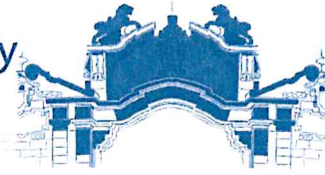




Addis Ababa University
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SEEK WISDOM, ELEVATE YOUR INTELLECT AND SERVE HUMANITY!



ADDIS ABABA UNIVERSITY RESEARCH AND INNOVATION POLICY AND STRATEGY

Approved by:	AAU Governing Board
Version:	1
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Document Review and Approval History

The Research and Innovation Policy and Strategy at Addis Ababa University (AAU) was initiated for reform purposes by the Executive Management and the Board of Directors. This policy was meticulously drafted by relevant experts from the Colleges and Research Institutes, ensuring that it reflected the diverse expertise within the institution. To further enhance its quality, the document was enriched with comments and feedback from various Work Units, fostering a collaborative approach to policy development.

In addition, the policy was disseminated through a dedicated survey portal at <https://transform.aau.edu.et> , allowing for broader input from the university community. Following a comprehensive review process, the policy received endorsement from the University Council, Senate, and Executive Management. Ultimately, it was approved by the University Governing Board, signifying a unified commitment to the reform objectives outlined in the policy.



Abbreviations and Acronyms

AAU – Addis Ababa University

AC – Academic Commission

APC – Article Processing Charge

CE – Community Engagement

CrHr - Credit Hour

GCP - Good Clinical Practice

IK – Indigenous Knowledge

IP - Intellectual Property

IPR - Intellectual Property Rights

IRB – Institutional Review Board

IRC – Indirect Research Cost

MoU – Memorandum of Understanding

OIE - Office International des Epizooties

PI – Principal Investigator

RIC – Research Institute Council

RMS – Research Management System

RTTCEC – Research Technology Transfer and Community Engagement Committee

SDGs – Sustainable Development Goals

SOPs – Standard Operating Procedures

TBIC - Technology Business Incubation Center

ToR – Term of Reference

TT - Technology Transfer

UIL - University Industry Linkage

UILTT – University Industry Linkage and Technology Transfer



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Preamble

Reaffirming the guiding values of enhancing academic competitiveness in scholarship and promotion of free expression and rational discourse enshrined in the Higher Education Proclamation No. 1152/2019 and University Autonomy Proclamation No. 1294/2023.

Reaffirming the research and innovation policy premise enshrined in the Senate Legislation of 2024 that the University should focus on research and innovation that supports and enhances the quality of education and national development goals.

Recognizing the privilege stipulated in the autonomy charter of AAU to exercise its academic and non-academic freedom with accountability.

Reaffirming the vision of Addis Ababa University enshrined in the strategic plan to become a leading research and innovation university in Africa, to advance national needs and be responsive to global development.

Recognizing the importance of ethical research and an active research and innovation culture as a fundamental mission of a higher education institution.

Recognizing the fact that AAU as a flagship university needs to boost its engagement with the industry, transferring usable technologies to end-users, innovation, incubation, start up and implementing proper intellectual property ownership rights giving due credit to those contributing most to bringing new ideas and solutions to problems faced by our society.

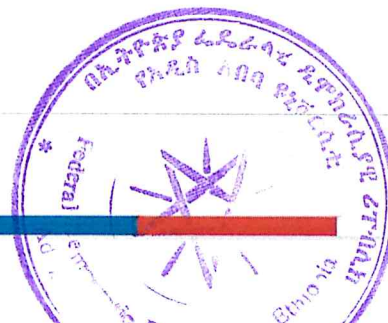
Drawing upon international and regional best practices on the promotion, development and governance of research and innovation in higher education institutions.

Whereas it has become necessary to revise the 2013 Research Policy, University-Industry Linkage and community engagement policies considering developments and contemporary international best practices.

Therefore, the Board hereby adopts the Addis Ababa University Research and Innovation Policy 2024.



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1. Short Title

This policy can be cited as ‘Research and Innovation Policy and Strategy of Addis Ababa University 2024’

2. Definition

Without prejudice to definitions provided in the Senate Legislation and other policy documents of the University, the terms below carry meanings provided in this article.

- 2.1 Academic Freedom** means the freedom of researchers to engage in intellectual and scientific inquiry, to express their opinions and beliefs, to contribute to public debate on subjects of their research expertise, to disseminate findings of their study and to participate in professional or representative academic bodies.
- 2.2 Academic Integrity** means a commitment to the values of honesty, trust, fairness, respect, responsibility, and courage in the process of conducting and disseminating research regardless of adversities or predicaments.
- 2.3 Academic Staff** shall mean members of the academic units within the University employed to teach and/or undertake research or any other professional of the University recognized as academic by the Senate.
- 2.4 Academic Unit** is a unit within the University including college, institute, department, school, or center.
- 2.5 Animal Welfare** means the physical and mental state of an animal in relation to the conditions in which it lives and dies (as defined by the Office International des Epizooties OIE Terrestrial Animal Health (2019).
- 2.6 Clinical Trials** Pre-planned studies of the safety, efficacy, or optimum dosage schedule (if appropriate) of one or more diagnostic, therapeutic, or prophylactic drugs, devices, or techniques selected according to predetermined criteria of eligibility and observed for predefined evidence of favorable and unfavorable effects.
- 2.7 Community** groups, individuals, or organizations (governmental, non-governmental, or private) external to the University.
- 2.8 Community Engagement** intellectual/professional partnership and cooperation for mutual benefit that is carried out free of professional payment by combining the



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knowledge, resources and experience between the University, institutions and the community to solve key problems in the community in a sustainable manner.

2.9 Community Service a service rendered by the University community to communities, government institutions, business, nonprofit organizations, and society at large with the objective of solving their problems through capacity building, awareness creation and whenever necessary, often with a view to improving the quality of their lives.

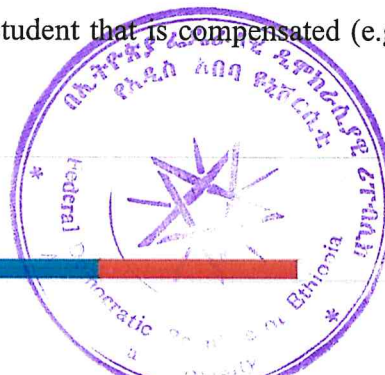
2.10 Consultancy shall mean professional services provided by a faculty member who offer specialized knowledge, advice, and solutions to clients in various fields, often involving short-term projects or ongoing support, aimed at addressing specific challenges, improving performance, or achieving strategic goals. In this definition, consultancy excludes conferences and seminars to disseminate research findings; service on public sector or charitable committees/community service; authorship of, or royalties from, the publication of books; external examiner and academic assessment duties; editorship of academic journals or the publication of academic articles; office holder of a professional body/government public body in the capacity of an expert; overload teaching; and Teaching and advising in another university.

2.11 Consultant shall mean a professional full-time staff of the university with specialized expertise who provides advice, guidance, and solutions to clients in various fields, often working on a project basis to address specific challenges, improve performance, and achieve strategic goals.

2.12 Contract research is a legally binding agreement for collaborative research between the University and external organizations, detailing the terms and conditions for conducting research that often results in commercially important deliverables and peer-reviewed publications, with IP ownership negotiated between the parties.

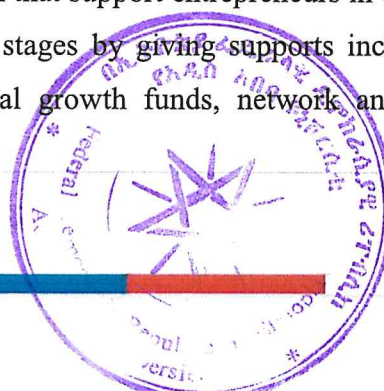
2.13 Early Career Researcher is a researcher whose PhD or equivalent degree is awarded within the last five years.

2.14 Employee means a person who receives a salary or other consideration from the University for performance of services, part-time or full time. A University employee with less than a full year (e.g., 6-month) appointment shall be considered an “Employee” for acts during a period of appointment. A student that is compensated (e.g., financially



through a stipend, tuition, etc., including graduate student research assistants and graduate student instructors) is considered an Employee under this Policy.

- 2.15** **Entrepreneurs** are individuals or groups that become tenants in the incubation center to generate an incremental wealth.
- 2.16** **Entrepreneurship** a process which involves looking out for opportunities and creating what will meet these opportunities, through innovativeness, proactiveness and risk-taking.
- 2.17** **Externship** university staff are placed in industry for a specific period to acquire practical knowledge, share experience and/or identify the skills needed in the workplace.
- 2.18** **Genetic materials** in this policy the term genetic materials refer to humans, other animals, plants, microbes or any parts of them including their genes and genetic segments used in AAU research activities.
- 2.19** **Good Clinical Practice** Standard for clinical studies which encompasses the design, conduct, monitoring, termination, audit, analyses, reporting and documentation of the studies and which ensures that the studies are scientifically and ethically sound and that the clinical properties of the pharmaceutical product under investigation are properly documented.
- 2.20** **Human Rights** means rights bestowed upon all human beings by the virtue of being humans.
- 2.21** **Ideation:** is the process of a creative and systematic method for generating valuable ideas and supporting for brainstorming, writing/sketching, proposal preparation, and refining them further in a multi-stage process consisting of phases and gates.
- 2.22** **Incubation** means a process to create innovative business ideas, finish and commercialize products and services from technology ideas, findings of scientific research and technological development or incomplete outputs which has a prospect for practical application and commercialization by means of support given such as creating unique environment, facilities, resources, training, coaching, advising and networking.
- 2.23** **Incubation Center** is an institution that support entrepreneurs in developing their idea into businesses, especially in initial stages by giving supports includes providing technological facilities and advises, initial growth funds, network and linkages, co-



working spaces, lab facilities, mentoring and advisory throughout their formative years to help businesses grow and develop more quickly.

2.24 Incubator a center that accelerates and systematizes the process of creating successful technologies and enterprises by providing them with a comprehensive and integrated range of support, including incubator space, business support services, and clustering and networking opportunities.

2.25 Industry any private or public companies, enterprises, associations, governmental institutions, and any other organizations that deliver services and/or manufacture products which have the potential for collaborative works with the University.

2.26 Industry Supervisor an experienced employee of the internship placement organization who is assigned to consult, give direction and supervise the performance of the student in an internship to streamline the student's work with the needs of the organization.

2.27 Innovation integrated activity and a technical solution to create and use new technologies, working systems, inventions and commercialization and marketing mechanisms.

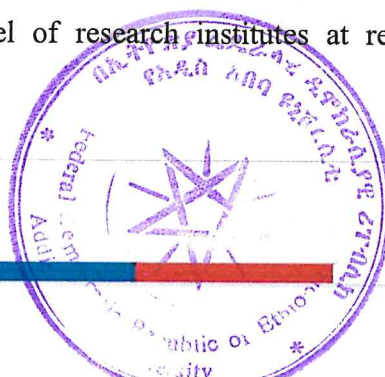
2.28 Intellectual Property any proprietary right which arises under, or can be obtained under, legislation relating to copyright, patents, utility models, industrial designs, trade marks, or plant varieties; and other intellectual property, including know-how, trade secrets, and confidential information which can be protected by the laws of unfair competition; and includes such rights if they are added to or varied from time to time by amendments to relevant legislation.

2.29 Internship placing students at industries for a specific period so that they have practical exposure. University students are required to work in the industry as part of graduation requirements in some fields of study. This gives the students an opportunity to see real industry problems and back to the University with researchable problems.

2.30 Informed Consent An ethical requirement for participation in a research and innovation study, indicating that a competent person, in possession of all the relevant information, freely agrees to participate.



- 2.31 Intellectual Property Rights** means rights bestowed upon a creator or inventor under Ethiopian, foreign or international law, and include copyrights, trademarks, patents, utility models, new plant varieties and trade secrets.
- 2.32 Invention** is a novel and useful idea relating to processes, machines, manufactures, and compositions of matter. It may cover such things as new or improved devices, systems, circuits, chemical compounds, mixtures, etc. Invention is assumed to have been made when something new and useful is conceived or developed, or when unusual, unexpected, or non-obvious results are obtained and can be exploited.
- 2.33 Patent/IP Licensing** is the transfer of ownership rights in intellectual property to a third party to permit the third party to use intellectual property.
- 2.34 Multidisciplinary Research** involves collaboration and integration of knowledge across different academic disciplines to address complex scientific problems and/or research questions.
- 2.35 Patent** is a grant issued by the government, (through the delegated authority), giving an inventor the right to exclude all others from making, using, or selling the invention for a fixed number of years. When a patent application is filed, the government (through a relevant agency) reviews it with a view to establishing facts about whether the invention is new, useful, and non-obvious and, where appropriate, granting a patent.
- 2.36 Patient Privacy** What a person claims as protected from scrutiny by others unless the person chooses to reveal it.
- 2.37 Personal Information/Data** means any information relating to an identified or identifiable natural person.
- 2.38 Principal Investigator** means an individual researcher responsible for the preparation, writing up, implementation and administration of a research grant, cooperative agreement, training or public service project, or other sponsored project that is aimed to deliver agreed upon outcomes.
- 2.39 Project:** means a set of sequential activities framed in time and budget limits that must be completed to arrive at particularly defined outcomes.
- 2.40 Research Award (Research and Innovation Award):** means an official recognition by bestowed upon personnel of research institutes at regularly planned



occasions to researchers and innovators who exhibited extraordinary scholarly productivity, rigor and excellence in research and innovation.

2.41 *Research Dissemination* means the process of delivering research and innovation outcomes to stakeholders who can convert the outcomes into socially usable products, including through publications and presentation in relevant forums.

2.42 *Research Ethics* means a set of rules, guidelines or conventions that are aimed at leading to equitable, transparent and fair actions as to how scientific research and innovation should be conducted and disseminated.

2.43 *Research Group (Working Group)* a collaborative group of academic staff, students, and sometimes external partners, united to conduct a specific research program or any other research related activities. Working groups can be established at any level but on temporary basis.

2.44 *Research Governance* means the set of rules, principles and institutional mechanisms by which scientific research is led, guided and governed.

2.45 *Research Integrity* means a commitment to and the responsibility to uphold ethical and professional requirements while undertaking and disseminating scientific research.

2.46 *Research* means the generation of new knowledge and/or re-imagining of existing knowledge in a new and creative way to develop new concepts, methodologies, artistic outputs, inventions and understandings or simply an outcome of empirical experimentations.

2.47 *Research Partnerships* means professional relationships established for the purpose of engaging in research between research stakeholders within the same or different institutions.

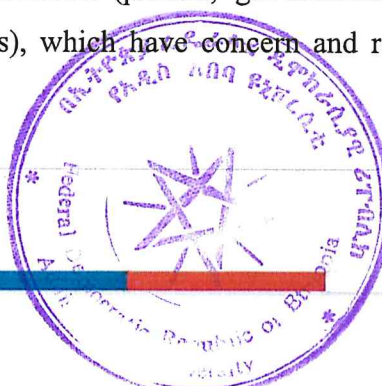
2.48 *Researcher* means academic staff and student engaging in research or other related research coordination activities.

2.49 *Senior Researcher* an academic staff with a PhD degree or equivalent and has above five years of experience in research.

2.50 *Stakeholder* Any entity or organization (private, governmental, and/or non-governmental organizations and industries), which have concern and relation with the



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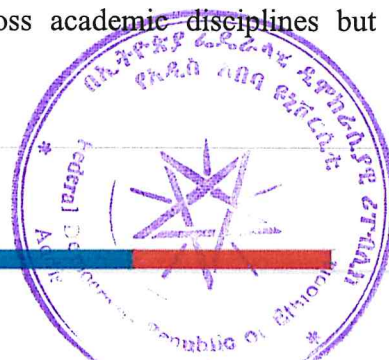


University, as well as, that takes responsibility, directly or indirectly, financially, technically, commercially and is bound by common goals and objectives.

- 2.51 Student** a person enrolled in any of the academic programs of the University.
- 2.52 Startup** any new enterprise established to produce products or services to cater to the identified needs.
- 2.53 Support Staff** means university personnel employed to provide administrative and logistical support to research and innovation.
- 2.54 Technical Staff** means university personnel employed specifically to support the technical aspects of the research and innovation activities of the university, including but not limited to laboratory technicians.
- 2.55 Technology Transfer** the process of transferring technology (products, practices, services systems, etc.) created by the incubator to the industry and society through capital and intermediate equipment or trained manpower or technical and business information.
- 2.56 Technology** application of scientific knowledge for practical purposes such as the products, services and systems incubated in the incubation center and commercialized to solve the social and economic problems of a society and improving the standard of living.
- 2.57 Tenant** an individual entrepreneur or a group who demonstrates the capability to take risks with innovative ideas to generate new products or services for new business creation or for the expansion of an existing business in an incubation center to generate revenue.
- 2.58 Training** any form of professional or technical short-term education rendered through the appropriate university channel (institute, college, department, center, or school) to any organizations, individuals, or groups. This policy covers the following training service provided by the university: on-line, face-to-face, tailored, and generic courses.
- 2.59 University-Industry Linkage** is the interaction between Industry and the University with the goal of solving technical problems, working on research and development, innovative projects, or gathering scientific and/or technological knowledge.
- 2.60 Trans disciplinary Research** is research that goes beyond multidisciplinary nature by integrating knowledge not only across academic disciplines but also with non-



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academic stakeholders such as practitioners, policymakers and community members so that research outcomes bring tangible impact on end-users of the research.

2.61 University Mentor an academic staff assigned as a guide for a student in an internship program. He/she shall guide the student in academic, work-life, and related issues encountered in the internship program.

2.62 University means Addis Ababa University.

2.63 Volunteerism means voluntary-based community service without evaluation for curricular purposes or monetary compensation, which engages students and staff in organized activities with community partners. The primary goal of volunteerism is to promote relationship building, critical self-awareness and engaged citizenship and learning through participating in shared projects. Volunteerism encourages students, staff and community partners to open themselves up to learning.

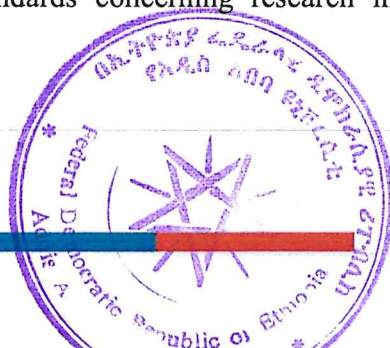
3. Objective

Addis Ababa University is a Flagship University with a vision to become a leading Research University of excellence to advance national needs and be responsive to regional and global developments. AAU will be responsible for governance, set standards and oversight to support academic freedom, high-quality research and innovation. The objectives of this Research and innovation Policy are thus to:

- 3.1** Establish comprehensive policy to ensure research excellence, relevance, efficiency, effectiveness, integrity and productivity.
- 3.2** Foster a vibrant, ethical research and innovation culture among staff to promote knowledge generation, innovation, collaboration, solutions to societal challenges and input for national development.
- 3.3** Set standards for developing researchers' capacity, research infrastructure and research management system.
- 3.4** Outline the structure and responsibilities of research activities, ensuring transparency and consistency in planning, implementation, monitoring, and dissemination.
- 3.5** Define ethical rules and integrity standards concerning research involving humans, animals, and genetic resources.

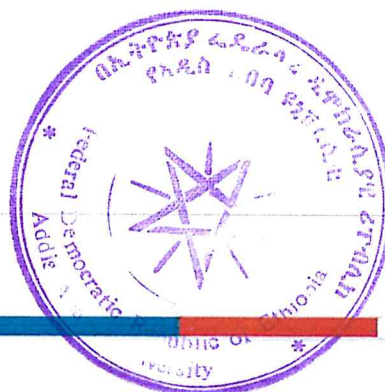


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- 3.6 Establish rules for intellectual property rights related to university research and innovation.
- 3.7 Provide mechanisms for avoiding or resolving conflict of interest in research, publication and related matters.
- 3.8 Ensure research and innovation results are effectively disseminated to the wider society and, where appropriate, commercialize them, and work towards enhancement of research and innovation impact.
- 3.9 Facilitate and enhance the transfer of research outputs and technologies that contribute to the technological capability of the nation.
- 3.10 Create an entrepreneurial mindset within the University community and create, enable and foster entrepreneurial and innovative environment for technology incubation and transfer.
- 3.11 Ensure that technology creation, adoption and transfer activities within the University are governed properly.
- 3.12 Ensure that research and innovation outputs properly incubated and commercialized through the participation of the inventor and the industry (public and private).
- 3.13 Enhance academic staff's ability to integrate real-life, profession-specific challenges into their teachings.
- 3.14 Improve employability – internship helps students create connections and understand how the job market and the employment landscape look like.
- 3.15 Promote collaborations between the university and the industry.
- 3.16 Ensure that AAU extends quality and efficient consultancy and training services to the industry based on knowledge and innovation gained in academic teaching, research, and provision of services for the mutual benefit of the industry and the University.
- 3.17 Provide certainty in individual and institutional rights associated with ownership and with the distribution of benefits that may be derived from the creation of Intellectual Property.

4. Scope of application



This policy applies to all members of the university community (including academic staff, students, visitors, guests, and affiliates) and research and innovation done at the university or elsewhere under the auspices of the university.

The application of this policy should be read together with other relevant policies, directives and guidelines. In case of contradiction, this policy will override others on issues of research and innovation at AAU.

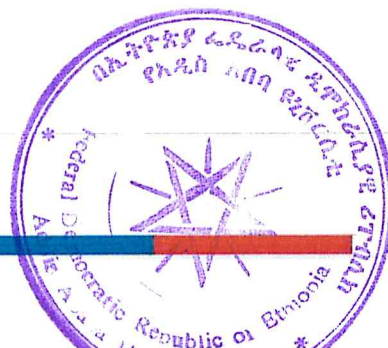
5. Policy Statement

Research has been a cornerstone of AAU's vision and missions. Over the years, research activities have been governed by various rules and regulations. In 2013, Addis Ababa University issued a Research Policy that has successfully guided its research and scholarly endeavors for over a decade. In the meantime, the University has developed a new Strategic Plan and Senate Legislation 2024, positioning AAU as a flagship University. In 2015, the world leaders adopted SDGs and the Ethiopian government has issued a new development roadmap. Thus, it is necessary to revise and update the Policy based on the new developments and initiatives but also on lessons learned during the implementation of the previous research policy.

This comprehensive Research and Innovation Policy is developed to establish ethical standard and align with international benchmarks for research conducted at AAU, ensuring excellence, equity and consistency across the University. The Policy provides a clear structure for organizing research and innovation activities, from inception to completion including Monitoring and Evaluation, and assessing societal impact. This Research and innovation Policy position AAU as a leading research university highlighting its academic and facility capabilities, skilled workforce and commitment to excellence in graduate programs, and cutting-edge research and community engagement accomplishments and innovation.

5.1 Specific Policy Statements

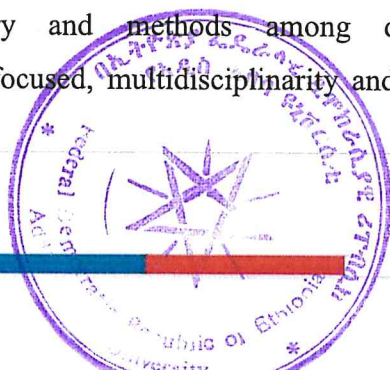
This Research and Innovation Policy encourages and inspires its researchers to undertake research for the growth and development of the country and beyond. It is thus the University's policy to:



- 5.1.1. Respect Academic Freedom** – the University values and respects academic freedom and inquiry. It strives to create an environment that fosters the free pursuit of knowledge and artistic creations through teaching, learning, research, and dissemination of knowledge and artistic performances without any interference from the university, funding bodies or the state.
- 5.1.2. Promoting a Research and Innovation Culture:** AAU strives to establish and promote a culture of research through institutionalizing frameworks and guidelines for conducting research, encouraging researchers to engage in research and innovation. The University shall launch different schemes of funding so that its researchers engage in meaningful and problem-solving research and innovation activities.
- 5.1.3. Establish and Maintain Conducive Environment** – AAU strives to create an enabling and supportive environment for researchers. The University shall ensure that all researchers have appropriate training in research culture, healthy and safe practice, and integrity. Making sure that research proposals, grants and the overall conduct of research passes through the proper channel of approval and monitoring at the University.
- 5.1.4. Promote High Standards of Research Excellence** – The University, and its researchers involved in research and innovation work should strive to meet high standards of scientific rigor and precision when conducting research aiming to produce and disseminate the highest quality.
- 5.1.5. Foster Interdisciplinary, Multidisciplinary, and Transdisciplinary Research:** Contemporary societal challenges are interconnected and complex and cannot be addressed through research focusing only on specific discipline. It needs integration of broad ranges of knowledge and understanding - both scientific and traditional - about earth systems and human societies. Therefore, AAU promotes multidisciplinary (where different disciplines work on common goal but address it from their own perspective in a holistic and integrated manner), interdisciplinarity (closer interaction, integration, and cross-fertilization of theory and methods among disciplines) and transdisciplinarity (problem focused, multidisciplinary and involvement of



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nonacademic stakeholders/societal actors in the research process so that end-users participate in problem identification/setting the research question and actively participate in implementing research findings).

5.1.6. Ensure Ethical Conduct - Researchers must ensure that the research and innovation is conducted with integrity, protecting the rights and well-being of research participants. The policy demands researchers to follow principles regarding informed consent, confidentiality, data protection, and adherence to ethical guidelines to be set by the Senate of any of its Standing committees. Any research undertaken under the auspices of AAU should comply with regulations, guidelines, and standards set by regulatory bodies, funding agencies, and professional organizations. These may include guidelines for human subject research, animal research, intellectual property, conflicts of interest, and research integrity. Compliance with these regulations is essential for maintaining institutional credibility, securing funding, and safeguarding the rights and well-being of research participants. Moreover, the University will secure research data, findings and intellectual property and associated rights.

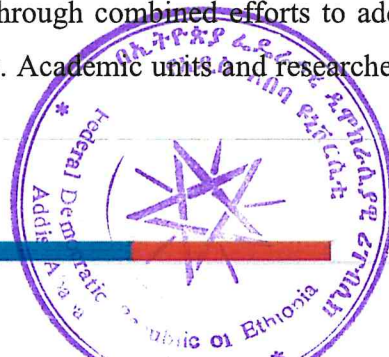
5.1.7. Integrate with and Support Teaching – the university believes that integrating research into the teaching practice in higher education enables the knowledge created through research to be infused into teaching for the purpose of improving quality, imparting skills to students and allowing students construct knowledge through professional practice. Hence, the university encourages and rewards its staff to continuously integrate their teaching with research.

5.1.8. Promote Equality, Diversity and Inclusion – AAU shall foster gender and diversity equity in all its research and innovation plans.

5.1.9. Establish Collaborations and Partnership – The University (relevant academic, research institutes, and units) shall strive to foster collaborative research with institutions in Ethiopia and abroad. The main objective of such collaboration is to add value through combined efforts to address a problem and work towards shared goals. Academic units and researchers shall identify



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all applicable laws and regulations and ensure that appropriate and proportionate controls are in place to ensure compliance.

5.1.10. Enhance Research Productivity, Addressing Social Responsibility and Impact:

The University shall encourage research that benefits society, addresses public needs, and contributes to knowledge. Researchers involved in research and innovation work should be mindful of the broader societal and environmental impact of their work. Researchers are encouraged to publish their research results, present in the public, seminar or conferences etc. for the proper dissemination, impact and sake of making the results available to end-users. The University will make sure that sharing, publishing or reusing research data and results are responsibly conducted, as well as the necessary measures are taken against misconduct.

5.1.11. Honoring of Research and Innovation: The University shall honor and reward outstanding research and innovation results and researchers.

5.1.12. Establish Upgrade, and Update Research Facilities: The University exerts the maximum possible effort to establish and maintain the standards of the physical research facilities including new research infrastructures, tools/instruments, hardware and software, standards etc.

5.1.13. Respect and Protect Human Rights, Health and Environment

5.1.13.1 The University and its researchers should ensure that any research activity respects fundamental rights and freedoms recognized under the Ethiopian Constitution, and regional and international human rights treaties ratified by Ethiopia.

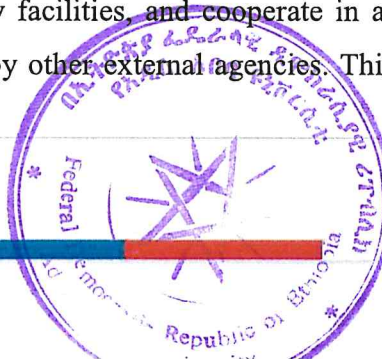
5.1.13.2 The University shall encourage and support research that helps to enhance the respect for, protection and promotion of human rights.

5.1.13.3 Researchers are responsible for training members of their team in health and safety procedures relevant to their particular research area and the management of laboratory or other workplaces.

5.1.13.4 Principal investigators are also expected to carry out periodic inspection of laboratory facilities, and cooperate in any inspections by AAU personnel or by other external agencies. This may concern



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senior and junior researchers as well as those engaged in conducting interdisciplinary investigations within AAU or together with research institutes in Ethiopia or overseas institutions.

5.1.13.5 The University shall foster an environment conducive to research and innovation. In situations where the University is unable to support a research and innovation because of resource constraints, it should, however, competitively allocate space, facilities, funds, and other available resources for research programs based on the scholarly and educational merits of the proposed research, and not on speculations concerning the political or moral impropriety of the uses which might be made of its results.

5.1.13.6 The University and its researchers shall ensure that any research and innovation activities undertaken under the aegis of the University do not cause, contribute to or perpetuate harm to the natural environment.

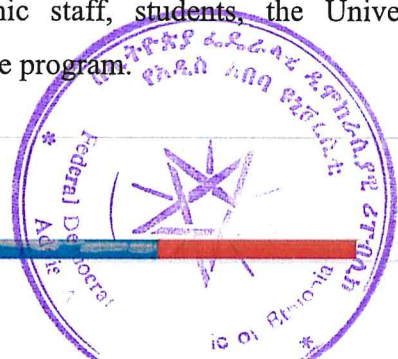
5.1.13.7 The University shall encourage and support research and innovation activities that enhance the protection of the natural environment, including on climate science.

5.1.14. Promoting and Supporting Innovation and Technology Transfer. The University recognizes and supports innovation and technology transfer as an integral component of the University's mission and strategic plan. The University facilitates the efficient transfer of knowledge and technology from the University to the private sector in support of the public interest; supports the discovery of new knowledge and technology; attracts resources for the support of university programs; provides services to university staff and students to facilitate their efforts to carry out the University's mission; and promotes local, regional and national economic development.

5.1.15. Achieving Excellence through Internship/Externship Engagement: the internship/externship program at the university strives to create an environment where academic staff, students, the University, and host organizations benefit from the program.



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5.1.16. Consultancy and Training as Means of AAU’s Contribution to Societal

Development: The University recognizes the value of its academic staff undertaking consultancy and training. Consulting and training activity is a means through which AAU academic staff can make available their knowledge and expertise to university stakeholders through which the University generates income, conduct need-based research, and collaborations and experiences to its academic staff.

5.1.17. Fostering incubation and startup: it is the university’s policy that technology incubation, start up and transfer constitute a special type of business development focused to develop and commercialize innovative and state-of-the-art technologies to promote domestic resource exploitation and improve the international competitiveness of national industry. AAU will thus strive to establish, promote and support innovation, incubation and startup engagement of its academic staff and students.

5.1.18. Engage, Foster and Support a Culture of Community Engagement:

Addis Ababa University is committed to sustained, mutual and problem-solving community engagement that fosters long term societal development and other national objectives, including economic development. The university will make the necessary effort to provide human, financial and infrastructural resources to develop and sustain community engagement activities by its staff and students to reach the broader community to support and at the same time learn from the community through equitable partnerships.

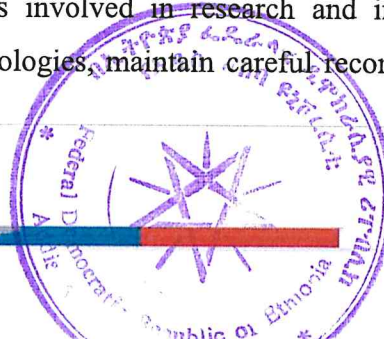
5.2 Guiding Principles and Values of Conducting Research and innovation at AAU

All researchers shall be guided by the following principles (in addition to the values of the university stipulated in its strategic plan 2024-2028) while involving in research activities conducted under the auspices of the University:

5.2.1 Objectivity: The Researchers involved in research and innovation work should employ sound methodologies, maintain careful records, and provide

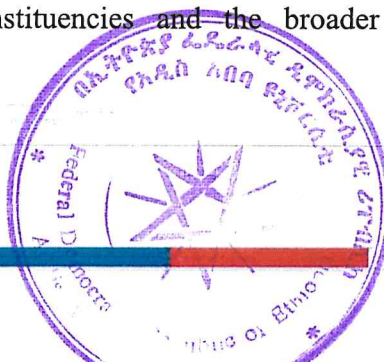


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reproducible results. They must also ensure that their work is unbiased and based on objective evidence

- 5.2.2 Accountability:** The University and its researchers bear responsibility and accountability for executing research and implementing projects in accordance with the agreement ensuring full transparency without prejudice to requirements set forth in this Research and innovation Policy.
- 5.2.3 Integrity:** The University and its researchers involved in research and innovation work must adhere to all relevant legal and ethical requirements. Any potential risks, conflicts of interest or any such irregularities should be promptly reported or stopped to ensure the integrity of AAU, its academic staff, students, and the entire research community.
- 5.2.4 Honesty:** The University and its researchers should uphold honesty to ensure the accuracy of data and results, acknowledge the contributions of others, and refrain from engaging in misconduct or concealing information in the context of the research and innovation they conduct. The University shall not tolerate any misconduct, abuse of academic freedom and misuse of resources allocated to be used for the purpose of research and innovation.
- 5.2.5 Confidentiality and Privacy:** When handling sensitive information, the Researchers involved in research and innovation work must protect the confidentiality and privacy of individuals or organizations involved in research and innovation.
- 5.2.6 Cooperation/collaboration:** The University and its researchers should encourage and exercise the open exchange of research and innovation ideas, methods, data, results, scrutiny and debate at platforms that promote the enhancement of knowledge creation and exchange. This might be subject to any considerations of confidentiality, based on the interests of AAU and the possible intellectual property rights of the envisaged outcomes of the research and innovation underway.
- 5.2.7 Care -** AAU commits to advancing the interest, dignity, well-being, and aspirations of all its constituencies and the broader society's history,



traditions, languages, cultures, and indigenous knowledge and ensures environmental sustainability.

6. Policy Content

This Research and Innovation Policy provides a comprehensive framework for guiding research and innovation activities within AAU, ensuring that they are conducted ethically, effectively and aligned with AAU's missions and vision. The framework includes building capacity in researcher, innovator and infrastructure, research priorities, management of research and scholarly outputs, research integrity and responsible conduct of research, Intellectual Property rights, Research Monitoring, Evaluation and Impact Assessment.

6.1 Building Research and Innovation Capacity

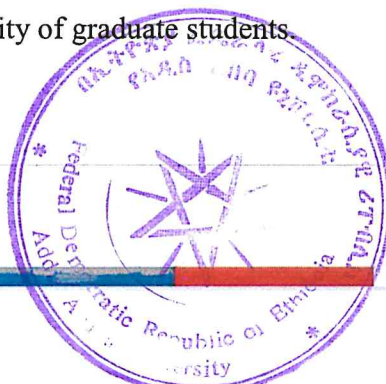
The University recognizes that strong and continuous capacity development in terms of researchers' capacity, research infrastructure, and research management system are vital to conduct impactful research.

6.1.1 Researcher and innovator capacity building and support

- 6.1.1.1 The University shall put in place a system that continually and periodically assesses the research skill and knowledge gaps of its staff and will launch initiatives to fill those gaps.
- 6.1.1.2 The University shall establish a system (mentoring scheme) that allows senior researchers to continuously share their research experiences with students and junior academic staff.
- 6.1.1.3 The University shall create clear selection criteria to acknowledge and recognize the efforts of researchers who significantly contribute to their research endeavors.
- 6.1.1.4 The University shall provide research and publication incentive each year.
- 6.1.1.5 The University shall strengthen the graduate programs to enhance the research capacity of graduate students.



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- 6.1.1.6 The University shall provide or facilitate a mobility fund to enable academic staff and students to travel and present their research findings at international conferences and networking events.
- 6.1.1.7 The University shall strengthen its ability to manage research projects effectively, including financial management, resource allocation, and oversight.
- 6.1.1.8 The University shall establish a research administration office to support grant writing, facilitate collaborations, and coordinate research activities so that researchers could successfully conduct and accomplish their research.
- 6.1.1.9 The University shall support researchers so that they have state of the art knowledge and skills required for academic, research and innovative work.
- 6.1.1.10 The University shall provide to researchers the necessary seed funding for developing a full proposal to submit for national or international funding institutes.
- 6.1.1.11 The University shall put in place a system to monitor the progress of research and innovation capacity-building efforts. This includes tracking research and innovation outputs (e.g., publications, patents), training impact, and institutional improvements; and
- 6.1.1.12 The university shall facilitate networking of researchers with individuals and institutions for potential collaboration and funding.

6.1.2 Supporting Early Career Researchers

- 6.1.2.1 The University shall ensure that all newly employed academic staff or researchers are given the necessary exposure to all relevant policies, orientation and trainings.
- 6.1.2.2 The University shall establish formal mentorship programs, connecting early career researchers with senior researchers in their fields. This fosters knowledge transfer and offers guidance on career progression.



6.1.2.3 The University shall devise research development training to newly recruited researchers.

6.1.2.4 The University shall create a working environment for researchers including fast-track management and supporting system.

6.1.2.5 The University shall develop clear promotion and tenure pathways for early career researchers. This includes outlining expectations for research output, teaching, and service, as well as providing guidance on achieving career milestones.

6.1.2.6 The University shall establish an Early Career Research Award scheme to support its early career staff to allow them to develop a habit of conducting research, disseminate and demonstrate their output.

6.1.3 Research for Innovation and Societal Impact

6.1.3.1 The university shall initiate a Research and Innovation Fund. The Research and Innovation Fund is a fund contributed by the government and university internal budget to support high impact research and innovations that address the needs of the society.

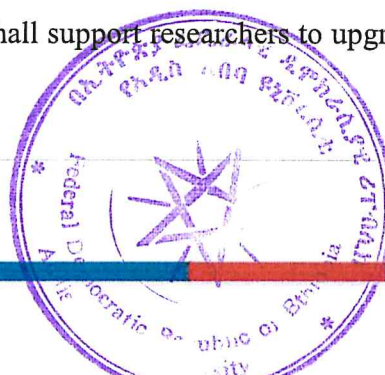
6.1.3.2 The University shall provide research and innovation funds on a merit-based for outstanding intellectuals to pursue innovative, cutting-edge and problem-solving research.

6.1.3.3 The University shall have various research funding schemes including Thematic Research Award, Senior (Grand) Research Award, Early Career Research Fund, Female Research Fund, Research for Innovation funds and other research awards to be instituted by the RTTCEC.

6.1.3.4 The University shall create an enabling environment for research and the promotion, dissemination and demonstration of research outputs and findings produced by its researchers.

6.1.4 Research on Indigenous Knowledge

6.1.4.1 The University shall support researchers to upgrade their skills in IK research.



6.1.4.2 The University will give special emphasis in financing research on IK in collaboration with the indigenous/local experts.

6.1.4.3 The University shall ensure that the benefits of research on indigenous knowledge flow back to the Indigenous community. This could include sharing research findings in an accessible way, supporting community development projects, or co-developing educational programs that preserve and transmit Indigenous knowledge; and

6.1.4.4 They University shall establish and equip IK Research Hub.

6.1.5 Research and Innovation Infrastructure and facility

6.1.5.1 The university shall strive for establishing university-wide state-of-the-art research and innovation facilities (core labs, Biobank, greenhouses, workshops, high computing facilities etc.), which serve as a common service giving facilities for all researchers of the University. Such facilities will also give services to external bodies and the modalities of such services will be determined in a separate guideline to be issued by the relevant vice president. Common research and innovation facilities will be built, equipped and managed centrally.

6.1.5.2 All laboratories and workshops at AAU are available for common use with consent and clear procedures.

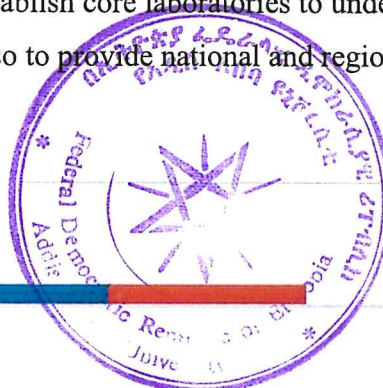
6.1.5.3 The University shall provide access to laboratories, research tools, and technologies needed for high-quality research. This may involve upgrading research labs, purchasing equipment, or developing shared research facilities.

6.1.5.4 Each college/institute and lower academic units shall also have their own research facilities for their specific needs. However, facilities redundant to the common facilities are not allowed.

6.1.5.5 The University shall establish core laboratories to undertake standard research at AAU but also to provide national and regional services.



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6.1.5.6 The University shall construct workshops for laboratory equipment care and maintenance.

6.1.5.7 The University shall develop in-house Research Management System (RMS) to handle AAU research and publication efforts.

6.1.5.8 Update and use the Data Repository for storing raw and processed data; and

6.1.5.9 The university shall facilitate and secure data repository and responsible sharing of research data among researchers. A detailed procedure on Data Repository and Use Policy shall be issued by the Senate.

6.2 Research Priorities

6.2.1 The University shall set its research priorities based on the best use of limited resources available for research. As a national flagship university, it is necessary to ensure that scarce resources are channeled properly to achieve the maximum possible public good and improve the capacity of the university in contributing to achieve national and global development goals.

6.2.2 Priorities are given to research addressing pressing socio-economic, political and scientific challenges in the country, the region and the world over.

6.2.3 Priority setting shall consider also the existing strength of the University in terms of track record in attracting grants, number and quality of researchers, existing research facilities and demonstrated impact.

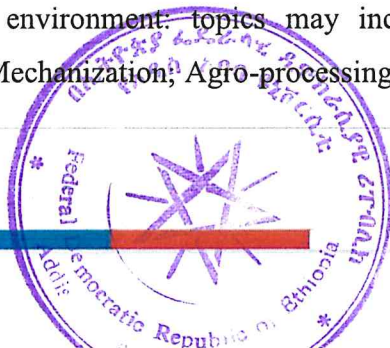
6.2.4 Based on the existing salient issues of national and global importance the research priority areas of the University are:

6.2.3.1 Basic Research: Knowledge generation & dissemination – the major objective is knowledge creation, accumulation, & pushing the frontiers of science. The focus area encompasses all fields of fundamental research in natural & social sciences, humanities, business and arts including Indigenous Knowledge, Climate Change etc.

6.2.3.2 Agriculture, water and environment: topics may include but not limited to Productivity; Mechanization; Agro-processing; Value chain;



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Climate change; Policy issues, Pollution, and other relevant issues to be identified by researchers in the agriculture, water and environment fields.

6.2.3.3 Digital Technologies: this field of research is expected to address Digitalization; System analysis & design; Digital literacy; emerging technologies; electronic communications, Cyber security; Infrastructure, and other related topics.

6.2.3.4 Education: the education system needs a serious consideration in Quality; Access; Infrastructure; Policy issues etc.

6.2.3.5 Health: research in the health sector shall focus on One health, Prevention, Cure, Service optimization, Climate change & health (Emerging Diseases), Service Optimization, and other relevant issues to be identified by researchers in the health sectors.

6.2.3.6 Industrial Manufacturing: overarching issues in this sector include Industrialization (from machine design to process optimization), automation of the different economic sectors including agriculture, mining, etc.

6.2.3.7 Mineral and Energy Resources: research in this sector shall address issues related to Resource base (discovery & assessment); Development / extraction; Refining / processing & value addition; Value chain; Resource governance; Environmental issues, and others.

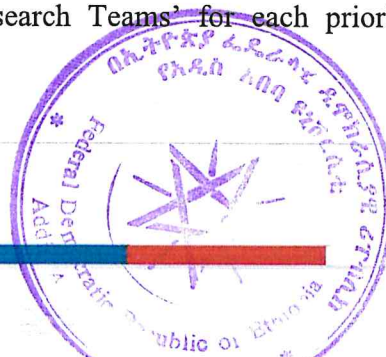
6.2.3.8 Tourism: Ethiopia's immense tourism potential needs to be well developed through research and interventions on Site selection (tourist destinations) & development; Ecotourism; Value chain; Tourism facilities; Cultural & heritage preservation; etc.

6.2.5 Detailed research topics and research questions for each priority area shall be outlined by the concerned research groups, colleges and institutes.

6.2.6 For the proper implementation of research priorities in the principle of transdisciplinary, multidisciplinary and interdisciplinary research, the university shall establish 'Research Teams' for each priority area. These



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teams will be accountable to a relevant college, institute or office of the relevant Vice President, as the case may apply.

6.2.7 The university shall revise research priority areas every five years.

6.3 Research Integrity and Responsible Conduct of Research

Research and innovation activities at the University shall be carried out in line with accepted international practices. Researchers should align their research and innovation programs, projects, experiments and field work with widely accepted academic ethical standards. The University shall be responsible for putting in place a mechanism by which researchers conduct their research and innovation activities with integrity, without conflicts of interest, with due respect to all subjects involved in the research and in a responsible manner. A separate guideline on research ethics and accountability will be issued by the Senate. This section lays out ethical standards applicable to any research endeavors at the University.

6.3.1 Research Integrity

6.3.1.1 All research and academic outputs from AAU should be free from falsification, fabrication and plagiarism.

6.3.1.2 All research activities at the University should be conducted in line with applicable protocols, safety guidelines and due respect for all subjects involved, including researchers and research subjects.

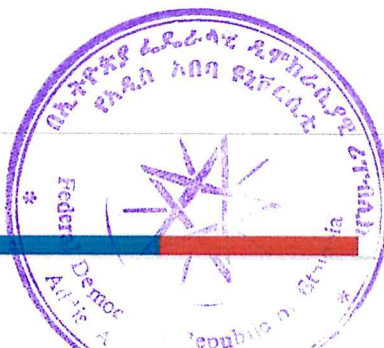
6.3.1.3 Researchers must comply with national and international laws, institutional policies, and ethical standards that govern their research. This includes intellectual property laws, human rights regulations, and environmental protection standards.

6.3.1.4 All research activities at the University should be subjected to applicable evaluation and monitoring to ensure that they are in line with the highest ethical standards.

6.3.1.5 All research activities at the University shall be properly documented and deposited in secure databases and repositories.



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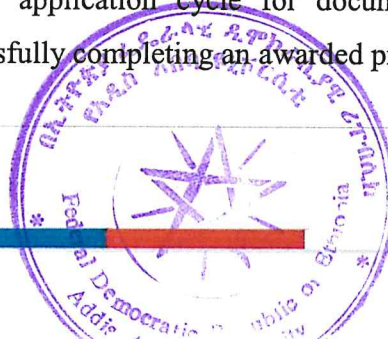
- 6.3.1.6 University authorities shall routinely assess risks associated with research and put in place measures to mitigate or prevent any ensuing harms.
- 6.3.1.7 University authorities shall run regular awareness raising campaigns on applicable research ethical standards for researchers.
- 6.3.1.8 The University shall ensure that all tools and mechanisms needed to protect the safety of all those involved in research are made available on a timely basis.
- 6.3.1.9 Researchers shall take all the necessary steps to avoid any conflict of interest in relation to research activities. Where a conflict of interests that may undermine research integrity arises, the relevant researcher should disclose the conflict and take appropriate measures.
- 6.3.1.10 The respective roles, rights and responsibilities of all those involved in research shall be clearly designated to prevent the occurrence of conflicts of interest.
- 6.3.1.11 Emerging technologies like Artificial Intelligence (AI) and other related technologies should be used ethically to research and academic outputs. A detailed guideline will be issued by RTTCEC on the use of emerging technologies in research.

6.3.2 Involvement in research projects

- 6.3.2.1 Staff shall engage in research projects with his/her full capacity. The number of involvements in different projects should be optimal. In Thematic Research, for example, staff can be PI for the full cycle and be a member of a maximum of two (2) projects in the same period.
- 6.3.2.2 In AAU funded projects, an academic staff member can be a PI for only one project at a time. During this project period, the PI is allowed to engage in up to 2 additional research projects as a researcher but cannot hold co-PI position.
- 6.3.2.3 A staff will skip one application cycle for documentation and publication after successfully completing an awarded project.



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6.3.2.4 The order of authors in a scientific publication should reflect their contributions. The first author typically contributes the most, and MSc and PhD students often occupy this position when the data and manuscripts are part of their thesis/dissertation. Subsequent authors are listed based on their level of contribution, from most to least. However, in some disciplines, the last position could be for senior or PI of the project.

6.3.3 Research Involving Human Subjects

6.3.3.1 The University endorses the Declaration of Helsinki (1964, as amended in 2013) which outlines widely accepted ethical standards regarding research involving human beings. Moreover, the university endorses the national research ethics guidelines.

6.3.3.2 All researchers shall bear the duty to ensure the respect and protection of human rights and fundamental freedoms guaranteed under the Ethiopian Constitution and international treaties ratified by Ethiopia.

6.3.3.3 All researchers shall disclose from the outset whether and the extent of involvement of human subjects in the research activities.

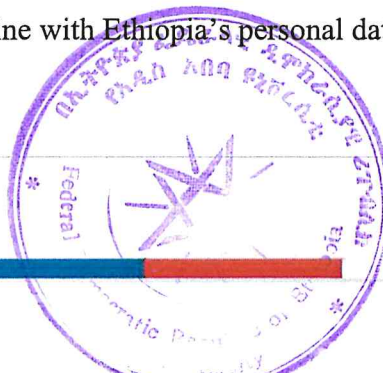
6.3.3.4 All researchers engaged in research involving human subjects shall obtain the explicit and revocable consent of the subjects. Where the human subjects are children or incapable persons, consent shall be sought of the parents or legal guardians.

6.3.3.5 All researchers engaged in research involving human subjects shall recognize, respect and protect the rights and interests of vulnerable groups such as children, the elderly and persons with disabilities.

6.3.3.6 Researchers shall provide assurance to human subjects involved in research of the privacy safeguards in place, including confidentiality of personal data such as names, date of birth and biometric data. The collection and processing of personal data of human subjects in research shall be in line with Ethiopia's personal data protection law.



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6.3.3.7 Researchers shall clearly indicate while seeking the consent of human subjects the ways in which data will be collected, processed, retained and stored including in video and audio formats.

6.3.3.8 Researchers shall take appropriate measures to prevent or mitigate harm that may be caused to human subjects involved in research.

6.3.3.9 Researchers shall undertake a review of the treatment of human subjects involved after the conclusion of the research to redress harms caused or draw lessons for the future.

6.3.4 Research Involving Animals

6.3.4.1 All researchers who involve experimental animals in research shall respect and exercise the biological needs and comfort of the animals as recognized in the international animal welfare standards.

6.3.4.2 All researchers shall ensure that wild experimental animals involved in research are returned to their natural environmental settings by the end of the experiment.

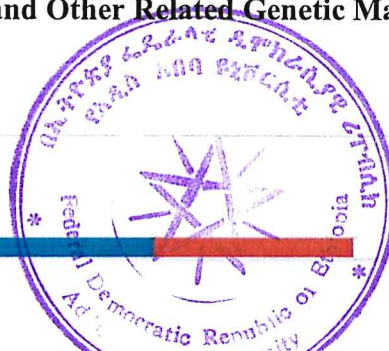
6.3.4.3 All researchers shall make the research process involving animals subject to appropriate assessment, including by third parties, to ensure compliance with ethical standards.

6.3.4.4 All researchers deploying animals in research experiments shall provide prior assurance as to measures put in place to prevent or mitigate maltreatment or suffering of the animals.

6.3.4.5 If the animals are used in biomedical research, the animals will be humanely and pain free euthanized and are made to rest safely with dignity at the end of the research or experimental work as per international and national guidelines designed for the same purpose.

6.3.4.6 All researchers must refrain from collecting genetic samples/materials from the experimental animals before they have obtained the necessary authorizations from the relevant regulatory bodies within and outside the University.

6.3.5 Research Involving Plants and Other Related Genetic Materials



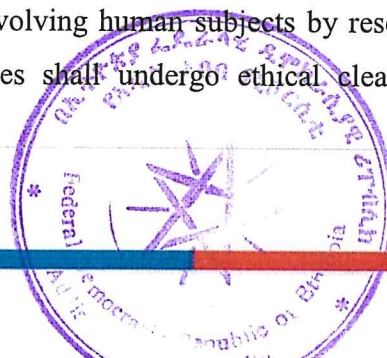
- 6.3.5.1 Researchers shall take the necessary steps to ensure that plants and other genetic resources involved in research activities are handled in a manner and under conditions similar to their natural habitat.
- 6.3.5.2 Researchers shall not move or remove plants and other genetic materials from their natural habitat without following through the appropriate standards put in place by the University or the relevant government authorities.
- 6.3.5.3 University authorities shall put in place a mechanism by which plants and other genetic resources involved in research may be removed from their natural habitat. Where appropriate, the University shall consult with relevant government departments in designing such a mechanism.
- 6.3.5.4 In the event of thematic, multidisciplinary, and transdisciplinary research involving various colleges and research subject, the IRB where the PI is located will conduct the review.

6.3.6 Ethical Clearance Procedures

- 6.3.6.1 The University ensures that research activities shall be carried out in line with accepted international ethical standards and practices. To achieve this, the University establishes a robust mechanism for researchers to conduct their research work with integrity, responsibility, without conflict of interests, and due respect to all subjects involved in the research.
- 6.3.6.2 Without prejudice to the powers and functions of ethics bodies at the national and university-level such as the University Institutional Review Board, ethical clearance shall be carried out in accordance with the procedures laid out in this section.
- 6.3.6.3 Any research involving humans, animals, plant and related genetic resources shall undergo ethical clearances procedures laid out in this and the preceding section.
- 6.3.6.4 Any research involving human subjects by researchers in the fields of social sciences shall undergo ethical clearance by the Social



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Science Human Research Ethics Committee to be established under the auspices of the concerned VP.

6.3.6.5 Any research involving human subjects by researchers in the fields of medical and health sciences shall undergo ethical clearance by the Health and Medical Human Research Ethics Committee of the respective AAU unit.

6.3.6.6 Any research involving animals shall undergo ethical clearance by the Animal Research Ethics Committee to be established by the respective AAU unit under the auspices of the concerned VP.

6.3.6.7 Each committee shall consist of at least five members drawn from the relevant academic units, colleges, community representatives or as deemed necessary by the respective unit of the University.

6.3.6.8 Members of the Committee shall serve for a period of three years which may be extended for one additional term.

6.3.6.9 The Committees shall be responsible to ensure the observance of ethical and research integrity standards outlined in the Research and Innovation Policy and other applicable standards introduced by the University as well as international best practices.

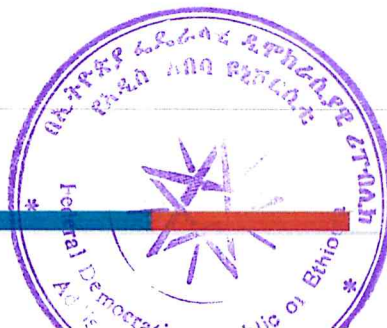
6.3.6.10 The Committees shall review and decide on requests for the ethical clearance of research projects in a timely, transparent and fair manner.

6.3.6.11 The Committees shall develop standards and rules of procedure, subject to endorsement by the concerned VP, including provisions dealing with applicable penalties for violation of ethical standards and expedited review in case of public emergencies.

6.3.6.12 In the event of any allegation, the IRB/Research Ethics Committee shall investigate the allegations involving experts from the field, following the established protocols. A separate guideline will be issued outlining procedures for disciplinary action, appeal process, and recording and documentation.



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6.3.6.13 The relevant vice president shall adopt guidelines that may be required to bring changes that account for new developments in the field and at the University.

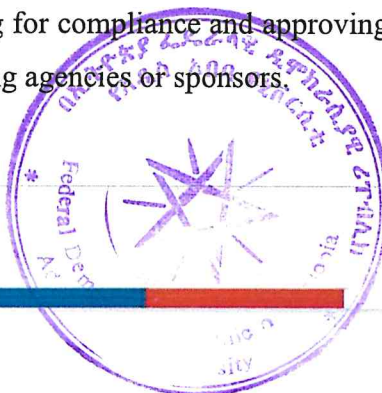
6.4 Management of Research and Scholarly Outputs

Research support is essential to ensure that research and innovation in the University receive due attention, the necessary assistance, facilitation and unrestricted access to all university facilities, infrastructure and resources. This support is essential for the proper execution and successful completion of research projects thereby contributing to the socio-economic transformation of our community and enhance the university's ability to attract more research opportunities.

6.4.1 The Research Administration

The university shall establish staff and equip a dedicated office to manage research activities, grants and support researchers. The office, under the office of the relevant Vice President, shall be organized in such a way that it encompasses grant and sponsored project management, administration of research, documentation, dissemination, and scientific communication and other necessary units. The roles and responsibilities of this office are the following:

- 6.4.1.1 Managing research projects and grants centrally or through its equivalent offices at colleges and institutes.
- 6.4.1.2 Making sure that all research being conducted under the auspices of the university are registered within the university system.
- 6.4.1.3 Supporting researchers by searching and promoting research and innovation funding opportunities/ calls, reviewing concept notes for eligibility and compliance, and facilitating workshops in relation to opportunities for funding, grant application processes, and assisting in grant writing to attract international/national funds.
- 6.4.1.4 Conducting capacity building training programs, arranging educational visits and liaising researchers with funding organizations.
- 6.4.1.5 Reviewing, checking for compliance and approving proposals before submission to funding agencies or sponsors.



6.4.1.6 Working closely with the PI to ensure successful execution of the project.

6.4.1.7 Overseeing the entire lifecycle of research grants and facilitating dissemination of research outputs.

6.4.1.8 Seeing to it that it shall have a contract management section encompassing legal personnel to address legal disputes related to sponsored research projects; and

6.4.1.9 Making sure that detail guidelines and SOP for the office are prepared and approved by the RTTCEC.

6.4.2 Categories of Research

6.4.2.1 Funded Research Projects – these are scientific research funded by the university or collaborating institutions for the purpose of addressing specific scientific, socio-economic and other contemporary challenges of the country and the world.

6.4.2.2 Higher Degree Research Projects (MSc, MA, MPhil and PhD)– these are research conducted for the purpose of meeting requirements of obtaining higher degrees and/or qualifications.

6.4.2.3 Consultancy Research Projects – these are projects conducted on consultancy (contract) bases as agreed with a client.

6.4.3 Research and Innovation Funding

6.4.3.1 In-house Funding

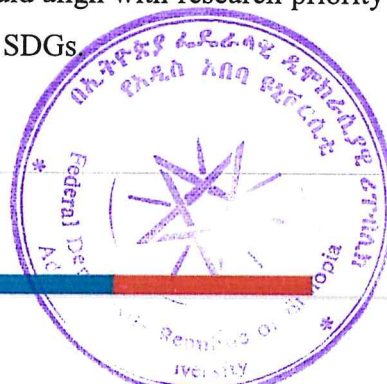
- i. The University shall launch different research and innovation grant schemes which will be awarded on a competitive basis. The schemes will be prepared and presented to the RTTCEC for approval by the office of the relevant vice president.
- ii. The detailed guidelines on each funding scheme will be developed and approved before implementation.
- iii. The University shall allocate 10-20% of its total budget on an annual basis for university funded research in its priority areas addressing contemporary challenges of Ethiopia.



- iv. University funded projects are required to be focused on the research priority areas of the university and should clearly indicate how the research brings local impact on socio-economic challenges of Ethiopia (should demonstrate the research impact cycle) and should be trans disciplinary.
- v. The University announces each call through various channels including its website, university email, notice boards etc.
- vi. Each department/school/center organizes workshops for proposal presentation to improve its quality and avoid redundancy and plagiarism. These lower academic units shall endorse and send the recommended research projects to College/Institute Dean/Director, which compile and forward the chosen projects to the office of the relevant Vice President for consideration.
- vii. All proposals are subject to peer review by a panel of experts and the process will be administered by the university research administration office.
- viii. Award will be given based on merits and the available resources. The allocation of funds should be transparent.
- ix. Awards will be endorsed by the RTTCEC.
- x. In-house funded projects are exempted from research administration costs (overheads).

6.4.3.2 External Funding (Collaborative Research Funding) - this category of research funding is sourced from funders outside of the University which could be within or from outside Ethiopia. The following general provisions will apply to externally funded projects:

- i. The University President signs MoUs and Agreements
- ii. Amendments to previously signed agreements shall be signed by the relevant vice president.
- iii. The research project should align with research priority areas, national development plan and/or SDGs.



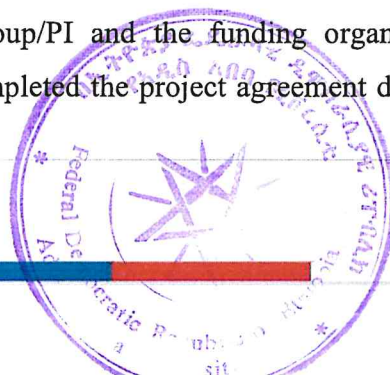
- iv. The PI administers the research finance in consultation with the department/school/center and the college/institute, and approves financial transactions as per relevant financial laws/procedures of the university and as per the budget lines set and agreed as expenditure amounts and rates of the project proposal.
- v. Externally funded projects shall be charged a research administration cost (overhead) the amount of which will be determined by a separate guideline.
- vi. The University shall apply the TRUST Code, a Global Code of Conduct for equitable research partnerships in internationally collaborative projects; and

6.4.3.3 The RTTCEC of the Senate shall issue detailed guidelines on issues related to research funding.

6.4.4 Initiation, Submission and Review of Research Proposals

6.4.4.1 In-house Funded Projects – the university shall announce calls for proposals on an annual basis. The call should be announced at least three months before the commencement of the next Ethiopian fiscal year. The concerned university office will set up peer review teams for each area of research to which proposals are submitted. Awards shall be based on competition and considering the research priority areas of the university and the country as well as the multi/transdisciplinarity of the proposals. Final decision on the selected projects for funding will be the responsibility of the RTTCEC. Awards shall be announced by the relevant vice president within the first two months of the fiscal year. Detailed guidelines on in-house funding shall be prepared and approved by the RTTCEC.

6.4.4.2 Externally Funded Projects (Collaborative Research) – most of the initiation, submission and review of externally funded projects are generally conducted through the continuous engagement of the researcher/research group/PI and the funding organization. After such processes are completed the project agreement documents will



be presented to the research administration office. The office through its assigned personnel will check for compliance and other requirements of the university and present it to the relevant vice president for checking and endorsement. Agreements will be approved and signed by the university president or his/her legal delegates. Details of the requirements and management of externally funded projects will be addressed in a separate guideline to be issued by the RTTCEC.

6.4.5 Progress and Final Reports

6.4.5.1 The research administration office shall collect annual progress reports from all university funded research projects.

6.4.5.2 The timing of reporting the progress of externally funded projects will be according to the signed agreement and the requirement of the funding institutions. The PI is required to submit a copy of the report to the research administration office.

6.4.5.3 Progress reports should cover but are not limited to the status of the project in terms of planned activities for the reporting period, achievements, financial usage, the remaining tasks of the research project for the remaining time period and challenges faced while executing the research.

6.4.5.4 After completion of a research project, the PI should submit the complete scientific and financial report. Such reports shall be copied to and endorsed by the relevant department/school/center/unit.

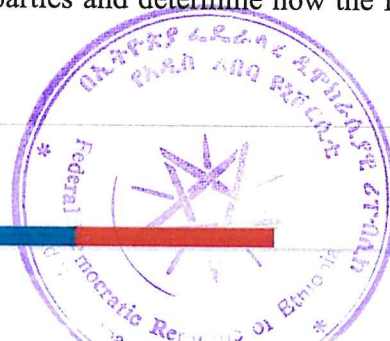
6.4.5.5 The research administration office may develop and issue detailed guidelines on progress and final reports.

6.4.6 Collaborations, Research Agreements and Memoranda of Understanding

6.4.6.1 Research collaborations - These are agreements governing relationships in the conduct of research between two or more parties working together on a research project. They should identify the rights and obligations of parties and determine how the funding and



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work are to be divided. They also provide the structure for decision-making, conflict avoidance, conflict resolution and exit mechanisms.

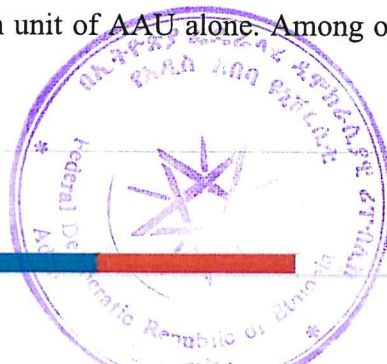
6.4.6.2 Research agreement - A research agreement is a written agreement used when an organization/company provides funds to AAU or any of its academic units / schools / institutes, etc. for an organized research project. Among others, research agreements should cover the following areas:

- i. Project identification (project title, investigators, etc.)
- ii. Specific dates for the beginning and closing of the project
- iii. The scope of work and its budget (project costs)
- iv. Milestones/deliverables and associated payments
- v. Provisions for confidentiality of information
- vi. Right for publication
- vii. Clearly defined intellectual property and ownership rights
- viii. Ownership of equipment purchased under the contract agreement
- ix. Provisions for termination

6.4.6.3 Memorandum of Understanding - Units of AAU that undertake research projects may initiate partnership with other national or international institutions to generate reciprocal benefits and sign memoranda of understanding (MoU). A MoU provides an umbrella agreement for activities such as academic staff, support staff and graduate student exchanges, joint research activities and publications, and participation in seminars and academic meetings that relate to funded projects. Although a project is typically initiated by a PI in a certain academic unit, potential benefits for other academic units may also be considered when entering a MoU. It is expected that fruitful collaborations will lead to more binding agreements. The overriding principle for AAU should always be the maximization of academic excellence which otherwise could not be achieved by the research unit of AAU alone. Among others, a MoU



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should have (or should be accompanied by a document containing) the following points:

- i. A profile of the proposed partner institution, including a description of its unique contributions to research and how it may complement research by units of AAU.
- ii. An outline of the collaborative activities that have already taken place or are currently underway or are intended with the proposed partner institution.
- iii. A description of the planned joint activities, a list of the researchers, and the proposed partner institution involved in these activities, and an indication of the potential sources of funding.
- iv. A description of the possible short and long-term benefits of the collaboration, for the academic unit as well as for the partner institution(s).

6.4.7 Financial aspects of sponsored project administration

The PI at AAU holds the overall responsibility for the technical and financial management of a sponsored project. This includes the management of the project within funding limitations, adherence to the project protocol agreed upon, timely reporting of requirements and notifying sponsors when significant conditions related to the project status change. While responsibility for the day-to-day management of project funds may be delegated to administrative or other staff, accountability for compliance with AAU policies and sponsor requirements ultimately rests with the PI. AAU requires all PIs to review their obligations for stewardship of sponsor funds and compliance with applicable regulations.

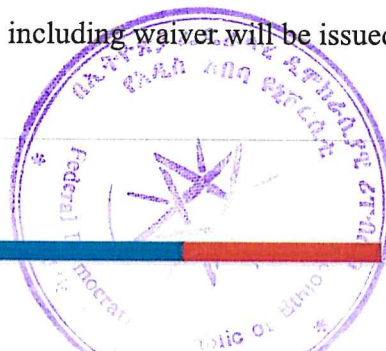
6.4.8 Research Administration Costs (Indirect Research Cost-IRC, Overhead)

6.4.8.1 Indirect Research Cost (IRC), also known as overhead, refers to the additional expenses incurred by the University when administering externally funded research projects.

6.4.8.2 All externally funded projects are subjected to IRC for which a detailed guideline including waiver will be issued by the Senate.



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6.4.8.3 Research stipends for students and postdocs will not be subject to IRC.

6.4.9 Dissemination of Research Results

6.4.9.1 All researchers should consider dissemination and/or implementation of research findings as the top priority and should plan for these carefully during proposal writing and approval

6.4.9.2 Dissemination can take any of the following forms, but is not limited to:

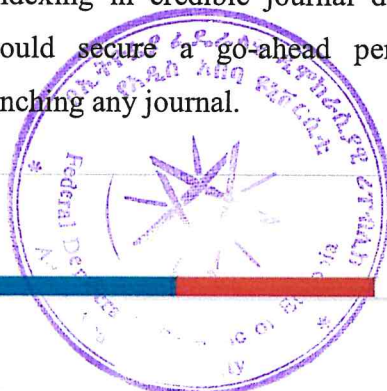
- i. Publications in reputable national and international journals
- ii. Publications in the form of books and monographs
- iii. Seminars, Workshops and Conference
- iv. Oral and poster presentations
- v. Policy briefs
- vi. Mass media including social media outlets

6.4.9.3 All researchers who publish their results emanating from research under the auspices of the University should submit a copy (soft or hard copy as the case may apply) of each publication to the university research administration office; and should acknowledge the University in all scientific communications.

6.4.9.4 The university research administration office shall publish an annual research book containing all the research publications from the university.

6.4.9.5 Publication in local journals.

- i. The University shall assess all AAU-owned journals and provide reputability results each year in August/September. The reputability assessment results of each journal shall be reviewed and endorsed by the RTTEC.
- ii. The University shall support all journals under its auspices to improve their quality and indexing in credible journal databases. However, academic units should secure a go-ahead permission from the RTTCEC before launching any journal.



- iii. The RTTCEC will issue detailed guidelines on establishment, management and modality of support of journals owned by the University.
- iv. The reputability of local journals outside the university will be based on the reputability established by the Ministry of Education.

6.4.9.6 Publication in international journals

- i. The University shall encourage all researchers to publish their research findings in journals indexed in reputable databases such as Web of Science, Scopus, PubMed, DOAJ, and others.
- ii. The University shall encourage all researchers to submit and publish in accredited Open Access journals to widely disseminate the information for potential impact.
- iii. The University advises researchers to include budget for Article Processing Charges (APCs) in their project proposal.
- iv. The University shall collect the list of Open Access Journals that offer waivers to researchers from developing countries and circulate the same to the University community.

6.4.9.7 Workshops and conferences

- i. The University encourages the staff to organize workshops to disseminate their findings and to participate in national and international workshops and conferences to present their research work.
- ii. The office of the relevant Vice President will issue guidelines on how the University shall support researchers during their participation in workshops.

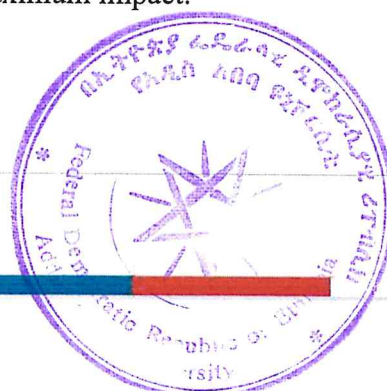
6.4.9.8 Translate findings into local language(s) and share

The researcher is expected to translate at least the abstract (summary) of the research findings into any local language usable by the end users and share it with acknowledgements for maximum impact.

6.4.9.9 Produce policy brief



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Researchers are expected to present a concise summary of their research findings to policy makers and governmental and nongovernmental institutions to indicate policy options and for better policy formulation and implementation.

6.4.9.10 Publication Ethical Standards

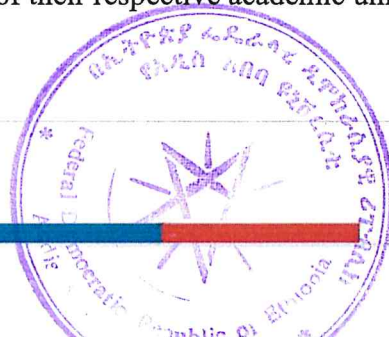
- i. All researchers shall at all-time be committed to international ethical standards and responsibilities of openness, transparency and accountability relating to research publications.
- ii. The University, particularly the AAU Libraries and the Director for Research, shall provide regular updates on where to find the list of reputable journals which researchers should choose as outlets of their publications.
- iii. The University shall take steps to establish a central database where research publications of researchers, including dissertations, are archived and made openly accessible to the university community.

6.4.9.11 Responsibilities of Researchers and innovators

- i. Researchers and innovators should familiarize themselves with publication and ethical standards stipulated in AAU Policies.
- ii. Researchers and innovators are required to maintain honesty in every aspect of their research and innovation. This includes proper data collection, interpretation, and presentation of results.
- iii. Researchers and innovators should be transparent about their methods, findings, and potential conflicts of interest.
- iv. Researchers and innovators have the duty of producing knowledge in their areas of expertise and disseminating the outcome in outlets that are appropriate to the field and trusted.
- v. Researchers and innovators strive to engage in multidisciplinary and transdisciplinary research endeavors to solve the problems of society.
- vi. Researchers and innovators should provide regular updates to the research coordinator of their respective academic unit on new pieces of



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scholarship produced based on research and innovators undertaken at the University.

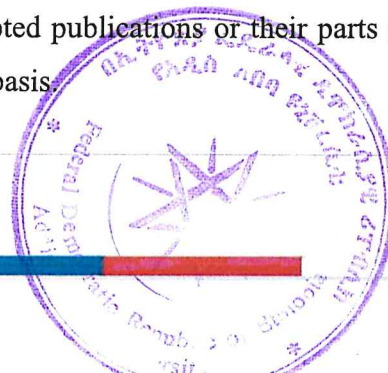
- vii. Researchers and innovators should upload all articles and other scholarly outputs on the AAU research management platform to increase transparency and visibility.
- viii. All raw research data should be stored in the university data repository system for the purpose of documentation and responsible sharing of research data.

6.4.9.12 Assertion of Affiliation

- i. Any research undertaken by researchers who hold permanent appointments, contract-based researchers should clearly indicate their affiliation with the University. Where the University has provided financial or logistical support, this shall be duly acknowledged in the publications arising out of the research.
- ii. The University reserves the right of authorizing or denying the use of its institutional names, address or other identifiers of affiliation in any publication by anyone.
- iii. The University reserves the right to withdraw its affiliation to individual researchers or institutions for any irregularities that may occur during or after the publication process or where the research or publication was conducted in violation of ethical standards or laws of the country.

6.4.9.13 Exemption for Publication and Distribution (Embargo)

- i. The University reserves the right to restrict the publication or access to specific publications, technology outputs or works of art based on internal regulations that govern the distribution of such publications, intellectual property rights, on ethical grounds or commercialization purposes.
- ii. Publications restricted from distribution should also be known to their authors so that the exempted publications or their parts should not be distributed on a personal basis.



- iii. In cases of restricted publishable materials, the University shall allow the due benefits of the publications to the authors.
- iv. Researchers shall be entitled to seek temporary embargo of initial research outputs before publication in journals or other pertinent publication outlets.

6.4.9.14 Dispute Resolution in Publication

- i. The ownership of a publication, patent or any work of art arising out of research conducted under the auspices of the University shall be explicitly agreed upon before the submission of a research output to a publication outlet, publisher or demonstration.
- ii. Any disputes arising after the publication or reproduction of any intellectual work should be resolved in the first instance amicably through negotiation. Where negotiation fails to address the dispute, it shall be dealt with under the pertinent dispute resolution mechanisms at the University.

6.5 Research Monitoring, Evaluation and Impact Assessment

Research requires an effective Monitoring and Evaluation (M&E) system that enables the assessment of performance, resource utilization, impact and effectiveness of a research program. It is, therefore, important that a proper M&E system be implemented to ensure proper accountability.

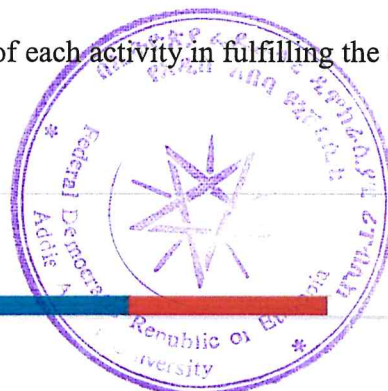
6.5.1 Monitoring and Evaluation of Research Conduct

The research administration office will issue a schedule of visits to researchers/PI and shall appoint a competent monitoring team. Such a team would need to have the original project proposal including its budget and a plan of action. The M&E team shall develop a form and undertake the following tasks:

- i. Evaluate progress of the research and innovation at each stage in the plan of action
- ii. Examine the relevance of each activity in fulfilling the objectives



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- iii. Assess operational problems and solicit solutions on how to overcome these
- iv. Assess whether scientists are using conventional or standard methodologies for which research projects were approved in the conduct of their work
- v. Assess whether there are any changes or modifications to the original program or plan of action and whether these have been explained
- vi. Where ethics apply, assess if they have been granted
- vii. Assess the application of resources being used e.g., human, financial, equipment, infrastructure and transport
- viii. Assess the degree of participation, involvement and skills development among collaborators and postgraduate students
- ix. Assess quality of work and compliance with the policy
- x. Make specific recommendations

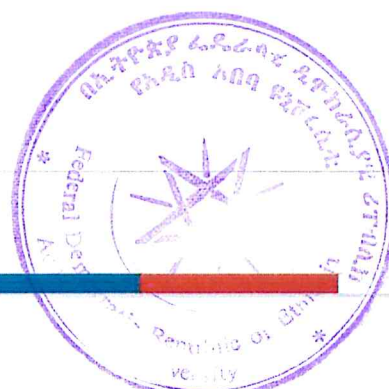
6.5.2 Research and Innovation Impact

The University shall continually monitor and evaluate the impact of its research and innovation endeavors. To that effect, the University shall establish a Monitoring and Evaluation team under the Research administration office to ensure the ultimate delivery of the intended outcomes through calculated measures.

The University will design various mechanisms and tools to evaluate the on-going government-funded and collaborative research projects. These assessments include progress reports, on-site monitoring and evaluation, as well as annual and completion reports. The University shall assess the impact of the research on society and industry employing different tools including stakeholder engagement and long-term assessments.

6.5.3 Research Productivity

The staff productivity will be evaluated with key metrics of research productivity including publications, grants, innovation and technology transfer, and supervision.



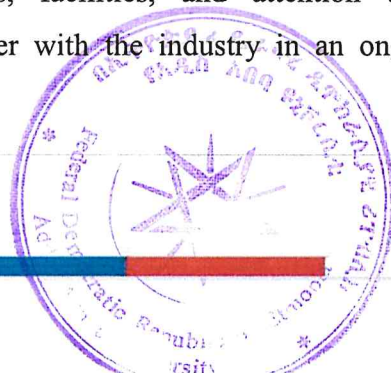
- 6.5.3.1 Publications: a staff is expected to publish a minimum of 0.35 peer-reviewed publications per two years. Publications should be in high-impact journals. Staff should also target improving their citation metrics.
- 6.5.3.2 Grants and Funding: staff should submit a minimum of one external grant application per four years to funding institutions.
- 6.5.3.3 Innovation and Technology Transfer: staff involved in applied research is expected to file at least one patent or technology/product in five years. Staff is also expected to report on any start-up companies formed as a result of their research.
- 6.5.3.4 Supervision: academic staff shall supervise a minimum of two graduate students and coach one early career academic staff per two years.

6.6 University Industry Linkage

- 6.6.1 Internship programs should be incorporated in the curricula of each academic unit with a predefined grading system (detail work process will be described by guideline)
- 6.6.2 Student internships schedule and determination of stay of period shall be decided based on the academic unit curriculum program
- 6.6.3 Academic staff are encouraged to identify and secure externship opportunities (detail work process will be described by guideline)
- 6.6.4 Externship programs shall be planned by the respective academic units and arranged without affecting the normal functioning of the university
- 6.6.5 Consultancy and training service provision is based on quality management procedures and high-level standards to meet the needs and demands of the industries. It should also be in swift and efficient service delivery system and communication channel (detail work process will be described by guideline)
- 6.6.6 AAU shall devote resources, facilities, and attention to maintaining relationships and work together with the industry in an ongoing effort to



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facilitate productive, transparent outcomes and ensure success of sponsored research (detail work process will be described by guideline)

6.7 Technology Transfer

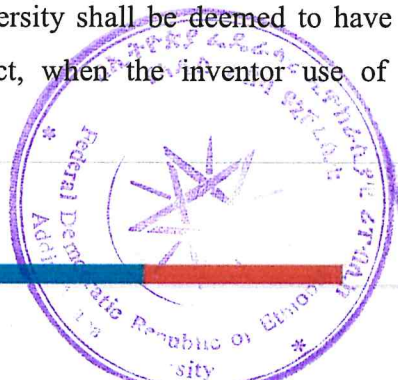
- 6.7.1 Technology transfer projects shall be initiated by academic staff and/or students in any academic unit alone or in collaboration with other academic units and external partners, with a clear collaboration agreement
- 6.7.2 All academic staff and students at Addis Ababa University have the responsibility to disclose any Technology Transfer initiative, funded internally or externally, to college/institute level and relevant central office
- 6.7.3 Intellectual outputs of any kind generated from Technology Transfer projects shall be protected, managed, disseminated, commercialized, and distribution of income from Transferred Technologies by the university (detail working process will be described by guideline)

6.8 Innovation, Incubation and Startup

- 6.8.1 The university shall establish incubation center at the university college/institute level and provide handholding support to staff, alumni, student and other innovators from ideation level to venture creation
- 6.8.2 The innovation and incubation center shall encourage and ensure inclusion and participation of internal (staff, students) and external stakeholders (alumni and other talented individual)
- 6.8.3 The University shall establish, equip and run a startup center where entrepreneurs will be supported for their transformation to a venture
- 6.8.4 The University would consider participation of staff in Incubation and Startup related activities as legitimate activity in addition to teaching, research, consultancy and community engagement and the load will be managed based on the AAU senate legislation, 2024.
- 6.8.5 Income distribution, the university shall be deemed to have a 40% of gross equity interest in the product, when the inventor use of AAU facilities,



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equipment, or employee and/or student time devoted to the development of the invention.

- 6.8.6** After the incubation, when the product of the tenant enters the startup, the tenant shall share 5% of the profit with AAU for the next 2 years, and then increased to 15% for the next 3 years.

6.9 Intellectual Property Rights

Intellectual Property developed or created in the course of work or study at the University with university support shall be governed by this policy. The Policy extends to all academic staff and students and applies to all programs, including all campuses, teaching sites, hospitals, institutions, owned, controlled, managed, affiliated, attached and/or operated by the University, located throughout the world subject to local laws.

6.9.1 Ownership, Creation, Development and Protection of IP

6.9.1.1 The University owns any IP emanating from all publicly financed research and development conducted by its students and academic staff, be it in the course and scope of their employment or their studies, or by using the University's facilities or other resources unless otherwise explicitly agreed.

6.9.1.2 IP emanating from collaborative research shall be governed by agreements made during the formulation and approval of the research program.

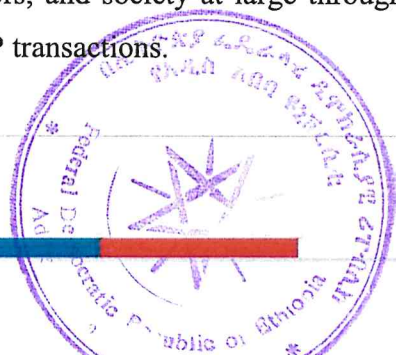
6.9.1.3 The University recognizes that students and academic staff have the right to claim ownership of IP over works they have created without the University's support.

6.9.1.4 All academic staff and students who utilize the facilities of the University have an obligation to disclose patentable and copyrightable works to the University, regardless of ownership.

6.9.1.5 The University will commercialize IP for the benefit of the University, the innovators, and society at large through appropriate legal mechanisms and IP transactions.



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6.9.1.6 The University shall exclusively own intellectual properties relating to genetic materials.

6.9.2 Distributing commercialization income and benefits fairly

6.9.2.1 The University, innovators, entrepreneurs and other possible stakeholders will benefit from either:

- i. a proprietary interest, such as equity, member's interest or co-ownership in a spin-off enterprise created by the University for the commercialization of the IP that they invented; or
- ii. a right to a portion of the revenues

6.9.2.2 The formula for the allocation of commercialization income and benefits shall be set out in a separate guideline to be issued by the Senate.

6.9.3 Copyright

Copyright and all other economic rights over Copyrightable Works shall be owned by the researchers and innovators, EXCEPT in the following cases, where the copyright shall belong to the University:

6.9.3.1 Works specifically commissioned by the University.

6.9.3.2 Works that are produced using university resources.

6.9.3.3 Works created by an employee during his or her regularly assigned duties, activities, and employment.

6.9.4 Detailed guidelines on IP (including IP rights related to Indigenous Knowledge) shall be issued by the Senate.

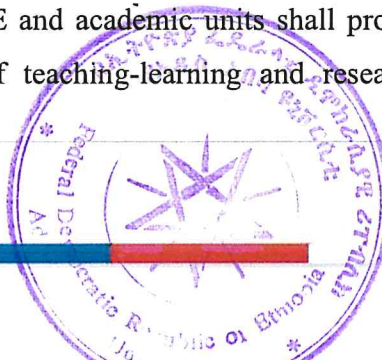
6.10 Community Engagement

6.10.1 All CE works carried out by the University, independently and/or in collaboration with stakeholders/clients shall be based on immediate and critical needs of the community.

6.10.2 The University and its academic units and staff shall have the responsibility to undertake professional based CE and academic units shall promote, develop and enhance the integration of teaching-learning and research/innovation



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activities with community engagement (Detail guideline shall be issued on the implementation modalities for student and staff services as CE).

- 6.10.3** All full-time academic staff have the obligation to actively and responsibly participate in the community engagement activities of the university with his/her profession and this will be credited as per the AAU Senate Legislation 2024
- 6.10.4** The University and its academic units shall develop and enhance engaged research and community engagement initiatives that allow university staff and students to participate in activities in partnership with communities that sensitize them to critical development and sustainability issues within the country development contexts for the purpose of solving societal problems.
- 6.10.5** There shall not be professional fee for Community Engagement activities by academic staff and students of the University.
- 6.10.6** Notwithstanding the details of externship policy, this policy would consider the possibility of externship to be counted as a means of CE.

7. Responsibilities

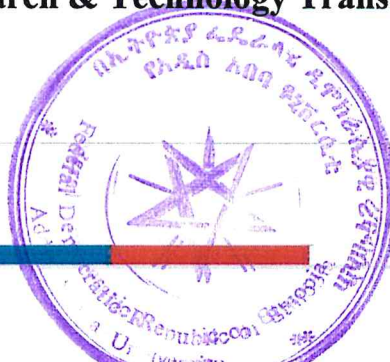
7.1 The University President and the Senate

- 7.1.1** The University President or his delegate signs MoU and Agreements with external funding organizations.
- 7.1.2** The University Senate will approve research policies; establish the standing committee for Research, Technology Transfer & Community Engagement Committee (RTTCEC) as stipulated in the Senate Legislation.

7.2 The Senate Standing Committee, RTTCEC

The committee will have the roles and responsibilities as stipulated in the Senate Legislation Article 23.

7.3 The Relevant Vice President for Research & Technology Transfer



The relevant vice president shall assume the primary responsibility of leading, supporting and overseeing any research activities at the University. Without prejudice to specific responsibilities indicated in other parts of this Policy, the relevant vice president is responsible for the following:

- 7.3.1 overseeing the implementation of the Research and Innovation Policy by all researchers at the University.
- 7.3.2 providing overall leadership and direction on research/innovation activities undertaken under the auspices of the University.
- 7.3.3 chairing the Senate standing committee for RTTCEC and making sure that decisions and regulations issued by the standing committee are observed; and
- 7.3.4 signing amendments to previously signed agreements on matters of research, technology transfer and community engagement.

7.4 The Research Administration Office

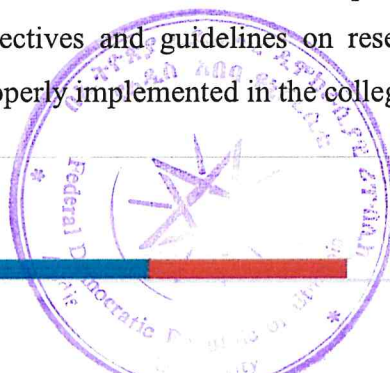
Without prejudice to specific responsibilities indicated in other parts of this Policy, the office, established under the relevant vice president, shall assume the following roles:

- a) providing secretarial and administrative support to the Senate standing committee, RTTCEC,
- b) liaising with colleges/institutes on all matters relating to research and scholarly outputs,
- c) following and submitting cases for decisions to the relevant vice president on all matters related to research projects within the university.
- d) oversee planning, coordination, and execution of research projects, ensuring adherence to ethical standards, regulatory guidelines, and effective resource allocation and utilization.
- e) promote the publication of research findings, scholarly products and patents
- f) provide pre- and post-award support to researchers

7.5 College Executive Deans and Research Institute Directors

The college Dean/Executive Dean and Research Institute Director will be responsible to:

- 7.5.1 observe that policies, directives and guidelines on research/innovation and related matters are properly implemented in the college/institute.



- 7.5.2 send recommendations of research projects for potential funding to the office of the relevant vice president; and
- 7.5.3 in collaboration with Department/School/Center Heads and Principal Investigators (PIs), approve, follow and make sure that funds are properly utilized in the college/institute.

7.6 Office at College level for Research and Technology Transfer

The Office at college and institute will

- a) Liaise with between the college/institute and the university central administration for research and innovation.
- b) coordinate the conduct of all research and innovation activities under the college/institute.
- c) collect reports (progress, annual and terminal) and submit the same to the concerned offices and officials.
- d) coordinate, initiate and organize training programs and seminars; and
- e) compile publication data, check their reputability and submit consolidated report to the office of the relevant vice president.

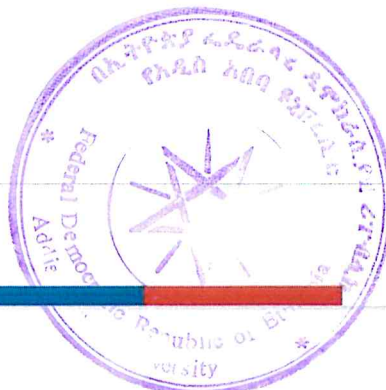
7.7 Department/School/Centre Heads/Chairs

Chairs/Heads, as they are the lowest academic unit leaders, have almost a day-to-day direct contact with the researchers and research activities. They will have the responsibility of:

- 7.7.1 propose the strategic direction of research within the department/school/center, aligning it with the university's research priorities.
- 7.7.2 supporting research/innovation activities and overseeing the healthy conduct of the research/innovation by researchers/innovators under the academic unit.
- 7.7.3 in consultation with the PI and the Executive Dean of the college/ Director of the Research Institute, following, and approving the logistic supply necessary for the research/innovation as per the approved proposal/work program.



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- 7.7.4 maintaining documents and reporting departmental records about completed and on-going research projects under the department/school/center.
- 7.7.5 properly recording and reporting the research load of researchers involved in research.
- 7.7.6 ensuring that infrastructure, personnel, research space and other resources are in place to conduct research.
- 7.7.7 helping staff to identify and get opportunities for proposal development and funding; and
- 7.7.8 reviewing and recommending research proposals for funding.

7.8 Graduate Program and Research Coordinator

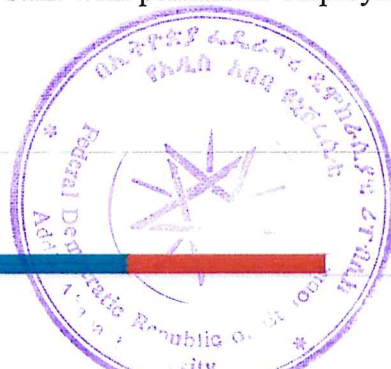
The coordinator reports to the Department/School/Center head. The coordinator has the following duties and responsibilities:

- 7.8.1 Assist the Head/Chair on all matters related to research, university-industry linkage, and technology transfer and community engagements at the Department.
- 7.8.2 Communicate with, and assist researchers to develop proposals, present their proposals to an audience for review, evaluation and enrichment so that proposals are in a better position to submit for funding institutions
- 7.8.3 Assist PIs in checking that their proposals meet the required criteria for funding
- 7.8.4 Organize data, document and report ongoing and completed research projects under the school/department/center
- 7.8.5 Check that projects under the school/department/center are progressing according to the predefined time frame
- 7.8.6 Liaise between the project team and funding agencies or relevant parties

7.9 Principal Investigator

7.9.1 Eligibility

- i. Should be an academic staff with permanent employment status with the university,



- ii. Should have the relevant competency to lead the specific research project,
- iii. Those researchers who have research position (and who may not have permanent employment status) may assume PI role.

7.9.2 Duties and Responsibilities - while grants, contracts, and other binding agreements are entered between the university and the funding organization, the PI is directly responsible and accountable to the University and the funder for the proper conduct of the research project. Specifically, roles and responsibilities of a PI includes, but are not limited, to the following:

7.9.2.1 Establishing the research team considering disciplines and specialization relevant to the research theme, sponsor guidelines (if any), and the qualifications and contributions of participating researchers,

7.9.2.2 Overseeing the overall planning, direction, and execution of the research project. This includes scientific, technical, financial and human resources related aspects of the research.

7.9.2.3 Initiate and lead development and presentation of proposals for funding,

7.9.2.4 Ensuring that the research complies with institutional policies, governmental regulations, and ethical standards, especially when dealing with human subjects, animals, or hazardous materials.

7.9.2.5 Making sure that the project activities are in adherence to all policies, regulations and procedures of the university and funding organization,

7.9.2.6 Planning and administering the research project,

7.9.2.7 Ensuring the proper allocation of project resources,

7.9.2.8 Managing the project budget, ensuring that funds are used appropriately, tracking expenditures, and ensuring compliance with funding agency requirements



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- 7.9.2.9 Implementing fast procurement procedures and direct procurement as per the directive of Procurement and Property Administration
- 7.9.2.10 PIs authorize research expenses within predefined budget categories on sponsored projects.
- 7.9.2.11 Mentoring and training junior researchers, graduate students, and postdoctoral fellows and guiding them in research methodologies, ethical conduct, and career development.
- 7.9.2.12 Disclosing any potential conflicts of interest (financial, personal, etc.) that may affect the research and work to mitigate them.
- 7.9.2.13 Proactively identifying and mitigating risks associated with the research, including ethical, legal, and environmental risks.
- 7.9.2.14 Ensuring the integrity, accuracy, and security of research data. They must ensure that data is recorded systematically, securely stored, and accessible for validation or auditing.
- 7.9.2.15 Timely reporting (technical and financial) of the status of the project. The PI must submit regular progress reports and a final report detailing the outcomes of the research to the university and funding agency or institution; and
- 7.9.2.16 If the need arises, designating Associate/Co Investigator(s) with the duty of assisting the PI.

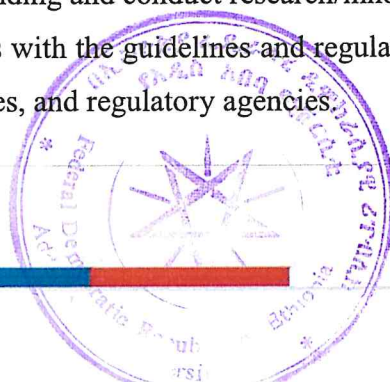
7.10 Researcher/Innovator

The researcher/innovator is considered a cornerstone of any research university. Accordingly, researchers/innovators:

- 7.10.1 Identify real societal challenges, prioritize and align them with university and national research agenda.
- 7.10.2 Collaborate with colleagues and external partners to promote interdisciplinary/multidisciplinary research.
- 7.10.3 Plan research projects, seek funding and conduct research/innovation.
- 7.10.4 Ensuring that their work aligns with the guidelines and regulations set by their institutions, funding bodies, and regulatory agencies.



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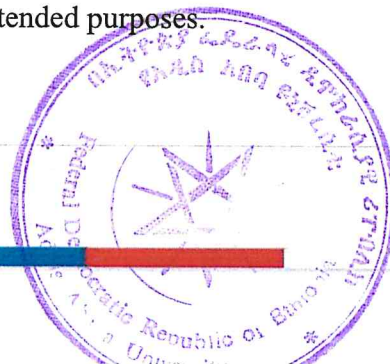


- 7.10.5 Present findings to peers at conferences or in published articles.
- 7.10.6 Keeping clear, detailed, and organized records of their experimental processes, data, and analysis, enabling reproducibility and accountability.
- 7.10.7 Keep records and accounts of the management of the project and report the same to PI, the university and to funding organizations.
- 7.10.8 Make sure that obligations required by the funding source are fulfilled.
- 7.10.9 Promote their work to policymakers or others who may apply the knowledge gained for impact.
- 7.10.10 Collaborating effectively with others, including senior researchers, technicians, students, and administrative staff.
- 7.10.11 Assist in the recruitment, training and supervision of researchers.
- 7.10.12 Manage, mentor, and guide junior researchers, and
- 7.10.13 Supervise Master and PhD students.

7.11 Research Teams

Research teams shall be established on ad hoc basis by the office of the relevant vice president and be accountable to a relevant college, institute or office of the relevant vice president. These research teams will be established based on the research priority areas set by the university for the purpose of creating sustainable, coordinated and enabling research niche in the university for their respective focus area. Research teams shall have the following duties and responsibilities:

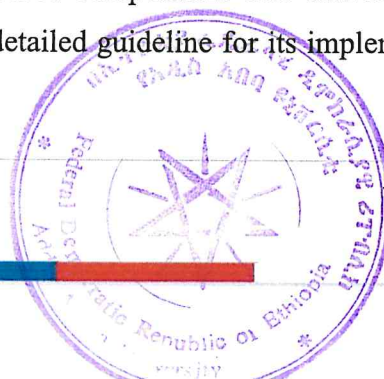
- 7.11.1 outline the detailed research topics and research questions for their respective priority areas.
- 7.11.2 ensure that research conducted in the priority area are transdisciplinary, multidisciplinary, interdisciplinary, impactful and are responsive to national needs.
- 7.11.3 ensure that the research is conducted ethically, adhering to regulations regarding human subjects, animal welfare, data privacy, and the environment.
- 7.11.4 ensure that resources (such as funding, equipment, and materials) are used efficiently and for their intended purposes.



- 7.11.5 adhere to the policies of their institution, including guidelines on research integrity, conflict of interest, and intellectual property.
- 7.11.6 be responsible for adhering to environmental, legal, and safety regulations when conducting experiments or collecting data in sensitive settings (e.g., fieldwork in nature reserves).
- 7.11.7 play a role in organizing and coordinating research projects of their focus areas.
- 7.11.8 assist researchers in developing project proposals for funding by internal and external funding.
- 7.11.9 assist the office of the relevant vice president in reviewing and selecting research proposals for funding as well as in evaluating the impacts of such projects.
- 7.11.10 report regularly their progress to the principal investigator (PI) or project leader and raise any concerns that could impact the project timeline.
- 7.11.11 assist and advise applicants' project proposals meet ethical and regulatory guidelines.

7.12 Project-Based Research Position and Postdoc

- 7.12.1 The University encourages project-based research positions at each academic unit.
- 7.12.2 An external researcher who is leading an ongoing or a new research-project may affiliate with an appropriate academic unit or a research institute.
- 7.12.3 An external researcher affiliated with an academic unit for the purpose of research shall carry out all the duties and responsibilities assigned to them by the PI throughout the duration of the research grant. In the case where the external researcher is a PI, all duties, responsibilities and entitlements given to a PI by this policy shall apply.
- 7.12.4 Postdoc is a research position obtained after completing a PhD degree and shall be awarded on merit-based competition. The university shall launch post-doc position with a detailed guideline for its implementation and shall be issued by the Senate.



7.13 Institutional Review Board

Institutional Review Boards (IRB) will be established at each college/institute. These boards shall be responsible for ensuring that proposed research meets the required standard and ethical requirement as well as regulatory requirements, including local laws, institutional policies, and federal regulations. Research Ethical clearance should follow the written SOPs as per regulations of respective disciplines of the university. The board issues clearance for every proposed project before it is considered for funding. The board is expected to provide its assessment result within a maximum of two months of submission of request. Research Ethics Committee shall be established under each department / school / institute mandated to review department / school / institute level and MSc/PhD proposals. The ToRs, membership and composition of IRBs shall be issued by the Senate standing committee for RTTCEC.

7.14 Business Innovation and Incubation Centre

The principal role of the center will be selecting, among research and innovation results, incubating and transferring those matured innovations/research results to an AAU start-up.

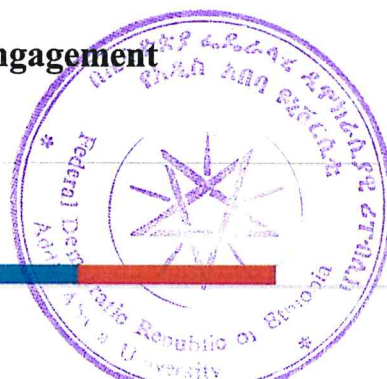
7.15 Office for University – Industry Linkage

The office will assist the university research endeavor in making sure that university research is aligned with the need of the industry, strives to increase research funding from industries and strives to transfer implementable research results to appropriate industries. The office will play such role by creating functional links and partnerships with the industry and also as member of the RTTCEC of the Senate.

The office will assess technologies and research outputs, select those that have potential to be patented and file applications on behalf of the PI and Co-PIs.

The university intellectual property rights division of the office will be responsible for ensuring that the ownership and property rights of research results, innovations and any material or conceptual properties coming from university sponsored research are properly owned and protected.

7.16 Responsible Office for Community Engagement



The CE office will involve in research management in such a way that researchers are aware of contemporary community problems and priorities to be addressed through research; by doing so the office will help design relevant and impactful research projects. It helps researchers to easily and effectively engage with communities while doing participatory and transdisciplinary research. Moreover, the CE office will select and implement research results through its knowledge-based community engagement programs.

7.17 Office responsible for Managing Research and Budget

The Office and its equivalents at colleges and institutes provide oversight and management of research grants as per the University Policy and project agreement. Detailed guidelines on specific activities and procedures of research management shall be issued by the Senate.

8. Exceptions

Though, no clear exceptions are identified at the time of formulating this policy, this policy embraces any eventual exceptions when the need arises both from the internal and external environment. However, those exceptions ought to pass the due acknowledgement of the policy owner and policy authority before implementation.

9. Compliance and Enforcement

9.1 All academic units, academic staffs, students, visiting professors/researchers, etc. who is conducting research at the auspices of the University must comply with this policy. Ensuring adherence to this Policy, along with the proclamation, regulation, senate legislation and other related policies and guidelines, is crucial for maintaining the integrity and efficiency of the University's operations in research. Failure to comply with the Policy will result in the following consequences:

- 9.1.1** Depending on the nature of the non-compliance, it will bring a loss of the rights given under these or other policies and guidelines.
- 9.1.2** Administrative action or disciplinary measures.



9.2 Compliance shall be regularly monitored through the relevant vice president (and relevant directorates or offices under it), academic units reports, regular audits, and feedback.

10. Reference Documents

This Policy for Research has been developed through a review of existing policies, guidelines, and documentation on Proclamation 1294/23; Regulation 537/23, AAU Senate Legislation 2024, AAU Strategic Plan 2024-28, Research Ethics, Intellectual Property Rights and other relevant documents on research and innovation.

11. Policy Owner

The office of the relevant vice president is the owner and responsible for the implementation and enforcement of this Policy and Guideline.

12. Policy Authority

The authority and approval of this Policy is vested in the Senate and the Board of Governance of AAU.

13. Review and Revision

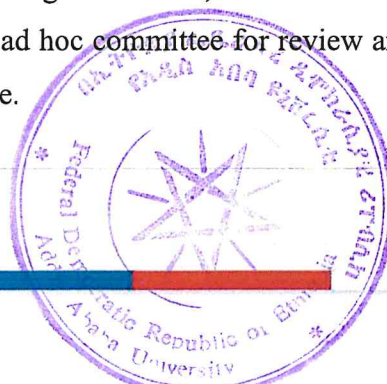
13.1 The Policy shall be reviewed every 5 years

13.2 Notwithstanding rules, procedures and guidelines that may be adopted by the Senate RTTCEC or the concerned VP to further provisions of the Research and innovation Policy, the Policy may be amended based on rules outlined in this section.

13.3 A proposal for the amendment of the Policy may be tabled by a research group, academic unit, or other relevant offices.

13.4 A proposal for amendment should be submitted to the relevant vice president which in turn presents it to the Senate Standing Committee, RTTCEC.

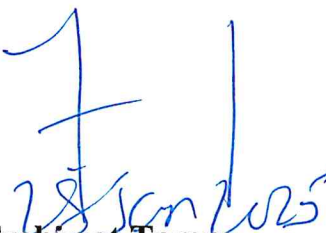
13.5 The Standing committee forms an ad hoc committee for review and decision, and which then advises the Standing committee.



- 13.6 When the committee accepts the proposal, the ad hoc committee will proceed to consultation of wider and relevant stakeholders for possible enrichment of the proposed amendment.
- 13.7 The result will be presented to the committee which will present it for final decision by the Senate.
- 13.8 Colleges/Institutes may draft and approve their own research and innovation policy considering their specific needs. However, such policy shall not contradict this policy. When such contradictions occur, this policy shall override any other research and innovation policies developed by colleges and institutes.

14. Effective Date

This AAU Research and Innovation Policy and Strategy shall come into effect as of December 25, 2024.


Frehiwot Tamru

Chairperson of the Governing Board of Addis Ababa University





