

**ST. AUGUSTINE UNIVERSITY OF TANZANIA RESEARCH
OPERATIONAL GUIDELINES AND PROCEDURES**

**(As approved by the University Council at its 50th meeting on
(13th August 2015)**

**Directorate of Research, Consultancy & Publications
P.O. Box 307
MWANZA**

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1. INTRODUCTION

In order to standardize and harmonize research process within St. Augustine University of Tanzania, research operational procedures and guidelines will be used. The guidelines include the composition of the University research committees as well as general procedures to be used for research purposes. These guidelines and instruments shall be reviewed regularly to accommodate changes in the task environment. The Directorate responsible for research shall coordinate the implementation of these research guidelines.

2. RESEARCH AND PUBLICATION COMMITTEE

There shall be a Research and Publication Committee whose members and their roles are as follows:

- a. The Vice chancellor (VC) with the following responsibilities:
 - Chairman of the committee
 - Appointing Director of Postgraduate studies, Research, Consultancy, and Publications
 - Appointing other members of the committee.
- b. The Corporate Council who will be responsible for:
 - Preparing Committee meetings
 - Secretary of the meeting
- c. The Director of Postgraduate studies, Research and Consultancy. Responsible for:
 - Heading the Directorate
 - Receiving research proposals and research progress reports
 - Taking care of properties of the office, disseminating information about invitation for proposals, organizing seminars and short courses
 - Coordinating all research activities at the University.
- d. Other committee members are:
 - Deputy Vice Chancellor for Academic Affairs
 - Deputy Vice Chancellor for Administration and Finance
 - One Senior Member from each Faculty and School nominated by the Vice Chancellor
 - Chief Librarian

Duties of the committee

The Committee will have the following duties:

- Approving and monitoring all research and publications projects within SAUT

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- Approving research proposals presented by Faculties after receiving recommendations of the reviewers
- Appointing external paper reviewers who should hold higher academic qualifications and ranks than the faculty whose work is being reviewed
- To ensure that both the research process and outputs aim at minimizing unfavorable impact on the environment
- Changing or modifying SAUT research policy periodically or when need arises
- Devise a mechanism to assess effectiveness in enhancing teaching, learning and solving social problems

Meeting of the committee

The committee shall meet four times in a year or when there is a need initiated by the Corporate Counsel in collaboration with the Director of PSRCP. Its operational procedures will be guided by the research policy objectives and the guiding principles of approval for research proposals.

3. DEPARTMENTAL/FACULTY RESEARCH AND PUBLICATION COMMITTEE

There shall be a Departmental Research and Publication committee (Or Faculty Research Committee if Departments are similar in nature) whose members are:

- Head of the Department/Faculty
- Three to four senior members of the Department/Faculty

Responsibilities of the Departmental/Faculty Research and Publications Committee

- To assess departmental/Faculty research proposals before presenting them to the Directorate of PSRCP.
- To review publication papers generated by members of the departments/faculties
- To generate a departmental/Faculty research agenda
- To ensure that members are fully involved in the research process and maintain a good balance between research, consultancy and teaching

4. GUIDELINES FOR APPROVAL OF RESEARCH PROPOSALS

- Initiation of research projects:
A researcher may take initiatives to prepare a research proposal of his/her interest. The proposal has to fall within the research aims as described in

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SAUT research policy. The proposal, should follow the format given in Annex I (unless a Departmental/Faculty guidelines are in use) and be submitted to the Research & Publications Committee through the Departmental Research and Publication Committee.

- A researcher is advised to limit the number of research projects undertaken at any one time. This is to ensure reasonable balance between involvement in research, teaching and consultancy.
- The approval of research proposals shall be based upon the quality of the proposal, previous satisfactory performances and the feasibility of the research itself. Priority will be given to group research work over individual ones. Format for the evaluation of Research Proposals is found in Annex II.

Action by the Research & Publications 'Committee

- The proposals should be discussed by the research and publications committees within a period of 14 days after it has been submitted to the head of the Directorate. The committee shall have to look into the relevance of the proposal, the capacity of the researcher to conduct it, the possibility of getting needed equipment and funds, and how the research will be accommodated into the researcher's teaching schedule and other responsibilities given to him or her by the University.
- When the proposal is approved, the following will be done:
 - The research proposal will be registered and the researcher will be given a registration form that indicates the following:
 - Name of the principal research.....
 - Number.....(for the current year)
 - Date of approval
 - Date of starting the research.....
 - Signature of the principal researcher.....
- The researcher (s) will be given a permission form to conduct research. This form has two sections. Section "A" indicates that the researcher has been given permission by the University authority to conduct the research and it introduces him/her to the administrators of the areas where the research is to be done. Section "B" is to be filled in by the authorities in the area where the research is to be conducted (See the sample in Annex III).
- An approved research proposal shall be funded only once the researcher (s) has signed a contract with the Director of Research & Publications or organization that is funding the research. Original of research contracts shall be signed by the Director of Post Graduate Studies ,Research, Consultancy and Publications, on behalf of the committee, irrespective of the source of funding (See the format of the research contracts in Annex IV).

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Planning and budgeting guidelines

The researcher should clearly show the total amount of funds needed for the research and mode of payment to him/her. It is advised that the money be paid in phases depending on the needs for each phase.

- Cost estimates should be given under various subheadings such as:
- Equipment e.g books, stationery, computer, etc.
- Payment to research assistants (how many, how much per person, and for how long)
- Labour costs (other personnel involved, etc.)
- Travel and accommodation costs (indicates place the distance, means of traveling, transport fare, type of accommodation and number of days to be spent there)
- Report writing and publications costs (how many copies, how much per copy etc)
- Proof reading and editing costs
- Honoraria (mainly for principal researcher) 30% of the total costs
- Contingencies 10-15% of the total costs
- Research administrative costs: 8% of the total costs

N.B. if the project is externally funded, costs should appear in TZS and in equivalent US \$ or otherwise as required.

Research Progress report and Final Report

A researcher will provide a research progress report at least three months after the project has begun using the form found in **Annex V**

A researcher is required to provide a final report after completion of the research. Suggested final research format is in Annex VI. However, the requirements of the donor or Faculty should be considered.

5. DISSEMINATION OF RESEARCH RESULTS AND OWNERSHIP

- The researcher(s) in collaboration with the Director of Post Graduate Studies, Research, Consultancy, and publications shall organize regular seminars and workshops in which the research results/findings will be disseminated. This is to ensure local “ownership” of research findings. For large research projects, local conferences /symposium shall be organized.

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- No research findings will be disseminated without a prior review by the committee and external reviewer who holds higher or equivalent academic ranks than those of the researcher.
- The research and publications committee shall encourage or arrange for the publication of quality research findings in the local media, and make them available in the University website after a competent external reviewer has given his/her comments on the quality of the research findings.
- The research unit shall establish a journal in which selected quality and critical research findings shall be published yearly as standard article.
- Ownership of research results rests with SAUT. However, where research is financed either partially or wholly from external sources and there is a desire for shared ownership of research results, then: the organization that provides funds will own the results.

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ANNEX I: GENERAL FORMAT FOR RESEARCH PROPOSALS

OUTSIDE COVER

ST AUGUSTINE UNIVERSITY OF TANZANIA
(Name of the Department or Faculty)

TITLE OF THE PROPOSAL

BY

Name(S) of the researcher(s)

**A RESEARCH PROPOSAL SUBMITTED TO THE DIRECTORATE OF
POSTGRADUATE STUDIES , RESEARCH, CONSULTANCY, SHORT
PROGRAMMES AND PUBLICATIONS FOR FUNDING**

DATES

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Inside part of the proposal
Table of contents:

Chapter 1: Background to the study/Introduction

- Introduction to the study
- Statement of the problem
- Purpose of the study (objectives)
- Research questions/hypotheses
- Significance of the study
- Limitation (s) and delimitation of the study
- Definition of key terms and concepts

Chapter 2: Conceptual /theoretical framework (Describe major theories and assumptions which will guide your proposed study)

Chapter 3: Literature Review

- Theoretical literature review
- Empirical review
- Summary of literature reviewed

Chapter 4: Research Methodology

- Area of study
- Study design
- Data collection methods
- Population, sample and sampling procedures
- Data analysis procedures and interpretation
- Appendices
- References (Use American Psychological Association style)
- Research budget
- Work plan which shows project duration.

Include also your current CV – especially when the project is funded by external donors. The CV should show among other standard items, your previous or current research and publications in referred or peer reviewed journals.

Please Note: While these are general guidelines, each Department/ Faculty should follow discipline-specific research guidelines approved by the Senate

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ANNEX II: FORMAT FOR EVALUATION OF RESEARCH PROPOSALS

(Two reviewers will be required to recommend a research proposal for funding while the Dean through the Research and Publication committee will be the final person to recommend a proposal basing on the reviewers views, the Research and Publication Committee as well as and his/her own views)

Author's Name: _____

Research Proposal Title:

REVIEW

1. TITLE

Is the title of the proposal adequate? i.e. does it reflect the contents of the proposal? (If not, please suggest an alternative)

2. INTRODUCTION/BACKGROUND

Is the introduction/background orienting the reader to the investigation by providing a rationale for the study?

3. STATEMENT OF THE PROBLEM

a) Is the research problem clearly stated?

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b) Is the research problem important and relevant to SAUT?

4. **HYPOTHESES)/RESEARCH QUESTIONS**

a) Is/Are the hypothesis (es) testable?

OR

b) Is/Are the research questions relevant and clearly stated?

5. **OBJECTIVES OF THE STUDY**

Is/are the objective(s) of the research clear?

6. **LITERATURE REVIEW**

Is the literature review appropriate/adequate?

7. **METHODOLOGY**

a) Is the proposed methodology appropriate for the problem under study?

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b) Is the sampling procedure satisfactory for the problem understudy?

OR

Is the selection of case(s) appropriate?

c) Is/are data analysis techniques(s) appropriate for the problem understudy?

8. TEXT QUALITY

Is the quality of the text, editing and presentation satisfactory?

Does the bibliography omit any vital references?

10. BUDGET AND WORKPLAN

a. Is the budget realistic?

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b. Is the work plan provided realistic?

**12. GENERAL COMMENTS: ACCEPTABLE/NOT ACCEPTABLE AND
REASONS**

Dean/ Reviewer's Name: _____ Signature _____

Academic year: _____

Date: _____

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ANNEX III: PERMISSION FORM TO CONDUCT RESEARCH

ST. AUGUSTINE UNIVERSITY OF TANZANIA

DIRECTORATE OF POSTGRADUATE STUDIES, RESEARCH AND
PUBLICATIONS
P.O.BOX 307, MWANZA-TANZANIA

(Part A)

To whom it may concern

The Director of postgraduate Studies, Research, Publication, Consultancy, and publications introduces Mr/Ms/Dr/Prof.....of Saint Augustine University of Tanzania

The person mentioned is currently conducting a research in the following areas.....

The research title is
.....

The research has been approved by the research and publications committee as respecting both human and environmental values.

We would appreciate any help you can give the researcher with his/her research

(Signed)

Director of Postgraduate Studies, Research, Consultancy and Publications

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(Part B)

The researcher has been permitted by the Regional /Government authority/Organizational leader to carry out his/her research.

Please assist him/her to achieve his/her goal.

Status of the Officer in Charge:.....

Signature.....

Date

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9. The researcher should take care of all equipment provided by the research unit. At the end of the research, non-consumable equipment is to be returned to the Directorate of Research and Publications.

We the undersigned accept the above mentioned terms and conditions.

.....
Principal Researcher

.....
Witness

.....
Director of Postgraduate Studies, Research, Consultancy, and Publications

Date.....

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ANNEX V: RESEARCH PROGRESS REPORT FORMAT

This is to be written three to five months after the project has begun

1. Project title
2. Project description
3. Principal researcher's name
4. Starting date of project
5. Period covered by this report from To.....
6. Estimated cost of project (in TZS) or (USD)
- 1.7. Funds allocated to each phase
Phase I.....Phase II.....Phase III.....Total.....

Project Objectives

1. Briefly state the project objectives, indicate what progress has been made towards achieving them. If any alteration in any of the objective, state clearly and give reason for alteration.
2. Summarize in detail the work carried out and results obtained. Try to show how the questions raised (hypotheses) are progressively being answered. Be as clear as possible in order to allow critical scientific assessment of the work by the committee. If possible, results should be presented in tabular or graphic form. (a maximum of two pages)
3. Describe problems encountered towards the completion of the plan of work for this reporting period. Interpret new findings (positive and negative) .state clearly if there are changes of durations and total cost and give the reasons behind.

Financial Statement of income and expenditure during the period covered by the report

PERIOD COVERED (DATE)..... TO.....

ITEM	AMOUNT BROUGHT FORWARD	FUNDS RECEIVED	FUNDS SPENT	BALANCE
1. Stationery				
2. Travel and transport				
3.				
4.				
5. GRAND TOTAL				

- Amount should be shown either in TZS or US dollars
- The breakdown should be as shown in the budget approved for the reporting period
- The balance should be reconciled with the approved budget

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ANNEX VI: FINAL RESEARCH REPORT FORMAT

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NAME OF THE FACULTY AND DEPARTMENT

FINAL RESEARCH REPORT

TITLE OF THE RESEARCH PROJECT:

AUTHORS:

1..... (PRINCIPAL RESEARCHER)

2.....

3.....

4.....

Date: Month: Year:

Research Report Content/ Format

Preliminaries

Abstract

Acknowledgement

Table of contents

List of figures

List of symbols and abbreviations

For the general research format reproduce all the four (4) chapters outlined in the research proposal and then add another chapter (5) on research findings, analysis and discussion and (6) Conclusion and recommendations. Research findings should be presented using relevant tables and figures.