



ABUBAKAR TAFAWA BALEWA UNIVERSITY, BAUCHI RESEARCH AND INNOVATION POLICY

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ATBU POLICY ON RESEARCH AND INNOVATION

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INTRODUCTION

Abubakar Tafawa Balewa University was established via an act dated January 1988 with the objectives of the University on research as stated in section 3 (c to f) as follows:

- (a) to act as an agent and catalyst, through post-graduate training, research and innovation for the effective and economic utilization, exploitation, and conservation of Nigeria's natural economic and human resources.
- (b) to offer to the general population as a form of public service, the results of training and research and to foster the practical applications of those results.
- (c) to establish appropriate relationships with other national institutions involved in training research and development of technologies.
- (d) to identify the technology problems and needs of the society and to find solution to them within the context and development of overall national development.

Hence, ATBU is committed to excellence in research and views research as a means of addressing national and

international development needs.

This policy content applies to all ATBU academic staff and any other staff and students involved in the design, conduct or reporting of research at or under the auspices of the University. It shall adopt the open science, innovation and globalization of knowledge. This means opening up the innovation process to people with experience in fields not only in academia, hence knowledge will circulate more freely and can then be used for development of products and services.

The Abubakar Tafawa Balewa University philosophy, vision, and mission as stated below commits the University to distinguished scholarship and reputable research and innovation and the promotion of internationally competitive research as a core strategic goal.

1.1 The Philosophy

The Abubakar Tafawa University, Bauchi, is committed to academic freedom, tolerance, probity, equal opportunity, and respect for cultural diversity.

1.2 The Vision

The vision of the University is to become a center of excellence for the creation, transfer and application of

scientific knowledge for the advancement of mankind in a friendly, interactive and multicultural environment.

1.3 The Mission

The mission of Abubakar Tafawa Balewa University, Bauchi is to provide relevant and highquality education and prepare individuals for work, leadership, and meaningful life, through promotion of research, teaching, development and testing of ideas in order to advance understanding and quality of life.

In line with the vision and mission of the University, the goals of research at ATBU include conducting high quality research as well as, creating an environment where both staff and students can either individually or in a collaborative manner conduct high quality research.

1.4 University Research Priority Areas

ATBU Research Priority includes areas such as:

- (a) Sustainable Agricultural production and food security;
- (b) Engineering, Technology and Energy System;
- (c) Human and natural resources, environment, education and economic management;
- (d) Computing, Information and Communication Technology and;

(e) Medical, Health Science and Technology.

The broad research thrusts are meant to promote multidisciplinary cooperation in addressing problems.

1.5 Scope of Policy

This policy shall be applied alongside other university's Research and Innovation policies as approved by the Senate. This policy should also be applied with consideration given to other related policies such ATBU Research Ethics Policy, Procedures and ATBU Policy on Intellectual Property with the aim of producing high-quality, relevant and focused basic as well as applied research, delivering innovative solutions to societal challenges faced by the country, the region and the world.

1.6 Research and innovation output

Research output characterized within the context of this policy shall include but not limited to the following:

- i. Patents/copyrights registered at national or international levels on material, process and product innovation/inventions.
- ii. R&D-related downstream activities associated with successful technology transfer;
- iii. Creative outputs characterised by participation in selected exhibitions and the delivery of artistic products.

- iv. Engaging in University-industry linkages that have generated Research partnerships, Research services, Shared infrastructure, Academic entrepreneurship, Human Resource training & transfer, Commercialisation of Intellectual properties, Scientific publications and informal interaction.
- v. Attraction or research funding at local, national and international levels;
- vi. Attraction of research chairs, centres of excellence, technology transfer niches, centres of competency, research or innovation platform projects, Science parks, spin-offs, & business incubators;
- vii. Publication of books, chapters, peer-reviewed journals, conference proceedings and commissioned technical reports;
- viii. Articles published in reputable national and international journals;
- ix. Staff qualification improvement on postgraduate level;
- x. Postgraduate qualifications awarded to students;
- xi. Attendance and Presentations made to local, national and international conferences;

1.7 Definition of Terms

In line with its mission, ATBU reorganizes the different categories of research as follows:

- (1) **Research:** Is the systematic investigation in an area in order to establish facts and innovation.
- (2) **Pure Research or Basic Research:** This is experimental or theoretical research which is basic but fundamental to acquiring new knowledge or verification of existing knowledge. Results of basic research are usually for scientific progress and publications.
- (3) **Strategic Research:** Is research that produce broad base background knowledge as to provide solution to current or future problems.
- (4) **Applied Research:** Is original investigation to acquired new knowledge directed toward bringing solution to intriguing problem.
- (5) **Research for Innovation:** Is investigation carried out to proffer new solutions or products. The knowledge or information or products derived from the research is often patented or kept secret.
- (6) **Community Based Research:** Is research that addresses community problems and proffers solutions.

- (7) **Researcher:** A permanently employed staff at ATBU who has been designed by Council to conduct research.
- (8) **Research Student:** Is a student at ATBU who is conducting research towards writing a project or dissertation or thesis.
- (9) **Novice Researcher:** Is a permanently appointed academic staff or researcher at ATBU who has less than five (5) publications. He or she is to work in collaboration with research as a mentor.
- (10) **Proven Researcher:** Is a permanently approved academic staff or researcher who has a doctorate degree and at least five publications in reputable journals. A researcher, who has no doctorate degree but has at least 10 journals publication in the last five years, may be categorizing as proven researcher.
- (11) **Research Affiliate:** These are academic staff or Researchers who are not members of ATBU staff but are affiliated to the University, such may include, Emeritus Professors, Honorary Professors, Research fellows, Post-doctoral Research fellows and Visiting Professors or scholars. All the above may be given visiting

Researcher status by the relevant authority and can use the University facilities for research. Publications arising from the research conducted must bear the University's name.

(12) **Research Consultancy:** This is research work done for an external organization or within the University for a fee. All consultancies are subject to University Council approved policy on private work.

(a) **Institution Research Consultancy:** This is an agreed consultancy between the University and a client. It is also guided by Council approved policy on consultancy.

Private Research Consultancy: This is a research undertaken by a staff member, for which the University is not liable.

UNIVERSITY RESEARCH POLICY GOAL AND OBJECTIVES

The main goal is to inculcate quality research at ATBU by providing an enabling environment, built research capacity, generate resources and knowledge as well as efficient utilization and dissemination in line with the University mission statement.

2.1 Objectives of the Research Policy

The objectives of the research policy include:

- (a) to identify the strength, weakness, threats, and opportunities of research at ATBU;
- (b) to promote both general and specific innovative and cutting-edge research activities at ATBU;
- (c) to encourage and empower researcher(s) at ATBU in all fields and disciplines to conduct, disseminate and publish research results;
- (d) to encourage multi-disciplinary research between and within Colleges, Faculties, Directorates, Departments, and individual researchers in the University;
- (e) to increase the University research and innovation income by providing consultancy services to industries and patented inventions;
- (f) to bring researchers, government, and business

- together for the benefit of the society and;
- (g) to enhance the University standing as a center of research excellence of international repute.

2.2 ATBU Research Policy Requirements

To achieve the research policy objectives for the University and maintain a good position in research output, the university shall strive to:

- i. increase staff participation in research by freeing time for the conduct of research. This can be done by invoking the workload guidelines (staff should spend at least 20% of their time in research);
- ii. improve on capacity building by training and retraining academic staff on writing grant winning proposal, financial management and scholarly writing and dissemination;
- iii. encourage inter-disciplinary research through collaboration;
- iv. increase internal funding for research through budgetary allocation;
- v. provide infrastructure necessary for cutting-edge research;
- vi. improve on international collaboration on research and patenting of research output and

- innovations;
- vii. admit more post graduate students while ensuring high quality supervision of Master and Ph.D students research;
 - viii. establish Research Chairs and post-doctoral positions;
 - ix. support all researchers by providing sabbatical and research leave;
 - x. support staff to attend skill enhancement training locally and internationally;
 - xi. reward staff participation in research and quality publications through promotions and financial awards;
 - xii. ensure compliance with the ethical requirement of research;
 - xiii. protect the right of staff and student to data from research in which they participated;
 - xiv. secure the intellectual property right of inventors and researchers;
 - xv. investigate any charge leveled against researchers involving misconduct or conflict of interest;
 - xvi. vigorously solicit for research funds from national and international, public, and private organizations;

- xvii. engage the private sector to contribute toward research and innovation funding;
- xviii. subscribe to data bases that provide information on funding opportunities;
- xix. encourage publications of research findings by financing publication cost as well as support University journals;
- xx. encourage and support researchers to seek for grants from funding agencies, donations and endowments, internally generated funds as well as contract research funds;
- xxi. ensure good and efficient financial management of research funds;
- xxii. encourage and support organization of local and international conferences, workshops and symposia as means of attracting wider research collaboration and dissemination of research work; and xxiii. conduct annual Research and Technology fair to publicize its research and innovation output and innovations.

2.3 ATBU Principles of Good Research Practice

The University expects that the principles of good research practice should be integrated in all aspects of research and innovation.

- i. Researchers should strive for excellence when conducting research and aim to produce and dissemination work of the highest quality.
- ii. Researchers should be honest in their research and that of others. They should ensure the accuracy of data and result.
- iii. Researchers should comply with all legal and ethical requirements relevant to their fields.
- iv. There should be co-operation between the University, its researchers, and the public.
- v. The University and its researchers must understand that they are accountable to the public.
- vi. Researchers are to respect agreement terms and conditions of research and account for all finances.

2.4 Researchers Rights

- i. Researchers are free to choose the subject of their studies and seek support for their research from any appropriate source.
- ii. Researchers also have the right to information.
- iii. The University is expected to create a data base of all research materials/data and equipment repositories in a robust and confidential manner.

- iv. The Department/Faculty/College/Directorate and University are expected to manage the research data as well as research materials.

The researcher has the right for private consultancy. Where the university facilities are used for the consultancy, a reasonable cost should be charged against the consultant.

2.5 Responsibility of Researchers:

Researchers should ensure that:

- i. They obtain a clear and explicit written research mandate from their sponsors and expected deliverables, financial commitment, etc.
- ii. They ensure that the agreement with its sponsor must be legally binding.
- iii. The right to disseminate and/or publish the outcome of the research must be very clear in the agreement.

2.6 Responsibility of Clients or Sponsor

- i. Client or sponsor should be aware and must respect ATBU Research policy
- ii. Sponsor should not expect the researcher(s) or the University to go contrary to its research policy.

- iii. Client or sponsor has the right to or demand for information at any stage of the research.

2.7 Principal Investigator

Principal Investigator:

- i. should have the relevant competences to lead the project as may be accepted by the sponsoring body.
- ii. should be a senior staff member(s) who hold permanent appointment with the University
- iii. can be a staff member(s) who is on sabbatical leave or other leaves with the University. He/She can be considered as Principal Investigator if his/her appointment extends beyond the period of the funding being requested.
- iv. can be a staff authorized by the Vice Chancellor

2.8 Duties of Principal Investigator

Principal Investigator is:

- i. Responsible for planning the proposed project as well as administering it.
- ii. Accountable to the University on the progress of the project.
- iii. Responsible for all finances including

application for finance, purchases, and retirement

- iv. Responsible for the ethical and safe conduct of the research as well as scholarly integrity of the research.
- v. A mentor to other researchers in the cluster for successful conduct of the research.

RESEARCH AND INNOVATION COMMITTEES

3.1 The Research and Innovation Committee

The University shall have a statutory University Research and Innovation Committee which will report to Senate through the Director of Research, Innovation and Development.

The University Research, Innovation and Development Committee shall:

- i. be responsible for advising and assisting the Director on the implementation of the University research policy.
- ii. meet once every month and a Quorum shall consist of half of the membership.
- iii. be responsible for allocation of research funds on specific projects or research.
- iv. consider a research application only after it has been considered by both Department and Faculty research committees with all portions of the Head of Department and Dean of Faculty duly signed, stamped, and dated.
- v. ensure that equipment purchased during research must be handed over to the department at the point of final retirement of the grant with evidence (s) duly signed and submitted to the directorate of Research and Innovation.

- vi. allow researcher(s) to involve their post graduate students in their researchers but no funds meant for research should be used by staff for higher degree studies, however if external sponsors of research permit such collaborations, it can take place.
- vii. allow researchers to engage research assistant/research fellow to work on specific project with grant(s)
- viii. consider not more than ten (10) applications for funding in a grant call from a team of researchers, no single researcher shall have more than three applications in a grant call.
- ix. allow a researcher(s) to enjoy a new research grant singly or be part of a team of researchers for a fresh research grant while having ongoing research
- x. not permit one researcher to be involved in more than five (5) ongoing research as a principal investigator.
- xi. not consider a defaulting (has not submitted progress report(s)) researcher's application or name to be included in a team for new research funding.
- xii. ensure that every approved research application

- must have an identification number and designated account number (code)
- xiii. Organize an annual university-wide Science, Technology, and Innovation Fair.

3.2 Faculty Research Committee:

- i. Each Faculty shall have a research committee to be called a Faculty Research Committee.
- ii. The Faculty Research Committee shall be chaired by the Dean of the Faculty
- iii. Faculty shall have a research Coordinator who will liaise at all time with the office of the Directorate of Research, Innovation and Development.
- iv. Faculty Research Committee should collate all submissions of research proposals from Department, deliberate on them and recommend them or otherwise to the University Research Committee.
- v. Shall organize an annual faculty Science, Technology, and Innovation Fair.

3.3 Department Research Committee:

- i. Each Department shall have a research committee to be called Departmental Research

- Committee, chaired by the Head of Department.
- ii. Department shall have Department Research Committee Coordinator who will liaise with the Faculty Research Coordinator.
 - iii. Each semester, there shall be a report on status of research in Department to be forwarded to the Faculty research committee and to the office of the Director of Research, Innovation and Development.
 - iv. Department Research Committee shall develop new Department research as well as monitor all ongoing research.
 - v. The Department Research Committee shall study, consider, and recommend as appropriate all research applications from the Department to the Faculty Research Committee.
 - vi. Departments shall include research in their annual Budget request from the University.
 - vii. Identify students' work for participation in the faculty Science, Technology and Innovation fair.

3.4 Research Coordinators:

Research coordinator (Faculty/Department) must be a permanent employee of the University, and he/she shall:

- I. act as extension or liaison officer between

- Department and Faculty as well as Directorate of Research, Innovation and Development.
- ii. keep and distribute application forms to all interested Staff.
 - iii. work collaboratively with both internal and external sponsors.
 - iv. improve communication between Departments/Faculty and the Directorate.
 - v. take minutes of the committee meetings.
 - vi. attend all department/faculty seminars with a view to identifying all potential research output that can be patented and communicate such to the University patent office.
 - vii. ensure that Research grants beneficiary make timely submission of reports.

RESEARCH GRANT APPLICATION AND SOURCES

4.1 Grant Application Procedure

- I. All applications for research grant must be done through the University Research Committee approved applications forms. The forms can be obtained from the Department research Coordinator, Faculty Research Coordinator or office of Director Research, Innovation and Development
- ii. Enough copies for the members of the University Research Committee shall be submitted for consideration at its meetings; applicants should attach copy of their research proposals. All proposals should be peer reviewed following the grant proposal guidelines. Thereafter copies of the reviewed proposal should be forwarded to the members of the University Research Committee for consideration at its meetings
- iii. During consideration of application (post peer-review), the Principal Investigator or researcher may be invited to clarify issues that may arise from their application at all levels of consideration (if necessary).
- iv. Successful research applications shall be communicated to the researcher or Principal

- Investigator via a letter that will be copied to the VC, Bursar and Register.
- v. Result of successful application must be communicated to researcher(s) a week after every monthly meeting of the University Research Committee.
- vi. Unsuccessful research application shall be communicated to the researcher or Principal Investigator via a letter advancing reasons for the failure to secure the grant.
- vii. University and funding agency must be acknowledged in all publications or patents on the outcome of research.
- viii. At the end of the research, a report shall be submitted to the Directorate of Research, Innovation and Development through the Head of Department and Dean of Faculty.
- ix. Electronic and two hard copies (where applicable) of publications must be submitted to the office of the Directorate of Research, Innovation and Development through Head of Department and Dean of Faculty.
- x. All correspondences between the Department/ Faculty Research Committee and individual researcher should be copied to the Office of the

Directorate of Research, Innovation and Development.

- xi. In the event funds approved and releases for particular research are insufficient to complete the research, researchers can apply with justification to University Research Committee for variation.

4.2 Externally Funded Research

This is research that is partly or fully sponsored by an external body base in or outside Nigeria. The University encourages its researchers to source and obtain financial support for research purposes from external sources.

- I. All staff seeking external research funding should inform the Directorate of Research, Innovation and Development through their Head of Department and Dean of faculty.
- ii. A copy of proposal for external research grant should be submitted to the Directorate of Research, Innovation and Development through the Head of Department and Dean of faculty
- iii. The University may assume responsibility (both financial and administrative) of the grant together with the grantor.
- iv. In situations where the fund for the research is left

under the control of the University by the sponsor(s), access by the researcher to the funds shall be through the Directorate of Research, Innovation and Development.

- v. In situations where the fund for the research is left under the control of researcher by the sponsor(s), all the transactions shall be communicated by the researcher to the Directorate of Research, Innovation and Development through the Head of Department.
- vi. In the event the University accepts responsibility, it should ensure that
 - a. All information in the application form submitted to the grantor(s) is valid, and accurate.
 - b. The grant must be used for the approved research proposal.
 - c. The rules and regulations of the funding agency must be complied with.
- vii. Where external sponsor is (are) dealing directly with the researcher, the University shall be exempted from any form of liability.
- viii. The University - shall be acknowledged in all publications and a party to all patents arising from the research.
- ix. All progress report(s) on

externally funded research must be made available to the Directorate of Research, Innovation and Development through the Head of Department.

- x. Electronic and two hard copies (where applicable) must be submitted to the office of the Directorate of Research, Innovation and Development through the Head of Department and Dean of Faculty.

DIRECTORATE OF RESEARCH, INNOVATION AND DEVELOPMENT

5.1 The Directorate

There shall be a directorate of research innovation and development and a Director to oversee the affairs of the Directorate. He/She is to:

- i. Coordinate all the researchers and research in the University.
- ii. Represent the Directorate both internally and externally.
- iii. Access and monitor the budget of the Directorate.
- iv. To initiate, develop and implement the research policy of the University
- v. Ensure quality assurance of research in the University.
- vi. Develop and operate method of tracking researchers' progress.
- vii. Coordinate/lobby for physical space, infrastructure and equipment for research.
- viii. Coordinate research bids and find peer review of applications
- ix. Promote technology transfer in a manner consistent with the mission of the University.
- x. Review, negotiate and present for approval all

agreements that affect the University's right to intellectual property.

- xi. Arrange for staff training on research activities
- xii. Call for meeting of the University Research, Innovation and Development committee.
- xiii. Chair the meeting of the University Research, Innovation and Development committee.
- xiv. Assists with seeking for donor research funds.
- xv. Guide researchers to potential funding sources.
- xvi. Negotiate with potential donor funding agencies.
- xvii. Keep records of research fund recipients.
- xviii. Detect research misconduct and recommend ways of reducing it.
- xix. Ensure that the University is fully compliant with research sponsor terms and conditions.
- xx. Ensure that all sponsored research activities are subjected to Memorandum of Understanding (MoU) and/or agreements.

5.2 Tenure of Director:

The Director of Research, Innovation and Development shall hold office for two (2) years, renewable for final term of another two years.

5.3 Governance and Management of Research and Innovation

- I. Senate governs and approves research and innovation policies as well as academic quality of research.
- ii. University Research and Innovation Committee advises Senate through the DRID on the strategy, plans and quality of Research and Innovation of the University.
- iii. DRID has the responsibility to evaluate the research undertaken at ATBU and make recommendations to Senate/management.
- iv. Director DRID assumes the overall responsibility for the policy and strategy of Research and Innovation ATBU.
- v. Research and innovation are performed within the defined Research policy and shall be linked to faculties.
- vi. Issues of research collaborations shall be handled by DRID.
- vii. DRID shall support on the protection of intellectual property rights, patents applications and professional indemnity, related to research and innovation activities.
- viii. DRID shall monitor the effective and optimal

appropriation of the research funds including applications and allocation of funds, as well as the continuous monitoring and reporting of all research funds of the University;

- ix. DRID shall annually evaluate Research and innovation performance of faculties by using appropriate research and innovation performance indicators and shall be captured in the annual DRID Report.

5.4 Composition of University Research and Innovation Committee

There shall be a research committee of the university which have the following as members:

- I. Director Research, Innovation and Development
- Chairman
- ii. Deans of Post Graduate School, Colleges and Faculties - Member
- iii. Representatives of Faculties (one per-Faculty)
- Member
- iv. Director of Academic Planning - Member
- v. University Librarian - Member
- vi. Senate Representative (2) - Members
- vii. Staff of Research, Innovation and Development
- Secretary

Acknowledgements

We acknowledge the following links as sources of some of the information presented here:

<https://www-nwu-ac-za.web.nwu.ac.za>

<https://www.askthelawyeronline.com>

<https://www.docplayer.net>

<https://www.educartis.com.ng>

<https://www.nwu.ac.za>

<https://www.cms.cut.ac.za>

<https://www.apo-tokyo.org>

<https://www.tandfonline.com>

<https://www.frosszelnick.com>