

# RIFT VALLEY UNIVERSITY



*Hub of Excellence*

## RESEARCH AND PUBLICATION GUIDELINE

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## **Preface**

Though the effort is at its infant stage, academic staff of Rift Valley University (RVU), in all disciplines, has been trying to conduct research that not only assist the teaching-learning process but also address the top priority problems of the society. Cognizance of this effort, the University has been working to develop its research and publication services since its establishment in 2000. As part of its endeavor, the University hosts research forum annually where researchers present their research results. All the papers presented in the Annual National Research Conferences are published in proceedings. We believe both the symposia and proceedings help staff researchers not only to disseminate the findings and results of their research but also to develop their research skills. Besides, RVU launched research journal which is hoped to be an additional tool to motivate RVU researchers to engage in research activities widely and effectively. The efficacy of all these efforts, however, needs to be supported by sound directives and guidelines. This document is prepared in this view. It is hope that this guide line serves as a significant tool to improve the quality of the researches by our academic staff.

## Acronyms

MoFED	Ministry of Finance and Economic Development
ETB	Ethiopian Birr
CRP	Coordinator of Research and Publication
CRPCSC	Campus/College Research, Publication and Community Service Committee
VPRCSP	Vice President for Research, Community Service and <b>Partnership</b>
VPAA	Vice President for Academic Affairs
SSCRCS	Senate Standing Committee for Research and Community Service
RPG	Research and Publication Guidelines
PR	Principal Researcher
RTA	Research Thematic Area
RDC	Research and Development Committee

## CHAPTER ONE

### PREFACE OF RIFT VALLEY UNIVERSITY

#### **Background of Rift Valley University**

Rift Valley University initially conceived as College, was established in Adama City of East Shawa Zone, Oromia National Regional State in October 2000 G.C, foreseeing the core values of *good governance, commitment to quality services and community development, gender sensitivity, secularism and non-partisan, creativity, responsiveness, team work spirit, and work culture* parallel to the nation's development goals along with the purpose of producing competent, ethical and skilled manpower without making any distinction between people of different ethnic, religious, social, economic and political backgrounds.

After securing its legal personality, the then Rift Valley College strongly worked on the accreditation processes of its training and education programs from all regulatory bodies, and managed to get full accreditation from Higher Education Relevance and Quality Agency and Regional States TVET Agencies. Taking its flourishing capacity and quality service into account, the Ministry of Education, in collaboration with HERQA, granted the rank of University College in August 2007 G.C. This was not an easy task and a simple success story for the institution. The two regulatory bodies had conducted rigorous evaluation of the systems of the institution, physical facilities and learning resources of its campuses and faculties to come to decision of such status change. Afterwards, Rift Valley University College rigorously worked towards becoming a full-fledged university and realized itself as Rift Valley University in August 2014 G.C.

Currently, Rift Valley University being a pioneer and the largest Private Higher Learning Institution in Ethiopia has been delivering quality education to the citizens and foreigners who have lived in the country for different purposes. Furthermore, the University has 50 Campuses, 3 TVET Colleges and College of Open and Distance Education (32 accredited branches) with diversified fields of study across the country. Over the last two decades, thousands have joined and graduated with Technical and Vocational Education and Training (TVET), Bachelor's degree, and Master's degree that enabled them to support themselves and their families. Others have also managed to create their own jobs whereby they exhibited the merits of their training and education at Rift Valley University in fostering the already established development goals of the country.

## **Mission, Vision and Values of Rift Valley University**

### 1.1.1 Mission

Rift Valley University exists to produce graduates who are competent, committed and ethical citizens; to engage in innovative and problem solving research; and to deliver sustainable community services.

### **Vision**

RVU aspires to be one of the leading universities in teaching, research and community engagement in Africa by 2030.

Motto of RVU

***“Hub of Excellence”***

### **Values of RVU**

The following are the values cherished by RVU:

1. Quality and Excellence
2. Responsiveness to customer needs
3. Good Governance
4. Professionalism and Academic Freedom
5. Team Spirit
6. Professional Integrity and Ethical Practices
7. Creativity and Innovativeness
8. Commitment to Community Services
9. Recognition of Diversity and Gender Sensitivity
10. Social Responsibility

## CHAPTER TWO

### INTRODUCTION OF THE GUIDELINE

#### 2.1 Operational Definition of Terms

Unless the context requires otherwise, in this guideline:

**Responsible Unit:** shall mean any campus, department, or unit in the university that is engaged in teaching with the aim of producing the necessary personnel to meet the country's various needs, including professional upgrading, whether in regular teaching or in continuing education programs;

**Academic staff member:** shall mean any employee (Ethiopian or expatriate) of the university engaged in full time or part time teaching and/or research or any other activity deemed to be academic by any responsible units and approved by the VPA;

**Research staff members:** Shall mean any employee (Ethiopian or expatriate) of the university engaged in full time or part time research and/or teaching or any other activity deemed to be Research by any responsible units and approved by the VPRCS

**Committee:** is a group of individuals officially assigned to evaluate and recommend for approval any research documents stated in this guideline.

**Original work:** shall mean a work:

- a) Whose content is not copied from other works word by word without appropriate citation and acknowledgement?
- b) Whose sources of ideas are quoted properly, acknowledged duly, and provided in the List of References;
- c) Whose approach is geared towards the special needs of Rift Valley University?

## **2.2 The Need for Research and Publication Guidelines**

Updating and having a systematic and well-organized document on research guidelines that fit in to the current demands is expected in the Rift Valley University. This is due to the fact that this guideline reduces a state of spontaneity, irregularity, and inconsistency in all aspects of research and publication in the university. It has been found a matter of urgency to update and improve operational document that deals with stipulations and provisions that will govern and guide the research ventures and maintain consistency, fairness, and reliability in all processes of research and publications. It is hoped that the Research and Publications Guidelines (RPG) document will help to define methods or course of actions to select and pursue in Rift Valley University. Besides, this guideline will determine the present and future decisions in the university in relation to research and publication activities.

## **2.3 Objectives of the Research and Publications Guideline**

The objectives are:

- To manage and administer research-related issues properly and systematically;
- To prioritize projects of institutional and national significance;
- To ensure that resources are allocated and utilized for research purpose appropriately vis-à-vis the policy of the university;
- To ensure that initiation and reviewing of research projects and the processes of conducting research, reporting findings, and evaluating whole research activities are conducted appropriately;
- To identify duties and responsibilities of the university, researchers, fund providers, and other stakeholders, and
- To ensure that research procedures and practicalities are clearly written and communicated to appropriate organs.

## **2.4 Scope of the Guideline**

This guideline delineated to all RVU staff, which are active in teaching, research, administration and provision of any form of support to the core functions of the University, and other stakeholders. The guideline framework shall also apply to all RVU units and sister organizations and covers research and publication activities.

## **2.5 Procedures for Research and Publication**

### **2.5.1 General Procedures**

- Rift Valley University's staffs shall have full guarantee of freedoms in carrying out the research mission of the university effectively.
- RVU staff members must also be aware of their various obligations in the conduct of research. They should realize that this document is abiding for years to come and agree to abide by the rules and guidelines as provided by, and stipulated in the document;
- Academic staffs in respective campuses are expected to devote 40% of their time to research and community service activities. Whereas, staff of research and community service are expected to devote at least 75% of their time to research as provided in Rift Valley University's Senate Legislation;
- Research grants are awarded to academic staff (an Ethiopian or expatriate, of the university who is engaged in full time or part time teaching and/or research), and academic service staff (librarians, technical assistants). Priority is given to fulltime staff members. However, the expatriate shall not be entitled for financial management, weather he is PR or Co-researcher. Anyone can be granted Research fund on the following conditions;
  - If considered acceptable for funding especially in accordance with the university mandate and thematic area
  - If it is in response to invitation that is called by the university
  - If there are other convincing reasons such as involving an exchange of academic staff between the university and another higher education
- Normally, the principal researcher (PR) for team-based projects should be a permanent full-time staff;
- Part-time and full-time fixed term staff members may qualify as co-researchers
- Visiting or exchange staff members with research experience may qualify as researchers, but the duration of the grant should not go beyond the term of their appointment or hiring;
- Retired staff members with research experience may qualify as researchers, but the duration of the grant should not go beyond the date of their retirement. However,

if a professor retires, he/she will be given a title of Prof. Emeritus and can work as co-researcher.

### **2.5.2. Specific Procedures**

The following issues are worth considering while initiating research project proposals:

- Research proposal initiation shall be set based on the research thematic and priority areas of the university
- A researcher who is already granted a research fund by the university and who has not completed the research project is not entitled to initiate a research proposal (as a PR or co-researcher) for a receipt of further grant fund.
- A researcher who proposes a new project as a PR or co-researcher cannot initiate/participate in any other Research project. However, a researcher whose project is funded by a grant from an external source is encouraged to initiate a new proposal and apply for funding by the university.
- An application for funding more than one Research project at a time (within the same term) will not be considered. However, if the proposals are of particular merits to the university as well as to the country, there is a possibility to award more projects by the same principal researcher on conditions that funds are available and the researcher's working conditions allow him/her to complete the projects within expected project duration. Such exceptional cases should be approved by the university management.
- There shall be Research innovative fund run by the president office. However, this fund is very limited and highly competitive. Only innovative Research proposals shall be funded. The total budget under this program shall be determined by the university management.
- In addition to Rift Valley University's academic staff, research proposals can also be initiated by any academic staff, researchers from research institutions and others.
- All proposals shall be initiated by individuals or group of researchers but it is encouraged to initiate and conduct a research with more than two members from the same or different fields of study and from the same university or from different universities.

## **CHAPTER THREE**

### **Prioritizing and Administration of Research**

#### **3.1 Prioritizing the Research Thematic Areas**

Research thematic areas shall be revised in line with the needs of the country, regional development goals; comparative advantages and the strategic plan of the University; a new demands of the industry and the community by the approval of the RDC. It is essential that the themes be further broken down into sub-themes. The revision of the themes can be initiated by research directors or coordinators of the respective college/institute/center/school/unit and the request shall be submitted to the executive research director. The executive research director in consultation with the vice president shall evaluate the request and establishes a thematic revision committee consisting of professionals in the area and submits the proposal revision to the RDC for approval.

#### **3.2 Administration of Research and Publication**

- The overall administration of research and publication is vested in the VPRCSP.
- The VPRCSP, DRCS, College//Institute/School Deans, Department/Center Heads shall have the responsibility to implement the guidelines developed by RDC and approved by the Senate;
- All College//Institute/School/Department/Campus shall have Research and Publication committees (RCs). The Committees shall
  - ensure the alignment of research proposals with the mission/vision and comparative advantage of the University as well as the development needs of the country.
  - see to it that seminars are included in the academic calendar of their respective programs of study and that the academic staff members actively participate in and attend these activities.
  - be accountable to the dean/head of the respective academic unit.
- Researchers whose proposals are approved and funded shall submit regular reports in accordance with the research and publication policy and guideline;
- All reports by researchers to be submitted to external funding bodies shall obtain the prior endorsement of the VPRCSP.
- The financial administration of research funds shall be governed by the existing

financial policy and procedures of the University and such other relevant guidelines as may be issued by the VPRCSP;

- Research undertakings shall be carried out in accordance with a contractual agreement signed between the university and the researcher/s in light of the research and publication policy and guideline;
- Breach of terms of agreements shall be handled in accordance with the pertinent rules, policies and guidelines of the University.
- The RDC shall devise concrete mechanisms of enhancing research funds and incentives.
- DRCS shall organize institutional, national and international research conferences, seminars, symposia and workshops.
- The DRCS shall disseminate research outputs through publication of books, journal articles, proceedings and periodicals.

### **3.3 Research Activities**

The following are the components of research activities in the University:

- Project formulation and preparation;
- Conducting full time research, research administration or coordination of research activities of the institute:
- Research management by each project leader;
- Data management by each project participant;
- Reporting by each project participant;
- Preparation of publications by each researcher or research group;
- Seminars/workshops or training programs organized or conducted by specified staff;  
and
- Others to be determined by the appropriate University authority.

### **3.4 Research load credit allocation**

- The workload of a teaching staff shall respectively be 70 % and 20 % teaching and research.
- The workload distribution for research staff is allocated as follows: 70% for research

and 20% for teaching.

- Without prejudice to the generality of the foregoing provision, it is a requirement that an academic staff undertakes research activities either individually or in collaboration with others in the academic unit concerned or with organizations outside the University.

## CHAPTER FOUR

### RESEARCH PROPOSAL SUBMISSION, EVALUATION AND WRITING OUTLINE

#### 4.1 Submission of Research Proposals

- Call for proposal will be announced timely based on the university schedule.
- The deadline for the submission of project proposals to respective office shall be strictly respected. Late project proposals will be rejected;
- Project initiators should fill out the *Research Fund Application Form*, addressing all items and requirements of the format accordingly (Annex-1);
- Research proposals shall be submitted, both electronically and in hard copies as per the requirement, to respective departments and/or campuses or/University.

#### 4.2 Evaluation and Approval of Research Proposals

Criteria for evaluating and approving project proposals are:

- Research proposals must undergo a rigorous review at the level of academic department and campus/college for approval or rejection before they are submitted to office of Officer for Research, Community Service and Technology Transfer for further reviewing and screening. The review shall take into account, among others, the social and economic priorities as stipulated in the Research and Thematic Areas of Rift Valley University, research ethical issues, scientific research conventions and standards, and financial feasibility of the research;

Academic departments and/or campuses/College will arrange a Departmental/campus/College Proposal review day, on which all new research proposals are presented and reviewed publicly for amendments, approval, or rejection;

- Stakeholders or beneficiaries from the Research findings will be invited on the review of Research proposals day at Academic Department/Campus/College level

- The academic department and/or Campus/College Research, Community Service and Technology Transfer Committee (CRPC), along with the Department Head will participate in the review process.
- Project initiators whose proposals are reviewed and approved are requested, if required, to revise their proposals by incorporating the comments of the Academic Department and/or Campus/College Research, Community Service & Technology Transfer committee,
- The revised and improved proposals will be further approved by the office of the head of academic department, signed duly, and formally submitted, both in hard in hard copy and electronically to office of the dean. The office of the dean will endorse the proposals, signs duly, and submits the proposals formally to the office of the director for research , community service and technology transfer.
- The office of director for research, community service and technology transfer, in consultation and agreement with vice president for research, community service and technology transfer together with Standing Committee for Research, Community Service and technology transfer invited internal and/or external researchers/experts to critically review at university level, using the *Guidelines for Research Proposal Reviewers*
- A project shall be approved only if:
  - it is relevant to Rift Valley University Research Thematic Areas;
  - it will make an impact on and contribution to education in the university as well as the quality of life of the society;
  - it will produce new knowledge or contribute to different field/areas of specialization;
  - Priority given to research projects may be pursued subject to the following conditions:

- The project is urgently needed for the new development program, and no previous similar local projects have been conducted.
- For proposals that require sensitive information or cooperation from other institutions/companies, the staff researcher will be required to show proof of consent from the mentioned institutions before the approval of the proposal;
- If a PR or co-researcher has an on-going (on schedule/delayed) or deferred project, and he/she proposes a new one, approval of the new project will be deferred until the earlier project is completed;
- Committee for Research, Community Service and technology transfer can approve or disapprove projects and make overall modifications, as required, including financial revisions;
- The Office of the Vice President for Research, Community Service and Technology Transfer will take the projects to the Senate of the University for evaluation and endorsement. The Senate standing can fully endorse the budget proposal of the project or make some financial modifications or reject the proposal entirely.

### **4.3 Research Proposal Writing Outline**

It is difficult to suggest an all-embracing research proposal writing format, because of the research problems to be studied and orientation of researchers. However, it is necessary to prepare a standardized research proposal writing format to be used in the University. Therefore, all research proposals to be sponsored by Rift Valley University should at least (as a minimum requirement) follow the research proposal writing format outlined below and written in 1.5 line, font size 12, Times New Roman, not less than ten (10) pages in length and then submitted in soft and hard copies to the respective Campus/College/University.

The outlines include:

#### **4.3.1. Chapter One: Introduction**

##### **Chapter One**

- Title, 18 font size, all caps, bold & centre on the page

##### **Introduction**

- title 16 font size, all caps, bold & centre on the page

#### **Background of the Study**

- Title 14 font size, aligned to left margin, bold and title case

#### **Statement of the Problem**

- Title 14 font size, aligned to left margin, bold and title case

#### **Research Questions**

- Title 14 font size, aligned to left margin, bold and title case

#### **Objectives; General and Specific objectives**

- Title 14 font size, aligned to left margin, bold and title case

#### **Hypotheses (optional)**

- Title 14 font size, aligned to left margin, bold and title case

#### **Significance of the Study**

- title 14 font size, aligned to left margin, bold and title case

#### **Scope and limitation of the Study**

- Title 14 font size, aligned to left margin, bold and title case

#### **Operational Definitions**

- Title 14 font size, aligned to left margin, bold and title case)

#### **Structure of the paper**

- title 14 font size, aligned to left margin, bold and title case)

### **4.3.2. Chapter Two: Review of Related Literature**

#### **Chapter Two**

- Title, 18 font size, all caps, bold & centre on the page

#### **Review of Related Literature**

- Title 16 font sizes, all caps, bold & centre on the page

#### **Theoretical Framework**

- Theoretical framework should be written as title 15 font size, bold and title case, aligned to the left margin
- Sub topic under 2.8.2.1 (title 14 font size, bold, title case, & aligned to the left margin)

#### **Empirical Reviews**

- Title 15 font size, bold and title case, aligned to the left margin

#### **Conceptual framework (Optional)**

- Title 15 font size, bold and title case, aligned to the left margin)

### **4.3.3 Chapter Three: Research Methodology**

#### **Chapter Three**

- Title, 18 font size, all caps, bold & centre on the page

#### **Research Methods**

- title 16 font size, all caps, bold & centre on the page

#### **Descriptions of the study area**

- Title 14 font size, bold, title case, & aligned to the left margin

#### **Research Design/Approach**

- Title 14 font size, bold, title case, & aligned to the left margin

#### **Source & Type of Data**

- title 14 font size, bold, title case, & aligned to the left margin

#### **Sampling Design**

- Title 14 font size, bold, title case, & aligned to the left margin

#### **Methods of data collection**

- title 14 font size, bold, title case, & aligned to the left margin

#### **Data Analysis Techniques**

- Title 14 font size, bold, title case, & aligned to the left margin

**Model Specification and Description of Study Variables (optional)**

- Title 14 font size, bold, title case, & aligned to the left margin

**Ethical considerations**

**4.3.4 Chapter Four: Logistics**

- **Time schedule/phases**
- **Budget**
- **Miscellaneous** (contingency for unmentioned once).

**4.3.5 References:**

Provide a list of references to works cited in the proposal and use the style of acceptable professional journals or **APA style**)

**4.4 Research Proposal Assessment Criteria**

All research proposals of the University shall be evaluated by the Department/Campus/College and University levels based on the following criteria:-

**Table 1: Research Proposal Evaluation Criteria**

SN	Evaluation Criteria	Outstanding	Very Good	Good	Sufficient	Poor
		5	4	3	2	1
1	<b>Problem definition</b> <input type="checkbox"/> Relevant <input type="checkbox"/> clearly phrased <input type="checkbox"/> Testable					
2	<b>Objectives of the research</b> <input type="checkbox"/> Specific <input type="checkbox"/> Measurable <input type="checkbox"/> Achievable <input type="checkbox"/> Relevant <input type="checkbox"/> Timely					
3	<b>Research design</b> <input type="checkbox"/> theoretical framework <input type="checkbox"/> research methods					

	<input type="checkbox"/> Sample Size and population <input type="checkbox"/> Triangulation					
4	<b>Execution</b> <input type="checkbox"/> scholarly level <input type="checkbox"/> level of innovation					
5	<b>Research results</b> <input type="checkbox"/> Description <input type="checkbox"/> Analysis					
6	<b>Analysis, interpretation, Conclusions and Recommendations</b> <input type="checkbox"/> Clear <input type="checkbox"/> Feasible <input type="checkbox"/> Defendable					
7	Justification of the sources and literature used					
8	Clearly phrased reporting					
9	Budget and Time Utilization					
10	Implementation potential					
11	(Relevance)					
	Total score = ----- Total score in 100% = -----					
	<u>Note</u> For a research proposal to qualify for acceptance, it must score at least 70% of the total marks made up of not less than 3 points of the 5 scores allotted to each criteria.					
	Major Strength of the research _____ _____ _____					

	_____
	Major limitations of the research _____ _____ _____ _____
	Recommendations to increase the quality and relevance of the research _____ _____ _____ _____

Assessors' overall recommendation concerning the research proposal:-by any standard of scientific enquiry the proposal is (show with thick mark in one):-

-----researchable as it is

-----researchable with minor correction

-----researchable with major correction

-----not at all researchable

Assessors' name ----- Signature ----- Date -----

-----  
 -----

The status of the research proposal, either accepted or rejected would be communicated to the researcher(s) within a reasonable time. The rejected research proposals are usually returned to the researcher(s) with comments from the assessors as to why they have been rejected. The rejected research proposal can be resubmitted for consideration after the necessary amendment or correction have been effected, but can be resubmitted only once.

## CHAPTER FIVE

### RESEARCH FINANCING: PLANNING, ALLOCATION, AND ADMINISTRATION OF RESEARCH FUNDS

#### 5.1 Research Funding Process

The following points are used to supervise, control, regulate, and direct the research funding and utilization processes.

- All research projects funded by the university shall comply with the rules and regulations, research and community service policy of the university as well other pertinent government laws.
- The Office of the Vice President for Research, Community Service and Technology Transfer in charge will be responsible for supervising the overall processes of research financing including preparation, approval, allocation, and utilization of research budget in the university during the fiscal year. Accordingly, all requests for disbursement or reimbursement from research project funds are channelled through the Office of the Director for Research, Community Service and Technology Transfer.
- All proposals to be funded will be collected by the campus/college research ,community service technology transfer and sent to the Office of the Director for Research, Community Service and Technology Transfer for subsequent review steps and ultimate decisions by the University senate
- After the budget proposal has been approved by the University management, the Principal Researcher(PR) will be communicated through campus/college dean to submit a copy of the final draft of the proposal to the Office of the Director for Research, Community Service and Technology Transfer. At this stage, project contract agreement will be signed between Rift Valley University and the PR using *Research Fund Grant Agreement Form*.
- The PR should fill out the form, affix his/her signature, and submit it in copies to Office of the Director for Research, Community Service and Technology Transfer;

- Collaborative research and research funded outside Rift Valley University shall be registered and agreement shall be signed between Principal Researchers, donor(s), and Rift Valley University indicating the role of each party, benefit sharing, and equipment ownership and patenting issues based on the guiding principles
- Research funding shall be effected at least in three phases. The initial payment will be released right after signing the contractual agreement. The second half will be released, in the middle of the proposed project duration, provided that the initiator has settled the initial payment and he/she has submitted a successful progress report to Office of the Director for Research, Community Service and Technology Transfer. The final payment will be effected up on the report of the final research and settlement of the 2<sup>nd</sup> payments.

## **5.2 Follow-up of Research Progress and Budget Utilization**

- In all research projects, the Principal Researcher (PR) takes both the technical and financial responsibilities from the beginning up to the end of the project
- Liquidation of previous cash advances should be supported by acceptable cash invoices/original official receipts; its validity should be confirmed by the signature of the Principal Researcher, affixed in the *Progress Report Form*;
- PR who fails to liquidate cash advances within the proposed period is sent a warning to submit all supporting documents two weeks after receipt of notice. This requirement must be fulfilled before subsequent requests for cash advances;
- Once a research project is approved and the budget is secured, the researcher cannot normally change the place of work, work plan, methodology or objective of the study. However, in the event of compelling circumstances, the researcher should submit a formal request (written application supported with necessary documents) for any of such alteration to Office of the Director for Research, Community Service and Technology Transfer.
- No disbursement of funds in excess of the approved budget is allowed. However, those with exceptional cases may file a request for additional funds to Office of the

Director for Research, Community Service and Technology Transfer. The Office of the Director for Research, Community Service and Technology Transfer in consultation with the office of the vice president for research, community service and technology transfer may approve requests;

- The researcher should strictly adhere to the cost breakdown indicated in the approved project document. Deviation from this is prohibited unless permitted by office of the vice president for research, community service and technology transfer and the office of vice president for administration and business development.
- Payment of fees for research personnel (e.g. research assistants, data collectors, labourers, etc ) is to be handled by the researcher;
- The Principal Researchers shall cooperate with the office of officer for research, community service and technology transfer by providing the necessary document or information, including access to research protocol and pictures of research activities (where applicable) to assist the evaluation or monitoring mission.

### **5.3 Expendable and Non-expendable Research Resources**

- Part of the research fund given to a research project could be utilized for the purchase of items and equipment that are essential to the proposed research work. Purchase of all items and equipment should follow the university's purchasing system;
- Consumable items and equipment that consumed in the project life time can be purchased by the Principal Researcher himself/herself. However, those items and equipment that can serve more than project life time shall be purchased by the university. The researcher should clearly indicate in the budget breakdown of the project proposal which items can be purchased by him/her and which ones should be purchased by the university.
- Researchers are advised to postpone projects if, due to certain difficulties, necessary equipment has not been procured or delivered. As a general rule, projects may be deferred for a maximum period of two times, after which they must be implemented. If not, they are considered as unfeasible and will be officially cancelled by the office of the vice president for research, community service and technology transfer. The

researcher should use resources already available in RVU (e.g. fixed items, chemicals, laboratory equipment, library resources, IT facilities and services). If the approved fund for the project involves the cost of these resources, this cost will be deducted from the project's budget and deposited to the university's treasury.

- Purchase of resources already available in the university is not allowed as it leads to misuse and unnecessary expenditure of the research budget. Requests for use of such resources, facilities, and services may be made through written application, outlining the resources required, to be endorsed by the authorized office.
- The researcher must secure a written permission from office of the officer for research, community service and technology transfer before taking equipment or a non-expendable item out of campus for the research purpose.
- The equipment, books, journals, and any other fixed items and resources acquired by the PR under his/her research project must be registered by the property administration of the university or campus and should become institutional property upon completion of the project;

### **5.3.1 Research Travel Cost, Allowance, and Other Payments**

Modalities for the utilization of research funds for travel/fieldwork are based on the following circumstances:

- The amount allocated under the travel/fieldwork/allowance/per diem of the research proposal is to be utilized for the implementation of the ongoing project only. This should not be used for attending conference, seminar, workshop, or attending any training courses;
- The travel/fieldwork is to be undertaken only for data collection and collection of other information within the general scope and sphere of the research project. No foreign travel is permissible within this scheme;
- Payment of allowance/per-diem/travel costs to researchers shall be in line with the amount allocated under travel and fieldwork in the research grant or as agreed upon by the funding agency and RVU

- Salary (where applicable), per diem, and other payments shall be based on the financial regulation of the University for research projects.

### **5.3.2 Reward, Remuneration, and Recognition**

- The Office Of The Officer for Research, Community Service and Technology Transfer shall evaluate and select up to 3 (three) outstanding researchers at campus level and submit their names, indicating their rank order, to the office of director for Research, community service and technology transfer for further evaluation.
- The awards shall include recognition certificate, financial reward, and other material rewards as required.
- The researcher (s) with outstanding research merit shall also be sponsored to attend national conferences or sponsored to participate on local research related training;
- Reviewers of research proposals, progress reports, and final reports shall be offered incentives.
- Researchers whose research projects are funded by the University and publish their outputs on internationally reputable journals will be awarded.

### **5.4 Completion and Reporting of Research Projects**

- All projects have date of commencement and date of termination (project life cycle), and all PRs are required to observe the duration of their project. The researchers who have gone beyond the research period without justifiable reason will not be entitled for future grants for at least two fiscal years. No extra funding or load extensions (if the researcher had been allowed some reduction in teaching loads) shall be given for a research project that has been extended without justifiable cause;
- A project period extension will be allowed only if there is a convincing reason, and the necessity of the extension is approved by concerned office of the university. The researcher should apply to the Campus Research and Community Service Coordination one month prior to the desired extension to allow time for considering

the application and making appropriate decisions. Requests for extension of deadlines should always be accompanied by a current status report;

- A project is considered complete only if it complies with the following provisions and provided that the researcher has settled all the funds used for the projects submitted all non-expendable items or equipment either purchased by the project fund or taken from the university (if applicable);
- The report shall be presented on an open defence to the academic department staff, reviewed/evaluated by office of the officer for research, community service and technology transfer, which initially approved the project proposal, or by relevant evaluators selected from academic staff members upon recommendation by the Department Head/ office of the officer for research, community service and technology transfer;
- Alternatively, the report will be evaluated by anonymous reviewers. In this case, the identities of the researcher(s) and the evaluator(s) are kept confidential. The researcher(s) is (are) discouraged from seeking the identity of the evaluator(s) and vice versa. Consultations between the researcher(s) and the evaluator(s) are likewise discouraged;
- The revisions recommended by evaluators should be incorporated in the final output, where applicable, before the project is considered completed. However, the researcher is not required to comply with evaluator's comments that are not found to be valid, and is allowed to explain his/her stance;
- In cases where clarification(s) pertaining to the evaluation results are needed, the PR may write his/her clarifications to the evaluator(s), through office of the officer for research, community service and technology transfer, who will then forward the queries to the evaluator concerned;
- The research will be submitted to a second evaluator(s) only if:
  - The evaluation outcome is not substantial and not recommended for publication;
  - the evaluator(s) has (have) requested that evaluation outcomes should be withheld;

- There are differences in the opinion between the proponent and the evaluator;
- There is a conflict or disagreement between the first evaluator and the researcher, the second evaluator will decide on the point of conflict or the issue(s) of disagreement;
- A conflict arises between the first and second round evaluation, the matter will be brought to the head office of the University for the Final Resolution of the evaluation. In some cases, the Principal Researcher office may decide on the differences in opinion between the researcher and the evaluator(s).
- The PR should accommodate all justifiable and acceptable comments given into the report and submit three (3) hard copies and a soft copy of the report to the office of the officer for research, community service and technology transfer. Failure on the part of the Principal Researcher to submit these documents shall result in the denial of future grants and clearance
- Office of the officer for research, community service and technology transfer should submit the revised and finalized report (hard copies and the soft copy), accompanied by a letter, to office of the director for research, community service and technology transfer and to the Library;
- The completed and reported research projects shall be registered at the office of the director for research, community service and technology transfer and the outputs shall be publicized to the university community and stakeholders by placing hard copies at university libraries and releasing them online. In addition, there will be an annual research conference where research outputs in all departments will be presented and reviewed. Funds for such conferences will be allocated from the university research budget.

### **5.5 Final Research Report Writing Outline**

Research report writing format may varies based on the types and characteristics of the problems understudy. However, it is necessary to standardize the research report writing format to be used in the university as outlined below:-

### 5.5.1 Preliminary Pages

#### **The title of the research**

Title must be concise and adequately descriptive, comprehensive and reflect the problem to be addressed.

**Declaration:** the author(s) of the research proposal is/are expected to declare the authorship and originality of the work. It has to be written in 12 font sizes, with the word '*declaration*' centre on the page with 14 font sizes, and the text usually aligned to both the left & right margins)

**Certification:** the proposal is expected be endorsed or approved by the principal research or concerned bodies. It has to be written 12 font sizes, with the word '*certification*' centre on the page with 14 font sizes, and the text usually aligned to both the left & right margins)

**Approval Sheet:** the research committee members should approve and put their signatures showing that the proposal fits the criteria. It has to be written 12 font sizes, with the word '*acknowledgements*' centre on the page with 14 font sizes, and the text usually aligned to both the left & right margins)

**Acknowledgements:** (12 font sizes, with the word '*acknowledgements*' centre on the page with 14 font sizes, and the text usually aligned to both the left & right margins)

**Table of Contents :**(text 12 font sizes, usually aligned to both the left & right margins with the word '*Table of Contents*', centre on the page with 14 font sizes)

**List of Tables :**(text 12 font sizes, usually aligned to both the left & right margins with the word '*List of Tables*' and '*List of Figures*' centre on the page with 14 font sizes)

**List of Figures :**( text 12 font sizes, usually aligned to both the left & right margins with the word '*List of Tables*' and '*List of Figures*' centre on the page with 14 font sizes)

**Acronyms/Abbreviations :**(the word '*ACRONYMS* or '*ABBREVIATIONS*' centre on the page with 14 font sizes)

**Abstract** the word '**Abstract**' italic, centre on the page with 14 font sizes. The words in abstract limited to 350

**Key words** (min 3 max of 5 words)

## **5.5.2 Body of the Paper**

### **5.5.2.1 Chapter One: Introduction**

**Chapter One** (Title, 18 font size, all caps, bold & centre on the page)

**Introduction** (title 16 font size, all caps, bold & centre on the page)

**Background of the Study** (title 14 font size, aligned to left margin, bold and title case)

**Statement of the Problem & Research Questions** :( title 14 font size, aligned to left margin, bold and title case)

**Objectives: (General & Specific objectives,** title 14 font size, aligned to left margin, bold and title case)

**Hypotheses (optional):** (title 14 font size, aligned to left margin, bold and title case)

**Significance of the Study:** (title 14 font size, aligned to left margin, bold and title case)

**Scope and limitation of the Study:** title 14 font size, aligned to left margin, bold and title case)

**Operational Definitions of terms and concepts** (title 14 font size, aligned to left margin, bold and title case)

**Structure of the paper:** title 14 font size, aligned to left margin, bold and title case)

### **5.5.2.2 Chapter Two: Review of Related Literature**

**Chapter Two** (Title, 18 font size, all caps, bold & centre on the page)

**Review Of Related Literature** (title 16 font sizes, all caps, bold & centre on the page)

**Theoretical Framework** (title 15 font size, bold and title case, aligned to the left margin)

- Sub topic under 2.1 (title 14 font size, bold, title case, & aligned to the left margin)
- Sub topic under 2.1 (title 14 font size, bold, title case, & aligned to the left margin)
- Sub topic under 2.1 (title 14 font size, bold, title case, & aligned to the left margin)
  - Sub-sub topic (title 12 font size, bold, title case and aligned to the left margin)
  - Sub-sub topic (title 12 font size, bold, title case and aligned to the left margin)

**Empirical Reviews:** (title 15 font size, bold and title case, aligned to the left margin)

**Conceptual framework (Optional) :**( title 15 font size, bold and title case, aligned to the left margin)

### **5.5.2.3 Chapter Three: Research Methodology**

**Chapter Three** (*Title, 18 font size, all caps, bold & centre on the page*)

**Research Methodology** (*title 16 font sizes, all caps, bold & centre on the page*)

**Descriptions of the study area** (title 14 font size, bold, title cases, & aligned to the left margin)

**Research Design/Approach:** (title 14 font size, bold, title cases, & aligned to the left margin)

**Source & Type of Data:** (title 14 font size, bold, title cases, & aligned to the left margin)

**Sampling Design:** (title 14 font size, bold, title cases, & aligned to the left margin)

**Methods of data collection:** : (title 14 font size, bold, title case, & aligned to the left margin)

**Data Analysis Techniques:** (title 14 font size, bold, title cases, & aligned to the left margin)

**Model Specification and Description of Study Variables (optional):** (title 14 font size, bold, title case & aligned to the left margin)

**Ethical considerations**

### **5.5.2.4 Chapter Four: Presentation, Analysis And Discussion**

1. Sub topic 1: (title 14 font size, bold, title case, & aligned to the left margin)
2. Sub topic 2:(title 14 font size, bold, title case, & aligned to the left margin)
3. Sub topic 3:(title 14 font size, bold, title case, & aligned to the left margin)

### **5.5.2.5 Chapter Five: SUMMARY OF THE FINDINGS, CONCLUSIONS AND RECOMMENDATIONS**

(Title 16 font size, all caps, bold & centre on the page)

**Summary of the Findings** title 14 font size, bold, title case, & aligned to the left margin)

**Conclusions:** (title 14 font size, bold, title case, & aligned to the left margin)

**Recommendations:** (title 14 font size, bold, title case, & aligned to the left margin)

**Future Research Direction:** (title 14 font size, bold, title case, & aligned to the left margin)

**Reference**

- Reference ( APA style of referencing and citation )
- Appendix

*Note:* Research proposals and reports writing language will be mainly English. However, to facilitate knowledge or information transfer other local languages can be used for reports and communication purposes, whenever appropriate.

## **5.6 Termination of Research Projects**

- If the researcher fails to complete the research project (if the project is discontinued) due to resignation or any other reason, he/she should return to the university all fixed assets purchased or borrowed from the university, the direct expenses incurred, and all unutilized money to run the project. An automatic deduction from the researcher's payment to be received from Rift Valley University is likewise made.
- Direct expenses incurred that must be paid back are:
  - Personnel fees (research assistants, typist, illustrator, laboratory technician, consultant, and others);
  - Materials and supplies, chemicals, reagents, and other consumable items which have been used by the researcher;
  - Cost of unconsumed materials which cannot be turned over to the laboratory/ department or which the laboratory/ department has no need of/use for;
  - Reproduction of materials;
  - Research-related travel and transportation;
  - Other fees (e.g. computerization, seminar fees and others) and unused equipment and items should be properly turned over to the university/campus/department/ laboratory/library concerned;
- Repayment for research honorarium and direct expenses for a terminated project is made through salary deduction system;
- The university finance sends an authorization form to researcher for salary deduction. The authorization form is then forwarded to the finance section;
- In the event where the researcher is no longer connected with Rift Valley University the Campus RCS notifies the university through a formal letter to terminate the project.

## CHAPTER SIX

### RESEARCH ETHICS AND GUIDING PRINCIPLES

#### 6.1 Guiding Principles

As part of ethical standards, the following considerations are worth taking into account:

- avoiding any risk of harming the people and the environment;
- avoiding deception on people participating in research or experiment; preserving privacy and confidentiality whenever possible;
- taking special precaution when involving population or animals which may not understand fully the purpose of the study (experiment);
- Avoiding fabrication, falsification, plagiarism, faulty order of authorship or other practices that seriously deviate from the accepted scientific practices for proposing, conducting, and reporting research.

Rift Valley University has to develop norms of behaviour that suit its various aims and goals. Research-related norms help academic and research communities to coordinate their actions or activities and to establish the research staff trust and discipline. Ethical norms also serve the aims or goals of research and apply to people who conduct scientific research or other scholarly or creative activities. Based on these principles, Rift Valley University adheres to the following *ethical norms* in research:

- Norms that promote the aims of research such as knowledge, truth, and avoidance of error. For example, prohibitions against fabricating, falsifying, or misrepresenting research data promote the truth and avoid error;
- Norms that involve a great deal of cooperation and coordination among research staff in different disciplines (fields);
- Norms that promote the values that are essential to collaborative work such as trust, accountability, mutual respect, and fairness. For example, many ethical norms in research such as guidelines for authorship, copyright and patenting policies, data sharing policies, and confidentiality rules in peer review are designed to protect intellectual property interests while encouraging collaboration. Most researchers want to receive credit for their contributions and do not want to have their ideas stolen or disclosed prematurely;

- Norms that help to ensure that researchers can be held accountable to the public. For instance, federal policies on research misconduct, conflicts of interest, the human subject protections, and animal care and use are necessary in order to make sure that researchers who are funded by public money can be held accountable to the public;
- Norms that help to build public support for research. People are more likely to fund a research project if they can trust the quality and integrity of research.

## **6.2 Role of Ethical Review Committee (ERC)**

The ERC will play a primary role in:

- Prospective and continuing review of each research protocol involving human subjects, including an evaluation of its risks and benefits to human subjects,
- Reviewing the adequacy of the informed consent document, particularly as to its description of the risks and benefits,
- Receiving and evaluating reports of unanticipated problems, possible non-compliance, and other information and incidents that might affect its approval of the protocol or the subjects' willingness to continue to participate, and
- . Conducting reviews concerning possible non-compliance.
- Promoting awareness and understanding of ethical issues in research throughout the University's research community (i.e. ethical issues that are relevant to research that involves human participants and also ethical issues that are relevant to other types of research);
- Providing advice on any ethical matters relating to research that are referred to it from within and outside the University;
- Keeping abreast of new externally-driven developments, policies and regulations concerning research ethics and, where appropriate, ensuring that the University meets all necessary requirements.

## **6.3 Basic Ethical Values in the conduct of Research**

Rift Valley University maintains the highest standards of integrity in its research activity. Ethical standards are of paramount importance in the university research policy and strategy. The following are the general principles;

### 6.3.1 **Honesty**

All Researchers in the University must refrain from plagiarism, deception, fabrication or falsification of research results.

A researcher has to strive for honesty in all scientific communications. It is the duty of a researcher (an author), expert-reviewer, and a member of journal editorial board to report data, results, methods and procedures, and publication status honestly. The peer-review process has to contribute to the quality control, and it is an essential step to ascertain the standard and originality of the research. The researcher has to keep his/her promises and agreements and act with sincerity as an integral part of codes of research ethics.

### 6.3.2 **Openness**

Whilst recognizing the need for researchers to protect their own research interest in the process of planning research work and obtaining research results, the university encourages researchers to open. Commitment to be openness in research prohibits secrecy, including limitations on publishing of the results. Unless pre-specified conditions like; violations of agreement that specify restricted/circulations of outputs, data that might evoke individual and communal values, if the results threaten national security.

This means honouring patents, copyrights, and other forms of intellectual property. It is prohibited to use unpublished data, methods, or results without permission or through plagiarism.

### 6.3.3 **Confidentiality**

Protecting confidential communications such as papers or grants submitted for publication, personnel records, trade or military secrets, and patient records shall be the most important code and policy of Rift Valley University.

### 6.3.4 **Responsible Publication**

Publish in order to advance research and scholarship, not to advance just your own career. Avoid wasteful and duplicative publication.

### **6.3.5 Non-Discrimination**

Avoid discrimination against colleagues or students on the basis of sex, race, ethnicity, or other factors that are not related to their scientific competence and integrity.

### **6.3.6 Legality**

Know and obey relevant laws and institutional and governmental policies.

### **6.3.7 Research Subjects Protection**

Minimize harms and risks and maximize benefits when conducting research on human beings, respecting their dignity, privacy, and autonomy. As the components of ethically valid information:

- potential participant must be informed as fully as possible of the nature and purpose of the research, the procedures to be used, expected benefits, foreseeable risks, stresses, and discomforts, and alternatives to participating in the research;
- Statements that describe procedures in place to ensure the confidentiality or anonymity of the participant should be clearly made. The informed consent document must also disclose what compensation and medical treatment are available in the case of a research-related injury. The document should make it clear whom to contact with questions about the research study, research participants' rights, and in case of injury;
- the participant (target group) must understand what has been explained and must be given the opportunity to ask questions and have them answered;
- the participant (target group) must be a volunteer and free of any promises in order to be a potential participant in research, and
- The participant must be competent to give consent. If the participant is not competent due to mental status, disease, or emergency, the action is considered as violating a research ethical code.

## **6.4 Retention of Data**

Original data of published material should be kept, preferably indefinitely, but for at least 6 (six) years. Each researcher should be responsible for deciding an appropriate policy for the storage of research data. Any policy must take into account the need to comply with ethics, approvals, and contracts in any particular work of research. Individual research workers should be entitled to have copies of the data. While such action does not itself prevent the falsification of primary data, it is vital if there are questions asked subsequent to publication. If data are not available, genuine errors may be mistaken for misconduct to the detriment of individual research workers and the university. Long-term retention of original data that consists of personal information needs to be justified to avoid a breach of privacy.

## **6.5 Expectations for Research and Publications**

- It is neither desirable nor practical for the university to supervise the creation of books, papers or articles. The very nature of the university makes this a matter of responsibility for each person to whom these guideline apply;
- All persons to whom these guidelines apply must be very careful in using material from other authors and ensure that it is properly acknowledged. The deliberate copying of other people's work and the presentation of it as one's own constitutes plagiarism, which is unacceptable to the university. Those who use material which is not produced by them have a responsibility to make its status and origins quite clear to those to whom it is presented. It is a fundamental principle of academic practice that individuals can claim credit for and make use of only materials, or part of materials, to which they have legitimate claim. Further, these policies do not distinguish between plagiarism for purposes external and internal to the university;
- In addition to the above obligations, academic staffs also has responsibilities to provide guidance to, and oversight of, students in these matters when requesting a student to write a draft material for publication. In such a case, the academic staff member must clarify for the student at the outset the terms of the student's role, including matters relating to acknowledgement and authorship. It is the responsibility of the academic staff member to ensure as far as practicable that the student does not have any misunderstandings and mistaken expectations as to acknowledgement or authorship;

- The principles governing attribution of authorship apply independently of whether an author is paid for the time. Typically, the criterion for acknowledgement of authorship of any scholarly publication is significance of the contribution to the final publication
- It is important that all authors listed on the publication should have contributed in a significant way to the work. The principal author is responsible for the entire publication and should ensure that other authors accept, in writing, responsibility either for the entire paper or, where the contribution is distinguishable, for that part of it which they have authored. When collaboration between institutions is involved in a publication, each institution should be aware that all authors have accepted appropriate responsibility; where an author submits similar papers, articles or abstracts to several journals, he or she must properly declare this to the publishers concerned.

## **6.6 Disclosure of Potential Conflict of Interest**

Disclosure of any potential conflict of interest is essential for the responsible conduct of research. All members of the university who may be involved in the decision making processes of the university (including staff) must be familiar with and comply with the university's disclosure of Interest Policy in the conduct of any research.

### **6.6.1 Research Misconduct (policy on allegations, investigations & reporting)**

Each member of the university has a responsibility to foster an environment which promotes intellectual honesty and integrity, and which does not tolerate misconduct in any aspect of research or scholarly endeavour. Research misconduct is extremely troublesome, in spite of its infrequency, because when it occurs, it is highly destructive of the standards the university attempts to instil in our students, the esteem in which academic science in general is held by the public, and the financial support of the government and other sponsors for academic research. Below are some specific ethical concerns in research:

- **Plagiarism** : Authors who present the words, data, or ideas of others with the implication that they are their own, without attribution in a form appropriate for the medium of presentation, are committing theft of intellectual property and may be guilty of plagiarism and, thus, of research misconduct;

- **Misuse of Privileged Information:** serious form of plagiarism that could preempt priority of first publication or use of the original idea to which the source author is entitled;
- **Integrity of Data:** Fabrication and falsification of research results are serious forms of misconduct. A researcher must not report anticipated research results that had not yet been observed at the time of submission of the report;
- **Use and Misuse of Data:** Any intentional or reckless disregard for the truth in reporting observations may be considered to be an act of research misconduct;

#### 6.6.2 Ownership and Access to Data

- Research data obtained in studies performed at Rift Valley University and/or by employees of the university are not the property of the researcher who generated or observed them or even of the principal researcher of the research group. They belong to the university, which can be held accountable for the integrity of the data even if the researchers have left the university.
- A principal researcher who leaves the university is entitled to make a copy of data to take to another institution so as to be able to continue the research or, in some cases, to take the original data, with a written agreement to make them available to the university on request within a stated time period.

## **CHAPTER SEVEN**

### **Roles and Responsibilities of different actors in the research and publication**

#### **7.1 Senate**

The senate of RVU shall have the following duties;

- a. Approving and revising research and publication guidelines;
- b. Approving the establishment of research centers and/or institutes;
- c. Evaluating and directing the performance of University level Research and Publication Committee;

#### **7.2 Research and Community Service Committee of RVU**

##### **7.2.1 Members of the Committee**

The committee shall consist of the following members:

- a. Research and Community Service and Partnership Vice President (Chairperson);
- b. Research and Community Service Directorate (Secretary);
- c. Administration and Business Development Vice President;
- d. Campus deans;
- e. Quality Assurance and Strategic Plan Directorate;
- f. Director of Communication and Partnership;
- g. Any other person that the Senate may assign.

##### **7.2.2 Duties of the Committee**

The Research and Community Service Committee (RCSC) of RVU shall have the following duties and responsibilities:

- a. Formulate strategies for promoting research and dissemination of research findings;
- b. 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;
- c. Specify research priorities based on national needs;

- d. Set guidelines for the approval of research proposals;
- e. Monitor the activities of the Research and Community Service Directorate in relation to approved research work;
- f. Ensure the appropriate academic standard of publications;
- g. Advise the Senate on all matters pertaining to publications;
- h. Determine criteria for establishing the reputability of journals;
- i. Re-assess the reputability of journals every year;
- j. Determine courses of action in the case of breach of agreement by researchers;
- k. Specify the calendar for submission of research proposals and research reports;
- l. Examine and endorse the activities and reports of Research and Community Service Directorate ;
- m. Advise and assist the Research and community service directorate in securing fund from organizations outside the University;
- n. Design, facilitate and endorse collaborative activities with national and international institutions;
- o. Endorse agreements with distributors and co-publishers;
- p. Determine royalty or honorarium for authors and assessors;
- q. Establish award system for recognizing outstanding research;
- r. Assist the Research community service directorate in preparing code of ethics governing/ safeguarding research and intellectual property rights;
- s. Approve allocation of funds for research and community service directorate
- t. Issue guidelines pertaining to visiting researchers who wish to be affiliated with various units of the University
- u. Serve the need and interest of the public to facilitate education, economic and social improvements;
- v. Ensure the representation and active participation of the University in various governmental and non-governmental bodies;

### 7.2.3 Meeting, Quorum and Reporting

- a. The Committee will meet at least twice a semester; such meetings must be attended by 2/3 of the members of the committee for the quorum to be complete;
- b. The Chairperson may also convene a meeting of the Committee whenever he deems it is appropriate or whenever three of its members make a request for such a meeting; and
- c. The Committee shall submit a biannual report to the Senate on the implementation of its duties and responsibilities.

### **7.3 Research, Community Service and Partnership Vice President Office**

The office of Research, Community Service and Partnership Vice President shall have the following duties and responsibilities;

- a. Coaches all activities of research and publication;
- b. Serve as a chief advisor to the President in research and publication activities and other related works;
- c. Oversees the implementation of national Research and Publication policies in the University;
- d. Evaluates, approve and arrange the presentation of new/revised/updated research and publication guidelines to Senate Meetings and the University Board;
- e. Facilitates research and publication collaborations with national as well as international institutions;
- f. Approves, allocates and oversees funds related to research and publication;
- g. Supports the establishment of research centers and institutes;
- h. Initiates and supports the establishment of proceedings and scientific journals of the University;
- i. Follows up the quality of services provided by the support offices or units to research and publication related activities;
- j. Organizes teams that could develop University wide research development projects targeted at solving problems of the community;
- k. Identifies and support the University's capacity building requirements in strengthening the research and publication;
- l. Issues guidelines pertaining to visiting researchers who wish to be affiliated with various units of the University;
- m. Handles media briefings related to activities of the core process;

- n. Makes national and international benchmarking for research and publication activities;
- o. Performs any other duty as deemed necessary;

#### **7.4 Research and Community Service Directorate**

- a. Coordinates all research and publication activities at University level;
- b. Assists the research, community service and Partnership Vice President Office (RCSPVPO) in planning and preparing agenda on activities related to research and publication for Senate meetings;
- c. Serves as the chief advisor to the RCSPVPO on Research and Publication policy;
- d. Compiles, produces and submits regular reports on Research and Publication activities to the RCSPVPO as well as to other key stakeholders;
- e. Follows up and monitors the engagement of campuses in Research and Publication activities;
- f. Checks, updates, revises and develops Research and Publication policies and strategic plan of the University;
- g. Facilitates and supports the organization of seminars, conferences and other workshops related to Research and Publication at the University level;
- h. Collects, organizes and prepares budget plan for Research and Publication undertakings of the University;
- i. Registers and monitors projects and activities of Research and Publication at the University level;
- j. Administers/manages financial matters of research projects executed at the University;
- k. Keep records and make databases of all value adding Research and Publication activities of the University in collaboration with respective officers/coordinators;
- l. Periodically collects, compiles and publicizes research thematic areas of the University;
- m. Provides updated information on Research and Publication activities to be available on the University website and intranet;

- n. Ensures the collective integrity, responsibility and accountability of researchers and stakeholders in Research and Publication activities;
- o. proposes courses of action in the case of breach of agreement by researchers;
- p. Provides leadership in developing research priorities so as to enhance the quality research;
- q. Performs any other duties assigned by the RCSVPO;

### **7.5 Research Promotion and Publication Office**

The research publication and promotion office, as a functional unit, shall:

- a. Assist the RCSD on technical matters related to research publications;
- b. Establish and maintain information and documentation center for research outputs;
- c. Assist the RCSD/RCSPVPO in establishing an editorial board for the scientific publications of the University;
- d. Set guidelines for the scientific publications of the University;
- e. Monitor and control all activities related to research publications in the University;
- f. Facilitate the preparation and publication of teaching materials and text books;
- g. Facilitate the publication of research proceedings, scientific journals, newsletters, reports etc.;
- h. Compile and publish quarterly research newsletters, brochure and bulletins for promotion of services provided by the University;
- i. Initiate the establishment of scientific journals for the University;
- j. Ensure the publication and dissemination of research findings;
- k. Disseminates strategic issues related to RCS to various stakeholders;
- l. Perform any tasks delegated by the RPD;

### **7.6 Campus Research and Community Service Coordinator**

The roles and responsibilities of research and community service coordinator of a Campus shall be to:

- a. ensure that researches are need-based and within a thematic area of the respective campus;

- b. ensure the linkage between research, academics and development;
- c. ensure the timely conduct of research projects and effective and efficient use of research funds;
- d. represent the college matters related to research, publication and community services;
- e. ensure mobilization of resources at college level for research and community service activities;
- f. facilitate any technical administrative issues for timely funding of proposals;
- g. take administrative actions based on monitoring and evaluation reports of research and ethical review board;
- h. report a quarter and annual report to the dean and the directors for research and community service;
- i. facilitate the timely dissemination of research outputs (Knowledge and technology) of the college in collaboration with the Research and Community Service Office;
- j. work closely with the Research and Community Service Office to develop a system that ensures institutionalization of research outputs of the academic staff;
- k. manage field research sites of the campus;
- l. coach and coordinate the activities of research and ethical review board;
- m. organize journal clubs;
- n. organize public defense for proposals;
- o. organize stakeholders meeting to prioritize research areas of the campus;
- p. ensure attendance and participation of academic staff on journal clubs;
- q. 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;
- r. develop, manages and updates 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;
- s. coordinate the use of earmarked vehicles, field research centers/sites and other research inputs;

- t. monitor data collection process at the field level or in the lab and the progress of the research project;
- u. develop data use protocol/ guideline including commercialization of data;
- v. look for external funding sources and networking for research collaboration; and
- w. establish a resource center of potential funding agencies for researchers.

### **7.7 Research and Community Service Committee at the College Level**

The duties and responsibilities of the College Research and Community Service committee (CRCSC) shall be to:

- a. ensure that all staff of the college is fully involved in the research and maintains a good balance between teaching, research and community services;
- b. coordinate and monitor activities of research and publication at college level;
- c. familiarize their staff members with the University policies on research and publications;
- d. ensure that the University's research policy, rules and regulations are properly implemented at college level;
- e. collect, redefine and compile the college's thematic areas (priorities and directions) of research programs periodically based on the research and development goals of the country;
- f. identify, encourage and coordinate the initiation of inter-departmental/college research projects;
- g. facilitate the existence of enabling environment to initiate and conduct research and publication projects within the college;
- h. devise mechanisms to encourage and motivate staff members to be involved in research activities;
- i. devise mechanisms to enhance the physical and human capacity of the college to undertake customer focused research projects;

- j. devise mechanisms to assist their staff members in generating funds for research programs;
- k. communicate with other colleges and relevant bodies in the University on issues related to research project development, evaluation and dissemination;
- l. register and monitor the progress of research and teaching material preparation projects within the college;
- m. ensure and regulate the submission of progress and terminal reports of research projects conducted within the college;
- n. evaluate and approve college research project proposals submitted from departments/researchers;
- o. help investigators to solve technical, physical and administrative problems they might encounter during their research undertakings;
- p. advise or make necessary recommendations to the college dean and research and publication director pertaining to any research and publication related issues;
- q. design and maintain research databases of the college in collaboration with Research and Community Service Directorate;
- r. design and maintain website for the research and publication of the college in collaboration with the concerned support team members; and
- s. facilitate or organize forums for output dissemination and idea generation in research endeavors.

### **7.8 Research and Community Service Committee at the Department Level**

The Department Research and Community Service Committee (DRCSC), as a functional unit, shall:

- a. coordinate and monitor research and publication activities at department level;
- b. ensure that the University's research policy, rules and regulations are properly implemented at department level;
- c. facilitate the existence of enabling environment to initiate and conduct research projects within the department;

- d. define the department's thematic areas (priorities and directions) of research programs, periodically, based on the research and development goals of the country;
- e. devise mechanisms to encourage and motivate department staff members to engage in research and publication activities;
- f. devise mechanisms to enhance the physical and human capacity of the department to undertake problem solving research projects;
- g. register and monitor the progress of department research projects;
- h. ensure and regulate the submission of progress and terminal reports of research projects conducted in the department;
- i. evaluate and approve department research project proposals submitted from researchers;
- j. help investigators to solve technical, physical and administrative problems they might encounter during their research undertakings;
- k. advise or make necessary recommendations to the department head and college research coordinator pertaining to any research and publication related issues;
- l. design and maintain research databases of the department in collaboration with the department head;
- m. design and maintain website for the research and publication activities of the department in collaboration with the concerned support team members; and
- n. facilitate or organize forums for output dissemination and idea generation in research endeavors;

### **7.9 The Researcher/Principal Investigator**

The principal investigator of an approved proposal:

- a. is expected (and has the moral and professional obligations) to collect genuine and accurate data and make generalizations based on these data;
- b. should use carefully planned and developed data gathering tools to ensure the validity, genuineness, and truthfulness of the results;
- c. shall be abided by the rules and regulations of the University regarding research and publication activities;

- d. has the obligation to properly utilize the permanent materials and to return them to the respective unit in time;
- e. has a responsibility to communicate on behalf of the research team to the concerned body and to manage the research project technically and administratively;
- f. 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;
- g. is responsible to compile and submit financial report to the respective body;
- h. can request for additional fund up on justification for the completion of his/her research project, and fund releasing decision shall be made by RCSC;
- i. cannot change the place of work, work plan, methodology or objective of the study once a research project is approved by the RCSC, and budget is secured unless he/she informs the RCSD in written and gets permission;
- j. 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
- k. 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.

#### **7.10 Responsibilities of Funding Agencies**

- RVU shall administer the researcher's project and provide all services and facilities Consistent with the terms and conditions stated in the agreement.
- RVU shall be responsible for the proper administration of the fund allocated for the project:
  - a) Fund disbursements are made in accordance with the project document.
  - b) Fund disbursements are valid and supported by adequate documentation.
  - c) An appropriate system of internal control is maintained and can be relied upon.
  - d) Financial reports are fair and accurately presented, and
  - e) Uncommitted fund is returned to RVU at the end of the project life.

- RVU shall administer the funds under its financial regulations, rules, practices and Procedures
- As part of fulfilling its judiciary responsibility for the management of the allocated
- Resources, RVU shall designate authorized officials and provide written

Certification thereon for:

- a) Withdrawal from the special account,
  - b) Requests for advances of project funds, and
  - c) Requests for RVU to disburse project funds directly.
- RVU shall ensure maintenance of proper accounts and records of the allocated resources for the project to enable the PR to prepare accurate report on the financial Status of funds.

## CHAPTER EIGHT

### PUBLISHING RESEARCH ARTICLES/JOURNAL

#### 8.1 Introduction

Setting guidelines and procedures for publishing research articles is necessary in order to promote valid and successful research-oriented publications in Rift Valley University. A researcher who has completed his/her research project is encouraged to publish his/her work in local and/or international journals.

#### 8.2 Publication of University-funded Research Projects in RVU journals

The Rift Valley University Journal, which is blind reviewed, would be published at least once a year. It would be the first option to publish outputs resulting from Rift Valley University funded projects. The journal publishes:

- **Research Articles:** pertaining to various subject paradigms within Rift Valley University and beyond.
- **Review Articles:** pertaining to science, technology, innovations, socio-economic development, peace and security, and a wide range of relevant issues, and communications.

##### 8.2.1 Journal publication

- Rift Valley University journal shall have an Editor-in-Chief, Associate Editors and national and international advisory board. The Editor-in-Chief will be responsible for the content and form of the journal. Associate Editors will consist of Rift Valley University senior academic staff members with the rank of Assistant Professor and above. Associate Editors will be recruited from all Rift Valley University campuses/colleges upon recommendation by the office of the officer for research, community service and technology transfer based on the consent of the proposed individual.
- The International Advisory Board will be made of prominent researchers and professionals from national and international universities, research institutions, and centres. Members of the Board will be recruited based on recommendation by

Senate Standing Committee for Research, Community Service and Technology Transfer the consent of the professionals concerned.

### **8.2.2 Procedures for Article Submission**

- Researchers are invited to submit their manuscript to office of the director for Research, Community Service and Technology Transfer/ editor in chief based on the guidelines for article submission
- The manuscript will be considered by the Editor and/or Associate Editors and 2-3 anonymous reviewers. The reviewers should be professionals in the area of interest and those who have a rank of Assistant Professor and above (including members of the Editorial committee). If the manuscript is submitted to an online system, the author will receive an acknowledgement and a reference number. The author is advised to use this reference number if he/she needs to follow up on the manuscript;
- After submission of the manuscript to editor in chief/ office of the director for Research, Community Service and Technology Transfer, there are four possible outcomes:
  - Desk reject** – that is, the manuscript will not be sent out for review. This will be decided by the Editor and Associate Editors. Reasons for a desk rejection may include: deviations from the Rift Valley University journal guidelines, difficulty in finding appropriate reviewers, obviously speculative paper, inadequate literature base, weak methodology, and weak contribution of the research to knowledge, poor organization and format for the manuscript, poor writing and reporting skills, and other reasons as identified by the Editor and Associate Editors. The author will be notified of the result immediately. The author shall conform to the result whether or not he/she accepts it and will not over-react;
  - **Conditional accept with major revisions** – due to several factors and depending on the level of revisions, the manuscript may need to be resubmitted as a new manuscript. The authors are strongly advised to stick to this condition. There submitted manuscript shall be resent to the reviewers for confirmation and for their final judgment. Authors who fail to comply with this condition will automatically find their manuscript rejected;

- **Conditional accept with minor revisions** – these papers generally do get accepted, provided the minor revisions are adhered to. The authors are strongly advised to stick to this condition.
- **Accept without change** – this outcome is extremely rare and it may not be encouraged in Rift Valley University journal.
- Authors would be required to sign a *Manuscript Submission Form*. once their manuscript is accepted. The accepted manuscript would be sent to the corresponding author's e-mail.
- Publications must give appropriate credit to all authors for their roles in the research. If more than one researcher are involved in the research, the decision of which name(s) is(are) to be listed as co-author(s) and in what order should reflect the relative contributions of various participants in the research;
- Publications should be timely but should not be hastened unduly if premature publication involves a risk of not subjecting all results to adequate internal confirmation or of not considering adequately all possible interpretations;
- Researchers should not publish in Rift Valley University journal the same article published in another journal.
- Authors should not divide a research paper that is a self-contained integral whole into a number of smaller papers merely for the sake of expanding the number of items in the author's bibliography;
- It is unethical to release to the media scientific information contained in an accepted manuscript prior to its publication in Rift Valley University journal;
- Manuscript reviewers shall agree to abide by the guidelines for manuscript evaluation. In particular, the reviewers shall not refuse auditing a manuscript for the second round to check whether the comments have been included as per the initial comment by the reviewer. It is unprofessional for the reviewer to resend the same comments given during the first-round review without actually reviewing the manuscript. Such reviewers will be denied chances of reviewing any article for publication in Rift Valley University journal, and they will not be entitled to publish in the journal;
- The reviewer shall be paid a professional fee for manuscript reviewed.

### 8.3 Publication of University-funded Research Projects in other journals

- Researchers whose projects have been funded by Rift Valley University and who have completed their research project are also encouraged to publish their work in other journals than Rift Valley University journal;
- Proper acknowledgement of the grant should be made in any publication of the report;
- All intellectual properties of Rift Valley University funded projects shall be governed by RCS;
- It is an ethical obligation for an researcher at the university to make research findings accessible, in a manner consistent with the relevant standards of publication;
- Costs of publication on journals other than Rift Valley University journal should be refunded to the author by the university to encourage researchers.
- Rift Valley University will not pay for any of predator journals presented by researchers for publication. Reputable journals are advised for the researchers to publish their research works.

### 8.4 Assessment Criteria of Articles for Publication

Articles will be assessed rigorously as per the assessment criteria, mainly based on the originality of work, methodology and relevance of the articles. The assessment will be done by subject matter specialists (professionals) or assessors from internal and/ or external as need be. All the University articles will be assessed using the following criteria;-

S.N.	Criteria	Weight allocated	Point given out of the allocated	Remark
1	<b>Originality of the work</b>	30 %		
1.1	The topic investigated is the original study	10 %		
1.2	The title of the study fully reflect the contents	10 %		

1.3	Clearness and conciseness of the abstract	10 %		
<b>2</b>	<b>Methodology</b>	<b>40 %</b>		
2.1	Adequacy of sample size	4 5		
2.2	Appropriate representation of the population	4%		
2.3	Appropriateness of the sample selection	4%		
2.4	Adequate description of the research design	4%		
2.5	Appropriateness of research design	4%		
2.6	Appropriateness of data collection instrument/ tool	4%		
2.7	Validity and reliability of instrument used	4%		
2.8	Clarity and logical organization of the body	4%		
2.9	Appropriateness and clarity of analysis, table and figures	4%		
2.10	Correctness of statistical test to answer research questions	4%		
<b>3</b>	<b>Relevance</b>	<b>30 %</b>		
3.1	Consistency of the study with the mission and vision of the University	15 %		
3.2	Significance and worthiness of the study	15%		
	<b>Result</b>	<b>Total point</b>		
	For the article to qualify for publication, it must score at least 70 % of the total marks made up of not less than 50 % of the scores allotted to each of the three criteria.	<b>Point in %</b>		

Overall assessors' recommendations:--

Major strength of the article-----

-----

Major limitations of the article-----

-----

Recommendations to increase the quality and relevance of the article-----

-----

-----

As whole, by the standard of scientific publications, the article is (show with thick mark in one)

----- Publishable as it is.

----- Publishable with minor rework.

----- Publishable with major rework.

----- Not at all publishable in a reputable journal.

Assessors' name ----- Signature ----- Date -----

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The status of the article, either accepted or rejected would be communicated to the author(s) within a reasonable time. The rejected articles are usually returned to the author(s) with comments from the assessors as to why they have been rejected. The rejected article can be resubmitted for consideration after the necessary amendment or correction have been effected, but can be resubmitted only once.

### **8.5 Remuneration**

- Researchers/authors, assessors and reviewers of articles shall receive appropriate amount of money from the sales price of the publications. The payment for the researcher/author shall be negotiable, but not less than 50% of the sales price or estimated cost price of the publications, while the share of other contributors will not be more than 30 %.

## Appendices

### Appendix A: Research Fund Application Form

#### Research Fund Application Form

To be completed by the principal researcher

I. TITLE OF THE RESEARCH:	
II. NAME OF PROJECT PRINCIPAL INITIATOR	VI. DURATION OF THE PROJECT COMMENCEMENT TERMINATION
III. PRESENT POSITION:	VII. AMOUNT OF FUND REQUESTED IN BIRR:
	VIII. PROJECT SPONSORING BODY ➤ RIFT VALLEY UNIVERSITY ➤ OTHER ORGANIZATION ➤ RIFT VALLEY UNIVERSITY & OTHERS
NAME OF THE CAMPUS /COLLEGE/DEPARTMENT	ADDRESS: TEL:  FAX:  P.O.BOX:

Contents of the research project
Title of the Project
Short Summary of the Project
Research Work to date (if any)
Proposed Research Project:
.Background and Justification
.Objectives:
.Methodology:
.Significance & Beneficiaries
.Expected Output

.Time Schedule or Research work plan
<b>References</b>

**Budget**

Print & Binding		
Equipment & materials from:		
RVU		
2. Outside RVU		
Consumable:		
Stationery		
Materials		
CD, Paper, pen, pencil		
Communication:		
Fax:		
Tel:		
Postage		
Total		

**Assurance of the researcher/s**

The Undersigned researcher/s agrees to accept responsibility for:

1. Scientific and the technical conduct of this research project,
2. The handover of fixed items purchased for the project during/after completing the project to the respective Campus/College /Department
3. Settling the budget used,
4. The provision of the required progress report, and
5. The presentation of the final report as required.

NAME OF THE INVESTIGATOR (S)

SIGNATURE

DATE

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**APPROVAL**

**Approval: For CRP Office Use**

Amount of Approved Budget:

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Period of Allocation: \_\_\_\_\_

For Research Standing Committee:

NAME

SIGNATURE

DATE

---



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CRP

NAME

SIGNATURE

DATE

HEAD OF THE DEPARTMENT

SIGNATURE

DATE

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Vice dean for Research and CS

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SIGNATURE

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DATE

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DEAN OF THE College

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SIGNATURE

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DATE

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## Appendix B: Guidelines for Research Proposal Reviewers

### Guidelines for Research Proposal Reviewers

#### I. Content (Scientific soundness, methodology....etc)

##### Title

- Is the title appropriate to RVU's RTAs? \_\_\_\_\_
- Is it clearly stated? \_\_\_\_\_
- Does it reflect the content of the proposal adequately? \_\_\_\_\_

##### Literature Review

- Is there adequate information to demonstrate the feasibility of the project? \_\_\_\_\_  
\_\_\_\_\_
- Has the researcher demonstrated awareness of the previous and alternate approaches to the problem identified in the proposal? \_\_\_\_\_  
\_\_\_\_\_

##### Objectives

- Are the objectives relevant & clear, researchable or achievable? \_\_\_\_\_  
\_\_\_\_\_
- Do they synchronize with the title of the proposal? \_\_\_\_\_  
\_\_\_\_\_

##### Research Design and Methodology

- Is the research design strategy or methodology in accordance with acceptable scientific protocols to meet the objectives?  
\_\_\_\_\_
- Is the methodology fully described, suitable and feasible? \_\_\_\_\_

##### Dissemination of Information/Results

- Does the proposal show an effective methodology for dissemination of findings to the end users? \_\_\_\_\_

#### II. Relevance

##### Focus

- Is the research project proposal demand driven?  
\_\_\_\_\_

- Is it unique or original?

---

- Does it aim at a fuller exploitation of available technologies and how (e.g. How to enhance productivity from existing released technologies etc.)? \_\_\_\_\_

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- Is the research testing a sound scientific hypothesis, developing a new technology, seeking to improve or document a new technique, technology, or policy?

### **Contribution**

- Does the project have clear and realistic benefits and beneficiaries?

---

### **Outcomes**

- Will the anticipated outcomes have a significant impact in Rift Valley University and the country?

---

- Is the impact measurable?

---

- What is the probability of the success of the project? \_\_\_\_\_

### **III. Budget request**

- Is the budget request appropriate, relevant and realistic for the need of the research project?

---

- Is it cost effective?

---

- Is the benefit anticipated from the project related to the cost of the research?

---

### **Reviewer's Recommendations**

For each proposal, the reviewer should summarize the recommendation in terms of the final action that the decision-making body should consider. The final recommendations should be in one of the following categories as indicated in the proposal rating sheet:

- Recommended for funding
- Recommended for funding after minor corrections/revisions have been made
- Proposal recommended for revision and resubmission

## Appendix C: Research Fund Grant Agreement Form

### Research Fund Grant Agreement Form

Agreement dated \_\_\_\_\_ between Rift Valley University (hereinafter referred to as “RVU”,  
Address: P. O. Box \_\_\_\_\_, Ethiopia, Telephone \_\_\_\_\_ Fax  
+ \_\_\_\_\_ on the one part and the principal researcher (name of applicant)  
\_\_\_\_\_ (hereinafter referred to as “PR” Address:

#### Whereas:

a) The PR has requested a research grant from RVU for the purpose of financing the project entitled: “ \_\_\_\_\_ ”

b) The grant is to be administered by RVU has agreed to allocate Birr \_\_\_\_\_ ) to the PR upon the terms and conditions hereinafter set forth

Now, therefore, the parties hereby agree as follows:

#### Article 1: Undertaking by the Principal Researcher

The PR shall:

Section 1.1: undertake the project in accordance with the terms and conditions set forth in this Agreement.

Section 1.2: undertake the project immediately after the release of the initial research grant.

Section 1.3: substitute the co-researcher(s) indicated in the proposal in case he/she fails to carry out the project for any reason.

Section 1.4: submit progress and completion reports as per Article 6 of this agreement.

#### Article 2: Amount of Grant

Section 2.1: Rift Valley University agrees to allocate a sum of Birr \_\_\_\_\_ ( \_\_\_\_\_ ) to the PR for the period of \_\_\_\_\_ months or \_\_\_\_\_ year(s) commencing as of this day of \_\_\_\_\_.

Section 2.2: The fund shall be administered through the RVU rules and regulations.

#### Article 3: Accountability of RVU

**Section 3.1:** RVU shall administer the researcher’s project and provide all services and facilities Consistent with the terms and conditions stated in the agreement.

**Section 3.2:** RVU shall be responsible for the proper administration of the fund allocated for the project:

- a) Fund disbursements are made in accordance with the project document.
- b) Fund disbursements are valid and supported by adequate documentation.
- c) An appropriate system of internal control is maintained and can be relied upon.
- d) Financial reports are fair and accurately presented, and
- e) Uncommitted fund is returned to RVU at the end of the project life.

**Section 3.3:** RVU shall administer the funds under its financial regulations, rules, practices and Procedures

Section 3.4: As part of fulfilling its judiciary responsibility for the management of the allocated Resources, RVU shall designate authorized officials and provide written Certification thereon for:

- a) Withdrawal from the special account,
- b) Requests for advances of project funds, and
- c) Requests for RVU to disburse project funds directly.

**Section 3.5:** RVU shall ensure maintenance of proper accounts and records of the allocated resources for the project to enable the PR to prepare accurate report on the financial Status of funds.

#### **Article 4: Disbursement and Accounting of Fund**

**Section 4.1:** The PR will submit a formal request for an advance of payments according to the Approved work plan and budget using RVU form.

**Section 4.2:** Subsequent request for satisfactory and scheduled progress and financial reports and the audit utilization certificates of earlier released funds should accompany Release of funds as necessary and appropriate

**Section 4.3:** The research fund from RVU is subject to auditors. The result will be published and copies will be made available to all stakeholders.

Section 4.4: Unless otherwise agreed by the parties involved, any unutilized balance must be refunded to RVU by the end of the project life.

#### **Article 5: Utilization of the Fund**

Section 5.1: The fund granted shall be utilized in accordance with the budget breakdown Presented on the project document.

Section 5.2: RVU's accounting and procurement procedures will apply for the administration and management of the fund.

Section 5.3: The PR shall not utilize the fund for purposes other than what is stated in the attached project documents.

Section 5.4: Unutilized funds shall be either earmarked for the continuation of the same Research/ project for the next stage of its development with the consent of or shall be returned to RVU.

Section 5.5: After the completion of this agreement, any equipment or materials acquired from this research fund shall be the property of the institute.

Section 5.6: RVU furnishes with a report listing non-expendable property purchased during the Project period within 30 days following the end of the project

#### **Article 6: Monitoring and Evaluation**

Section 6.1: RVU shall follow the progress of the research activity and ensure that work schedules, the production of targeted outputs and required actions are proceeding according to plan.

Section 6.2: The PR shall submit progress and financial reports in 2 copies, within 45 days of signing this agreement. Failure to submit reports will enforce directives to cease expenditure of funds until the report is received.

Section 6.3: All reports would be examined and reviewed for completeness, attachment of required documentation by office of the director for Research, Community Service and Technology Transfer as appropriate, and if further actions are required, the PR may be asked to provide explanations.

Section 6.4: Reports should be submitted according to the guidelines for performance and progress report formats after approved by concerned academic department and campus/college. A complete final report should be submitted showing results of the undertaking and Expected impacts.

#### **Article 7: Publication and Ownership of Intellectual Property Right**

Section 7.1: RVU does not claim rights to any publications, inventions or patents arising out of the project other than due acknowledgement on publications and information on any meaningful applications of the research result.

Section 7.2: The PR is responsible for originality of the research project and the reports to be submitted.

#### **Article 8: Change in the Project Documents**

Section 8.1: Any major change such as change in the objective(s), methodology, work plan, etc. in the project document shall be reported to office of the director for Research, Community Service and Technology Transfer.

#### **Article 9: Breach of Agreement**

Section 9.1: Utilization of the fund granted partially or wholly for purposes other than what is stated in the project document.

Section 9.2: Failure in the submission of progress, financial, and final reports.

**Article 10: Effect of Breach of Agreement**

Section 10.1: The PR shall be liable partially or wholly if there exists a breach of agreement pursuant to Article 9 of this agreement.

Section 10.2: The PR shall be liable for non-performance of his/her responsibilities stated in this agreement.

**Article 11: Effective Date of the Agreement**

This agreement shall come into force as of this date of its signature \_\_\_\_\_.

**Researchers**

I. Principal Researcher:

Name \_\_\_\_\_ Signature \_\_\_\_\_ Date: \_\_\_\_\_

II. Co-researcher(s)

1. Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

2. Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

3. Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

4. Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

5. Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

**Witnesses**

I. Department Head

Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

II. Campus/College/ Dean/ office of the officer for Research, Community Service and technology transfer

Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

III. Staff member

Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

**For Rift Valley University**

I. office of the vice president for Research, Community Service and Technology Transfer

Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

II. Office of the director for Research, Community Service and Technology Transfer