THE OPEN UNIVERSITY OF TANZANIA

RESEARCH AND PUBLICATION POLICY
AND
OPERATIONAL PROCEDURES

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ACRONYMS

MDGs	-	The (United Nations) Millennium Development Goals
NRDP	-	National Research and Development Policy
NSGRP	-	National Strategy for Growth and Reduction of Poverty
NSTP	-	National Science and Technology Policy
OUT	-	The Open University of Tanzania
RSP	-	Rolling Strategic Plan
TDV-2025	-	The Tanzania Development Vision 2025

CHAPTER ONE

1.0   INTRODUCTION

1.1   Background

A university is inherently characterized by one, several or all of the following four attributes:

(i)   Creation of knowledge through research
(ii)   Preservation of knowledge through publications and in electronic form
(iii)   Transmission of knowledge through publications and teaching, and
(iv)   Application of knowledge through consultancy and public service.

The first attribute, that is, knowledge creation, is very fundamental because, knowledge cannot be preserved, transmitted or applied if it is not available. It has been said that ***"Universities without research activities run the risk of becoming glorified secondary schools"*** (Association of African Universities / World Bank, 1997).

Research and publication activities have been going on at the Open University of Tanzania since the establishment of the University in 1993. However, these activities were carried out without having in place an approved, documented and well formulated policy, mainly because of the absence of an elaborate, well managed, monitored and adhered to, strategic plan to guide the operations of the University. With the advent of the University's first five year Rolling Strategic Plan (RSP) 2004/05 – 2008/09 in 2004, a momentum was unleashed to formulate policies to govern many of the key activities of the University, research and publications being among them.

1.2   Rationale for Formulating a Research and Publications Policy

The OUT fairs exceptionally well in its teaching role but its performance in the field of research output and publications has been less known due to a number of factors, chief among them being the absence of a research and publication policy and research agenda. However, the importance and role of research and publications is underscored in several key documents which are directly related to the process of formulating this policy. Specifically, the following documents were consulted. The revised OUT Five Year Rolling Strategic Plan 2006/7 – 2010/11 is very explicit on the dual twin elements of research and publications as manifested not only in its **vision** and **mission** statements but also in having a specific **strategic objective** on the two key attributes.

(i)   Vision

The vision of the Open University of Tanzania is very explicit on the issue of knowledge creation (research) and knowledge application. It states unequivocally that the OUT shall aspire ***"To become a leading world-class university in the delivery of affordable quality education through open and distance learning, dynamic knowledge generation and application."***

(ii)   Mission

Research is specifically mentioned in the mission statement of the Open University of Tanzania is ***"To continuously provide quality open and distance education, research and public service for sustainable and equitable socio-economic development of Tanzania in particular, and the rest of Africa.***

(iii)   **Functions**

As provided for in both the University Act No. 7 of 2005 and the OUT Charter (2007), OUT has 10 key functions. One of the functions (No. 2) is ***"To conduct research and consultancy by addressing social, economic and development problems of the community".***

(iv)   Specific Strategic Objective

Of the 19 strategic objectives listed in the 5th strategic objective is on *"achieving enhanced research, consultancy and publications capacity"* within the 5 year period by undertaking 9 targeted activities.

The long term aspirations of the OUT and hence its strategic objective on research and publications have also significantly been influenced by some national and international policies, plans and declarations as may be inferred from some of the documents listed in the List of References.

1.3   General Objectives

Consequent to the stated vision of the University to become a leading world class university in research and publications, the general objectives of the Research and Publication Policy are to:

(i)   Enhance the institutions research and publications profile through increased efficiency, effectiveness and internal capacity through planning, funding, monitoring and standardization of the operational procedures.

(ii)   Put in place a comprehensive and standardized frame work for conducting research and disseminating research findings.

1.4   Specific Objectives

Pursuant to the above stated general objectives, the specific objectives of the OUT Research and Publication Policy are to:

(i)   Establish a Directorate for Research and Publication, Units and Technical Committee.
(ii)   Promote research as an integral activity of all OUT staff.
(iii)   Put in place a mechanism for rewarding researchers.
(iv)   Train OUT staff how to write research proposals and how to conduct research.
(v)   Streamline and standardize the process of writing research proposals.
(vi)   Streamline and standardize the process of approving research proposals.
(vii)   Solicit funds from various sources for conducting research.
(viii)   Foster research culture and ethics, including protection of research subjects, safeguarding the environment, acknowledging work done by others, copyrights and patents, integrity and honesty in arriving at research results.
(ix)   Foster equitable sharing of research benefits.
(x)   Enhance effective coordination of research at OUT.
(xi)   Introduce and sustain a regular monitoring and evaluation system of research at OUT.
(xii)   Formulate and adopt performance indicators for evaluating research at OUT.
(xiii)   Establish a mechanism of reviewing from time to time OUT research agenda in order to be inline with the National Research Agenda.
(xiv)   Put in place quality assurance mechanisms for research processes and findings.
(xv)   Set criteria for introducing new journals at the OUT.
(xvi)   Set criteria for recognizing non OUT journals as publications fora.
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CHAPTER TWO

RESEARCH AND PUBLICATION POLICY AND OPERATIONS PROCEDURES

2. INTRODUCTION

The main attributes of the OUT Research and Publication Policy includes provision of guidelines and direction of research activities at the University and committing implementers to adhere to the university requirements. The attributes are as detailed below.

2.1.1 Provision of **guidelines and direction** of research and publication activities at OUT. The policy role is to assist the university and staff to be in line with the regulations, mission and vision of the university in research assignment they take.

2.1.2 Committing **implementers** (administrators, researchers and sponsors), to ensure that research at the University addresses important issues addressing both the national needs and the academic requirements of both OUT staff and the students. Specifically, the policy provides guidelines and direction pertaining to:

(i)   Organization and management of research activities
(ii)   Research resources
(iii)   Research Support Environment
(iv)   Institutional research priorities and national coordination
(v)   Staff training in research development.
(vi)   Research culture
(vii)   Research ethics
(viii) Guidelines for Approving and Monitoring Research
(ix)   Intellectual property/proprietorship of research output
(x)   Information and communication technology
(xi)   Ownership of Research Equipments upon Completion of Research Project
(xii)   Rewarding Researchers
(xiii) Professional Liability
(xiv)   Quality and Effectiveness of Research
(xv)   Publications
(xvi)   Dissemination of Research Findings: Restriction on Publication
(xvii) Co-authorship

2.2   GENERAL STRATEGY

Effective implementation of the Research and Publication Policy will depend on the strategies laid down for its implementation and Operational Procedures. However, these can only be effectively achieved in the existence of:

(i) A strong Unit of Research and Publications and an associated Technical
   Committee to oversee the overall administration of research and publication activities.

(ii) Adequate funding of research activities both from internal (University and
    Government) and external sources.

(iii) A culture of doing research among staff and students of the University.

(iv) Remuneration package to motivate, encourage and hence promote research and
    publication activities at OUT
(v) A well designed OUT research agenda

2.3 POLICY ISSUES, STATEMENTS AND PROCEDURES

Policy issues, Statements and Policy Procedures are presented in two parts. Part I
presents the Research Policy statements and operational procedures. Part II presents
Publication Policy statements and operational procedures as can be seen below.

PART I: RESEARCH POLICY

2.3.1 Research Coordination

Effective implementation of a research policy in an institution requires an organ that will
coordinate all research activities undertaken. Such an organ will require a committee to
handle the entire research processes (planning, budgeting and publication of research
results)

(a)   **Policy Statement**

        The Open University of Tanzania shall:

        (i)   Establish a Research and Publication organ to be known as the Directorate
                of Research and Publications to promote research activities.
        (ii)   Establish a committee responsible for Research and Publications
                Committee to advise on all research and publication matters and approve
                all research applications and expedite research and processing approval,
                advice on plans and budgets for the Directorate.

(b)   **Operational Procedures**

        The Open University of Tanzania will:

        (i)   Establish a unit of Research and Publications and provide it with adequate
                resources (human, financial and material) in order to facilitate proper
                coordination and implementation of the policy.

(ii)   Establish relevant Committees at the Faculty and Institute levels to oversee research and publication matters at those levels.

(iii)   Ensure that the Research and Publications unit establishes External links with:

- Other institutions of higher learning within and outside the country for collaborative research projects and funding.
- Development sectors such as manufacturing, industries, agriculture, water, energy and minerals, environment and the private sector to establish research needs and priorities, the users of research findings for development and for research funding.
- International Organizations for collaborative research and funding.

(iv)   Establish a research and publications Technical Committee to approve research applications and advise the unit on plans and budgets of the unit.

(v)   Establish journals which will create a forum for researchers to publish their research findings.

2.3.2 Research Resources

Research resources are the main constraints in undertaking research activities. These include financial, facilities and human resources. Funds from the government have continued to be extremely low and therefore, many research activities are highly donor-driven. At the same time, human resource is inadequate and facilities are not available. There is a need therefore, for the University to put in place a policy that will guide and search for funds, and human resources for research.

2.3.2.1 **Financial Resources**

(a)   **Policy statement:**

The Open University of Tanzania shall:

(i)   Allocate funds for research activities on the basis of an approved research agenda and available resources.

(ii)   Establish a special expenditure code for research and publications activities.

(iii)   Solicit research and publications funds from within and from external sources.

(iv)   Provide general information to staff on research opportunities, sources of funding, and mode of applications.

(v)   Strongly lobby, in collaboration with other research institutions for an increased share of the national financial resources allocated for research.

(vi)   Prioritize research projects for funding on the basis of group rather than individual projects.

(vii)   Provide funds for a research project approved by the Research, Publications, Consultancy and Postgraduate Committee (RPPC).

(b)   **Operational Procedures**

The Open University of Tanzania will:

(i)   Strengthen and support research and publication
(ii)   Establish and strengthen linkages with other research institutions
(iii)   Encourage individual researchers, faculties and institutes in raising funds from alternative sources
(iv)   Encourage demand-driven and multi-disciplinary research for maximum impact

2.3.2.2 Human Resources

(a)   **Policy Statement**

The Open University of Tanzania shall:

(i)   Have a data base system containing lists of research staff and students and their respective research interests.
(ii)   Put in place a researcher retention scheme that attracts and promotes research talent at the University.
(iii)   Actively involve undergraduate and postgraduate students in research activities
(iv)   Train staff and students in research skills
(v)   Promote and enhance team work and multi disciplinary researches amongst its staff

(b)   **Operational Procedures**

The Open University of Tanzania will**:**

(i)   Establish a data base management system which shows list of research staff and their respective research interest
(ii)   Establish a researcher retention scheme that can attracts research talents at the University
(iii)   Involve the postgraduate and undergraduate students in research activities.
(iv)   Conduct training/workshops on research to develop research skills for both students and staff
(v)   Utilizes research staff in the areas of their competence
(vi)   Set up University guidelines to enhance teamwork and multi disciplinary research
(vii)   Maintain a good balance between teaching and research

(viii)   Develop support systems for new researchers and especially female researchers to enhance their capacities in research activities

2.3.2.3 Research Facilities

(a)   **Policy Statements:**

The Open University of Tanzania shall:

(i)   Ensure availability of offices for research activities
(ii)   Ensure there are tools and equipments for facilitation of research activities
(iii)   Establish electronic link with researchers to other institutions' researchers both internal and international
(iv)   Establish electronic link with research institutions for research projects

(b)   **Operational Procedures**

The Open University of Tanzania will:

(i)   Allocate physical space for research facilities
(ii)   Provide computers and related facilities for research activities.
(iii)   Provide internet infrastructure and services

2.3.2.4 Sharing of Research Resources

(a)   **Policy statement:**

The Open University of Tanzania shall:

(i)   Encourage sharing of research resources in order to optimize the use of available research resources. Such resources include information sources of academic value, computers, photocopiers and project vehicles
(ii)   Ensure that each research project contributes 5% of the total research project as an administrative cost to the University

(b)   **Operational Procedures**

The Open University of Tanzania will:

(i)   Issue guidelines for utilizing project research facilities for researchers
(ii)   Allocate 3% of the total costs of a research project to the Faculty/Institute and 2% to the University

2.3.3 Research Support Environment

Research activities may grow and flourish in our institution and produce findings that are profitable for the nation development when there is research support environment for the staff and students to conduct researches. The necessary research environment requires: better remuneration to research coordinators, research funds, research facilities such as modern management information system, access to web - based database and opportunities for dissemination and publishing research information.

(a)   **Policy Statement**

The Open University of Tanzania shall:

(i)   Ensure a conducive research support environment
(ii)   Promote research activities through better remuneration, better funding and availing adequate facilities to research projects
(iii)   Ensure researchers have the opportunity to disseminate and publish results

(b)   **Operational Procedures**

The Open University of Tanzania will:

(i)   Provide a conducive research support environment to coordinators in terms of remuneration and facilitation of establishment of a management information system
(ii)   Facilitate faculties to formulate research agenda in their field of specialization based on the OUT Rolling Strategic Plan and the national research priorities
(iii)   Link researchers to international and internal forum to establish networks and collaborative activities
(iv)   Create an institutional culture of sourcing funds for funding researches, providing research management allowances and procure research tools and stationaries
(v)   Develop research skills through training workshops/seminars
(vi)   Link researchers with the users of research findings such as industries, policy makers and implementors through workshops
(vii)   Provide a forum/opportunity for research findings to be published
(viii)   Honour researchers for their respective work through incentives such as awards, and other avenues of recognition for good work done

2.3.4 Institutional Research Priorities and National Coordination

Institutional research priorities should match with those listed in the OUT Rolling Strategic Plan as well as mirror the national research needs for development.

(a) **Policy Statement**

The Open University of Tanzania shall:

(i) Strive to prioritize its research agenda in line with the Rolling Strategic Plan of the faculty and faculty field specialization in relation to the national research needs

(ii) Ensure review of research agenda is carried out from time to time to match with emerging issues.

(b) **Operational Procedures**

The Open University of Tanzania will:

(i) Participate fully in influencing the identification of research needs and priorities of the nation

(ii) Collaborate with various organization, institutions and governments both internal and external in identifying research priorities which will form a base for the formulation of research agenda of the University

(iii) Develop research agenda for each faculty and Directorates and review them as need arises

(iv) Participate in various stakeholders' workshops, seminars meetings for the implementation of research agenda

(v) Market research agenda of both institution and nation to international and national organizations and Institutions for purpose of winning funding for research projects and/or undertaking collaborative research

2.3.5 Training of Staff and Students in Research Skills Development

Lack of adequate research skills is one of the reasons for unsatisfactory performance in research. Staff training on research will promote conduction of scientific and credible research. Basing on this view point therefore, it is necessary to provide a policy statement and strategies to guide research skills development.

(a)   **Policy Statement**

The Open University of Tanzania shall:

(i)   Encourage researchers to attend both internal and external research skills development training
(ii)   Ensure that the library is equipped with modern information system to facilitate access to international literature and database
(iii)   Ensure research training funds are made available

(b)   **Operational Procedures**

The Open University of Tanzania will:

(i)   Set up the guidelines for training in research methods in order to enhance research capacity
(ii)   Training students and staff in research method
(iii)   Update regularly the information systems and access to international data base
(iv)   Solicit funds for research skills development training for both staff and students

2.3.6   Research Culture

Research is necessary in any society as it addresses issues and challenges that are of concern and which require solutions. Research also creates knowledge that provides new ideas for development of a nation. Furthermore, research provides new knowledge and information in the world of academia.

However, doing research requires a culture among academicians and students in higher learning institutions, which can act as a catalyst in their interest to apply scientific skills in researches.

(a)   **Policy Statement**

The Open University of Tanzania shall:

(i)   Provide avenues for staff to be motivated to do researches as individuals or team
(ii)   Ensure staff is equipped with research skills, facilities and research agenda.
(iii)   Ensure students are trained in research methods, sensitized and motivated to do researches

(iv)   Instill a research culture through training of undergraduate and postgraduate students in research

(v)   Contribute towards fostering and enhancement of research culture both within and outside the university

(vi)   Promote and encourage research teamwork

(vii)   Educate OUT staff on the research policy and procedures

(b)   **Operational Procedures**

The Open University of Tanzania will:

(i)   Inform staff on their responsibilities of doing research and a means for writing research papers for publishing

(ii)   Motivate staff actively engaged in research by giving awards and promotions

(iii)   Introduce a core research method course for students

(iv)   Award students who design a good research proposal and write good research reports

(v)   Utilize ICT facilities for research by both staff and students to access both web-based and local research reports

2.3.7   Research Ethics

Ethics in researches need to be seriously observed to maintain the integrity of the profession. Ethics also needs to be closely observed to maintain intellectual honesty, confidentiality, acceptability of research results, conflict of interest, observation and avoiding offending respondents.

(a)   **Policy Statement**

The Open University of Tanzania shall:

(i)   Make sure researches are conducted after the RPPC has approved the research for local researches and by COSTECH for researches whose origin are by foreigners: on the other hand, research sites leadership is informed together with the research subjects

(ii)   Ensure RPPC contracts independent reviewers to scrutinize the proposal on issues of ethics.

(iii)   Ensure researchers are honest about conflict of interest in research projects.

(iv)   Make sure the researchers observe human rights and cultural beliefs and regulations of the communities and in particular of the respondents

(v)   Ensure confidentiality of the responses by respondents is observed by the researchers

(vi)   Make sure highest standard of intellectual honesty in the conduct of research is maintained (data cooking, plagiarization etc)

(vii) Make sure funds for research whether sourced from within the institution or from outside are properly utilized and accounted for

(b) **Operational Procedures**

The Open University of Tanzania will:

(i) Scrutinize research proposals by contracted independent reviewers to ensure ethical issues are adhered to
(ii) Provide introduction letters for researchers to research areas' leaders
(iii) Provide researchers forms to fill on conflict of interest regarding funding agency, respondents or leaders in research areas
(iv) Advice researchers to include a budget in the proposal for preliminary visits by researchers to the research areas in order to get acquainted to the people and know their cultural beliefs and regulations
(v) Design forms for researchers to sign for purpose of committing them to observe intellectual honesty and maintain confidentiality on responses of respondents
(vi) Provide procedures to researchers for giving progress reports and related funds spent before they enter into another stage of the research project

2.3.8 Guidelines on Research

To ensure optimal research results the entire process of conducting research requires well formulated guidelines at each stage, starting from proposal writing, proposal approval, monitoring of the research activity and finally research report writing.

2.3.8.1 **Guidelines for Writing Research Proposals and Research Reports**

(a) **Policy Statement**

The Open University of Tanzania shall:

(i) Make sure there are guidelines for research proposal and report writing
(ii) Ensure that the University research agenda is available and periodically updated

(b) **Operational Procedures**

The Open University of Tanzania will:

(i) Formulate guidelines for writing research proposals and research reports.
(ii) Set up the University research agenda taking into consideration of the national research agenda needs

(iii) Ensure that members of staff are well aware of the University research agenda and participate in the process of defining the research agenda for their areas of specialization

2.3.8.2 Guidelines for Approving Research

(a) **Policy Statements**:

The Open University of Tanzania shall:

(i) Ensure there is a Technical Committee (RPPC) to approve research proposal.
(ii) Ensure that evaluation form is prepared to cover indicators such as standard format, university and national research agenda and ethical consideration to guide the approval process for research proposal
(iii) Ensure that the evaluation form adheres to the OUT approved format and or the format provided by the funding agency in cases of contracted research

(b) **Operational Procedures**

The Open University of Tanzania will:

(i) Establish a Technical Committee (RPPC) for approving research proposal.
(ii) Formulate the evaluation forms for research proposal approval.
(iii) Formulate the research report evaluation forms.

2.3.8.3 Guideline for Monitoring Research Projects

(a) **Policy Statement**

The Open University of Tanzania shall:

(i) Ensure there is Technical Committee (RPPC) to monitor research activities.
(ii) Ensure there is a guideline to monitor research activities
(iii) Ensure there is Information Management Systems for registration of all research activities
(iv) Ensure forum for dissemination of research results are conducted.

(b)   **Operational Procedures**

The Open University of Tanzania will:

(i)   Establish a Technical Committee (RPPC) for monitoring research activities
(ii)   Put in place the guidelines for monitoring research activities
(iii)   Set up the regulations regarding the reporting of the research progress
(iv)   Install information management systems for registration of all research activities
(v)   Conduct forums for research results dissemination

2.3.9   Ownership of Intellectual Property

As a general principle, ownership of intellectual property for research directly or indirectly sponsored by the OUT rests with OUT. This shall apply when all funding is from within the University, other public sources, or where donor funding is not tied to any specific research project(s).

On the other hand, where research is partly or wholly financed from an external source, and there is a desire for shared ownership of intellectual property, a formula for ownership will be worked out upfront and be part of the approval process. The formula should include the following criteria:

Intellectual property rights are required to be known at first before the research is conducted so that the right of the researcher intellectual contribution is safe-guarded and protected. This will ensure that the findings of the research will not bring any conflict of interest between the funding agencies and the researchers. The intellectual property rights may differ in terms of intellectual contribution made by researchers, experience of the researchers, the personnel involved, the financial contributors as well as the time devoted by each member in the project.

(a)   **Policy Statement**

The Open University of Tanzania shall:

(i)   Ensure that there is a formula governing ownership of research output
(ii)   Claim for full ownership of property rights when all funds are from within the University
(iii)   Ensure collaborative arrangements, ownership of intellectual property is negotiated on a case by case basis in the case of collaborative research. In such cases, however, agreement on the ownership or use of the intellectual property should be negotiated at the contract stage

(iv) Ensure that, When an external agency pays the full commercial rates for the research which has defined objectives and for any existing 'know-how' and the research is conducted on a commercial basis, the external agency should have exclusive rights to use any of the intellectual property pertinent to those objectives provided there is no significant amount of pre-existing intellectual property

(v) Ensure that, the granting of a license to commercialize the property to a company by a university should be subject to a time limit for exploitation

(vi) Encourage wherever possible, researchers should avoid joint ownership of intellectual property or if unavoidable, a joint ownership should be clearly defined to ensure both parties are free to use the property but cannot license or assign it without the approval of the other

(b) **Operational Procedures**

The Open University of Tanzania will:

(i) Put in place rules and regulations governing ownership of research output.
(ii) Set up a formula for ownership of research output if the research is financed either partially or wholly from an external source. The formula should include:
- Intellectual contribution
- Professional experience
- Technical staff support
- Time involvement
- Financial contribution and
- Facilities for research

2.3.10 Information and Communication Technology On Research

There is need for the University to continuously invest in ICT as per ICT OUT policy in order to facilitate development of research activities.

(a) **Policy Statement**

The Open University of Tanzania shall:

(i) Ensure ICT infrastructure, including ICT working space, power, database management systems are established as per ICT Policy.
(ii) Ensure human resource skills and competence for effective ICT utilization is enhanced.
(iii) Set up a mechanism that ensures affordability of ICT usage for research purpose.
(iv) Strongly encourage and facilitate sharing of ICT resources.

(b)   **Operational Procedures**

The Open University of Tanzania will:

(i)   Put in place a dependable and reliable ICT infrastructure at the OUT Headquarters as well as in Regional Centers.
(ii)   Develop skills in ICT among researchers to enable them utilize ICT facilities for research information effectively.
(iii)   Encourage OUT staff and students in the use of ICT in research activities.

2.3.11 Ownership of Research Equipment on Completion of Contract

(a)   **Policy Statements**

The Open University of Tanzania shall:

(i)   Make sure the sponsors sign a contract wherein stated clearly whether the equipments purchased for research project will be the property of the university or will be returned to the sponsor or be the property of the researcher
(ii)   Ensure that equipments purchased for research, which are earmarked to become the property of the university after completion of the research project, are retained in the university as per signed contract.
(iii)   Adhere to governing procedures for the disposal of University property (obsolete or otherwise), while ensuring that the researcher is given priority in reallocation of research equipment when the project is completed.
(iv)   Ensure that a sponsoring agency has to have a budget for the maintenance and transportation of equipments, if the sponsor has indicated to have the equipments back after completion of the project.

(b)   **Operational Procedures**

The Open University of Tanzania will:
(i)   Design contract forms for sponsors and researchers to sign at the beginning of the research project stipulating on how research equipment and related tools will be handled during and after the project
(ii)   Establish a monitoring mechanism to ensure all research property provided by sponsors which are earmarked to be property of the university, are retained in the university after completion of the research project

(iii)   Design a contract form to be signed by sponsor to ensure a budget is provided for the maintenance of equipments intended to be returned to sponsor after the completion of the research project

(iv)   Give first priority to researcher in the case of university disposal of property acquired by the university through research in its reallocation for use.

2.3.12 Professional Liability

The area of professional liability relates to negligent statements/advice or negligent performance of a professional duty connected with specialized tasks undertaken by a university, its staff or agents on behalf of an outside party. This is particularly relevant in relation to consultancies but can also arise in connection with collaborative research undertaken by members of staff of the university, licensing agreements or indeed any other commercial arrangement.

(a)   Policy Statement
:

The Open University of Tanzania shall:

(i)   Ensure liability for work done in relation to particular projects is addressed in all contracts;

(ii)   Ensure that, The University has adequate professional indemnity cover for all outside work; and

(iii)   Ensure that, disclaimers are signed by both staff undertaking personal consultancies and the outside organization involved while indicating clearly that the university is not involved in the contracted assignment

(b)   Operational Procedures

The Open University of Tanzania will:

(i)   Put in place research project contracts which includes a close for liability for work in relation to the particular project

(ii)   Establish a system that ensures full indemnity cover of the University for the all outside work

(iii)   Put in place forms to sign by both contractor and contracted staff on personal consultancies, indicating clearly that, the work to be carried out does not involve the University

2.3.13 Research Quality and Effectiveness

(a)   Policy Statement

The Open University of Tanzania shall:

(i)   Endeavour to ensure quality research proposals and research reports emanating from the staff
(ii)   Ensure there is an established mechanism to assess research effectiveness in solving societal problems or providing new knowledge about issues in academia.
(iii)   Endeavour to review periodically, research agenda for the university to continuously be in line with the emerging national and global issues and university strategic objectives.

(b)   **Operational Procedures**

The Open University of Tanzania will:

(i)   Establish a mechanism of evaluating quality of research proposal quality in terms of issues addressed, theory and methods
(ii)   Put in place an assessment procedure to establish the relevance of a research project in relation to research agenda and community issues of concern
(iii)   Review University research agenda periodically

PART II: PUBLICATIONS POLICY

2.3.14 Publications

The procedure for review and approval of research reports shall apply in respect of manuscripts for books or manuals submitted by university members for publication by the university. However, in this case, favourable opinion must come from an independent reviewer. Once a manuscript for a book or manual is accepted, the author(s) shall be paid according to the agreed university rates. There shall be also a honorarium rate for independent reviewer.

The issue of ownership is also the same as for intellectual property. However, where the publication is sold, the university shall pay royalties to the author(s) of books or manuals after recovery of full costs. The rate of royalties will be worked out and agreed upon upfront in the best interest of both parties: the author(s) and the university.

Publication of papers shall follow the established procedures of the respective journals both local and international. The University will also look into the

possibility of utilizing e publication forum as a means of publishing papers evolving from researches.

(a) **Policy Statement**

The Open University of Tanzania shall:

(i) Endeavour to encourage its staff to publish both books and papers locally and internationally for intellectual consumption and for promotion

(ii) Ensure procedures for reviewing manuscripts especially those processed within the university are strictly adhered to in order to maintain quality

(iii) Ensure measures are established to protect intellectual property and royalties are paid accordingly to sold published books

(iv) Encourage staff to attend and present papers at academic or professional conferences within and also outside the country.

(v) Encourage staff to disseminate the conference papers through the University's website

(b) **Operational Procedures**

The Open University of Tanzania will:

(i) Establish procedures for motivation to staff who publish books and those who review such books.

(ii) Establish rewarding system, for staff who excel in publishing within a year

(iii) Design clearly stipulated procedures for reviewing manuscripts and draft papers of staff for publication for journals within the university

(iv) Furnish staff with various journals and publishing houses both local and international, where staff can publish their articles or books.

(v) Establish mechanisms for quality assurance and intellectual property protection of papers and books that are to be published within the university system.

(vi) Facilitate staff to present research papers in both academic and professional forum, local or international.

(vii) Inculcate in staff a culture of utilizing various websites for publishing their articles

(viii) Facilitate researchers both staff and students to utilize e publication technology

2.3.15 Dissemination of Research Findings

By their very nature, universities are dedicated to the dissemination of the results. By contrast, some research results may need to be kept confidential for a period of time to allow for the contracting body to consider whether to protect the

intellectual property and to do so (by a provisional patent), prior to publication of the research material.

It is believed, however, that contracts should not include an indefinite right to defer publication of the results.

Moreover, universities are occasionally requested by Government or other bodies to perform research where the results may be politically sensitive. If this happens, the university should not sign contracts which permit an indefinite embargo on publication; a time limit should be included.

(a)   **Policy Statements**

The Open University of Tanzania shall:

(i)   Encourage the incorporation of the dissemination of research results activities in the research proposals (seminars, workshops, conferences), which also involves stakeholders.

(ii)   Ensure that there is an international standard recognized research report format in place and that research reports are subjected to peer-review before dissemination.

(iii)   Ensure researchers present their findings in seminars which should involve stake holders.

(b)   **Operational Procedures**

The Open University of Tanzania will:

(i)   Provide guideline for research proposal that incorporates a budget for dissemination seminars or workshops at the end of the research project whose participation will involve stakeholders

(ii)   Design a format for research reports with an internationally recognized standard

(iii)   Establish a procedure for all research reports to be subjected to peer review before dissemination to control quality

(iv)   Facilitate presentation of research findings to stakeholders and interested parties as a dissemination process at the end of each research project

2.3.16   Co-Authorship

(a)   Policy Statement

The Open University of Tanzania shall:

(i)   Encourage and support its staff to work in teams in undertaking research as well publication.
(ii)   Ensure work done together is published in the names of all those who participated in the work.

(b)   Operational Procedures

The Open University of Tanzania will:

(i)   Put up a mechanism that will promote staff to work in teams
(ii)   Put in place a system that will ensure all publications from team work, include names of all those who participated in doing the work

CHAPTER THREE

APPROVAL AND CONTROL PROCEDURES

Operational procedures of the research shall include among other things the process of development and implementation of the research and thus it shall reflect efficiency, effectiveness and relevance of research output.

These procedures have particular aim of standardization of operations and state the procedures of operations, approval and control of all research proposal of the Open University of Tanzania as follows:-

3.1   Research Categories

There will be four categories of research that will be coordinated by the Directorate of Research, Publication, Consultancy and Postgraduate Studies; and hence controlled by the RPC & PC committee. The categories are as follows:-

   (a)   Individual Initiated Projects
   (b)   Departmentally Initiated Projects
   (c)   Research Project Initiated in collaboration with Individuals
   (d)   Commissioned Research Projects.

3.2   Starting of Research Proposal

Research proposal should be initiated by interested researchers and thus it shall be made in accordance with the University standardized formats. A proposal with standard format supported with high standard content shall be a ground for approval by relevant heads of departments and (RPPC) committee.

3.3   Approval by the Directorate of Research Publication and Consultancy

All draft proposals shall first be submitted to the Directorate of Research Publication, and Post graduate studies (DRPC) for initial technical evaluation.

Once the Directorate is satisfied with research relevance in its technical and financial aspect, then the proposal shall be forwarded to the (RPPC) committee for further approval. The following possible actions may be taken if the proposal content is unsatisfactory.

(i)   To request the initiator of the proposal to review it

(ii)   To instruct researchers to act on the identified weakness of the proposal; and where necessary to interview the researchers.

(iii)   To reject proposal if the RPPC Committee shall be convinced that the proposal is sub-standard.

(iv)   If the applicant shall not be satisfied with the action taken by Heads of Departments, then he shall be liable to appeal to relevancy heads of Faculties and or other relevant boards.

The applicant shall have the right to appeal to the Director (DRPC) if his/her proposal is rejected/not accepted beyond satisfaction of the said candidate.

3.4   Scrutinization by the Faculties/Departments/Institutes

The research proposals will then be forwarded to the relevant faculties/department/institutes for scrutinization/technical reviews in regard of its objectives, methodology, time schedule etc.

The respective faculty shall also look into other matters such as the budgets and define other specific recommendations on the area coverage and other resources; however the academic responsibility shall remain within the departments.

3.5   Evaluation of Research Proposal by the RPPC

The research proposals shall be directed to the RPPC from the relevant faculties/Departments/Institutes for consideration after being satisfied of the relevance, needs soundness and financial budgets.

The RPPC shall then undertake the following actions:-

(i)   To approve the proposal for funding when satisfied for its merit.
(ii)   To approve on condition for minor corrections to be made by the candidates.
(iii)   To return the proposal to the departments/researcher for corrections. The proposal is re-submission if the guidelines and procedures have not been followed.
(iv)   To outright reject if the committee is well-convinced that the proposal is substandard in the content and presentation.

In the case where a proposal is rejected by the RPPC, and the author of the proposal is not satisfied with the decision, he/she may appeal to the DVC (academic), so that the proposal is scrutinized by a different team of experts.

3.6 Registration and Approval

The Directorate of Research and Publications shall be responsible to receive and register all research projects of the Open University.

The Directorate shall ensure that all proposals are serially numbered showing Faculty, Institutes, Year and Project Codes.

3.7 Research Contract and Funding at OUT

Research proposals that has approved shall be eligible for funding once the researchers has signed contract with appropriate officers these actions may be done at Faculties/Institutes/Directorates or at the University level where funding is sourced.

The contract signed at Faculty/Institutes/Directorates level while observing all the university regulations, shall be recognized as contracts of the University.

Format for Research Contract is attached in Annex V. Originals of Research Contract shall be signed by the Deputy Vice Chancellor/Director for Research and Publications.

3.8 Interim Reports

At each end of the phase the researchers are obligated to produce tentative progress reports that show research findings. Such reports must be channeled through the respective departments to the RPPC.

The RPPC can review the report or contract a reviewer to do the work on its behalf. If the report is satisfactory, it is approved by the committee for next phase.

Funding for the next phase shall only be released only after the progress reports has been approved by the RPPC committee.

3.9 Internal Quality Control

The RPPC shall be responsible to identify an independent reviewer to check on the quality and authenticity of the research report. This will ensure the researcher observes ethics, maintain integrity and honesty and sustain academic standards in both research process and report writing.

3.10 Final Research Report

The final Research Report shall be submitted in the format approved by the RPC and PC (see annex VII) such format must include date, results and findings collected during the implementations of Research project. The tentative progress

report will form the bases far final compilation and execution of final report. The drafting of final report shall be forwarded the directorates of RPC and PC shall review together with an independent reviewer who will review the exercise immediately or as soon as possible. In this case the RPC and PC will have a final say on the required modification to the draft report after receiving reviewers report. No appeals will be encouraged at this stage.

The final research report must have a standard front cover (see Annex VII) and a verified printing format similar to the one demanded by international journals.

All final Research Report must have a unified code number **FLW/IL/2007/02**. The Research Directorates will assign this number after the final draft report has been approved. The numbers assigned must be in a serial orders.

At least 6 (six) copies of the final Research report shall submitted to the Faculty, RPPC for final approval. After certification process the copies shall be distributed to DRPC, Head of Departments/Institutes, OUT main Library and other relevant units of the University.

3.10 Research Seminars

The researchers are obligated to present their research work and findings to the Seminar/Conference during the end of their work.

The Researchers are also encouraged to present seminars/Conferences during the process of their research work. In order for researchers to be paid final payments they must present their reports periodically in a form of seminars or conferences.

Annex I: Format for Research Project Proposal

1.0   Title of the Project

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

2.0   Executive Summary of the Report

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

3.0   Introduction

The purpose of the introduction is to provide the background or setting for the research problem. The author(s) should give the larger picture into which the researchable problem fits – the context of the problem that the proposed research addresses.

4.0   Statement of the Problem

The research problem is a discrepancy between what is known or understood and what is needed and desired to be known or understood. Under this section, the researcher(s) must clearly describe the problem being addressed by the proposed research and provide the rationale for the proposed objectives.

5.0   Objectives of the Project

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

6.0   Literature Review and Contribution of Project

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

7.0 Methodology

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

8.0 Project Duration

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

9.0 Organizational and Management Plan

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

10.0 Anticipated Output and Utilization Plan

Specific solutions to the specific problem(s) or issue(s) that were addressed in the research projects constitute the anticipated output of the project. These outputs must tally with the objectives spell 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.

11.0 Education and Training Components

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

12.0 Facilities and Funding
The applicant should show the breakdown of all 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.

13.0   Justification or Rationale

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

i)   Technical feasibility
ii)   Research costs
iii)   Relevance
iv)   Researchability
v)   Contribution to long – term
vi)   Probability of research success
vii)   Availability of outside scientific inputs.

14.0   Publication

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

15.0   Work plan

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

16.0   Budget

The estimated budget for the research proposal should be itemized and presented in a clear format as shown in Appendix IV.

17.0   Curriculum Vitae

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

Annex II: Guideline for Evaluation of Research Proposals

	YES	NO	
1. SUMMARY	[ ]	[ ]	is clear and concise

Comments:_____

2. LITERATURE REVIEW [   ] [   ] Comprehensive, relevant and up to date

Comments:_____

3. GOALS & OBJECTIVES [   ] [   ] clearly stated, priority clear and objective achievable.

Comments:_____

4. STATEMENT OF PROBLEM AND [   ] [   ] Clearly stated and proposal is well
RATIONALE   reasoned out.

Comments: _____

5. METHODOLOGY [   ] [   ] Proper, well designed, and related to all objectives stated

Comments: _____

6. PERSONNEL (CVs) [   ] [   ] The applicant(s) is scientifically and technically capable

Comments: _____

7. BUDGET (AND JUSTIFICATION) [   ] [   ] Realistic

Comments: _____

8. CONCLUSION: Do you recommend approval of this proposal?

                     [   ] [   ] Yes as presented

                     [   ] [   ] Yes, subject to minor revisions shown under, "Comments"

                     [   ] [   ] No, see detailed comments under item 9.

Comments: _____

9. ANY OTHER COMMENT: [   ] [   ] No, do not recommend it.
   Comments: *(Use a separate paper for detailed comments)*

Annex III: Standard Research Budget Format

1. **Cost Estimate**

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

   (i)   Equipment, books, tool coasts (if any)

   (ii)   Payments to supporting staff*****

   (iii)   Labour costs

   (iv)   Consumables/materials******

   (v)   Travel and accommodation costs*******

   (vi)   Reporting writing costs

   (vii)   Honoraria; mention names of recipients, applicable rates and duration

   (viii) Contingencies; usually 10-15% should be allowed for.

   (ix)   Research administrative costs – at least 8% of all costs.

   The cost estimates should conform to approval rates

   *   Indicate which cadre of supporting staff, for how 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 indicates 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).

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THE OPEN UNIVERSITY OF TANZANIA

SUMMARY OF RESEARCH PROJECT BUDGET

Faculty/Institute:_____Department:_____
Research Title:_____Principal Researcher:_____

COST CODES	Total	Proposed Payment Schedule				Final	Comments
		1st Instal.	2nd Instal.	3rd Instal.	4th Instal.		
1.0 DIRECT COSTS 1.1 Equipment, books, tools costs (if any) 1.2 Literature Payments to supporting staff 1.4 Labour costs 1.5 Consumables/materials 1.6 Report writing costs Dissemination workshop/seminar or conference							
2.0 TRAVEL AND TRANSPORT 2.1 Travel to/from outside DSM 2.2 Local transport 2.3 Special requirements							
3.0 ACCOMODATION COSTS 3.1 External assignments per diem 3.2 Other costs							
4.0 HONORARIA (payable to researchers)							
5.0 RESEARCH ADMINISTRATIVE COSTS (at least 8% of all costs)							
6.0 CONTIGENCIES; allow for 10-15%							
GRAND TOTAL							

Signatures: (i) Researcher: ------------------------- (iii) Associate Dean: --------------------
            (ii) Head of Department: ------------------------- (iv) Director R&P : --------------------

Annex IV: Research Contract Form for Researchers

THE OPEN UNIVERSITY OF TANZANIA

DIRECTORATE OF RESEARCH, PUBLICATIONS AND POSTGRADUATE
STUDIES

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 Open University of Tanzania (OUT) undertake to provide funding for the proposal project for the total amount of TShs………………………..subject to this contract.
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 OUT staff/students. Permission to employ staff outside OUT, if for an extended period of time and/or on regular basis should be obtained from the Director, R & P before it is effected.
7. OUT 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 OUT payments received fully or in part in case of non-performance.
9. OUT will have copyrights on the research.
10. The research project has been assigned a unified OUT Code No………………

     We the undersigned accept the above mentioned terms and conditions.

_____   _____
          Principal Researcher   Witness

_____
          Director, Research, Publication and Postgraduate Studies
                      _____
                                         Date

Annex V: Research Progress Report Form

1.0 **PROJECT DESCRIPTION**

SECTION A: SUMMARY OF ADMINISTRATIVE INFORMATION

1.1 Project Number & Title: _____

1.2 Principal Researcher
Name: _____   Department: _____

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

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

1.5 Starting date of Project:_____

1.6 Estimate duration of Project:_____
Date of estimate duration of Project_____
Initial: _____
Latest _____

1.7 Estimated cost of Project (in Tshs): _____

1.8 Funds allocated to project (in Tshs)

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

2.0 PROJECT OBJECTIVES

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

3.0 PROGRESS SINCE LAST REPORT

A: SCIENTIFIC PROGRESS

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

SECTION B: PROGRESS TOWARDS ACHIEVING PROJECT OBJECTIVES

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

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

PERIOD COVERED (DATE)_____ TO _____

		Amount[1] Brought Forward	Fund[2] Received	Funds[3] Expended	Balance[4]
1.	Direct Expenditures				
2.	Travel and Transport				
3.	Per Diem				
4.	Honoraria				
	GRAND TOTAL				

1. Amount should be shown in Tshs.

2. The breakdown should be as shown in the budget approved for the reporting period.

3. Include as funds expended those for which commitments have been made.

4. This amount is the sum of amounts in the first two columns, less the amount in the third. The balance should be reconciled with approved budget indicated in **Annex IV**.

Annex VI: Format for the Final Research Report

1.0   **Research Report Content**

A research report should include the following headings:

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

2.0   Report Format

- All headings should be left justified.

- Line spacing should be single space (1.5) and font size of 12

- Left margin should be 1.5 in and 1in on all other sides.

- Typing should be on both sides of the A4 page.

- Format for quoting reference numbers in the text and references should be standard. British Citation Standard BS 5605: 1990 is recommended. Any other standard that is recommended for certain professions could also be used.

- Report cover shall be as shown in the attached format.

Examples:

(i) Technical articles

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

(ii) Books

Masatu, C. K. (1996). Implementing Total Quality Management in Higher Education. Dar es Salaam Higher Education Press, Dar es Salaam. P156

(iii) Reports

Construction Industry Development Board (1992). Construction Industry Sector Development Strategy – A Summary of Needs. CIDB, Dar es Salaam. P142

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

Electronic Format

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

THE OPEN UNIVERSITY OF TANZANIA

(Name of the Faculty, Institute or Bureau)

FINAL RESEARCH REPORT

(TITLE OF THE RESEARCH PROJECT)

Research Report No: _____

Authors:
1. _____
2. _____
3. _____
4. _____

(Date – Month, Year)

Annex VII: 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, lines 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 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 represented?
[   ] 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

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Do the conclusions and recommendations match the research objectives?

Comments: _____

[   ] 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.

Annex viii: Criteria for Sharing of Copyright Ownership for Research Output.

1.0 **Criteria**

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

1.1 Intellectual contribution

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

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

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

Duration of Experience	Points
Above 10 years	3
Between 5- 10 years	2
Below 5 years	1

1.3 Technical staff support

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

1.4 Time of involvement

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

1.5 Final contribution

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

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

1.6 Facilities for research

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

2.0 Evaluation of shares

2.1 Weighting

2.11 Fundamental research and product development projects shall carry different weighting factors, and the weighting should add up to 1.0.

2.12. Fundamental research is that which starts from basic principles to develop a concept into a product.

2.1.3 Product development or innovation is work input to an existing concept or product to produce to produce a better product.

2.1.4 The details of the weighting factors for both fundamental research and product development work are summarized in Table viii.1.

2.2 **Ownership share percentage evaluation**

The format to be used in all co- sponsored research projects, for computation of the percentage share ownership is shown in table viii.2.

TABLE viii. 1: WEIGHTING FOR DIFFERENT CRITERIA FOR CALCULATING SHARES OF COPYRIGHT OWNERSHIP.

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

TABLE viii.2:   COPYRIGHT SHARE EVALUATION TABLE FOR CO-SPONSORED RESEARCH PROJECTS.

TITLE OF PROJECT:_____

NAME OF TEAM LEADER:_____

NAMES OF TEAM MEMBERS:_____

No.	CRITERIA	POINT		PERCENTAGE SHARE		WEIGHTING		GPA	
		OUT	Partner	OUT	Partner	Fundamental Research	Development	OUT	Partner
1.	International contribution								
2.	Professional experience								
3.	Technical support								
4.	Time of involvement								
5.	Final contribution								
6.	Facilities for research								
	TOTAL								
	TOTAL GPA								
	PERCENTAGE SHARE OWNERSHIP								

REFERENCES

1.   The National Research and Development Policy (NRDP) - (October 2006)
2.   The National Strategy for Growth and Reduction of Poverty (NSGRP) – (April 2005)
3.   The National Science and Technology Policy for Tanzania (NSTP) – (April 1996)
4.   The Tanzania Development Vision 2025 (TDV-2025) – (1995)
5.   The (United Nations) Millennium Development Goals (MDGs) – 2000