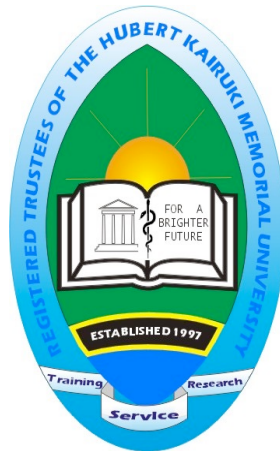


HUBERT KAIRUKI MEMORIAL UNIVERSITY (HKMU)



Research Policy and Operational Procedures for HKMU

March 2003

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Preface

Like all universities the world over, the Hubert Kairuki Memorial University (HKMU) is expected to contribute to national development through its role in higher education delivery, research and public service. Research is known to be the main mechanism for creation of new knowledge and enhancement of understanding. In order for HKMU to excel in research and publications, it will have to pro-actively embrace the culture of conducting research which for a young university like HKMU is not an easy task. This is because its success will be guided by the extent to which it will introduce incentives to encourage staff members to be active in research which will in turn be dependent on the ease with which the cultural re-orientation can be attained and appreciated, the availability of seed funds to initiate research work and the enhancement and exploitation of the postgraduate students research capacity.

The research work undertaken will have to be guided by the adopted research agenda that will have to be linked to the overall development objectives as articulated by the national research priorities. To ensure that research is properly nurtured in HKMU, clear mechanisms for facilitating conduct of research in a transparent manner have to be introduced in form of a Research Policy supplemented with Operational Procedures for its implementation. This document is comprehensive and has been able to address both internal and external stakeholders. The successful implementation of this policy will be contingent upon the ability of HKMU to mobilize research funds from local and international funding sources. It is hoped that HKMU will reward all staff members who will excel in research.



Prof. E. Mwaikambo
Vice Chancellor
Hubert Kairuki Memorial University

March 2003

1.0 Introduction

1.1 Background

This document on the HKMU *Research Policy and Operational Procedures* has been prepared in order to guide the academic staff of HKMU to undertake research. The document foresees the evolution of HKMU to embrace the culture of Research and that through its continued search for new knowledge, will also lead to new research topics. It is envisaged that the need to disseminate the research results locally and internationally will also be readily felt by HKMU management and the academic staff through rewarding well those who will excel in research. Creation of a conducive environment for enhancement of the culture of research and publications will be a critical step in the evolution of HKMU during the coming five years.

1.2 The Role of Research in Universities

Academic staff members of all universities in the world engage themselves in three principal or mainstream terms of references. These include:

- Teaching,
- Research (and Publications) and
- Advisory Service (in form of Consultancy or Public Services)

Any reputable university in the world has a duty to actively participate in the search for new knowledge through conducting research. Essentially, the ability to conduct research will attract a number of postgraduate students who in turn will also play a key role of assisting to push the frontiers of knowledge further under the guidance of their respective supervisors.

One of the distinguishing features of a university that has an international repute for research is the ability to attract research collaborators and/or international research funding. In this way, a university will be able to network with other universities and hence creating a conducive environment for researchers from either side to learn from each other. This way HKMU academic staff will have an opportunity to appreciate the other peoples' culture and research capability and vice versa. By doing so, HKMU will also manage to maintain a certain minimum degree of international contacts with the rest of the world through research collaboration that can also provide an opportunity for the visiting academic staff members to teach and also participate in evaluation of the HKMU curricula in order to mainstream any notable research findings into teaching. A university that does not do any research can be regarded to be nothing more than a "glorified secondary school".

1.3 Importance of Enhancement of the Research Culture at HKMU

From the foregoing sections, it is quite clear that to ensure proper nurturance of the culture of Research at HKMU, its introduction will have to go along with introduction of benefits and incentives to all active academic staff members of HKMU. To attain this, HKMU will to

some extent also rely on the complementary effects of three other policies and procedures. These will include:

- The policy and operational procedures for Postgraduate Studies,
- The Human Resources Management (HRM) policy and
- The staff Development Policy for HKMU academic staff.

Since HKMU started admitting postgraduate students right at the time of its inception, the continued existence of an attractive Policy for Postgraduate studies is critical for the research culture taking roots. Furthermore, a good postgraduate policy ought to be coupled with efforts of building of capacity in selected relevant areas of research competence. This will in turn be the key to attraction of an increased number of postgraduate students. Therefore, to some extent, the ability of HKMU staff to guide well the postgraduate students will give it the requisite reputation that will in turn lead to an enhanced research culture. In view of the limited capacity to deploy HKMU staff to do research in all medical areas and also the difficulty of accessing local and international research funding sources, it will be necessary for HKMU to develop its own Research Agenda as guided by both the national needs and its own Rolling Strategic Plan.

The Human Resources Management policy has a critical role in guiding HKMU staff members regarding their anticipated deployment in the three principal terms of references outlined earlier on including Research and Publications. Often, most universities expect their academic staff to spend an equal amount of time in teaching, research and the offering of advisory services. The HKMU staff development policy will in principal have to address the extent to which an academic staff of HKMU can benefit through effective participation in research in turn being rewarded for research based publications and also for their ability to participate pro-actively in postgraduate studies (teaching and research supervision).

1.4 Research and National Development

Two issues will distinguish the role of HKMU in national development. These include:

- Its ability to address relevant societal problems through research and to generate solutions through its quest for further fundamental undertaking of the causative reasons for the existence of those problems,
- Its ability to address research topics that fall within the strategic national priority agenda list as specified in the S&T sub-Master Plan (URT, 2002).

To be more systematic in terms of addressing the national development agenda, HKMU will need to reconcile the above two core research role with the global developments as spear-headed by scientific and technological developments to develop and update its own research agenda that must be well publicized to its staff. In addition, the HKMU research agenda will play an active role in deciding upon funding of research projects for funds centrally acquired by HKMU.

Research in the widest sense is the basis for the development of any society. If a society lacks the indigenous capacity for research, it becomes totally dependent on the outside

world. Experience indicates that no country has attained any breakthrough in its socio-economic development without developing a minimum of science and technology knowledge base of its own. It is nowadays becoming clearer that development in science and technology is not only an important determinant of a country's level of development but it also enhances its international standing in the world economy. A critical minimum level of research capacity in the country is a pre-requisite for the effective development of the necessary technology base for economic development.

It must be understood that universities play a more important role in Africa than in other regions in this respect. They are potentially the most capable institutions in their countries. The University role in research, evaluation, information-transfer and technology developments are therefore important for national social progress and economic growth.

1.5 Historical Overview of Research at HKMU

At the time of inception of HKMU as a private university, then referred to as Mikocheni International University (MIU) in 1997, no firm structure was as yet set up to manage research. However, when MIU was renamed as HKMU in 1999, the legal instrument that was to guide its development i.e. the HKMU Constitution had foreseen a structure to deal with research. This is articulated in Part _____ Article _____ and Clause _____ where an entity titled "Postgraduate Studies and Research Institute" that was envisaged to be responsible for:

- Coordination of postgraduate studies,
- Coordination of Research and Publications effort.

To date, inspite of involvement of HKMU in only limited research activities and admission of a few postgraduate students, no Director for the Postgraduate Studies and Research Institute has been appointed as yet. However, the current efforts to restructure HKMU appears to lead to the appointment of a Coordinator for Research and Publications. This decision is based on the need to allow the research culture to take root at HKMU but also to keep the research infrastructure at a commensurate level to the extent of growth of research.

In future, when the number of postgraduate students will be bigger and the academic staff members will be more deeply involved with research and publications, HKMU may have to review the organizational structure with view to replacing the Coordinator with a Director. However, this will be determined by the extent of expansion of the Research and Publications activities together with a notable expansion of the postgraduate student programmes.

1.6 Layout of the Document

The HKMU *Research Policy and Operational Procedures* has been sub-divided into six chapters. The introductory chapter has provided the background that explains for what purpose this report has been prepared. This is followed by the anticipated role of research in universities. The importance of the research culture is followed by an outline of the role

of Research in national development at the end of the introductory chapter, a brief historical overview of Research is given at HKMU since its inception.

The second chapter puts the Research process of HKMU within the context of its current Rolling Strategic Plan (2002/03) – (2006/07). Chapter three gives the objectives of the *Research policy* prior to its presentation in Chapter four. In the fourth chapter, a complete cycle outlining the main steps involved in the research process together with the necessary instruments is included. Chapter five gives the recommended strategy for implementation of the *Research policy*. Chapter six concludes the document presentation.

2.0 Research within the Context of the HKMU Rolling Strategic Plan

2.1 The HKMU Rolling Strategic Plan (RSP)

The first five year Rolling Strategic Plan of HKMU was approved by the HKMU Board of Trustees in December 2002. It runs from October 2002 to 30th September 2007 i.e. 2002/03 – 2006/07 with a provision for being rolled over once per annum. The current Rolling Strategic Plan (RSP) is guided by 13 Strategic Objectives each with specific strategies for achievement of the set targets. The plan is guided by the Theme of “COMPETITIVENESS, RESPONSIVENESS AND PROFESSIONALISM”. The plan was prepared through an intensely participatory approach and is currently implemented under the coordination of a Strategic Planning Committee. Within the RSP, the strategic objective No.3 is titled “ENHANCED RESEARCH AND PUBLICATIONS CAPACITY” is the one that guides the implementation of the proposed policy. These are further articulated in Section 2.3 of this report. The implementation of Research at HKMU is also closely guided by the following policy documents of the Government of Tanzania:

- The National Higher Education Policy (1998),
- The National Science and Technology Rolling (1996) and
- The Science and Technology Sub-Master Plan, 2002.

2.2 The Mission and Vision of HKMU

According to the HKMU Five Year RSP for 2002/03 – 2006/07, HKMU is guided by the following Mission Statement:

“To educate liberally and broadly qualifying men and women to undertake research and provide service to the public”

The envisaged Vision of HKMU is to work hard to ensure its achieves the following Vision:

“To become a model private university in Africa that provides high quality education. conducts research and provides service to the public”

2.3 The Anticipated Role of Research and Publications

Within the RSP the strategic objective No. 3 on strengthening the Research and Publications capacity is guided by eight different strategies as outlined in the 2002/03 – 2006/07 RSP. For each strategy, a number of activities are recommended in such a way it is possible to measure the extent of achievement over a period of time. In this case, where a strategy cannot be easily measured, the activities are drafted in such a way that they are SMART (Simple, Measurable, Realistic and Time-Bound).

It should be noted that at the time of approval of the RSP, it had not been decided on what type of office could coordinate the implementation of the HKMU *Research policy*. However, upon approval of the new organizational structure of HKMU, it is envisaged that the Coordinator for Research and Publications will be the principal officer assisting the DVC Academic Affairs to coordinate Research and Publications.

Strategic Objective 3: *ENHANCED RESEARCH AND PUBLICATIONS CAPACITY*

Strategy 3.1: Develop a Research and Publications Policy by 06/2003

Activities:

- 3.1.1 Contract a consultant to work with an internal team to prepare an operational policy and procedure on research and publications,
- 3.1.2 Discuss the proposal at all levels through the HKMU participatory organs,
- 3.1.3 Disseminate the policy amongst stakeholders,
- 3.1.4 Implement the policy,
- 3.1.5 Monitor and evaluate the implementation of the policy.

Strategy 3.2: Develop a Research Agenda for HKMU Guided by National Development Needs by 12/2004

Activities:

- 3.2.1 Conduct Faculty research agenda workshops and prepare agenda by 08/2003,
- 3.2.2 Conduct University-level research agenda workshop to integrate Faculty Research agenda into the HKMU Agenda by 10/2003,
- 3.2.3 Facilitate Faculties to develop research programmes on the basis of the HKMU and national research agenda by 03/2005.

Strategy 3.3: Staff and Strengthen the Office Responsible for Coordination of Research and Publications by 06/2004

Activities:

- 3.3.1 Appoint the Coordinator for Research and Publications by 12/2002,
- 3.3.2 Equip the office of the Coordinator,
- 3.3.3 Prepare a work plan based on the approved research agenda,
- 3.3.4 Implement the work plan.

Strategy 3.4: Support Academic Staff Publication Efforts

Activities:

- 3.4.1 Establish a system of quarterly Faculty research seminars,
- 3.4.2 Require that each academic staff must present at least one research based seminar per year as part of the necessary conditions of consideration for annual staff performance evaluation,
- 3.4.3 Set-up funds for, and encourage staff to present papers in, national and international conferences,
- 3.4.4 Facilitate publication efforts of staff research results through exchange visits, funding the publications or funding publication retreats,

3.4.5 Write a proposal for fund raising for research activities.

Strategy 3.5: Establish at Least Three (3) Funded Collaborative Medium Term Research Programmes by 12/2006 at HKMU

Activities:

- 3.5.1 Write at least one fundable research proposal per Faculty, by 12/2004,
- 3.5.2 Approve the proposals through HKMU participatory organs,
- 3.5.3 Approach various donors to fund the research proposals,
- 3.5.4 Implement the funded programmes.

Strategy 3.6: Encourage Staff to Conduct Research

Activities:

- 3.6.1 Conduct three (3) Research Methodology Workshops; 2 for beginners and 1 refresher course for all,
- 3.6.2 Intensify use of ICT in research and publications,
- 3.6.3 Mobilize research funds and establish a university research fund accessed through submission of proposals on a competitive basis.

Strategy 3.7: Facilitate Participation of Academic Staff in Professional/Academic National and International Conferences

Activities:

- 3.7.1 Mobilise and make available funds to participate in professional/academic, national and international conferences.

Strategy 3.8: Host Two National, Regional or International Scientific Conferences by 12/2004

Activities:

- 3.8.1 For each conference, write a proposal to solicit funding for the conference after deciding on a topical theme in the field of health sciences,
- 3.8.2 Prepare a detailed implementation action plan,
- 3.8.3 Prepare a strategy to encourage HKMU staff to actively participate in the conferences hosted,
- 3.8.4 Solicit funds,
- 3.8.5 Form organizing and editorial committees,
- 3.8.6 Issue the call for abstracts and papers,
- 3.8.7 Receive and review papers,
- 3.8.8 Hold the conference(s)
- 3.8.9 Produce conference proceedings.

It is important to understand that the above presented strategies and the activities are an extract of the HKMU RSP for the period 2002/03 – 2006/07 with some minor modifications on the office responsible for coordination of Research and Publications. Therefore the strategies that will be articulated in chapter five will be more comprehensively assessed and geared at ensuring effective implementation of the Policy that will be outlined in detail in the subsequent chapters and particularly in chapter four.

3.0 Objectives of the Research Policy and Operational Procedures

3.1 Overall Goal

The overall goal of the Research Policy and Operational Procedures at HKMU is two-fold and can be summarized as follows:

- To pro-actively promote and nurture the research culture amongst the academic staff of HKMU,
- To put up operational procedures in order to facilitate increased internal autonomy efficiency and effectiveness as one of the four pillars of effective transformation of HKMU (Luhanga *et al*, 2003).

It should be clearly understood that although the above goals seem to address internal factors, the *Research Policy* and *Operational Procedures* of HKMU has covered interests of both internal and external stakeholders of research. The consideration of external stakeholders goes as far as the research collaboration outside Tanzania apart from international funding agencies.

3.2 Objectives of the Research Policy at HKMU

The principal objectives of formulation of the *Research Policy* was to provide guidance for purposes of ensuring existence of an effective management of the entire research process and encompassing all the principal players. As regards the research process the *Research Policy* has covered it from the stage of identification of the research priorities (or agenda) to the stage of evaluation of the dissemination of research results. As regards the principal players for research, literature (Mbwette & Mwaluko, 1994) identify them to include: the researcher, the funding agency and the end users? The major objectives of drawing up a *Research Policy* at HKMU included:

- To outline how HKMU will contribute towards generation of new knowledge and refinement of research findings,
- To contribute towards research capacity building at HKMU,
- To provide a framework for development and updating of the institutional research agenda,
- To provide an institutional mechanism for effective coordination of research activities within HKMU,
- To provide a framework that encourages teamwork efforts in conducting research,
- To provide a mechanism that will chart out research collaboration between HKMU internal and external stakeholders,
- To establish a framework for research collaboration with institutions or individuals external to Tanzania,
- To provide a basis for soliciting funding or negotiation of funding frameworks with local or external funding agencies,

- To pave way for establishment of an institutional mechanism for co-ordination and management of research activities of HKMU staff members,
- To provide a framework guiding preparation of the research agenda at HKMU as guided by the RSP and the national priorities,
- To provide a framework for preparation and processing of research proposals up to the approval stage.
- To put up a mechanism to encourage HKMU academic staff to be engaged in research and publications activities as one of their tripartite principal terms of references of their deployment,
- To provide a framework for remuneration of staff members engaged in normal or contracted research activities,
- To make the HKMU academic staff members take interest in being engaged in research activities as much as they can participate in teaching and consultancy services,
- To facilitate HKMU to exploit the anticipated improvements of the ICT facilities by establishing an effective Research and Publications data base that will improve access and its management,
- Enhance staff awareness and realization of the academic staff on the importance of securing the intellectual property ownership in collaborative research,
- To provide a framework and capacity for HKMU researchers wishing to commercialize their research findings and/or seek patents or copyright,
- To enhance HKMU capacity to publicize its research and consultancy capacity to local and external stakeholders,
- To outline the guidelines on research ethics,
- To outline guidelines on quality assurance and control of research,
- To improve HKMU researchers realization on the importance of inclusion of the stage or phase of dissemination of research findings apart from publications,
- To provide a framework for evaluation of the institutional overheads in research activities,
- To provide guidelines for facilitation of international collaboration or networking,
- To ensure that researchers publish and/or present their research findings locally and internationally,
- To provide for sufficient observation of elliptical copies of research,

It is hoped that both the *Operational Policy and Procedures* for Human Resources Management and the Postgraduate studies policy will provide additional incentives for further promotion of research at HKMU. Nevertheless, it must be borne in mind that the university will have the final responsibility for the conduct and quality assurance of research at HKMU.

3.3 Objectives of the Operational Procedures for Research

The operational policy and procedures for research are meant to facilitate full operationalization of the HKMU *Research Policy*. For this reason, the operational policy and procedures are expected to outline:

- The manner in which approved research proposals will be implemented and evaluated (where applicable),
- The modes of control of the release of various research related payments through contracts,
- Format for evaluation of a research proposal,
- The format of a research report,
- The format of a typical publication in a refereed journal,
- The format of the evaluation form for completed research,
- Procedures for control and monitoring of the implementation of the research proposals with respect to the inputs, the process and outputs,
- The manner of control of the staff deployment in research as well as in teaching and public service (consultancy or advisory),
- Framework for sharing of research results with external stakeholders or funding agencies,
- Format of the progress reports of research proposals.

The principal purposes of the operational policy and procedures form will be to provide comprehensive guidelines for effecting implementation of the Research Policy provisions at different levels of the university. The assumption is that the research management structure at the university level will be reproduced at lower levels in order to promote the research culture. These will have to be done through use of both individuals and participatory organs.

4.0 Research Policy and Operational Procedures

The **HKMU Research Policy and Operational Procedures** has been drawn in order to articulate the objectives outlined in chapter three.

4.1 Setting Research Priorities

HKMU shall:

- Set its research priorities in line with the societal needs in the immediate areas of concentration,
- Take cognisance of the national socio-economic and development needs,
- Develop research around areas identified by the Ministry responsible for Health and the organs that are responsible for health at national and global levels,
- Be guided by the HKMU Rolling Strategic Plan in drawing its research priorities.

4.2 Formulation and Updating of Research Agenda

HKMU shall:

- Formulate its research agenda based on the established priority list at institutional and national level,
- Update such research agenda once in every three years,
- Allocate research funds centrally acquired in line with the HKMU research agenda.
- Respect the provisions of the national research agenda as outlined in the Science and Technology Sub-Master plan.
- Participate pro-actively in the envisaged national research teams to be formed around the strategic national research priority areas starting with health related research.

4.3 Contribution Towards Generation of New Knowledge

HKMU shall:

- Be active in generation of new knowledge through active involvement in both applied and fundamental research,
- Make an effective use of its postgraduate studies programme to actively search for new knowledge,
- Be pro-active in setting up research in areas that are identified to be the most needy at both local and national level,
- Establish strong institutional research teams around the most prevalent health related problems initially to be followed by other areas.

4.4 Research Planning and Capacity Building

HKMU shall:

- Set up, strengthen and equip an office that shall be responsible for overall coordination of research at HKMU. Initially an office for the *Coordinator for Research and Publications* shall be set up,
- In the future, when the Research activities will have substantially grown consideration for combination of Research, Publications and Postgraduate studies to form one Directorate at university level may be made,
- Build a lean administrative infrastructure to facilitate linkage of the university office with the Faculties and the academic departments through participatory organs responsible for Research and Publications,
- Ensure all academic staff are actively involved in the research planning process in a transparent and participatory manner,
- Create conditions that are conducive for all staff to participate in research activities that shall be separately appraised based on actual performance on an annual basis,

- Recognize research as an important input into the teaching function and hence shall aspire to introduce an annual award for both individuals and teams that excel in research.

4.5 Research Funding

HKMU shall:

- Make available some funding for selected research from its own budget,
- In collaboration with other universities and research organisations in Tanzania, work towards seeking increased funding for research,
- Actively solicit research funds from sources other than public funds including the local and international research funding agencies and private sources. These efforts will be done at individual and institutional levels (i.e. departments to university level),
- Provide HKMU staff with general information on possible sources and modes of acquiring research funding from both within and outside the university,
- Encourage establishment of Professional Research Chairs in different Faculties, Institutes or Colleges,
- Ensure that both basic and applied research receive some share of research funding in order to encourage HKMU academic staff to be involved to some extent in the quest for new knowledge.

4.6 Procedures for Approval, Control and Monitoring of Research Projects/Programmes:

HKMU shall:

- Ensure that staff are well aware of the institutional and national research agenda and participate in the process of defining the research agenda for their research areas,
- Give priority to projects within the HKMU research agenda when approving research funding. Research proposals will have to demonstrate that they are within the applicable agenda list.
- Promote relevant collaborative research projects,
- Follow the general frameworks guiding the preparation and approval of research projects. The Research project approval process is outlined in **Annex 1**. The framework addresses the following issues:
 - (i) Initiation of a research project;
 - (ii) Formats of a good research proposal. A sample format is included in **Annex 2**;
 - (iii) Scrutiny and approval process for research proposals shall focus on **relevance, need, soundness and resources requirements**. This will clearly spell out the roles and powers of different units within the relevant university administrative

hierarchy. A sample of a research proposal evaluation form is included as **Annex 3**;

- (iv) Planning and budgeting guidelines, including applicable rates for cost estimates.
- (v) An example of such budgeting format is included in **Annex 4**;
- (vi) Financial regulations governing financing of research;
- (vii) Procurement of equipment and consumables. These have to be within relevant university procurement policies and procedures, and in principle all equipment is or shall be the property of HKMU;
- (viii) Registration of research projects - whether internally or externally funded; Standard contracts will be signed between the funding agency or the university and the HKMU researcher(s). An example of a research contract is included in **Annex 5**;
- (ix) Progress reporting requirements, control and monitoring. An example of a research progress report format is included in **Annex 6**;
- (x) Regulations regarding employment within research projects. These will have to be outlined within the HRM policy; and
- (xi) Formats of list of contents of research reports. An example of such a format is outlined in **Annex 7**.

- Ensure that all **research proposals** are subjected to the HKMU approval process before being accepted for funding irrespective of the source of funding.
- Enter into a **research contract** with the researcher when the project has been approved irrespective of the source of funding. (Contract Format is given in **Annex 5**). Where there is an interest of joint ownership of research results/outputs, the contract shall be between the researcher as one party and the joint financiers as the other party. The issues of intellectual property ownerships are outlined in Section 4.13.

4.7 Institutional Research Overheads

HKMU shall:

- Require that research projects contribute at least 6% of the total project research costs to the institutional overheads.
- Ensure that the research overhead contribution is shared amongst the research administrative units at the various administrative levels. In this respect, a minimum of 2% shall be contributed to the respective department, 2% to the respective Faculty and 2% to the University. Where a College exists, the department will be replaced by the Faculty and the Faculty by the College.

4.8 Sharing of Research Resources

HKMU shall:

- Demand that Colleges, Faculties, Schools, Institutes and Departments have a transparent and objective criteria of making research opportunities known to members of staff and for allocating such opportunities,
- Encourage sharing of research project resources in order to utilize fully the available research resources and to avoid duplication or under-utilisation of facilities,
- Encourage and co-ordinate sharing of information. Such sources shall include books, journals and electronic data bases through effective exploitation of the university ICT facilities.

4.9 Research Collaboration

HKMU shall:

- Encourage collaborative research between its own researchers and other Tanzania researchers in order to strengthen the culture of teamwork,
- Facilitate collaboration between HKMU staff and external collaborators within the region and at global level,
- The collaboration will be guided by a standard Memorandum of Understanding (MoU) that will have to provide a comprehensive set of safeguards to HKMU staff including the joint ownership of intellectual property including publications (see annex. 8).

4.10 Financial Compensation for Opportunity Cost of Researching

HKMU shall:

- Make provision for staff members who are active in research to receive partial compensation for the opportunity cost of engagement in research,
- The financial remuneration shall be paid in form of a research management allowance and shall be built in the research proposal,
- The total amount of such remuneration shall never exceed 4% of the entire budget for all researchers. It shall be paid as an allowance or honorarium and hence shall not be taxed,
- The remuneration share/levels shall be reviewed regularly,
- Implementation of this policy will have to be explicitly allowed for in the HRM policy as a “performance-based” incentive.

4.11 Remuneration for Contracted Research

HKMU shall:

- Encourage its staff to be engaged in contracted research activities,

- All remuneration for contracted research to be negotiated between the researcher(s) and the funding agency,
- The 6% institutional research overheads shall be also be budgeted for in the contract,
- Ownership of the resulting intellectual property shall be explicitly stated in the contract including the basis for determination of the percentage share of ownership of each party. Annex. 8 gives a negotiation framework that is further detailed in section 4.13.

4.12 Effective Exploitation of ICT Facilities

HKMU shall:

- Exploit the envisaged improved ICT capacity of the university by establishment of a Research and Publications data base,
- Encourage HKMU researchers to make use of electronic data bases that are accessible through joint ownership or otherwise,
- Make sure the HKMU library provides an opportunity for its staff members to access the literature using the wide area network,
- To ensure all papers published by HKMU staff from their involvement in research activities are available in the R&P data base,
- Establish a database on available laboratory equipment to enhance resources sharing.

4.13 Ownership of Research Results

- When funding from the research comes from HKMU or public sources or funding through HKMU, the ownership of research results will belong to HKMU,
- Where research is funded fully or partially by an external source and the funding source has a desire to co-own research results, a formula for ownership of intellectual property has to be worked out and has to be annexed to the contract. The formula should include these elements:
 - (i) Intellectual contribution,
 - (ii) professional input and experience,
 - (iii) Technical or support staff input,
 - (iv) Time input of all parties,
 - (v) Financial contribution and
 - (vi) Research facilities
- A sample format for such a co-ownership negotiation framework is given in Annex 9.
- The negotiating parties must give due weightage to each of the element listed above.

4.14 Commercialisation of Research Results

- The commercialisation of research results shall be handled very carefully by HKMU,
- The university shall build capacity in order to advise staff members if and when to seek for a copyright or a patent (whichever is applicable),
- The researchers will have to carefully think about the advantages and disadvantages of either approach based on advise proposed by the university appointed expert on intellectual property ownership,

- Where agreement has been reached to commercialise research results, a qualified expert and a lawyer will be engaged by HKMU to propose and process the relevant documents.

4.15 Dissemination of Research Results

HKMU shall:

- Encourage incorporation of the dissemination of research results activities in the research proposals, e.g. departmental seminars, workshops etc,
- Require that research projects include in the proposal, the organisation of at least a local seminar/workshop to ensure local 'ownership' of research findings. For large research projects, local conferences/symposia shall be encouraged,
- Ensure that an international standard research report, shall be prepared.
- All research reports shall be subjected to an internal evaluation process before being disseminated. This will ensure quality control and assurance. An example of the review guidelines is included in **Annex 10**.
- Prepare and submit to potential policy makers research abstracts/research reports for their action attention.
- Encourage and support dissemination of research results through regular local and international fora.
- Encourage and support the inclusion of research publications into accessible databases (electronic or otherwise).
- Encourage the publication of research findings in the local media.
- Support efforts of publishing institutional or regional journals by HKMU staff.

4.16 Ethical Considerations

- Issues of ethics in research shall be handled and cleared by the office with the overall responsibility for research at university level through an *Ethical Review Committee*. The Committee shall be judiciously composed by the university R&P Committee. It will co-opt other members or consult other bodies for specific reviews. Ethical considerations shall be made when dealing with human subjects; confidential, sensitive, and private information.
- HKMU shall abide by all national provisions for ethical considerations in its research.
- HKMU shall ensure that both the research process and outputs aim at minimizing unfavourable impact on the environment.

- Will work closely with the national organs for coordination of research.

4.17 Evaluation of Effectiveness of Research

HKMU shall:

- Set up and implement internal mechanisms of getting feedback on the effectiveness of research in solving societal problems through the R&P committees at different levels,
- Set up and implement a mechanism for getting feedback from the society on the effectiveness of its research in solving societal problems through periodic reviews (2-3 years) involving external stakeholders and funding agencies and government,
- HKMU shall utilize the feedback received from the above two sources to review its action plans in relation to Research and Publications.

4.18 Disposal/Redeployment of Research Resources

- All equipment or machines purchased within a research project or programme will be the property of HKMU and its disposal or redeployment will follow the policy and procedures governing the disposal of university property (when obsolete or otherwise). Exceptions will be only where a signed contract/agreement explicitly indicates that the purchasing agent or funding source procedures for redeployment or disposed will apply.
- The unit/researcher or research team that had been allocated such resources should be given top priority in re-allocation of the relevant resource(s) when the research project or programme is completed.

4.19 Evaluation of Research Reports

HKMU shall:

- Introduce a mechanism for evaluation and quality control of the reports of completed research projects or programmes prior to publication.,
- Annex. 10 gives a typical set of guidelines for evaluation of a research report of a completed project.

These policy statements are to guide the general conduct of Research within HKMU. The specific policy intentions shall be operationalised by the relevant organs and offices within the university. A detailed set of operational procedures will be necessary in order to kick-start or initiate research management. In the next chapter, specific strategies of implementing each of the policy statements are presented.

List of Annexes

- Annex 1:** Guidelines for Approval of Research Proposals,
- Annex 2:** Format for Research Proposals,
- Annex 3:** Format for Evaluation of Research Proposals,
- Annex 4:** Typical Research Budget Format,
- Annex 5:** Research Contract Format for Research Proposals,
- Annex 6:** Research Progress Reporting Format,
- Annex 7:** Standard List of Research Reports,
- Annex 8:** Format of the MoU for Collaborative Research with HKMU,
- Annex 9:** Sample Format for Co-ownership Negotiations/Agreement of Research Outputs,
- Annex 10:** Guidelines for Research Report Evaluation.

Annex 1: Guidelines for the Approval of Research Proposals

1.0 Initiation of a Research Project

A research proposal should be prepared by interested researchers in accordance with the format given in **Annex 2**. The proposal should then be submitted to the Departmental Research and Publications Committee (DRPC) or an equivalent (Institutes/Bureaux).

To ensure maximum efficiency and to minimize administrative problems, a researcher is normally recommended to limit the number of research projects undertaken at any one time. The number and sizes of research projects will be dependent upon the DRPC's assessment of the individual researcher's ability to handle several research projects at a time. In any case, consideration shall be given to the guidelines presented in the HRM policy to ensure a reasonable balance between involvement in research, teaching and consultancy.

The approval of research proposals shall be based upon previous satisfactory performance. In general group research work will be given preference over individual ones. HKMU encourages international collaborative research and where funding is available, these should be given special preference.

2.0 Action by the Departmental Research and Publications Committee (DRPC)

The proposal should be discussed by the DRPC. Once the DRPC is satisfied with the relevance, the need, soundness and the financial estimates of the submitted research proposal it will be forwarded through proper channels to the Faculty, Bureau or Institute Research and Publications Committee (FRPC) with appropriate recommendations. However, if the departmental RPC is not satisfied with the research proposal, there are three possible courses of action that it can take:

- To return the proposal to the researcher(s) for review and subsequent re-submission.
- To interview the researchers) and then either subject the proposal to the action above or approve it subject to minor revision. Another outcome of the interview could be approval of the proposal as it is.
- To reject it outright if the committee is sufficiently convinced that the proposal is of sub-standard nature in both the content and presentation.

In case a research proposal is rejected and the applicant is not entirely satisfied with the decision one can appeal to, the Head of Department who might choose either to return it to the DRPC with recommendations or endorse the rejection., However, if

the proposal is rejected by the DRPC for the second time, no further appeals should be entertained. As a guideline, the DRPC should limit its evaluation to a maximum of three months.

3.0 Action by the Faculty Institute/Bureaux Research and Publication Committee (FRPC)

The FRPC will scrutinize the research proposal, especially the research objectives, research methodology, time schedule, phasing etc. The FRPC shall particularly scrutinise the cost estimates and can make other specific recommendations on the area coverage and resources required although academic responsibility and evaluation lies with the departments.

If the FRPC is not satisfied with the research proposal, it is proposed that the courses of action to be taken shall be similar to those taken by the DRPC. The only exception is that, in the case of an appeal after the first rejection by the FRPC, the proposal is forwarded to the Dean or Director of the faculty/institute who shall make his/her recommendations to the FRPC. As a guideline, the maximum evaluation period of a research proposal at Faculty/Institute level should not exceed three months. For projects funded at Faculty/institute level the FRPC have the final say on the approval of project (with room for appealing to the Dean/Director).

The projects shall be registered appropriately and both a copy of research proposal and the registration number forwarded to the Directorate for research.

For University funded research applications the FRPC shall make recommendations for funding to the appropriate University level committee.

4.0 Action by University Research and Publications Committee (RPC)

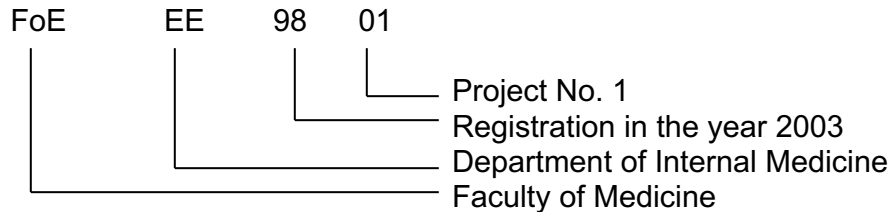
The RPC shall receive and consider any proposal for funding after being satisfied of the relevance, need soundness and financial estimates. The RPC shall have the following alternative courses of action.

- To accept the proposal for funding when the committee is satisfied.
- To return the proposal to the FRPC for review and subsequent resubmission if the guidelines are not followed or if the procedures have not been adhered to.
- To approve it subject to minor revisions to be made by the applicant(s).
- To reject it outright if the committee is sufficiently convinced that the proposal is of sub-standard nature in both the content and also the presentation.

In case a research proposal is rejected and the applicant is not entirely satisfied with the decision, one can appeal to the VC who might choose to either return it to the University RPC with recommendations.

5.0 Approval and Registration

All research projects shall be registered with the Directorate responsible for research whether they are funded at Faculty/Institute or University level. A Research proposal shall be numbered serially preceded with Faculty/Institute and Department and year codes as follows:



The directorate for research shall coordinate research project registration. The coordinator shall also maintain an up-to-date database of all research projects within the University.

6.0 Research Contract and Funding

An approved research proposal shall only be funded once the researcher(s) has signed a contract with appropriate offices. These shall be at Faculty/Institute or University level depending on where funding is sourced. In any case, the contracts signed at Faculty/Institute level shall be deemed to be contracts with the University. Format for research contracts is included in **Annex 5**. Originals of research contracts shall be signed by the Coordinator for Research and Publications irrespective of the source and level of funding.

7.0 Interim Progress Reports

At the end of each phase, the researchers are required to produce interim progress reports giving the up-to-date research findings through the departmental DRPC. A format for such progress reports is given as **Annex 6** of these guidelines.

If as a result of the progress report there is a need to modify the contract (or schedule of payments), this request should be formally made through and recommended to the FRPC by the FRPC.

In some cases, the DRPC might wish to send the interim report(s) to an independent reviewer before approving the next phase. Such cases will involve research projects handling massive data that is not easy to interpret or research projects involved in very recent technological developments not well established in the department concerned. However, in any case, the funds for the next phase can only be released after the approval of the progress report by the RPC.

8.0 Final Research Report

At the conclusion of the research, a final research report should be submitted in the format contained in **Annex 7**. This should include all the data, results and findings obtained during the execution of the research project. The interim progress reports will normally form the basis for the final consolidation research report. The draft final research report should be sent to the DRPC which shall appoint an independent reviewer and then submit the review report to the DRPC together with their comments within one month after receipt of the researcher's report. The guidelines for reviewers are given in **Annex 10**

The researcher(s) will be required to modify the draft report as much as possible according to the reviewer's recommendations if there are no major differences in their opinions. In the case of serious differences in the opinions, the DRPC will have to appoint a second independent reviewer who will have to finish the review exercise within two weeks. In such a case, the DRPC will have a final say on the required modifications to the draft report after receiving the second reviewer's report. No appeals will be encouraged at this stage.

These final research reports should have a standard front cover (see **Annex. 7**) and a unified printing format similar to the one demanded by international journals. All final research reports will have a unified code number e.g. FoN/MAN/3*/2003 or FoMIM/7*/2003. The Coordinator for Research will assign these numbers after the approval of the draft final report. The numbers marked with an asterisk (*) should be in serial order.

At least 5 (five) copies of the final research report should be submitted to the FRPC for final approval. After the approval, these copies will be distributed as follows; Faculty Coordinator for Research and Publications, FRPC, Head of department, coordinator DRPC, HKMU main library and the section library where this exists. The abstracts of the final reviewed research reports should be published periodically in the respective Faculty/institute journals.

9.0 Research Seminars

The researchers should be required to give a seminar/conference at the conclusion of their research work and should also be encouraged to give periodic seminars during the research work. The seminar/conference presentation will in principle be the last item to be handled by the researcher(s) after completion of the exercise of reviewing the final draft report. This shall be a pre-condition for the release of the final payment to the researcher(s).

Annex 2: Format of Research Proposals

1.0 Title of the Project

The title should be scientifically valid and sufficiently descriptive to reflect the nature of the proposed work. The title of the project once approved cannot be changed or modified without the written consent of the respective FRPC.

2.0 Summary of the Project

A summary of the proposed project should be submitted taking into account the objectives, methodologies and the budget. Considerable attention should be given to the preparation of this item. It is suggested that you write this item last.

3.0 Objectives of the Project

A clear statement of the general problem(s) or issue(s) at hand should be given. Strategic goal(s) to which the solution of the stated problem(s) will contribute should be explicitly stated. Specific objectives and targets must be clearly stated in order to facilitate monitoring and evaluation of the project.

4.0 Literature Review and Contribution of Project

The research applicant must show the interrelationship of what has been done by others in the field and what he/she intends to do. It should reflect a thorough survey of the existing state of knowledge and how and in which way the intended work is going to contribute to the advancement of knowledge in the context of the problem to be solved or bring about socio-economic development.

5.0 Methodology

The researcher should clearly and thoroughly spell out the research plan for the project. The plans should identify and describe the different phases of the project. It should also indicate that the proposed methods and analytical techniques are feasible. This section should also describe the facilities and major items or equipment to be used. The researcher should also show the relationship of his/her project to other ongoing projects in as far as sharing of physical facilities, equipment and data it concerned.

6.0 Project Duration

The anticipated duration of the project must be given to enable the appropriate HKMU participatory organs set aside the funds approved for that duration. It will also assist in drawing up monitoring schedules.

7.0 Organizational and Management Plan

The details and rationale for human power needs, budget requested, work schedules and organizational structure of the project should be given here. Bar charts and key decision points should be used to illustrate the research plan, including contingency plans.

8.0 Anticipated Output and Utilization Plan

Specific solutions to the specific problem(s) or issue(s) that were addressed in the research projects constitute the anticipated output of the project. These outputs must tally with the objectives spelt out. In this section discussions on the steps already taken or planned to be taken to utilize the research results must be given. It should clearly list direct and indirect beneficiaries of the research output.

9.0 Education and Training Components

Specific educational and training requirements and programs geared at improving the professional capability of the staff involved in the project should be discussed in this section.

10.0 Facilities and Funding

The applicant should show the breakdown of all the funds being requested under the following: equipment (type of equipment and costs); travel (fares and places to be visited); others (specify). Where the applicant has applied for funds from some other sources he/she should specify the name of the Organisation, the date of application, the amount requested and its planned use.

11.0 Justification or Rationale

This section should clearly show the importance of the project by stating that the anticipated benefits of the project exceed the expected expenditure. The proposal should also show how the results of the research will be able to reach the end users and bring about socioeconomic development. The researcher should discuss the following issues as they relate to his/her project:-

- Technical feasibility
- Research costs
- Relevance
- Researchability
- Contribution to long-term capability building
- Probability of research success
- Availability of outside scientific inputs.

12.0 Publication

Indicate where and in which form the results of the work may be disseminated/published.

13.0 Work Plan

The proposal should indicate the roles of the key researchers and timing of their involvement. The plan should clearly show the role of the principal investigator.

14.0 Budget

The estimated budget for the research proposal should be itemized and presented in a clear format as shown in **Annex 4**.

15.0 Curriculum Vitae

Where deemed necessary, CVs of the key researchers shall be attached to the proposal.

Annex 3: Format for Evaluation of Research Proposals

- | | YES | NO | |
|--|--------|--------|---|
| 1. SUMMARY | [] | [] | Is clear and concise |
| Comments: _____ | | | |
| 2. LITERATURE REVIEW | [] | [] | Comprehensive, relevant and up to date |
| Comments: _____ | | | |
| 3. GOALS & OBJECTIVES | [] | [] | Clearly stated, priority clear and objectives achievable |
| Comments: _____ | | | |
| 4. STATEMENT OF PROBLEM AND RATIONALE | [] | [] | Clearly stated and proposal is well reasoned out |
| Comments: _____ | | | |
| 5. METHODOLOGY | [] | [] | Proper, well designed, and related to all objectives stated |
| Comments: _____ | | | |
| 6. PERSONNEL (CVs) | [] | [] | The applicant(s) is scientifically and technically capable |
| Comments: _____ | | | |
| 7. BUDGET (AND JUSTIFICATION) | [] | [] | Realistic |
| Comments: _____ | | | |
| 8. CONCLUSION: Do you recommend approval of this proposal? | [] | [] | Yes as presented |
| | [] | [] | Yes, subject to minor revisions shown under, "Comments", |
| | [] | [] | No, see detailed comments under item 9. |
| Comments: _____ | | | |
| 9. ANY OTHER COMMENTS: | [] | [] | No, do not recommend it. |

Note: Reviewers should be free to use a separate sheet of paper (no more than two) to prepare detailed comments on any aspect and attach to this form

Annex 4: Typical-Research Budget Format

1. Cost Estimate

Cost estimates for research Project proposals should be given under various subheadings such as

- i) Equipment, books, tools costs (if any)
- ii) Payments to supporting staff
- iii) Labour costs
- iv) Consumables/materials
- v) Travel and accommodation costs
- vi) Report writing costs
- vii) Honoraria; mention names of recipients, applicable rates and duration
- viii) Contingencies; usually 10 - 15% should be allowed for.
- ix) Research administrative costs - at least 8% of all costs.

The cost estimates should conform to approval rates.

- Indicate which cadre of supporting staff, for how long and state the basis of payment i.e. either a fixed rate per hour or lump-sum payment(s).
- For consumables/materials, indicate the local/foreign cost component.
- Here state the applicable per them or the estimated ticket cost, duration of stay, accommodation charges per night, food cost/allowance, if traveling by road in a faculty/personal vehicle indicate the total distance to be traveled and the applicable rates. Allow for the driver's expenses.

2. Budget Format and Payment Schedule (see next page).

HUBERT KAIRUKI MEMORIAL UNIVERSITY SUMMARY OF RESEARCH PROJECT BUDGET

Faculty/Institute: _____ Department: _____

Research Title: _____ Principle Researcher: _____

COST CODES	Total	Proposed Payment Schedule				Final	Comments
		1 st Instal.	2 nd Instal.	3 rd Instal.	4 th Instal.		
1.0 DIRECT COSTS							
1.1 Equipment, books, tools costs (if any)							
1.2 Literature							
1.3 Payments to supporting staff							
1.4 Labour costs							
1.5 Consumables/materials							
1.6 Report writing costs							
1.7 Dissemination workshop/seminar or conference							
2.0 TRAVEL AND TRANSPORT							
2.1 Travel to/from outside DSM							
2.2 Local transport							
2.3 Special requirements							
3.0 ACCOMODATION COSTS							
3.1 External assignments per diem							
3.2 Other costs							
4.0 HONORARIA (payable to researchers)							
5.0 RESEARCH ADMINISTRATIVE COSTS (at least 6% of all costs)							
6.0 CONTINGENCIES ; allow for 10%*							
GRAND TOTAL							

Payment Conditions:	1 st Installment	Signed	Main Researcher
	2 nd Installment	Signed	Department Coordinator for R&P
	3 rd Installment	Signed	Head of Department
	4 th Installment	Signed	Associate Dean/Director, R&P
	Final Payment	Signed	Coordinator, R&P

* To be released upon application only.

Annex 5: Research Contract Format for Research Proposals

HUBERT KAIRUKI MEMORIAL UNIVERSITY

CONTRACT FOR RESEARCH

1. Name of Researcher(s) 1. _____
(Principal Researcher)
2. _____
3. _____
4. _____

I, the Principal Researcher mentioned above, undertake to carry out the research project, titled..... the details of which are contained in the attached approved proposal.

3. The duration of doing the research will be..... Months.
4. The Hubert Kairuki Memorial University (HKMU) undertakes to provide funding for the proposal project for the total amount of TShs..... subject to the availability of funds.
5. The payment will be in accordance with the approval schedule that is attached to this contract.
6. All supporting staff, e.g. secretarial, technical and auxiliary will be from among the HKMU staff/students. Permission to employ staff outside HKMU if for an extended period of time and/or on regular basis should be obtained from the Coordinator, R&P before it is effected.
7. HKMU reserves the right to withhold payment partially or fully, if it is not satisfied with the progress of the project.
8. The researcher(s) shall be required to refund the HKMU payments received fully or in part in case of non-performance.
9. HKMU will have copyrights on the research.
10. The research project has been assigned a unified HKMU Code No.....

We the undersigned accept the above mentioned terms and conditions.

Principal Researcher

Witness

Coordinator, Research and Postgraduate Studies

Date

Annex 6: Research Progress Reporting Format

1.0 PROJECT DESCRIPTION

SECTION A: SUMMARY OF ADMINISTRATIVE INFORMATION

1.1 Project Number & Title: _____

1.2 Principal Researcher
Name: _____ Department: _____

1.3 Period (month/year) covered by this report
From _____ to _____

1.4 Period (month/year) covered by previous progress report:
From _____ to _____

1.5 Starting date of Project: _____

1.6 Estimate duration of Project Date of estimated completion
Initial: _____
Latest: _____

1.7 Estimated cost of Project (in Tshs): _____

1.8 Funds allocated to project (in Tshs): _____

Phase 1	Phase 2	Phase 3	Phase 4	TOTAL
_____	_____	_____	_____	_____

2.0 PROJECT OBJECTIVES

Briefly state the project objectives, indicate which (if any) are changed or new, and give the reason for any revision (1) since the start of the project, and (2) since the latest progress report.

3.0 PROGRESS SINCE LAST REPORT

A: SCIENTIFIC PROGRESS

Include sufficiently detailed summaries of work carried out and results obtained to permit an *informed* critical scientific assessment of the work by the respective committees and per reviewers. If possible, results should be presented in tabular or graphic form. Summaries should be complete in themselves and as brief as possible, consistent with clarity (a maximum of two pages is required).

SECTION B: PROGRESS TOWARDS ACHIEVING PROJECT OBJECTIVES

Describe advances and/or problems encountered towards the completion of the Plan of Work for this reporting period. Interpret new findings (both positive and negative) in terms of the objectives of the project and state if they are expected to increase (or decrease) the duration, total cost, and/or likelihood of success of the project. If findings indicate potentially fruitful alternative and/or additional lines of research, indicate so with sufficient explanatory information to ensure understanding by reviewers.

4.0 FINANCIAL STATEMENT OF INCOME AND EXPENDITURE DURING THE PERIOD COVERED BY THE REPORT*

PERIOD COVERED (DATE) _____ TO _____.					
		Amount ¹ Brought Forward	Fund ² Received	Funds ³ Expended	Balance ⁴
1.	Direct Expenditures				
2.	Travel and Transport				
3	Per Diem				
4.	Honoraria or Research Management Allowance				
GRAND TOTAL					

1. Amount should be shown in Tshs.
2. The breakdown should be as shown in the budget approved for the reporting period.
3. Include as funds expended those for which commitments have been made.
4. This amount is the sum of amounts in the first two columns, less the amount in the third. The balance should be reconciled with approved budget indicated in **Annex 4.**

Annex 7: Standard List of Content of Research Reports

1.0 Research Report Content

A research report should include the following headings:

- Abstract
- Acknowledgments
- Table of contents
- List of figures
- List of symbols
- Introduction
- Objectives
- Literature review
- Methodology
- Experimental details
- Results
- Analysis and Discussion of the results
- Conclusions and Recommendations
- References/Bibliography
- Tables
- Plates
- Figures
- Appendices

2.0 Report Format

- All headings should be left justified.
- Line spacing should be single and fonts should be 12 cpi.
- Left margin should be 1.5in and 1 in on all other sides.
- Typing should be on both sides of the A4 page.
- Format for quoting reference numbers in the text and references should be standard. British Citation Standard BS 5605:1990 is recommended. Any other standard that is recommended for certain professions could also be used.
- Report cover shall be as shown in the attached format.

Examples:

(i) Technical articles

Lembu, T. R., 1997. Informal Construction Sector Performance in Tanzania. *Tanzania Engineer, IET*, 10(3), pp.37 - 43.

(ii) Books

Masatu, C. K., 1996. *Implementing Total Quality Management in Higher Education*. Dar es Salaam Higher Education Press, Dar es Salaam. 156pp.

(iii) Reports

Construction Industry Development Board, 1992. *Construction Industry Sector Development Strategy - A Summary of Needs*. CIDB, Dar es Salaam. 142pp.

- Tables, Plates and Figures should either be included in the text at the appropriate places or they should be at the end of the text, after references.

(iv) Quotation from Websites

<http://www.tzonline.org>, "Development Partners" visited 22nd March 2003

3.0 Electronic Format

For purposes of inclusion in the UDSM electronic database, an electronic format of the report based on commonly used software shall also be submitted.

Annex 8: Format of the MoU for Collaborative Research with HKMU

STANDARD FORMAT OF MEMORANDUM OF UNDERSTANDING (MoU) FOR COLLABORATIVE RESEARCH WITH HKMU

.....

Preamble

The Hubert Kairuki Memorial University, Tanzania, hereafter referred to as 'HKMU' and The University, "*Country*", hereafter referred to as

RECOGNIZING the mutual interests in the fields of research, development, education, training, transfer of technology and dissemination of knowledge on long term non-commercial basis, and also,

RECOGNIZING the importance of universities role in promotion of international collaboration and increased contribution to society development and,

CONSIDERING the already existing informal contacts between academic members of staff of the two Universities.

Now, the Hubert Kairuki Memorial University, Tanzania comprising one party of the collaborating institutional and The University of, "*Country*" of the other.

HEREBY do agree to establish a "sister university" collaboration according to the terms and conditions set out in the Articles following hereunder.

The words "The two Institutions", "Collaborating Institutions" and "Sister Universities" in the Agreement, refer to the Hubert Kairuki Memorial University, Tanzania and The University of, "*Country*".

Article 1

FIELD OF COLLABORATING

1.1 Collaboration between the two institutions will be established within any field of common interests.

- 1.2 Special emphasis, however, will be given to fields related to,
....., and
- 1.3 Joint projects, within the various fields of will be given priority.
- 1.4 Where one collaborating institution does not have the capacity to cover a field of interest requested by the other, the requested institution will facilitate such a request by identifying another institution in the relevant home country to the requesting party.

Article 2

EXCHANGE OF STUDENTS

- 2.1 Students at postgraduate level of either University, who wish to undertake a short term non-degree programme or field/research work at the other university, will be assisted by the host institution in getting authorization, accommodation, transportation, office, library and laboratory facilities, provided the programme is accepted by the home institution and by at least one supervisor from each institution. The student should have special funding for extra costs of transportation, daily living and books etc.

Article 3

EXCHANGE OF UNIVERSITY STAFF

- 3.1 The purpose of normal exchange of staff shall be teaching and collaborative research.
- 3.2 Following receipt of written credentials and proposed activities, either party may submit a letter of invitation to the other party, thereto outlining the proposed terms and conditions under which the visit is to take place.
- 3.4 Negotiations between the parties concerning such proposed visits, shall include consideration of the methods and source of funding for the expenses of the visiting staff member or members.

Article 4

CONTINUING EDUCATION PROGRAMMES

- 4.1 The sister universities will collaborate in organising Professional Development programmes (PDP), workshops and seminars in Through such

programmes the two institutions will work for dissemination of up to date knowledge to professionals in the field.

Article 5

RESEARCH PROJECTS

- 5.1 Efforts will be made to provide, information about on-going research activities in order to establish contacts and collaboration between professionals working within the same fields.
- 5.2 In the case where a joint research project has been proposed by either party, efforts will be made to evaluate the need for participating staff, and the location of the research activities. If a decision is made by both parties to approve the proposed project as a possible joint effort, both institutions will agree to actively seek funding for the proposed joint research project.
- 5.3 Every joint research project will have a counterpart supervisor from amongst the qualified staff from both institutions.
- 5.4 The project supervisors will be responsible for reporting on the project status at least once in every six months.
- 5.5 The mode of ownership of research materials and research findings shall be spelt out clearly at the commencement of a participation of each party and the prevalent regulations of the sister Universities.

Article 6

FUNDING AND FINANCE

- 6.1 The HKMU and The will offer logistic support for initiating the collaboration and for working out draft proposals for the major activities.
- 6.2 Funding resources for the administration of the collaboration will be sought by both parties.
- 6.3 In special cases, e.g. during seminars, conferences or when making arrangements for preparatory meetings, funds may be applied for from outside organizations.
- 6.4 The two collaborating institutions will seek funding for specific and major joint research activities.

Article 7

LINK MANAGEMENT AND ADMINISTRATION

7.1 Negotiation, implementation, and reporting on the progress concerning the collaboration will be coordinated by:

(a) The Head,
Department of,
Hubert Kairuki Memorial University,
P.O. Box,
Dar es Salaam,
Tanzania.

(b) Full "*Address of the relevant office of the intended partner University*".

7.2 Coordination of the Activities:

Issues about specific activities, including rights and obligations of each party, shall be notified or communicated to the offices mentioned in 7.1 above.

7.3 This Agreement shall have a duration of three years renewable for further three years unless either party gives notice of termination not later than six months prior to the expiry of the existing Agreement.

7.4 The Agreement will take effect upon ratification by the Vice Chancellor or HKMU and the President Rector/Vice Chancellor of

Article 8

GENERAL PROVISION

8.1 The two institutions will carry out joint research and related scholarly activities, conducted as a follow-up of this Agreement. The activities must be carried out in accordance with appropriate laws and regulations existing in each country and institution.

8.2 The two Institutions shall work out detailed implementation plans of collaboration, indicating who will participate in the research and exchange programme and when. These plans will be reviewed regularly (once every two years).

- 8.3 Both Institutions shall initiate an exchange of publications, publication lists, academic journals, and other official publications, including University calendars, generated by either or the two parties.
- 8.4 The two Institutions shall write up a progress report about the status of the link once very second year, and review plans for the collaboration during the period.
- 8.5 Selected papers, books, scientific reports and lecture notes, which may be of common interest to the two Universities, will be exchanged. This will be provided with adequate security as far as intellectual property laws are concerned.
- 8.6 All publications resulting from the collaboration between the two institutions will be mentioned in the reports. Likewise this agreement must also be mentioned in all formal presentations, which result from the collaboration under the terms hereof.
- 8.7 Detailed implementation plans of the Agreement will be worked out for all the major joint research projects, and other joint activities resulting from this Agreement. Such documents have to be accepted by the involved institutions of their departments, and the coordinating officers.

RATIFICATION OF THE AGREEMENT

.....
 Professor M.L. Luhanga
 Vice-Chancellor
 Hubert Kairuki Memorial University
 Tanzania

.....
“Professor
President/Rector/Vice Chancellor
University of
Country”

Date:.....

Date:.....”

.....
 Professor

.....
 Head, Dept. of

.....
 Hubert Kairuki Memorial University

.....
“Professor
Director of
Tanzania
University of
Country”

Date:.....

Date:.....”

Annex 9: Sample Format for Co-ownership Negotiations/Agreement of Research Outputs

1.0 Criteria

Six criteria for sharing copyright ownership are proposed. These are described below:

1.1 Intellectual contribution

Intellectual contribution is based on academic qualifications and seniority of the research team members. The following points shall apply:

<u>Level</u>	<u>Points</u>
PhD or equivalent	4 - 5
MSc, MPhil MA and Postgraduate Diploma or equivalent	2 - 3
BSc, BA and HND (or equivalent)	1 - 2

1.2 Professional experience

Professional experience shall be evaluated by considering the working experience in terms of years of employment in that particular profession according to the following scale:-

<u>Duration of Experience</u>	<u>Points</u>
Above 10 years	3
Between 5 - 10 years	2
Below 5 years	1

1.3 Technical staff support

Under this criterion, technical support contribution shall be awarded a points ranging from 1-4 depending on the relative contribution of the technical staff irrespective of rank.

1.4 Time of involvement

The time of involvement is evaluated by breaking down the duration of all project activities into person-hours and then determining the equivalent person-hours spent by each individual.

1.5 Financial contribution

- 1.5.1 Honoraria or research management allowance payments are not included in the financial contribution because each institution pays honoraria to its personnel based on the respective company/institution's policies.

- 1.5.2 Financial contribution shall therefore include investment cost, cost of materials and consumables and operational expenses.

1.6 Facilities for research

The cost of using any machine shall be calculated as a product of time spent on the machine and the machine charge rate. These rates shall be computed at the end of the respective project, by mutual agreement of team members on the times and rates for the facilities used.

2.0 Evaluation of shares

2.1 Weighting

- 2.1.1 Fundamental research and product development projects shall carry different weighting factors, and the weighting should add up to 1.0.
- 2.1.2 Fundamental research is that which starts from basic principles to develop a concept into a product.
- 2.1.3 Product development or innovation is work input to an existing concept or product to produce a better product.
- 2.1.4 The details of the weighting factors for both fundamental research and product development work are summarized in Table 10.1.

2.2 Ownership share percentage evaluation

The format to be used in all co-sponsored research projects, for computation of the percentage share ownership is shown in Table 10.2.

HUBERT KAIRUKI MEMORIAL UNIVERSITY

(Name of Faculty, Institute or Bureau)

[HKMU Emblem]

FINAL RESEARCH REPORT

(TITLE OF THE RESEARCH PROJECT)

Research Report No: _____

Authors:

1. _____
2. _____
3. _____
4. _____

(Date –Month, Year)

Annex 10: Guidelines for Research Report Evaluation

1. General Evaluation

Editorial quality

Comments: _____

Layout

Comments: _____

Length

Comments: _____

Quality of References

Comments: _____

Adherence to general requirements (fonts, line spacing, margins etc).

Comments: _____

2. Detailed Evaluation

Abstract: Does the abstract adequately summarise the report?

Yes

No

Comments: _____

Introduction: Does the introduction sufficiently detailed for this form of research?

Yes

No

Comments: _____

Objectives: Are the research objectives clear and do they reflect what has been achieved in the research?

Yes

No

Comments: _____

Literature review: Is the literature review relevant, sufficient and up to date?

Yes

No

Comments: _____

Research methodology: Is the research methodology sufficiently described?

Yes

No

Comments: _____

Experimental details: Are the experimental details well described and can they be Repeated?

Yes

No

Comments: _____

Results: Are the results expected accurate and well presented?

Yes

No

Comments: _____

Analysis and discussion of the results: Is the analysis accurate and exhaustive?

Yes

No

Comments: _____

Is the discussion of the results accurate exhaustive and conclusive?

Yes

No

Comments: _____

Conclusions and recommendations: Are the conclusions and recommendations relevant and consistent with analysis?

Yes

No

Comments: _____

Do the conclusions and recommendations match the research objectives?

Yes

No

Comments: _____

Are the references/bibliography relevant, exhaustive and up-to- date?

Yes

No

Comments: _____

3. Recommendations

Would you recommend that the report be published:

- Without changes
- With minor changes
- With major revisions
- Not to be published due to poor quality

Reasons: 1.

2.

3.

4.

TABLE 10.1: WEIGHTS FOR THE DIFFERENT CRITERIA FOR CALCULATING SHARES OF COPYRIGHT OWNERSHIP

NO.	CRITERIA	RANKING		WEIGHTING	
		FUNDAMENTAL RESEARCH	DEVELOPMENT	FUNDAMENTAL RESEARCH	DEVELOPMENT
1	Intellectual Contribution	6	3	0.28	0.14
2	Professional experience	4	6	0.19	0.28
3	Technical support	2	4	0.10	0.19
4	Time of involvement	1	2	0.05	0.10
5	Financial contribution	3	5	0.14	0.24
6	Facilities for research	5	1	0.24	0.05
	TOTAL	21	21	1.0	1.0

TABLE 10.2: COPYRIGHT SHARE EVALUATION TABLE FOR CO-SPONSORED RESEARCH PROJECTS

TITLE OF PROJECT: _____

NAME OF TEAM LEADER: _____

NAMES OF TEAM MEMBERS: _____

NO	CRITERIA	POINTS		PERCENTAGE SHARE		WEIGHTING		GPA	
		UDSM	Partner	UDSM	Partner	Fundamental Research	Development	UDSM	Partner
1	Intellectual contribution								
2	Professional experience								
3	Technical support								
4	Time of involvement								
5	Financial contribution								
6	Facilities for research								
		TOTAL							
		TOTAL GPA							
		PERCENTAGE SHARE OWNERSHIP							