Ethiopian Civil Service University

Office of the Vice President for Research and Community Services

Research Policy and Guidelines

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Addis Ababa

ETHIOPIAN CIVIL SERVICE UNIVERSITY

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Table of Contents

Section One: The ECSU Research Policy

1 Background

Ethiopian Civil Service University (ECSU) was established with a legal mandate to operate as an institution of higher education, catering for education and training needs of the public service of the regional states and federal government. In addition to the delivery of various short-term courses, undergraduate and post-graduate programs, the university has a mandate to undertake problem solving researches that are geared towards policy intervention in various development areas of the country.

In addition to conducting research, the university's restated mandate also includes the provision of consultancy services to regional and federal government offices in various fields. It is deemed that strengthening research undertakings in policy and development related areas could positively contribute to the provision of high quality consultancy services to those public institutions who are in need of same. From this perspective, building a reputable research stance would mean having a respectable consultancy service as well. Moreover, empowerment of disadvantaged segments of society including women and people with disabilities. Serving the emerging regions in building their capacities is among the tenets of ECSU.

More important, ECSU aspires to challenge a traditional way of doing research. Cognizant of the inability of researcher prescribed studies in fully addressing societal problems, our university is taking a different direction in this regard. What makes our approach to research a different one is that we involve stakeholders at all important stages of research undertakings in view to reaching at the real problem of a particular public-sector organization. To put it in a nutshell, we identify research problems in consultation with our stakeholders. After a joint identification of a set of research problems, we also do prioritizing between the identified problems for research together. This is made usually on our annual stakeholder consultation workshops. Following setting priorities, we develop a research proposal and present it to our clients to reflect on whether their felt needs are met.

After endorsement of the proposal, we prepare and present an inception report that clearly stipulates as to how the intended research project is going to be executed. Customarily, we hold

validation workshops upon completion of preparation of the first draft research report. This is mainly done in order to verify whether the findings of the study portray the prevailing realities and hindrances of performance in the organization under a scientific inquiry. Methodological approaches adopted in the process of the scientific investigation are also the ones to be presented for public scrutiny during the validation workshop. Providing coaching service in the process of implementing recommendations for change is another fundamental intervention that we decide to promote through our research activities as well. Thus, this policy is a manifestation of our renewed commitment to carryout researches in a more meaningful way than the traditional fashion.

2. The Need for Research Policy

The **research policy** provides a framework to ensure that the research programs of the University are relevant, necessary, efficient and effective. The policy will create transparency and uniformity in research planning, implementing and monitoring research processes. It maps out processes of identifying and prioritizing research needs and initiating research projects; procedures for preparation and approval of research proposals; guidelines for identifying funding sources and modes of acquisition; mechanisms for project monitoring and control; dissemination of research results and evaluation of research effectiveness and impact. It is the policy of the University to create and maintain a vibrant research culture among its staff both within and outside the University, with the prime goal of achieving scientific excellence.

The University recognizes the importance of research as a key component of the University mission. Therefore, the University is continually striving to strengthen its research capacity to effectively address the following key areas:

a) **Relevance:** This is with respect to addressing societal problems and needs in a prioritized manner, that is about identification and prioritization of research needs in line with national and international development objectives and priorities.

b) **Necessity:** Research is necessary to bridge knowledge gaps that hinder technological advancement and to advance the utility of an existing technology. Necessary research builds on past research findings in order to track progresses, add value and promote innovation in the public sector.

c) **Efficiency:** In research, efficiency refers to the utilization of resources (finance, time, human, technology, information and materials and similar others) in the widest possible sense, without duplication of effort. It ensures that research objectives are realistic for the available resources; objectives are achievable at the lowest possible cost without compromising quality, and resource allocation is based on relative importance of reaching the predetermined objectives.

d) **Effectiveness:** Research effectiveness is evaluated in terms of its potential to achieve desired results in satisfying the national objectives as well as the adoption and application of research findings in solving societal problems.

3. Purpose of the Research Policy

This research policy will enable the university to effectively contribute towards the development of the public sector in the country. It will serve as a guiding framework to facilitate planning, implementation and evaluation of research activities within the university. It will also ensure that all research activities have a clear purpose drawn from the mission and vision of the university and that all resources mobilized for research activities are directed towards the fulfillment of institutional goals.

The overall objective of this *Research Policy* is to create uniformity and transparency in research planning, implementation, monitoring and evaluation, as well as research output dissemination processes.

The following are the specific research policy objectives:
* To enhance research skills of academic staff in order to ensure quality of research undertakings, teaching research, research advisement and research related consultancy services
* To place emphasis on promoting ethical values in research undertakings
* To advance transparency, accountability and maintaining uniformity in the process of research governance of the university
* To carry out researches in response to the felt needs of public service institutions in view of improving quality of their services to citizens

- To ensure wise use of resources allocated for researches that are aimed at solving practical problems that characterize the Ethiopian public service
- To come up with researches that inform policy formulation and revitalization with regard to public sector capacity building
- To create an enabling environment for collaborative research undertakings in partnership with likeminded institutions

4. Scope of the Research Policy

The university will facilitate, host and conduct research in areas where latest developments promise to offer new knowledge and/or address problems constraining development initiatives in the country. The research scope shall facilitate the sharing of information through conferences, workshop, seminars and other modes of exposure. The scope includes broad thematic areas such as public sector policies and strategies, reforms, governance, leadership, financial management, procurement and taxation, public management, urban management, development and engineering.

This research policy, therefore, applies to all research activities of the university. All colleges, research centers and academic units are expected to abide by this policy in all of their research endeavors. Moreover, this research policy applies on researchers representing the university in various research activities.

The fact that this research policy places its major emphasis on research projects being carried out by faculty, researches that are conducted by students may not thoroughly be dealt with in this policy. This does not mean, under no circumstance, that researches being done by students are not worthy of consideration. Simply, it is in anticipation of that this case shall be better handled by the guidelines being developed by the School of Graduate Studies which is in charge of financing and following up such exercises. The university shall also design the mechanisms through which the top rated original student researches get uploaded on its website, published in its journals and perhaps considered for merit award.

5. Major Research Policy Principles and Issues

5.1 Research policy principles

The university has responsibility to find answers to pressing national issues in multidisciplinary fields ranging from policy formulation, revitalization and reform to management/leadership; and to contribute to the improvement of the theory and practice in the various disciplines through research. In pursuit of discharging its indispensable responsibilities, the university has to adhere to certain fundamental principles and directions with regard to research. Following are the list of principles that govern the practice of research undertakings.

5.1.1 Originality and problem solving
Researches that are conducted by the ECSU faculty and being financed by the university need to be original contributions to the scientific arena. Besides, the researches undertaken should focus on solving societal problems and showing the new way of doing things, among others.

5.1.2 Maintaining balance between teaching and research
Teaching and conducting research are the two mutually reinforcing businesses of universities. This policy, therefore, places emphasis on the issue of striking balance between teaching and research activities by the academic staff of ECSU. Without compromising the academic freedom of the faculty, the university may demand a member its teaching staff to engage in research activities in line with his/her specialization and experience hand-in-hand with his/her teaching assignments.

5.1.3 Integrity in research
Fair and honest reporting is the hallmark of scientific endeavor. Researchers are expected to maintain the highest degree of intellectual honesty in the design, conduct, data analysis, reporting of research findings and in acknowledging scientific direct and indirect contributions made by university staff and other collaborators.

5.1.4 Objectivity in research approval process

Research evaluation and approval processes need to strictly follow rigorous procedures of assessment to ensure objectivity and viability of the research undertakings. This is done through involvement of different scholarly teams that are organized at different levels of institutional arrangements.

5.1.5 Ensuring research quality

ECSU opts for maintaining highest possible quality of researches conducted by its staff. To this end, the university shall establish mechanisms through which research activities are conducted and assessed to ensure that they attain the highest possible level of standards. Quality assurance initiatives will take place in the effort to improving quality standard of research outputs via continuous learning alternatives.

5.1.6 Protecting intellectual property rights

The university shall persistently work toward creating an enabling environment that encourages knowledge advancement and creativity. In order to protect original scientific contributions, discoveries and inventions by its researchers, the university shall institute appropriate mechanisms to protect intellectual property rights.

5.1.7 Recognition and reward

ECSU shall incentivize researchers demonstrating remarkable research output and of high quality publications. Besides, researchers who negotiate and manage to bring external finance for research project financing shall be provided with an incentive.

5.1.8 Fairness and equal opportunity provision

The research project management at the university takes into account the existing structure and their interface with the research activities. Thus, entities that would be in charge of research process management constitutes the vice present's office for research and community service; research coordination and publication office, research centers and colleges with deputy directors for research and community services of respective colleges.

5.1.9   Advancing research ethics

The university shall ensure that researchers working within the university and/or who are associated with the university shall work in accordance with established ethical standards. All researches conducted by staff of the university shall be required to receive ethical approval from the institutional review board in due course of time and before the commencement of research work.   The university shall endeavor to nurture academic integrity among researchers both staff and students. Specifically, ECSU treats academic dishonesty very seriously.

5.2 Themes and focus areas of research

The fact that the university focuses on public sector capacity building, the policy recognizes multi-disciplinary research that contributes to the overall capacity enhancement in the public sector. The research priority areas will be developed through the use of an all inclusive consultative process involving the university's research centers,   colleges, departments, partnering government ministries, regional governments and other relevant stakeholders. The priority research areas shall be recalibrated from time to time in accordance with the need to do so. However, areas pertaining to Public Policies and Strategies, Public Reforms, Leadership Development, Ensuring and Sustaining Good Governance, Promoting Development Agendas, Building Capacity of the Public Service, and Urban Infrastructure Development and Urban Governance are among the core thematic areas of research interest.

5.3 Quality of research

The research work shall be original, scientific, free of plagiarism and shall be carried out in accordance with relevant professional ethical codes and internationally accepted ethical guidelines for researchers. Proposals/research reports shall be developed and submitted according to the schedule set for submission. Proposals and research reports shall be developed and evaluated rigorously - based on the assessment criteria and proposal/report format of ECSU. The evaluation shall be done by internal and external assessors where deemed appropriate. Assessment results shall be communicated by the means of such different channels as e-mail, telephone, and mail.

Research proposals may be submitted to ECSU from researchers within or outside of the university. However, the assessment process remains the same irrespective of the institutional origin of proposals.

5.4 Dissemination of research outputs

The policy distinguishes the enhancement of research outputs dissemination as a culture to attain and keep a leading position of the university in research and community services. Exchange of information, discussion and interchange of ideas are basic elements of research. To this end, research output(s) shall be disseminated through various channels, like workshops, conferences, books, journals, UI linkages and others. Research reports shall be prepared in Amharic or English with a possibility of being translated in to other local vernaculars as appropriate. Respective colleges, research centers and work units are expected to send results of their accomplished research activities to the Research and Publication Coordination Office. A comprehensive research audit shall be conducted to assess how well the colleges, research centers etc are adhering to the university's research objectives.

5.5 Networking and collaboration

This research policy realizes the importance of collaboration and linkage with local, national and international research and development institutions to broaden financing and share good experiences and link the university engagement with public sector and community. The colleges/research centers and researchers shall be encouraged to work in collaboration with other universities, public sector institutions and governments (Regional as well as Federal), donors (national as well as international), to achieve common research objectives where appropriate. Colleges/research centers shall also ensure the existence of an appropriate inter-college/center collaboration that will facilitate the conduct of research that (is expected to) transcends the college/center's boundaries.

5.6 Administering the research process

Transparent and efficient research management and coordination at each level of the university enhances research output and benefits the university and the community.

This will be implemented through the following strategies.

- Develop multidisciplinary *in-built* planning, monitoring and evaluation system in the research process.

- Ensure timely research proposal review, funding system and implementation of research projects that add value in the research process without compromising quality of research.

- Develop mechanism of regular reporting of research progresses and outputs to relevant offices and stakeholders that can ensure timely dissemination of research outputs for stakeholders.

- Link research outputs or innovations with development interventions such as industries and business community.

- Develop guidelines and avail research facilities for smooth undertaking and successful completion of research projects.

- Identify and nurture areas of comparative advantage for research focusing on bringing about sustainable positive changes in the capacities of the public sector.

- Strengthen the research management and coordination function at university, college and departmental levels.

- Keep the mix of the Research and Ethical Review Board of colleges to ensure the ethical and technical standards of the research projects and put in place clear duties and responsibilities for the Research and Ethical Review Board.

- The roles and responsibilities of vice president for research and community services; research and publication coordination office, research centers and deputy deans for research and community services of respective colleges follow same provisions provided in the Senate Legislation.

5.7 Policy implementation and revision

- The policy shall be comprehensively implemented and periodically reviewed to accommodate new developments as they arise.
- This Policy shall apply to on-going and new research projects and written agreements between the university and/or any other organizations or individuals that are party in such accords.
- Implementation of this policy shall take effect upon endorsement by the University Senate.

Section Two: Guidelines for Research Undertaking and Management

1. Planning and Execution of the Research Projects

1.1 Conditions to initiate a research process

The following issues shall be considered, while developing/initiating project proposals:

1.1.1 Any staff of the University may propose to conduct a scientific inquiry onto any research problem of his/her choice and expertise. However, in order to qualify for university financing, a proposal must fall within ECSU's research focus areas. However, proposals from staff that are in study leave, except in sabbatical leave, will not funded from recurrent research budget unless they produce testimonials for submission of their thesis or dissertation.

1.1.2 Research proposal may be initiated by an individual researcher or a team of two or more researchers. In the case of team research, one researcher shall be selected from among the research team members as a principal investigator (PI) on the merit of seniority in the area of research interest or on the basis of team members consensus where members are of equal academic status. This is made for the sake of team leadership and ease of communication. However, they are equally responsible for any failures of agreement.

1.1.3 A person can be a principal investigator for only one and co-researcher for not more than one ECSU funded research projects in a given fiscal period. However, a researcher who is not a principal investigator may assume the role of a co-researcher in two research projects in a given fiscal period.

1.1.4 ECSU encourages research projects to be undertaken in teams than on individual basis for the main reason that this situation promotes interdependence among team members having varied levels of knowledge and experience. However, it is equally important to entertain interests of staff who propose to carrying out researches independently. Thus, ECSU shall finance, on competitive basis, one research project that is initiated individually in a given fiscal period. Where there is a compelling

reason to finance more than one research project initiated by individual academic staff in a given fiscal period, a proof that testifies the applicant's capability and relieve from teaching responsibility for the duration of the proposed research undertaking must be presented. This is in the interest of not incurring jeopardy on quality of research work and teaching responsibilities.

1.2 Call for research proposal, submission, notification and completion schedule

1.2.1 There shall be call for funding research projects on competitive basis.

1.2.2 The University shall post call for proposal for research projects having multidisciplinary nature. Colleges are responsible for posting call for proposals that fall under discipline specific research areas. In both cases, however, the posting of call for proposals must be made during the *first week of March every academic year*. Proposal submission should be consistent with the deadlines posted. No proposal shall be accepted after the deadline.

1.2.3 The submission of research proposals shall be due two months after the call is posted. Open defense will be scheduled during the *third week of May every academic year*. The final review process of the proposals shall begin at *mid July and run through end of July*. Notification of successful research proposals will be communicated *mid of September*.

1.2.4 A final report of each research project that is designed and deemed to be completed within a given academic year should be submitted before or on 15th of May each year. This helps to settle financial matters related to the projects before that particular fiscal year ends in order to avoid the spillover effects of activities brought forward from previous year upon the current performance. However, research projects that have the nature of being carried out over a period of more than one academic year shall be treated in accordance with the project agreement and provisions thereof. In principle, delay in completion of research projects is intolerable. Where there is a valid reason that necessitates extension, however, endorsement of time extension request made by the research team shall be considered on the basis of presenting sufficient evidence that justifies the request for extension. Decision on time extension request shall be taken by the Senate Standing Committee for Research upon closely examining the claim. Time extension claims that emanate from lack of seriousness

about the project, poor time management, and mere personal preference shall not be entertained at all.

1.2.5 Proposals to be sponsored by ECSU shall, as a minimum requirement, comprise the following major components including the title, background of the study, statement of the problem, research questions/hypotheses, research objectives, scope, a brief literature review, significance, methodology, ethical considerations, time table, budget breakdown and reference list.

1.2.6 Research proposals shall be submitted to the respective College Director for Research and Community Services in 3 printed copies and a soft copy typed in a Microsoft Word readable document (.doc), 1.5 spacing (set in 12 pitch font), Times New Roman font, and have 1-inch margins top and bottom and 1.5-inch margins left and right printed on A4 size paper. The entire proposal must not exceed 15 pages excluding title page, table of contents and the reference list.

1.3 Research proposal review

1.3.1 Research proposal reviews at the University level

Senior level research projects shall get their approval at top level university management and other stakeholders as applicable. Upon the signing of the memorandum of understanding and developing terms of reference regarding internally initiated or externally requested multi disciplinary researches, the Vice President for Research and Community Services shall organize and oversee a team of researchers that will handle proposal development and its execution.

The first task for a team of researchers will be developing state-of-the-art research proposal subject to oral presentation and defense in the presence of parties in the project agreement. After being evaluated and commented by the stakeholders, the proposal remains a binding document of the project engagement and execution. The research team shall be responsible in ascertaining that all comments and concerns by stakeholders are incorporated before the proposal's final approval. Approval of the research proposal shall take place in the presence and by the consent of all concerned stakeholders to their satisfaction. ECSU may organize a technical team for multidisciplinary researchers by when the university believes that the open defense alone would not serve the purpose in its entirety.

1.3.2 Research proposal reviews at College level

I.   Proposals shall be primarily assessed for quality and viability by the respective Departments/Institutes/Schools/Centers of the researchers who are interested in university financing of their intended research work. Proposals reviewed and recommended by the Departments/Institutes/Schools/Centers shall be sent to the College Research and Publication Committee for further and final evaluation that leads to granting university finance. Proposal review process at Department/Institute/School/Center shall involve preliminary assessment in relation to ***topic relevance, methodological appropriateness, ethical considerations, financial and timeframe feasibilities*** and similar others. The process shall be guided by *an exclusive format* being developed to this end.

ii. Research and Publication Committee of respective Colleges shall be responsible for facilitating the technical, financial and ethical review of the proposals. The Committee shall be led by the respective College Deputy Deans for Research and Community Services. The role of this committee shall be facilitating blind review process, by deployment of pertinent senior professionals in the area, through which proposals are examined in light of ensuring quality and relevance of the proposed work for university financing.

iii. The respective College Deputy Deans for Research and Community Services shall organize a platform for research teams to openly defend their proposals to the review Committee. The College Research and Publication Committee shall be responsible in consolidating and disclosing the overall ratings of proposals reviewed and openly defended.

iv. The proposal review process entails two important phases. The first phase shall be about ***rigorous paper based technical and financial assessment of the proposals*** submitted. This shall be done by sending each proposal to at least two senior professionals in the field of the proposed research discipline without disclosing their identity as well as the identity of the researcher(s). The paper based evaluation constitutes for 70% of the overall rating of the proposed work. The second phase deals with ***open defense session*** whereby researchers shall present their works in

the presence of College Research and Publication Committee members with two anonymous blind reviewers designated for a particular task without revealing their identity. The overall value of the open defense session constitutes for 30 percent of the total score out of hundred. Proposals with an average rating score of less than 60 percent shall not be considered for university financing. ***Separate instruments of proposal evaluation shall be instituted to assess the merit of proposals*** submitted by Senior level and Junior level researchers.

v. The decision of the College Research and Publication Committee shall be formally communicated in writing directly to the Principal Investigator or individual researcher as applicable. The decision could be either acceptance or rejection of the proposal on the basis of merit of the evaluation result. The accepted proposals shall be submitted in 3 hard copies and a soft copy within 10 days following the date of open defense session. Finally, financing of proposals that are positively assessed shall be solely dependent on approval of incorporation of comments provided by both paper based and open defense evaluation sessions. Researchers whose proposal get rejected have the right to request for clarification of the decision pertaining to the status of their research proposal.

vi. Research proposals shall be rejected if any misconduct such as plagiarism, deception, fabrication, data cooking and falsification are confirmed at any level and stages of the research work.

vii. Proposals reviewed and accepted at College level shall be sent to the Research and Publication Coordination Office in order to get endorsement from Senate Standing Committee for Research and Publication.

viii. Letter of award for successful proposal will be issued following an endorsement by the Senate Standing Committee for Research and Publication via Research and Publication Coordination Office.

1.4 Entering into agreement

1.4.1 For a *Senior Level Research Project*, a research contract shall be signed between the Principal Investigator and the University using appropriate format that shall be developed in line with provisions of this policy.

1.4.2   For a *Beginner Research Project*, respective colleges shall issue an award letter accompanied by a signed contract agreement to the Principal Investigator copying the same to relevant authorities of the university including department of finance.

1.5 Workload allocation for staff with research engagements

Teaching and research are at the very center of academic staff responsibilities, among others. A fulltime teaching staff is required to devote 75 percent of his/her time for instructional purposes while 25 percent is dedicated to research activities. A fulltime research staff workload assignment involves at least 75 percent for research and 25 percent for teaching. Notwithstanding the 75:25 proportion of workload allocation, however, there are situations whereby an academic staff required to devote 100 percent of his/her time for research alone. Hence, academic staff of ECSU whose research proposal is approved for university financing shall be recognized by a Department of one's affiliation as holding a three credit hours workload throughout the approved duration of the research project. Where such research projects are going to be carried out in team, the workload allocation for a principal investigator shall be 3 credit hours while the workload assignment for other members of the team shall account for 2 credit hours each.

The above specification of workload allocation refers only to research engagements that are funded by ECSU. The fact that University financing is only one modality of undertaking researches, other research engagements may be considered for workload assignment in a different manner. Senior researchers are entitled for paid research leave in view of strengthening the research culture. The underlying principle of instituting sabbatical leave is also related to advancing research tradition in one way or the other.

Regarding research projects commissioned by other agencies and implemented by ECSU, staff workload allocation shall be made on the basis of scope of the work to be done and accomplishment timeframe of the project. There are times whereby such a project requires undivided time, attention and mental effort of an academic staff who is deployed to the said project work. In such a situation, there shall be a possibility of fully relieving the staff from other duties in recognition of holding a maximum workload of 12 credit hours throughout the project duration.

1.6 Reporting of research progress

1.6.1 Submitting regular progress reports to College Deputy Dean for Research and Community Services is mandatory. Colleges and Centers also submit progress reports to RCSVP and RPCO in similar way.

1.6.2 Once a research project is approved and budget is secured, researchers cannot change the approved location, the work plan, methodology or objective of the study without getting written consent from relevant authorities.

1.6.3 The researcher shall submit progress report to respective College Deputy Deans for Research and Community Services upon the following successive stages of accomplishment.

     a. Data collection instruments development and testing stage
     b. Field level data collection completion stage
     c. Submission stage of the first draft report
     d. Upon feedback incorporation obtained from a validation workshop
     e. Final research report submission stage

1.6.4. Validation workshop shall be conducted after the submission of the first draft in view of soliciting feedback from academics and other stakeholders.

1.6.5 The Principal Investigator shall submit to the College three bound copies of the final result and settle financial matters upon completion of the entire work related to a particular research undertaking.

1.6.6 Failure to submit the final documents may result in seeking legal remedy in accordance with the relevant university laws and agreements thereof. Moreover, a researcher who failed to deliver the final research report without having valid reason for doing so shall be subject for denial of future grants in addition to legal remedies for damage.

1.7 Research reviewers and resource persons remuneration

ECSU shall remunerate all staff that are involved in research review activities. Proposal assessors, article reviewers, conference presenters, conference moderators, seminar resource persons, workshop presenters, copy editors, and conference rapporteurs. The rate being allocated to these professionals shall be decided and periodically revised by the university management. Professionalism and merit must, under no circumstance, be compromised in assigning reviewers and resource persons, however.

2. Management of Research Projects and Financing

2.1 Introduction

It is a matter of fact that for academic, research, community services and training linkage ECSU allocates research projects fund. In this respect, ECSU shall follow three types of funding schemes:

- Senior level research projects' grant,

- Intermediate level research projects' grant, and

- Junior level research projects' grant.

2.1.1 Senior level research project grant

    i.   These projects involve grand projects which cover from baseline study to intervention,

    ii.   Such research projects shall be multidisciplinary involving many departments, colleges/institutes/schools and/or external stakeholders,

    iii.   This scheme shall be applicable to community problem solving, consultation and/or linking research results with community services and training,

    iv.   Projects under this scheme shall be initiated by researchers/staff members/external donors, and by the government,

    v.   Research projects focusing on ECSU's thematic areas of intervention shall be highly considered,

    vi.   The budget allocated from the University for a Project under this scheme shall be according to accepted amount of proposed budget by the proposal assessment committee, and the senior level research projects' duration shall be 1- 3 years, with possible extension of one year,

vii.   Under this project a minimum of three senior researchers of different specialization backgrounds need to team up to initiate and execute a project,

viii.   This scheme is allowed for academic staff members of ECSU with a rank of an Assistant Professor and above,

ix.   Such researches shall be carried out with internal source of fund or in collaboration with external funding sources.

x.   ECSU shall allocate a significantly larger proportion of its annual research budget to the implementation of this scheme.

2.1.2 Intermediate level research project grant

i.   This scheme shall apply to research projects which can be initiated by researchers and completed in six months to one fiscal year,

ii.   These research projects shall be based on the already identified research thematic areas of ECSU,

iii.   This scheme is allowed for academic staff members of ECSU with a rank of lecturer and above. Junior researchers shall work as co-investigators in these projects without having the role of a principal investigator,

iv.   ECSU shall allocate a fairly sizeable proportion of its annual research budget to the implementation of this scheme.

2.1.3 Small grants for junior researchers

i.   This scheme shall apply to researchers who are more or less novice in undertaking independent researches. The sole purpose of opening up this opportunity for junior researchers is to nurture future capable and fruitful researchers,

ii.   Research projects under this scheme can be initiated and executed by one or more researchers holding the ranks of graduate assistant and assistant lecturer under the guidance of a senior researcher in respective Departments of the junior researcher's affiliation,

iii.   ECSU shall allocate a reasonable proportion of its annual research budget to the implementation of this scheme. However, the university encourages junior

researchers to work in team with senior researchers in the interest of transfer of knowledge and skills in due course of conducting a research.

2.2 Sources and allocation of research grant

i.   In view of facilitating undertaking of problem solving researches, the ECSU shall allocate sizeable proportion of its budget for research activities. The sources of grant shall be either from internal, external or joint financing. Internal source refers to the university's budget where external funds shall be obtained from sources other than the ECSU which may be negotiated either by the university or the researcher/s.

ii. Ninety percent (90%) of the externally negotiated research budget shall be allocated to direct research related activities where a proportion not more than ten percent (10%) of the total project budget goes to administrative expenses,

iii. Approved budget for research shall be released in three phases. The first installment of fifty percent (50%) of the total approved budget will be released to a researcher upon finalization and submission of field level data collection instruments and detailed fieldwork schedule as specified in the proposal. The second installment of 50% of the budget will be released for data analysis and related activities upon presentation of detailed report that testifies successful completion of field level data collection.

iv. Research funds shall not be used for procurement of such fixed assets as computers, photo cameras, video cameras, voice recorders, surveying equipment and similar others. When the research project demands making use of these equipment, the university shall provide them on the basis of borrowing from the university store or relevant work units only for the duration of their use as specified by in the endorsed final research proposal. However, there could be an exceptional situation whereby large projects financed by external sources which may require purchasing fixed assets specified above and even vehicles. In this case, these costs need to be clearly articulated in the project document. Fixed assets purchased for the use of a certain project remains the property of the university during and beyond the project duration.

2.3 Negotiation for external sources of finance

External fund may be acquired through negotiations to be made by either the university or a researcher who has access to and possess credibility by the potential financing agency.

2.3.1 Funds from external sources negotiated by the University

i.   Every kind of request from outside the University for collaborative research project shall be directed to office of the Vice President for Research and Community Services (VPRCS).

ii. Memorandum of understanding and/or full-fledged agreement between the ECSU and an external funding agency shall be signed by and between the university president or other official as delegated by the president and representative of the external funding agency to this end.

iii. Vice President for Research and Community Services with the consultation of University President and relevant bodies shall assign research team members. Assignment of research project team members shall be on the basis of professional relevance, research experience, capacity to deliver and interest.

2.3.2 Funds from external sources negotiated by university staff

i.   University staff who manages making a successful preliminary negotiation shall report same to pertinent university authority in order to conclude such a deal with an official capacity representing the university. Memorandum of understanding and/or full-fledged agreement between the ECSU and an external funding agency shall be signed by and between the university president or other official as delegated by the president and representative of the external funding agency.

ii. Project progress and financial expenditure reports shall be submitted to the concerned offices as per the agreed up on requirement by the principal researcher using appropriate reporting formats.

2.4 Joint financing of research projects

ECSU shall establish a joint research projects with other institutions to promote research and development. Such joint research shall rest on the principles of mutual interests on the aforementioned themes/areas between ECSU and other institutions on the principles of being beneficial to both of the joining partners.

2.5 Management of research projects

Research projects financed by the ECSU shall mainly be managed at respective Colleges level in consultation with office of the Vice President for Research and Community Services. The Research and Publication Coordination Office of the University shall manage the utilization of research funds, publication of Journals, coordination and financing of research workshops and conferences. The office shall also oversee the research projects performance and facilitate timely completion of projects at hand through progress tracking scheme.

ECSU shall establish a work unit that remains in charge of coordinating, communicating, progress monitoring, and ensuring quality of the research process from inception through completion of research projects commissioned by external agencies. This unit being answerable to the Vice President for Research and Community Services shall have the following responsibilities.

- Liaising ECSU with the research project financing agency in respect to technical matters.
- Consulting the research team during all stages of development of the research project.
- Ensuring quality of the research proposals (both technical and financial) prior to official submission to parties in agreement for signature.
- Verifying that comments and concerns of the contracting agencies are entertained to their satisfaction.
- Following up adherence of the agreed upon procedures and making use of standard formats.
- Preparing and submitting periodic progress reports in accordance with provisions of the project agreement.
- Managing the research fund utilization in collaboration with the University Finance and Procurement Directorate.
- Making request for payments in line with the approved final research project financial
- proposal and upon successful accomplishment of tasks and services. Request for

payments should be made in accordance with the approved line of budget as stated in the project document unless otherwise changes are officially made by relevant University authority.

- Organizing research validation workshops in reference to the project agreement.

2.6 ECSU's right to retaining service charges

ECSU reserves its right to retain 10% of the total agreed upon cost of a joint research project for administrative expenses. The proportion of fund to be set aside for administrative purpose may vary on the basis of negotiations to be made between the ECSU and the partner institution. The remaining 90% of the fund shall be utilized for effective execution of the research project as per the agreements thereto.

3. Publication and Dissemination of Research Findings

3.1 Documentation and dissemination of research results

i.   Completed research results shall be communicated within and outside the university through all possible means of communication such as journals, books, workshops, conferences, symposia, seminars, policy briefs, working paper series and other print based and electronic means.

ii.   Documentation of completed research reports resides with respective work units of the university who are in charge of overseeing the entire research process.

iii.   ECSU shall provide regular platforms through which research findings will be presented for larger audience through the means of annual conferences, workshops, symposia and seminars.

iv.   Annual conferences and seminars are also required to be planned and implemented at university, college and research center levels.

v.   ECSU shall facilitate the dissemination of research outcomes through its office for University Industry Linkage.

3.2 Publication

3.2.1 Journals

3.2.1.1   Colleges and Research Centers shall have their own journals.

3.2.1.2   Each journal published in the University at different level shall have its own

Editorial Board, Editor-in-chief, Associate Editor (if need be), Managing Editor and policies that go in line with the overall University's policy, rules and regulations. Members of editorial board must be recruited from among the renowned specialties in their academic qualification.

3.2.2 Journal Issuance and Dissemination

3.2.2.1   Scientific publications such as journals and book chapters shall be subject to peer-review.

3.2.2.2   ECSU journals shall be published biannually having two issues in one volume.

3.2.2.3   ECSU shall have official online journals.

3.2.2.4   The published research results shall be made available for users at university libraries, official website and be distributed to pertinent public sector offices via mail in hard copies.

3.2.3 Establishing the Editorial Board (EB)

i.   EB members include Editor-in-chief, Senior Editors, Editors, Managing Editor, Associate Editor (optional) and Language Editor. Minimum academic qualification requirement for editorial board membership is holding a rank of an Assistant Professor and above.

ii.   A journal shall also have an Advisory Board whose members are drawn from among nationally and internationally distinguished scholars.

3.2.4 Duties and responsibilities of the Editorial Board (EB)

i.   Journal Editorial Board (EB) at University level shall be answerable to the University Senate Standing Committee for Research and Publication. Journal Editorial Board (EB) at College level shall be responsible to College Research and Publication Committee.

ii.   Journal Editorial Board (EB) ensures quality and sustainability of the journal through checking authors' adherence to the journal policy.

iii.   Edits and recommends manuscripts that are positively rated by peer review process for publication.

iv.   Assigns manuscript reviewers on the basis of their professional qualification and expertise.

v.   Assigns functional duties and responsibilities to Editor-in-Chief, Managing Editor and Associate Editors (where applicable).

vi.   Appraises the performance of members of journal editorial board and reviewers.

3.2.5 Duties and responsibilities of the Editor-in-Chief

i.   Arranges EB meetings' and chairs board meetings and leads the board

ii.   Develops draft formats of the journal for approval by the EB;

iii.   Supervises the quality and regularity of the journal printing and timely dispatch of copies to stakeholders;

iv. Represents the EB of the Journal in the occasions where such representations are sought for.

v. Reports progresses regarding printing and dissemination of the journal to concerned university management bodies

3.2.6 Duties and responsibilities of the Journal Managing Editor

i. Receives and registers all manuscripts from contributors;

ii. Conducts a preliminary assessment whether the author(s) comply to specified formats adopted by the Journal before presenting the work to the EB for assignment of reviewers

iii. Communicates with authors and reviewers to learn about work progresses and reports same to the Editor-in-Chief for action by the EB

iv. Follows up and reports progresses in printing of the Journal

v. Serves as a secretary of the Journal Editorial Board

3.2.7 Manuscript review procedures

When manuscripts are submitted for journal editors, they shall pass through the following rigorous review procedures:

a. The Managing Editor acknowledges the receipt of a manuscript within one week;

b. Preliminary quick review is made by the Managing Editor for only checking consistency of style with a format adopted by the Journal

c. Contributors whose style is inconsistent with the journal format shall be advised to revise their manuscripts in accordance with the style requirements thereto.

d. Manuscripts that are in line with the Journal's official format shall be presented to the EB for assignment of two blind reviewers for each manuscript.

e. Blind reviewers shall report their decisions in the evaluation format prepared and authorized for use to this particular purpose. In-text comments using track changes are also deemed to be an integral part reviewers' feedback for authors. Decision to be made by reviewers may fall under such categories as 'accept as it is', 'accept with minor revision', 'accept with major revision', or 'reject';

f. Manuscripts got acceptance by both external reviewers shall be considered for publication. A manuscript which is accepted by one reviewer and rejected by another shall be sent to a third reviewer to give the benefit of the doubt to the work of a contributor with one "yes" and one "no".

g. A manuscript conditionally accepted with the need for modification shall be sent to contributor (s) for revision and resubmission in specific timeframe. The revised version of the work should be accompanied by a letter that testifies inclusion of all comments given by reviewers.

h. Contributors with accepted manuscripts shall be notified the same with an official letter to be signed by either Editor-in-Chief of Managing editor of the Journal.

i. A manuscript rejected by two reviewers shall be returned to contributors with notes of encouragement for future success.

4. Successful Researchers Incentive Schemes

4.1 Introduction

The Ethiopian Civil Service University strives to be a *Center of Excellence* in Africa in 2025 through building capacities of the public sector. Excellence for educational institutions, like ECSU, is nothing but attaining extra ordinary achievements in education, training and consultancy, research and community services. As part of its commitment to advance research and encourage active involvement of its staff in research undertakings, therefore, the university offers the following incentives listed hereunder.

This incentive scheme shall be applicable to all eligible academic staff of the university with no ground for discrimination. However, a single research work by a given staff shall not, under any circumstance, be rewarded more than once irrespective of its reappearance in any form other than the one incentivized earlier.

4.2 Consideration for academic promotion

Successful researchers can use their published research works for academic promotion as per provisions in the ECSU Senate Legislation. The initiation to apply for promotion into the next higher academic rank than a candidate currently holds may come from the author or an academic unit to which the author belongs to upon fulfillment of the requirement thereto.

4.3 Incentive for publications on Scientific Journals

ECSU provides ranges of incentives for those academic staff who manage to publish their research works in national or international Scientific Journals. The rate of incentives to be provided varies on the basis of reputability of the journal. For this purpose, journals can have the following three classifications.

- Very High impact or Class A Journal
- High impact or Class B Journal
- Modest impact or Class C Journal

The status of a given journal, in terms of it reputability, is determined by prior criteria set out for this purpose by the university. Eligibility for incentive will only be on sole grounds of merit of

the research work published. A given published research work that is once incentivized shall not be considered for another round of incentive provision. A published research work should be an original contribution of the researcher that counts to knowledge advancement in researcher's area of specialization. ECSU shall provide incentives for academic staff who successfully manage to publish their works on scientific journals having varying levels of impact. The amount to be provided as an incentive shall be determined by the university leadership upon valuing the author's contribution in advancing knowledge and/or solving societal problems.

The incentive specified above is only for active academic staff members of the university who are on regular duty to the university. In case of joint authorship of articles, ECSU reserves its right to pay a prorated amount of the total incentive allocated for an article divided by the number of co-authors of a given research work published. If the joint authorship is made in partnership with scholars affiliated with other institutions of higher learning other than the ECSU, it is only the staff of ECSU that is going to be incentivized, of course, on the pro rata basis.

4.4 Incentive for paper presentation on international conference

ECSU believes that national and international academic platforms contribute a lot in sharing experiences and gaining insights. Hence, the university encourages its academic staff to take art and play active roles in such academic events as Conference, Workshop, Symposium and Seminars that are organized nationally and at international levels.

Up on presentation of official letter of invitation for participation and a copy of synopsis or an abstract of a paper selected for presentation at that particular scholarly event accompanied by a signed application letter by the invitee, the university may offer the following.

- Round trip airfare,
- Visa processing fee (where applicable),
- Registration fee (where applicable),
- Ground transport from and to Airport,
- Daily subsistence allowance as per the university's scale only for official duration of such an event

The above offers, however, are not free of conditions. Following are some of the requirements to be fulfilled in order to qualify for the incentive scheme.

- Where there are testimonials which are issued in confirmation that the conference organizers are not going to handle any or part of the expenses listed above
- In rare instances of more than one staff members make requests to partake in the same or a different overseas scholarly event or events, the financing will be made on the basis of competition where a researcher with a more compelling relevant research work will be chosen. The selection shall be made by a Departmental *ad hoc* committee to be established for this purpose.
- Priority shall be given to research projects financed by ECSU and those are selected for presentation on international conferences.
- Where a research project is undertaken in a team, only the principal investigator's costs will be covered by the university

4.5 Incentive for paper presentation on national conferences

ECSU likes to encourage its academic staff to take active part on scholarly gatherings that take place in the country. The university covers the following costs for an academic whose research work is selected for presentation on annual conferences of intellectual and scientific merits. Up on presentation of a letter of invitation for presentation from relevant authority, the researcher will be entitled to the following.

- Round trip ticket (by Bus or Air transport whichever applicable)
- Per diem for the duration of the conference including days on travel
- Ground transport from and to Airport (where and when applicable)

4.6 Incentive for contributing a book chapter

An academic who manages to publish research based chapter in an indexed[1] book shall receive an incentive in recognition of his/her contribution upon submission of a copy of the book to the university's relevant Department of the author's affiliation with dully signed letter of application. Contributing a research based book chapter in a non-indexed book shall also be considered for reasonable incentive following the same procedure as is with contributing a chapter in an indexed book.

4.7 Incentive for authoring of a book

An academic staff who publishes research based and indexed book under the University Press or any other recognized publisher shall receive an incentive in acknowledgement of his/her intellectual dedication to publish a book in the area of his/her specialization. The incentive shall be provided upon submission of three copies of his/her book to the university's relevant Department. Where there is a joint authorship, the incentive shall be provided on *pro rata* basis among the authors. However, ECSU shall not pay incentives for co-authors who are not employees of the university. Same procedure should be followed in requesting incentive for joint authorship as is with the solo author.

4.8 Incentive for publishing a textbook

An academic staff who publishes a textbook in his/her area of specialization under the University Press or any other recognized publisher shall receive an incentive in recognition of his/her contribution upon submission of five copies of his/her textbook to the university's relevant Department. If the textbook is produced by a team each member of the team gets a prorated amount of the incentive allocated. Entitlement to this incentive is also limited to academic staff of ECSU.

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[1] Indexing can be of International Standard Book Number (**ISBN**) or International Standard Serial Number (**ISSN**) or Digital Object Identifier (**DOI**) or any other recognized databases.

4.9 Incentive for solo content editing of a book

An academic staff who exclusively did content editing of a research based and indexed book under the University Press or any other recognized publisher shall receive an incentive for his/her work on the basis of number of book titles he/she edited upon submission of three copies of a book(s) edited by him/her to the university's relevant Department. Where there is a joint content editing, the incentive shall be provided on *pro rata* basis among each of the editors. However, ECSU shall not pay incentives for co-editors who are not employees of the University. Same procedure should be followed in requesting incentive for joint editing as is with the solo editing.

4.10 Incentive for research output published on conference proceedings

An academic staff whose research article/s are published in indexed conference proceedings shall be entitled for a token incentive as per articles published under this category within a given year. Request for incentive should be made by the author upon submission of a copy of the commercially published proceedings to the Department of one's affiliation accompanied by a dully signed letter of application to this end.

4.11 Incentives for internally financed and externally funded research projects

Besides, ECSU may have some other schemes of incentivizing successful researchers. One, researchers whose research projects are financed by the University's internal source and those who manage to come up with a high quality research may win a research competition award of the ECSU. The other scheme refers to researchers who are deployed to a research project commissioned by other agencies in collaboration with the ECSU. In this case, research team members who successfully completed their assignment and demonstrated diligence ever since the stage of proposal development through submission of the final research report shall receive honorarium. The amount to be paid in honorarium shall be as proposed and specified in the finally approved project document. Lack of qualities of a good team player, poor quality contributions and/or delinquency in meeting the agreed upon deadlines shall be good grounds for denial of a part or the entire amount of payment in the form of honorarium.

Moreover, an academic staff who manages to successfully negotiate a beneficial research project for implementation by or with the ECSU shall receive the amount that equals to his/her monthly basic salary as an incentive on a monthly basis throughout the project duration or compensated in any other mode of reward as approved by the relevant University authority. However, this payment in the form of incentive should be indicated in the project agreement document as a part of *project coordination and management cost.* Entitlement of this kind of project attracting incentive, however, does not hinder the academic staff's possibility of being considered for other professional roles in the research project that is negotiated by him/her.

5. Ethical Concerns in Research and Consequences of Breach

5.1 Any research projects to be undertaken by the ECSU or financial support from the University should give due consideration to the respect of rights and values of human subjects and their social, cultural and natural environments;

5.2 The university and staff should observe the ethical considerations in research undertakings to develop a strong research culture and professional integrity;

5.3 National and international standards, procedures, conventions and treaties shall be respected to control unintended negative consequences of the research on the economic interests, social fabrics, cultural values, and natural environment of the research settings;

5.4 Ethical considerations shall be made when dealing with human subjects. Individual consent should be obtained and identities of a participant shall be kept confidential or anonymous. Where disclosures do not inflict any damage on physical, psychological, social and economic wellbeing of the participant, it can be carefully made only on the basis of informed consent of the participant;

5.5 For under age children, ethical considerations shall be dealt with their parents/guardians/caretakers;

5.6 ECSU shall develop, popularize and enforce observance of ethical code of conduct to be pursued along with all research endeavors that take place in the university and outside of it;

5.7 ECSU shall establish ethical review board which will be in charge of overseeing observance of ethical principles adopted by the university in all forms of research undertakings and dealings;

5.8 ECSU shall never tolerate violation of ethics and fraudulent acts of any nature in research undertakings. Breach of academic integrity at large and fabrication, data cooking, plagiarism, reporting false findings in particular are subject to serious disciplinary measures in addition to stripping of privileges and rank obtained as a result of such professional misconduct. Moreover, the university reserves its right to ask for damage in such instances of academic dishonesty.

6. Intellectual Property Rights

6.1 The intellectual property rights of ECSU research outputs shall be maintained according to national copyright and patent right laws,

6.2 Intellectual properties obtained by ECSU employees, students and visiting scholars in the course of their duty to the university shall be owned by the university unless and otherwise parties agree on a different arrangement,

6.3 Intellectual properties obtained by ECSU employees in the course of their research or sabbatical leaves shall belong to the author. If the employee receives financial/material assistance from the university, the right shall belong to the university and the author,

6.4 Benefits obtained from commercialized intellectual properties over which copy right is held by both the university and its employee(s) shall be distributed to the author (s) and the university in accordance with prior agreement entered between parties in contract,

6.5 Intellectual property rights obtained from a collaborative work with external sponsors/donors shall be possessed by all involved parties as per the agreement made before the commencement of the project work,

6.6 Intellectual property right of a research result/invention should be kept confidential till the right is secured through appropriate and competent institution designated by law.

7. Other Working Documents and Formats to Put in Place

Implementation of this policy necessitates developing working documents and formats that are deemed to be instrumental in operationalizing the research process. The list of formats below

shall constitute subsidiaries of this policy and guidelines document as far as matters pertaining to research undertakings being financed by the ECSU. The list includes but not limited to the following.

- Research proposal format
- Research proposal assessment format
- Research grant approval format
- Grant winner notification format

- Research grant agreement format
- Research progress reporting format
- Workload notification format
- Final research report submission format
- Time extension request format
- Research review guideline
- Research budget breakdown and utilization guideline and
- Research project successful and timely accomplishment testimonial

The Senate Standing Committee for Research and Publication shall be in charge of developing and obtaining approval from the Senate regarding the list of formats and guidelines presented above. Moreover, the Senate Standing Committee for Research can add to the list as it finds appropriate.

8. Effective Date of Application

This Policy and Guideline shall enter into force on date of its publication from _____ done at Addis Ababa.

<center>Ethiopian Civil Service University Senate</center>