

# GRANT MANAGEMENT GUIDELINES

**COLLEGE OF MEDICINE  
UNIVERSITY OF IBADAN  
IBADAN, OYO STATE,  
NIGERIA**

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## Preamble

This grant management guideline derives authority from the powers conferred on the College of Medicine, University of Ibadan by the provisions of the University of Ibadan Act 1962 and subsequently amended in 1972 and 1976. In preparing this document, we adopted the manual of accounting procedures and other existing policies of the University of Ibadan. We also took into consideration the peculiarities of the College of Medicine and International best practices for grants management.

— DRAFT — College of Medicine, University of Ibadan (COMUI) — DRAFT —

## 1.0. GENERAL STRUCTURE OF THE COLLEGE OF MEDICINE

### 1.1. College of Medicine University of Ibadan as a Legal Entity

The College of Medicine, University of Ibadan is a component part of the University of Ibadan. The College of Medicine, University of Ibadan (**CoMUI**) derives its power and limited autonomy in academic and financial matters from the provisions of the University of Ibadan Act 1962 which was subsequently amended in 1972 and 1976<sup>1</sup>. This act established the College of Medicine as an integral part of the University of Ibadan but “*which shall be a body corporate with perpetual succession and a common seal and power to sue and be sued in its corporate name*”. The act also states that “*the college as respects its financial affairs; be self-accounting but responsible through the Vice-Chancellor to the Council*”.

### 1.2. Governance structure of the College of Medicine

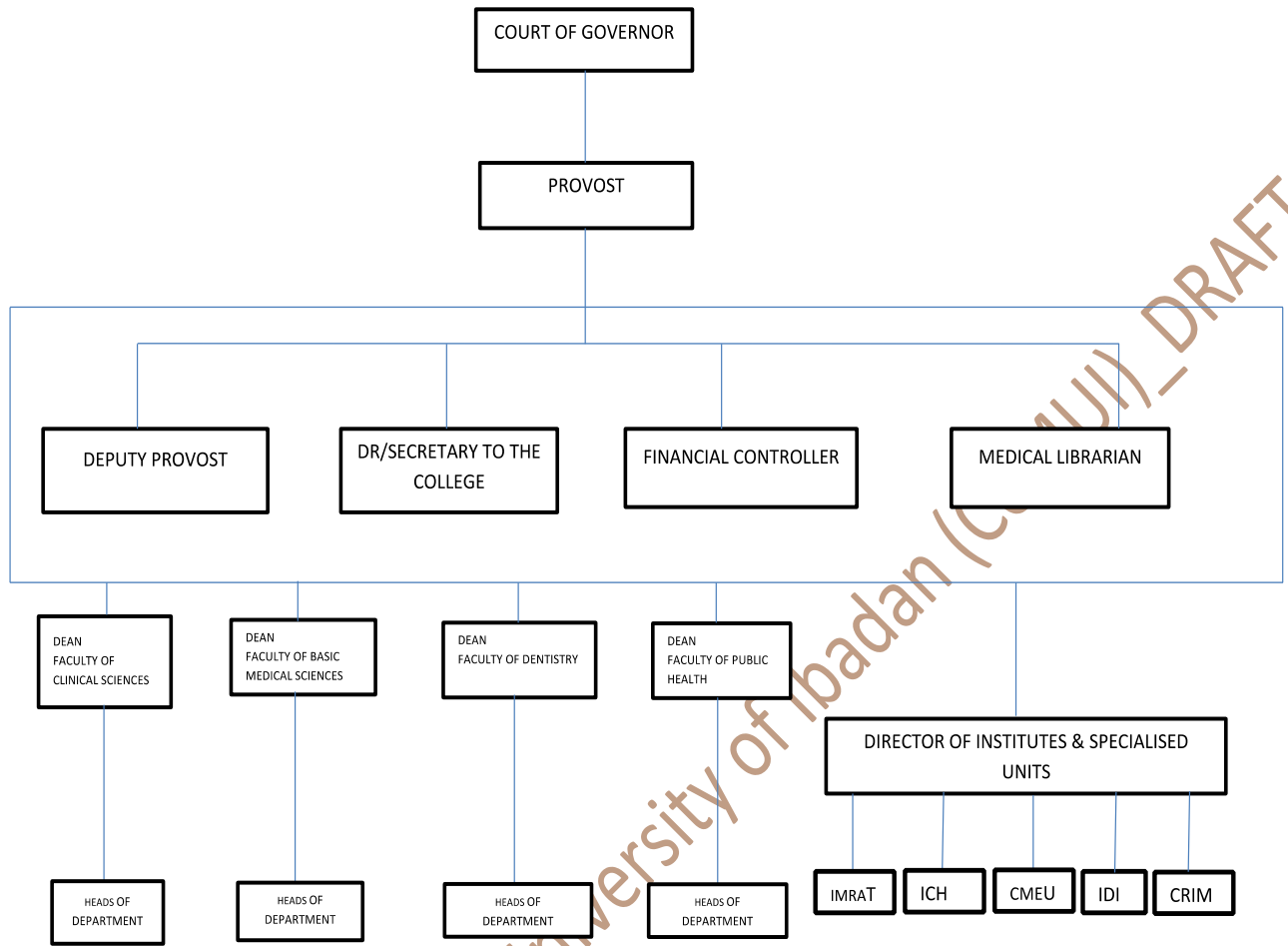
#### 1.2.1. Academic units in the College of Medicine

Faculties: Basic Medical Sciences, Clinical Sciences, Dentistry, and Public health

Institutes: Institute of Advanced Medical Research, Institute of Child health, Institute of Cardiovascular Diseases and Infectious Disease Institute

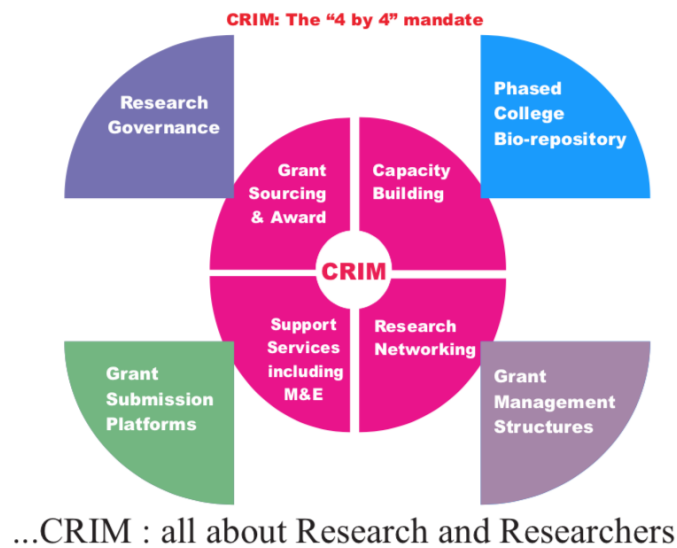
The College of Medicine, University of Ibadan is run by a committee system. The principal committees that are saddled with the strategic and executive mandates of the College of Medicine, University of Ibadan are:

1. *The Court of Governors:* Shall consists of the pro-Chancellor and Chairman of the Council of the University of Ibadan as Chairman of the Court. Other members include the Vice-Chancellor and Deputy Vice Chancellor of the University of Ibadan, the Provost of the College of Medicine, and the Chief Medical Director of the Teaching Hospital. Other members are as stated in the prospectus of the College of Medicine. The board is responsible for the long-term vision of the College of Medicine and strategic decisions.
2. *The Academic Board:* This is chaired by the Provost of the College of Medicine. The academic board has control of the academic affairs of the College and is subject to the control of the Senate of the University of Ibadan. The members and specific functions are as spelt out in the prospectus of the College of Medicine.
3. *The Management Committee:* The committee is chaired by the Provost and has the Deputy Provost, Secretary to the College, Financial Controller and the Medical Librarian as members. They see to the day to day administrative running of the College of Medicine.



**Figure 1.1** Organogram of the College of Medicine, University of Ibadan

### 1.3. College Research and Innovation Management (CRIM) unit



**Figure 1.2: CRIM Mandate**

The Management of the College of Medicine, University of Ibadan established the College Research and Innovation Management (CRIM) unit in 2014 under the supervision of the Provost, College of Medicine, University of Ibadan. The objectives for setting up CRIM were

- i. To ensure that research activities are well coordinated,
- ii. To facilitate institutional collaboration and training and,
- iii. To improve the beneficiary capacity for attracting international grants.

Hence, the College Research and Innovation Management (CRIM) unit acts as a central coordinating point for the management of research activities within the College of Medicine, University of Ibadan (COMUI). The unit is primarily saddled with the business of managing research projects that are funded from within the institution or externally from credible funding organizations.

#### 1.3.1. Vision and Mission Statement

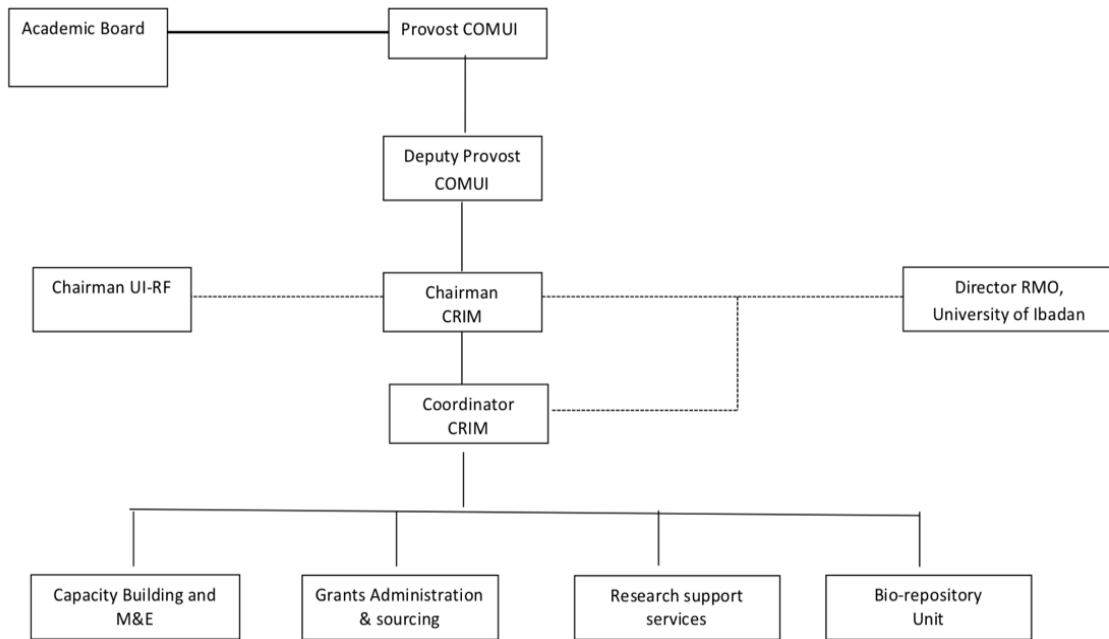
**Vision:** To entrench a culture of research and innovation in the College of Medicine, University of Ibadan.

**Mission Statement:** To facilitate institutional learning and collaboration in research through innovative management systems.

#### 1.3.2. Functions of CRIM

- Assist researchers in navigating the grant process
- Facilitate linkages between researchers within and outside Nigeria
- Facilitate training and capacity building in research development and governance
- Provide technical assistance in all aspects of research proposal development
- Coordinate the award of local research grants
- Provide mentoring structures for early to mid-career researchers
- Set up and manage a phased biorepository for CoMUI

- Monitor grants: pre-awards, post-awards and close out of projects



**Figure 1.3: CRIM Organogram**

CRIM is governed by a Board which shall be headed by a seasoned researcher not below the Professorial cadre. The board consists of academics and administrators from units relevant to the conduct and management of research. The statutory members are as follows:

1. Chairman
2. CRIM Coordinator
3. Two Assistant CRIM Coordinators
4. Representative of the Financial Controller
5. Finance Grant Accountant
6. One academic from Faculty of Basic Medical Sciences
7. One academic from Faculty of Dentistry
8. One academic from Faculty of Public Health
9. One academic from Faculty of Clinical Sciences
10. One academic from a laboratory-based unit
11. Deputy Chairman Medical Advisory Committee (Research and Ethics), University College Hospital
12. Head Mentoring unit
13. Head Biorepository unit
14. Research Administrator (Governance) – nonvoting member
15. Research Administrator (Budget and Contracts) – nonvoting member
16. Others as may be decided by the Board or the Provost CoMUI

## 2.0. RESEARCH MANAGEMENT

### 2.1. Pre-award phase

2.1.1. Grant sourcing: The College Research and Innovation Management unit has access to numerous funding sources globally. These are disseminated to researchers on a regular basis via the platforms of the unit and that of the College of Medicine. Researchers can also download a form on the website of the College of Medicine and fill same to request for funding information in specific fields of research

2.1.2. Research assistance services: CRIM has facilities to support researchers in areas of research proposal preparation and research management. Such assistance may include proposal formatting, budgeting, statistical support, monitoring and evaluation, and linkage with new collaborators.

2.1.3. Grant submission: CRIM has access to many submission platforms for funding organizations and continues to add on new ones as soon as they are identified. These platforms include those for National Institutes of Health, Wellcome Trust, Horizon 2020 etc.

#### 2.1.4. Administrative charges and allowances

- Administrative charges should not be less than 10% unless otherwise specified by the funding agency/organization i.e., National Institute of Health is negotiated at 8%.
- Generally, administrative fees can range from 10% - 25% maximum as may negotiated with funding agency/organization
- Administrative fees are negotiated based on the complexity of each grant and may contain or be separate from charges for the following:
  - Laboratory space
  - Electricity
  - Monitoring and Evaluation
  - Space for staffing needs that exceeds five (05)
  - Long term storage
  - Information technology support
  - Recruitment/personnel training support
  - Dedicated administrative, financial, audit and research management manhours
- As a rule of thumb, administrative charges should be budgeted at not less than the minimum recommended by the granting body and should be paid as at when due.
- Fringe benefits for investigators who are members of staff of the University are capped at 15%.
- Fringe benefits for temporary staff should be 20% of remuneration and should be paid alongside salary package (this caters for severance allowance).

#### 2.1.5. Memorandum of understanding, consortium/sub-contract agreements

- The advice of CRIM should be sought in drafting any research/grant-based Memorandum of Understanding (MOU), consortium and sub-contract agreements to ensure uniformity and to protect the individual researcher and institution
- All grant/research-based memorandum of understanding should be routed through CRIM to the Provost
- A minimum of two (02) weeks should be allowed for processing of all MOUs to ensure due diligence.
- A minimum of one (01) week should be allowed for processing of all 'intent to enter into consortium agreement' and sub-contract awards. When a researcher from CoMUI is the Prime recipient, the appropriate College of Medicine, University of Ibadan template shall be used
- Intent to enter into consortium agreement and sub-contract awards are processed at the level of CRIM
- Principal Investigators must ensure that all fully executed MOU's (signed by both parties) are adhered to strictly
- The College of Medicine, University of Ibadan templates shall be used for MOUs, intent to enter into consortium and sub-contract agreements (This can be modified as necessary without disregarding the provisions therein)

### 2.2. **Award phase**

#### 2.2.1. Steps to take when the grant is awarded

- The Principal Investigator (PI) shall call for a Kickoff meeting.
  - *Attendees:* The Provost or his representative, the Financial Controller or his representative, Director Audit unit or his representative, representative of personnel unit, and representative of CRIM
  - The P.I must have studied the Agreement [Notice of Award (NOA)], Memorandum of Understanding (MOU) and Treasury Single Account (TSA) guidelines prior to the meeting.
  - During the meeting, vital information would be discussed or disclosed, and these shall include duration of the project, budget period, value (total direct and indirect cost throughout the study period)
  - FC and Audit representatives shall provide hard/electronic copies of the accounting and auditing manuals for the PI to study.
  - Based on the deliberations, a work plan, procurement and finance plan will be drawn up. Copies of these documents should be made available to all stakeholders (including the Finance and Audit department).
- The Agreement (MOU/NOA) should also be forwarded to CRIM for performance of due diligence.
- All grants above N500,000 must generate a letter head on which all correspondences including financial requests shall be made.

#### 2.2.2. Training of grant management staff

- Training of staff from finance and account, audit, CRIM and other units directly involved with grant management shall be given priority whenever such opportunity exist on funded research projects
- Training of staff should be budgeted and negotiated with CRIM during the proposal writing stage.
- Trainings and conferences shall be provided for on an annual basis in the budget of the College of Medicine as well as that of the grant management unit. This will ensure that staff are current and are abreast of best international practices

#### 2.2.3. Appointments

- For research project-based appointments, the Principal Investigator initiates the process by writing the Secretary to the College. The letter must state the job description, terms of offer and remuneration (a template for such a letter is available on request from personnel division)
- Each research project must have a proper orientation for all project staff.
- Identification cards must be issued to all project staff with appointments lasting for six months or more.
- Before the expiration of a grant-based appointment, personnel department must be notified in advance i.e., at least three (3) months before final disengagement or renewal of appointment.
- In case of disengagement for disciplinary reasons, personnel department of the College of Medicine must be duly notified, and reasons for such disengagement should be clearly stated.

#### 2.2.4. Notification of grant administrative fee

- This letter should come from Principal Investigator.
- The Finance-grants unit and Audit should be notified accordingly
- The deductions for indirect cost shall be based on the budget and agreement contained within the NOA

#### 2.2.5. Authorization and approval

- All requests must only be initiated/authorized by the PI or as may be delegated by the PI (provided such delegation is officially communicated in writing) and approved by the appropriate university official(s) (the Provost, Deputy Provost or Financial Controller as may be appropriate)

#### 2.2.6. Project fund/income

- Funds can come in through 2 mechanisms:
  - Draw down request (in the case of NIH awards)

- Submission of an invoice (jointly signed by the PI, FC and CRIM)
- Irrespective of the mechanism, the finance-grants unit must be notified on the inflow in order to verify this claim.
- The finance-grants department shall issue a duly signed receipt to this effect and the Accountant (grants) shall write the funders to acknowledge receipt.
- The grant account name and code shall be generated and made available to the PI.

#### 2.2.7. Payment/mode of accessing funds

- Before the PI makes any request for funds, he or she should verify there is enough funds in the grant accounts (Naira or other denominations)
- The PI shall have access to check the account performance and balance through an electronic platform with a password key
- Modes of accessing funds would include: LPO, Cash Advance, Direct payment, Imprest

#### 2.2.8. Guidelines for using different modes of accessing funds

- Local Purchase Order (LPO)
- Cash Advance (CA)
- Direct payment (DP)
- Imprest

Local Purchase Order: It is a document created by the buyer and sent to the seller to purchase a product. It becomes a legal and binding document when it is received by the seller. LPO is used for purchases of assets and consumables. There is no limit to the amount, it depends on the project approved budget. LPO is paid to contractors, vendors directly to their account. Procedure is as follows:

- Request for invoices from three different vendors
- Initiate request on grant master software
- Generate a covering letter addressed to the Financial Controller (FC), with the invoices and LPO attached.

Cash Advance (CA): Cash advance is a type of short-term loan from the grant. This will help the grant holder to do the work as outlined in the budget. CA cannot be used to buy asset items. It must be retired according to the period written in the form filled; usually a maximum of 6 months is allowed. If the collector did not retire how the fund was spent, it will be deducted from his /her salary every month. CA is mainly used for travelling, workshops /seminars. The limit is in the annual salary of the person applying for it. CA is payable to the Principal Investigator (PI) or any other designated staff. The procedure is as follows:

- Fill a cash advance form and a letter of request to FC
- Provide a breakdown of the fund and finance committee meeting resolution where applicable.

Direct Payment (DP): DP is a method of transferring money from a grant account to a specific company or individual based on prior agreement with the company or the individual. It is used mainly to pay hotel bills, air ticket and honorarium/Daily Sustenance Allowance. There is no limit to the amount once it is in line with the budget. It is payable to the company or the individual as may be appropriate. The process is:

- Have three invoices (3) if it is for company related services, or the name of the individual as appropriate
- Write a letter to FC, with a printout from grant master

Imprest: is a cash account that the project relies on to pay for small, routine expenses. Funds contained in imprests are regularly replenished, in order to maintain a fixed balance. It is also referred to as petty cash account, which is used to cover smaller transactions. The limit is in relation to the activities of the project, and as approved by the audit section. It is payable to the PI or any other designated staff. The process is thus:

- For the first imprest, fill a form indicating amount that project wishes to keep as imprest
- This will subsequently be approved by the audit section,
- Thereafter, a request letter and a printout from grant master must be sent to FC
- Note subsequent imprest request will be processed by presentation of the receipts of the last imprest for reimbursement

#### 2.2.9. Procurement process

The procurement process follows the guidelines laid down by the Federal Government of Nigeria and adopted by the University of Ibadan. However, due to the peculiarities of research projects and the need to conform with standards and timelines as laid out in project agreements, modifications such as that laid out in table 2.1 below will apply. Additionally, the following are important.

- Every procurement request must be accompanied by an extract of the Finance Committee
- The availability and completeness of procurement records is very critical
- In situations where one supplier is preferred by the Finance Committee, enough justification must be provided. It must also be noted that the lowest price may not necessarily be the best.
- Audit inspection of every procurement is necessary before use
- PI can also contact audit when in doubt about prices/quotations submitted by vendors. The audit department routinely carries out market surveys.

**Table 2.1: Procurement process for research projects**

Procurement value (₦)	Supplier selection	Mechanism for purchase
0 – 500,000	<ul style="list-style-type: none"> <li>Three quotes</li> </ul> <p><i>Note that pre-qualification does not eliminate the need to have two other quotes for comparison</i></p>	<ul style="list-style-type: none"> <li>Direct payment               <ul style="list-style-type: none"> <li>- Pre-negotiated or prequalified companies</li> <li>- Sole supplier or continuing supplier of routine reagent for specific process</li> </ul> </li> <li>LPO with Project Finance committee's approval*</li> </ul>
501,000 – 1,000,000	Three quotes	LPO with project Finance Committee's approval
>1,000,000 – 2,000,000	Three quotes	LPO with Departmental or Joint CRIM/Grants Finance Committee's approval
>2,000,000 – < 5,000,000	Invitational competitive procurement with minimum of three quotes	Joint CRIM/Grants Finance Committee's approval
5,000,000 and above	Open Competitive procurement in line with University of Ibadan guidelines	College Procurement Committee as determined by College Management

\* Small grants can utilize departmental finance committee or CRIM's finance committee

### 2.3. Within award period

#### 2.3.1. General guidelines for processing of grant requests

- There shall be a designated official E-mail address with an alternate g-mail account for the Accountant (grants). It is encouraged that all matters related to grants should be sent to this mail while copying the Financial Controller.
  - All processes related to grant management must be separated from other financial based operations in the College of Medicine
  - The Electronic platform for grant management shall be reviewed and updated at least twice a year.
  - All staff involved with grant management must receive a basic one-week orientation and training before handling any step in the grant process. Such staff must have a 3-months' probation after which their performance must be reviewed against a pre-prepared schedule of duties. The expectations from such a post must be made known to such staff at the beginning of the probation period
  - A minimum of ten days should be allowed for the processing of any request

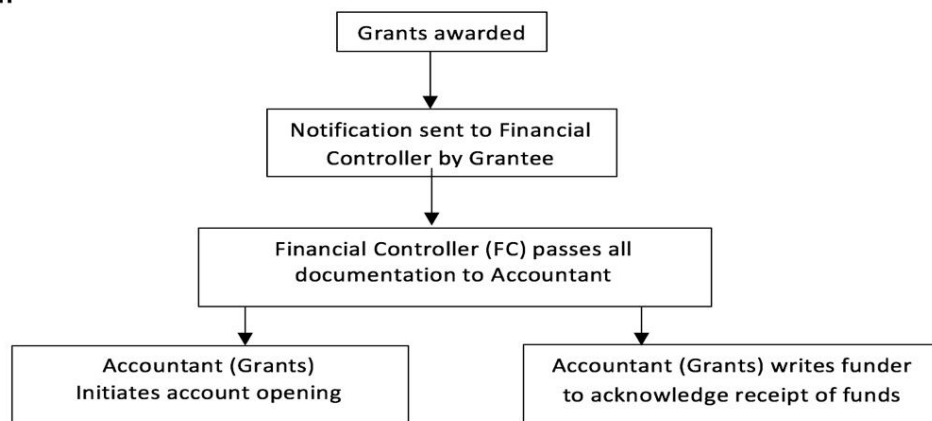
### 2.3.2. Processing steps

- The PI must check all requests against the requirements expected by the grants office before sending such request with a dispatch book to be signed by the checking clerk in the Finance-grants office
- The checking of requests by PI starts with a clerk of the Finance grants office who verifies that the minimum inputs are insert with a checklist
- If any error is detected at this stage, the request must be sent back to the originating PI with an explanatory note within 24hours of receipt of such request

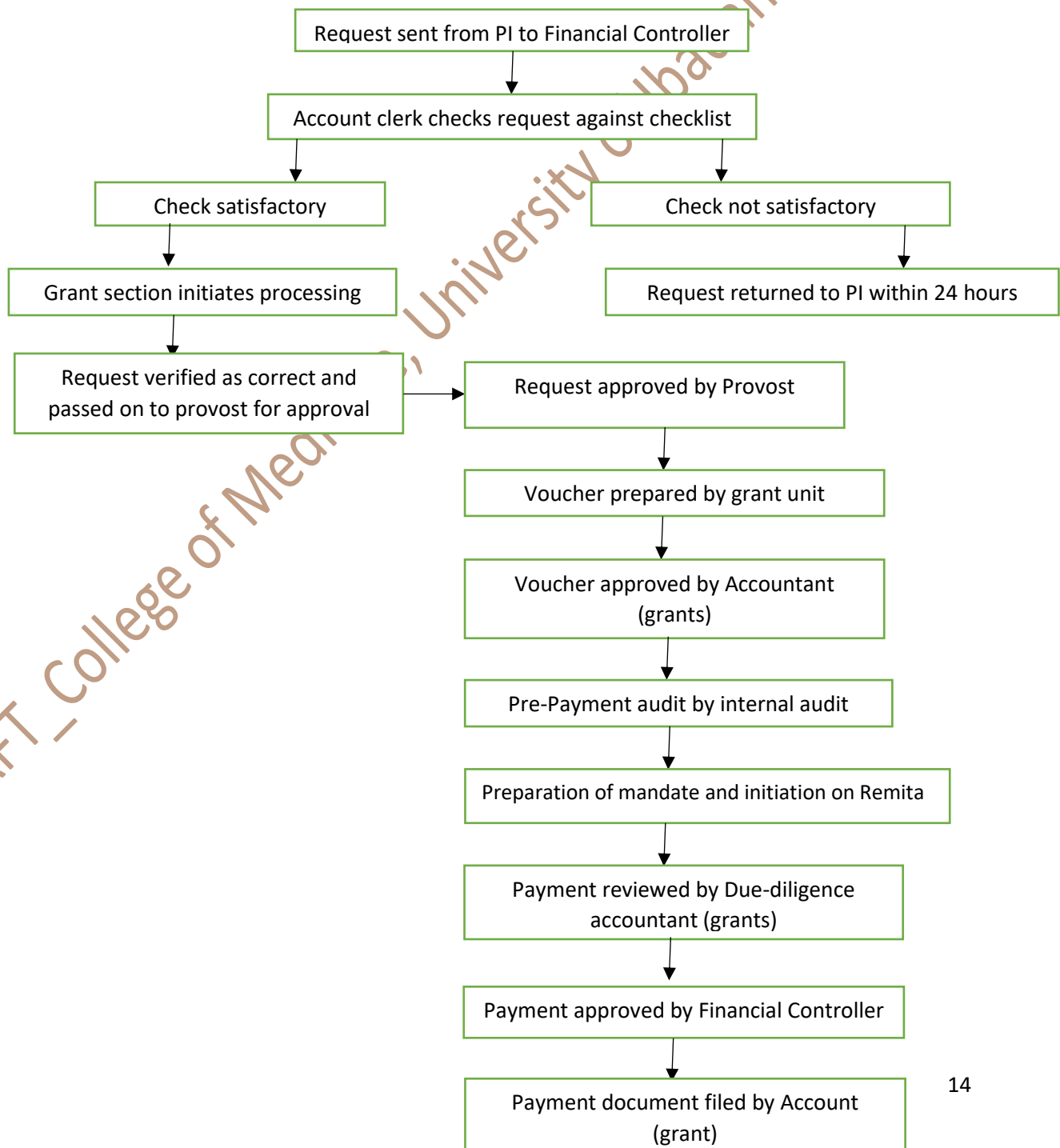
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### 2.3.3. Algorithm for grants processing

#### Step 1: kick off



#### Step 2: Grant Request Flow-Chart



#### 2.3.4. Grants based assets

- Assets must be engraved.
- Assets must not be transferred to personal property.
- Upon retirement of the Principal Investigator or at the end of the project, assets must be transferred to the department under which the research is based.
- If the grant is transferred to another institution, the release of assets to the funding body can be negotiated as spelt out in the Research Policy of the University of Ibadan
- Assets must be purchased using LPO so that they are easily traceable.
- An inventory list of all equipment bought with grant funds must be kept by the Principal Investigator and copy made available to CRIM unit and designated office in finance department

#### 2.3.5. Audit procedure

This is in accordance with the university guidelines governing internal and independent audits. Every Principal Investigator is required to take note of the specific audit requirements of the funding organization at project start-up. For each research project, funding organizations' requirements shall be clearly communicated to the Financial Controller, Internal Auditor and Principal Investigator at each project start up in form of an audit advisory by the **Research Administrator (Budget and Contracts)**. It is also expected that updated independent audit and administrative audit reports would be made available to the CRIM office as soon as they are available.

#### 2.3.6. Emergency acquisitions and approvals

In cases of existence of a force majeure such as unforeseeable circumstances e.g., war, riots unexpected legislation, lockouts, slowdowns, and strikes, the Provost and the Financial Controller shall be responsible for overall jurisdiction of the processing of payments and emergency acquisitions. This will ensure continuity of grants that cannot afford to be halted such as clinical trials. In this instance, they jointly take decisions on how the process will be implemented. In cases where processing also becomes extremely difficult or slow due to unforeseen circumstances, the principal Investigator after due consultation with the Finance Department may apply for "credit line" provided adequate justification is made in writing.

#### 2.3.7. Travel Policy

The travel policy is in conformity with that laid down by the University of Ibadan in the staff handbook. In addition, each grant shall abide with any specific travel policy as set out in the guidelines governing the award of each grant. Whenever travel is by air, economy class must be utilized unless where medical conditions or long duration of flight precludes this; in such cases enough justification must be provided, and prior approval must be sought from funding organization.

Subsistence/night allowance and estacode rates shall be as contained in the University of Ibadan Staff Information Handbook (as updated from time to time) or as budgeted for in

allowable costs in the awarded grant. Peculiarities of cities of destination may also necessitate adjustment of the rates subject to approval of the relevant bodies

#### 2.3.8. Research report

It is the responsibility of the Principal Investigator to ensure that research progress reports are submitted as at when due. At grant take-off, reporting timelines shall be worked out with an automated reminder mechanism to ensure compliance. This will be shared with the CRIM office as well as the reporting requirements of the funding organization.

#### 2.3.8. Recommended deadlines

- Intent to submit proposal: **one month**
- Preparation of submission documents: **two weeks**
- MOU processing: **two weeks**
- Intent to enter consortium, sub-contracts: **one week**
- Progress reports: **one week**
- Others (letters, submission of report, e.t.c.): **two weeks**

### 2.4. **Post award**

#### 2.4.1. Grant close out

All grants must have a definite date as contained in the notice of award (NOA) for grant close out. This shall be adhered to strictly, unless there is clear written communication from the funding organization about an extension of the grant. Such an extension must be communicated with the CRIM and Finance offices at least three weeks before the grant close out date. Final Financial and Research progress reports shall be submitted in compliance with funding organizations requirements

### **3.0. PROTECTION OF INDIVIDUALS AND COMMUNITIES AS RELATED TO RESEARCH**

#### **3.1. General considerations**

It is the responsibility of the College of Medicine to ensure that all those involved with research (research staff, participants and communities) are protected from any exploitation, abuse, violence, harm or injury resulting from research or activities related to such. This responsibility is shared by the Principal Investigator of the research who is saddled with the task of ensuring that all personnel engaged for the research also conform with this general consideration.

Though not peculiar to research, all those involved with research are also covered within the broad framework of the University of Ibadan *Gender and Sexual Harassment policies*.

Research misconduct is handled through “whistle blowers” who should report to the UI/UCH IRB and the College Research and Innovation Management (CRIM) Unit. These would be investigated and escalated as appropriate to the research integrity platform and mechanism established by the University of Ibadan. The whistle blower mechanism draws from the *Whistle Blowing Policy of the Federal Republic of Nigeria* which the University is also subject to as a publicly owned tertiary institution of learning.

#### **3.2. Protection of research participants**

Every research project must seek ethical approval as appropriate from the joint University of Ibadan/University College Hospital Institutional Review Board and/ any other review boards as necessary. The Principal Investigator has the responsibility to ensure that all research participants are protected as spelt out in the ethical approval document and that the conduct of the research conforms with the best practice for ethical conduct of research. The IRB would also monitor all research within the College of Medicine, University of Ibadan to ensure that ethical standards as spelt out in the institutional guidelines (available from UI/UCH IRB) are adhered to.

#### **3.3. Protection of communities involved with research**

The UI/UCH IRB will review all communities impacted or involved with research to ensure that their rights are not violated and that they exercise their right to be heard and to have an effect. In this regard, community advisory boards are strongly encouraged to be set up for community-based research projects with clear cut terms of reference and mechanisms to give feedback.

#### **3.4. Protection of research staff**

The principal Investigator has the responsibility of ensuring that all research personnel are protected from risks (social, physical, chemical and psychological) which may constitute a

threat to their life. In this respect, the research staff also has the right to insist on work in a safe and healthy environment as guaranteed by the law. Other rights of the employee include:

- Right to be heard
- Right to be informed about the work processes and the safeguards for personal safety
- Right to be informed and trained about safeguards to the workplace hazards that may constitute a threat to personal safety
- Right to leave work area or decline to work in or visit any area if there are reasonable concerns about personal safety
- Right to be provided with the right personal protective equipment

#### **4.0. RISK ASSESSMENT AND MANAGEMENT AS RELATED TO RESEARCH**

The College Research and Innovation Management unit will facilitate safeguarding of the research environment, personnel and participants through the following:

1. Periodic training of researchers on the concept of risk assessment and management
2. Monitoring of adherence by researchers to the health and safety guidelines as laid down in the College of Medicine, University of Ibadan Health and Safety Policy (2018)
3. Development of risk assessment and management tools for use in research environment
4. Facilitating the development of risk assessment and mitigation plans by research projects
5. Establishing a mechanism for reporting hazards and providing feedbacks for timely intervention

The ***Principal Investigator or their designate*** has the responsibility to think through the processes and locations involved with their proposed research activities and document what might cause harm and how to mitigate such. It is highly recommended that project team gets the right type of training or engage the CRIM office as appropriate. The following are steps for ensuring an effective risk assessment and mitigation plan.

##### Steps for risk assessment and mitigation

1. Plan for assessment: Review all processes related to research and personnel management
2. Identify the hazards and location
3. Determine intensity and likely risk impact
4. Determine who would be at risk
5. Determine mitigation options (acceptance, avoidance, transference or reduction)
6. Establish a corrective action plan
7. Communicate risk and plan
8. Implement the plan
9. Evaluate plan
10. Review and update plan

## 5.0. INFORMATION MANAGEMENT POLICY

Research has a huge need for information. The entire research cycle generates data that would need appropriate management plan to avoid catastrophic consequences. Therefore, safeguarding research related data is essential for the protection of research participants, researcher, research institution and funders investment. In addition, there are numerous threats to data emanating from or related to research in the present era. Issues of data hacking, data theft, data manipulation and falsification abound, thus **information security** is important for research and academic institutions. As such, CRIM shall train all research managers about the essential aspects of research data management and information security.

The policy thrust of research information security should include definite plans for research data management and management of routine data associated with research processes. The essential areas that are important for information security are:

1. Research Information Needs
2. Research Data Management
3. Contractual agreements
4. Research data use agreements
5. Institutional and Individual guarantees

### 5.1. Information needs

The Principal Investigator has the sole responsibility of identifying the information needs of their projects. This must be clearly delineated from the onset of the research. The assistance of the Information Technology Unit and the College Research and Innovation Management unit must be sought for at the planning stage or at the onset of the research project. The initial assessment should include an assessment of the level of data confidentiality/security that would be needed, the appropriate tools needed, data management plans, the level of competence of data managers needed, and institutional and contractual compliance issues

### 5.2. Research Data Management

This is the entire process involved with the organization of research data from its generation all through to its entry, cleaning, storage, analysis, dissemination and retention. The following aspects must be given utmost priority:

- Data collection instruments
- Data entry and database management
- Data access and integrity
- Data analysis plan and software for analysis
- Data use agreement
- Data retention and reuse

### 5.3. Contractual agreements

The College of Medicine protects the rights of its staff to privacy. As such, contractual agreements must protect the personal identifiable data of staff associated with research unless otherwise granted by informed consent. All contractual agreements must also comply with the requirements as set forth by the Joint University of Ibadan/University College Hospital Institutional Review Board. In this regard, all contractual agreements are to be made on appropriate templates and passed through the review mechanism of the College Research and Innovation Management unit. Contractual agreements may include subcontract agreement, consortium agreement or non-disclosure agreement (NDA)

#### **5.4. Data use agreement (DUA)**

This is usually an agreement reached between Provider of data and Recipient of data when proprietary or confidential data is exchanged. In such cases, researcher should seek the assistance of CRIM and use the right DUA template to enter into agreement on the sharing and/use of such data.

#### **5.5. Institutional and researcher guarantees**

Both the College of Medicine and the individual researcher has enormous roles to play in ensuring data integrity and confidentiality. For each set of data, there must be a categorization which puts data in a specific class according to its complexity and sensitive nature

Class 1: Routine process data

Class 2: De-identified data not linked to anybody

Class 3: Sensitive data such as personal identifiable data including birthdays and income levels

Class 4: Highly sensitive data needing extra security features for protection i.e., requires at least two layers of protection. Such will include proprietary data, data on infectious disease samples

The College of Medicine, acting through the Information Technology unit (ITU) has the statutory function of protecting the official communication platform of the College as well as the College website. Similarly, COMUI acting through the finance department and supported by the ITU has the mandate to protect the grant management platform of the College of Medicine from unethical practices. In this regard, two major safeguards are ensured by College.

- Password protection on all laptops and mobile devices used for official communications and properly backed up server with a firewall
- A disclaimer on all mails emanating from the any message sent on the College of Medicine's mail serve that mail is only meant for the receiver and disallowing any unauthorised sharing or use of such mails

At the individual level, principal Investigators are saddled with the responsibility of ensuring that vital information is password protected and are stored under optimal storage conditions.

It is recommended that researchers back up their data and store appropriately. All electronic records must be password protected and all paper trails must be securely locked away in a cabinet with a clear access policy. All project staff always have the responsibility of ensuring data integrity and confidentiality. Loss of passwords, flash drives and other storage devices must be reported immediately and supported with an affidavit. All files and documents must also be locked away at the end of each day.

When in doubt about data security or procedures to follow, researchers are advised to seek guidance from the College Research and Innovation Management unit or the Information Technology unit of the College of Medicine, University of Ibadan.

#### **5.6. Data retention**

Materials and Data related to research must be archived according to the agreement or policy of funding organization. Nonetheless, a general rule of archiving research instruments for a minimum of Five (05) years and data for a minimum of ten (10) years would apply to all research conducted by staff and students of the College of Medicine

#### **5.7. Intellectual Property (IP) Rights**

All inventions and products arising from or related to research are covered by the extant University of Ibadan laws on such and these are as contained in the IP policy of the University

#### **5.8. Genomic Data Sharing**

Genomic data sharing is required by some funding organizations. This is contained in the College of Medicine GDS policy. The Genomic Data Sharing (GDS) Policy sets forth guidelines that ensure the broad and responsible sharing of genomic research data that will inform scientific research, leading to better population-relevant screening guidelines, diagnostics and treatments. CRIM shall continue to provide guidance on how to operationalize the GDS.

## ANNEXES: TEMPLATES

### Invoices

#### 2 types of invoices:

##### 1. From supplier

- Name of the company
- Physical Address
- Telephone number
- Description of goods
- Invoice number
- TIN number
- Amount in words and figures

##### 2. From sub-recipient

- Details about the funding agency
- Prime name and address
- Total of the budget
- Invoice should be on the letter head of the sub
- Invoice should come from the institution

### SUBCONTRACTS

- ✓ The name of the funding agency and the prime
- ✓ Name of the prime PI and sub PI and address
- ✓ Sub-recipient number
- ✓ Activities to be carried out
- ✓ Budget
- ✓ Terms of agreement
- ✓ Frequency of payment
- ✓ Period of performance- project period
- ✓ Reporting period
- ✓ Termination of contract
- ✓ Signing official for both prime and sub.

**COLLEGE OF MEDICINE, UNIVERSITY OF IBADAN**  
**IBADAN, NIGERIA**

**STATEMENT OF INTENT TO ENTER INTO A CONSORTIUM AGREEMENT**

For Research Proposal Entitled:

\_\_\_\_\_

LEAD INSTITUTION

\_\_\_\_\_

Principal investigator's name: \_\_\_\_\_

CONSORTIUM INSTITUTION

\_\_\_\_\_

Consortium Investigator(s) name and % of Effort

\_\_\_\_\_

PI(s) Name

PI(s) Signature

\_\_\_\_\_

Other investigator(s) name

Other investigator(s) name

Human Subjects:  No  Yes IRB Approval Date: \_\_\_\_\_ Pending

Vertebrate Animals:  No  Others: \_\_\_\_\_

Cost Requested for initial budget period

Cost Requested for Entire budget period

From: (year) to: (year)

From: (year) To: (year)

Direct Cost: \_\_\_\_\_

Direct Cost: \_\_\_\_\_

Total Cost: \_\_\_\_\_

Total Cost: \_\_\_\_\_

Indirect Cost Rate (%): \_\_\_\_\_

Consortium Institution

Lead Institution

\_\_\_\_\_

Signature

\_\_\_\_\_

Signature

\_\_\_\_\_

Typed Name

\_\_\_\_\_

Typed Name

\_\_\_\_\_

Title

\_\_\_\_\_

Title

\_\_\_\_\_

Date

\_\_\_\_\_

Date

**UNIVERSITY OF IBADAN**

**COLLEGE OF MEDICINE**

**COLLEGE RESEARCH AND INNOVATION MANAGEMENT (CRIM) UNIT**

**INTENTION TO SUBMIT PROPOSAL**

<b>Name of PI :</b>		
<b>Department:</b>		
<b>Mobile No. &amp; E-mail(PI):</b>		
<b>Project Title &amp; Acronym:</b>		
<b>Link to announcement:</b>		
<b>Code type (e.g R21, U01 e.t.c):</b>		
<b>Funding Opportunity number:</b>		
<b>Closing date for submission:</b>		
<b>PI's possible date of submission:</b>		
<b>Should you need assistance (kindly tick appropriately):</b>	<b>Budgeting</b>	<input type="checkbox"/>
	<b>Collaborators</b>	<input type="checkbox"/>
	<b>Mentors</b>	<input type="checkbox"/>
	<b>Institutional letter of support</b>	<input type="checkbox"/>
	<b>Statistical Consultation</b>	<input type="checkbox"/>
	<b>Other(s) specify.....</b>	
<b>CURRENT GRANT(s)</b>		
<b>Grants</b>	<b>% Effort</b>	<b>Funding Body</b>
<b>For Official Use</b> Comments of AOR: ..... ..... .....		

**NOTIFICATION OF GRANT ADMINISTRATIVE FEE**

From: Principal Investigator .....

To: Financial Controller

Copies to - Provost, Audit, Personnel, CRIM

Grant Title:

Granting Body:

Specific Grant Identification Number:

Agreed Grant Admin Fee % in MoU \_\_\_\_\_

Exempt budget headings Nil

Equipment

Sub sites

Others (specified)

Total Net Amount on which fees is charged \_\_\_\_\_

Total admin fee due \_\_\_\_\_

Mode/Frequency of Deduction \_\_\_\_\_

*- DRAFT - College of Medicine, University of Ibadan (COMUI) - DRAFT -*