




UNIVERSITY OF NIGERIA, NSUKKA, NIGERIA

RESEARCH POLICY

NOVEMBER, 2013



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Foreword by the Vice-Chancellor



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1.0 Introduction

The University of Nigeria is committed to advancing knowledge through research and scholarship and to inculcate flair for inquisition and discovery among its academics, researchers and scholars. The University aims at providing an enabling environment that would encourage articulate and well-organized research that will enhance economic, social and cultural welfare of the society.

The guidelines outlined in this research policy are meant to assist all academics, researchers and students of the University of Nigeria, in the conception, development and execution of research in their respective fields. The essence is to ensure responsible research practice, inspire confidence and offer some level of protection to individual and/or corporate researchers in the University.

1.1 Roles of Research

- ◆ Research is the intellectual core that drives the activities of the Departments, students and staff in the University.
- ◆ Research defines the role of the University as a tertiary institution, centre of innovation, partner of industries and a member of the local and international community.
- ◆ Research complements the teaching assignments of all academics.
- ◆ Research generates knowledge and constitutes the platform for the University to participate in the global knowledge society and compete effectively in sophisticated knowledge environment

1.2 Who should conduct research ?

- i. All academic staff (These have the right, and are mandated by law to conduct research and publish their research findings in reputable journals).
- ii. Undergraduate and postgraduate students of the University of Nigeria who are involved in research as part of their degree programmes under the supervision of competent and qualified supervisors.
- iii. Research teams or faculty or faculties engaged in Contract research for organizations seeking support in the development of a new product, solutions to manufacturing or other problems, or professional development for its work force.



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Every researcher is entitled to a safe and healthy place in which to conduct research. The experimental site must be free from hazards which may cause serious injury or death. The University, by statutory requirement, shall provide adequate security for the experimental materials and the personnel supervising the research. The safety and health aspects associated with experimentation shall be the responsibility of the researcher. On this premise, researchers are expected to have received adequate training in the proper handling of toxic and hazardous materials in their work environment. Proposals involving the use of toxic or harmful materials which may expose the researcher, the environment and other persons to potentially unsafe situations must be thoroughly reviewed to provide assurance that all the necessary precautions have been taken to prevent potential safety hazards.

2.0 PURPOSE OF THE POLICY

This University of Nigeria Research Policy (UNRP) sets the framework for the development and implementation of research policy in the University within which academic staff carry out their required research obligations and in which graduate students can engage and be supported in their research. The purpose of the UNRP, amongst others shall include:

- To establish the framework for the conduct, organisation and management of research within the University
- To maximise the relevance and impact of research activities to the University, society and economy
- To engender research culture and promote positive attitudes towards research activities within the University
- To enhance the global competitiveness of the University in terms of research and development of innovations
- To build and foster sustainable capabilities for research within the University
- To promote resource mobilisation and its effective utilisation for research andn creative works in the University
- To promote the global dissemination of research outputs from UNN through publications in journals, policy briefs and stakeholder engagements.



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DEFINITION OF THE POLICY

3.0 ORGANISATIONAL DEFINITION OF THE POLICY

3.1 Guiding Principles and Goals

The University of Nigeria recognizes that the image, reputation and competitiveness of any major university depend largely on the range and quality of its research performance as shown by the output of the university (Staff and Students). The University of Nigeria expects all academic staff to be research-active consistent with the norms and standards of their disciplines and in line with global trends. Consequently, compensations and career advancement particularly at the higher levels are weighted in favour of research output. The University of Nigeria aims at carrying out research and creative work of a consistently high international standard that will contribute to the advancement of knowledge and understanding, and to the national goals of innovation, economic and social development, environmental sustainability and that are in line with the fulfilment of the general mandate of the University.

The Research Policy of the University of Nigeria shall seek to encourage **collaborative work** and make it possible for researchers to benefit from the intellectual stimulation generated by working in teams. This is intended to encourage ultimately, the evolution of national and global **centers of excellence** in research starting at the unit/departamental/faculty/center levels. While priority shall be given to the development of research teams for reasons of its long term advantage of fostering sustainable development in research capacity, this does not suggest that the individual researcher shall be neglected, or that the academic freedom of researchers will be imperiled. Staff members, who choose to or, of necessity need to work alone or in much smaller groups will be expected to develop sustainable research plans, and shall be held accountable for their research performance in line with the general provisions of this policy, much as they currently are for other aspects of their responsibilities (teaching, administration and community service). They shall also be encouraged subject to available resources. However, the University reserves the prerogative to set research funding direction and priority. In all instances, emphasis shall be placed on high quality research that is sustainable, lead to the regeneration of the university, produce best quality manpower and enhance the international visibility and acclaim of the University of Nigeria.

In line with the foregoing, the University shall seek to take action and institute policy frameworks geared towards the achievement of the strategic focus of the university in becoming a global leader in research and innovation. The research policy of the university shall:

emergence of high quality research and researchers through appropriate activities;

- b. encourage development of research groups and clusters that can grow into centres of excellence in research and by so doing enhance the research profile and international acclaim of the University of Nigeria;
- c. promote multi-disciplinary research and encourage the formation of strong research teams within and across departments, faculties, centres and institutes geared towards the emergence of the said centres of excellence;
- d. recognize and reward true excellence in research;
- e. support research (selectively, if need be), in areas that may be recognized and designated from time to time by the university or the nation as university priority and /or as national priority;
- f. support researchers, research leaders, heads of departments and deans of faculties and directors of institutes and centres in sourcing for research and innovation funding from such external sources as may be identified from time to time ;
- g. encourage researchers to identify and report patentable inventions;
- h. take such actions as may be needed, in collaboration with appropriate arms of the university, to achieve patenting of such inventions and the licensing of such patents;
- i. put in place a framework for the equitable sharing / distribution of proceeds and royalties from patents and licenses between the university, departments and inventors in line with global best practices (see University patent policy);
- j. determine from time to time the modalities for the control and distribution of university grant fund in such a manner as will engender sustainable growth of university research efforts;
- k. take such actions as may be necessary to ensure the highest ethical standards of her staff involved in research and inventions, including management and control of such grants the use of which impact on the university's name, standing and reputation;
- l. take such other actions as may position the University of Nigeria as a global player and leader in quality research; and
- m. Identify and promote sustainable and mutually beneficial collaborations and research alliances with other local and international institutions.

3.2 Academic Freedom and Research Career Development

PURPOSE

This policy on Academic Freedom defines rights, obligations and limitations as applied to research and scholarly activity conducted by University of Nigeria faculty members in the course of their academic responsibilities and other researchers and persons who are similarly authorized for the purposes of research and investigative endeavours. University of Nigeria faculties must be committed to the highest ethical standards in their teaching and research. They must be free to examine data, question assumptions and be guided by evidence. Faculty members have an equal responsibility to submit their knowledge and claims to rigorous public review by peers who are experts in the subject matter under consideration and to ground their arguments in the best available evidence. Faculties and university leaders have an obligation to ensure that students' human rights are respected and that they are encouraged to pursue their education according to the principles of academic freedom. The University of Nigeria Research directorate has the responsibility of ensuring that pressures from funding and other types of partnerships do not unduly influence the intellectual work of the university.



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Academic Freedom: The rights to enquire about, investigate without restriction, pursue controversial issues and speak freely about scholarship issues without fear of impairment to position or other reprisal.

Scholarship: The pursuit, creation and dissemination of knowledge through integrity in research and other scholarly initiatives.

The Academic Freedom Policy

Scholarship is an integral element and essential function at the University of Nigeria. Faculty members and others engaged in research authorized by the University are encouraged to engage in scholarship in order to generate new knowledge, to evaluate, apply and extend knowledge and to express new ideas.

Academic Freedom here generally refers to the ability of a faculty member to engage freely and openly in scholarship, research and innovation activities. It includes the right to question and challenge traditional norms, and the freedom to define research questions, to pursue answers to those questions by way of unrestricted but proper investigative techniques and to disseminate the knowledge gained to students, academic colleagues and the society in general. Academic freedom does not require neutrality on the part of the individual; rather, the expectation for Academic freedom is to make intellectual scholarship, discourse and critique possible without reprisal or repression by the institution, the government or any other person or entity.

However, academic freedom is not an absolute. Individual members of institutions are limited by the degree of autonomy available to the institution, and are subject to legal parameters, professional requirements and peer review. The autonomy of the University of Nigeria is limited by statute, the Law of the Federal Republic of Nigeria establishing the University, ethical review boards and oversight committees as may be found in Section 5.4 of the UNRP.

Academic freedom, as appropriate to an individual's University appointment, implies protection of the individual by the University from pressure intended to censure or restrict such an individual from otherwise pursuing scholarly and research interests and communicating the results thereof to students, academic colleagues and the world at large. In this context, individuals are entitled to freedom in research and inquiry and in the publication or dissemination of the results, subject to the adequate performance of their other academic duties.

Academic freedom also has corresponding obligations which include a high degree of respect for evidence; integrity in the research in accordance with the conventions of the discipline; impartial reasoning; and honesty in reporting both the underlying assumptions and the results of the inquiry.

Within its means, the University of Nigeria seeks to provide the opportunities, infrastructure, facilities and academic freedom necessary to support and maintain high level of scholarship.

Research and scholarship are conducted ethically and in ways that fully respect human rights as defined in law. Individuals are expected to use their right for academic freedom responsibly, with respect for the



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is appropriate to and consistent with the individual's University

University of Nigeria faculty members and other researchers as appointed by the University of Nigeria are members of an educational institution whose special position in the world imposes unique obligations, and as such as a group must be cognizant of their position as institutional representatives. When such persons exercise their rights for academic freedom or through individual rights as independent citizens, they should be free from institutional censorship or discipline, but must nonetheless recognize that the public may judge not only their personal credibility but also their profession and their institution by statements, publications or public pronouncements. Hence, faculty and researchers shall be accurate; shall exercise appropriate respect for the opinions of others; and shall clearly indicate whether they are presenting personal rather than institutional views, as the former opinions clearly fall outside the purview of rights associated with academic freedom.

Academic freedom does not confer legal immunity from either criminal prosecution or from a civil action, whether from a claim in damages by a third party or seeking of indemnification and recovery by the University of Nigeria, nor does it prevent peer evaluation as conducted or approved by the University of Nigeria or by other academic, research or professional bodies in the researcher's field, whether within or outside the University of Nigeria.

All members of the University of Nigeria community who are engaged in research and scholarly activity in the course of their academic appointment, or who are otherwise authorized in writing by the University for purposes of research and investigative endeavours as governed by this policy, are individually accountable to comply with this policy. The University of Nigeria will take appropriate action for breach of this policy.

Academic freedom in the University of Nigeria must be based on institutional integrity, rigorous standards for enquiry, which must follow the university's set research and educational priorities.

3.3 Research Co-ordination And Management

All the research activities in the University of Nigeria shall be centrally co-ordinated through the office of the Research Directorate (RD). The RD is the central coordination office of research and development in the University of Nigeria. The day-to-day activities of the RD will be co-ordinated by a Director to be recruited through an internal advertisement and subsequent interview for a tenure of 2 years that is renewable depending on performance to be determined by a vote from all sub-units of the RD. Appointment of Director of the RD must always be seen to rotate across faculties and departments. The Director shall be the chairperson of the University-wide Research Committee and the Research Office shall be the Secretariat for the Committee. The RD office will also have at least two research officers, who will work with the Director, in the rank of Senior Research Fellow/Senior Lecturers attached to it, for a period not exceeding 2 years after which others from other departments and faculties are appointed. The RD will also have a secretary, a typist and a messenger attached to it.

is attached to it each to be headed by a deputy Director. These are the Senate Research Grant Committee and Consultancy Division. The three divisions, except the Senate Research Grant Committee (except on express request) will be coordinated by the Research Activity Coordination Office (RACO) which will also serve as the research clearing house for the University of Nigeria. The Academic Research Division will have different research units attached to it, namely, Faculty Research Committee, Departmental Research Committee and Research Ethics Committee. The Consultancy Division will have two major units - University academic and Research based Companies attached to it, namely, the University of Nigeria Consultancy Services Limited and the University of Nigeria Press Limited. The Research Ethics Committee will house four committees namely Biological safety committee, Chemical and Radiation committee, Animal Experimentation Ethics Committee, Human Experimentation Ethics Committee.

3.3.1 Research Activities Coordination Office (RACO)

The RACO will coordinate the activities of the two research divisions, and where the need arises assist the Senate Research Grant Committee, under the supervision of the Director of RD. The Office will also serve as a research proposal clearing house for the entire directorate. The RACO will have a unit head of rank not lower than a Senior Lecturer that must have obtained his/her PhD. Being a research clearing house it will have a minimum of 2 ex-officio members each elected from faculties across the University. The team will form the group of experts responsible for final inputs on research proposals. All proposals to be sent out of the University for any form of funding will go through the office for final vetting before submission.

All research proposals shall be approved by the Research Directorate. The research proposals involving animals, human subjects, genetically modified organisms and radiation materials shall be approved first by the appropriate Departmental and Faculty ethics committees before being forwarded to the relevant Central ethics Committee to ensure compliance with standards and guidelines spelt out in the policy. Applications for ethical approvals must be granted or rejected, as the case may be, within 21 days of receipt of the application. Any change in protocol must be notified and revalidated by the appropriate ethics committee. All research proposals will be subject to peer review at the Departmental and Faculty levels before they are submitted to the Research Coordination Activities Office for final recommendation to the RD. In case of student projects, supervisors must take all reasonable measures to ensure that student research is conducted in compliance with the research policy.

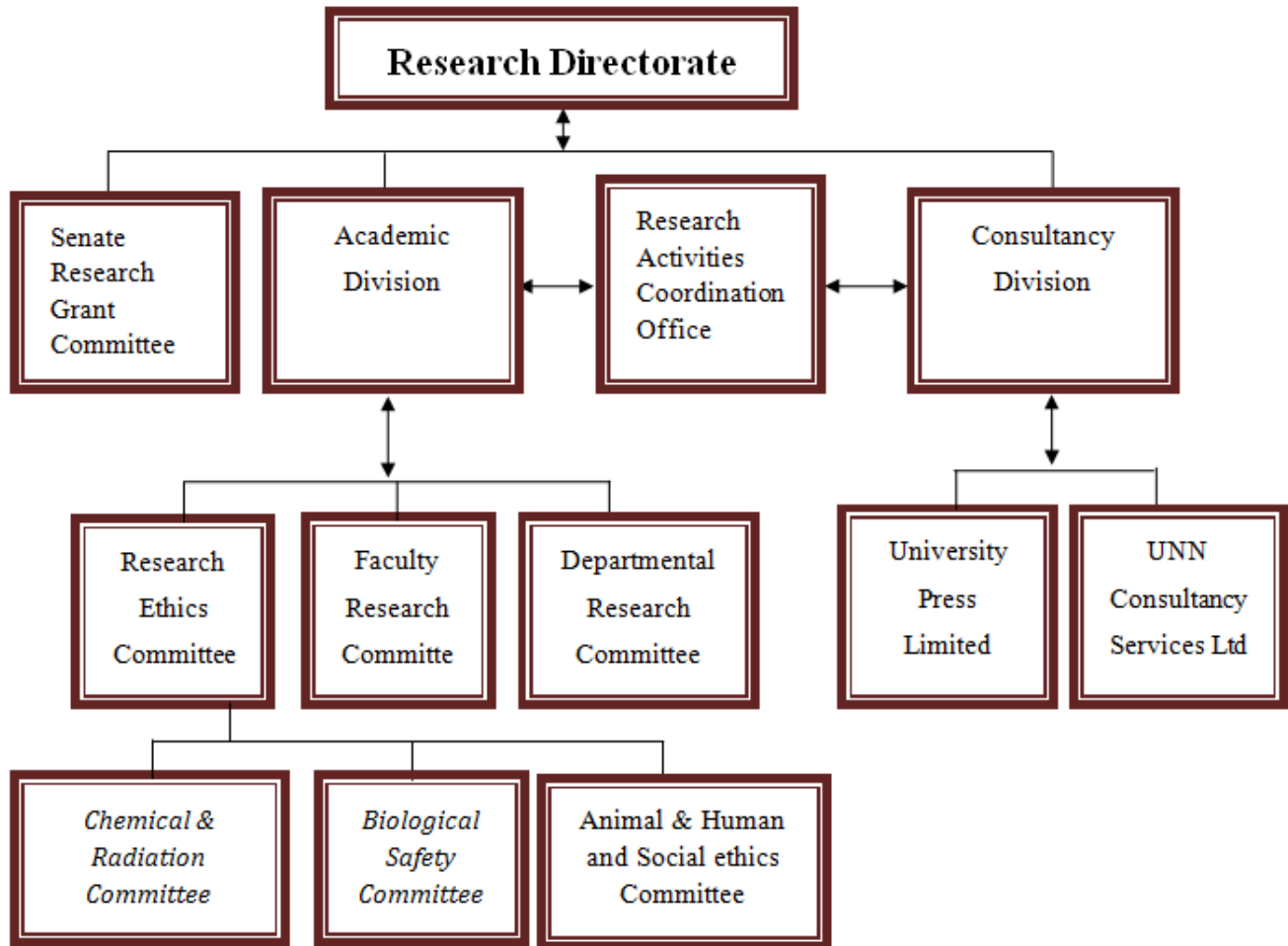


Figure 1: Overall Research Administration

3.4 Research Grants and Funds

i. Basic Policy

The university recognizes the freedom of staff and students to engage in research activity provided that research for and on behalf of the university or using the university's resources does not, in any way, create or have the potential to create a conflict of interest or compromise the integrity of staff, students or the university or compromise universally acclaimed ethics in research which the university shall strive at all times to uphold. Notwithstanding this, the university reserves the right to identify priority areas to which resources may be targeted in line with the desire to create national and international centres of excellence. These priorities may change from time to time in accordance with national and global imperatives.

ing research in the University:

Proposals for funding should emphasize capacity building and mentoring. Research proposals with the capacity to impact on training of junior researchers may be given priority funding. Consequently, proposals that are linked to postgraduate research shall be encouraged.

- ◆ Marketable research projects shall be encouraged. Proposals that do not clearly demonstrate ability to improve the local and international image of the University by way of publication and research dissemination plan shall not be considered.
- ◆ Research proposals should clearly state the portals for the dissemination of research findings. Projects that are not able to clearly state the possibility of producing publishable materials and / or patents shall be discouraged. Proposals should state target journals or outlets for the dissemination of data generated from the research. Researchers, who are unable to creditably publish the result of funded project, may not be able to access grants in the future except an acceptable reason is given as to why funded research is not published as planned in the application.
- ◆ It is suggested that travel and logistics support should not constitute more than 20% of total grant funding. Use of grant fund for purchase of research equipment that will outlive the funded project shall be particularly encouraged. SRGC shall not encourage the use of university grant for the purchase of personal computers and personal accessories, although high capacity accessories (such as enhanced printers) that may serve other members of the faculty may be considered.
- ◆ Each funded project should, in addition to the journal publication, be able to sponsor participation in and presentation (poster or oral) of at least one paper at a national or international conference. Participation at local conferences for the presentation of results of SRGC funded research should be financed from the grant (and be provided for in the application) and not be charged to other university travel support.
- ◆ Research proposals should incorporate sustainability statements. Funding of pre-existing (externally funded) and successful research shall be particularly encouraged where such support shall lead to advancement of existing project.
- ◆ Proposal for counterpart funding of externally funded project are particularly encouraged. Such applications must be accompanied with a full copy of the externally funded proposal including financial and expenditure plan.

ii. Internally Funded Research Grants

University of Nigeria Senate Research Grant (Standard Grant)

The policies pertaining to Senate Research Grants shall derive from the University Research Policy and decisions relating to the award, management and control of senate research grant shall be as published

Research Grant Committee (SRGC) shall exercise broad discretion within to decide, among others, on the number and maximum amounts of grants, timing of grant calls, application details and deadlines. The committee shall also decide priority research areas and sundry.

Senate Research Grant shall be in four categories viz:

1. Beginners Research Grant

This grant is for members of academic staff who are at the early stages of their career (Assistant Lecturer ó Lecturer 1). In all cases, the application must have a research mentor (ie senior academic) attached before it will be approved.

2. Senior Academics Research Grant

This grant is for members of Academic staff from the rank of senior lecturer to professor. The research proposal for the grant must be demand-driven targeting at least one local problem.

3. Group Research Grant

This grant is essentially for collaborative research preferably those with multi or trans disciplinary approach.

4. Equipment Grant

This grant is for the purchase of multi-user research equipment which may be put in a central laboratory for common use

iii. Externally Funded Research Grants

All researchers are strongly encouraged to pursue external funding to support their research and attract additional financial resources to the University. The RD shall assist in the peer review of all research proposals prepared for external funding. The directorate shall also assist in finding funders for prospective researchers through electronic databases and individual consultations and from time to time distribute newsletters or web-based announcements concerning available funding opportunities. All researchers are therefore encouraged to consult with the RD in the early stages of proposal preparation to receive the specific guidelines of the prospective granting agencies.

Sponsored Research

1. The university should ensure that all sponsored research should be compatible with regular programmes conducted by the University.
2. Research funds should not be sought or accepted by the University simply because they are available but because they have the potentials to strengthen its capacity to achieve its primary mission.

work performed under the direction of the RD, sponsored research freedom of inquiry and the rights for publication must be fully guaranteed for the researcher and the university. The University of Nigeria recognizes the legitimate proprietary concerns of industrial sponsors. Where appropriate, publications can be deferred for a limited period of time in order to protect patent or other rights as agreed between the university and external sponsors. The Deputy Vice Chancellor (Academic) shall have final say as to the length of such deferment. Similarly, on those occasions where the University has accepted a sponsor's proprietary information as necessary background data for a research project, arrangements can be made for the sponsor to review proposed publications in order to identify any inadvertent disclosure of such data.

iv. Grants for Conference Attendance

Local Conference (Conference within Nigeria)

For purpose of this grant, a local conference is a conference holding within Nigeria even if it is of an international stature. This grant offers partial support for travel to conferences and workshops and other academic activities. This grant shall be administered by the Senate Research Grants Committee in consultation with the Vice Chancellor who shall have the final authority to approve / refuse a travel support. The Vice Chancellor may approve directly or through the DVC Academic.

Basic Policy

- ◆ Subject to availability of fund, all members of the academic staff on regular full time employment with the university shall, upon spending not less than two academic sessions in full time employment with the university, be entitled to a maximum of one (1) support to a National conference / workshop or academic activity with relevance to the extant research focus of the Department or unit in a year of 12 calendar months.
- ◆ Preference shall be given to attendance to a meeting of the researcher's national professional body or to such other conference, being determined to be relevant to the professional development of the researcher, and able to enhance the visibility of the University of Nigeria.
- ◆ Participation at the activity shall be defined to mean presentation of a paper or poster or an exhibition or such other form of active participation / presentation as may, from time to time, be defined for purpose of this support. Support to attend a training workshop, symposium or a study institute may not be contingent on the candidate presenting a paper or poster if such is not part of the meeting.
- ◆ A researcher who is a recipient of a standard grant in which provision has been made for local travels may not be eligible for another travel support for the same period during which the regular grant fund was utilized (counting from month of first accessing the grant). A second travel support may be approved for such a grantee if the first has been utilized, and where further research result dissemination is justified. A member of a funded research team who has not travelled using the travel grant is eligible for travel



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for travel grant of the nature envisaged here for 12 calendar months, including the travel support.

Some Considerations

- a. Intending participant shall provide the research office a minimum of sixty (60) days notice to the conference or workshop.
- b. Application for academic travel support must be made in the prescribed academic travel support application form (SRGC ATS 01) submitted in triplicate through the SRGC to the Vice Chancellor (DVC Academic), and must provide full details relating to the conference including evidence of support or lack of same from the conference organisers.

The SRGC shall from, time to time, advise the Vice Chancellor on standards for local academic travel support.

International Conference (Conference outside Nigeria)

For purpose of this grant, an international conference is a conference holding outside Nigeria. This grant offers partial support for travel to conferences and workshops and other academic activities holding outside Nigeria. This grant shall be administered by the Senate Research Grants Committee in consultation with the Vice Chancellor who shall have the final authority to approve / refuse a travel support. The Vice Chancellor may approve directly or through the DVC Academic.

Basic Policy

- ◆ Subject to availability of fund, all members of the academic staff on full time employment with the university shall, upon spending not less than two academic session in full time employment with the university, be entitled to a maximum of one (1) support to an international conference / workshop or academic activity with relevance to the extant research focus of the Department or unit in 3 calendar years.
- ◆ Preference shall be given to attendance to an activity in the researcher's critical research area (attestation of the Head of Department shall be given consideration in assessing application for support), and to activity that shall enhance the international visibility of the University of Nigeria.
- ◆ Participation at the activity shall be defined to mean presentation of a paper or poster or an exhibition or such other form of active participation / presentation as may from time to time be defined for purpose of this support. Support to attend a workshop, symposium or study institute may not be contingent on the candidate presenting a paper or poster if such is not part of the workshop.
- ◆ Staff who receive support to attend and participate in an international conference or workshop shall be required to present a departmental or faculty seminar or workshop and submit a brief narrative report of

retirement / final report on the grant. It shall be the responsibility of the research office of the fixture for the seminar or workshop where applicable and ensure that the research office is represented at such a meeting.

Some Considerations

Intending participant shall provide the research office a minimum of ninety (90) days notice to the conference or workshop. A notice of sixty days (60) may be considered if there is evidence, that the staff having applied to conference organizers earlier than 90 days to commencement of the conference could not obtain a confirmation of participation earlier than 60 days to start of conference. Application for international academic travel support must be made in the prescribed academic travel support application form (SRGC ATS 02) submitted in triplicate through the SRGC to the Vice Chancellor (DVC Academic). Application for international travel support must provide unequivocal evidence of having applied for travel support from organizers of conference and the non-availability of such support from the conference secretariat. SRGC may request evidence of visa application or procurement for processing of application. Applications submitted retrospectively shall not be considered by the SRGC.

The SRGC shall, from time to time, advise the Vice Chancellor on standards for supporting travels for academic purposes.

In considering application for international travel support the SRGC shall consider the following:

- ◆ The general level of the applicant's participation in scholarly /professional national associations. Candidates who show no evidence of prior participation in national/ local academic or scholarly activity shall not be funded to attend international conference/ workshop
- ◆ When the applicant last received similar support, (preference is given to those who have not been supported recently (i.e., within the last 48 calendar months.)
- ◆ Detailed information (in print) relating to the meeting (acknowledgement of first letter of application if travel support application is made less than 90 days to commencement of conference/ workshop; letters of acceptance of presentation and/or an invitation to participate) must be included.
- ◆ As a rule, no awards will be made retrospectively. However, the Vice Chancellor may grant waiver to this rule. It shall be the responsibility of the applicant to obtain this waiver. Application for waiver must be made to the Vice Chancellor prior to travel. In the event of a waiver, a retrospective application must be submitted not later than one week from the end of the conference or as soon as the waiver is obtained if latter. Such a retrospective application must include evidence of conference participation (including date and photographs taken at presentation or poster session) and a copy of the published abstract of proceedings.
- ◆ Other than for staff of the rank of lecturer II and below, any academic who has not published in a very high quality / internationally visible peer reviewed medium in the last 30 months may not apply for support to attend an international conference. Preference shall be given to publications that have high *impact factor* or *citation index* in disciplines whose principal media of publications have impact factors.

Media are not readily available, consideration shall be given to very works that are properly published and internationally visible. (Mere availability of a material or journal on the Internet may not be taken to imply "very high quality peer reviewed scholarly works that are properly published and internationally visible" as used here). SRGC may not accept editor's acceptance letter as evidence of publication unless it is a high value international medium with proven / verifiable long publication waiting list/ time.

- ◆ Staff (subject to the rank considerations stated in the paragraph above) who does not show any evidence of peer reviewed publication in the last 36 months may be denied international academic travel support. Consideration may be given to staff members who have served the university for less than 36 months and those who, being active doctoral students in the last 24 months have shown remarkable progress as attested to by the head of Department or the Chairman of Departmental Research Committee or Chairman of the Departmental Postgraduate Committee (not being the candidates supervisor). Such staff should have attended and participated in a local/ national conference.

3.5. Communication of Research Findings

3.5.1 Publications

For the purpose of this research policy, the University of Nigeria recognizes research as an original investigation undertaken in order to gain knowledge and understanding. It typically involves enquiry of an experimental or critical nature driven by hypotheses or intellectual positions capable of rigorous assessment. It is an independent, creative, cumulative and often long-term activity conducted by people with specialist knowledge about the theories, methods and information concerning their field of enquiry. Its findings must be open to scrutiny and formal evaluation by others in the field, and this may be achieved through publication or public presentation. In some fields, the results of the investigation may be embodied in the form of an artistic work, design or performance. Consequent upon this, research may be said to have been carried out if the result is published in a form that is available to the wider world.

The university therefore places a premium on the publication of results of research carried out by staff and students in the most visible media available. Staff and students of the university are encouraged to publish the results of their research in such media as will enhance the international visibility and acclaim of the university and her researchers. In line with the importance placed by the university in the publication of research results, the comparative assessment of theses in the university for the purpose of university level awards and or presentation for any national / international awards shall be based on profiles that place not less than 50% weight on the publications (quality and quantity taken together as may be developed from time to time by the assessing unit) arising from such theses. Similarly, awards to academic and research staff shall emphasize publications of such staff.

The University also recognizes research and research-led teaching as primary responsibilities of its academic staff. It places value on fostering, publishing, and disseminating research of the highest international quality and university research should serve to develop intellectual independence and promote community learning.

Government funded research

The university research should aim to serve a public rather than a private purpose and research results should be widely disseminated in very timely manner. The University encourages her researchers to publish the result of their research efforts in the internationally most visible and highest ranking medium in their field. Even results of research that address local and peculiar problems are better published in the internationally most visible journals. Such publications serve the interest of the university, the researcher and the target audience better because of their reach. Where it is necessary to serve specialized local interest, dissemination of research result through local conferences may be used to augment the need for internationally visible publication.

While the university encourages publication in very reputable and visible local journals, it expects to remain internationally relevant by publishing her best researches in the most competitive international journals. (It is not the primary duty of the university to work for the survival of local journals. Therefore the argument related to need to support local journal by publishing in them does not arise).

All works published by staff and students of the university should clearly show the affiliation of the researchers to the university. It is also recommended that works published by staff and students of the university shall bear University of Nigeria domain specific email address relating the investigator to the university. These make for greater internet visibility of the university.

Grantees who do not publish the result of their research may be denied further research support. Publications arising from university grant funded project must have a member of the research team as the principal investigator and corresponding author. Only such publications acknowledging university support may be accepted as evidence of publication of the result of grant funded research.

The University of Nigeria also recognises the legitimate proprietary concerns of industrial sponsors. Where appropriate, publications can be deferred for a limited period of time in order to protect patent or other rights as agreed between the university and external sponsors. The Deputy Vice Chancellor (Academic) shall have final say as to the length of such deferment. Similarly, on those occasions where the University has accepted a sponsor's proprietary information as necessary background data for a research project, arrangements can be made for the sponsor to review proposed publications in order to identify any inadvertent disclosure of such data.

The contribution of any funding body must be acknowledged in any publication arising from such funded research. It is mandatory for SRGC research funding to be acknowledged in publications arising from such research.

ii. Publication of Result of Private, Contract and Commercial Research

The University expects that the result of any research carried out by its staff and students shall be published irrespective of the source or nature of funding of such research. Therefore research contracts shall be expected to have in them clause to the effect that:


Project Supervisor / Principal Investigator and researchers may, at any time, publish the findings of the research in the form of discussions at scientific meetings, review articles, or scientific papers in research journals or such other statement as shall imply that the researcher have free hand to publish the result of the research.

However, the University recognizes that for certain reasons certain research results may not be published immediately or over certain periods, or that the publication of the result of certain research may be delayed. In that case it can be agreed that any paper intended for publication be submitted to the sponsoring agency for their information and comment at a reasonable time before the expected date of publication or release. The sponsoring agency may also be able to review technical papers prior to their publication. Where a sponsoring agency requires that publication of research result be delayed for reasons of patenting or for such other economic considerations then the approvals of Deputy Vice Chancellor (Academic), the Patents and Innovations Office must be obtained. Where publication of research result may be delayed for security consideration or for reasons of "National Interest" an approval shall have to be obtained from the Vice Chancellor at time of signing of research contract to the effect that the result of such investigation may not be placed in the public domain for such periods as the agency may require and agree with the university. The university reserves the right to seek special compensation for conducting such research and may negotiate this at the time of initial contract.

iii. Publication of other externally funded research

The result of research funded by international or multilateral agencies shall be subject to need for speedy publication similar to SRGC and government funded research. The University expects that the result of any research carried out by her staff and students shall be published irrespective of the source or nature of funding of such research. Therefore research contracts shall be expected to have in them clause to the effect that:

The sponsoring agency agrees that the Project Supervisor / Principal Investigator and researchers may at any time during the course of the research publish the findings of the research in the form of discussions at scientific meetings, review articles, or scientific papers in research journals or such other statement as shall imply that researcher have free hand to publish the result of the research.



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4.0 Scope of the Policy

This is a university-wide policy.

5.0 Responsibilities for Delivery

5.1 Research Directorate (RD)

- The Research Directorate shall have the overall responsibility for the management of the research affairs of the University of Nigeria. The RD shall regulate all activities related to internal and external grants and research that are implemented in the university by all full time and part time staff of the university or that deploy other resources of the university.
- The RD shall also administer / superintend all grants made by the university or by any external body the implementation or outcome of which may impact the name and integrity of the University of Nigeria, or the implementation of which shall draw on the time of staff or other such human and material resources of the university as may from time to time be defined by the university.
- The RD shall provide information and services in support of research activities carried out within the University of Nigeria and funded from both internal and external sources including government agencies, non-commercial foundations, trusts and charities.
- The RD shall assist the University community in gaining and managing research grants and contracts, while also taking strategic actions to ensure that the University engages effectively with funding bodies, end users and the private sector nationally and internationally.
- The RD shall spearhead the development of outcome-focused funding applications across disciplines and organizations and supervise and coordinate the development and implementation of departmental, faculty and university level research policy and strategic plan in line with the strategic plan of the University of Nigeria.

Other research related services provided shall include but are not limited to:

- ◆ Identifying funding opportunities and providing the support necessary for members of the university research community to apply for and access such funds,
- ◆ Targeting funding opportunities to research disciplines,
- ◆ Proposal review and assistance with submission,
- ◆ Interpretation of funder guidelines and the monitoring of the implementation of research and contract requirements to ensure maintenance of excellent relationship between university and funders,

acceptance

Establishment of research accounts (with the University Bursar) and assisting grantees with the management of external grants so as to ensure the protection of the research integrity and external image of the university

- ◆ Recommending appropriate corrective measures and sanctions in cases of abuse of research ethics
- ◆ Liaise with the offices of patents, innovations and research incubation in the commercialization of research results and the protection of the commercial and economic interests of the university in matters related to the commercialization of results of university's research output (management and protection of intellectual property rights of the university).
- ◆ Advise the university management in matters related to administration of external research funds and grants to members of the university staff
- ◆ Monitor the research environment and define qualitative and quantitative performance indicators for research in the faculties/schools and Departments.
- ◆ Develop and implement profiles and benchmark for the evaluation of individual, departmental and faculty research performance / output
- ◆ Advise the University senate on appropriate incentives and reward systems taking into account the quality, quantity, scope, national and international impact of research output.

Terms of Reference of the RD

1. To assess research projects (proposal) submitted by members of staff and approve those with merit (for funding)
2. To administer the university research fund and such other funds as may be placed at the disposal of the university for research purposes
3. Implement the Research Policy of the University as approved by the University Senate
4. Advise the University on review of the research policy as necessary/ implement periodic review of the research policy as necessary.

Advise the Vice Chancellor on research direction, research strategy and research policy on an-ongoing basis

Advise the Vice Chancellor on areas of research which university should actively support

Monitor the performance of areas receiving active support

Obtain information on faculty and departmental research plans and output, and integrate these in the wider university research plan for purposes of performance monitoring and evaluation and such other purposes as the university may determine.

Consider any other matters referred to it by the Vice Chancellor and the University Senate.

5.1.1 The Research Office

The Research Office is the secretariat of the RD. It will, in addition to facilitating the works of the committee, provide information and services in support of research activities carried out within the University and provide and manage the database relating to same. In addition it will provide information related to availability of research funds from public domain sources including government agencies, foundations, trusts and charities, etc. The Office is to assist the University community in gaining and managing research grants and contracts, while also taking a strategic approach to ensure that the University engages effectively with funders, end users and the private sector nationally and internationally.

The services provided by the research office shall include but are not limited to:

- ◆ Identifying funding opportunities,
- ◆ Targeting funding opportunities to research disciplines,
- ◆ Proposal review and submission,
- ◆ Interpretation of funder guidelines,
- ◆ Budget assistance, contract review and acceptance, and
- ◆ Establishment of research accounts and help with management of grant.

The research office will also provide secretarial services for the Policy Review Committee provided for in this policy document and the Research ethics committee, the animal ethics committee, biological safety committee and chemical and radiation safety committee.

with the UN Consultancy Services Ltd, the Innovation Office, the Research Office to ensure that the university and all stake holders profit maximally from the research efforts of the university.

5.2 Senate Research Grant Committee

- ◆ Monitors the research environment and define qualitative and quantitative performance indicators for research in the faculties/schools and Departments.
- ◆ Develops and implements profiles and benchmark for the evaluation of individual, departmental and faculty research performance / output
- ◆ Advise the University senate on appropriate incentives and reward systems taking into account the quality, quantity, scope, national and international impact of research output.

5.3. Academic Division

5.3.1 Faculty Research Committee

There shall be for each faculty a Research Committee. Each academic department shall be represented in the committee by an academic staff member of rank not less than Senior Lecturer. Where the Head of Department is not Chair of the Departmental Research Committee, the Chair of the Departmental Research Committee shall be a member of the faculty research grants committee.

It shall be the responsibility of the faculty research committee to superintend the implementation of the research policy of the university in the faculty and to make such faculty specific research guidelines as shall enhance the university research effort and complement the research policy of the university

- ◆ Faculty chair of research committee shall maintain a list of members of the faculty research committee as well as academic and research staff of the faculty.
- ◆ Each faculty committee shall be encouraged to aggressively write / apply for grants external to the university and shall be encouraged to provide grant writing and management training for members of the faculty from time to time.
- ◆ Committee shall be required to independently or in collaboration with the Senate Research Committee and /or the DVC (Academic) constitute ad-hoc committee for the purpose of making external, departmental, faculty or university level applications. The Research Office shall maintain a list of all members of Senate Research Committee for ease of communication in all matters relating to this policy. Members are encouraged to apply these routes to quickly disseminate information relating to external grant calls.
- ◆ Faculty committees that secure external funding shall be guaranteed university sustainability support through the Senate Research Committee subject to availability of fund. This is intended to encourage the sourcing of external research funding for the university research

When a department has requirement for counterpart funding, applicants shall be consulted with the SRGC / research office prior to making an application. As much as possible, the university shall provide counterpart contributions for research in areas considered priority and subject to availability of fund. Specifically, the university shall not refuse counterpart contribution in areas related to utility, space (including bench space), personnel cost of full time staff of the university for the conduct of research that is consistent with the provisions of this policy.

- ◆ Faculty Research Committee shall take such actions as necessary to encourage the emergence of strong faculty research teams and the growth of interdisciplinary research within each faculty with a view to the emergence of research centres of excellence.

5.3.2. Departmental Research Committee

A Research Committee shall be established in each academic department of the university. The committee shall be constituted such that various sub-disciplines or stress areas are represented by the most senior researcher/ academic in the sub-discipline (acting as team leaders). The committee shall be chaired by the HOD, a professor or the chairman of the departmental postgraduate committee. The chairman of the committee, not being head of department shall be a member of the faculty research and grants committee.

5.3.2.1 Departmental Research Policy, Research Strategic Plan and Output

Each department shall have clearly defined research focus and this shall be contained in the research policy of the department which shall be prepared by the departmental research committee. The short / medium term research focus of the Department need not reflect all the components of the programme stresses. Departmental research focus shall reflect the personnel strength of the Department or such areas as can be developed in the short term into thriving research entities based on available funding. When national and international funding places priority in an area, it may be strategically important for departments to seek collaboration in order to develop such research focus.

- ◆ The departmental research committee shall set the short, medium and long term research and innovation policy or priority for the department.
- ◆ The departmental research committee shall be responsible for the design and periodic review of the departmental strategic plan for research. The departmental research programme and strategic plan shall be reviewed not more than once in three years and not less than once in five years. Departmental research focus must be consonant with the strategic plan of the host faculty and the university.
- ◆ The departmental research committee shall set / monitor assessment benchmarks and deliverables in terms of output (academic staff research output, including publications) and funding to enable periodic review of the research performance of department in line with the departmental strategic plan.

Committee shall be encouraged to develop appropriate strategies for sources outside of the university. In particular, departmental grant applications to external funding sources will receive university support, including commitment to appropriate counterpart funding.

5.3.2.2 Postgraduate Students and Postdoctoral Research

Within the University of Nigeria

Postgraduate students and Postdoctoral research works make significant contributions to the research output of the University of Nigeria. Therefore, admission of graduate students and Postdoctoral fellows into a department should, as much as possible, be tailored to fit in the extant short to medium term research focus of the department. This will make for both a deepening of the expertise and implementation of the research focus as well as support speedy completion of postgraduate research by concentrating research effort in a department's best funded and supervisory supported areas. Accordingly, both inexperienced and experienced supervisors are encouraged to work together to provide interactive, continuous and systematic supervision.

In Foreign Universities

Postgraduate students and Postdoctoral fellows, who are granted fellowship to carry out research in foreign universities, shall be given specific mandate in the area of research. Technology transfer should be the key reason for sending the postgraduate students to foreign universities. To achieve this, the research proposal of the postgraduate student shall be approved by RD before the fellowship is granted.

5.4 Research Ethics Committee

5.4.1 Research Ethics, Misconduct and Discipline of Research Staff / Students

i. The University of Nigeria is concerned that members of the university meet the highest ethical standards in the conduct of research and teaching. The research policy of the university therefore, establishes procedures for handling instances of suspected violation of research ethics in all disciplines - scientific and non-scientific - regardless of the source of funding support.

All matters related to ethics in research shall be administered by the University of Nigeria Ethics Committee and relate to all breaches in research ethics. Breaches in research ethics shall be defined to include misconduct such as plagiarism, falsification of data, abuse of confidentiality, suppressing or distorting contradictory data, deceptive publication attribution, and gross negligence; violation of research regulations; undisclosed conflicts of interest; misuse, misappropriation, misapplication or misrepresentation of research funds (irrespective of source); and failure to report observed misconduct.

The Vice Chancellor shall take action to investigate breaches to research ethics and sanction defaulters in line with the existing policy on staff conduct as may be related. The Vice Chancellor shall ensure that in the handling of all matters related to breaches and allegations of breach in research ethics, confidentiality is maintained in all investigations. Persons who report a suspected violation in good faith are protected, as



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standards of research ethics where no serious violation is in fact violations shall be investigated by a university committee appointed by the vice Chancellor.

5.4.2. Research Involving Animal Subjects

The University of Nigeria recognizes the important contributions to knowledge that arise from research and instruction employing animals as subjects. It also recognizes its responsibilities to ensure that such animals are treated humanely, that they are maintained under the best possible conditions of health and tranquillity, and that the public is protected from possible health hazards. To ensure compliance with appropriate policies and regulations, the university shall establish an Animal Experimentation Ethics Committee (AEEC). All research and teaching procedures involving live vertebrate animals must be reviewed by the Committee.

Any research or teaching involving animal experimentation must fulfil appropriate national legislation and protocols guiding the use of animals in research, ensuring humane care and avoiding unnecessary pain and distress to experimental animals. Researchers must obtain appropriate review and approval prior to embarking on any experiment involving animals. Applications to this effect must detail the type of procedure, animal species involved, number of animals, protocol, duration of experiment and the end point of the experiment.

The following standards of animal care shall apply in all cases of experimentation involving animals.

1. Each animal colony must meet internationally approved standards.
2. Physical facilities shall provide adequate light, heat, ventilation, potable water;
3. All animals shall be protected from extremes of temperature
4. Size of cage used shall permit each animal to move about freely and to assume natural postural positions;
5. Cages shall be sanitized before introducing new animals.
6. Feeders and watering devices shall be cleaned as often as necessary to prevent contamination;
7. Carnivores and primates shall be housed in such a manner as to preclude contamination from their excreta;
8. Animals shall be fed daily or have feed available at all times;
9. Feed and bedding shall be stored in such a manner to ensure that it will be clean and free from vermin;

be cleaned as frequently as necessary to prevent accumulation of excreta which would be hazardous to the animals' health. Excreta shall be removed from dog, cat, and primate cages at least daily;

11. In those cases in which the experimental procedure will cause undue pain or discomfort to the animal, the pain or discomfort shall be minimized by the use of tranquilizers, anaesthetics, or analgesics;

12. It is recognized that occasional exceptions in the conditions of feeding, housing, and care specified in these regulations may be required in order to carry out legitimate experimental designs and procedure. The experimenter must always be able to justify such modifications as essential to accomplishing the purposes of the experiment. However, such modification shall not be made at the expense of sound sanitary practices. If the necessary modifications involve substandard or unusual conditions or procedures, prior approval of the AEEC must be secured.

Membership of the committee shall comprise a Chairman to be appointed by the Vice Chancellor for a maximum period of two years

Dean Faculty of Veterinary Medicine or Rep	member
Dean Faculty of Agric or Rep	member
Dean Faculty of Pharmaceutical Sciences or Rep	member
Dean Faculty of Law or Rep	member
Dean Faculty of Biological Sciences or Rep	member
Dean Faculty of Medicine or Rep	member
Two other members appointed by the Vice Chancellor	
Chairman Senate Research and Grants Committee	member
Secretariat	Research office

The Committee shall have the responsibility to establish policy and procedures for the approval of the use of animals for scientific experimentation and teaching projects in compliance with national regulations on humane treatment and welfare of animals and to ensure that all applications have been peer-reviewed for scientific merit. The committee shall have the responsibility to review and approve requests for research involving animal subjects carried out in the university / by staff of the university. The committee shall publish, from time to time, guidelines for the review of animal experimentation.



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Research involving human subjects must ensure that proper consideration is given to rights of individuals, the risk involved, that informed consent are obtained from subjects prior to conducting the protocol while ensuring that anticipated benefits and the importance of knowledge accruing are explained to the subjects. This policy applies to all research involving human subjects whether the research is sponsored by the university, conducted under the direction of a university employee or involves the use of a university facility.

The Research Office shall require that all protocols and questionnaires are reviewed and approved according to national and international standards as appropriate. In addition, the university will require that appropriate additional safeguards be put in place in research that involves pregnant women, prisoners, children, the disabled, the aged or other vulnerable groups. It shall be the responsibility of the researcher / principal investigator to ensure that records of consent forms are kept for a period of 3 years after the completion of the research activity or 2 years after the publication of the work.

The Research Office shall ensure that University staff members are kept abreast of Health and Safety regulations regarding human subjects.

The University shall set up Human Experimentation Ethics Committee (HEEC) whose responsibility is to establish policy and procedures for the approval of all research involving human subjects.

Membership of the committee shall comprise a Chairman to be appointed by the Vice Chancellor for a maximum period of two years

Dean Faculty of Medicine or Rep	member
Dean Faculty of Pharmacy or Rep	member
Dean Faculty of Health Sciences and Technology or Rep	member
Dean Faculty of Dentistry or Rep	member
Dean Faculty of Education or Rep	member
Dean Faculty of Arts or Rep	member
Dean Faculty of Law or Rep	member
Dean Faculty of Vet medicine or Rep	member
Dean Faculty of Biological Sciences or Rep	member
Director Medical Services or Rep	member
Head Department of Psychology or Rep	member



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Vice Chancellor

member

Secretariat

Research Office

The committee shall have the responsibility to review and approve request for research involving human subjects carried out in the university/or by staff of the university. The committee shall publish, from time to time, guidelines for the review of human experimentation.

Exceptions: Many student projects that involve human and animal subjects are not intended to or likely to lead to generalizable / publishable results and so may not need to be reviewed by institutional review. Student research which may place subjects at risk, however, whether conducted as course assignments or not, or which is undertaken with the intent of adding to generalizable / publishable knowledge, whether for undergraduate or higher degree thesis, is subject to (HEEC) review. Undergraduate students projects which meet all of the following criteria may not require review by the (HEEC) if in the opinion of the course supervisor and the head of department/departmental research committee no manipulation is involved which may place any of the human subjects at any physical/ medical or psychological risk. Such investigation must not be invasive.

1. Research practical (usually in the form of course-related research projects and/or directed studies), the only objective of which is to provide research experience for the student or data for classroom use, and
2. That do not involve physically or psychologically invasive, intrusive, or stressful procedures or, in the judgment of the instructor, have the potential for placing subjects at more than minimal risk, and
3. Do not involve special populations.

The following procedures are to be followed for all undergraduate and graduate student research projects:

1. The course teachers / coordinators are responsible for screening individual research projects and making the initial determination as to whether a given project meets the above criteria.
2. If a coordinator determines that a research project has as one of its purposes the production of generalizable / publishable knowledge or that it may use members of special populations as subjects or involve risk, the project must be reported to the appropriate committee for review.
3. If there is any doubt as to whether the project should be reviewed by the (HEEC), the chairman of the appropriate committee is to be contacted for assistance. If the Chairman believes that a particular project is subject to regular (HEEC) review, the proposed project must be reviewed.
4. In the event a review is not needed for a particular project, the student researcher and the course coordinator are still obligated to treat their subjects ethically. Students should always obtain evidence of informed consent.



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will be funded (regardless of source) and/or that the results will be published, approval must be obtained.

Once an approved project is under way, an investigator must notify the ethics committee in writing of any changes in the protocol. The committee reserves the right to request clarification or to disapprove the changes.

5.4.4 Policy on Biological Safety / Genetically Modified Organisms and High risk unmodified microorganisms

All staff of the University have obligation to obtain approval from the University Biological Safety Committee before commencing any experiments with Genetically Modified Organisms (GMOs) or that may lead to the production of a GMO. The committee shall have responsibility for assessing the importation, development, containment, field-testing and release of all the GMOs in the University of Nigeria. The committee has responsibility to ensure that the University meets the requirements of all national and international legislations related to the GMO in the University. The Committee shall also assess experimentation with high-risk unmodified microorganisms.

All staff that use, develop or import GMOs must be aware of any statutory obligation of the University of Nigeria to have all GMOs approved by the committee and ensure their proper containment. Applications related to GMOs must be submitted to the University Biological Safety Committee. Approval to work with GMO must be obtained prior to commencement of any experiment or manipulation involving a GMO or that may lead to the production of a GMO.

The Biological Safety Officer nominated by each faculty will be responsible for reporting any accident or incident involving work with GMOs to Research office and the Biological Safety Committee and, in consultation with the Biological Safety Committee, will regularly visit all containment facilities laboratories working with GMOs to monitor and facilitate the safe handling and containment of ongoing experiments involving GMOs. Research grants that involve GMOs or higher risk unmodified micro-organisms must include the committee approval with the research grant application. SEZBC (South east Zonal Biotechnology Centre)

Membership of the Biological Safety Committee shall include a Chairman to be appointed by the Vice Chancellor for a maximum period of two years

- Dean Faculty of Biological Sciences or Rep member
- Director SEZBC or Rep member
- Dean Faculty of Medicine or Rep member
- Dean Faculty of Vet Medicine or Rep member

	member
Dean Faculty of Pharmaceutical Sciences or Rep	member
Dean Faculty of Health Sciences and Technology or Rep	member
Dean Faculty of Dentistry or Rep	member
Dean Faculty of Law or Rep	member
2 Knowledgeable members appointed by the Vice Chancellor	
Secretariat	Research Office

5.4.5 Radiation Safety Committee

Every member of staff of the university of Nigeria shall be protected from unnecessary exposure to ionizing radiation. Accordingly, individuals who are in close contact to radioactive materials or radiation sources during the course of their employment shall ensure that the exposure level would not result in harm to the workers or their offspring (occupational dose). The radiation safety committee shall:

1. Establish a radiation safety structure
2. Determine the adequacy of the training and experience before authorizing the use of radioactive materials for research.
3. Review the research proposal for the use of radiation to determine the adequacy of equipment, facilities and safety procedures.
4. Ascertain that the maximum permissible occupational radiation level for keeping the exposure dosage as low as possible.
5. Instruct any authorized researcher on radioactive material or radiation-devices to allow inspections to ensure safe operations.
6. Enforce cessation of any operation involving radiation upon the discovery of inadequate safety procedures.
7. Prepare annual report on radiation research works for RD
8. Advise the Vice-Chancellor regarding matters on radiation research and protection.

The membership of this committee shall include a Chairman to be appointed by the Vice Chancellor for a maximum period of two years

Dean of Health Sciences or Rep	member
Dean of Faculty of Medicine or Rep	member
Dean of Faculty of Vet Medicine or Rep	member
Dean of Faculty of Agriculture or Rep	member
Dean of Faculty of Pharmaceutical Sciences or Rep	member
Dean of Faculty of Physical Sciences or Rep	member
Dean of Faculty of Education or Rep	member
Two Knowledgeable members appointed by the Vice Chancellor	
Secretariat	Research Office

5.5 Consultancy Division

5.5.1 Principles and Guidelines

University of Nigeria Nsukka recognizes that appropriate consulting activities are mutually beneficial to the University and to different communities and the society at large. The University of Nigeria encourages the involvement of its faculties, administrators, and contract staff in consulting activities related to their professional training. The benefits include enhancing the knowledge, expertise and experience of the faculty; assisting in maintaining knowledge of practice and applications; opening and expanding contact and communication with other institutions, organizations, industry, governmental agencies and other clients; and fostering public service activities otherwise unavailable. This in turn may result in improved teaching, research, and service. The following parameters are meant to guide these activities so that the interests of the University of Nigeria community are preserved while the professional knowledge of our members is enhanced. Consulting activities and other remunerative work should be conducted in furtherance of one's service to the University of Nigeria, not at the expense of that service.

Specifically the University, in this, aims at sharing and where necessary transferring knowledge and innovations to the society and the economy, to improve quality of life and sustainability, create opportunities, employment and wealth; improve UNN's engagement and interaction with businesses,



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for, other higher education institutions and the wider society, for ensure that all stakeholders benefit appropriately and fairly from the services rendered.

The provision of professional consultancy services is entirely concordant with these objectives and will contribute to greater interaction with businesses and society, the sharing of skills and knowledge, and the creation of economic opportunity. The University further recognizes staff members' rights to engage in such consulting activities. However, such engagements shall be in accord with the parameters of this policy, the overall visions and missions of the University and/or those of the specific college, School, Institute, faculty or Department, and comply with the standards of the academic profession.

UNN encourages and supports external consulting relationships. They often provide both valuable experience to the faculty in their research and teaching activities and public benefit to the community. The University has an interest in ensuring that faculty members adhere to University policies in consulting arrangements, the consulting relationship between the consultant and the external entity is a personal agreement to which the University is not a party. Faculty members are responsible for complying with the UNN policies typically implicated in outside consulting which sets general limitation on outside consulting arrangements. The University must also ensure that its consulting services do not bring conflicts of interests of any kind or that will be inimical to the University.

The UN Consultancy Ltd is the UNN's commercial arm through which private sector research contracts, consultancy services, and intellectual property management and commercialisation are conducted. This involves: (i) Management of projects/contracts on behalf of UNN research staff, schools, faculties, departments, institutes and centres. (ii) Management of projects (which use both internal and external research staff). (iii) Scouting for Consultancies for research teams, departments, faculties, etc and coordination of Expression of Interests (EOI) for such units (iv) Commercialisation of intellectual property and such other duties as may be delegated to it.

Definition of Terms and Guidelines

In this policy, Consultancy is defined as any form of professional or technical service/s rendered through the appropriate University channel or through links created or initiated by individual faculty with any organization or individual from outside UNN. It consists of the following:

- a) All consultancy services need to have memoranda of agreements expressing the commitments of all involved parties; b) Work of a professional nature, undertaken by the University faculty in their field of expertise, for clients outside the institution, for which some financial return is

the transfer of knowledge and innovations to address a client's
agency will produce some form of contracted output which may be
party or wholly owned by the client; e) The University may not have freedom of publication over
the results of consultancy unless and otherwise explicitly stated in the terms of reference or
negotiated with the client; f) In general, consultancy assignments are short-term contracts, and
may make minimal use of University resources and should primarily involve extra work for
University faculty. However, it is possible to undertake consultancy assignments over a longer
time period provided that the assignments do not compromise regular university duties, and
provided that all costs of the service are covered by the client.

Purpose:

The purpose of this policy is to provide principles and guidelines on consultancy services to be delivered by UNN on the bases of knowledge and innovations gained in academic teaching, research and work experience and provide appropriate policy and procedures to Managers for concluding Research and Consultancy Contracts with Third Parties.

Policy:

All Research and Consultancy Contracts must be negotiated and concluded in accordance with this policy.

5.5.2 Authority for approving Research and Consultancy Contracts

All Research and Consultancy Contracts must be approved by the Director of the Research Directorate.

5.5.3 Guidelines under which the UN Consultancy Ltd can exercise authority

Guidelines for Provision of services by the University

The UN Consultancy Ltd with delegated authority is able to conclude Research and Consultancy contracts for the provision of services subject to the following guidelines:

Criteria set out in all UNN Policies on research practice, intellectual property, health and safety and ethical conduct are met as appropriate;

The contract is costed and priced according to the UNN Costing Policy for Externally Funded Research and Commercial Contracting;

The contract is clearly identified as consultancy or research. Where both activities occur in the same contract, the dollar amount agreed for each is clearly recorded;

The UN Consultancy Ltd, with the delegated authority, is able to purchase or put for sale services as appropriate anywhere in Nigeria and the World.

The UN Consultancy Ltd with the delegated authority is able to conclude Research and Consultancy contracts for the purchase or sale of services subject to the following conditions:

Criteria set out in all UNN Policies on research practice, intellectual property, health and safety and ethical conduct are met as is appropriate;

- The contract is clearly identified as consultancy or research. Where both activities occur in the same contract, the naira or dollar amount agreed for each is clearly identified;

The third party is identified as a contractor (as opposed to an employee) according to the University's Contractors Policy;

The contract details are stored for future use.

Invoicing and Opening of R&C accounts

Research and Consultancy accounts are opened by the Director of Research Directorate and UN Consultancy Ltd;

The UN Consultancy Ltd, with the delegated authority, can open Consultancy accounts provided that all relevant project information (as specified by Director of Research Directorate) is entered into appropriate record;

All invoicing for research and consultancy contracts will take place through UN Consultancy Ltd. UN Consultancy Ltd will initiate invoicing to the external funders or payment to providers following conclusion of the contract.

Additional Guideline

- i. The service should not present a conflict of interest for either the individual or the University of Nigeria. Among other things, this explicitly means that the service should not be an instructional activity that competes or conflicts at any time with the instruction provided by University of Nigeria.

5.5.5 Commercialization and links to Society and Industry

The policy thrust explores and taps potentials for the commercialisation of research results and innovations generated in the university. It will involve market exploration and finding private sector



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the university. The University Consultancy Division shall pursue research and creative works developed in the university.

The management strategies that will be adopted are as follows:

- ◆ Formation of Networks with relevant industries
- ◆ Careful Project Selection
- ◆ Thorough Evaluation of Commercial Potentials of projects
- ◆ Business Plans to Optimize Technical and Commercial Outcomes
- ◆ Project Portfolio Management: Innovation Investment and Funds Management
- ◆ Formation of Intellectual Property and Technology Transfer Office (IPTTO)

5.5.6 Management and Protection of Intellectual Property Rights

The University is committed to the development of intellectual property for research and creative works in the university, commercialisation of the intellectual property and promoting its use worldwide. The Consultancy division will be responsible for the commercialisation of IP rights and creative works accruing from research activity or sales, licensing or assignment of intellectual property acquired by or assigned to the University.

The policy thrust is to obtain and manage intellectual property rights protection for inventions, technologies, innovations and research works in the university, in line with the relevant laws and institutions of the country. Intellectual Property (IP) includes patentable information, discovery, know-how, trade secrets, methods, computer software, designs relating to devices, processes, chemical compounds, treatment, or other which may provide commercial advantage.

The elements of securing and managing the intellectual property rights include:

- To seek and manage copyrights, patents and trademarks for research innovations and products developed in the university
- To stimulate research efforts in creativity and innovativeness
- To promote branding and visibility of the university through intellectual property protection and management
- To ensure that researchers are appropriately and adequately rewarded with benefits and incentives from their intellectual property.

In the management of intellectual property and protection of intellectual property rights, the following rules will apply:

- theses, textbooks, conference papers, workshop papers, unpublished articles shall be vested in the authors. Where researches leading to the theses are substantially (up to 60%) funded by the University, the right-holder shall be the University.
- Courses, materials, contents intended for delivery electronically or over the internet, computer, other related material or electronic means except if sponsored, shall remain the property of the creator.
 - Academic staff and/or students, who think they have patentable research, or a patentable research idea, should contact the Research Directorate before any public or private disclosure. Delivering or publishing a paper before patenting may destroy the commercial value of IP.
 - All Intellectual Property (IP) developed in the university, staff and students shall be assigned to the Research and Innovations Bureau which will make decisions related to its commercialisation.
 - Unless otherwise specifically provided in writing, the ownership of copyright for Software electronic courses, Course materials, Electronic media, Course modules, Laboratory manuals, Syllabi, Sculptural works, Musical or dramatic compositions, Proposals, transparencies, video and audiotapes or cassettes as well as Programmed instructional materials shall be vested in the University if created for institutional purposes either jointly with staff, external sponsors or students.
 - It shall be the right of every person engaged in a research which has potential intellectual benefits to know his/her interest prior to the commencement of the project, assignment or research. Such interest shall be clearly defined in a written agreement duly signed by all parties.
 - The right of any person to withdraw from any research project or assignment at any time is assured, guaranteed and protected; however there should be no disclosure of the work in any form to a third party without the consent of the University.
 - In the case of multiple authors to a copyrightable work, the interest of each author shall be defined from the onset.
 - The ownership of inventions and discoveries shall vest in the University provided that such discoveries or inventions are: substantially funded (up to 60%) by the University; the creator or inventor used equipment, tools, resources, time, assistance, infrastructure, utilities or apparatus owned by the University; the research was conducted with sponsorship gained, negotiated, facilitated or procured or cause to be procured by any staff of the University during the cause of his/her official responsibility.



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f the Research and Innovations Bureau to seek and obtain patents s and inventions in line with the existing laws of the Federal Republic of Nigeria.

- It shall not be lawful for any stakeholder whether it be faculty, department, institute, staff, student or any commercial organization, industry, corporate body or firm to commercially exploit any Intellectual Property assigned to or acquired by the University without first, having obtained in writing or formal agreement from the University such authority or permission to commercially exploit the property.

5.5.7 Revenue Accruing From Intellectual Property

The RD shall manage revenue accruing from the commercialisation of any intellectual property acquired by or assigned to the University, through the Consultancy division, in such a way and manner that ensures equity and fairness to all actors.

Distribution of net proceeds from research activity: All net proceeds accruing from research activity or sales, licensing or assignment of intellectual property acquired by or assigned to the University shall be distributed as follows:

- 40% to the researcher or inventor
- 60% to the University to defray all expenses

Distribution of Royalties: In the case where intellectual property has commercial value, it shall be ensured that the royalties accruing from such commercial exploitation are distributed as follows:

- 40% for the researcher or inventor.
- 30% for the base Department
- 30% for the University.

6.0 Implementation Strategy

The action plan for the implementation of the University of Nigeria research policy is grouped into four major categories:

- ◆ Annual call for Research Proposals/Grants
- ◆ Collation of Research Plan and generation of Research Data Base.
- ◆ Promotion of Engagements, Commitment and Partnerships
- ◆ Monitoring and evaluation

i. Annual call for Research Proposals/Grants

The University of Nigeria shall launch calls for research proposals/grants each year highlighting high priority areas of the University Research Agenda. This shall be done through the Research Directorate. The call for research proposal/grants shall outline:

1. Research Priority Areas at the Faculty/Departmental levels.
2. Submission Deadline for proposals
3. General Information
4. Detailed Information Comprising
 - i. Background
 - ii. Work plan highlighting the originality and novelty
 - iii. Structure and added value of the proposed research
 - iv. Possible exploitation of the expected research result (i.e impact)
 - v. Ethical and legal issues
 - vi. Brief C.V (with relevant publications)
 - vii. Justification
 - viii. Budget

ii. Collation of Research Plan and Generation of Research Data Base

- a. Each Department/Faculty/School/Institute/Centre is required to develop and submit its own Research Plan to the Research Directorate for collation as the global university Research Plan for the year.
- b. The plan shall include such issues as individual research titles and objectives, opportunities for collaboration, time tables and expected outputs for a particular year.

ments regarding the apportioning of research duties, training and research according to the career level of the staff member.

Submissions or research proposals in any particular year will be limited to the research titles in the Department/Faculty submissions to the Research Directorate.

The Research Plan shall be reviewed every year and re-submitted to the RD for inclusion in the Research data base of the university.

iii. Promotion of Engagements, Commitments and Partnerships.

The RD shall lead specific actions to promote engagement, commitment and partnerships with external bodies as outlined below:

1. Engagement and Partnership with industry
2. Engagement and Partnership with International Organization.
3. Linking and alignment of national plans and initiatives
4. User and Public involvement in the research priorities.

iv. Monitoring and Evaluation

The Research Directorate shall establish a monitoring and evaluation framework to assess research output and quality. The potential viability, output and impact of research shall be assessed by evaluating the number of research active staff and research performance indicators which will be measured by:

1. Number of postgraduate degree students in a research programme
2. Postgraduate Degree Completion rates
3. Bibliometric record (number of publications, impact factor and citation indices)
4. Number of patents and industrial collaborations
5. Self ó assessment reports from the Department/Faculty
6. Ability to meet the milestones or targets.



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Update






7.0 Policy Review and Update

The policy shall be reviewed every 5 years. This is important as it will enable the University to update the guidelines as national and global research environment change.

The document received from the Senate Research Grant Committee (2009 ó 2012) under the chairmanship of Professor J. O. Ugwuanyi was of immense assistance and facilitated the timely production of this research policy. We thank the members of the committee for making the document available to us.

We acknowledge the benevolence of the Director of Academic Planning Unit who hosted all the meetings of the committee. Finally, we thank the Vice-Chancellor for finding us worthy and giving us the opportunity to produce the first research policy for our highly esteemed university.

Respectfully Submitted on November 24, 2013.

Professor M.I Uguru	Chiarman	
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