes and copied to senior director within 60 days of receipt of the allegation. The final report shall include any comments provided by the accused in response to the draft report.
- l The documentation should include the information reviewed including the summary, the interviews conducted, and the conclusion reached –

indicating whether Academic Affairs, Research and Students Affairs or the Dean believes an investigation is warranted.

The final inquiry report and supporting documentation must be held in the Deans' office and/ or for three years.

Unless Academic Affairs, Research and Students Affairs or the Dean has further concerns, Academic Affairs, Research and Students Affairs or Dean's recommendation shall decide on whether an internal investigation is warranted.

If the inquiry committee's report concluded that the allegations do not satisfy the criteria calling for a full investigation, Academic Affairs, Research and Students Affairs or the Dean shall provide a written notice to the respondent. This document shall also include the coordinator of research a summary of the compliant and a reminder of the confidentiality of the policy. The research misconduct proceeding shall then be terminated.

### **1.7.2 Investigation**

An investigation is the formal examination and evaluation of relevant facts to determine whether or not the alleged misconduct has taken place. If the inquiry leads to the conclusion that an investigation is necessary, it will be guided by the following considerations:

- a The formal investigation should begin within 30 days of the completed inquiry. The investigation should be completed and final report sent to Academic Affairs, Research and Students Affairs or the Dean within 90 days. Any delay from this time frame should be communicated to Academic Affairs, Research and Students Affairs or the Dean in which case, it may be necessary for Academic Affairs, Research and Students Affairs or the Dean to request a time extension with logic grounds.
- b The investigation process must be thorough, fair and protective of the confidentiality and reputability of all participants.

- c. The investigation should normally include an examination of all documentations including, but not limited to, relevant research data and proposals, field notes/research journals, publications, correspondence and memoranda of telephone calls.
- d. Anyone making accusations, those accused and anyone who is identified as having information related to the accusations shall be interviewed. Complete written summaries of each interview should be provided to the individuals being questioned and any comments should be appended to the summary if the interviewer agrees. The summaries shall remain with Academic Affairs, Research and Students Affairs or the Dean of the colleges/institutes.
- e. All significant issues should be investigated until the committee is reasonably certain that all necessary and available information were obtained.
- f. All the draft written finding reports should be made available to the accused. Where identified, those who made the allegation should also receive the portions of the draft report which concerns their roles or opinions in the investigation. Any comments on the draft from the accuser or accused should be appended to the final report.
- g. In addition to interview summary and comments by the accused and accuser on the draft report, the final report should include:
  - G.1. A description of the policies and procedures followed and how and from whom relevant information was obtained.
  - G.2. The bases of allegations and a summary the committee's findings on the said allegations.
- h. If Academic Affairs, Research and Students Affairs or Dean considers that sanctions are warranted, they have the authority to impose any sanctions that he or she determines to be fair and reasonable under the circumstances, up to and including the termination of the university employees, expulsion of a student from the university and/or termination of the guilty parties' contracts.

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- i The determination as to whether discipline is to be imposed is governed by existing policies. Academic Affairs, Research and Students Affairs or Dean will refer cases to significant units (Research and Ethical Review Board of Colleges/institutes). The recommended actions may taken based on the severity of the problem such that:
    - I.1 Withdrawal or correction of all pending or published abstracts and papers, emanating from the research where research misconduct was found.
    - i.2 Removal of the guilty party(s) from the particular project, letter of reprimand, special monitoring of future work, probation, suspension, salary reduction, or initiation of steps leading to possible rank reduction of the promotion or termination of employment.
    - I.3 The potential restitution of funds.
    - I.4 A combination of actions

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## Annexes

### **Annexe 1. Thematic area of Nugaal University intend to develop in consultation with stakeholders and policy-makers**

Enhancing food security, improving farm earnings and nutritional status of the community by caring for the natural resource base of the community.

Diagnosis of major health problems, determinates of health, quality of health care and population growth

Environment, ecology and climate change, mitigation and adaptation and natural resource management for Sustainable development

A closer look of quality of education to invigorate livelihood and development in Sol Region

Studies towards poverty reduction, inequality and development, and change management

Science for sustainability of community livelihood and development

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Crosscutting themes

*Nugaal University, 2014*

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**Annexe 2. Standard Format for the Preparation of Research Proposals<sup>1</sup>**

1. Cover page:<sup>2</sup>

2. Research Project Title:<sup>3</sup>

3. Signatures:

\_\_\_\_\_

\_\_\_\_\_

Principal investigator            NU or Colleges/institutes coordinator for Research

4. Executive summary of the project (optional):<sup>4</sup>

5. Research work and publication to date (if any)<sup>5</sup>

<sup>1</sup> ~~The proposals should not be longer than 15 pages, single spaced and 12 cpi, including all the footnotes.~~

<sup>2</sup> This should include the title, Investigators' name, title of the investigators and co-investigators and address, Department, colleges/institutes, Month and year

<sup>3</sup> Keep the title of the project short and simple. The title should clearly describe the basic objectives of the proposed project and reflect the nature of the proposed work. The title of the project once approved cannot be changed or modified unless there is permission from the Research and Ethical Review Board (RERB) of the colleges/institutes.

<sup>4</sup> Give a short summary, maximum 400 words, of the proposed project, sufficiently informative for other scientists who are not necessarily in your field of expertise. This summary should contain a problem statement of the project, followed by the objectives and a brief description of how these will be accomplished and it is suggested that you write this item last

<sup>5</sup> List all your major publications, especially those related to your proposed research project. Give all information available about your articles in press. Provide information about the scientific work at your institution in the area of the proposed research project; also mention any present or planned cooperation research with other institutions. Give your participation in workshops, seminars, conferences if any etc. You can also attach Your CV,

6. Background and justification:<sup>6</sup>

7. Objectives of the project:<sup>7</sup>

8. Hypothesis (Optional):

9. Review of literature (optional)<sup>8</sup>

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<sup>6</sup> Discuss the historical development of events regarding the topic you are interested to study. Describe basic assumptions/concerns that led you to study this topic. Include information on the likely contribution to knowledge or practice that the research will make and its place in current debate/theory. Describe the gaps that the proposed research is intended to fill. The proposal should also show how the result of the research will be able to reach the end users and bring socio-economic developments.

<sup>7</sup> State the specific (short-term) objectives of the project and how they relate to the general (long-term) objectives and the questions that the project will attempt to answer. Specific objectives must be clearly stated to ensure monitoring and evaluation of the project. The objectives should be measurable and each of the objectives should be addressed in the materials and methods.

<sup>8</sup> Refers to an account of what has been published on a related topic by accredited scholars and researchers and what he/she is intended to do. It should survey the existing state of knowledge that supports in proposing this research project.

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10. Materials and Methods: <sup>9</sup>, <sup>10</sup>, <sup>11</sup>, <sup>12</sup>

11) Expected output/outcome: <sup>13</sup>

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<sup>9</sup> Describe the location, physiographic, climate, geology and soils, population, production systems, etc. and the contents may depend on the discipline of concern.

<sup>10</sup> Describe methods that persuade the reader/reviewer that the researcher is an expert on the subject matter. It should provide sampling method and frame, it provide the research design, procedures of data collection and analysis of data, the software to be used if any.

<sup>11</sup> **Research design:** Provide details on your experimental design/ plans for surveys, experiments and trials indicating, replications, statistical models, and statistical methods to be used to analyses the data.

<sup>12</sup> **Research plan:**

The plan should clearly show the different phases of the project. Describe here what will be done (observation work, laboratory experiments, participant observation, surveys etc) and how it will be done including the following points:

- a) Methods and activities to be carried out to solve the problems and answer questions stated above. Which parameters will be studied and which measurements will be taken; which data will be collected and how.
- b) Criteria for choosing sites and samples, sampling frame and methods and sample sizes. Provide source of germ plasma for life science experiments.
- c) Describe your field trial design (if appropriate). In some cases you may find it necessary to include diagram, and if you do, please refer to that diagram in this space.
- d) Analysis of data: Describe the statistical methods that you will use to analyses the data
- e) Materials: List materials that will be required for laboratory experiments, field work and computing facilities
- f) Analysis of data: Describe the statistical methods that you will use to analyses the data and also describe the statistical packages to be used in analysing your data.

<sup>13</sup> Indicates the anticipated outputs by running this project. Which research questions could be answered by doing this SET and what output is expected at the end of the project for dissemination and the beneficiaries from the project. The expected output should spell out and tally with the objectives project that has been set.



12) Time schedule:<sup>14</sup>

Activity	Schedule

13) Duration:<sup>15</sup>

14. References:<sup>16</sup>

15. Collaborating researchers and institutions if

any:<sup>17</sup> 16. Facilities and funding<sup>18</sup>

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14

This should indicate the activity and when the activity to be done. Therefore, in the first column note the major activities and in the second column, indicate during which months/dates you will be engaged in the activities.

15

Number of months or years of project can stay for funding supported with time frame. It will help to budget funds for that duration and drawing a monitoring and evaluation schedule.

16

Provide the references which support the information provided in 6 and 8.

17

Indicate researchers from other institutions or department collaborating in the execution of the research project)

18

The facilities **would include:**

- **Equipment and facilities:** List here equipment and facilities, etc, necessary for your project which will be provided by the institution and sponsor. The proposed budget should delineate the complete committed cost of the project, identifying the amount requested from the sponsor and other cost that NU commits to pay. The cost committed in terms of kind and time contribution should be valued and indicated in the budget.

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17. Budget: <sup>19</sup>

18. Consent form (If applicable) <sup>20</sup>

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19

The budget items must be relevant to the proposed research plan and should be NU satisfied. It may include the following

- a) **Equipment:** Specify and describe each item, and give to the best of your knowledge: manufacturer, model/type, accessories if needed. Give a realistic estimate of the cost for each item
  - b) **Expendable supplies:** List categories and significant items of expendable supplies (glassware, solvents, hormones, feed, reagents, medicaments, gloves etc) and give a cost estimate for each category.
  - c) **Literature:** List categories of literature (e.g. reprints, and photocopies) or documentation, and give a cost estimate for each category. Also recommended subscriptions to journals or membership in a scientific society publishing a journal
  - d) **Local travel costs:** Local travel costs for sample collection, field visits, participant observation, surveys etc are included in this category. Travel costs can also include costs associated with conferences and scientific meetings. The travel cost may include to the researchers, drivers, fuel, oil, field technicians and others.
  - e) **Manpower costs:** They include manual and skilled labor costs which are necessary for the execution of the project
  - f) Encompasses risk, benefits and confidentiality (When required, that depends on Disciplines).
-

**Annexe 3. Proposal Evaluation guideline to be filled by each review team member**

**Proposals are funded when they meet the set criteria. The criteria are listed below with its weight. Proposals with higher overall score are considered for funding. And the proposals that have scored below 50% may not be funded.** Three reviewers shall be involved to review a project and the average of the three evaluators will serve to decide on the funding of the projects. **Theresearch and ethical board of the colleges/institutes shall provide weights to the projects by considering the open defense and the incorporation of the comments during open defense.**

Title of the project-----  
 -----  
 -----

I. Relevance and degree of research priority in relation to NU list of research priority and themes that demonstrates responsiveness to national and regional needs (30 %)

----- Highly appropriate (25-30)

----- Moderately appropriate (15-24)

----- Inappropriate (< 15)

Score ----- ()

II. Scientific quality and contents of the project (25 %)

a. NU justification, hypotheses, gaps and objectives- Is the objective and gap clearly stated,

is the priority clear, and objective achievable, is the proposal well-reasoned out (6)

----- Highly appropriate (5-6)

----- Moderately appropriate (3-4)

----- Inappropriate (<3)

Score ----- ()

b. Methodology (Design, Method, Statistics, analyses), It should be proper, well designed and related to all objectives(10)

----- Highly appropriate (9-10)

----- Moderately appropriate (5-8)

----- Inappropriate (<5)

Score ----- ()

c. Expected output, Indicates the anticipated outputs by running this project. Which research questions

could be answered by doing this SET and what output is expected at the end of the project for dissemination and the beneficiaries from the project. The expected output should spell out and tally with the objectives that has been set (4)

----- Highly appropriate (4)

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----- Moderately Appropriate (2-3)

----- Inappropriate (<2)

Score ----- ()

d. Technology/information/knowledge dissemination strategy (5)

----- Highly appropriate (4-5)

----- Moderately appropriate (2.5 -3)

----- Inappropriate (<2.5)

Score ----- ()

III. Technical feasibility (level of experience, availability of resources, time and budget and applicants are scientifically and technically capable and realistic in budgeting) (20%)

----- Highly appropriate (18-20)

----- Moderately appropriate (10-17)

----- Inappropriate (<10)

Score -----

IV. Degree of collaboration, multi-disciplinary and team (Institute, colleges/institutes, department) (15%)

----- Highly appropriate – Involved more than 4 disciplines (11-15)

----- Moderately appropriate –involved 2-4 (7.5-10)

----- In appropriate 1 discipline (<7.5)

Score ----- ()

V. Attainable within specified period (1-3 years) (10%)

----- Highly appropriate (8-10)

----- Moderately appropriate (5-8)

----- Inappropriate (<5)

Total score ----- ()

If the total score is 50 and above and if you believe the project is worth funding with appropriate modifications, please give your comments to make improvement in the space provided;

a. Introduction and Objectives

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Methodology -----

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Expected output; -----  
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Project plan vis-à-vis implementation and budget

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Technology dissemination strategy -----  
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Additional comments -----  
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Reviewer's Name -----Signature-----Date -----

**Annexe 5. Research contract agreement form for NU sponsored projects (To be signed by the researchers and Colleges/institutes/university representative for research)**

Colleges/institutes of/NU ----- And HEALTH DEPARTMENT for health  
-----, hereinafter referred to as the  
Colleges/institutes/university):

And

\_\_\_\_\_  
(Hereinafter referred to as the Researcher)

Whereas, the Colleges/institutes/NU allotted dollar

\_\_\_\_\_/\_\_\_\_\_

\_\_\_\_\_/ the researcher is desirous to undertake the Research project entitled:

\_\_\_\_\_  
as per the attached project document.

Therefore, it is hereby agreed and declared by and between the parties here to as follows.

**ARTICE 1**

**UNDERTAKING BY THE RESEARCHER**

The Researcher shall:-

- 1.1 Undertake the project in accordance with the terms and conditions set forth in the agreement.
- 1.2 Submit progress, final and financial reports in accordance with Article 4 of this agreement
- 1.3 Present a paper in annual research conference of colleges/institutes/university or other Scientific forum
- 1.4 Submit a copy of publications, journals, policy briefs to the colleges/institutes/university

**ARTICLE 2**

**AMOUNT OF GRANT**

The university agrees to allocate a sum of Dollar \_\_\_\_\_, \_\_\_\_\_.



\_\_\_\_\_/ to the Researcher in the research period commencing this day of \_\_\_\_\_.

The fund shall be administered through the coordinator of research, and Graduate program of

Colleges/institutes of -----/research, CBE and Graduate studies

Senior director of the university.

### **ARTICLE 3**

#### **SCHEDULE OF DISEMBERSEMENT**

Dismemberment of the fund shall be made as follows:

3.1. Dollar \_\_\_\_/ \_\_\_\_\_/ shall be released to the Researcher within 5 days after the signing of this Agreement.

3.2 The preceding provision, disbursement of funds shall be made in accordance with the budget breakdown in the project document and based on the presentation of financial statement of previously released funds, and/or according to a procedure to be agreed up on between office of / the coordinator of research and Graduate program colleges/institutes of -----  
-----  
-----/research, CBE and Graduate studies senior director of NU.

### **ARTICLE 4**

#### **SUBMISSION OF REPORTS**

4.1 The researcher shall submit the progress and financial reports every three months, and final report after the completion of this agreement to the office of the colleges/institutes Research and Ethical Review Board coordinator/ research, and Graduate studies senior director of NU.

4.2 After the research is completed, the researcher must present the results to the university community.

4.3 The Researcher is encouraged to submit the report to the local and international journal for a better local utilisation of the results to the end user

4.4. The researcher shall also commit to prepare policy briefs for a better use of the research output to the end users.

**ARTICLE 5**

**UTILISATION OF THE FUND**

- 5.1 The fund granted shall be utilized in accordance with the budget breakdown presented in the project document
- 5.2 The Researcher shall not utilize the funds for purposes other than what is stated in the attached project document
- 5.3 Utilized funds shall be either earmarked for the continuation of the same research/project for the next stage of its development with the consent of the colleges/institutes/university, or shall be returned to the university.
- 5.4 After the completion of this agreement, any equipment of material acquired from this research fund shall be the property of the colleges/institutes/university.

**ARTICLE 6**

**CHANGE IN THE PROJECT DOUCUMENT**

- 7.1 Any major change such as in the objectives, methodology, work plan etc. in the project document shall be reported and get approval in Research and Ethical Review Board of the colleges/institutes /Senior Director of Research, CBE and graduate program of the university.

**ARTICLE 8**

**BREACH OF AGREEMENT**

The following acts shall be considered as breach of agreement:-

- 8.1 Utilisation of the fund granted partially or wholly for purposes other than what is stated in the project document.
- 8.2 Failure in submission of progress and final report that has included technical and financial requirements.
- 8.3. Failure to submit the publications and proceeding s aroused from the funded research project to the colleges/institutes library and research coordination office of the colleges/institutes and NU.
- 8.4. Failure to present the research results in annual research conferences of colleges/institutes and university

**ARTICLE 9**

**EFFECT OF BREACH OF AGREEMENT**

9.1 The Researcher shall be liable partially or wholly if there exists a breach of agreement pursuant to Article 8 of this agreement.

9.2 The researcher shall be liable for non-performance of his/her responsibilities stated in this agreement.

9.3 Breach of agreement will lead to termination of the fund or any other measures as the case may be.

**ARTICLE 10**

**EFFECTIVE DATE OF AGREEMENT**

This agreement shall come in to force on the date of its signature this day of

\_\_\_\_\_

For the colleges/institutes/university

The Researcher

Name \_\_\_\_\_

Name \_\_\_\_\_

Signature \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

Date \_\_\_\_\_

**WITNESSES**

Name \_\_\_\_\_

Name \_\_\_\_\_

Signature \_\_\_\_\_

Signature \_\_\_\_\_

**Annexe 6. Guiding principles to make contract agreement with other partner institutions**

The contract agreement with partner institutions shall be developed by NU and partner institution guided by the following principle,

- a. The project shall be under the thematic and priority areas of NU and devoted in meeting the research strategic issues of NU as stipulated in NU strategic plan and research policy of NU.
  - b. The implementation of project shall be monitored and evaluated in both the university and partner institution system.
  - c. The project shall commit to submit progress, annual and terminal reports to the colleges/institutes/ university and also present the findings in the annual research conferences of Colleges/institutes/university.
  - d. The project shall commit to submit the publications, proceedings and other out puts aroused from the research project for respective colleges/institutes library and research coordination offices of the colleges/institutes/NU.
  - e. The financial administration shall be based on the project document agreed between NU and partner institution.
  - f. The data generated from the project shall be administered through the university system.
  - g. Based on the above principles the university/colleges/institutes representative and the partner institution shall sign what has being agreed.
-

**Annexe 7. Registration of the research project**

The research projects be it funded from the treasury or non-treasury shall be registered at the colleges/institutes and university level with a serial number. The research proposals shall be serially coded and registered proceeded with colleges/institutes code, department code, year of registration (last two digits) and project number. The code shall be assigned in alphabetical order for colleges/institutes in a university and departments in colleges/institutes. The title of the project shall be written in front of the serial code. The following could be an example to serially register a project.

If there is a project from the colleges/institutes of Agriculture, Department of Animal sciences, approved in 2010 and being the first project in that year for the department, it will have the following serial number with a project title written in front of the serial number indicated as follows.

**AgVm/AnSc/10/1. Assessment of the Dairy production system in the north east part of Somalia****The Colleges/institutes and departments code could be as follows;**

1. Agriculture and Veterinary Medicine (AgVm)
    1. Agricultural Economics(AgEco)
    2. Animal Sciences (AnSc)
    3. Natural resources Management (NRM)
    4. Plant Sciences and Horticulture (PISc)
    5. Post-harvest management (PHT)
    6. Rural development (RD)
    7. Veterinary Medicine (VM)
  2. Business and Economics (BECO)
    1. Accounting (AC)
    2. Economics (ECO)
-

3. Management (Man)
  4. Banking and Finance (Baf)
  3. Engineering and Technology (ET)
    1. Civil Engineering
    2. Electrical Engineering
    3. Mechanical Engineering
    4. Computer Sciences
    5. Biomedical Engineering
    6. Information Sciences
    7. Information technology
    8. Water Engineering
  4. Natural Sciences (NS)
    1. Biology
    2. Chemistry
    3. Mathematics
    4. Sports
    5. Statistics
    6. Physics
  5. Public Health and Medical Sciences (PHMS)
  6. Social Sciences and Law (SSL)
  - 7.
-

### **Annexe 8. Guidelines for M & E of research undertakings**

M& E is mainly designed to play a supportive role in the conduct of research. The implementation of M& E in NU is to verify the status of research activities, to identify problems encountered in the process of implementing research project, to take immediate measures, and to present challenges to the respective management for those not solved during field follow-up. The M&E is regularly done by the colleges/institutes Research and Ethical Review Board. The colleges/institutes RERB shall develop a check list for monitoring and evaluating a project that suites a discipline in question. The Research and Ethical Review Board shall undertake a periodical M&E in various forms such that;

- a. The board shall review quarterly, progress and terminal report and write a report whether the conduct of the research is in line with the project proposal and protocol of the project.
  - b. The board shall arrange a field visit and check data log books, data record books and check the data collected as per the research proposal.
  - c. The board also shall check whether the research project is undertaken in the time frame as documented in the proposal.
  - d. The board shall monitor the management and utilisation of financial and physical resources to the planned project
  - e. The board shall write a report and provide a feed back to the researcher, the department where the research project is based and Dean of the colleges/institutes
  - f. The researcher shall send a response letter to department, Dean of the colleges/institutes and RERB of the colleges/institutes stating the arrangements made to improve the research undertaking.
  - g. The researcher failing to report as per the recommendations of the RERB shall not be getting a financial support to continue the project and will account the expenses born for the research.
-

**Annexe 9. Format for Progress report**

1. Code and title of the project:

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2. Project management /Organisation/ co-ordination/colleges/institutes:

a. Name of principal investigator/project coordinator (Department, Colleges/institutes)

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b. Research and team member (s) in the university (if any) and their specific role in the research project:

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c. Other partner/collaborating organisations (outside NU) with addresses of contact person (s) and their role in the project:

Name	Profession	Department	Faculty/Colleges/institutes	Specific Role	e-mail

3. Project duration and period:

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4. Reporting period:

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5. Funding

a. Source of funding

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b. Amount (In phases if any)

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6. Fund utilized: indicate the amount of money utilized for the reporting period

	Period covered----- To-----					
Sr No	Items	Amount Brought Forward(1)	Fund received (2)	Total fund in this period (3)	Fund expended (4)	Balance (5)
1	Expendable Items					
2	Equipment					
3	Literature and stationery					
4	Local travel and communication					
5	Honorarium					
6	Personal					
7	Other expenses (specify if any)					

1. Amount in Birr which was brought forward if the project is on-going
2. The break down should be as shown in the budget approved for the reporting period and it is a fund came in this period
3. This amount is the sum of the amounts in the third and fourth columns
4. Fund expended is the fund in column five less the expense stated in column six
5. The balance should reconcile with approved budget. If there is over expenditure, there has to be a clear NUstification.

7.Objectives of the project

a. General

b. Specific objectives:

8. ~~Work plan used for the current reporting period (state briefly the work plan for the project until the current reporting is made).~~

9. ~~Achievements/progress: Indicate also which objectives have been addressed:~~

Project output description (give the highlights of the work done during the reporting period): Include detailed summaries of the work carried out and results obtained to permit informed critical scientific assessments of the work by the respective committee and peer reviewers. If possible the results could be presented in tabular or graph form. Summaries should be complete in themselves as brief as possible; consistent with clarity (a maximum of two pages is required). Interpret new findings (both positive and negative) in terms of the objective of the project and state if they are expected to increase (or decrease) the duration, total costs and/or the likelihood of the success of the project.

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10. Problems encountered (state any major problems encountered while conducting the research): Describe advances and/or problems encountered towards the completion of the plan of work for this reporting period.

11. Measures to be taken :

12. Summary of scientific results obtained

- a. Publications in interventional scientific journals, local journals and congress proceedings<sup>21</sup>

- b. List submitted, accepted, in press, and published papers, leaflets, proceedings, books

<sup>21</sup> please attach full papers

- c. Presentation in conferences/seminars<sup>22</sup>

- d. Any special contribution of the project

e. Training and extension <sup>23</sup>

f. Development activities

13. Work plan (description of the work plan for the next funding, including the research time table):

14. Financial expenditure (detailed expenditure for the upcoming research period) <sup>24</sup>

15. Additional remarks

22

attach if there are publications such as manuals produced

23

indicate if there was a training and extension activity

24

This has to be filled in consultation with the finance office of the university

**Annexe 10. Guideline for reviewing progress report (to be filled by the researcher)**

A. General

evaluation

Editorial

quality Lay out

Length

Quality of references

Comment -----

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B. Administration information

1. Project title and code

2. Principal investigator and co-investigators and colleges/institutes/department

3. Project duration and period

---

i. Reporting period (Phase)

4. Sources of fund and amount in each phase

C. Technical

1. The extent of the objectives achieved as per the project

document Comments :

2. Method used: Is the research methodology for this report sufficiently described?

Comments;

3. Work plan: Is the work plan achieved as per the research

document? Comments;

4. Results: Are the results well described and can be repeated in this

report? Comments;

5. Scientific results (Publications, seminars, workshops, training): Are the scientific results sufficient in line with the plan?

Comments:

6. The work plan: Is the future plan realistic and achievable? Comments

7. Fund utilisation: Is the fund utilized as per the previous plan? Comments;

8. Recommendations: What is recommendation of this report for future funding Accept the report without change

Accept the report with minor change

Accept the report with major revision

Not accepted, that needs re-writing

9. Reasons for the recommendation

1. -----  
-

2. -----  
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5. -----  
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6. -----  
-

Reviewer----- Signatures -----Date -----

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### **Annexe 11. Guidelines for writing Terminal Reports**

Research report content: A research report should include the following headings:

**Abstract:**

**Acknowledgment**

**Table of content**

**List of figures**

**List of symbols**

**Introduction/Background:**

**Objectives:**

**Literature review:**

**Methodology: Experimental details:**

**Results and discussion:**

**Conclusions and recommendations:**

**References:**

Tables, Plates and Figures should either be included in the text at the appropriate place or they should be at the end of the text after references



## Appendices

### Report formats:

All headings should be left NU certified

Line spacing should be single spaced and font size should be 12 cpi

Left margin should be 1.5 Inch and 1 inch on all other sides

Typing should be both sides of A4 pages

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### **Annexe 12. The review form for terminal report (to be filled by the reviewers) <sup>25</sup>**

1. General comments (comments on: the worth of the Knowledge /technology package/generated, sufficiency of information generated, and conclusion drawn).

2. Comments on the content and organisation of the report (this refers to the report format, editorial quality, layout, length, adherence to fonts, line spacing, margin etc)

3. Comment on the abstract: Does the abstract adequately summarize the report?

4 jective section: Does the introduction sufficiently detailed for this form of )  
research? Are the research objectives clear and do they reflect what has been  
achieved in the research?

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The research report should be sent to the reviewers in addition to the proposal to ascertain  
that the proposal is in line with the terminal reports

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5. Comments on the methods section: Is the research method sufficiently described and are the experimental details well described and can they be repeated?

6. Comments on the results section: Are the results well presented?

7. Comments on the discussion section: Is the discussion of the results accurate and exhaustive

8. Conclusions and recommendations: Are the conclusions and recommendations relevant and consistent with the analyses, are the conclusions and recommendations match with research objectives?

9. Comments on the references: Are the references relevant, exhaustive and up-to date?

10. Comments on the project plan vis-á -vis implementation and budget utilisation?

11. Any additional comments

12. The reviewer should show his comment in the following rates as NUstified from the comments at each section

- i. Accept without modification
- ii. Accept with minor modification as per the comments
- iii. Accept with major modification as per the comments
- iv. Reject the report to be done again as per the comments

13. The NU justifiable reasons for the section forwarded by the reviewer

**Annexe 13. Research work load**

Research project shall involve proposal writing, approval of the research project, piloting, conducting the research, data entry, cleaning and analyses, report writing and dissemination. These activities should be given a value and accounted in the academic work load. The work load shall be based on the nature of the work and expressed in terms of credit hour equivalent (CrhrE). The work load should follow the following principles and guidelines.

1. The research project should be reviewed and registered in NU system to account for a work load and the researcher's role in the research undertaking should be specified in the research project.
2. The work load for research projects is considered during the project life time as stated in the approved proposal and projects beyond the life time will not have a work load accounted for, unless it has been given extension with NU justifiable reason by the colleges/institutes Research and Ethical Review Board.
3. Research load is accounted when the research project has a progress or terminal or quarterly report to Research and Ethical Review Board of the colleges/institutes or office of Research, CBE and graduated student of NU and has positively evaluated and accepted letter for the report.

**Annexe 14. Procedure for selection of best researcher:**

1. The Senior Director of Research, CBE and SBR requests Colleges/institutes to nominate individual (s) to forward candidates based on the guideline (Annexe 15).
2. A researcher could be nominated by peers or, apply personally to the Department for the award and staff shall be notified to compete for the award in notice board.
3. The selection of best researcher at department level is to be carried out by Department committee and one best researcher shall be a department candidate for the award.
4. Outcome of the selection together with the minutes of Department committee will be submitted to the coordinator for Research and Graduate Programs of the respective Colleges/institutes.
5. The selection of the best researcher at colleges/institutes level is to be carried out by the colleges/institutes Research review board coordinated by the coordinator for Research and Graduate studies.
6. A nomination made by each Research review board together with the minutes of the discussion during the selection process is forwarded to the Academic Commission of respective Colleges/institutes for approval.
7. The name of a candidate for the research award of colleges/institutes and relevant documents will be submitted to the Senior Director of Research, CBE and SBR.
8. The Sr. director for research, CBE and SBR in consultation with the Vice President for Research and Academic affairs will set up an independent Ad hoc Committee if necessary to scrutinize the selection process.
9. The Ad hoc committee will submit the candidates for the award to Academic Affairs, Research and Students Affairs who will again present the results to the executive committee or the senate for Approval.
10. The university will finally create a forum to recognize the Best Researcher of the Year

**Annexe 15. Evaluation criteria to nominate best researcher award**

The direction of NU to cultivate research culture is through placing incentive and reward mechanisms. Best researchers shall be nominated in each department, colleges/institutes and at NU level every year. The Colleges/institutes and university at Large shall identify and reward outstanding researchers. To select best researchers, research activities or publications or scientific innovations will be considered. The procedures for nominating the best researchers are as follows;

## 1. Best Publication owner

Name of the candidate \_\_\_\_\_ Department \_\_\_\_\_

Rank \_\_\_\_\_

S.No	Criteria	Score
1	Have published two or more articles in a year in reputable journal and appear as first/senior author at least in one article (one article for females) or have invented three new technology as approved by the patent office of Ministry of Health Science and Technology	50
2	Demonstrated active participation as a member in the editorial committee of the journal or proceedings	10
3	Disseminate his article/innovations for policy makers in national or international forum ( research for action)	20
4	Have served as organizing committee member in scientific conferences	10
5	Presented a public lecture/ seminar/ Scientific Conferences	10

## 2. Best grant Owner

Name of the candidate \_\_\_\_\_ Department \_\_\_\_\_

Rank \_\_\_\_\_

S.NO	Criteria	Score
1	Get a grant of $\geq$ 50, 000 USD(30,000 USD for female or young researchers) on priority areas of NU from all the projects the researcher wins	30
2	Have a participatory mega project( encompass multidisciplinary team and students)	30
3	Benefit of the grant to the community (intervention, job opportunity)	20
4	Secured more than one grant	20

3. Departments or research projects who have more than 2 candidates either in research activities or publications will be awarded a certificate.
4. Best graduated student award

Sr. No	Criteria	Score
1	The quality of the thesis as evaluated by the examiners board	40
2	The quality of the thesis as evaluated by the Research and Ethical Review Board	40
3	Paper published from the thesis in a reputable journal	20



**Annexe 16. The award offered to the best researcher individual or team.**

1. The best researcher and the department that exceeded 75% and female that exceeded 65% shall be awarded
  2. The individuals to be awarded as best researcher shall be based on staff number. Colleges/institutes with researchers with more than 600 academic qualifications with a lecturer and above can award two researchers. Colleges/institutes with academic staff less than 600 will be awarded one academic staff.
  3. The award for the best researcher staff shall be 500\$ for individual researcher, 200\$ for female researcher, trophy and certificate to the departments, 100\$ for graduated students
  4. The best researcher (s) shall also be offered a certificate of recognition during the annual research conference
  5. The best and female researchers recognized for the award shall be sponsored to participate two national conferences that will cover registration fee, per diem and transport expenses or the best researchers could be sponsored to participate for research skill training up to two weeks in the country.
-

### **Annexe 17. Accelerated promotion**

Researcher with outstanding research output is entitled to accelerated promotion as stated in Senate legislation number 2.2.6.5.2.and 2.2.6.6.1 for the position of Assistant and Associate professor, respectively. For this purpose:

1. Every two extra publication achieved over and above the required point for publication in a given academic rank shall be considered equivalent to a year of effective teaching.
  2. However, a candidate for promotion should at least fulfill 75% of the required service years for a rank and score 85 % weighted average on all evaluations (students', departmental and colleagues' evaluation).
-

**Annexe 18. Remuneration for research paper and progress report reviewers,  
RERB, EB**

The Research, Ethical review board is mandated to review research proposals, review progress reports, monitor and evaluate the conduct of the research and review terminal reports. The board is responsible to give an ethical clearance, when it is required. The member of review board shall be offered incentive based on the type of work. This incentive may not be lucrative but the professional obligation is more than the incentive.

1. A member of the Journal review board shall be paid a lump sum of 60\$ per month.
  2. The review board shall be assigned based on Research merit and 60% or less member of the editorial shall have Assistant professor in academic rank.
  3. A member of the Research and Ethical Review Board shall be paid a lump sum of 50\$ per month
  4. A reviewer who is a member of a research and ethical review or invited reviewer shall be paid 30\$ for monitoring and evaluating a project (s) and spending a day in field/lab supervision. The proposals should include M & E costs. The per diem for M& E shall be paid as per organisation/institution rate and proposals will have a budget for M& E.
  5. The review of terminal report shall be at two stages. The reviewer shall be given a manuscript and provide comments to the researcher. The reviewer is also expected to check whether the comments have been included as per the initial comment by the reviewer. The payment is effected by presenting two of the report.
  6. The member of the research review board shall be offered a customized training to discharge the duties in research review process.
-

### **Annexe 19. Research Innovative funding**

A research project is categorized as innovative to secure the RIF in staff innovation research

1. New and original in scope
  2. Expected to bring change in short period
  3. Intend to develop the indigenous knowledge
  4. Research endeavor that could advance to centre of excellence
  5. Research endeavor that will produce new tools, methodologies and technologies
  6. Research project that addresses emerging issues and contribute in the recognition of the university
-

**Annexe 20. Transport Services**

**Background:** Research culture in NU is not well cultivated. A number of reasons could be cited for poor research endeavor. Heavy academic load with massive expansion of programs and a limited research funding from the treasury and limited support in terms of transportation are some of the reasons. The university recognizes the need for supporting researchers in terms of funding and transport services. The university believes earmarked cars for research are needed. The demand for transport and the number of cars assigned is not matching, that has necessitated putting in place a guide for proper use of transport services.

**I. CONDITIONS TO GET RESEARCH TRANSPORT SERVICES**

1. The transport services is rendered provided that the research project has been approved and registered in office of Senior Director of Research, CBE and SBR.
2. The Senior Director of Research, CBE and graduated student research shall write a letter to the transport and maintenance department to avail the transport service for the approved and registered projects.
3. Transport service for research is provided when research report is delivered, on time to the office of Senior Director of Research, CBE and SBR
4. Transport service is rendered provided that the research activity in the proposal has been approved and commitment has been entered to deliver transport services
5. The transport service could be offered, if transport is not covered by public transport and in a situation where loading of research equipment and materials is required.

**II. CONDITIONS NOT ENTITLED FOR TRANSPORT SERVICE**

1. Transport services to attained research conference shall not be available.
2. Transport service is not offered when the service can be obtained from the public transport service.
3. No transport services for research projects that have not been reviewed and registered in the NU research system

**III. EXPENSE COVERAGE**

1. The research funding such as fuel and lubricant, maintenance cost, per-diem of driver will be born from the project.
  2. The research budget tagged to fuel and lubricants in the project shall be transferred to NU transport and maintenance service department and the same department will provide fuel and lubricant for the projects till the money transferred for fuel and lubricant is available. The transport and maintenance service department shall notify the project investigator to avail additional
-

funds for

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fuels and lubricant, if PI extends the request for transport services beyond the depletion of allocated money.

3. The projects having funds from non-treasury should pay the transport services charge as indicated in the research proposal that has covered the fuel, maintenance and service charge. The treasury funded projects will not pay the maintenance fees.
4. The driver assigned to serve for the project shall submit a report to the office in relation to service report that included distance covered, fuel used and services provided to the car during the service period.

#### **IV. DURATION AND APPLICATION**

1. The transport service from NU is offered for a situation where it may not be convenient to use public transport services.
2. Researchers in need of transport service should submit the application form for transport to Senior Director of Research, CBE and SBR a week before the planned travel schedule.

#### **V. GENERAL CONDITIONS**

1. The rule is subject to modification as compelled by circumstances and availability of resources.
2. The office of research is mandated to interpret and implement this rule.