

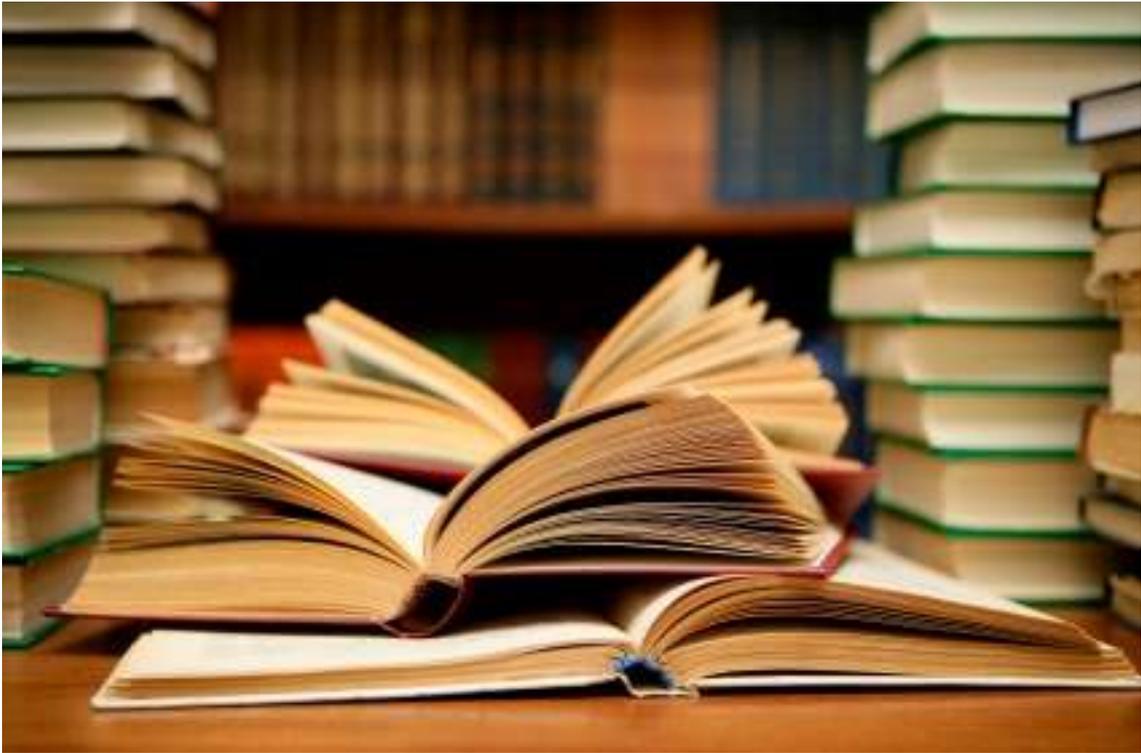
TUMAINI UNIVERSITY
DAR ES SALAAM COLLEGE
(TUDARCo)

(A Constituent College of Tumaini University Makumira)



RESEARCH POLICY
AND
OPERATIONAL PROCEDURES

DECEMBER 2015



For More Information or Inquiries contact
The Office of Deputy Provost for Academic Affairs,
P.O. Box 77588
Dar es Salaam, Tanzania
Web: www.tumainidsm.ac.tz
E-mail: dpaa@tumainidsm.ac.tz

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Preface

The Tumaini University Dar es Salaam College (TUDARCo) is a Constituent College of the Tumaini University Makumira and established since April 2003. Its academic programmes commenced during the academic year 2003/2004.

The vision and mission of the College, as stated in its Five-Year Rolling Strategic Plan 2014/15-2018/19 is to provide integrated teaching, research and consultancy (public service) in education that addresses the challenges of national and regional development. The College, being one of the private higher education institutions, its primary business is teaching, conducting research and public service for improved quality of life of the Tanzanian people. When research and teaching take place within the same institution, and to some degree by the same people, there may be more direct and immediate gain to both sides. Research is concerned with producing new knowledge and critical testing of existing knowledge. Teaching is one of the major ways through which research findings are disseminated. For mutual support, therefore, research and teaching at the College are planned and carried out as integrated elements in a joint institutional strategy.

The College is obliged to contribute to Tanzania's socio-economic growth through research, education and service to the community leading to improved people's livelihoods within the framework of National Strategy for Growth and Reduction of Poverty i.e. MKUKUTA (Mkakati wa Kukuza Uchumi na Kupunguza Umaskini Tanzania), MKUZA (Mpango wa Kukuza Uchumi Zanzibar), Vision 25 and MDGs. However, there are tremendous challenges that have to be overcome. One such challenge is funding. The College is likely to continue competing for dwindling/meager financial resources from donors.

It is fundamental that College research contribution is focused effectively on areas of national priority as defined in its Five-Year Rolling Strategic Plan. The identification of the priority areas is a task that has to be performed in coordination with other stakeholders at national and regional level.

Effective contribution in national development demands increased internal efficiency. This requires clear mechanisms for performing research, coupled with transparent internal research administrative processes. The Directorate of Postgraduate Studies, Research and Consultancy (DPSRC) will spearhead these processes. It is thus the objective of the College

Research Policy and Operational Procedures to provide a clear reference framework for research and clarify various concerns. These concerns include identification of research priorities and their match with internal capabilities, funding sources and mechanisms and planning and management of the research process. They also include quality assurance, research collaboration, interdisciplinary research and ethical issues in research. Dissemination of research outputs, intellectual property rights of these outputs and monitoring of research effectiveness are also areas addressed by the Policy.

The College Research Policy and Operational Procedures address the needs of both internal and external partners either as research collaborators, funding agencies or research clientele as the case may be. In this way the College will have played its role in ensuring that Tanzania keeps pace with the global revolution in knowledge generation and its use. The College is in an attractive position for research and development investment and that it provides many opportunities apt for its relatively young researchers and innovators, who are eager to undertake research so as to build competence and confidence that will enable them disseminate new knowledge to Tanzanians and provide training for future researchers.

This Policy is meant to be a guide to College researchers and other collaborators when formulating and undertaking research at the College. It is our hope that researchers, policy makers the funding agencies and other relevant stakeholders will find this document a valuable source of information and, indeed, a reference material whenever one wants to engage in or support research activities at TUDARCo.

Prof. Uswege M. Minga

Provost,

Tumaini University Dar es Salaam College

Acknowledgment

This Research Policy and Operational Procedures could not come into being without the contribution from various organizations and persons. Most of the contents have been adapted from University of Dar es Salaam Research Policy and Operational Procedures Second Edition (2008) and customized to reflect the specific context and environments of the Tumaini University Makumira (TUMA) and Tumaini University Dar es Salaam College (TUDARCo).

I thus, feel pleased to acknowledge the contribution of the University of Dar es salaam (UDSM) and Mkwawa University College of Education (MUCE) towards TUDARCo's own Research Policy and Operational Procedures. Their contributions include the main contents relating to policy statements, the general policy format and layout as well as the annexes.

I also wish to extend my gratitude to the Provost Prof. Uswege Minga for his esteemed leadership that made it possible for TUDARCo to have its own Research Policy and Operational Procedures today. My heartfelt gratitude should also go to Prof. J. V. Tesha from the University of Dar es Salaam for his useful contributions that made this document stand as it is today and Dr. D. Mwitwa, Director of Postgraduate Studies and later Dr. Peter Mtesigwa for their efforts in the preparation and production of this document. It is my hope that the newly born document will take TUDARCo into the competitive edge of research practices characterized by the state of the end value for awareness art research undertakings, publication and dissemination of research results, in conformity to research ethics and good research practice.

Prof. G.D. Mrema

Deputy Provost for Academic Affairs

Tumaini University Dar es Salaam College

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List of Abbreviations and Acronyms

APA	American Psychological Association
COSTECH	Commission for Science and Technology
CPSRC	College Postgraduate Studies Research and Consultancy
CPSRCC	College Postgraduate Studies Research and Consultancy Committee
ELCT	Evangelical Lutheran Church of Tanzania
DPAA	Deputy Provost for Academic Affairs
DPSRC	Directorate of Postgraduate Studies Research and Consultancy
ECD	Eastern and Coastal Diocese
FASS	Faculty of Arts and Social Sciences
FPSRCC	Faculty Postgraduate Studies Research and Consultancy Committee
GDP	Gross Domestic Product
GNP	Gross Net Product
IP	Intellectual Property
QA	Quality Assurance
QAS	Quality Assurance System
TUDARCo	Tumaini University Dar es Salaam College
TUMA	Tumaini University Makumira
WCT	Waldorf College Tanzania

Executive Summary

Further capacity building in university research has been recognized as a fundamental element for the revitalization of African Universities. This is necessary to enable universities to generate new knowledge for themselves, produce a stream of academic staff necessary to sustain the university enterprise and teach students essential analytical and problem-solving skills. Neglecting university research capacity amounts to foregoing future development possibilities. Governments and universities have to make well-considered and highly strategic choices as to where and how best they invest the very limited resources available to foster research capability.

Tumaini University Dar es Salaam College has an obligation to play its role in this. Strengthening and improvement of research activity is necessary to continuously address the key measures of performance – *quality, relevance, internal efficiency* and *effectiveness*. More research and postgraduate programmes most often lead to increased levels of publications. For the College, enrolment of postgraduate students is crucial for creating and strengthening research capacity as postgraduate students are the ones expected to do research and take up teaching assignments after graduating.

The College Research Policy aims at addressing core issues strategies and challenges. The challenges to be addressed include:

- *Low level of research funding*: TUDARCo being a private College has to meet all development and operating expenditure from its own revenue. However, the College shall apart from increasing research budget internally, cooperate with development partners to raise the level of research funding in order to ensure a reasonable balance between teaching, research and consultancy activities.
- *Inadequate human resource base* (both in quality and quantity) for the development and management of technological change. The critical minimum Human Resource capacity is still to be attained. It is necessary to dialogue with the industry and Development Partners to provide strategic research scholarship support at postgraduate level to cater for this deficiency.
- *National research support environment and culture* is very weak. Some people and organizations tend to view research as 'academic' and too slow in producing results. It is necessary to aim at high and quick impact research projects.

These are some of the key issues that have been addressed at different meeting and publication level at TUDARCo. The development of the College Research Policy has taken on board some of these issues especially in areas of Intellectual Property Rights, and Research Ethics. The research policy statements have been presented in the following twenty areas:

- (i) *Research priorities and national coordination* – the College shall set guidelines with respect to the role of College in defining and implementing the national research agenda in collaboration with other national stakeholders;
- (ii) *Research funding* - provides a reference frame for sourcing of research funds. The main source of research funds shall still be TUDARCo and external development partners
- (iii) *Research planning and administrative capacity building* – sets guiding philosophy in strengthening and facilitating the research process at individual level to institutional level;
- (iv) *Internal Procedures for Approval, Control and Monitoring of Research Process* – The College shall ensure that staff are well aware of the national research agenda and participate in the process of defining and reviewing the research agenda for their respective academic disciplines and it shall give priority to projects within the main research agenda when approving research funding. Research proposals have to demonstrate that they are within the approved agenda. Further, the College shall put in place operational procedures for the implementation of the research process;
- (v) *Collaborative research* - College shall promote collaborative research where there are potential benefits to the University. Further, it shall promote and put in place a mechanism for facilitation of two forms of collaboration: external collaboration is one involving a college academic unit and an entity or entities outside the college, and an internal collaboration involving two or more academic units within the college;
- (vi) *Research training* - In recognition of the fact that research training represents one of the most significant areas of national investment in research and development, and that research students are a major resource, underpinning much of the leading edge research necessary for meaningful application in national development, the College shall argue for increased government funding of research degree programmes

- through specific budgetary allocation for scholarships at masters and doctoral degree as well as post-doctoral levels. Research training should not be treated as a luxury;
- (vii) *Research Quality Assurance* – it is necessary to develop and disseminate research quality guidelines/checklist and ensure that these are used for application review, performance monitoring and evaluation. Further College shall institute a peer review system for research performed at the College at interval of not more than five years.
 - (viii) *Approval of research projects* - Internal procedures for approval, control and monitoring of research projects provides the guiding framework for the approval control and monitoring of research process and outputs. Tools for internal research administrative process are also suggested. In principle, all research proposals are subjected to College approval process before being accepted for funding irrespective of the source of funding and that researchers are to enter into a research contract with College when the project has been approved irrespective of the source of funding;
 - (ix) *Research Performance and Rewarding* – A transparent mechanism for research performance measurement shall be established. The mechanism shall be applied to evaluate research performance of individuals, academic units and multi-disciplinary research teams on an annual basis and reward of research performance at individual, academic unit and research teams each year shall be effected on the basis of criteria set;
 - (x) *Contributions to the research administrative infrastructure* - In order to strengthen the research administrative capacity, research projects shall be required to contribute at least 10% of the total project research costs to the institutional overheads, which shall be shared at departmental, faculty and University level.
 - (xi) *Sharing of research resources* - This is aimed at creating transparency in the allocation and utilization of research resources and where possible creating a possibility of sharing research resources;
 - (xii) *Staff remuneration* – Remuneration shall aim at making research as attractive as consultancy as well as retain quality staff through rewarding excellence; the need for research remuneration is recognized. Reward should foster teamwork and collaboration. The implementation of this shall be as provided for in the Human Resources Management (HRM) Policy;
 - (xiii) *Research support environment* - In order to enhance research performance, regional and international collaboration (global networking) shall be encouraged and

facilitated. Internally, research administration skills shall be strengthened through specific actions;

- (xiv) *Dissemination of research results* - In this respect, the College shall ensure that the dissemination of research results is done in the most effective way. In particular, local dissemination of research results shall be encouraged. Further, each faculty/bureau/academic center/institute shall conduct at least one research workshop annually, which will review research plans, progress and outputs. Annual research workshops shall also include presentations of academic papers. Resources permitting, key stakeholders shall also be invited to these workshops;
- (xv) *Research ethics*—The College shall collaborate with other research community to administer a clear Research Ethics Policy with the aim of promoting awareness of ethical principles and issues in the conduct of research throughout the University. The College shall endeavour to ensure that research ethics are adhered to by researchers;
- (xvi) *Environmental considerations*—The College has an obligation to ensure that research conducted complies with environmental laws and regulations in the country. While the College intends to set-up separate guidelines on the same, such guidelines shall not exonerate staff, students or external collaborators. It shall be expected that all the researchers shall management officials and participatory organs at all levels shall endeavour to ensure that environmental laws and regulations are adhered to by researchers;
- (xvii) *Proprietorship of research outputs* - in principle, proprietorship of research results/outputs rests with the College. Provisions of the TUDARCo Intellectual Property Rights shall apply;
- (xviii) *Disposal/redeployment of research project resources* - in principle, all equipment purchased within a research project are the property of the College, the policies and procedures governing the disposal of University property (obsolete or otherwise) should be applied. However, the unit/researcher that had these resources should be given priority in reallocation of such research resources when the project is completed;
- (xix) *Effectiveness of research* - it is important that the College has a feedback mechanism to assess research effectiveness as well as feed into the process of refining the research agenda.

- (xx) *Research culture* - for the society to advance, the College shall contribute towards fostering and enhancement of research culture both within and outside the College through training, and promoting research teamwork.
- (xxi) *Application and review* - The Research Policy shall apply to all members of staff, graduate and undergraduate students who are involved in research on or off campus of the College. Further, the College Research Policy shall be subject to Review every five years.

The policy statements are to guide the general conduct of research within the College. It is necessary for the specific policy intentions to be operationalised by relevant offices within the College. The strategies for the implementation of the policy and the core operational procedures are presented in Chapter 5. The key strategy is the establishment of a *Directorate of Postgraduate Studies, Research and Consultancy at College level*. Specific tools for the implementation of the Research Policy are presented in *Annexes I- IX*. These shall be reviewed regularly to accommodate the operating environment.

It is hoped that the *College Research Policy* will enable the College to meet these broad objectives in order to address its vision and mission both in the short and long run.

CHAPTER 1

Introduction

1.1 Background

Tumaini University founded by the Evangelical Lutheran Church of Tanzania (ELCT) currently consists of five constituent Colleges; Kilimanjaro Christian Medical College (KCMCo), in Moshi, Makumira University College (MUCO) located at Usa River near Arusha, Josia Kibira University (JOKUCo) Bukoba, Stefano Moshi Memorial University College (SMMUCo) in Moshi; and Dar es Salaam College (TUDARCo) in Dar es Salaam.

The origins of TUDARCO are embedded in the then Waldorf College Tanzania (WCT) established in 1997 as a branch and later a mission college of Waldorf College Forest City in Iowa, USA. WCT was a liberal arts college offering, by way of modules, 2 years of study in Dar es Salaam and another 2 years in a USA college to complete the Bachelor of Arts in Business Administration and Management Information System degrees. Students had to transfer to US with between 54 and 60 credits.

However, sometime in 2001, the authorities of WCT thought a partnership with Tumaini University Makumira would be to its advantage. Consequently, discussions opened between the relevant authorities through their various organs, had eventually in April 2003, TUDARCo was born as an associate college of Tumaini University Makumira.

TUDARCo shares and contributes to the TUMA's mission and vision. Thus, the College has an essential role for national capacity building and the further development of Tanzania through training, research and consultancy. Research has an important role of advancing and refining knowledge and providing solutions to problems facing the society not only in the local but also within the wider international context.

The recognition of this led to the establishment of the Research and Publications Committee of the Tumaini University in 2012 which with other duties, will be concerned with fulfilment of the mission and vision of the College as far as Research and Publication are concern. The Committee is there to maintain the good research enrichment to the whole life of the College.

Thus, one of the main responsibilities of the College Research and Publications Committee is to initiate fundamental research into Tanzanian context.

The Committee cements that research at the College is to be carried out by Colleges own staff members, academic visitors, research fellows appointed by the College and who propose their own research topics and also research fellows appointed to pursue a particular research project sponsored by the College.

Currently, the College has inherited and adapted the Universal style of other Universities practice whereby research is carried out at departmental level and research output is critical for the development of the relevant local content and advancing frontiers of knowledge. In principle, the College Postgraduate Studies Research and Consultancy Committee (CPSRC) has the responsibility to oversee management of all College research activities, including approval and monitoring of all research and publications documents in the College. The Committee receives proposals and reports from respective faculties, units, and sections after the proposals or reports have been scrutinized by respective lower organs. The adoption of this procedure follows from policy recommendations after successful implementation of the Directorate of Post Graduate Studies

The key objective of the research policy is to build research culture that acknowledges the responsibility of all academicians to nurture students, and to be a pre eminent contributor of the new knowledge. That is to say, research policy guide individual units from the college to focus their research effort and resources in areas of national and international significance and priority and it starts from individuals, faculties to departments and administrative Units to established their research agenda that aim at identifying strategic areas of research focus in line with national development objectives and strategic international areas. The Directorate then published several research bulletins in line with the research policy and will continued to play a central role in sourcing and managing of research funds.

1.2 The TUDARCO Research Policy and Operational Procedures

In identifying the need to research, the attention is given much from several areas that were identified by stakeholders, especially academic staff followed from the surveyed areas. As a result the following issues have been addressed in this Research Policy:

- (i) Setting up of a formal mechanism for solicitation of research funds;
- (ii) Inclusion of a philosophy and tool for lobbying from government for an increase in budgetary allocation in line with research output performance of academic units – For example, the more the publications the more funds allocated for research.
- (iii) Introduction of a separate research budget line for all academic units; from departmental level coordinated, presented and administered by the DPSRC and related Departmental/Unit and College organs responsible for research;
- (iv) Establishment of a unit responsible for identification of sources and solicitation of funds for research from various sources;
- (v) Facilitation of annual research workshops at Faculty level – the output of which shall be proceedings that will contain information on faculty research plans, on-going projects, completed projects and dissemination plans including publications for the year;
- (vi) Development of a follow up mechanism for the implementation of research agenda;
- (vii) Inclusion of a quality assurance system for the TUDARCo;
- (viii) Decentralization of research proposal approval process, articulating its merits and demerits;
- (ix) Inclusion of a statement on research ethics;
- (x) Setting up of a mechanism for reward research performance for academic units as well as individuals;
- (xi) Inclusion of a generic framework for defining and measuring research output for purpose of quantifying research output as well as rewarding performance for purposes of enhancing productivity;
- (xii) Establishment of a website linked to relevant faculty/major departments and administrative unit website sections dealings with research;
- (xiii) Encouraging, prioritisation and strengthening collaborative and multi-disciplinary research within the university and with external institutions;
- (xiv) Enhancing research skills of academic staff through research training programmes;
- (xv) Enhancing efficiency and effectiveness of research administrators and the need for regular training of research administrators; and
- (xvi) Arrangement for research hosting.

CHAPTER 2

Research within the Context of the TUDARCo and the College Rolling Strategic Plan – 2009-2014

2.1 The Vision and Mission of the TUDARCo

The formulation of a *Research Policy* within TUDARCo is within the context of its wider vision and mission and relevant strategies to attain it. The TUDARCo Reviewed Strategic Plan 2009-2014 puts emphasis on the connotation of its vision that the extent to which there is a clear image of the institution and how different or similar it wants to be at various times in the future i.e. the positive change or impact it seeks to create.

2.1.1 Vision

“Tumaini University Dar es Salaam College shall be a Leading Centre of Excellence in Teaching, Research, Consultancy and community services.”

2.1.2 Mission

In order to realize this vision, the College has set its core mission as *“Tumaini University Dar-es Salaam College is a Christ Centred University College focussing all its programmes through the guidance of and obedience to the word of God by conducting and promoting higher education, learning and research through scientific fact finding and enquiries to all students without any form of discrimination.”*

The objects and functions of the College have been developed to address the vision and mission stated. Although the functions are all intertwined within the three core functions of education and training, research and public service, the specific functions that address research are as follows:

- (i) To co operate with the government of the United Republic of Tanzania and other institutions in the development and promotion of education, research and services by among other ways entering into legal agreements.
- (ii) To excel in knowledge and human resources capacity building by ensuring a balance between quality and quantity;
- (iii) To stimulate and promote intellectual, cultural, scientific and technological development;

- (iv) To promote economic, political, social, cultural, scientific and technological research with particular reference to the interest of mankind; and
- (v) To establish mutually negotiated, beneficial and durable links within institutions of learning and research nationally, regionally and globally.

In line with the TUDARCo's Mission and Vision, the College vision as enshrined in the 2014/2015 Rolling Strategic Plan is to become one of the best educational higher learning institutions at national, regional and international level. The mission of the College is to provide integrated teaching, research and consultancy services that address the challenges of national and regional development.

The objects and functions of the College as per College and the TUMA Charter have been developed to address the vision and mission stated above. Although the functions are all intertwined within the three core functions of education and training, research and public service, the specific functions that address innovation, research and public service are as follows:

- (i) To develop and implement innovation in education framework,
- (ii) To encourage and facilitate research in education; and
- (iii) To publish research output documents, teaching materials, journals and books.

This Research Policy adequately embraces these functions. Further, research has to be relevant with developmental responsibility addressing national or societal problems with immediate or long-term impacts. In this respect, College research activities have to constantly be aligned with national, regional or even global development direction. The research agenda of the College has therefore to be in line with the national and regional development strategy.

2.2 Strategic Issues in Research

TUDARCo has the potential to be one of the most capable institutions in the country with a mandate to generate new understanding through research. The College roles in research, evaluation, information transfer, and technology development are therefore critical to national social progress and economic growth. The basic College human resource potential for this is in place. By 2013 the College had started the post graduate Studies in Faculty of Business Administration and Faculty of Arts and Social Science, that connotes enough PhD holders and Professors to take on these post graduate studies.

In order to fully utilize the human resources potential, there is need for full involvement of staff during research planning and implementation. Staff should be required and facilitated to prepare research proposals. Further, there should be a comprehensive mechanism for appraisal and evaluation of research functions annually. To make research more relevant, the appraisal and evaluation should analyze the linkage between teaching, research and consultancy. A major challenge is how to make research as attractive as consultancy.

Research funding is still a major challenge. Though there is fund allocation at the Deputy Provost for Academic Affairs still more is needed and thus, more proposals should be prepared and submitted to external Development Partners who fund research programs. It is so obvious that the College will have to be more proactive in developing and promoting linkages with industrial stakeholders both locally and internationally, if it is to promote the level of research activities and thus achieve its mandate in the society.

Other issues of strategic importance include:

- (i) Strategic involvement of the College in shaping national and regional development objectives;
- (ii) Capacity building and expansion through capacity utilization;
- (iii) Performance evaluation through quality assurance system;
- (iv) Emphasize, institutionalize and facilitated dissemination / sharing of research results;
- (v) Run Research Methodology courses at both undergraduate and postgraduate levels; and
- (vi) Enhancing access to international research reports and journals.

2.3 Research Quality Assurance

The theme for the College Rolling Strategic Plan emphasizes on quality outputs. Further, quality is not static; it is to be continuously improved through the adoption of best practices so as to continue meeting the ever-increasing demands of the stakeholders. Key stakeholders include those providing funds, researchers, research administrators, users of research outputs.

TUDARCo has established The Quality Assurance (QA) Unit to coordinate and monitor Quality Assurance issues at the college level. Research Quality Assurance intends to work on the strategies adopted to deal with the quality of research outputs.

The approach necessary for management of research has to ensure that all research related activities are planned and systematic actions are implemented to provide confidence that a

research output will satisfy the requirements for quality. QA relates to how the College satisfies itself that the structures and mechanisms for quality management are effective and that they promote the enhancement of the quality of research to a specified level of standard.

This is the essence of Research Quality Assurance System (QAS) for the College. This conceptual framework is depicted in Figure 1 below. It is hypothesized here that the initial step in the process is increased research resources that will thereafter provide a meaningful the other two. This assumes that the basic human resources and expertise exists, and that its continued utilization shall lead to Human Resources expansion as the research volume and quality improves.

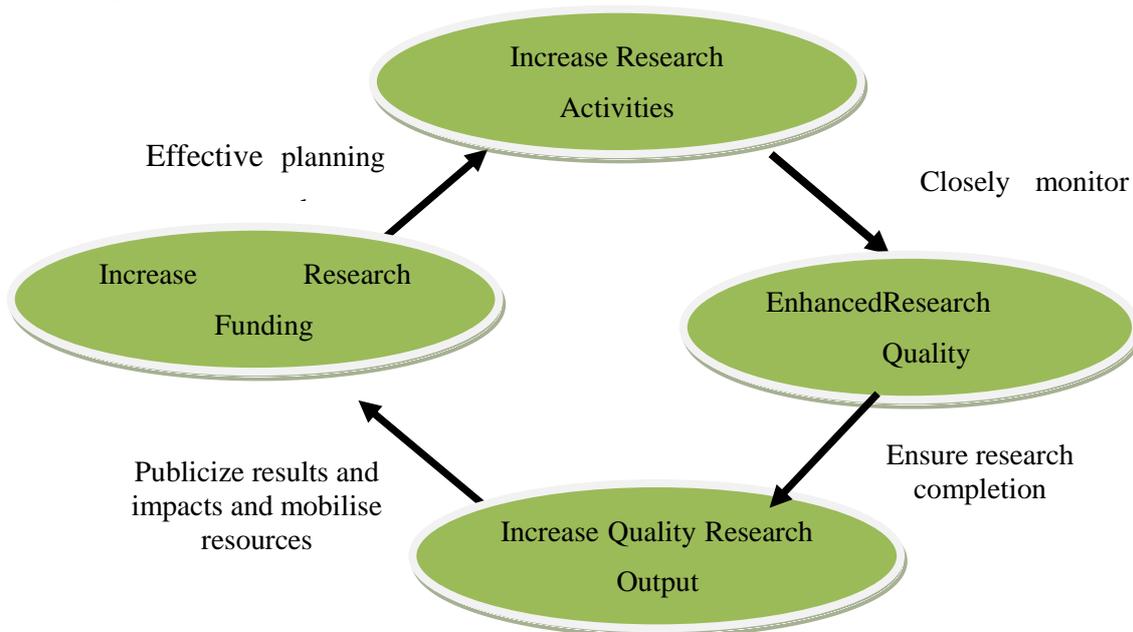


Figure 1: Research Quality Management Cycle (Adopted from University of Dar es Salaam Research Policy and Operational Procedures, 2nd edition, 2008)

On the basis of what is depicted in Figure 1, it is therefore imperative that research funding coupled with enhanced recruitment / retention of key human resources is in place if the College has to have any meaningful research impact.

CHAPTER 3

The Objectives of the Research Policy

3.1 The Fundamental Goal

The fundamental urgency for standardization of procedures arose out of the need for coordinated decentralization leading to increased internal efficiency and effectiveness. For this matter, the College Strategic Plan places particular emphasis on the need to have standardization of operations and procedures (i.e. clear policies and operational procedures) governing its inputs, processes and outputs. The Research Policy has to serve both internal and external customers. It is to serve College members of staff as researchers as well as meet internal administrative requirements. Further, it has to be clear and acceptable to the external partners, either as research collaborators, funding agencies or target customers.

3.2 Objectives of Research Policy and Operational Procedures

The preparation of the College Research Policy and Operational Procedures is mainly based on considerations made in the preceding sections and has attempted to cover the whole of the research process, from the need for prioritisation of research activity to evaluation of research effectiveness.

3.2.1 *General Research Policy Objectives*

The general objective of this research policy is to standardize the operations and procedures (i.e. clear policies and operational procedures) governing research inputs, processes and outputs within the college in order to promote internal efficiency and effectiveness in serving College members of staff as researchers and external stakeholders as well as meet internal administrative requirements.

3.2.2 *Specific Research Policy Objectives*

The following are the specific research policy objectives:

- (i) Provide a mechanism of ensuring that the research agenda addresses the national development objectives and priorities as well as follow up of implementation of research agenda;
- (ii) Provide for modality of research coordination at all levels (institutional, national and regional level);
- (iii) Introduce a research quality assurance mechanism;
- (iv) Ensure adequate funding for research;

- (v) Strengthen institutional capacity for strategic, technical and operational planning, budgeting and control for research;
- (vi) Set up the mechanism to ensure that academic staffs attain the desired mix of output - research, teaching and consultancy - so as to achieve the level demanded by the University mission. In order to achieve this mix, it may be necessary to remunerate staff engaged in research; to make it as attractive as consultancy;
- (vii) Encourage internal, national, regional and international collaboration – institutional, national, regional and international research networking;
- (viii) Enhance marketing skills of the university and academics so as to make full utilization of the research expertise to address the needs of both the public and private sectors. This is also in view of the increasing competition for the scarce research funds available;
- (ix) Minimize unfavourable environmental impact of research projects; and
- (x) Ensure dissemination of research results through regular participation in relevant fora at national/regional and international levels.

The achievement of these objectives relies on the successful implementation of the TUDARCo relevant policies.

CHAPTER 4

The Research Policy

The *College Research Policy* has been drawn in line with the key objectives as follows:

4.1 Collaboration and multi-disciplinary research agenda

In order to address national and regional development needs, it is necessary for the College to work closely with other stakeholders in order to influence both national and regional policies and priorities. In this regard, the College shall:

- (i) Adopt a proactive role in influencing the national/regional development objectives and priorities and therefore the concept papers should be in close collaboration with other stakeholders;
- (ii) Define relevant research agenda for the different departments/units, and Faculties in consultation with staff at departmental level. These priorities have to be in line with national development objectives and priorities, relevant international trends and available capacity at the College;
- (iii) Require the concept paper developed to be approved by the College Postgraduate Studies, Research and Consultancy office under its Committee;
- (iv) Introduce College annual research workshops that will receive and review progress made by each section, unit, or faculty in the implementation of the research agenda;
- (v) Seek to participate in relevant national and international fora for the implementation of the research agenda;
- (vi) Develop and review the research agenda every five years with the objective of ensuring relevance of the research thrust.

4.2 Sourcing of Research Funding

Funding remains the single most critical bottleneck in research performance. It is recognized that for sustainability and relevance, main source of research funds shall still be TUDARCo's own budgetary allocations and external Development Partners. In this regard, TUDARCo shall:

- (i) Introduce a separate budget line for research funding for all academic units from departmental level coordinated and presented by the Directorate of Postgraduate Studies Research and Consultancy to higher University organs;

- (ii) Continue to solicit research funds from other sources including international and local sources, both public and private. Solicitation of funding will be encouraged, facilitated at individual, departmental, faculty or institute and college level.
- (iii) Provide general information on possible sources and modes of research funding both within and from outside the College on regular basis.
- (iv) Create a proper structure for the Directorate of Postgraduate Studies Research and Consultancy as an organ responsible for research and give it full mandate for management of College research activities.
- (v) Strengthening the offices in Departments, Faculties, Institutes and Units so that they can assist the Directorate of Postgraduate Studies Research and Consultancy to fulfil its mandate;
- (vi) Encourage and facilitate the establishment of professorial research chairs in faculties and institutes.
- (vii) Ensure that basic and innovative research is encouraged and receives an appropriate share of research funding.

4.3 Research Planning and Administrative Capacity Building

Research has to be performed within a clear framework with targets, responsibilities and indicators. A close coordination and monitoring of research activities is only possible if there are clear plans. The College shall therefore:

- (i) Strengthen and equip a core office responsible for the overall research coordination at the College level. This shall mean strengthening and equipping the Directorate of Postgraduate Studies Research and Consultancy and other Departmental and Faculty organs responsible for research;
- (ii) Facilitate the establishment/strengthening of research administration infrastructure linking the Directorate of Postgraduate Studies Research and Consultancy with faculties and departments. The administrative infrastructure shall aim at facilitating the research process and create transparency in the whole research activity rather than act as bottlenecks in the process;
- (iii) Ensure that staff are fully involved in the research planning process and maintain a good balance between teaching, research and consultancy;
- (iv) Strengthen the capacity for research planning at all levels;
- (v) Create a mechanism by which academic staff members can be motivated to conduct research.

4.4 Internal Procedures for Approval, Control and Monitoring of Research Process

The College shall put in place an operational mechanism of conducting research such that there is uniformity in the process. The College shall therefore:

- (i) Ensure that staff are well aware of the national research agenda and participate in translating it into research agenda of their respective academic disciplines;
- (ii) Give priority to projects within the main research agenda when approving research funding. Research proposals have to demonstrate that they are within the approved agenda;
- (iii) Follow one general framework guiding the preparations and approval of research projects. The research projects approval process is included in **Annex II**. The framework addresses the following issues/processes:
 - 1) Initiation of a research project;
 - 2) Formats of research proposals. A sample format is included in **Annex III**;
 - 3) Scrutiny and approval process for research proposals shall focus on **quality, relevance, need, soundness and resources requirements** (including financial resources). This will clearly spell out the roles and powers of different units within the College administrative hierarchy. A sample research proposal evaluation form is included in **Annex IV**;
 - 4) Planning and budgeting guidelines, including applicable rates for cost estimates.
 - 5) A budgeting format is included in **Annex V**;
 - 6) Financial regulations governing financing of research;
 - 7) Procurement of equipment and consumables should be within relevant college procurement policies and procedures, and in principle all equipment is the property of the College;
 - 8) Registration of research projects - whether internally or externally funded; Standard contracts between the funding agency, the College and the researcher(s). An example of a research contract is included in **Annex VI**;
Progress reporting requirements, control and monitoring. An example of a research progress report format is included in **Annex VII**;
 - 9) Regulations regarding employment within research projects have to be within approved Human Resources Administration policies; and

- 10) Regarding Formats for research reports, an example of such format is included in **AnnexIX**.
- (iv) Ensure that all research proposals are subjected to the College approval process before being accepted for funding.
 - (v) Enter into a research contract with the researcher when the project has been approved irrespective of the source of funding. (A Sample Contract Format presented in Annex V). Where there is an interest of joint ownership of research results/output, the contract shall be between the researcher as one party and joint financiers as the other party.
 - (vi) The College shall scrutinize all contractual requirements before a proposal is submitted to a prospective agency for funding. Hence all funds obtained through own initiative must be declared to the College.
 - (vii) As far as practically possible, financier proposed contract formats should only be signed where College interests are safeguarded.

4.5 Collaborative research

The College shall:

- (i) Promote collaborative research where there are potential benefits to the College;
- (ii) Recognize two forms of collaboration: external collaboration is one involving a university academic unit and an entity or entities outside the university, and an internal collaboration involving two or more academic units within the University/College;
- (iii) Promote external collaboration that will include but not limited to other universities in and outside Tanzania, research institutions, industrial partners and non-governmental institutions;
- (iv) Require that external collaborative projects clearly demonstrate the benefits that will accrue to the University/College or indicate deficiencies/gaps within the University that necessitate external collaboration;
- (v) Require that CollegeCo-Principal Investigators on collaborative grants led by other institutions shall design the proposal so that the/College serves as a subcontractor. This policy applies even in cases in which the applicant does not receive compensation through the grant;
- (vi) Insist on internal collaborative projects to be multi-disciplinary in nature;
- (vii) Require that if a research project involves more than one department, institute, bureau, centre or any other university/college academic unit that submits a proposal on behalf

of University/College, the initial application will indicate that the project is multi-disciplinary and collaborative;

- (viii) Ensure that multi-disciplinary research projects are hosted in the academic unit¹ where the principal researcher belongs;
- (ix) Require that the hosting department also be the department where the majority of the research activities will be conducted;
- (x) Require that respective components of the multi-disciplinary research project be approved by the relevant unit that is department, bureau, centre or institute;
- (xi) Demand that if the implementing units are not in the same faculty or college, approval at faculty or college level shall only be necessary in the hosting faculty or college, but shall be reported to the relevant organs in the non-hosting faculty/college for noting;
- (xii) Expect that a representative from a department participating in the multi-disciplinary project be invited to the meeting that makes the decision in the host faculty or college;
- (xiii) Insist that staff participating in the multi-disciplinary collaborative research project have an obligation to report progress to their own department and shall also have to report to the hosting department through the principal researcher;
- (xiv) Ensure that the collaborating academic units agree on sharing administrative costs;

4.6 Research Training

In recognition of the fact that research training represents one of the most significant areas of national investment in research and development, and that research students are a major resource, underpinning much of the leading edge research necessary for meaningful application in national development, providing on-going renewal of the research and academic workforces and aiding in the transmission of knowledge and skills within and between the research and wider communities as a result of interpersonal networks The Collegeshall:

- (i) Strengthen and emphasize on research training both at undergraduate and postgraduate levels through ensuring that there is a significant, relevant and quality research training component in the curricula;
- (ii) Consider research training as one of the key criteria in the approval of research proposals;

¹Academic unit may be a department, faculty or institute

- (iii) Staff to be helped/facilitated in writing fundable proposals. Hence regular research methodology, research ethics, research proposal and research report writing workshops will be organised to enable academic staff sharpen their research skills;
- (iv) Devise an allocation of research training scholarships to different academic units on the basis of performance and demand driven;
- (v) Assign the responsibility for compiling and submission of such budgetary requirements to the Directorate of Postgraduate Studies Research and Consultancy which is responsible for research.

4.7 Research Quality Assurance

Management of research has to ensure it is well planned and systematic so as to provide adequate confidence that research output satisfies the specified requirements for quality. In this regard, the College shall:

- (i) Develop and disseminate research quality guidelines;
- (ii) Ensure that research application is in line with the guidelines;
- (iii) Ensure that approval of research applications takes into considerations research quality checklist;
- (iv) Monitor quality and number of publications resulting from research done by staff of various ranks;
- (v) Monitor the target group for dissemination of research results;
- (vi) Conduct surveys to obtain feedback on quality and value of research results;
- (vii) Develop and disseminate standard quality indicators for research resources solicitation;
- (viii) Conduct peer review of research performed at the College at interval of not more than five years.

4.8 Rewarding Research Excellence

The College shall:

- (i) Establish a transparent criteria / indicators to measure research excellence;
- (ii) Evaluate research performance of individuals, academic units and multi-disciplinary research teams on an annual basis;
- (iii) Reward research performance at individual, academic unit and research teams each year. Rewards shall be those that encourage improved performance in research.

4.9 Contributions to the Research Administrative Overheads

The College shall:

- (i) Require that research projects contribute at least 10% of the total project research costs to the institutional overheads;
- (ii) Ensure that the research overhead contribution is shared amongst the research administrative units at the various administrative levels. Sharing of the administrative overheads shall ensure that priority is given to where research activity is taking place. In this respect, a minimum of 4% shall be contributed to the respective department, 2% to the respective Faculty, 2% to the College Library and 2% to the Directorate of Postgraduate Studies Research and Consultancy.
- (iii) The sums accrued by the respective units shall be accounted for using College financial regulations and procedures.

4.10 Sharing of Research Resources

The College shall:

- (i) Demand that Faculties, Institutes and Departments have transparent and objective criteria of making research opportunities known to members of staff and for allocating such opportunities;
- (ii) Encourage sharing of research project resources in order to utilize fully the research resources available;
- (iii) Encourage and coordinate sharing of information and information sources of academic value. Such sources shall include books, journals, electronic information, (e.g. CD-ROMS) and other sources such as electronic information through the INTERNET (e.g. electronic databases);
- (iv) Set up mechanisms/ procedures for utilizing and sharing resources and facilities across departments/faculties and colleges.

4.11 Staff Remuneration

The College shall:

- (i) Develop a transparent remuneration scheme for researchers so as to make research activity financially attractive;
- (ii) Review the remuneration scheme on a regular basis. Preferably every five years to coincide with the review of research agenda;
- (iii) The implementation of a research remuneration scheme shall be part of the Research policy.

4.12 Research Support Environment

The College shall:

- (i) Encourage and facilitate regional and international collaboration;
- (ii) Provide research support services that include the provision and continuous improvement of modern management information systems and facilitate access to international literature and databases;
- (iii) Work towards the creation of a stable internal conducive research environment. This shall include the provision of research management allowance and maintenance of equipment and accessories support for purchase of basic consumables;
- (iv) Provide basic financial management support and training to research coordinators as well as personnel in key research administrative units.

4.13 Dissemination of Research Results

Subject to the Intellectual Property (IP) Policy, the College shall:

- (i) Encourage the incorporation of the dissemination of research results activities in the research proposals, e.g. departmental seminars, workshops etc.
- (ii) Require that research projects include in the proposal, the organization of at least a local seminar/workshop to ensure local 'ownership' of research findings. For large research projects, local conferences/symposia shall be organized;
- (iii) Ensure that an international standard research report, (format, presentation and content) shall be prepared. An example of a format for a research report is included in **Annex VIII**;
- (iv) Subject all research reports to peer-review before being deposited. An example of review guidelines is included in **Annex IX**;
- (v) Require that each faculty/institute conduct at least one research workshop annually which will review research plans, progress, and outputs. Annual research workshops shall also include presentations of academic papers. Resources permitting, key stakeholders shall also be invited to these workshops;
- (vi) Prepare and submit to potential policy makers research abstracts/research reports for action;
- (vii) Encourage and support dissemination of research results through regular local and international fora;

- (viii) Encourage and support the inclusion of research finding/publication into accessible databases (electronic or otherwise);
- (ix) Encourage the publication of research findings in the local and international media;
- (x) Popularize research findings in languages that people can understand;
- (xi) Disseminate research findings through national/international exhibitions in line with National Research Ethics Policy.

4.14 Ethical Considerations

Subject to Research Ethics Policy:

The College reserves the right to take corrective measures for non-compliance.

4.15 Environmental Considerations

The College shall ensure that:

- (i) Research conducted complies with environmental laws and regulations in the country;
- (ii) All members of staff graduate and undergraduate students are involved in research on or off campus. In addition, any person or institution not affiliated with the College wishing to conduct research with College staff shall be bound by the same obligations.

4.16 Proprietorship of Research Outputs – Intellectual Property Rights

Proprietorship of Research outputs shall be governed by the provisions of TUDARCo IP Policy.

4.17 Disposal/Redeployment of Research Project Resources

Except as otherwise expressly provided, all equipment purchased within a research project is the property of the College. College policies and procedures governing the disposal of College property (obsolete or otherwise) shall be applied.

The unit/researcher that had these resources should be given priority in reallocation of research resources when the project is completed.

4.18 Impact of Research

For research that has direct impact on the society, the College shall:

- (i) Establish a feedback mechanism to assess research impact in solving societal problems;

- (ii) Utilise the feedback mechanism to foster continued refinement of the research agenda.

4.19 Research Culture

The College shall:

- (i) Instil a research culture through training of undergraduate and postgraduate students in research;
- (ii) Contribute towards fostering and enhancement of research culture both within and outside the College;
- (iii) Promote and encourage research teamwork;
- (iv) Educate College staff on the research policy and procedures.

4.20 Application and Review

- (i) The Research Policy shall apply to all members of staff, graduate and undergraduate students and others who are involved in research on or off campus of the College;
- (ii) The College Research Policy shall be subject to *Review* every **five (5)** years.

The policy statements are to guide the general conduct of research within the College. It is necessary for the specific policy intentions to be operationalised by relevant offices within the College. A general set of operational procedures is necessary in order to kick-start the streamlining of research management. The strategies and some of the core operational procedures are presented in **Chapter Five**.

CHAPTER 5

Strategy for Implementing the Research Policy

5.1 Core Strategy

The key strategy in implementing the above policy lies in the Directorate of Postgraduate Studies Research and Consultancy (DPSRC). The strengthening of the research administrative infrastructure from department to College level shall follow. The Terms of Reference of the DPSRC have to reflect its role in the implementing the *Research Policy*.

The following actions are necessary for the successful implementation of the *Research Policy*:

- (i) Strengthen the capacity of the DPSRC to administer and coordinate research. This will require staff, establishment of administrative units, equipment and some seed funds. Once the DPSRC has started implementing the policy, a minimum of 2% contribution from research funds shall be the regular source of funding;
- (ii) The DPSRC shall be responsible for coordinating internal and external linkages on all matters related to research.
- (iii) Internally, the DPSRC shall coordinate the process of implementation of the policy through setting up of internal administrative links with other relevant offices at the same College level (horizontal linkages) with researchers in faculties and departments (vertical linkages). The Director shall focus on the following specific actions with respect to establishing horizontal linkages:
 - (1) Proactively influence college level policies to ensure that research interests are safeguarded;
 - (2) Work closely with other relevant offices to implement the College Rolling Strategic Plan;
 - (3) Define excellence in research and coordinate the identification and rewarding of excellence within the College guided by the Deputy Provost for Administration and Human Resource Policy.
 - (4) An indisputable way must be designed to cater for fairness and gender equity as research awards for performance are given.
- (iv) The Directorate shall focus on the following specific actions with respect to establishing vertical linkages:
 - 1) Standardize internal research administrative mechanisms;
 - 2) Ensure participation of College researchers in evolving the research agenda;
 - 3) Facilitate securing research funds from public, private and external sources.

- 4) Facilitate dialogue between researchers and research clients;
- 5) Facilitate and support marketing of research results where appropriate;
- 6) Keep as custodian of research output on behalf of the University.
- 7) Establish and publish a regular Research Bulletin and Research Annual Report indicating the status of research activities within the College.

The **DPSRC** shall have the overall responsibility for the coordination of the implementation of the *Research Policy* including review of the same.

5.2 Strategy for Sourcing Funds and Quality Assurance

Funding and quality outputs remain most critical issues that govern the success in the conduct of research at the College. A key strategy to address this challenge is to aggressively seek for research funds. Instead of leaving this task to individual academic units, it is proposed that a central unit be established to carry out this function. It is proposed that a proper organizational structure of the DPSRC that may include a **Research Administration Unit (RAU) or similar** be set up within the office of the coordinator responsible for research that would work towards enhancing overall research performance based on quantity and quality of the research outputs and efficiency of achieving them within the College corporate strategy. Emphasis shall also be placed on strategies for research resource mobilization, distribution and efficient utilization.

5.3 Research Management

There is need for the College to strengthen research management at all levels in order to address the following issues.

5.3.1 Identification of sources and management of research resources:

- (i) Identify possible sources of research resources – national and international - and strategies for mobilization/accessing the same;
- (ii) Ensure that pertinent information relating to specific research opportunities is passed on to relevant College Department(s);
- (iii) Publicize general information on possible sources and modes of research funding on regular basis. This information shall be available in hard and web based e-format. The e-format shall only be accessible by College staff;

- (iv) Organize regular research resources mobilization workshops in which new opportunities for research funding shall be presented and discussed; such chances should not only be created but maintained and their contributions appreciated.
- (v) Facilitate the liaison process with research donors where such donors have been identified through the office of the Director of Postgraduate Studies, Research and Consultancy;
- (vi) Establish liaison relationships with other national stakeholders to form pressure/lobbying groups to contend for an increased share of research funding from government, the private sector and the international donor community;
- (vii) Work closely with potential researchers in preparing research proposals for submission to potential donors;
- (viii) Compiling relevant reports of various research projects for onward transmission to the donors by the DPSRC;
- (ix) Proposing specific operational modalities in line with College Research Policy for the various research funding sources for approval of the College Postgraduate Studies, Research and Consultancy Committee (CPSRCC);
- (x) Ensure that a research budget sufficient to carry out planned priority research is submitted to the possible funding sources, and that adequate funds are actually allocated for such research activities and are effectively utilized for the purpose;
- (xi) Where potential exists for multi-disciplinary research projects, initiate the formation of such teams which once formed, shall be left to operate under the approved modalities of multi-disciplinary research teams; and
- (xii) Compile College Annual Research Report that shall summarize annual activities performed under all research grants in a standard format to be approved by the CPSRCC.

5.3.2 Research Data Bank and Dissemination of Research Results

- (i) Maintain and continuously update College research activity database. In this respect selected information shall be published on regular basis onto College Research Web page;
- (ii) Set up and maintaining an accessible electronic research output database that shall contain at least full abstracts of the research reports and other related publications;
- (iii) Compile and organize for the printing of a hard copy of a research bulletin containing abstracts of research projects on annual basis; and

- (iv) The Unit shall seek for and furnish information related to research funding to academic units on regular basis.
- (v) Produce a good brochure to market College research services.

5.3.3 *Research Quality Management*

The *DPSRC* shall develop and institute a process of monitoring and reporting on the following research quality indicators at the College on regular basis:

- (i) Research planning;
- (ii) Research training;
- (iii) Research degree completion rates;
- (iv) Research publications;
- (v) Peer reviewed research reports;
- (vi) Facilities and access to information resources;
- (vii) Research students assessment of supervision;
- (viii) Proportion of staff having published research output in the last three years;
- (ix) Proportion of staff directly doing research;
- (x) Time duration of research degrees.
- (xi) Indicators that measure society perceptions on the research that TUDARCo staff do;
- (xii) Number of clients continuously using College research services;
- (xiii) Number of local/international research assignments that the College wins in a competitive environment;
- (xiv) Collaboration with regional and international institutions – establishment of active research networks; and
- (xv) Subsequent availability of funds for the research following completion and dissemination of a phase of the research.

The Director of Postgraduate Studies, Research and Consultancy shall advise the CPSRCC on appropriate benchmarks for the College of these indicators.

5.4 Development of Comprehensive Implementation Strategy – Way Forward

Various new policy statements have been incorporated in the College Research Policy. It is necessary to prepare a comprehensive implementation strategy that has a wider College and external stakeholder participation. A three day workshop is proposed. It is necessary to invite government officials, potential funding agencies, and strategic users of research outputs.

5.5 Operational Procedures

In order to standardize and harmonize research process within the College, the Research Office shall provide clear guidelines in form of a research Operational Procedures. The basic documents that would constitute the Operational Procedures are included in Annexes II - IX of the Research Policy. These are:

- Annex II:** Guidelines for Approval of College Research Proposals
- Annex III:** Format for Research Proposals;
- Annex IV:** Format for Evaluation of Research Proposals;
- Annex V:** Standard Research Budget Format;
- Annex VI:** Sample Research Contract Format for Researchers;
- Annex VII:** Research Progress Reporting Form;
- Annex VIII:** Standard Layout for Research Reports;
- Annex IX:** Guidelines for Research Report Peer Review.

These operational guidelines and tools shall be reviewed on a *regular/continuous* basis to accommodate changes in the operating environment. The *CPSRC* shall be the custodian of the *Research Policy* on behalf of the College, and shall therefore bear the responsibility of ensuring that it continuously meets both the internal and external costumers' requirements.

CHAPTER 6

Conclusion

The process of development and implementation of the *College Research Policy and Operational Procedures* has, of necessity, to reflect and present a move towards enhanced internal *efficiency, effectiveness and relevance* of research output.

The *Research Policy and Operational Procedures* is therefore aimed at creating uniformity, transparency and internal efficiency in prioritizing, planning, implementing and monitoring of the research process at the College thereby strengthening College research capacity. This is in line with the objectives of *College Rolling Strategic Plan reviewed 2014/15 – 2018/19* which places particular emphasis on standardization of operations and procedures (i.e. clear policies and operational procedures) governing its inputs, processes and outputs. The *College Research Policy and Operational Procedures* maps the processes of identification of research needs and prioritization; research project identification and initiation; preparations and approval procedures for proposals, funding sources and modes; project control and monitoring; dissemination of research results and research effectiveness evaluation.

The *Research Policy and Operational Procedures* has to serve both internal and external customers; it is to serve College members of staff as researchers as well as meet internal administrative requirements. It has also to be clear and acceptable to external partners, either as research collaborators, funding agencies or target customers.

The *Research Policy and Operational Procedures* will enable the College to meet its broad research objectives in order to address its vision and mission both in the short and long run.

ANNEXES

Annex I

Objective 6: To strengthen Research Consultancy and Community Services

Key Targets

- Capacity for scholarly and contract research
- Consultancy capacity
- Community services

Key Activities

(a) *Capacity for Scholarly and Contract Research*

- (i) Finalize development of various instruments for running the Directorate of Post Graduate Studies Research and Consultancy.
- (ii) Work with the College to organize capacity building training to academic staff in Research Methodology.
- (iii) Identify and develop a data base of opportunities for research and publications.
- (iv) Allocate fund for establishment of a College Research Grant Fund.
- (v) Cultivate possibility of establishing local and international collaboration on joint research collaboration.
- (vi) Sensitize academic staff to participate in research

(b) *Consultancy Capacity*

- (i) Develop/update the College Consultancy Policy.
- (ii) Identify key areas of consultancy capability within the College and prepare directory of the consultants.
- (iii) Work with the Institute to organize Workshop on Consulting Skills
- (iv) Allocate seed fund for the consultancy unit
- (v) Seek management approval to identify staff who can support the consultancy unit
- (vi) Put a permanent system to identify consultancy assignments
- (vii) To provide progress report on research and consultancy activities

(c) ***Community Services***

- (i) Identify services and programmes College can provide to the community at cost recovery
- (ii) Design and develop the programmes
- (iii) Test and adjustment of the programmes to meet the need required
- (iv) Implement

Annex II

Guidelines for Approval of College Research Proposals

(1) Initiation of a Research Project

A research proposal should be prepared by interested researchers in accordance with the format given in **Annex III**. The proposal should then be submitted to the Directorate of Postgraduate Studies Research and Consultancy (CPSRC).

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 **CPSRC** assessment of the individual researcher's ability to handle several research projects at a time. In any case, a reasonable balance between involvement in research, teaching and consultancy shall be ensured.

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

(2) Action by the Departmental Postgraduate Studies Research and Consultancy Committee (DPSRCC)

Research proposals shall be initiated and scrutinized at departmental level. The Departmental PSRC Coordinator will convene the Departmental PSRCC meeting. Once the Departmental PSRCC 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 with appropriate recommendations. However, under emergency or other special circumstances, the CPSRC can approve the proposal for onward forwarding to a potential funding agent without approval at Faculty, College or University level. In any case, the department shall be required to submit a written justification for the action. If the Departmental PSRCC 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 resubmission;

- To interview the researcher(s) 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 Departmental PSRCC 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 **Departmental PSRC Coordinator** who might choose either to return it to the Departmental PSRCC with recommendations or endorse the rejection. However, if the proposal is rejected by the Departmental PSRCC for the second time, no further appeals should be entertained. As a guideline, the Departmental PSRCC should limit its evaluation to a maximum of *one month*.

(3) Action by the Faculty Postgraduate Studies Research and Consultancy Committee (FPSRCC)

The FPSRC will scrutinize the research proposal, especially the research objectives, research methodology, time schedule, phasing etc. The FPSRC 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 units.

If the FPSRCC 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 Departmental PSRCC. The only exception is that, in the case of an appeal after the first rejection by the FPSRCC, the proposal is forwarded to the Dean or Director of the faculty/institute who shall make his/her recommendations to the CPSRC. As a guideline, the maximum evaluation period of a research proposal at Faculty/Institute level should not exceed two months. For projects funded at Faculty/institute level the FPSRC has the final say on the approval of project (with room for appealing to the DPSRC).

The projects shall be registered appropriately and both a copy of approved research proposal and the registration number forwarded to the DPSRC. For College funded research applications the CPSRCC shall make recommendations for funding to the College Academic Committee (CAC).

(4) Action by College Postgraduate Studies Research and Consultancy Committee (CPSRCC)

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

- To accept the proposal for funding when the committee is satisfied;
- To return the proposal to the FPSRCC 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 DPAA who might choose to either return it to the CPSRC with recommendations.

(4) Approval and Registration

All research projects shall be registered with the Directorate of Postgraduate Research and Consultancy. A Research proposal shall be numbered serially preceded by Faculty/Institute and Department and year codes as follows:

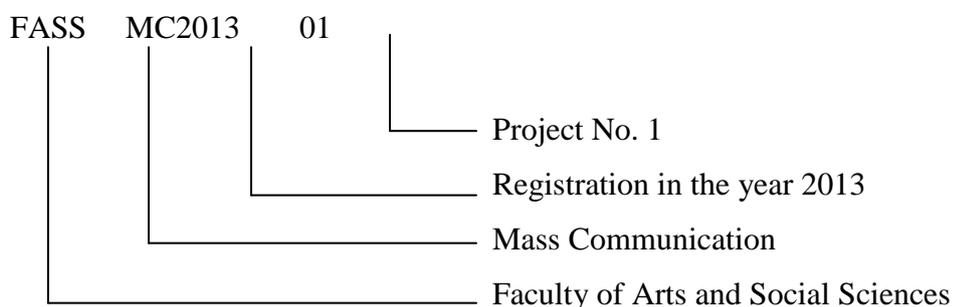


Figure 2: Registration Format for College Research Proposals

The Directorate of Postgraduate Research and Consultancy shall coordinate research project registration. The DPSRC shall also maintain an up-to-date database of all research projects within the College.

(6) 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 College 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 College. Format for research contracts is included in **Annex V**.

(7) 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 FPSRC. A format for such progress reports is given as **Annex VI** 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 FPSRC by the Faculty Research Coordinator.

In some cases, the DPSRC 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 Unit concerned. However, in any case, the funds for the next phase can only be released after the approval of the progress report by the FPSRC for Faculty funded research projects and by the DPSRC for the College level funded projects.

(8) Final Research Report

At the conclusion of the research, a final research report should be submitted in the format contained in **Annex VIII**. 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 consolidated research report. The draft final research report should be sent to the DPSRC which shall appoint an independent reviewer and then submit the review report to the DPSRC together with their comments within one month after receipt of the researcher's report. The guidelines for reviewers are given in **Annex IX**.

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 DPSRC Coordinator will have to appoint a second independent reviewer who will have to finish the review exercise within two weeks. In such a case, the DPSRC 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 VIII**) 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. FASS/MC/7*/2010. The numbers marked with an asterisk (*) should be in serial order.

At least 6 (six) copies of the final research report should be submitted to the DPSRC for final approval. After the approval, these copies will be distributed as follows; DPSRC (Directorate of Research),FPSRC, Head of theCollegeLibrary and the Section Library where this exists. The abstracts of the final reviewed research reports should be published periodically in the respective Faculty/Institute Research Abstracts.

(9) Research Dissemination

The researchers shall 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 III

Format for Research Proposals²

(1) 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 DPSRC.

(2) 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) 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) 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;
- Research ability;
- Contribution to long-term capability building;
- Probability of research success;
- Availability of outside scientific inputs.

² Other formats may be accepted depending on practice in the respective subject areas. In some cases, some sections may be ignored if the proposal is for basic research.

(5) Literature Review

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 socioeconomic development.

(6) 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.

(7) Project Duration

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

(8) 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.

(9) 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.

(10) 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.

(11) 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.

(12) 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.

(13) Budget

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

(14) Dissemination of results

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

(15) Curriculum Vitae

CVs of the key researchers shall be attached to the proposal.

Annex IV
Format for Evaluation of Research Proposals

- | | YES | NO | |
|--|--------|--------|--|
| 1. SUMMARY | [] | [] | Is it 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 [RATIONALE | [] | [] | clearly stated and proposal is and well reasoned out |
| Comments: _____ | | | |
| 5. METHODOLOGY | [] | [] | Proper, well designed, related to all objectives stated |
| Comments: _____ | | | |
| 6. PERSONNEL (CVs) | [] | [] | Applicant(s) scientifically and technically capable |
| Comments: _____ | | | |
| 7. BUDGET | [] | [] | Realistic and justifiable |
| 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. ADDITIONAL COMMENTS: [] [] No, do not recommend it.

Note: You may use a separate sheet of paper for detailed comments on each of the above sections

Annex V
Standard Research Budget Format

(1) Cost Estimates

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

- (i) Equipment, books, tools costs (if any);
- (ii) Payments to supporting staff;
- (iii) Labour costs;
- (iv) Consumables/materials;
- (v) Travel and accommodation costs (where applicable);
- (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 10% of all costs.
- (x) Allowances

The cost estimates should conform to approved 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 diem or the estimated ticket cost, duration of stay, accommodation charges per night, food cost/allowance, if travelling by road in a faculty/personal vehicle indicate the total distance to be travelled and the applicable rates. Allow for the driver's expenses.

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

TUMAINI UNIVERSITY DAR ES SALAAM COLLEGE
SUMMARY OF RESEARCH PROJECT BUDGET

Table 1: Budget and Payment Format

Faculty/Institute: _____ Dept: _____

Research Title: _____ Principal Researcher: _____

COST CODES	Total	Proposed Payment Schedule				Final	Comments
		1 st Instalment	2nd Instalment	3 rd Instalment	4 th Instalment		
1.0 DIRECT COSTS: Equipment, books, tools costs (if any) Literature Payments to supporting staff Labour costs Consumables/materials Report writing costs Dissemination workshop/seminar or conference							
2.0 TRAVEL AND TRANSPORT: Travel to/from outside Dar es Salaam Local transport Special requirements							
3.0 ACCOMODATION COSTS: External assignments per diem Other costs							
4.0 HONORARIA (payable to researchers)							
5.0 RESEARCH ADMINISTRATIVE COSTS: (at least 8% of all costs)							
6.0 CONTINGENCIES: Allow for 10-15%*							
GRAND TOTAL							

Payment Conditions:	1 st Instalment	Signed	Main Researcher
	2nd Instalment	Signed	Coordinator Departmental PRC
	3rd Instalment	Signed	Associate Dean, FPSRC
	Final Payment	Signed	Coordinator, DPSRC

*To be released **upon application**

Annex VI:

Research Contract Format for Researchers

TUMAINI UNIVERSITY

DAR ES SALAAM COLLEGE

**DIRECTORATE OF POSTGRADUATE STUDIES RESEARCH AND
CONSULTANCY.**

CONTRACT FOR RESEARCH

1. Name of Researcher(s)
 1. _____
{Principal Researcher}
 2. _____
 3. _____
 4. _____
2. 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 College undertakes to provide funding for the proposed project for the total amount of Shs..... 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 College staff/students. Permission to employ staff outside the College, if for an extended period of time and/or on regular basis should be obtained from the Ag. Director, DPSRC before it is effected.
7. The College 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 College payments received fully or in part in case of non-performance.
9. The College will have copyrights of the research.

The research project has been assigned a unified **College Code No**.....

We the undersigned accept the above- mentioned terms and conditions.

Principal ResearcherWitness.....

Director, Postgraduate Studies Research and Consultancy

Date

Annex VII
Research Progress Report Format

(1) PROJECT DESCRIPTION

SECTION A: SUMMARY OF ADMINISTRATIVE INFORMATION

1.1 Project Number & Title:

1.2 Principal Researcher

Name: _____ Unit: _____

1.3 Period (month/year) covered by this report

From _____ to _____

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 shs):

1.8 Funds allocated to project (in shs):

Phase 1 Phase 2

Phase 3

Phase 4

TOTAL

(2) 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.

PROGRESS SINCE LAST REPORT

SECTION 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) Financial Statement of Income and Expenditure during the Project Life

Table 2: Project Financial Statement Report Format

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				
	Grand Total				

Amount should be shown in Tshs. The breakdown should be as shown in the budget approved for the reporting period. Include as funds expended those for which commitments have been made. 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 IV**.

Annex VIII
Format for the Final Research Report

(1) Research Report Content

A research report should include the following:

- (i) Title of Research Report;
- (ii) Abstract/Executive Summary;
- (iii) Acknowledgments;
- (iv) Table of contents;
- (v) List of figures;
- (vi) List of symbols;
- (vii) Abbreviations & Acronyms;
- (viii) Introduction;
- (ix) Objectives;
- (x) Literature review;
- (xi) Methodology;
- (xii) Results;
- (xiii) Analysis and Discussion of the results;
- (xiv) Conclusions and Recommendations;
- (xv) References/Bibliography;
- (xvi) Tables;
- (xvii) Plates;
- (xviii) Figures;
- (xix) Appendices.

(2) Report Format

- (i) All headings should be left justified:
- (ii) Line spacing should be doubled and fonts should be 12 point size. Times New Roman
- (iii) Left margin should be 1.5 inches and 1 inch on all other sides.
- (iv) Typing should be on ONE sides of the A4 page.
- (v) 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.
- (vi) Report cover shall be as shown in the attached format.

(vii) Font 12: Times New Roman

3.0 APA Referencing

The American Psychological Association (APA) reference style shall be used. Refer to the *Publication Manual of the American Psychological Association* (6th ed.) for more information. When quoting directly or indirectly from a source, **the source must be acknowledged in the text** by author name and year of publication. If quoting directly, a location reference such as **page number(s)** or **paragraph number** is also required.

In the text:

Direct quotation– use quotation marks around the quote and **include page numbers, e.g.**

Samovar and Porter (1997) point out that "*language involves attaching meaning to symbols*" (p.188). Alternatively, "*Language involves attaching meaning to symbols*" (Samovar & Porter, 1997, p.188).

Indirect quotation/paraphrasing – no quotation marks

Attaching meaning to symbols is considered to be the origin of written language (Samovar & Porter, 1997).

N.B. Page numbers are optional when paraphrasing, although it is useful to include them (Publication Manual, p. 171).

Citations from a secondary source

As Hall (1977) asserts, "culture also defines boundaries of different groups" (as cited in Samovar and Porter, 1997, p. 14)

At the end of the assignment, provide the full bibliographic information for each source.

References must be listed in alphabetical order by author

For detailed examples of references by type visit the university of Waikato websitehttp://www.waikato.ac.nz/_data/assets/pdf_file/0017/51632/APA_Referencing_6th_ed.pdf retrieved on 26 March 2010.

TUMAINI UNIVERSITY
DAR ES SALAAM COLLEGE

(A Constituent College of Tumaini University Makumira)

**DIRECTORARE OF POSTGRADUATE STUDIES RESEARCH AND
CONSULTANCY**



(Name of Faculty or Department)

FINAL RESEARCH REPORT

(TITLE OF THE RESEARCH PROJECT)

Research Report No: _____

Researchers:

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

(Date –Month, Year)

Annex IX:
Guidelines for Research Report Peer Review

(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: Is 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.

Reviewer's Name: _____

Reviewer's Signature: _____ **Date:** _____