SALALE UNIVERSITY

RESEARCH AND PUBLICATION GUIDELINE

Research and Publication Guideline

Drafted by:

Research, Publication and Community Service Committee (RPCSC)

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Preface

Salale University (SlU) is one of the public higher institutions located in Oromia Regional State, north to Addis Ababa, at around 112 km in Fiche town. Its establishment has realized the centuries request and dreams of the Salale community in particular and the direction of the government to address access to education in general. The University was established as independent public institution in 2015.

Research is one of the three pillars of the University's mission, and its activity is aimed to discover, elucidate and evaluate new knowledge, ideas, and technologies essential in driving the future of society and humanity. For example, without research, relevant and modern curricula do not exist; research fosters professional excellence in colleges/schools and institutes, important for delivering outstanding student education and training. Thus, research contributes towards the overall development of the country and the region; produce professionals with basic knowledge and skills in innovation.

The setting of this guideline defines the principles and objectives of research regulates; organizing the framework of research prioritization, preparation of proposals for research executions and monitoring of the research efficiencies. Additionally, it plays the foundation and milestones to properly direct research and publication activities to the highest level. It also covers the way for SlU to develop into one of the best research universities in Africa. Therefore, we are calling the University community to work thoroughly for the implementation and success rules laid out in this guideline. Since this guideline is dynamic in nature, it is open for modification in the future based on the necessities, which might arise during its implementation.

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Research and Publication Director (RPD)

Salale University

October 2020

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1. Introduction

1.1 Background

Salale University (SlU) is one of the newly established public universities located in Northern Shoa Zone, Oromia Regional State, Ethiopia. Based on the demand of Salale community and in line with the direction of the government, the now SlU was established as full-fledged institution in 2015 as per the Proclamation article/ no.359/2008.

The chief decision making body of the University is the Board of Governance; and most academic decisions are made by the University Senate, which regularly meets at least two to three times during an academic year. The chief executive officer of the University is the President and assisted by four Vice Presidents: the Vice President for Academic affairs, the Vice President for Research and Community Services, the Vice President for Administration and Student Services and the Vice President for Business Development. Salale University has three campuses, *General Tadesse Biru that covers 96 hectares; Abebech Gobena Campus (College of Health Sciences) with 7 hectares and Ganda Farda, 22.5 hectares* and five colleges, *viz.* College of Health Sciences, College of Agriculture and Natural Resources, College of Business and Economics, College of Natural Sciences and College of Social Sciences and Humanities.

The office of Research and Community Service Vice President (RCSVP) is responsible for leading, coordinating and facilitating the University's research, community services and industry linkage activities. The following directors and committees are accountable to the RCSVP and assist the research and community services and industry linkage activities.

- Research and Publication Director (RPD)
- Community Services Director (CSD)
- Ethical Review Committee (ERC)
- Research, Publication and Community Services Committee (RPCSC)

1.2. Objectives

1.2.1. General objective

- The general objective of this research guideline is to develop a legacy of clear guidance and set of standards that can be used and applied in a wide variety of research activities.

1.2.2. Specific objectives

- To guide and motivate the staffs in order to be engaged in research activities;
- To facilitate the development of quality and sound research capacity of the staff;
- To promote technology adaptation and transfer capacity of the university through different means so as to be capable of solving societal problems;
- To develop and improve curriculum materials and pedagogical practices so as to ensure quality of education at primary, secondary and university levels;
- To layout strong foundation for the research culture of the University; and
- To keep the uniformity of research activities of the University in a planned manner.

1.3. Significance of the guideline

An institution must formulate guidelines to effectively execute its mission and vision. Research, being one of the central missions of every academic institution, should be administered with practical guidelines. Salale University is also believed to formulate its own research guideline, which will be updated every three years. This guideline has been formulated to facilitate research activities undertaking in the University, and describes the responsibilities and accountabilities of academic staffs, committees and offices pertinent to research and issues related to research. It also illustrates processes and criteria during preparation, submission, evaluation, and reporting of proposals, researches and materials. Furthermore, the guideline will help administrators properly handle activities related to research.

1.4. Major principles governing research at Salale University

- The University's research shall focus on promoting the relevance and quality of education and development.
- All academic staffs shall be free to conduct research in any area, provided that they adhere to the University's missions, visions, values and ethical standards.
- All academic staffs are required to undertake research, and the University is committed to support all researchers with appropriate resources to its capacity.

- Every research is encouraged to be multidisciplinary in design and approach;
- Senior researchers are responsible to adopt a dynamic research culture, trust and cooperation where every member of a research team is encouraged.
- Every research proposal shall have a principal investigator, who is authorized to act for and to assume the obligations imposed by the guideline, requirements, and conditions for a grant or grant application.
- Research grants are made available to the University academic/research staff members according to quality of the project, project activities, and cost of the project.
- The University shall establish a system that ensures the research funds are managed and utilized within a system that adheres to transparency, accountability and efficiency.
- The University shall allocate working capital for beginner researchers for both basic and applied research; adopt and implement comprehensive research incentive mechanisms.
- The University shall make contractual agreement for external funded projects, supervise, follow and evaluate their implementation.
- The University shall collaborate with the industry in establishing business and research incubation centers and create the environment for start-up companies and for reverse engineering and applied research.
- The University shall define its core research areas and themes on the basis of the priority needs of the country, region, zone and stakeholders.
- The University shall establish, modify, expand or merge committees, coordinators, and directors when needed.

1.5. Research code of conduct

- Researchers have a responsibility to ensure the physical, social and psychological well-being of their participants. Research should be based on freely given informed consent of those under study.
- Researchers should avoid actions which may have harmful consequences for other researchers or which might undermine the reputation of their discipline.
- Researchers have the responsibility to explain as fully as reasonable and appropriate, and in terms meaningful to the participants: the aims and nature of the research, who

is undertaking it, who is funding it, its likely duration, why it is being undertaken, the possible consequences of the research, and how the results are to be disseminated.

- The privacy of research participants should be respected and personal information relating to participants should be kept confidential and should consider whether it is proper or appropriate even to record certain kinds of sensitive information.

- Researchers should avoid plagiarism, both an illegal act and punishable, considered to be on the same level as theft from the author that which he/she originally created.

- Researchers should attempt to identify potential conflicts of interest in order to confront those issues before they have a chance to do harm or damage.

- Each person listed as an author on an article should significantly contribute to both the research and writing. In addition, all listed authors must be prepared to accept full responsibility for the content of the research article and approve the final version of the entire article.

1.6. Prioritizing research agenda

- Research activities at SlU shall be lay down on the thematic areas and be demand driven and problem solving aiming at technology transfer.

- Each College/Department shall formulate a thematic and priority research agenda for the short term (1-5 years), medium (6-10 years) and long term (>10 years). Colleges and departments can revise their research priorities.

- Funding at Salale University is strictly based on thematic and priority areas for research.

- Capability of the University and feasibility in implementation of the research project shall be considered.

- Contribution to national and regional development goals and objectives of the research projects shall be taken in to consideration.

- Applied and developmental research projects shall be given priority.

1.7. Roles and responsibilities of different actors in the research and publication

1.7.1. Senate

The senate of SlU shall have the following duties:

- Approving and revising research and publication guidelines;
- Determining or deciding the launching of new journals;
- Approving the establishment of research centres and/or institutes;
- Evaluating and directing the performance of University level Research and Publication Committee.
- Designating two senior researchers to be involved in RPCSC.

1.7.2. Salale university research, publication and community service committee

The RPCSC of Salale University shall have the following duties and responsibilities:
- Formulate strategies for promoting research and dissemination of research findings;
- Guide the research and other units of the University in designing and conducting training workshops on research methods and research writing and preparation of teaching materials;
- Specify research priorities based on national needs;
- Set guidelines for the approval of research proposals;
- Monitor the activities of the Research and Publication Directorate in relation to approved research work;
- Ensure the appropriate academic standard of publications;
- Advise the Senate on all matters pertaining to publications;
- Determine criteria for establishing the reputability of journals;
- Re-assess the reputability of journals every year;
- Determine courses of action in the case of breach of agreement by researchers;
- Specify the calendar for submission of research proposals and research reports;
- Examine and endorse the activities and reports of Research and Publication Directorate;
- Advise and assist the Research and Publication Directorates in securing fund from organizations outside the University;
- Design, facilitate and endorse collaborative activities with national and international institutions;
- Endorse agreements with distributors and co-publishers;
- Determine royalty or honorarium for authors and assessors;
- Establish award system for recognizing outstanding research;

- Assist the Research and Publication Directorate in preparing code of ethics governing/ safeguarding research and intellectual property rights;
- Approve allocation of funds for Research and Publication Directorate;
- Issue guidelines pertaining to visit researchers who wish to be affiliated with various units of the University;
- Serve the need and interest of the public to facilitate education, economic and social improvements;
- Ensure the representation and active participation of the University in various governmental and non- governmental bodies;

1.7.3. Research and community services vice president

The office of research and community service vice president shall have the following duties and responsibilities:

- Coaches all activities of research and publication;
- Serves as a chief advisor to the President in research and publication activities and other related works;
- Oversees the implementation of national research and publication policies in the University;
- Evaluates, approve and arrange the presentation of new/revised/updated research and publication guidelines to Senate meetings and the University Board;
- Facilitates research and publication collaborations with national as well as international institutions;
- Approves, allocates and oversees funds related to research and publication;
- Supports the establishment of research centers and institutes;
- Initiates and support the establishment of proceedings & scientific journals of the University;
- Follows up the quality of services provided by the support offices or units to research and publication related activities;
- Organizes teams that could develop the University wide research development projects targeted at solving problems of the community;
- Identifies and support the University's capacity building requirements in strengthening the research and publication;

- Issues guidelines pertaining to visiting researchers who wish to be affiliated with various units of the University;
- Handles media briefings related to activities of the core process;
- Makes national and international benchmarking for research and publication activities;
- Performs any other duty as supposed necessary;

1.7.4. Research and publication directorate

- Coordinates all research and publication activities at the University level;
- Assists the RCSVP in planning and preparing agenda on activities related to research and publication for Senate meetings;
- Serves as the chief advisor to the RCSVP on research and publication policy;
- Compiles, produce and submit regular reports on research & publication activities to the RCSVP as well as to other key stakeholders;
- Follow up and monitor the engagement of colleges/departments in research and publication activities;
- Check, update, revise and develop research and publication guidelines and strategic plan of the University;
- Facilitate and support the organization of seminars, conferences and other workshops related to research and publication at the University level;
- Collect, organize and prepare budget plan for research and publication undertakings of the University;
- Register and monitor projects and activities of research and publication at the University level;
- Administer/manage financial matters of research projects executed at the University;
- Keep, record and make database of all value adding research and publication activities of the University in collaboration with respective units and coordinators;
- Periodically collect, compile and publicize research thematic areas of the University;
- Provide updated information on research and publication activities to be available on the University website and intranet;
- Ensures the collective integrity, responsibility and accountability of researchers and stakeholders in research and publication activities;
- Propose courses of action in the case of breach of agreement by researchers;

- Provide leadership in developing research priorities so as to enhance the quality research;
- Specify the calendar for submission of research proposals and research reports;
- Establish award system to recognize outstanding research outputs;
- Establish editorial board for the scientific publications of the University;
- Compile and publish quarterly research newsletters, brochure and bulletins for promotion of services provided by the University;
- Create forums for the University wide periodic research review;
- Disseminate strategic issues related to research to various stakeholders;
- Document progress and terminal reports of research projects;
- Ensure the publication and dissemination of research findings;
- Establish and maintain information and documentation center for research outputs;
- Examine and endorse the activity reports of researchers/colleges/departments;
- Facilitate the preparation and publication of teaching materials and text books;
- Facilitate the publication of research proceedings, scientific journals, newsletters, reports, etc.;
- Identify capacity building requirements for research process;
- Initiate the establishment of scientific journals for the University;
- Lead and coordinate the formulation of project proposals of multidisciplinary nature;
- Set guidelines for the approval of research proposals;
- Set guidelines for the scientific publications of the University;
- Perform any other duties assigned by the RCSVP.

1.7.5. College research, publication and community service coordinators

The College, Research, Publication and Community Service Coordinator are accountable to their College Dean with the following duties and responsibilities:

- Ensure that researches are need-based and within a thematic area of the respective college;
- Ensure the linkage between research, academics and development;
- Ensure the timely conduct of research projects and effective and efficient use of research funds;
- Represent the college matters related to research, publication and community services;

- Ensure mobilization of resources at college level for research and community service activities;
- Facilitate any technical administrative issues for timely funding of proposals;
- Take administrative actions based on monitoring and evaluation reports of research and ethical review board;
- Report a quarter and annual report to the dean and the directors for research and community service;
- Facilitate the timely dissemination of research outputs (knowledge and technology) of the college in collaboration with the Research and publication Directorate;
- Work closely with publication office to develop a system that ensures institutionalization of research outputs of the academic staff;
- Manage field research sites of the college;
- Coach and coordinate the activities of research and ethical review board;
- Organize journal clubs;
- Organize public defense for proposals;
- Organize stakeholders meeting to prioritize research areas of the college;
- Ensure attendance and participation of academic staff on journal clubs;
- Solicit training opportunities for the staff to foster research, avails software and training materials for research, and coordinate the training on software's application and research methods;
- Develop, manage and update research data base (repository) from field research centers and coordinate the research project registration and maintain up-to-date data bases of all research projects and research outputs;
- Coordinate the use of allocated vehicles, field research centers/sites and other research inputs;
- Monitor data collection process at the field level or in the lab and the progress of the research project;
- Develop data use protocol/ guideline including commercialization of data;
- Look for external funding sources and networking for research collaboration;
- Establish a resource center of potential funding agencies for researchers.

1.7.6. Principal investigator

The principal investigator of an approved proposal:

- Is expected (and has the moral and professional obligations) to collect genuine and accurate data and make generalizations based on these data;
- Should use carefully planned and developed data gathering tools to ensure the validity, genuineness, and truthfulness of the results;
- Shall accept the rules and regulations of the University regarding research and publication activities;
- Has the obligation to properly utilize the permanent materials and to return them to the respective unit in time;
- Has a responsibility to communicate on behalf of the research team to the concerned body and to manage the research project technically and administratively;
- Should maintain frequent contact with research team members to advise and scrutinize all research data and to meet the broader needs of research team members and students;
- Is responsible to compile and submit financial report to the respective body;
- Can request for additional fund up on justification for the completion of his/her research project, and fund releasing decision shall be made by RPCSC;
- Cannot change the place of work, work plan, methodology or objective of the study once a research project is approved by the RPCSC, and budget is secured unless he/she informs the RPD in written and gets permission;
- Should delegate co-investigator (who is within the same discipline if the research is run by a single researcher) under the consent of the respective department, when the principal investigator leaves the University for any reason without completing a research work, he/she should; and
- Is obliged to submit the final result and settle financial matters. Unless these are proven, the individual will not receive another grant; will be denied clearance when leaving the University in any manner (scholarship, transfer, pension, etc.); and shall refund the withdrawn budget.

1.7.7. Ethical review committee

The ethical review committee will be appointed by the University President. The committee shall act in the following cases:

- All research involving human participants;

- All Biomedical research involving human participants;
- All research involving animal subjects;
- New research using information or biological samples stored from earlier research;
- Research which might involve any risk to a human research subject's health;
- Research which might be deemed generally offensive or distressing or might bring the University into disrepute.

2. Definition of Terms

Unless the context requires otherwise, in this guideline, for the purposes of this guideline the following definitions shall apply:

2.1. Academic staff

This shall mean all teaching and research staff of the university and shall include professors, associate professors, assistant professors, lecturers and under unique circumstances or conditions of transition, graduate assistants employed for teaching and research, including persons employed in joint appointment, research fellows and professional librarians and other employees considered as Academic Staff by the decision of the Senate.

2.2. College

An academic unit in the University may consist of departments, centers, teams.

2.3. Department

Mean a division in a college, which is devoted to teaching, research and community services in a particular academic discipline. In some cases, there may be some academic units that are considered as departments but do not run programs that offer a degree, a diploma or a certificate.

2.4. Co-investigator

Co-investigator is a member of a research team who participate in the research undertakings with specified responsibilities other than the principal investigator.

2.5. Principal investigator (PI)

Principal investigator is the main researcher out of the team members in a given research.

2.6. Department research, publication and community service committee (DRPCSC)

Shall mean a committee made up of selected academic staff of a department to facilitate research and community service activities at a department level.

2.7. College research, publication and community service committee (CRPCSC)

This committee is a body responsible for assisting the research and publication at college level and the college to implement the research guideline, and to provide an academic assessment of research.

2.8. Research and innovation fund (RIF)

Research and innovation fund shall mean any fund allocated from internal revenue to execute innovative researches to encourage young and women researchers.

2.9. Research and publication director (RPD)

Research and publication director is the responsible person for the implementation of this research guideline in SlU.

2.10. Research, publication and community service committee (RPCSC)

Shall mean a standing committee of the senate of the SlU; established for research and community service which is responsible for advising the RPD to implement the guideline.

2.11. Reviewer

This shall mean any academician assigned to evaluate research papers against the criteria set to determine the suitability for further processing (for funding to be conducted and/or for publication).

2.12. Thematic area

This shall mean a broad grouping of focus areas of research with a common theme.

2.13. Intellectual property

Broadly refers to the creations of the human mind. Intellectual property rights protect the interests of creators by giving them property rights over their creations.

2.14. University

Shall mean the Salale University established as full-fledged institution in 2015 as per the Proclamation article/ no.359/2008.

3. The University's Mission, Vision, Goals and Values

3.1. Mission

- Produce competent and innovative graduates in diversified fields of study; conduct problem solving researches, transfer technologies; and rovide demand-driven community engagement.

3.2. Vision

- Salale University aspires to be a leading and top selected comprehensive university in the country by 2030.

3.3. Goals

- Be relevance to the community and in line with the growth direction of the country; provision of intellectual stimulating environment for staff and researchers; excellence in both applied and basic researches that satisfy international standards.

3.4. Core values

- Quality
- Innovation
- Diversity
- Collaborative/team spirit
- Transparency and accountability

3.5. Centre of excellence

- Salale University is striving to excel on dairy production and processing, culture and tourism development.

3.6. Motto

- Co-Creating quality

4. Research Administration

Research administration refers to the overall activities done from beginning to the termination of research works and it includes proposal preparation, submission, evaluation, approval, monitoring, result evaluation and dissemination phases. The process generally includes pre-award, post-award and termination phase.

4.1. Research proposal preparation

The following issues shall be considered, while developing/initiating project proposals:
- Research initiation shall be set based on the thematic and priority area of the department, college and the University (**Annex 1**);
- Call for proposal shall be twice a year; first call shall be at the end of June while the second shall be in October;
- The research projects are initiated by involving minimum of two to maximum of five researchers; but a research proposal initiated by single researcher will also be treated accordingly;

- All research grant applications shall be made following the format for application of research grant (**Annex 2**); and proposals developed without strictly following the format will not be processed for competition;
- 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, SlU's format for proposal writing shall be used;
- To ensure maximum efficiency and to minimize research administration problems, the number of research projects should be limited as follows: if a researcher will participate in two researches one as PI and the second as co-investigator, he/she has a workload of 2 cr. hrs. for the first and 1 cr. hr. for the second. But if a researcher will participate in three researches as co-investigator, he/she has 1 cr. hr. per research, which can make a total of 3 cr. hrs. workload. *i.e.,* a researcher can only participate in two or three researches per year.
- During research proposal defense and report presentation stakeholders shall be participated.

4.2. Research proposal submission, review and declaration for funding

- There shall be calls for funding research on a competitive base. The submission of research proposals shall be due not more than three months after the call is posted;
- Call for research proposals shall be announced centrally by the RPD at the University level as well as by the colleges;
- Research proposals shall be submitted both electronically (in word document) and in hard copy to the respective college level RPCSC;
- The college level RPCSC shall not consider a research grant application from a person who has already received grant from SlU as a principal investigator, unless and until which time the University has accepted a satisfactory final report for completed projects on the previous grant;
- Except in an extraordinary cases, the proposals should be prepared and submitted by two or more researchers to compete for funding;
- Each unit shall ensure the quality of research through anonymous peer-review of the research proposals and findings;
- The research project shall be evaluated based on format for evaluation of research proposals or any criteria given during call for proposals;

- If a given proposal is selected with comments and modifications, all of the comments should be minuted and the researcher shall incorporate all important comments and resubmit the proposal to the department with in the given time;

- Upon submission, the DRPCSC should check whether the given comments are incorporated or not, and if not, shall not accept it for further processing;

- Whenever, substandard and poor quality proposals are selected and accepted for further processing, the DRPCSC and the department head are fully responsible;

- The selected proposal by the DRPCSC will be submitted in hard and soft copy of word document to the respective college with the minute of the department research committee;

- Researchers shall present their proposal in open defense at department and college levels and the comments from the open defense shall be used as input in the decision to approve or reject the research proposal;

- The CRPCSC shall review all proposals presented in an open defense using the evaluation criteria indicated in **Annex 3**. 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;

- If ethical clearance is required to approve and run a project, the proposal could be screened based on guidelines which will be developed by the University Ethical Review Committee. The feedback from research and Ethical Committee shall be completed in one month's time from the final date of submission;

- Research and Ethical Review Committee shall be named by the University. The Research and Ethical Review Committee shall complete the review process in consideration of ethical and technical matters of the proposal;

- If it needs modification, the researchers shall submit the amended research proposal within 10 days from the date on which comment was delivered. The complete proposal including adjusted modifications will be submitted to the college research coordinator;

- If the research proposal is rejected, the PI can request to the college research and community service coordinator orally or in written form for clarification. If the researchers are not satisfied with the decision, they can appeal to the respective Dean or Research and Publication Directorate. The coordinator/RPD, upon review of the proposal will return to the RPCSC with recommendations of endorsement or rejection. This is the sole method of appeal for rejected proposals.

- The RPCSC shall check whether comments have been properly included. The committee shall provide an approval for incorporating the comments and recommend for funding of the research project;

- The selected proposals will be endorsed by College Academic Commission; and proposals which are endorsed by Academic Commission of each college will be submitted in hard and soft copy of word document to RPD along with endorsement letter and minute;

- The RPD will present the proposals to the University level RPCSC for prioritization and final approval. If ethical clearance is required to approve and run a project, the proposal could be administered based on guidelines as stated in **Annex 13**.

4.3. Research monitoring and evaluation process

- The overall administration of research in the University is assigned in the Research and Publication Directorate;

- Strategies used to monitor a research project include: Acknowledgement of receipt of research funds, progress report on each phase of research, periodic monitoring and evaluation and terminal report;

- Staff whose proposals have been approved or funded shall submit reports quarterly to their respective department using the appropriate form (**Annex 6**);

- The DRPCSC shall review the periodic reports using the provided forms and decide the further fate of the research project;

- The Research and Publication Directorate shall determine termination or continuation of the research project based on the feedback provided by reviewers;

- All research reports to be submitted to external funding bodies shall obtain the prior endorsement of the Research and Publication Directorate;

- The RPD may at any time call up on an institution or any individual to whom a research fund has been granted to provide any information which (in the opinion of the University) is necessary to satisfy itself in the proper monitoring and utilization of research grants;

- Each department/college has responsibility to evaluate and monitor their respective research works. University level approval and oversight of college research activities lies with RPCSC;

- The RPD with consultation of RPCSC may terminate the entire research if the principal researcher is not in a position to adequately complete the research;

- Ethical review committee shall arrange periodical monitoring and evaluations of the project to know that the research is properly handled as planned in the research protocol. These monitoring and evaluations are also an opportunity for the review boards to provide appropriate technical assistance to the project if needed. The detail guideline to monitor and evaluate research activities shall be developed by University RPCSC (**Annex 7**);

- The RPD and RPCSC of the respective colleges shall carry out an intervening, 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

- The monitoring and evaluation shall be done in a form of field visits, quarterly progress reports and terminal report to ensure proper research conduct, as per the research protocol;

- Once a research project is approved by the University RPCSC 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 college RPCSC in writing and the change is approved in writing from the board;

- The RPD and/or college Research, Publication and Community Services Coordinators 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 RPCSC.

4.4. Research proposal registration and publicity

- There shall be entry workshops to inform and publicize 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 departments/schools/colleges/institutes community.

- There shall be a signing of project contract agreement between researchers and the University using appropriate format (**Annex 4**).

- Collaborative research and research funded outside SIU shall be registered and agreement shall be signed between PIs, donors and the University indicating the role

of each parties, benefit sharing, and equipment ownership and patenting issues based on the guiding principles (**Annex 5**).

- The research projects (external or internal funded) shall be registered both at Salale University and respective departments/colleges and given a serial number indicating department/colleges code, registration year and project number (**Annex 8**).

- The RPD shall notify the approval of the project to the finance office and facilitate the implementation of the project with all concerned units.

- All financial matters shall operate according to the budget indicated on the project document unless specific operational exceptions are authorized by the RPD.

- Financial breakdown of the on-going researches will be planned and accessed from the intended budget years.

- The research proposals are not funded if staffs are on study leave; except in exceptional cases, it might be decided by discussion.

- 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 Survey, Experiment and Trial (SET). 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 RPD.

- Recommendations for continued funding of projects or the acceptance of the terminal report depend on previous satisfactory receipts of progress and quarterly reports or for externally funded projects if accepted by the funding agency.

- The terminal report shall be registered and information shall be made public to staff, students and stakeholders.

- The PI shall acknowledge the financial assistance from the University or any other source and include this acknowledgment in an appropriate position in all related published works.

4.5. Data management and exploration

The principal investigator of a project must retain all records of research for two years after the completion of the research;

- The college and respective departments must maintain an active documentation center regarding research in the college on individual researches, complete with information on project proposals, expenditures, reports, evaluations and publications;
- The RPD has the right to ask the researcher to submit his/her data when need arises;
- If private papers, documents, diaries or analogous materials have been provided to the investigator, provision may be made to preserve the confidentiality of those materials for the purpose of protecting the individual privacy of the author, or of the beneficiary, or of the immediate family of either the author or the beneficiary.

4.6 Management of research funding

The research fund shall be used effectively and efficiently and adhere to the following procedures:

- Grants solicited by researchers, departments or colleges 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.
- The overhead cost will be used to cover administrative costs, to provide incentive for researchers, and to promote research capacity of the University.
- The PI is responsible for fiscal management of the awarded projects, including but not limited to the regular monitoring of the project budget throughout the life time of the project.
- 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.
- The RPD shall assign purchasers dedicated to providing supplies to make sure the research inputs are timely availed.
- Non-expendable items shall be purchased by the University procurement and property management and be available to the research work within two months from the time when request has been presented to the departments/colleges.
- The researcher shall strictly adhere to the cost breakdown indicated in the approved project document. The transfer of moneys from one budget heading to another is not allowed unless the project gets permission from the RPD or the funding agency.

- In cases when budget shortage may arise, which hinders the progression of the activities, the investigator shall apply to the Departments/Colleges RPCSC with concrete evidences and the committee may allow for a maximum of 10% of a project budget heading to be transferred to the requested budget heading. (Except for the experimental researches).

- Revenues generated from research activities, such as sales of research produce, shall be the revenue of the departments/colleges and they will be used solely to enhance research and education.

- Salale 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 output.

- 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 unutilized money to the University.

- All equipment purchased through research grants shall be the property of SlU and must be returned to the University upon completion or termination of the project.

- Equipment bought through the University research grants or external sources (vehicles, equipment and any supplies) are the property of SlU and shall therefore be entered in to the appropriate University record/ledger book.

- Mega projects that have involved two or more departments/colleges shall have a project coordinator and an inter-departmental project implementation team. These coordinator and team will be supervised by RPD. Similarly, mega projects that involve two or more departments in colleges will have a project coordinator which will be supervised by college's research and community services coordinator.

- Mega projects are externally funded project or thematic research project/program that involve more than 5 researchers and acquired more than 100,000 USD. The researcher can acquire the fund from two or more projects.

- 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.

4.7. Exit mechanism

- The vehicles, equipment, chemicals and documents born from the research project shall be transferred to the departments/colleges at the completion of the project to ensure the sustainability and support of research, the teaching and learning efforts of the departments/colleges and the University;
- The Vehicles which are not bought in the name of SlU shall be decided by the pre-agreement made between the funder and SlU as stimulated in the project document;
- The findings of the research projects upon project completion shall be presented to the appropriate research venue or to the annual research conference;
- Any publications from the research project shall be registered, displayed and deposited in the respective departments/colleges. The publications that may arise from the research project shall be submitted to the RPD or respective departments/colleges and deposited in the University library;
- The experience from the research project shall be documented and passed to the appropriate academic program and serve as a learning ground.

5. Engagement of Staff in Research, Reward and Remuneration Mechanism

5.1. Enabling environment

Salale University encourages staff and student research by ensuring enabling environment. Besides laying down the institutional basis for academic freedom, there is a need to cultivate specific mechanisms to engage the academic staff in research and inquisitive inquiry. 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 are central ones. Placing such mechanisms within the context of 'scientific professionalism' shall also improve the quality of research and raise research culture contributing to the overall promotion of SlU as a renowned research university. The detail is described as follows:

5.2. Capacity building

Salale University is almost entirely built by new academic staff and may be constrained by limited research experiences among staff members. Hence, the University shall strengthen the analytical, experimental design and other methodological capabilities by investing in human resource development in these areas and acquisition of relevant software. As situations dictate, the University will organize both short and long term in-campus or out of campus training programs on research methodology, research proposal writing, software applications, and on analytical and computational skills. These will improve the staffs' competence in producing fundable research proposals; increase their power of doing quality research through survey design, data analysis, and experimental methods.

5.3. Empowering women and young researchers

To guarantee gender equity and fair distribution of resources at all levels, the University shall support women and young researchers in special ways. All affirmative details will be further formulated in consultations with the office of youth and gender affairs directorate.

5.4. Staff research

- The University's career structure shall be flexible and remunerative to encourage staff participation in research and innovation. The criteria for vertical promotion shall give adequate attention to research. Research outputs are useful for promotion of staff members to the rank of a lecturer and above. The length of service with a given rank, effectiveness in teaching or effectiveness or quality of research, publications, participation in the affairs of the University, and public and professional service rendered to the public in various capacities shall be the basic criteria on the basis of which promotion is determined;
- All academic staff should devote 60%, 25% and 15% of their working time for academics, research and community service as stated in Senate Legislation;
- Switching a teaching staff to a research staff will be based on the number of research projects run by the staff;
- The academic and research load of staff is as stipulated in the Senate Legislation. If a staff member is not involved in research at all in a year, a letter of warning will be

sent through the college dean in consultation with college research and community services coordinator. The respective dean, with the approval of the academic affairs vice president can terminate the contract of any staff not abiding after two warnings;

- The recruitment of applicant staff shall also consider the research experience, merit and capacity of candidates for research to realize the research objective of the university.

- The academic staff recruitment, promotions, scholarship and ethics committee may provide detailed guidelines regarding the components of the requirements for promotions.

5.5. Research allowance and load

- 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 SlU;

- The academic staff members of SlU are not paid salaries from their research grants; except the allowed per-diem whenever they are at the field for their research work. 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;

- Research loads shall be 3 LEH for principal investigators, project coordinators, and their equivalents, and 2LEH for co-investigators of up to five research team members.

- Research loads shall be 2 LEH per year for PI, project coordinators and their equivalents, and 1LEH for co-investigators of up to three research team members.

- The duration of every research project shall be determined by the appropriate office of the University based on the nature of the research project.

5.6. Reward and recognition mechanism for researchers

- Salale University ensures that staffs 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 SlU as a renowned research university;

- Staff in a team or on individual bases with outstanding research performance and merit shall be awarded during the annual research symposium day;
- The rewarding scheme shall highlight three aspects of the University research community: one best researcher in the college, one best female researcher in the college and one best in the department;
- The application and detailed nomination procedure **(Annexes 15)** and the criteria for reward shall be developed by the University RPD **(Annexes 16)**;
- The College level RPCSC shall evaluate and select the outstanding researchers at college level to be rewarded during annual research symposia and the best nominees in each category will be presented to the college dean for final approval;
- The awards shall be recognition certificates for the researcher, as well as material and financial rewards to enhance research culture and the detail should be prepared by the University RPD in consultation of central RPCSC;
- The academic/research staff with outstanding research merit shall also be sponsored to attend national/international conferences or sponsored to participate on local research related training;
- The University shall also consider an extra-ordinary academic promotion to any of the academic ranks having successfully published in reputable journals and the detail procedure will also be developed by University RPD together with RPCSC;
- All awards shall consider research outputs recorded in the previous budget year (From Hamle 1 to Sene 30 in Ethiopian Calendar);
- Researchers involved in the critical reviewing of research proposals and reports (progress and terminal) shall be offered incentives. The incentive modalities should be set by the University RPD together with RPCSC.

6. Research Innovative Fund

- There will be research innovative fund (RIF) supported by the treasury fund, which will be made available to stimulate young and women staff as well as staff who are proposing extraordinary and innovative research projects successfully;
- It is designed to initiate the creation of new products, services, technology or processes;

- The aim of this fund is to advance the University research community's capacity to develop innovations that can be commercialized and provide economic stimulus in the community;

- Turning research results into viable commercial opportunities can be one of the most motivating and rewarding aspects of innovation; and

- The fund shall be given to best proposals on a competitive basis within each category of funding: fund for young researchers, fund for women researchers, and fund for innovative research projects;

- The research project should be in line with the research theme and priority areas of SlU;

- The applicant shall follow the standard formats for proposal development;

- The review, monitoring, evaluation, exit strategy, financial administration and reporting procedures are the same as regular researches;

- The candidate that has won the award shall be notified a month after submitting an application; and

- The Research and Publication Office shall administer the grant and reviewers and shall be assigned by the same office in accordance with the discipline of the research project; and the President of SlU shall announce the winner of the research fund at any convenient time of the year.

7. Resource Sharing in Research

- 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 utilization of research resources and accelerates resource sharing among researchers, departments and colleges;

- The resource sharing potential is addressed under the following principles: the research facilities obtained from the treasury and non-treasury belongs to the University is subject to sharing if it is necessary and not risking the intended project and unit;

- Resource sharing ensures all research facilities, which are utilized fully and to their maximum potential;
- 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;
- There shall be a central laboratory that will be equipped with state of the laboratory equipment and the policy and procedures to get access of the laboratory equipment and facility shall be developed;
- 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;
- 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 rent an external transport service as long as there is a planned budget for the transport (fuel, lubricant and driver per diem) in the research project; and the vehicles allocated for undertaking research shall be in a pool system.
- The research outputs shall be shared among colleges to ensure the dissemination of knowledge and information.

8. Procedures Governing Misconduct in Research and Publication Processes

8.1. Research misconducts

- ❖ Each staff member of the University has a responsibility to implement an environment, which promotes intellectual honesty and integrity and that does not tolerate misconduct in any aspect of research or scholarly endeavour;
- ❖ The following are considered to be research misconducts:
  - Failure to meet lines of accountabilities stated in this document;
  - Failure to provide progress reports for the respective office within agreed time;
  - Misuse of research fund and material(s);
  - Delaying of research projects without convincing reason(s);

- Failure to complete research works within a scheduled time without convincing reason(s);
- Failure to submit the final research documents in a required format;
- Failure to disseminate research findings to the target community;
- Any form of plagiarism and mischief in research;
- Any form of corruption and injustice in research and research administration;
- Failure to respond to research administration instructions;
- Any form of using forged, trimmed, tortured and cooked data;
- Failure to work in collaboration with others when need arises; and
- Submitting University-funded research papers for publication in external journals without getting permission and acknowledging the University.

8.2. Research disciplinary measures

- Research misconduct will be treated at different levels before disciplinary measures are taken; if the misconduct is tolerable (i.e. except plagiarism and mischief, misuse of resources, and corruption and injustice), oral warning will be given; and if the misconduct is intolerable, written warning will be given; both the oral and written warnings will be given by the RPD. But, if the case is repeated and intolerable, the RPD will present the case to RPCSC for decision;
- The decision of RPCSC will be sent to the Academic Staff Disciplinary Committee of the University for disciplinary measures; and
- Research disciplinary measures will be taken on researchers with misconduct in reference to Article of the University's Legislation.
- If researchers refuse conducting research due to unacceptable reasons, e.g. disagreeing with the allowed budget by the RPCSC, they can decline earlier to give the chance for the other researchers. In the other case, if researchers win research budget and released but unable to provide the research output, they will return 100% of the University budget that they wasted.

Annexes

Annex 1. Standard format for the preparation of research proposals[1]

1. **Cover page**[2]

2. **Research project title**[3]

3. **Signatures**

   Principal Investigator:_____ _____

   Co-Investigator:_____ **_____**

   Research, Publication and Community Service Coordinator:_____

   Thematic and sub-thematic areas

4. **Executive summary of the project:**[4]

5. **Research work and publication to date** (if any)[5]

[1] The proposal should not be longer than 30 pages, 1.5 spaced and font size 12, Times New Roman.

[2] This should include the title, Investigators' name, title of the investigators and co-investigators and address, department, college, month and year.

[3] 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 community service committee of the college. The title of research proposal should be within the thematic areas of Salale University

[4] 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

[5] 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*.

6. **Background information and justification**[6]

[ ]

7. **Objectives of the project** [7]

[ ]

8. **Hypothesis** (optional):

[ ]

9. **Review of literature** (optional)[8]

[ ]

10. **Materials and methods**[9],[10],[11],[12]

[ ]

[6]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.

[7]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.

[8]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 very research project. This part should be 3-5 pages.

[9]Describe the location, physiographic, climate, geology and soils, population, production systems, etc. and the contents may depend on the discipline of concern;

[10]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

[11]**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 data

[12]**Research plan:** The plan should clearly show the different phases of the project. What will be done (observation work, laboratory experiments, participant observation, surveys *etc*.) and how it will be done.

11. Expected output/outcome[13]

12. Time schedule[14]

Nº	Activity	Schedule

13. Duration[15]

14. References in the Harvard style[16]

15. Collaborating researchers and institutions if any[17]

16. Facilities and funding[18]

[13] Indicates the anticipated outputs by running this project. Which research questions could be answered 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.

[14] This should indicate the activity and when it will be done. In the left column note the major activities and in the right column, month/date it will be implemented.

[15] Number of months or years of project funding. 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 9.

[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 SLU commits to pay. The cost committed in terms of kind and time contribution should be valued and indicated in the budget.

17. **Budget**[19]

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18. **Ethics** (if applicable)[20]

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19. **Study team members roles and responsibilities**[21]

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20. **Dissemination plan**[22]

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[19]The budget items must be relevant to the proposed research plan and should be justified. 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 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

[20]Encompasses risk, benefits and confidentiality (When required, that depends on Disciplines).

[21]The study team should comprise of senior and young staff, female academicians, and graduate students at least from three different disciplines each having at least 2 members to assess the different aspects/dimensions of the research. CV should be attached for all.

[22]This can be expressed in seminar presentations, annual reports, transparency, bi-annual meetings with stakeholders, end-users and donors, *etc*. Furthermore, assurance should be ensured by statistical verification of the data and the level of partners' interaction using the Internet (max. 1 page).

Annex 2. Research proposal evaluation format

General direction

The research committees will first check whether the proposals are developed in line with the research/project proposal development guideline of Salale University. It is only those proposals developed as per the contents in the guidelines, which will compete for research grant at all levels. Thus, the committee should first screen those proposals developed according to the University guideline before commencing the approval.

Approval of proposals at the department, the college and the university will be based on the criteria in the table below. The committee should provide a mark to a proposal based on a value set to each specific points outlined under each criterion. Finally proposals with higher points will be considered for funding. Moreover, each proposal should at least score half of the points allotted to the second and third criteria.

The college and university levels research proposal approval should be supplemented with ethical approval. Thus, the researcher has to fill the ethical approval formats that relate to his/her research and submit the same to the chairperson of college and/or university research committee. The respective research committee should consider ethical issues stated in the formats by the researchers, check whether it is in agreement with research ethics code and decide on the approval. The following criteria were set by the council:

1. The research proposal to be conducted should not be done within the last 5 years around the proposed areas.
2. The proposal should be conducted within 100 km radius in North Shoa zone.
3. The proposal should be prepared according to MoU signed with partners and Salale University.
4. The university shall not finance budget for research proposals proposed to work outside its catchment area unless the researcher sign agreement with partners (collaborative organization).
5. The staffs who get involved in the research are expected to be knowledgeable and expertise on the subject matter they would intend to conduct the researches. If the principal investigator is not related to the subject matter he/she would intend to

conduct, the proposal is not accepted. However, if the co-investigator is not related to the subject matter he/she would intend to conduct, he/she removed from the proposal.

6. If all investigators involved in one research proposal have the same discipline, they would be counted as one investigator.

7. The research proposals shall be in line with Salale university's thematic areas. However, the proposals on demand driven and cross cutting issues shall be considered after officially approved by the vice president for research and community service.

8. The research and publication office shall provide stationary materials where necessary.

9. Consumable materials and laboratory chemicals are purchased centrally by the University; if not possible the University shall be entered agreement with external laboratory office.

10. The university shall not pay per diem for external investigators.

The research proposal budget is released in two phases: 50% phase I and 50% phase II.

Research proposal title:

_____

_____

_____

_____

_____

Principal investigator: _____

Co-researcher/s: _____

i) Research proposal paper evaluation (50%)

№	Criteria used in the evaluation of proposals	Weight (%)	Score	Comment
1	**Potential applicability of the proposed research**	**10**		
1.1	Relevance and degree of proposed research priority in line with SlU list of research priority and themes that demonstrates responsiveness to national and regional needs	3		
1.2	Degree to which proposed research specifically addresses priority questions of community	3		
1.3	Degree to which proposed research will be useful to policy makers in the short-term	1		
1.4	Degree to which the research studied are likely to be applied in the short-term	2		
1.5	A comparison between output versus cost	1		
2	**Scientific quality**	**15**		
2.1	Concise title and use appropriate key words or phrases	1		
2.2	Clear presentation of justification/ statements of the problem	2		
2.3	Achievability of objectives and its relation to the topic and the identified problem	2		
2.4	Proper and well design of the study (experiments, survey *etc.*)	2		
2.5	Clear correspondence between the stated aims of the research and the chosen methods	1		
2.6	Appropriate study participants, sample size and sampling procedure	1		

i) Research proposal paper evaluation (50%) *continue*

2.7	Clear procedures for collecting data stated step-by-step	1		
2.8	Clear description of the instruments/ materials that will be used to gather data	1		
2.9	Appropriateness of methods for testing hypothesis/addressing the objectives	1		
2.10	Appropriate application of statistical methods for analyzing results	1		
2.11	Originality of the proposed research	1		
2.12	Potential to achieve impact beyond immediate beneficiaries	1		
3	**Technical feasibility**	15		
3.1	Ethical considerations	1		
3.2	Level of experience and demonstrated ability of researchers to carry out the proposed research	4		
3.3	Appropriate level of resources and cost estimates (transparency of costing)	2		
3.4	Good justification of use of available resources	2		
3.5	Appropriate assessment of effort required to complete the research realistic timeliness and budget	3		
3.6	Presentation of proposals: specific, readable, brief, clear and complete	2		
3.7	Dissemination plan of the findings	1		
4	Degree of collaboration, multi-disciplinarily and team work	10		
4.1	If Involved more than 4 discipline	8-10		
4.2	If Involved 2-4 discipline	5-7		
4.3	If involved less than 1 discipline	<5		
Total		50		

Decision by evaluator

Accepted as presented [_____] put X mark in the box if the proposal satisfy

Accepted with suggested improvements, if applicable

List Suggested improvements

_____

_____

_____

_____

_____

Reasons:

_____

_____

_____

Evaluators

Chairperson:

Name_____ Signature_____ Date_____

Committee members:

1. Name_____ Signature_____ Date_____

2. Name_____ Signature_____ Date_____

3. Name_____ Signature_____ Date_____

4. Name_____ Signature_____ Date_____

Annex 3. Research project proposal oral presentation evaluation format

Code: _____

Proposal title:

_____

_____

_____

Name of principal investigator: _____

Co-investigators:

1. _____

2. _____

3. _____

Date: _____ **Time:** _____ **Venue**: _____

Name Reviewer (s): _____ **Signature** _____

ii) Research proposal oral presentation evaluation (50%)

Nº	Criteria used in the evaluation of proposals	Weight (%)	Score	Comment
1	**Contents**	**10**		
1.1	Appropriate length and level of detail	3		
1.2	Identified relevant topics	4		
1.3	Supported by appropriate and scientific evidences in citation style	3		
2	**Depth and completeness of the subject/area**	**15**		
2.1	Reliability and relevance of the proposed problem statement	3		
2.2	Are objectives SMART and addressed the study problem?	2		
2.3	Appropriateness of methods for addressing objectives	3		

ii) Research proposal oral presentation evaluation (50%) *continue*

2.4	Appropriate application of methods for analyzing results	2		
2.5	Demonstrated ability of researcher/s to carry out the proposed research	3		
2.6	Potential to achieve impact beyond immediate beneficiaries	2		
3	**Confidence and attention holding**	**3**		
3.1	Presenter's confidence during the delivery of his/her presentation	1		
3.2	Ability to hold audience's attention	2		
4	**Delivery (verbal)**	**2**		
4.1	Appropriate choice of words for audience, proper use of jargon, correct grammar, good vocal variety, proper pace, clarity and able to link points clearly	2		
5	**Body language (non-verbal)**	**5**		
5.1	Eye contact, poise and appropriate physical gestures vs. unnecessary and nervous movements	5		
6	**Ability to answer questions**	**15**		
6.1	Appropriate and relevant answers to questions posed	10		
6.2	Clear and concise	5		
Total		**50**		

Annex 4. Research contract agreement form for Salale University sponsored projects

(To be signed by the researchers and the University representative for research)

This agreement (hereinafter, referred to as research contract agreement) made on this day of _____ by and between _____ (hereinafter referred to as the researcher) and SlU-RPD (hereinafter referred to as the University). Whereas, the SlU-RPD allotted a sum total of Birr_____/

_____ / the researcher is desirous to undertake the research project entitled:

_____

_____. Now, it is agreed by and between the parties as follows.

I. The researcher shall:

   a) Undertake the project in accordance with the terms and conditions set by SlU-RPD research policy and, objectives and methodologies described in the research project document.

   b) Utilize the fund granted in accordance with the budget breakdown presented in the project document

II. Submit the research progress, financial reports, and full-flagged paper of completed research work and settle the financial matter before or right after defence. Any failure to comply accordingly will result in measures such as suspending salary.

III. Amount of grant

The university agrees to allocate a sum total of Birr _____ /

_____/ to the researcher in the research period commencing this day of _____. 50% of the stated fund Birr _____ / _____ shall be released to the researcher within 5 days after signing this agreement.

IV. Utilization of the grant:

   1. The fund granted shall be utilized according to plan stated in the accepted project;

   2. The grant is not allowed to be used for other than for the purpose generally stated in the granted project;

V. Breach of the agreement and penalty

   1. Utilization of the grant for purposes other than what is stated in the project;

2. No fulfilment of the undertakings assumed by the implementer/initiator;

3. Failure or delay in the submission of the progress report and finally final report;

VI. Property rights

1. The project leaders and the University jointly shall be the owner of the output or experiences achieved as the result of implementation of the project.

2. After the completion of this agreement, any equipment, or materials, acquired from the activity/research implementation shall be the property of the University.

VII. Duration and signing agreement:

This agreement shall enter into force on the date of its signature and shall remain valid until date _____ E.C (---------- G.C).

Principal investigator   **College-RPCS coordinator**

    Name: _____   Name _____

    Signature: _____   Signature: _____

    Date: _____   Date: _____

Co-investigators

    Name   Signature   Date

    1._____   _____   _____

    2._____   _____   _____

    3._____   _____   _____

SlU-RPD

    Name: _____

    Signature _____

    Date _____.

Witness:

    Name   Signature   Date

    1._____   _____   _____

    2._____   _____   _____

    3._____   _____   _____

Annex 5. Guiding principles to make contract agreement with other partner institutions

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

1. The project shall be under the thematic and priority areas of SlU and devoted in meeting the research strategic issues of SlU as stipulated in SlU strategic plan and research policy of SlU.
2. The implementation of project shall be monitored and evaluated in both the university and partner institution system.
3. 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/university.
4. 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/SlU.
5. The financial administration shall be based on the project document agreed between SlU and partner institution.
6. The data generated from the project shall be administered through the university system.
7. Based on the above principles the university/colleges/institutes representative and the partner institution shall sign MoU.

Annex 6. Research progress report form

(To be completed by the principal investigator)

1. Title of the research/project:

    _____

    _____

2. Name of the principal investigator:

    _____

3. Mobile number of the principal investigator:

    _____

4. Academic rank

5. Department of PI: _____

6. Name of the school/college/institute of PI: _____

7. Submission of phase-I progress report date (according to the agreement):

    _____

8. Reason for dalliance (if any):

    _____

9. Amount of fund utilized in the first phase: _____Birr from SlU

    _____from other source/s (if any)

10. Work plan for the first phase research/project work:

№	Main activities accomplished in Phase-I	Detail activities accomplished to address the main activity	Outputs the each activity	Budget utilized for each activity	Remarks

11. Problems encountered during the first phase of research work (in detail)

    _____

    _____

    _____

12. Work plan for Phase II research work

No	List of activities done in Phase-II	Detailed description	Expected output from each activity	Budget required	Date of accomplishment	Remarks
1						
2						
3						

13. Total financial requirement for phase II of the research work (in detail)

_____

_____

I certify that information and figures given in the progress report are correct and complete to best of my knowledge, as per the agreement and second phase work plan made with SlU.

Name of the principal investigator: _____

Signature: _____

Date: _____

Approved by the research, publication and community service coordinator

Name of the coordinator: _____

Signature: _____

Date: _____

Comments:

_____

_____

Approved by the research and publication director

Name of the Research and Publication Director: _____

Signature: _____

Date: _____

Comments:

_____

_____

{Note: Submit this progress report in 4 copies}

Annex 7. Procedures for monitoring and evaluation of research activities

Monitoring and Evaluation (M & E) process is designed to play a supportive role in the conducted researches. The implementation of M & E in SlU is to verify the status of research activities so as to identify problems encountered in the process implementing research project in order to take immediate measures and to present challenges to the respective management for those not solved during the field M & E. The M & E is regularly done by the research, publication and community service committee including deans of all colleges of the university. A checklist shall develop by the research team leader for monitoring and evaluation of the research projects that suites a discipline in question. The research committee shall undertake a periodical M & E in various forms, such as:

1. The research committee shall review quarterly, progress and terminal reports and write a report whether the conduct of the research is in line with the project proposal and protocol or not;
2. The committee shall also check whether the research project is undertaken in the time frame as documented in the proposal;
3. The committee shall monitor the management and utilization of financial and physical resources to the planned project;
4. The committee shall write a report and provide a feedback to the researcher, the department where the research project is based and dean of the respective college;
5. The researcher shall send a response letter to department, dean of the college and research committee of the college stating the arrangements made to improve the research undertakings;
6. The researcher failing to report as per the recommendations of the committee shall not be getting a financial support to continue the project.

Annex 8. Registration of the research project

The research projects that funded from the treasury or non-treasury of the SlU shall be registered at the departments, colleges and University level with a serial number. The research proposals shall be sequentially coded and registered with college code, department code, year of registration (last two digits) and the project rank number at the final approval of college level. The code shall be assigned in alphabetical order for departments and colleges in the University. The title of the project shall be written in front of the serial code. The following could be an instance to serially registered research project of SlU. For a research project approved in 2019 and being the first from the College of Agriculture and Natural Resources, Department of Horticulture in that year, it will have the following serial number with a project title written in front of the serial number indicated as: ***CANR/HORT/19/01. Evaluation of Improved Potato Varieties in Potato Growing Areas of North Shoa Zone (Salale), Ethiopia***

The colleges' and departments' code of SlU could be as follows:

1. College of Agriculture and Natural Resources (CANR)

    1.1 Department of Agricultural Economics (AGEC)

    1.2 Department of Animal Science (ANSC)

    1.3 Department of Horticulture (HORT)

    1.4 Department of Natural resource management (NRM)

    1.5 Department of Plant Science (PLSC)

    1.6 Department of Rural Development and Agricultural Extension (RDAE)

    1.7 Department of Water Resource and Irrigation Management (WRIM)

2. College of Business and Economics (COBE)

    2.1 Department of Accounting and Finance (ACFN)

    2.2 Department of Economics (ECON)

    2.3 Department of Management (MGMT)

    2.4 Department of Marketing Management (MKTMGMT)

3. College of Health Science (CHS)

3.1 Department of Midwifery (MID)

3.2 Department of Nursing (NURS)

3.3 Department of Public Health (PUBH)

3.4 Department of Medical Laboratory Science (MLS)

3.5 School of Medicine (SOM)

4. College of Natural Sciences (CNS)

4.1 Department of Chemistry (CHEM)

4.2 Department of Mathematics (MATH)

4.3 Department of Physics (PHYS)

4.4 Department of Statistics (STAT)

4.5 Department of Sport Science (SPSC)

4.6 Department of Biology (BIOL)

4.7 Department of Geology (GEO)

5. College of Social Science and Humanities (CSSH)

5.1 Department of Afaan Oromoo and Literature (AFOL)

5.2 Department of Amharic (ELMA)

5.3 Department of Civics and Ethical Studies (CEST)

5.4 Department of Sociology (SOCI)

5.5 Department of Law (LAWS)

5.6 Department of History and Heritage Management (HIHM)

5.7 Department of Geography and Environmental Studies (GEES)

5.8 Department of English (FLEN)

5.9 Department of Social Anthropology (SOAN)

Annex 9. Research delegation agreement form

<div align="right">Date: ---------------------</div>

<div align="center">

Salale University

Research and Publication Directorate

Delegation Agreement Form

</div>

This delegation agreement is centered on ------------------------- of Salale University (SlU) between the previous principal investigator (PI), Prof/Dr./Mr./Mrs./Ms. --------------------**,** who is leaving the University for the purpose of -- --------------------------------- and delegated the current PI, Prof/Dr./Mr./Mrs./Ms. --------------- --------------------**,** who is already co-investigator of the project.

Office of Research and Publication Directorate (RPD), SlU, granted a total of **-------------** **(---** **----------------**Ethiopian Birr only**)** to a research project entitled -------------------------------- --**.**

Because I, the previous PI, am leaving SlU for --- ---, could not complete the research work, hereby delegate Prof/Dr./Mr./Mrs./Ms. ---------------------------------- as PI to work on the research project and shall submit it according to the time frame of the agreement. I agree to transfer the remaining budget, **---------------------------** (--------------------------------- --------------------------------------- Ethiopian Birr only) to the delegated new PI so as to finalize the work of the research and submit it to the Research and Community Service Coordinator as per the agreed time frame.

I, Prof/Dr./Mr./Mrs./Ms. **---------------------------------------** hereby agree to accept the delegation and its duties, and submit the finalized research as per the research protocol/agreement and responsible for all things pertinent to the research including quality. I, Prof/Dr./Mr./Mrs./Ms. -----------------------------------, the co-investigator of the above mentioned project also agree to support the newly represented/delegated PI as usual as per my signature here under.

Previous PI (Delegator):   ------------, R/C/S/Coordinator:

   Name: ------------------------------   Name: ------------------------------

   Signature: --------------------------   Signature: -----------------------------

   Date: -------------------------------   Date: --------------------------------

Current PI (delegated):   SLU- RPD:

   Name: ------------------------------   Name: ------------------------------

   Signature: --------------------------   Signature ---------------------------

   Date: -------------------------------   Date --------------------------------

Co-investigator:

   Name: -----------------------------

   Signature: --------------------------

   Date: -------------------------------

Annex 10. Research project fund extension format

1. Title Research Project: _____

2. Principal Investigator (s):_____

3. Project Code Nº: _____

4. College:_____

5. Department /Address : _____

        Tel: _____

        Fax: _____

        P.O. Box: _____E-Mail: _____

6. Duration:

7. Commencement_____Termination_____

8. Amount of fund approved in Birr_____

9. Project sponsoring body   From SIU_____ From others_____

10. Objectives for the extension:

    _____

11. Project status including last achievements and progress maintained to date, (summary)

    _____

12. Amount of budget extended:_____

13. Reasons /justification for the extension (state briefly why you intend to extend your

    project to the coming recurrent budget)_____

14. Remaining activities to be accomplished in detail:_____

15. Methodology:_____

16. Work plan for the current reporting period: _____

17. Budget expenditure (might be modified as required)_____

18. Approval:

   Department Head (Name)

   _____

   College Coordinator (Name)

   _____

   Research and Publication Director

   _____

Annex 11. Guidelines for writing terminal reports

Research report content: - A research report should include the following headings after cover and title pages:

1. Acknowledgment
2. List of abbreviations
3. Table of content
4. List of tables in the text (if any)
5. List of figures in the text (if any)
6. List of tables in the annex (if any)
7. List of figures in the annex (if any)
8. Abstract
9. Introduction
10. Objectives
11. Literature review
12. Methodology: experimental details
13. Results and discussion
14. Conclusions and recommendations
15. References
16. Appendices

Annex 12. Review form for terminal report (to be filled by the reviewers) [25]

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 organization 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. Comments on the introduction and objective 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?

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?

---

[25]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.

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 utilization?

11. Any additional comments

12. The reviewer should show his comment in the following rates as justified 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 justifiable reasons for the section forwarded by the reviewer

    ----

Annex 13. Research innovative funding (RIF)

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 paradigm shift and brake through technologies
3. Expected to bring change in short period
4. Intend to develop the indigenous knowledge
5. Research endeavour that could advance to centre of excellence
6. Research endeavour that will produce new tools, methodologies and technologies
7. Research project that addresses emerging issues and contribute in the recognition of the university

Annex 14. Ethical approval form

This form has two sections. The appropriate recommendations, signatures and dates should be obtained before submission to the director of research and publication.

Section one: General

1.1 Name of principal investigator …………………………………………………………..
Department…………………………………………………………………………..
College……………………………………………………………………………..
Title and qualifications………………………………………………………………….
Mobile………………… …………………Email…………………………….…
1.2 Name (s) of co-investigator (s) …………………………………………………………
Department…………………………………………………………………………
College……………………………………………………………………………
Title and qualifications…………………………………………………………………..
Mobile………………… …………………Email…………………………...…

Project details

   1.3. Full title and abstract of the project:

   1.4. Research problem

   1.5. Research objectives

   1.6. Research methodology

   1.7. Expected significance of study

   1.8. Other relevant project information

   1.9. Proposed duration of project (give start and end dates):

   1.10. Place of fieldwork:

   1.11. Experimental site:

General ethical concerns

1.12. Is this a degree oriented research? If yes, give names and titles of supervisor(s), course teams and telephone contacts

1.13. If researcher does not possess a doctorate degree, give names and titles of mentor(s), course teams and telephone contacts

1.14. Where confidentiality is required in the research project, explain how it will be ensured and guaranteed?

1.15. Explain how the findings of the research project will be disseminated taking into consideration recognition of ethical concerns?

1.16. It is required that consent is sought if human subjects are involved. Explain whether consent will be verbal or written. Attach a copy of the consent statement which will be applied to this study.

1.17. It is required that researchers declare any conflict of interest. Explain any conflict of interest (who, and how, and extent of conflict of interest). Failure to disclose any conflict of interest may result to disciplinary action.

1.18. Explain any physical, biological, chemical, safety, psychological or any related concerns/harm this research project can cause in its execution.

1.19. Is this a collaborative research with other institutions? If yes, give names, titles, qualifications, email addresses and telephone numbers of collaborators. Will additional ethical clearance be required from institutions of collaborators?

1.20. Will there be recorded media (audio, video or other – specify) involved in the execution of the research project? If yes, explain.

1.21. How will the research be funded? If human subjects are participants, have costs for transportation, feeding, and honoraria been factored into the budget? Explain.

Section Two: - Biomedical research ethics

2.1. Indicate type of research: Basic research/applied research/clinical/medical equipment trial/experimental/epidemiological/observational/psychological/other specify

2.2. Explain statistical concerns for sampling and statistical techniques to be used

2.3. Indicate which of the following procedures will be used for data gathering? Structured interview/questionnaire administration/review of existing records/ medical examination/urine and analysis/fecal samples and analysis/ body fluids and

analysis/blood sampling and analysis/biopsy/ plant components/experimental animals/other (specify)

2.4. Indicate which type of human subjects are included in the research: humans in existing data/healthy persons/patients/individuals who are sick (or ill)/males/ females/ pregnant persons/professional/ prisoners/fetuses/cadavers/ other types of human material (specify)

2.5. Explain how samples and specimens will be disposed of.

2.6. Are there any financial benefits given to the researchers by pharmaceutical companies? If so, please indicate and explain how this does not affect research objectives.

2.7. Indicate and explain what types of risks are involved in the execution of the project and steps to be taken to reduce the risks? The risks should include pain, discomfort, stress and strain, accidents and other complications

2.8. Are the methods used tested, recognized and established? If no, how were the methods derived?

2.9. Is there a pilot study phase of the project? If yes, does it take into consideration the anticipated risks and how they can be reduced?

2.10. Will there be need for interim analyses? If yes, explain.

Annex 15. Procedures for selection of best researcher

1. The research and publication directorate requests colleges to nominate individual(s) to forward candidates based on the criteria (**Annex 16**).

2. A researcher could be nominated by peers or apply personally to his/her department for the award and staff shall be notified to compete for the award on 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 research, publication and community service coordinator of respective college.

5. The selection of the best researcher at college level is to be carried out by the college research committee coordinated by the research, publication and community service coordinator.

6. A nomination made by each research committee together with the minutes of the discussion during the selection process is forwarded to the academic commission of respective colleges.

7. The name of a candidate for the research award of colleges and relevant documents will be submitted to the director for research and publication.

8. The director in consultation with the V/P/R/C/Service will set up an independent informal committee if necessary to analyze the selection process.

9. The informal committee will submit the candidates for the award to the V/P/R/C/Service who will again present the results to the Senate for approval.

10. The director for research and publication will finally recognize the best researcher of the year during annual research conference day.

Annex 16. Evaluation criteria to nominate best researcher award

Best researchers shall be nominated in each department, colleges and at SlU level every year. The colleges and the 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 selecting the best researchers are as follows:

1. Best publication owner

Name of the candidate _____ Department _____

Rank _____

Sr. Nº	Criteria	Score
1	If he/she/they has/have published two or more articles in a year in reputable journal and appear as first/senior author at least in one article; or if he/she/they has/have invented at least one new technology, which should gotten approval by the patent Office of Ministry of Ethiopian Science and Technology	45
2	If he/she/they has/have demonstrated active participation as a member in the editorial committee of the journal or proceedings	10
3	If he/she/they has/have disseminated his/her/their article/innovations for policy makers in national or international forum (research for action)	20
4	If he/she/they has/have served as organizing committee member in scientific conferences	10
5	If he/she/they has/have presented a public lecture/seminar/scientific conferences	10
6	If female candidates (bonus)	5

2. Best grant owner

Name of the candidate(s) _____ Department _____

Rank _____

Sr. Nº	Criteria	Score
1	If he/she/they has/have gotten a grant from external funding agency on priority areas of SlU	30
2	If he/she/they has/have a participatory mega project (encompass multidisciplinary team and students)	30
3	If he/she/they has/have provided tangible benefits of the grant to the community	20
4	If he/she/they has/have secured more than one grant	15
5	If female candidates (bonus)	5

3. The best researcher(s) and his/her/their department that exceeded 75% shall be awarded. Departments or research projects that have more than 2 candidates either in research activities or publications will be awarded a certificate.