TRINITY UNIVERSITY,
YABA-LAGOS, NIGERIA

RESEARCH POLICY

TRINITY UNIVERSITY DIRECTORATE OF RESEARCH, INNOVATION AND DEVELOPMENT (TUDRID)

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CHAPTER ONE

OVERVIEW OF THE DIRECTORATE

1.1 Preamble

The Trinity University Research, Innovation and Development (TUDRID) is instituted to provide a platform for Sustainable Capital and National Development. It places emphasis on Entrepreneurship, Academic Excellence, Professionalism, Innovation and Community Impact.

TUDRID is constituted to foster a close tie between the academia and the industry with a view to developing solutions to the myriads of challenges facing the industry; integrating entrepreneurial education into the curricular of the University; and creating start-up parks where Faculty, Staff and Students can innovatively exhibit their ingenuity by developing products and patents for Human and National Development.

1.2 Vision

To be the solution hub to technological, political, scientific and socio-economic needs of Nigeria and developing nations in general.

1.3 Aim and Objectives

Aim

- To formulate policies and oversees the implementation of the research activities of the University towards achieving Global, Continental, and National development agendas.

The specific objectives include amongst others:

- To be the Solution-hub for addressing the Sustainable Development Goals (SDGs), the African Agenda 2063 and Vision 20:2020 of the Federal Government of Nigeria.
- To create knowledge and promote innovative approach to conducting research in all fields of human endeavour.
- To provide avenues for regular dissemination of scientific and technological knowledge among scientists, researchers, industries, trades, services and other bodies.

- To provide avenues for fostering a close tie between the Academia and the Industry.
- To provide a platform for Patent Registration, Product Commercialisation and establishment of Cottage industry.
- To create research Clusters/Centres in the University and nurture them towards becoming Global Centres of Excellence.
- To advise Management on Conference support, Journal publications and Product Development.

1.4 The Structure of the Directorate

The Directorate shall have Four Units, namely:

- Research Park Unit
- Intellectual Property and Technology Transfer Unit
- Commercialization Unit
- Publications and Conference Supports

1.4.1 Research Park Unit

The primary purpose of this Unit is to meet the needs of the Industry, foster closer relationship between Town and Gown, herald new inventions for the consumption of the industry.

The Research Park Unit shall develop a framework for interfacing with the industry. This Unit shall also ensure regular business breakfast/lunch meetings where issues of mutual interests are discussed.

The Park shall coordinate technology-based start-ups and business incubation centres to stay in close proximity to the University for Mutual Engagements that turn ideas from the laboratory to products in the marketplace.

1.4.2 Intellectual Property and Technology Transfer Unit (IPTTU)

The IPTTU shall act as the Intellectual Property and Technology Transfer Office (IPTTO) for the University. It shall be the patenting office for Inventions and Products from the University and other research institutes and individual researchers.

1.4.3 Commercialisation Unit

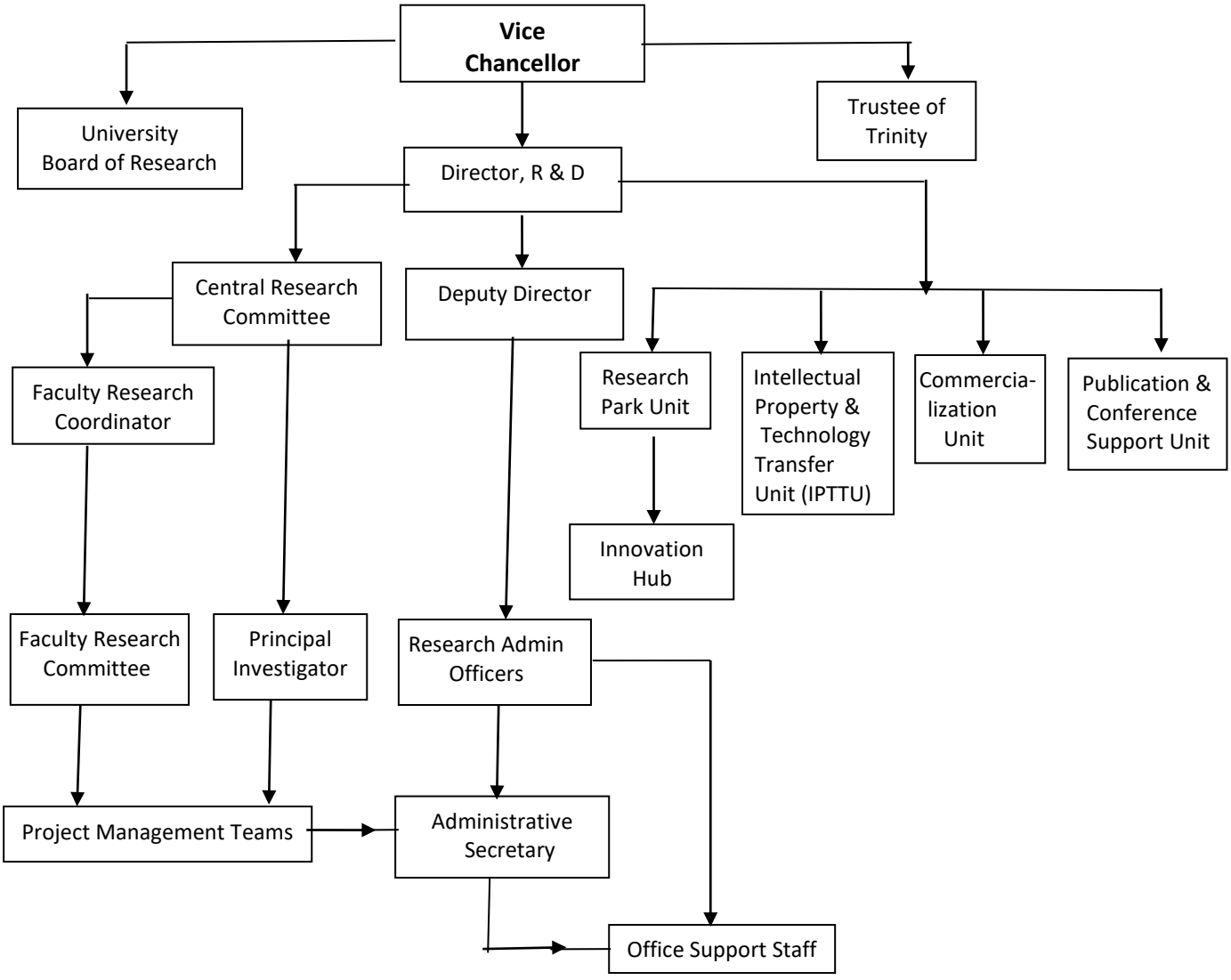
Arising from the IPTTU and the Research Park Unit, this unit shall be responsible for negotiating and creating commercial avenues for all the products

of the University. Also, it shall work in tandem with the Trinity University Consult to create investment-friendly policies in the interest of all parties.

1.4.4 Publications and Conference Supports

All academic staff and students have a responsibility to engage in research activities. This Unit will provide necessary support to ensure such activities are conducted within ethical, professional and legal frameworks and comply with the highest standards of integrity. It will also support the dissemination of research outputs through publications and conferences. The Unit will provide a conducive environment for the sharing of good practice in research.

1.5 Organizational Structure



1.5.1 University Board of Research (UBR)

Membership and Frequency of Meetings

The membership shall be:

a. Vice-Chancellor (Chairman)
b. Director, R&D
c. All past Directors of R&D
d. Director, Academic Planning and Quality Assurance Unit (APQAU)
e. Two (2) Professors from TRINITY (nominated by the Vice-Chancellor to serve a one-term of 4 years)
f. Registrar (Secretary)

Note: The UBR shall statutorily meet once every quarter of the year. All school coordinators and **TUDRID**'s administrative secretary shall be in attendance.

Terms of Reference

The terms of reference of the UBR shall be to:

- Advice the Vice-Chancellor in matters related to research and development
- Oversee the activities of the Central Research Committee (CRC)
- Provide technical expertise for the preparation and oversight of R&D strategic plans
- Monitor the ethical standard of research and other project implementation activities
- Promote research capability of staff by identifying gaps and by setting priorities
- Provide an enabling environment for the conduct and development of research at TRINITY

1.5.2 Director, TUDRID

a. Appointment of the Director

i. The Vice-Chancellor shall appoint a Director for TUDRID from among the Professors in the University to serve for two (2) years in the first instance, renewable for another term of two (2) years and no more.
ii. The Director so appointed shall be a seasoned academic with outstanding record of research output; who has also demonstrated leadership capabilities.
iii. In exceptional cases, the Vice-Chancellor may appoint a person below the rank of a Professor, but not below the rank of a Senior Lecturer; as acting Director for a period of one (1) in the first instance, but not longer than two (2) years.

b. Responsibilities of the Director

The Director shall be responsible to the Vice-Chancellor. He shall:

i. Administer the Directorate for TUDRID day to day.
ii. Provide technical headship to the Directorate.
iii. Coordinate all internal and external R&D activities of the University
iv. Lead the implementation of R&D Strategic Plans of the University
v. Ensure compliance with Research Policy, operational guidelines and regulations of the University
vi. Coordinate the activities of the Central Research Committee (CRC), University's Ethical Review Committee (UERC) and the Innovation and Patenting Committee (IPC)
vii. Coordinate the activities of the RPU, IPTTU, Commercialization Unit and Publication and Conference Support Unit.

1.5.3 Central Research Committee (CRC)

Membership and Frequency of Meetings

The members shall be:

i. Director, R&D (Chairman)
ii. Deputy Director
    The Vice-Chancellor shall appoint a Deputy Director to serve for two (2) years in the first instance, and may be renewed for another term of two (2) years and no more (except in special circumstances, the appointment shall be from among serving members of the CRC).
iii. Faculty coordinators (normally a Professor but not less than a Senior Lecturer from each school of the University). The coordinator shall be appointed by the Vice-Chancellor to serve for a period of two (2) years and may be re-appointed for another term of two (2) years and no more.
iv. TUDRID's Administrative Secretary (Secretary).

Note: The CRC shall meet bi-monthly. All Research Officers at TUDRID shall be in attendance.

Terms of Reference

The terms of reference of the CRC shall be:

- Assist the Director to implement TUDRID's annual Work plan
- Support the Director in the day-to-day administration of the Centre
- Support the implementation of TRINITY's R&D policy, guidelines and Research Strategic Plan
- Consider, review applications for research grants and effects reports forwarded from School Research Committees (SRCs)
- Interface with the University's Ethical Review Committee (UERC) and the Innovation and Patenting Committee (IPC) in the discharge of their responsibilities.

Note:

a. All proposals for TRINITY- administered research grants shall be submitted in the first instance, to the School Research Committee, which will recommend to the Central Research Committee (CRC)
b. Application for externally funded research shall be processed through the Director of TUDRID to the Vice Chancellor for his consent and further necessary actions
c. CRC shall review, approve or return applications (as the case may be). All approvals or amendments shall be processed to Principal Investigators/Project coordinators through the Directorate of TUDRID
d. Principal Investigators/Project coordinators shall send revised versions of such applications to the Director for final consideration and approval of TUDRID
e. Principal Investigators/Project coordinators shall forward completed Grant monitoring forms and effort reports to Director for consideration, noting approval of TUDRID as the case may be.

1.5.4 Faculty Research Coordinators (FRCs)

Each Faculty and Department in TRINITY shall have a Research Coordinator to represent the Faculty in the Central Research Committee. As stipulated above, Faculty Coordinators shall be appointed by the Vice Chancellor (normally a Professor, but not less than a Senior

Lecturer). The Coordinators shall be responsible to the Director of TUDRID, and directly coordinate all R&D activities at the School level under the Dean's supervision.

Responsibilities of Faculty Research Coordinators

- Assist the Director to implement TUDRID's annual Work plan at the Faculty level
- Coordinate R&D activities at the Faculty level
- Interface between CRC and Project Implementation Teams and provide due feedbacks
- Cascade TUDRID's administrative process to Principal Investigators
- Consider and recommend applications for research grants and effort reports from Faculties to the CRC
- Encourage compliance with TUDRID's policy, ethical guidelines and other regulations at Faculty level
- Monitor research effort, drive due diligence and prompt reporting of research activities at Faculty level.

1.5.5 Faculty Research Committees (FRCs)

The members shall be:

i. Faculty Coordinator (Chairperson)
ii. Departmental representatives (one from each department in School). The Representatives shall be appointed by their respective Boards to serve for a period of two (2) years, renewable for another term of two (2) years and no more
iii. Secretary (one of the Departmental representatives shall be appointed to serve as Committee Secretary).

Terms of Reference:

The terms of reference of the FRCs shall be to:

- Coordinate and recommend applications for research grants and effect reports from Faculties to the CRC
- Support the Faculty Research Coordinator in discharge of his responsibilities (as listed above).

1.5.6 IPTTU/Commercialization

Preamble

Trinity University believes in the role of innovation in the advancement of economies. The University's Innovation and Patenting Committee (IPC) is therefore charged with the responsibility of ensuring that innovation is encouraged across the entire research landscape of the University.

Membership and Frequency of Meeting

The membership shall be:

i. Director, R&D (Chairman)
ii. Deputy Director
iii. Academic staff from each Faculty in TRINITY that are part of the TRINITY innovative Hub
iv. Two (2) nominees of the Vice Chancellor
v. Secretary (one of the members shall be appointed to serve as Secretary).

Objectives of the IPTTU/C

The objectives of the Innovation and Patenting Committee are as follows:

i. Identify innovations generated from research projects carried out within the University for their worth, using national and international criteria;
ii. Evaluate innovations generated from research projects carried out within the University for their intellectual property and copyright values;
iii. Review and adapt innovative research ideas, products and processes emanating from TRINITY Innovation Hub and Community liaisons and indigenous knowledge data base of TUDRID;
iv. Assist researchers in patenting and copyrighting procedures; and
v. Protect innovations, intellectual property, copyrights and trademarks of researchers in the University.

1.5.7 Project Management Teams (PMT)

Membership and Frequency of Meetings

i. The PMT shall comprise members of a research project, irrespective of their institutions or affiliations who are charged with delivering the outcome of the research.
ii. Members of the PMT shall be key contributors to the research and project sourcing and shall be appointed by the Director R&D in case of University research and nominated to the Director R&D by the research team, in the case of other projects. Numbers of members shall be as necessary for each project.
iii. The PMT of a project shall be dissolved at the end of a project period.
iv. The Principal Investigator or Project Director shall act as the leader of the PMT and where this position is not clearly defined, the Director R&D shall appoint a member of the PMT as the Team Leader.

Note: The PMT shall meet as often as the project demands.

Terms of Reference

The terms of reference of the PMT shall be to:

- Manage the research activities as approved by the funding agency
- Deposit copies of the proposals, letter of agreement or contractual letter as well as all technical report on the project to the TUDRID at end of the project.

CHAPTER TWO

RESEARCH POLICY, INTELLECTUAL PROPERTY RIGHTS, COMMERCIALIZATION AND CONFLICT OF INTEREST

Trinity University Management has adopted and ratified the following policies, which come into operation from the 10/01/2019. The policies are legally binding and remain valid until reviewed or amended. The policies are copyright protected. The policy thrust deals with intellectual property rights (patents, copyrights and technology transfer), collaboration with institutions, organization and external individuals. In addition, it highlights conditions for shared patent, copyrights and commercialized products.

The policies are as outlined below:

2.1 TRINITY UNIVERSITY RESEARCH POLICY:

The Trinity University Directorate of Research, Innovation and Development (TUDRID) was instituted to provide a platform for Sustainable Capital and National Development. It places emphasis on Entrepreneurship, Academic Excellence, Professionalism, Innovation and Community Impact.

TUDRID was constituted to foster a close tie between the academy and the industry with a view to developing solutions to myriads of challenges facing the industry; integrating entrepreneurial education into the curricular of the University and creating start-up parks where Faculty, Staff and Students can innovatively exhibit their ingenuity by developing products and patents for Human and National Development.

i. **Affiliation**: All categories of students and faculty must in their research and other scholarly publications use Trinity University as an affiliated university. This applies to studies and creative arts, innovation and patents whether done in Trinity University or elsewhere in as much as you remain a student or faculty of the University.
ii. **Patents**: All students and faculty with patentable materials are required to file their applications for patents through the IPTTO in Trinity University at no cost. The inventor(s) and Trinity University will jointly own the patent on award in line with the commercialization policy. Where an external body is involved in the research with the University, both Organizations will own the Intellectual property rights together with the team of investigators, as shall be agreed on in the MoU or other legal documents. Where external funding was used for the research, such shall be declared at the onset and the conditions of ownership agreed.
iii. **Research clusters**: Membership has no limit and no boundaries, however, not more than ten (10) persons and not less than four (4) should constitute a research group investigating a research topic. Each research study group shall have a Principal Investigator and an Assistant Principal Investigator. Research proposals from the clusters are to be forwarded through the Cluster Leader to the Director, Research, Innovation and Development following approved format.
iv. **Research funding**: This shall be solely through the cluster system. The Cluster Leader shall be responsible for monitoring and accounting for the progress of the study, while the Principal investigators take responsibility for the integrity of the

work. The Principal investigator is accountable to financial services on fund disbursed and TUDRID notified. Procedure for accessing fund is available at TUDRID.

v. **Conference support**: Conference support requests on cluster basis that have met the Thomson Reuters/CPCI and Scopus requirements will be supported after a similarity and integrity checks have been performed.
vi. **Conference support outside clusters**: This must meet the current requirements for funding. The procedure should be accessed from TUDRID office. Supervisor's endorsement and the HoD's recommendations are required for onward processing to TUDRID.
vii. **Attendance**: Faculty members shall be sponsored to attend only one local conference per academic session in line with local conference support policy.
viii. **Specialized training:** training on critical areas of technology for technologist and faculty shall be funded on HOD's recommendation and justification.
ix. **Exhibitions**: The University shall fund fully all University/industry-based exhibitions as may be considered necessary from time to time. ix. Commercialization policy: products/inventions for commercialization shall be implemented as advised by the Commercialization Unit and approved by Management.
x. **Acknowledgements**: Faculty members are expected to acknowledge TUDRID for support funding for the research work in all their publications. This is important as the University through the Centre supports conference attendance, publication fee in recognized outlets and fund cluster-based research works. Where research grant is obtained, the grant name and number should be indicated in the acknowledgement. Where fund was accessed from other sources this also should be clearly stated.

2.2 INTELLECTUAL PROPERTY RIGHTS:

The TUDRID IPTTO non-refundable application form: Prospecting external candidates will purchase a TRD-IPTTO P01 form at a non-refundable cost of N30,000. Faculty and Staff of the University prospecting to patent their products will obtain and fill TRD-IPTTO P02 form at no cost.

i. **Copyright form**: A non-refundable sum of N10,000 TRD-IPTTO NC01 application form will be obtained and completed for all categories of applicants.
ii. **Patent search fee**: External applicants will pay an administrative processing fee for initial search and validation of the novelty of their claims for every filed patent application. The processing fee of N50,000 is certified on TRD-PTF01 form and receipt of payment issued.
iii. **Patent processing fee (Outsider):** On validation of the search results, successful applicants will pay advanced patent processing fee of N100,000 per application (TRD-PTF02). This applies to external application only.
iv. **Patent processing fee**: 70% of the processing fees will be paid by the applicants if the invention is not jointly owned with the University. This application shall be processed on TRD-PTF03 form.

v. **Ownership**: All Trinity University Students, Staff, or Faculty wishing to file application for patent shall do so jointly with the University.
vi. **Copyright registration fee**: Copyrights application fee of N50,000 shall be solely of the applicants and the TRD- IPTTO NC02 form completed by the applicants.
vii. **Duration of registration**: The duration for registration of Copyrights application is minimum 1month.
viii. **Duration of processing**: The duration for processing of patent application to acceptance or rejection level ranges from 3-6 months. The award of the patent may take up to 1 year depending on the traffic at Patent Registry.
ix. **Responsibility**: On payment of the necessary fee, the University will bear the burden of facilitating the patent processing and bear the accruing financial responsibility without additional charges on the applicant.

2.3 PRODUCT COMMERCIALIZATION:

Product commercialization by the University shall be based on:

i. Joint ownership of intellectual property (patent or copyrights) by the researcher and the University.
ii. Perpetual earning by the researchers from the product.
iii. The product must be profitable, safe and beneficial, with a verified working prototype.
iv. New or improved version of an existing market brand.
v. Confirmed safe and not likely to lead to litigation on commercialization.
vi. With mutually signed agreement between the University and other stakeholders of the product.
vii. With approval or likely approval by relevant Government Agency.

Procedures for seeking university's sponsorship for the commercialization of products shall include, but not limited to the following:

i. The inventors/innovators/creator of a research product shall collect and fill an application form from the relevant University unit charged with the responsibility of commercialization.
ii. He or she shall submit the completed form to the relevant unit with a brief statement showing the following:
    a) How the idea was generated.
    b) How the idea was screened.
    c) How business analysis was conducted to ascertain the profitability of the product.
    d) The prototype as evidence and how it was developed
    e) How the market for the product was initially tested.
    f) Plans for commercialization.
iii. Before recommending any product for commercialization to the University, the unit concerned must have consulted relevant experts and agencies to ascertain the veracity

of the claims by the inventor/innovator/creator and the fitness of the product for commercialization.

iv. The product that meets the conditions of commercialization shall be recommended by the relevant unit for approval by the University Management.
v. Any product approved by Management for commercialization shall require the guidance of the inventor in setting up the production process.
vi. Any inventor/innovator/creator whose product is considered worthy of commercialization shall sign a memorandum of understanding (MOU) with the university and this will be guided by the content of this policy document.
vii. The MOU is void in the event of force-majeure or death of the product.

The following Offices in TUDRID shall be responsible for Commercialization of products. The functions of these Offices are coordinated by the Commercialization Unit of TUDRID.

They are:

1) **Technology Development Office (TDO)**

The functions of the TDO shall include, but not limited to the following:

i. Testing the technical feasibility of the product.
ii. Ascertaining the environmental impact of the product.
iii. Confirming the safety of the product content.
iv. Ascertaining the availability of the engineering components of the parts and prospects of continuity in production.
v. Liaising with relevant government/and non-government agencies.
vi. Determining value addition/strong edge for competition.

2) **Market Research Office (MRO)**

The functions of MRO shall include but not limited to the following:

i. Conducting in-depth business analysis to ascertain the feasibility, profitability, and other relevant issues about the product.
ii. Conduct extensive test-marketing of the product to ascertain the existence of customers and the possibility of patronage.
iii. Maintain market surveillance and intelligence for the product.
iv. Play advisory role to the marketing team regarding market developments of the product.
v. Any other functions incidental to the unit.

3) **Investment Office (IO)**

This shall primarily be the Strategic Business Unit (SBU) of the University or any other Unit as the University shall appoint on one hand, and on the other hand, any other investor the University may approve. The funding of the production and related activities shall be done by the Financial Services Unit from a designated account.

The functions of IO shall include but not limited to the following:

i. Marketing of the products.

ii. Any other functions relating to the management of the business and the products.

2.4 CONFLICT OF INTEREST (CoI)

Conflict of Interest and Resolutions are imperative in cases where Research Grant involves different institutions and parties. From a legal standpoint, CoI must be resolved amicably within the institutional policies amongst the collaborating parties or partners.

Generally, CoI may arise between investigators or any counter-party on a project before an application or award progresses.

Listed below are some of the issues of concern:

Conflict of Interest may arise in form of:

1. **Financial Interest**
2. **Legal Interest**
3. **Perceived or Perceivable Interest**

Thus, resolving conflict is important in order to avoid negative influence in the design, conduct or reporting or other relevant research projects.

1. **Financial Interest** describes a situation where one or a few of the parties involved have received, or in the case of Equity Instruments, have held, or are still holding, in the last 1 year, aggregate remuneration, payments, values, bursaries or other funding from other Grant Awarding Bodies, which are in excess of US $ 4,000.
   An Equity Instrument means a shareholding, holding of other securities or debentures or loan monies on any terms or any option or other right to obtain the same, whether subject to performance conditions or not.

2. **Legal Interest** describes a situation where there is a Legal Responsibility which arises presently, in the last 1 year or where there are arrangements in place which will arise (whether formally under a contract or informally on the basis of an understanding) within the next 6 to 12 months.
   A Legal Responsibility includes: fiduciary Responsibilities (cover directors or trustees of an organisation, trust or other body); Responsibilities which arise under legal documents (powers of attorney and confer powers upon you and family members.

3. **Perceived or Perceivable Interest** describes an Interest in any **Counterparty** to the grant application or project which a reasonable person may, now or in the future, perceive to exist and which relates to past, present or future relationships with a **Counterparty**
   This may not take the form of Legal Interest or Financial Interest, and which may result in any benefit (other than normal and continuing employment benefits provided by an employer) accruing to you or other Related Parties**.**

Definition of Terms:

1. **Related Parties** refers to you or your family members.
2. **Counterparty** refers to any funder, sponsor, collaborator, main contractor or sub-contractor or any consultant to, agent, director or shareholder of any of such parties of the grant.
3. **Connected** means that you or your family members being employed as a director or consultant or otherwise engaged in any capacity.

CHAPTER THREE

RESEARCH ETHICS AND INTEGRITY POLICY

3.1 Governance

The University has established a framework for the governance of research ethics and integrity in which the Trinity University Research Committee (TURC) reports to the Senate and has responsibility for the oversight of relevant ethics and integrity issues arising from research, the formulation of relevant policies, and the consideration of significant or complex issues arising from particular research.

The Research Ethics Committees is a unit of TURC and it has the responsibility of the operational review of ethical issues arising from research proposals, auditing and monitoring compliance, and disseminating good practice.

This Policy should be read in conjunction with the University Policies Research Policy, Intellectual Property Rights, Commercialization and Conflict of Interest. In cases of conflict between this policy and another, this policy will prevail for matters directly relevant to its remit.

3.2 Scope and Purpose

All staff, students and collaborators/partners of the University have a responsibility to undertake quality research activities with the highest possible standards of integrity and practice. This policy applies to all academic staff as well as post graduate research students who are engaged in research projects at any level.

The 'Research Ethics and Integrity Policy' outlines the standards for research and the responsibilities of those involved. This is designed with strict adherence to high-level of standards, ethical, legal and professionalism that follow international best practices.

Where collaborative research is undertaken in conjunction with a third party, all parties are expected to comply with the ethical codes in place at the collaborating institutions or organisations. The University Policy shall prevail in the absence of such policies in the partnering institutions.

3.3 The Principles

The University has an obligation to ensure that:

1. Research complies with:
    a. statutory requirements of the institution and country in general;
    b. applicable national and international codes of ethical practice;
    c. guidelines set out by relevant professional bodies; and
    d. University policies relating to donations, gifts, hospitality and the Anticorruption, Bribery and Fraud Policy.
2. Research is conducted in a way that safeguards the health and well-being of those conducting or participating in the research or who may be impacted by the research.

Wherever possible, risks should be identified in advance so that they can be evaluated, monitored and appropriately managed.

3. Findings from research are published and disseminated appropriately
4. Those conducting research:
    a. Are impartial.
    b. Are independent.
    c. Are as transparent as possible in declaring funding sources.
    d. Have been appropriately trained.
    e. Give consideration to the commercial, political, cultural or ethical sensitivity of particular types of research.
    f. Declare offers of donations, gifts and hospitality in accordance with the expenses, benefits and the Anti-Corruption, Bribery and Fraud Policy.
5. The dignity of those participating in or a subject of the research is respected – including:
    a. opportunity to consent to participate, withdraw from or refuse to take part in projects;
    b. ensuring that participation is on the basis of fully informed consent;
    c. maintaining confidentiality;
    d. safeguarding the security of data – including anonymisation, future use and disposal of data as appropriate; and
    e. due regard for the vulnerability of any individual or group – including children, young people and vulnerable adults.

3.4 Consideration of ethical approval

Every research endeavour requires an initial assessment to determine whether or not ethical approval is necessary and the level at which that approval is required: Supervisor, Faculty or University.

Where required, ethical approval must be secured before any data collection is started. Where personal data (as defined in the General Data Protection Act 2018) is to be collected or otherwise processed for the purpose of the research, then ethical approval must be secured in advance.

The University's Data Protection Policy applies in respect of the processing of personal data for research purposes.

See Appendices I and II for the appropriate approval forms to be filled.

3.5 Rejection of ethical approval

The terms of rejection and approval are stated in the forms.

3.6 Monitoring Compliance

a. The University will undertake appropriate monitoring of research-related activity to ensure that appropriate and effective use of the ethical approval process is being made.
b. The University will undertake appropriate monitoring of research projects that have received ethical approval to ensure compliance with the initial approval.

3.7 Suitability of funders/collaborators

The University's policy is that it does not knowingly collaborate with, or accept any monies from, sources of funding where the aims of the bodies concerned:

a. are illegal under UK law
b. are contrary to the research, education or wider aims or objectives of the University
c. may damage the reputation of the University.

For further information visit:

www.trinityuniversity.edu.ng/research_policy

CHAPTER FOUR

MANAGEMENT OF RESEARCH GRANT

4.1 PREAMBLE

As a critical aspect of research, financial accountability and data integrity shall be given high priority by the University. All grants funded by Trinity University, Lagos, or external sponsors are offered in accordance with the deed of agreement between the sponsors and the Trinity University, Lagos/ individual recipient.

4.2 REQUIREMENTS FOR DISBURSMENT OF FUNDS

To access funds, grant recipients are required to complete administrative forms designated by TUDRID, in addition to an application to the Bursar through the Director R&D. Previous amount released must be properly retired before new applications or further request are considered. In the case of external grants, the release and retirement will depend on the agreement reached by the parties involved.

4.3 ACCOUNTABILITY AND EFFORT REPORTING

Grant awardees must give due diligence to promptly complete all administrative forms/templates stipulated by TUDRID at every stage of the research: application, progress report, final report. Honest and timely information on funding and data must be provided at specified intervals throughout the research lifecycle. All such report must submit progress reports to the Central Research Committee through the Director, TUDRID as stipulated in the guidelines. All financial retirements must be accompanied with original receipts/invoices (local or foreign). Default in submission or adherence to CRC's financial and reporting guidelines would attract commensurate sanctions from TUDRID, Bursary and the University Management.

4.4 RESEARCH GRANT AND VARIATION

Sometimes, due to prevailing circumstances, the amount awarded may be insufficient to complete the project. In this case, a special request for more support may be made by the Principal Investigator to the Director. All such requests must be substantiated with hard evidence, while it should be noted that TUDRID reserves the right to approve or reject such request.

4.5 FINAL REPORT AND PRESENTATION

Both progress and final reports shall be submitted at the specified time. Final research outcomes must be submitted both as bound full-test and poster summary. Full test report must be submitted to the Director R&D not later than 60 days after completion of the research. TUDRID could also call any of the Principal Investigators to make a public presentation of research findings as occasion demands.

4.6 ROLE OF THE PRINCIPAL INVESTIGATOR IN RESEARCH MANAGEMENT

The Principal Investigator has overall duty for both the fiscal and technical management of any sponsored research. He must be actually involved in the conduct of the research, data management, effort reporting, publication and presentation of research outcomes. He has the responsibility of managing the project within funding limitations and to report the progress of

the work, from time to time, to sponsor(s). The financial report and the outcome of the project must be made known to the sponsor at the specific time or when there is need to do so. He/she is expected to effectively manage the fund of the sponsored research and must be in line with the budget approved by the sponsoring body. On the other hand, the University requires all the Principal Investigators to review, from time to time, their expected obligations for stewardship of approved funds and must comply strictly with applicable regulations. Any default in this regard would attract appropriate sanctions. In case of special circumstances whereby the PI cannot take personal responsibility for the research, the Director of TUDRID must be notified in writing.

4.7 BUDGET FOR SPONSORED PROJECTS

Accurate budgeting is expected from all the Principal Investigators. Some of the items that must be reflected in this part of the project are:

- List of specific requirements and their costs;
- The consistency of these requirement;
- The reliability of the costs; and
- Justification of these requirements.

4.8 RESEARCH TIME EXTENTION

Sometimes, additional time may be needed to complete a project. The Principal Investigator is obliged to request for such an extension of the award from the Director R&D. request for extension is the prerogative of the Principal Investigator. He/she is expected to initiate such an extension and process properly in accordance with the terms of the sponsored research award.

4.9 OTHER RESEARCH FUNDS

Other sources of research funds that could be explored include: industrial linkages, international and some national supporting agencies, international and national supporting agencies, international institutional linkages and friends of the University. In case of externally funded research, awardees are expected to liaise with TUDRID for noting and administrative support.

4.10 AWARDS AND INCENTIVES

Staff members are encouraged to attract external research funds. Appropriate incentives shall be given to such staff members. Best Researcher Award shall be given annually to encourage deserving academic staff. There shall also be a prize for the Best Researcher of the year at the Faculty level. The details of criteria for selection of nominees and the type of awards are as determined by the University Awards Committee.

Researchers shall be allowed to propose an effort-charge (especially internally funded research). It shall be an amount not exceeding 2.5% of the total sum; in a budget line acceptable to the Central Research Committee (CRC).

4.11 INTELLECTUAL PROPERTY POLICY

Appropriate guidelines in line with international best practices shall be adhered to in recognizing and apportioning intellectual property rights and copyrights. Issues bordering on plagiarism would be appropriately handled using standard disciplinary processes existing in

the University. Possession and ownership of copyrighted works as well as patentable inventions would be handled by the University Intellectual Property Office under the supervision of the Vice Chancellor's office.

CHAPTER FIVE

FRAUD AND CONTROL POLICIES

5.1 PREAMBLE

As a university that was founded on scrupulous corporate governance principles and global ethical standard considerations, we owe it as a responsibility to the stakeholders including endowment and grant awarding bodies to prevent, detect and control fraud in all our dealings based on international best practices.

Objectives of Fraud Policy:

i. To safeguard the university's assets
ii. To maintain the reputation and brand equity of the University
iii. To instil the culture of transparency and honesty among staff and students
iv. To implement a system that detects, reports and take appropriate actions on frauds
v. Provide a standard framework for fraud prevention and detection

5.2 THE POLICY

1) All students, staff and members of the Governing Council of the university in their dealings with third parties whether within the university environment or not must be fair, transparent and honest.
2) Staff must scrupulously adhere to internal control procedures as established by the University.
3) Staff and students with information on fraud in any ramification should report this to the Head of Internal Audit.
4) Any established fraud committed against the university after detailed investigation by any staff or students must be disciplined according to the staff handbook or prosecuted in the law court to serve as deterrent to others.

5.3 FRAUD INVESTIGATION

The following procedures are to be followed for fraud investigation:

1. Staff and students are encouraged to report suspected fraud, irregularities and compromises to Head of internal Audit or the Registrar of the University anonymously
2. Within 16 working hours, a committee to investigate the allegation must be set up by the Vice Chancellor to be made up of:
    a. The Registrar (or representative)
    b. Head of Internal Audit
    c. The Bursar

3. Where the Registrar or any of the committee member is alleged to be involved in the fraudulent act, they are not to participate in the investigation. They should be replaced with the Vice Chancellor or the Head of Disciplinary Committee
4. The investigating Committee should determine among others:
    a. Whether the matter should be reported to the Police
    b. Whether expert opinion is required

c. Whether the staff or student involved should be suspended during the period of investigation
d. Investigation and fair hearing must strictly be adhered to in line with staff and students' handbook
e. The committee should make recommendations to prevent future occurrence
f. Determine the extent of the fraud and implications on insurance claim
g. Recover losses where possible
h. Document how the fraud was perpetrated, reasons for the fraud and recommend how such occurrence will not happen in future

5.4 PROCUREMENT POLICY

1. Goods and services must be procured in a transparent and competitive manner to engender fair prices for the university.
2. Procurement must be in line with approved budget
3. Department or units making a request for goods and services as approved in the Budget will send approved requisition to the Purchasing Department
4. Purchasing department will collate requests and submit to Tenders' Board for goods and services with value more than N1million
5. For internal suppliers, there is no need for Tenders' Board but prices must be compared with a least 3 quotations from external suppliers
6. The Tenders' Board is responsible for reviewing quotations from selected suppliers and conduct negotiations for maximum value to the University
7. However, in certain circumstances it may be expedient to procure from a sole supplier if it is the only one available or in cases of emergencies
8. Procurement of goods and services for special funds e.g. endowment or grant must adhere strictly to the procurement requirements of the funds
9. Employees must disclose in writing conflict of interest in procurement

5.5 FINANCIAL CONTROL

5.5.1 Procurement Controls

1. Internal controls on procurement focus on requisition approval, receiving, recording and reconciling of purchases.
2. The requisitioning department must be separate from receiving department who must report to different heads
3. When goods procured are received, the goods must be inspected to be in good condition and in agreement with the purchase order
4. Damaged items and incomplete items must be recorded and the supplier notified immediately in writing
5. A copy of goods received notes must be forwarded to the Accounts department as source document for payment to the supplier
6. Supplies not effected within the term of the purchase order must not be received into store until it has been validated by the Tenders' Board
7. For goods and services provided, suppliers invoice is sent to Accounts department for payment. Supplier invoice is reconciled with the Purchase order, goods received note from Store before payment can be effected

8. Accounts department must confirm that all purchases made were approved in the budget
9. The records of all procurements must be kept for a minimum of 5 years. However, for sponsored procurements e.g. grants, records must be kept in line with sponsored requirements and tagged appropriately in separate files
10. Accounts and internal audit department to scrupulously check for contract of purchase for splitting of items to avoid the competitive bidding requirement which is a serious policy infraction. This must be reported and appropriately sanctioned.

5.5.2 Reimbursement and Advance Controls

1. TU will reimburse reasonable and necessary expenses incurred in respect of approved travels and expenses.
2. Reimbursement request must be supported with receipt which must fall within the approved travel period and destination and expenses period.
3. Where expenses incurred during travels are not receipted, a memo detailing the amount and reason(s) why it was not receipted to be submitted. This is limited to amount less than N10,000.
4. Where approved expenses are not receipted, a memo detailing the expenses and the reason(s) why it was not receipted submitted to the Supervisor.
5. Where receipts are lost, a memo to that effect must be submitted.
6. It is advisable that immediately receipts are received during travels, or expenses incurred, a snapshot should be taken to take care of lost receipts.
7. Reimbursements relating to sponsored project must be separated and kept in a file identified by sponsor's name.
8. Where advances are collected before travels, it must be retired within 5 working days on the return to work and unutilised balance must be lodged to the bank immediately. This policy is also applicable to expenses.
9. Employees are entitled to Per Diem Allowance based on grade.

APPENDIX I

For Official Use Only

Ref. No.:

1, FFF Road, Off Alara Street (Beside Queen's College)
Yaba, Lagos State, Nigeria

Trinity University Health Research Ethics Committee (TUHREC)

ETHICS REVIEW PROTOCOL FORM (FORM TUHREC 001)

Undergraduate/Postgraduate Investigator

Information Page

Each student is expected to fill this, even under the same supervisor. Also, for group research, information for all the students must be provided **separately.**

FACULTY SUPERVISOR:

Name

Department (Unit):

Phone:

Email:

STUDENT(Undergraduate/Postgraduate) Please delete as appropriate:

Name:

Mat No.:

Department:

Email:

COURSE:

Course Title:

Project Title:

Course Code:

Course Start Date (Plausible)[DD/MM/YY]:

Course Completion Date (Plausible)[DD/MM/YY]:

PARTICIPANTS GROUP VULNERABILITY AND RESEARCH RISK:

Any pre-existing physiological or health conditions, cognitive or emotional factors, and socio-economic or legal status of participants will **not** be impacted, in any way, by this study. Risk to participants that would be engaged in this study is considered to be proportionate to student experience and pedagogical goals, with appropriate levels of responsibility and supervisor oversight.

Risks relating to physiological or health issues, cognitive or emotional factors such as stress or anxiety during data collection, and socio-economic or institutional ramifications such as stigma, loss of student status (suspension or withdrawal), or criminal investigation are **not** indicated by this study. This undergraduate/postgraduate research involves *minimal risk*, which means that the probability and magnitude of harm due to participation in the research is no greater than that encountered by participants in their everyday lives.

CO-INVESTIGATORS:

HOST SITES:

Indicate the location(s) where the research will be conducted:

Institution (if applicable):

Town/City Country(ies):

Other ☐ _____(specify site(s)

Note:

The investigator(s) are required to seek appropriate approval/consent of required institution/facility/Municipal authority for the conduct of the research/investigation.

Where approval(s) exist, it will be required for submission alongside this application.

BACKGROUND, PURPOSE, AND OBJECTIVES:

Briefly describe the pedagogical goal and scholarly motivation for the project.

Background:
Purpose of the study:
Study objectives:
Expected outcomes:

METHODS AND DATA:

- Describe sequentially, and in detail, all procedures in which research participants will be involved (e.g., clinic, laboratory, formal interview or tests), if research takes place in a controlled environment.
- Describe the setting, the types of interactive and observational procedures to be used, and the kinds of information to be collected, if the research involves naturalistic or participant observation.
- Describe the original source of the data and measures that have been taken to protect data subjects' identities, if the research involves secondary analysis of previously collected data.
- Describe the student's relevant past experience, or the nature of any supervision they may receive, if the project involves using specialized methods with participants.

N.B. Attach a copy of all questionnaires, interview guides or other test instruments.

Study area: (provide exact name, and geographical co-ordinates)

Subjects: (provide approximate population size; population stratification)

Study duration: (provide start and end dates – month and year)

Materials: (provide all materials to be employed for the study.

Sample collection: (provide information on the type of materials (cell, tissues) to be collected. Also provide collection methods and preservation before use), and the region of the subject body to access for these materials.

Others: (provide using appropriate subject headings on other tests, and procedures, and any information relevant to the study that will provide the complete picture of the study and facilitate decision on the study)

Data collection: (provide information on the method of data collection tool. Where it involves the use of a questionnaire, a copy of the questionnaire should be attached to this application)

Data analysis: (provide the appropriate statistical tool(s) to be employed for the analysis of the study data. Also provide the version and operating system (OS), where a software is to be use)

PARTICIPANTS, INFORMANTS, OR DATA SUBJECTS:

Describe the individuals whose personal information is to be used as part of the assignment (i.e., in terms of inclusion and exclusion criteria, especially where active recruitment is involved). If the assignment involves working with a vulnerable population, describe the student's relevant past experience, or the nature of any supervision they may receive.

[Provide using the Text Box Tools Tab, a quote from the document or the summary of interesting points.]

Where formal recruitment is required, describe how and from where the participants will be recruited. Where participant observation is to be used, explain the processes and procedures of integrating the researcher into the research setting (e.g., living in a community, visiting on a bi-weekly basis, etc.). Where applicable, explain any non-research relationship between the student and the research participants (e.g., teacher-student, manager-employee, nurse-patient).

N.B. Attach a copy of any posters, advertisements, flyers, letters, or telephone scripts to be used for recruitment.

[Provide using the Text Box Tools Tab, a quote from the document or the summary of interesting points.]

Indicate if the participants might experience any of the following risks:

(a) Physical (e.g., bodily contact, administration of any substance)? Yes ☐ No ☐

(b) Psychological/emotional (e.g., feeling embarrassed, anxious, upset)? Yes ☐ No ☐

(c) Social (e.g., possible loss of status, privacy, reputation)? Yes ☐ No ☐

(d) Is there any deception involved (see "Debriefing", below)? Yes ☐ No ☐

(e) Are risks to participants greater than in their everyday life? Yes ☐ No ☐

If you answered **Yes** to any of the above, please explain the risks, and describe how they can be managed, and how they are proportionate to student experience and pedagogical goals.

[Provide using the Text Box Tools Tab, a quote from the document or the summary of interesting points.]

Discuss any potential direct benefits to the participants from their involvement in the project. Comment on potential benefits to the student, the scholarly community, or society that would justify involvement of participants in this study. (See the note on courtesy copies of final reports in the "Debriefing" section, below)

Expected benefits:

COMPENSATION:

Will participants receive compensation for participation? Yes ☐ No ☐

Financial	Yes ☐	No ☐
In-kind	Yes ☐	No ☐
Other	Yes ☐	No ☐

(b) If **Yes**, please provide details.

(c) Where there is a withdrawal clause in the research procedure, if participants choose to withdraw, how will you deal with compensation?

CONSENT PROCESS:

Describe the process that the student will use to obtain informed consent. Please note, it is the quality of the consent not the format that is important: if there will be no written consent form, please explain (e.g., if culturally inappropriate). If the research involves extraction or collection of personal information from a data subject, please describe how consent from the individuals or authorization from the custodian will be obtained.

N.B. Where applicable, please attach a copy of the Information Letter/Consent Form, the content of any telephone script, letters of administrative consent or authorization and/or any other material which will be used in the informed consent process.

Brief description of Consent process:

If the participants are children, or are not competent to consent, describe the proposed alternate source of consent, including any permission/information letter to be provided to the person(s) providing the alternate consent as well as the assent process for participants.

Non-Competent participants

Where applicable, please describe how the participants will be informed of their right to withdraw from the project. Outline the procedures which will be followed to allow them to exercise this right.

Indicate what will be done with the participant's data and any consequences which withdrawal may have on the participant.

If the participants will not have the right to withdraw from the project at all, or beyond a certain point, please explain.

PRIVACY AND CONFIDENTIALITY:

Will the data be treated as confidential? Yes ☐ No ☐

If **Yes**, please describe the procedures to be used to protect confidentiality during the conduct of research and in preparation of the final report.

Explain how written records, video/audio tapes and questionnaires will be stored (e.g., password protected computer, double locked office and filing cabinet), and provide details of their final disposal or retention schedule. Data security measures should be consistent with the University's policy on Data Security Standards for Personally Identifiable and Other Confidential Data in Research.

If **No**—i.e., confidentiality is not appropriate in the context of this assignment—please explain (e.g., participants are key informants with established reputations in their field).

DEBRIEFING:

Explain what information (e.g., research summary) will be provided to the participants after participation in the project. If deception will be used in the research study, please explain what information will be provided to the participants after participation in the project—if applicable, attach a copy of the written debriefing form.

N.B. Please note that all copies of the students' final reports—e.g., for circulation as courtesy copies, or future writing samples—must clearly indicate on the cover page the instructor, course number, and department or program at the Trinity University that the report was prepared for.

Other Research Ethics Board

Other Research Ethics Board (REB) Approval:

(a) Does the research involve another institution or site? Yes ☐ No ☐

(b) Has any other REB approved this project? Yes ☐ No ☐

(c) If **Yes**, please provide a copy of the approval letter upon submission of this application.

(d) If **No**, will any other REB be asked for approval? Yes ☐ No ☐

If **Yes,** please specify which REB _____

SIGNATURES:

As the **Undergraduate Student** on this project, my signature testifies that I will ensure that all procedures performed under the project will be conducted in accordance with all relevant University, state and national policies and regulations that govern research involving human participants. Any deviation from the project as originally approved will be submitted to the Biological Sciences Research Ethics Committee for approval prior to its implementation.

_____ _____

Signature of Undergraduate Student: Date:

As the **Faculty Supervisor** on this project, my signature testifies that I have reviewed and approved the scholarly merit of the research project and this ethics protocol submission. I will provide the necessary supervision to the student researcher throughout the project, to ensure that all procedures performed under the research project will be conducted in accordance with the University, provincial and national policies and regulations that govern research involving human subjects. This includes ensuring that the level of risk inherent to the project is managed by the level of research experience that the student has, combined with the extent of oversight that will be provided by the Faculty Supervisor.

_____ _____

Signature of Faculty Supervisor: Date:

APPENDIX II

For Official Use Only

Ref. No.:

1, FFF Road, Off Alara Street (Beside Queen's College)

Yaba, Lagos State, Nigeria

Trinity University Health Research Ethics Committee (TUHREC)

ETHICS REVIEW PROTOCOL FORM (FORM TUHREC 002)

Non-Student Investigator

Information Page

PROJECT:

Project Title:

Commencement Date (Plausible)[DD/MM/YY]:

Completion Date (Plausible)[DD/MM/YY]:

S/N	Last name	Initial	First Name	Affiliation	Highest Degree	Phone & Email
FACULTY/PRINCIPAL INVESTIGATOR:						
1						
OTHER INVESTIGATOR:						
2						
3						
4						
5						
6						
7						
8						
9						
10						

PARTICIPANTS GROUP VULNERABILITY AND RESEARCH RISK:

Any pre-existing physiological or health conditions, cognitive or emotional factors, and socio-economic or legal status of participants will **not** be impacted, in any way, by this study. Risk to participants that would be engaged in this study is considered to be proportionate to student experience and pedagogical goals, with appropriate levels of responsibility and supervisor oversight.

Risks relating to physiological or health issues, cognitive or emotional factors such as stress or anxiety during data collection, and socio-economic or institutional ramifications such as stigma, loss of student status (suspension or withdrawal), or criminal investigation are **not** indicated by this study. This undergraduate/postgraduate research involves *minimal risk*, which means that the probability

CO-INVESTIGATORS:

HOST SITES:

Indicate the location(s) where the research will be conducted:

Institution (if applicable):

Town/City Country(ies):

Other ☐ _____(specify site(s)

Note:

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Expected outcomes:

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- Describe the setting, the types of interactive and observational procedures to be used, and the kinds of information to be collected, if the research involves naturalistic or participant observation.
- Describe the original source of the data and measures that have been taken to protect data subjects' identities, if the research involves secondary analysis of previously collected data.
- Describe the student's relevant past experience, or the nature of any supervision they may receive, if the project involves using specialized methods with participants.

N.B. Attach a copy of all questionnaires, interview guides or other test instruments.

Study area: (provide exact name, and geographical co-ordinates)

Subjects: (provide approximate population size; population stratification)

Study duration: (provide start and end dates – month and year)

Materials: (provide all materials to be employed for the study.

Sample collection: (provide information on the type of materials (cell, tissues) to be collected. Also provide collection methods and preservation before use), and the region of the subject body to access for these materials.

Others: (provide using appropriate subject headings on other tests, and procedures, and any information relevant to the study that will provide the complete picture of the study and facilitate decision on the study)

Data collection: (provide information on the method of data collection tool. Where it involves the use of a questionnaire, a copy of the questionnaire should be attached to this application)

Data analysis: (provide the appropriate statistical tool(s) to be employed for the analysis of the study data. Also provide the version and operating system (OS), where a software is to be use)

PARTICIPANTS, INFORMANTS, OR DATA SUBJECTS:

Describe the individuals whose personal information is to be used as part of the assignment (i.e., in terms of inclusion and exclusion criteria, especially where active recruitment is involved). If the assignment involves working with a vulnerable population, describe the student's relevant past experience, or the nature of any supervision they may receive.

[Provide using the Text Box Tools Tab, a quote from the document or the summary of interesting points.]

Where formal recruitment is required, describe how and from where the participants will be recruited. Where participant observation is to be used, explain the processes and procedures of integrating the researcher into the research setting (e.g., living in a community, visiting on a bi-weekly basis, etc.). Where applicable, explain any non-research relationship between the student and the research participants (e.g., teacher-student, manager-employee, nurse-patient).

N.B. Attach a copy of any posters, advertisements, flyers, letters, or telephone scripts to be used for recruitment.

[Provide using the Text Box Tools Tab, a quote from the document or the summary of interesting points.]

Indicate if the participants might experience any of the following risks:

(a) Physical (e.g., bodily contact, administration of any substance)? Yes ☐ No ☐

(b) Psychological/emotional (e.g., feeling embarrassed, anxious, upset)? Yes ☐ No ☐

(c) Social (e.g., possible loss of status, privacy, reputation)? Yes ☐ No ☐

(d) Is there any deception involved (see "Debriefing", below)? Yes ☐ No ☐

(e) Are risks to participants greater than in their everyday life? Yes ☐ No ☐

If you answered **Yes** to any of the above, please explain the risks, and describe how they can be managed, and how they are proportionate to student experience and pedagogical goals.

[Provide using the Text Box Tools Tab, a quote from the document or the summary of interesting points.]

Discuss any potential direct benefits to the participants from their involvement in the project. Comment on potential benefits to the student, the scholarly community, or society that would justify involvement of participants in this study. (See the note on courtesy copies of final reports in the "Debriefing" section, below)

Expected benefits:

COMPENSATION:

Will participants receive compensation for participation? Yes ☐ No ☐

Financial	Yes ☐	No ☐
In-kind	Yes ☐	No ☐
Other	Yes ☐	No ☐

(b) If **Yes**, please provide details.

(c) Where there is a withdrawal clause in the research procedure, if participants choose to withdraw, how will you deal with compensation?

CONSENT PROCESS:

Describe the process that the student will use to obtain informed consent. Please note, it is the quality of the consent not the format that is important: if there will be no written consent form, please explain (e.g., if culturally inappropriate). If the research involves extraction or collection of personal information from a data subject, please describe how consent from the individuals or authorization from the custodian will be obtained.

N.B. Where applicable, please attach a copy of the Information Letter/Consent Form, the content of any telephone script, letters of administrative consent or authorization and/or any other material which will be used in the informed consent process.

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Non-Competent participants

Where applicable, please describe how the participants will be informed of their right to withdraw from the project. Outline the procedures which will be followed to allow them to exercise this right.

Indicate what will be done with the participant's data and any consequences which withdrawal may have on the participant.

If the participants will not have the right to withdraw from the project at all, or beyond a certain point, please explain.

PRIVACY AND CONFIDENTIALITY:

Will the data be treated as confidential? Yes ☐ No ☐

If **Yes**, please describe the procedures to be used to protect confidentiality during the conduct of research and in preparation of the final report.

Explain how written records, video/audio tapes and questionnaires will be stored (e.g., password protected computer, double locked office and filing cabinet), and provide details of their final disposal or retention schedule. Data security measures should be consistent with Trinity University's policy on Data Security Standards for Personally Identifiable and Other Confidential Data in Research.

If **No**—i.e., confidentiality is not appropriate in the context of this assignment—please explain (e.g., participants are key informants with established reputations in their field).

DEBRIEFING:

Explain what information (e.g., research summary) will be provided to the participants after participation in the project. If deception will be used in the research study, please explain what information will be provided to the participants after participation in the project—if applicable, attach a copy of the written debriefing form.

N.B. Please note that all copies of the final reports—e.g., for circulation as courtesy copies, or future writing samples—must clearly indicate on the cover page the Ethical Approval No.:

Other Research Ethics Board

Other Research Ethics Board (REB) Approval:

(a) Does the research involve another institution or site? Yes ☐ No ☐

(b) Has any other REB approved this project? Yes ☐No ☐

(c) If **Yes**, please provide a copy of the approval letter upon submission of this application.

(d) If **No**, will any other REB be asked for approval? Yes ☐ No ☐

If **Yes,** please specify which REB _____

SIGNATURE:

As the **Faculty/Principal Investigator** on this project, my signature testifies that I have the scholarly quality required for the research project and to manage this ethics protocol submission. I will provide the necessary lead and supervision required throughout the project, to ensure that all procedures performed under the research project will be conducted in accordance with the University, provincial and national policies, and regulations that govern research involving human and other life subjects. This includes ensuring that the level of risk inherent to the project is well understood and managed by all involved in the research and that I will provide the necessary oversight functions were required.

_____ _____

Signature of Faculty/Principal Investigator: Date: